

**UNITED NATIONS ENVIRONMENT PROGRAMME
(UNEP)**

Terminal Evaluation of the UNEP/GEF project GF/2010-02-02 “Global Biodiversity Forum (Phase III): Multi-Stakeholder Support for the Implementation of the Convention on Biological Diversity”

Catrina Perch

Evaluation and Oversight Unit

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I. EXECUTIVE SUMMARY

This terminal evaluation assesses the effectiveness and impact of Phase III (2002-2006) of the Global Biodiversity Forum (GBF). The evaluation was conducted two years after the completion of the project and under some considerable constraints, such as the lack of access to the project website and much of the project documentation (including lists of stakeholders/beneficiaries) and limited access to the project staff who all now have new posts. However, despite these important limitations, the evaluation has managed to yield useful insights. The evaluation was mainly based on evaluating the opinions and experiences of the stakeholders.

Based on the evidence gathered the project is rated as moderately satisfactory.

The GBF project (phase III) has had a number of achievements. The first achievement relates to providing an informal mechanism where the Convention on Biological Diversity (CBD) Parties and major stakeholder groups could explore and strengthen analyses and debate the central issues around CBD implementation. Although the quality of the meetings differed and their success rate varied the vast majority of stakeholders interviewed felt that this objective had been successfully achieved. GBF sessions not only provided a platform to continue to promote greater understanding of major issues for CBD implementation, in particular cross cutting issues, but also was highly valuable to help inform developing country delegates through providing them with access to a diversity of perspectives and experiences.

The second achievement has been the expansion of the CBD constituency. Through its unique approach of exploring and highlighting perspectives and policy options rather than generating consensus the GBF was able to attract 1700 participants during this phase, of which 80% were participating for the first time and of which the majority were also participating in the associated CBD event. From having been a Convention which was very government dominated and had limited participation of NGOs and other civil society the GBF was able to engage on average NGOs (45%), governments (29%), the private sector (10%), academia (10%) and local and indigenous communities (6%) in the GBF.

These two achievements are significant. However, they are eroded by some trade offs. While emphasis on dialogue rather than concrete action provided an enabling framework to bring a range of perspectives, interests and experience to the same table the impact of this approach proved difficult to measure and to some extent possibly lead to ineffectiveness as the increased understanding and capacity was not concretely tied to shared action.

Also, while it was seen as desirable to continually attract newcomers to the GBF meetings in order to broaden the constituency and avoid assembling “the same old club” it compromised the quality of certain workshops and frustrated the “wise“.

There is anecdotal evidence of partnerships being forged and the organisation of the meetings surely contributed to catalysing some new cooperative partnerships and initiatives among CBD parties. However, it is clear that apart from providing a conducive environment for partnership creation there was no deliberate effort made to ensure that a certain number of partnerships were formed as prescribed in the relevant project indicator.

The project has proven that it is still relevant and sustainable. The overall rating given for the sustainability component is U (Unlikely) despite the fact that the evaluator has rated most of the parameters as ML (Moderately Likely) and is a result of the GEF rating guidelines¹. Certain aspects

¹ The GEF rating guidelines will not accept a higher overall rating than the lowest rated dimension, regardless of whether higher ratings in other dimensions of sustainability produce a higher average. Only institutional framework and governance which according to the TORs refer to technical achievements, legal frameworks,

of the project are being replicated e.g. a high level Biodiversity Forum was organised by UNEP at the COP9 in 2008 and a dialogue forum is being prepared for COP10 in Japan 2010. However, this evaluation clearly revealed the need for adapting any future GBFs to current needs in order to ensure that they will add value. This could include continuing to conduct the fora in relation to other convention processes such as Ramsar, UNCCD, WTO, continue the regionalisation and providing a more science-oriented forum which focuses in depth on particular issues that are of concern.

Table 1 shows a summary of the evaluator's project ratings. The full ratings table with the evaluator's summary comments can be found in section VI.

Table 1. Summary Rating Table

Criterion	Evaluator's Rating
A. Attainment of project objectives and results (overall rating) Sub criteria (below)	MS
A. 1. Effectiveness	MS
A. 2. Relevance	MS
A. 3. Efficiency	MS
B. Sustainability of Project outcomes (overall rating) Sub criteria (below)	U
B. 1. Financial	ML
B. 2. Socio Political	ML
B. 3. Institutional framework and governance	U
B. 4. Environmental	N.A.
C. Achievement of outputs and activities	S
D. Monitoring and Evaluation (overall rating) Sub criteria (below)	MU
D. 1. M&E Design	MS
D. 2. M&E Plan Implementation (use for adaptive management)	MU
D. 3. Budgeting and Funding for M&E activities	U
E. Catalytic Role	S

policies and governance structures and processes was given the rating U because there was limited evidence of the project resulting in (e.g. formal decisions and recommendations taken at the CBD intergovernmental level).

Criterion	Evaluator's Rating
F. Preparation and readiness	MU
G. Country ownership / drivenness	S
H. Stakeholders involvement	S
I. Financial planning	HS
J. Implementation approach	MS
K. UNEP Supervision and backstopping	MS
Overall Rating	MS

II. INTRODUCTION AND BACKGROUND

This evaluation assesses the effectiveness and impact of Phase III of the Global Biodiversity Forum (2001-2006). Although conducted under considerable constraints, the evaluation yielded some useful insights. The evaluation was mainly based on valuing the opinions and experiences of the stakeholders. All those interviewed expressed themselves frankly and were clearly committed to providing insights. More engagement with the beneficiaries and end users of the GBF would however, have been desirable and would have strengthened the validation process considerably. This was unfortunately not possible due to a number of reasons including the web-site having been spammed and thus no information being available and the limited availability of project staff who now have taken up new posts. The evaluation has been carried out more than two years after the end of the project and it is, and the judgements within it are, based ONLY on the documentation provided and interviews undertaken (despite repeated requests for more).

Description of the Project

The GBF was designed to support implementation of the Convention on Biological Diversity (CBD). The GBF manual states that the mission of the Global Biodiversity Forum is “to provide a multistakeholder mechanism to support and enhance the achievement of the objectives of the Convention on Biological Diversity (conservation, sustainable use, and equitable benefit sharing)”². It seeks to foster analysis and constructive dialogue among a wide range of stakeholders on key ecological, economic, social and institutional issues related to biodiversity.

More precisely, the GBF process aims to strategically address key biodiversity issues through a continuing series of GBF sessions. A GBF session is an individual meeting of the GBF that can be held at global, regional or national levels; and either in conjunction with inter-governmental meetings of Biodiversity Conventions or as stand alone events. Every GBF session includes workshops, each of which addresses a specific theme.

The objectives of the GBF are:

- To assist policy making and implementation at all levels

² Draft Global Biodiversity Forum Manual, 2003

- To promote complementarity among the sectoral processes relevant to biodiversity
- To facilitate partnerships within and/or between sectors of society
- To raise awareness and promote the effective participation of stakeholders in relevant processes.

The total GBF process has consisted of a pilot phase (1992-1997) a GEF supported Phase II (1998-2000) and a Phase III GEF supported project (2002-2004) extended to the end of 2006. The second Phase of the project was evaluated in 2000.

III. EVALUATION SCOPE, OBJECTIVES AND METHODS

The scope of this evaluation is limited to the activities undertaken as part of Phase III of the Global Biodiversity Forum project. The objective of this terminal evaluation is to examine the extent and magnitude of any project results to date and determine the likelihood of future impacts. This evaluation also assesses project performance and the implementation of planned project activities and planned outputs against actual results. The evaluation is focused on the following key questions, drawn from the evaluation Terms of Reference³:

- 1) Did the GBF provide an informal mechanism where CBD Parties and major stakeholder groups could explore and strengthen analyses and debate the central issues around CBD implementation?
- 2) Did the GBF expand the CBD constituency and foster broader active involvement and commitment of independent, public and business sector partners in supporting and assessing CBD implementation?
- 3) Did the GBF catalyze new cooperative partnerships and initiatives among CBD Parties, among different sectors, and stakeholder groups at global, regional and national levels?

Evaluation Methods

This evaluation was conducted using a mixed methods approach using multiple data sources and methods. A participatory approach was used by conducting interviews and gathering data directly from individuals involved in the project. The findings of the evaluation are based on the following:

1. **A desk review** of GBF literature and records including, but not limited to: “Evaluation Report on Phase II of the Global Biodiversity Forum: Broadening Support for the Implementation of the Convention on Biological Diversity”, UNEP/GEF Project Implementation Reports (PIRs), financial reports and personal correspondence.
2. **“Meta-evaluation” of IUCN/Universalia evaluations of seven GBF meetings**⁴. Aggregation of findings from each of the reports from the GBF meetings.
3. **Interviews with stakeholders**; Interviews were applied to obtain information about the Global Biodiversity Forum from the perspective of the individual participants and the Steering Committee.

Data Analysis

In the analysis phase the qualitative information was analysed in a manner that combined an inductive and deductive approach allowing patterns to emerge as well as working according to the predetermined categories of the evaluation questions.

³ Annex I Terms of Reference

⁴ Global Biodiversity Forum Session Reports for Cancun, Cuba, South Asia, Spain, Eastern Europe, Pacific, and the Netherlands, Universalia and IUCN.

The limited data made available made it virtually impossible to triangulate in order to arrive at the findings. Nevertheless, the evaluator has sought as much as possible to overcome the bias that comes from single informants, single methods or single observer studies.

Limitations of the Evaluation

This evaluation faced significant challenges. The evaluation was conducted two years after the project ended and many of the staff had moved on. There was a three month delay in providing the evaluator with just a few of the contact details necessary to undertake this evaluation. In addition, the GBF website was spammed and attempts to collect the information by IUCN and provide it to the evaluator failed. These constraints meant that the evaluator had no access to any of the documentation or specific products produced in preparation of the GBF meetings as well as the reports developed after each meeting. This evaluation is thus solely based on progress reports, the previous evaluation and interviews with the few stakeholders whose contact details were provided. The evaluator had intended to develop a survey for the beneficiaries but this idea was dropped due to the limited number and nature of the contacts made available. In addition, a number of the contacts made available to the evaluator felt that the issue of GBF was too far back or that their involvement had only been peripheral and declined invitations to talk about the GBF. Based on searches carried out on Google and personal contacts the evaluator was able to identify a few other participants from the GBF. Due to these constraints this evaluation is therefore limited to the perceptions of the Steering Committee and a few other participants in the GBF. The relevant GEF Secretariat staff member had unfortunately passed away and a staff member in the International Centre for Trade and Sustainable Development had moved to a different job and it was not possible to track the person down.

In addition, several of the stakeholders provided to the evaluator stated that their involvement in the third phase of the project had been limited and it was often difficult for the interviewees to distinguish between the different phases of the project. Some evidence gathered may therefore relate more to previous sessions or phases.

Finally, the very nature of desk evaluations poses significant limitations in terms of verifying information through triangulation that seeks to overcome the bias that comes from single informants and single methods.

IV. PROJECT PERFORMANCE AND IMPACT

This section is grouped to match the evaluation criteria in the Terms of Reference which cover both substantive and organisational issues.

Relevance of the Project

The Convention on Biological Diversity (CBD) calls on Parties to fully represent local and national interests in determining the priorities, strategies, policies and management approaches related to their biological resources. Hence it requires a much broader range of actors than only governments, and relies on the collaboration of civil society sectors as necessary allies and partners for achieving its objectives: conservation, sustainable use, and equitable sharing.

The concept of the Global Biodiversity Forum (GBF) arose in 1993 as a result of a number of complementary international processes (AGENDA 21, Global Biodiversity Strategy and Convention on Biological Diversity), which revealed the need for an effective platform to not only inform policy related processes but also to engage a range of constituents and perspectives in strategic dialogues on key biodiversity issues. Since then the GBF has grown into a constructive and functional mechanism whose importance "...for building understanding and capacity in implementing the Convention, and encourages support of the Global Biodiversity forum process" is recognized by the CBD COP (Decision V.21)⁵.

⁵ Project document, page 7.

This project was initiated before the formal adoption of the GEF Strategic Priorities under the funding cycle for GEF3 (2003-2006). It fell under Biodiversity and was classified as Operational Programme 3 – Forest Ecosystems cutting across all the Operational Programmes⁶. Had the project been adopted after the adoption of GEF Strategic Priorities it is most likely that it would have fallen within the Strategic Priority 4 “Generation and Dissemination of Best Practices for Addressing Current and Emerging issues in Biodiversity” since all of the GBF fora focussed on exchange of best practices and information. However, for GEF4 (2007-2010) the proposed focal area strategy for Biodiversity which contained a strategic objective entitled “Generation, Dissemination, and Uptake of Good Practices for Addressing Current and Emerging Biodiversity Issues” was reduced in scope when submitted to the Council for approval to “Build Capacity on Access and Benefit Sharing”. The abandonment of this strategic objective was according to the GEF focal area strategy for Biodiversity due to the fact that: “...stand alone projects to synthesize “good practices in biodiversity conservation had no added measurable value to the overall biodiversity portfolio during GEF 3 (2003-2006)”.⁷

The difficulty in measuring the impact of GBF phase III underscores the reasoning behind the decision to abandon this focal area strategy. Furthermore, the interviews revealed that a certain fatigue with the GBF did become apparent in the third phase of the project resulting in an increasing number of “conflicts” with other organized events, notably other NGO strategy meetings, indigenous peoples’ events and other more technical meetings resulting in decreasing number of participants to CBD COP GBFs⁸. However, it has been argued that the proliferation of similar initiatives could also be taken as a sign that the GBF had a catalytic role and that sustainability was generated through this “evolution of actors”. There are concrete signs of the principles of the GBF being sustained and replicated through new or similar events. In addition, the majority of interviewees agreed that the closure of the project had left an important gap in terms of providing a forum for brainstorming and tackling difficult biodiversity issues. This sentiment points to a continued relevance of the project although it would have to be redesigned to match current needs and processes.

Preparation and Readiness and “Quality at Entry”

Although the project document as a whole was fairly clearly written certain objectives did not flow logically from the stated activities and outcomes and were overly ambitious. Furthermore, the indicators at the objectives level proved difficult to report on pointing to a mismatch in expectations. For example, objective 1 which reads:

Through the GBF to provide an informal mechanism where CBD Parties and major stakeholders groups can explore and strengthen analysis and debate the central issues around CBD implementation⁹.

This objective has according to most stakeholders been achieved but it is unclear how exactly and to what extent this led to spin off initiatives, formal decisions and recommendations taken at the CBD intergovernmental level as prescribed in the relevant indicator.

The GBF manual outlines how the GBF relates to the CBD or other intergovernmental biodiversity meetings and includes the following in its definition:

- Making a presentation to the meeting’s plenary session summarizing the GBF session results
- Identifying and clarifying divergent views as a contribution to the negotiation processes
- Identifying new and priority areas for later meetings and longer –term programmes of work on selected issues
- Supporting implementation of the CBD and other biodiversity agreements through the provision of examples/experiences and support to the development of tools

⁶ Operational Programme 1 - Arid and Semi Arid Ecosystems; Operational Programme 2 – Coastal, Freshwater and Marine Ecosystems; Operational Programme 3- Forest Eco-Systems, Operational Programme 4 – Mountain Ecosystems.

⁷ Biodiversity Focal Area Strategy and Strategic Programming for GEF-4, page 4 <http://www.gefweb.org/interior.aspx?id=84>

⁸ Personal comment

⁹ Project document, page 3.

- Contributing to capacity building, including through increasing understanding and awareness on biodiversity issues and promoting stakeholder participation and new partnerships¹⁰.

These guidelines provide for a broad interpretation of influence. It is understood that the GBF did prepare and present a statement and a speech at the formal negotiation process and did discuss new and priority areas for later meetings and longer term programmes. In addition, all GBF meetings produced pre-meeting documents to guide discussions and also posted a post-meeting reports on the GBF website. However, for phase III there is limited evidence of how this work was translated into formal decisions etc.

It has been argued that the Convention “belongs” to the Parties and only they can be responsible for decisions taken, etc. and that at the time, to be guaranteed a statement in the opening plenary and to be able to convene meetings that could include national focal points as participants, gave the GBF considerable influence compared to other fora.

However, statements received from both the interviews and the monitoring and evaluation questionnaires supports the view that there is limited evidence of how the work translated into formal decisions. In addition some of the citations below points to a certain saturation reached in phase III.

“All in all it (GBF) did a reasonable job against an inevitable trend (dilution) some questions should have been raised when GBF 3 was being prepared “. (Interviewee)

“It was hard to show results – the GEF should have embedded it (GBF) into another project – on the ground or more explicitly into the CBD policy process”. (Interviewee)

“It wasn’t clear what we wanted out of the three days. The whole event could use more guidance by IUCN on the CBD process”. (Hague evaluation report)

Most conversations and the citations above point to that fact that there seems to have been a conflict in expectations as to whether the GBF should merely highlight perspectives and policy options with a view to better inform, notably governments, rather than influence the negotiation process, and the project document reflects this conflict. As a result some of the indicators are reasonably specific but do perhaps not properly reflect the spirit of the objectives which emphasises dialogue rather than concrete action. The problem with the project document is that the objectives of increased understanding and capacity are not concretely tied to shared action. The result is that the outcomes of the GBF remain unclear to a number of participants.

Objective 2 of the project seeks to expand the CBD constituency to foster broader involvement and commitment of independent, public and business sector partners in actively supporting and assessing CBD implementation. This was successfully achieved but again the level of details foreseen in the indicator (number and type of participation of such groups e.g. economic ministries, finance and tourism industries etc) was not properly recorded.

With regards to objective three:

To catalyze new cooperative partnerships and initiatives among CBD Parties, among different sectors and stakeholder groups at global, regional and national levels¹¹.

It is clear that the project was successful in bringing a wide range of stakeholders together and that for many participants it was a revelation to meet with other people working on the same issues as themselves and facing the same challenges:

¹⁰ GBF A Guide for Organizers – IUCN, 2003

¹¹ Project document, page 3

“GBF changed their lives and perspectives on things because they never knew there were all these people working on all these things around the world and they made a number of contacts and they had all these exciting things that were starting up. ...the value for a lot of folks, particularly, people coming from small NGOs was very high... IUCN was also good at getting private sector involvement. There were a lot of interesting people from tourism industries, forest product industries building informal connections and contacts. I think the GBF was pretty successful in that regard. You can bring the horse to water but can't make them drink meaning you can bring all these people together and give them the ideas some will go away and develop partnerships and some will not“. (Edited citation from interviewee)

The citation above illustrates that despite providing a conducive environment for partnership creation this does not necessarily happen automatically. The project document did not include formal activities to develop or catalyze partnerships and despite activities in the M&E plan to report on partnerships created this was never carried out. The result is anecdotal evidence.

The result of the logic in the project is that although there is general appreciation of the GBF it is very difficult to document that its objectives and results were achieved

This was supported by members of the Steering Committee

“We did not know how to quantify – the objectives. They were too qualitative – how do we decide cause and effect – it is very difficult” (Interviewee)

This concern was also highlighted in the GEF Secretariat's Medium Sized Project Agreement Review carried out in October 2001 before the formal approval of the project. It stated that a measurement of the overall degree of impact could be helpful to the otherwise good M&E Plan in place.

The GEF Secretariat also raised concerns about endorsing a project which could not provide a fully committed financial package. This concern, however, proved to be unfounded as the project was extremely successful in raising funds for the GBF sessions. Finally, the review mentions that the sustainability of the project was not secured and that despite some of the core organizers remaining committed to the process their financial contributions were diminishing (e.g. UNEP and WRI) leaving the future of GBF uncertain. It also states that one of the aims of the project was to seek a more permanent financial mechanism. This was not achieved during the project's life time, however, there are signs that the principles of GBF are being applied through (e.g. COP9 UNEP Biodiversity Forum and the Kobe dialogue forum planned for 2010).

At the time that this project was being developed the GEF policy was there was that no STAP review was carried out for MSPs which fell within this level of funding. The evaluator has therefore not analysed the quality of the review process through STAP reviews.

Overall there were important flaws in the project logic which resulted in its design being overambitious. Several of the indicators were not (SMART)¹². Although the level of anticipated and documented policy impact on the CBD negotiation process and implementation remains vague in the project document it was unrealistic to expect a clear link between causes and effects given the activities foreseen in the project.

Attainment of Objectives and Planned Results

The following section covers most of the outcomes and all the objectives included in the project document. A few outcomes have been omitted as they were virtually identical to the project objectives. A table in Annex II provides an overview of achievement of outputs and activities.

¹² Specific, Measurable, Achievable and Attributable, Relevant and Realistic, Timebound, Timely, Trackable and Targeted (SMART).

Project Outcome 1

Greater stakeholder participation through at least 9 meetings of the GBF prepared and held at global and regional level.

This outcome was achieved and exceeded the planned target of holding at least 9 meetings of the GBF at global and regional level. Fourteen (14) sessions were held during the project period (though the project period was extended considerably so maybe more than 9 should have been expected) and brought together some 1700 participants from all sectors.

Indicators	Actual level of achievement
At least 20% of each GBF involves participants who have not previously attended GBF.	An average of roughly 80% of GBF participants were attending the GBF for the first time.
Number of different institutions engaged as conveners for each GBF session.	There was an increase of organizers from approximately 12 (1992-2001) to 19 (2001-2006) per meeting.
Number of participants who attended both the GBF and related CBD meeting for the first time.	According to the progress reports the majority of participants at the GBF went on to participate in the associated CBD event (the evaluator has not been able to verify this).

Project Outcome 3

Synergies between biodiversity related processes are actively promoted by GBF.

This outcome was achieved. A number of GBF sessions were entirely devoted to this effort, notably GBF 17 Valencia (in conjunction with the Ramsar COP), GBF-Cuba (in conjunction with the UNCCD COP), and GBF18 Cancun (in conjunction with WTO5). In addition, the active promotion of synergies between biodiversity-related processes was done by most, if not all of the GBF workshop sessions, whether national, regional or global and several workshops dealt with synergies and biodiversity related processes e.g. “Managing Forest Ecosystems for Sustainable Livelihoods” (GBF 16- The Hague); “Climate Change, Biodiversity and Livelihoods on Small Islands: Understanding and reducing Vulnerability to Impacts” (GBF Pacific); “Biodiversity Conservation, Agriculture and Food Security” (GBF Southern and Eastern Africa). The table below provides an illustration of the GBF meetings and their associated meetings.

Regional Sessions

Region	Location and Date	Associated meeting
Germany (1 st national meeting)	19-21 October 2001	Ad Hoc Working Group on Access and Benefit Sharing of the CBD
Pacific (1 st regional session)	Cook Islands, 4-5 July 2002	Pacific Nature Conservation Conference (2002)
Eastern Europe (1 st regional session)	Moldovia, 25-27 April 2003	5 th Ministries of the Environment Conference “Environment for Europe”
South Asia (3 rd regional session for Asia)	Bangladesh 16-18 June 2003	None
Cuba (1 st interregional session)	Cuba 30-31 August 2003	COP6 of the UN Convention to Combat Desertification (Aug-Sept 2003)
Southern and Eastern Africa(4 th regional session for Africa)	Tanzania 9-11 June 2004	None

Southeast Asia (4 th regional session for Asia)	Philippines 21-23 June 2004	None
India and South Asia (1 st national session for India)	India 11-13 August 2005	None
Latin America (3 rd regional session for Latin America)	Peru 16-17 August 2005	None

Global Sessions

Session	Date	Associated meeting
GBF 16 – the Hague	5-7 April 2002	CBD COP6
GBF 17 Valencia	15-17 November 2002	Ramsar COP8
GBF 18-Cancun	5-7 September 2003	WTO5
GBF19 Kuala Lumpur	6-8 February 2004	CBD COP7
GBF 20-Curitiba	24-25 march 2006	CBD COP8

Indicators	Actual level achieved
Number of GBF sessions and workshops involving other biodiversity related conventions	Five GBF sessions and workshops were held in conjunction with <u>other</u> biodiversity related conventions or meetings representing 35% of the meetings.
Representations from biodiversity related conventions actively participating in the GBF steering Committee and GBF sessions	The steering committee met twice and had representation from the Ramsar Convention and CBD.

Outcome 4

Regional coordination, initiatives and input into the CBD implementation process are facilitated

This outcome was achieved. Nine regional (9) sessions were held under this phase out of a total of 14 GBF sessions. Generally there was support among interviewees for the regionalisation of the GBF which led to a better understanding of how the CBD can be implemented on the ground.

Indicator	Actual level achieved
Number of participants who report new understanding on participants survey	Out of seven meetings an average of ninety-one percent (91%) of survey takers reported to have been presented and/or discussed new ideas, approaches, tools or techniques.

Outcome 5

The CBD process is informed by a diversity of technical experiences and perspectives from different sectors.

This outcome was achieved. The workshop sessions covered issues ranging from “Access and Benefit Sharing”; “Managing Wetlands”; “Integration of Biodiversity Considerations into Policies of Financial and Private Sectors” to “Livelihoods Poverty and Biodiversity”. Moreover, the organisers of GBF sessions included research centres such as e.g. The Consultative Group on International Agricultural Research (CGIAR), governments, NGOs, Academia and the private sector. This unique blend of

organisations that IUCN was able to attract ensured that the GBF sessions represented a diversity of technical experience and perspectives from different sectors. An average of eighty seven percent (87%) of the stakeholders who took the M&E survey agreed that session debates were generally based on scientific principles and/or best information currently available. Similarly, eighty seven percent (87%) agreed that pertinent technical or scientific information was disseminated through the sessions.

The indicators for this outcome do not seem to reflect the spirit of the outcome. In addition, limited empirical evidence is available.

Indicators	Actual level achieved
Extent to which GBF recommendations are reflected in the formal decisions and recommendations taken at the CBD intergovernmental level,	No empirical evidence available
The number of national and subnational case studies presented at GBF workshops	According to the project manager case studies were not used in the third phase. Consequently the project did not achieve this indicator and did not follow up on the recommendation in the 2000 evaluation.
All CBD and other biodiversity-related Convention Parties and focal points informed about the GBF and its outputs	According to the GEF task manager the GBF maintained an email database of all past participants to which notifications were sent. In addition, specific audiences were targeted depending upon the topics for the Forum (the evaluator has not been able to verify this information).
Number and type of reported uses of GBF outputs by different sectors	No empirical evidence available.

Despite the fact that many of the indicators were not specific (i.e. SMART) enough to conclude whether certain targets had been met (e.g. “Number of participants who report new understanding on participants survey” this begs the question: what number of participants is considered satisfactory?) and empirical evidence was lacking for a number of indicators, it would seem, from the evidence gathered, that all of the outcomes were achieved.

Attainment of Objectives and Planned Results

Objective 1

Through the GBF to provide an informal mechanism where CBD Parties and major stakeholder groups can explore and strengthen analysis and debate the central issues around CBD implementation.

Indicator

Extent to which GBF meeting discussions, publications, and spin off initiatives contribute constructively to formal decisions and recommendations taken at the CBD intergovernmental level.

Overall the majority of interviewees felt that the objective of providing an informal mechanism where CBD Parties and major stakeholder groups can explore and strengthen analysis and debate central issues around CBD implementation had been achieved.

This is evidenced by some of the following statements:

“... It was a unique environment where in an informal way you could talk openly to delegates from the countries that otherwise during the COP would be difficult...it was the place where many of the issues and policies that later became COP decisions and actions were developed”. (Interviewee)

“..It was really helpful for delegates on the government side to see how an informal meeting could feed into formal meetings...the view of those who attended the CoP was so enriched by the GBF debate. It was an informal forum where you could speak your mind without worrying about the views of the government”.(Interviewee)

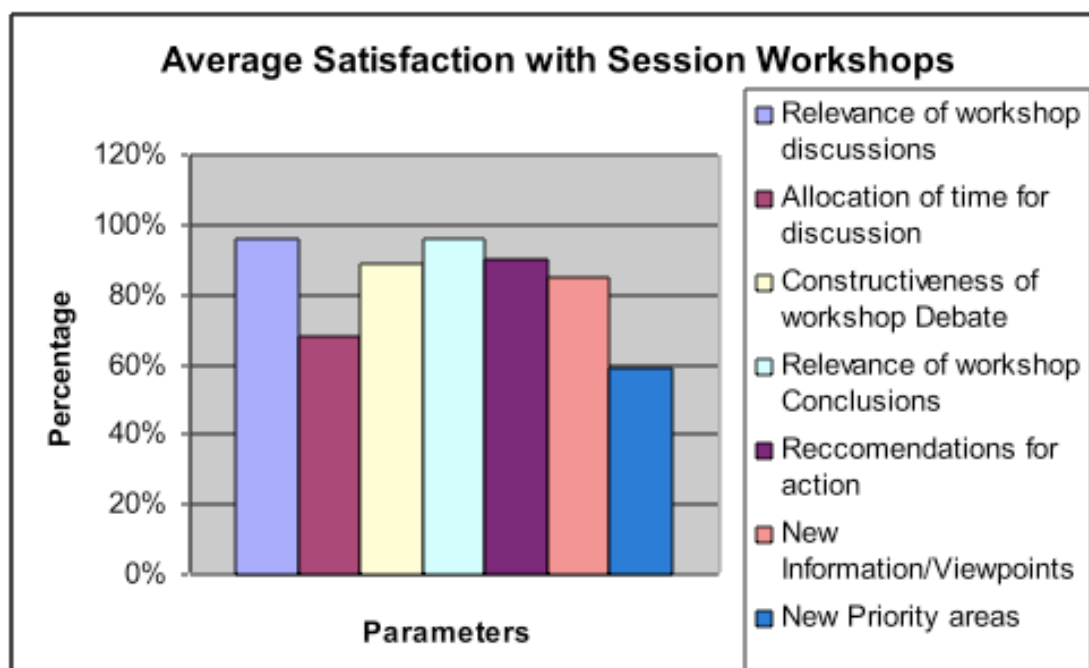
“..it provided a good opportunity for parties to discuss issues for upcoming meetings. People were sharing their feelings freely – it helped participants look at issues without having the government positions over their heads. It was especially useful for developing countries who do not have the time to consider all issues before they go to the formal meetings” (Interviewee).

In terms of influence on the CBD process the opinions were more divided. One stakeholder said the following:

“In many countries the official delegations were often less aware of their own natural resource situation on the ground and of the activities in their own legal systems with respect to natural resources and it was often the NGOs that provided a sense of realism. In several cases (Philippines, Mexico, Costa Rica, Chile, Brazil) a member of the GBF was invited to join the official team and provide technical backstopping in the shape of briefing them on priorities and issues as they went through the agenda. Among some of the priorities born in the GBF were genetic resources, marine resources, and indigenous people”.

Among the GBF participants who filled in the monitoring and evaluation questionnaires at the end of each meeting an average of ninety three percent (93%) found the recommendations and conclusions from the workshop sessions useful to their work in biodiversity.

This was further supported by an average of ninety percent (90%) agreement with the recommendations for action proposed as a result of the sessions. Participants also seem to have found workshop discussions and conclusions relevant and fairly represented (96%) as well as the workshop debate constructive as evidenced by the figure below. The parameters that scored the lowest, although participants were still generally satisfied with these, were related to sufficient allocation of time for discussions (68%) and identification of new priority areas for discussion at future sessions (59%).



Conversations with the majority of the interviewees revealed that the GBF had evolved considerably throughout the different phases of the project and in line with the maturation of the CBD process. The GBF started out as having had the main aim of bringing the perspective of civil society, including the business sector, into the Convention process and bringing the negotiators up to speed. With time the negotiators became more familiarised with the Convention process and the GBF was redefined to focusing less on the CBD agenda and instead explore broader biodiversity issues and implementation at the regional level. This evolution of the GBF, which happened under the guidance of the Steering Committee, was according to the Task Manager fully compatible with the progression of the CBD itself - focussing first on the generation of a National Biodiversity Strategy and Action Plan (CBD Article 6a) and then focussing on the integration of biodiversity into other sectoral policies. Never the less and perhaps as a result of this development there is for the third phase of the GBF very little concrete evidence of *“formal decisions and recommendations taken at the CBD intergovernmental level as a result of the GBF”*. It has been argued that there is also no evidence that it did not and that it is unlikely that a national delegation would openly admit that their decision - making was strongly influential in their negotiating position.

However, some interviewees saw the change in the strategy of the GBF as the main difficulty with the GBF and the reason why the meetings did not have impact.

“...Very few participants were making reference to GBF in the CBD negotiations...delegations did not use the reports because it discussed a number of issues that were not taking place in COP but it did give us ideas of what could be discussed and added new issues that were relevant for other meetings” (Interviewee).

Other stakeholders pointed out that in the early days of GBF the fora were able to change delegations' views and positions. In later days this took place at regional level through regional meetings. In terms of sectoral integration this happened at times but influencing e.g. *“trade negotiators is a long call”* as one interviewee expressed it. Nevertheless, there was a feeling that GBF managed to sensitise them if not change their positions which must be considered an important achievement.

A few comments from the questionnaires and interviews also revealed that there was among certain stakeholders confusion as to what was being sought to be achieved with the meeting and that there was not enough focus on concrete outputs.

“If you believe in the need to mainstream and broaden participation of biodiversity then the GBF was worthwhile but at the same time you should have a realistic idea of the outputs – hypothetically there is a lot of serendipity in the world.” (Interviewee)

Another development which was mentioned by many stakeholders was the wealth of information and similar events that became an established part of the CBD process and eventually led to the dilution of GBF.

“The contributions to the CBD were significant in the earlier days but became less significant as the Convention matured and became more independent and as the Secretariat became more confident. GBF was instrumental in encouraging various institutions to have side events during the COP of all the conventions – GBF broke ground in having these kind of events held in association with intergovernmental negotiations”. (Interviewee)

“Over time GBF did not remain influential - it was overcrowded with similar events – part of the loss of influence was by dilution.”(Interviewee)

“Within the context of multilateral environmental agreements, the GBF innovated such a dialogue-based multi-stakeholder approach to decision making. With respect to CBD, where GBF was once the only multi-stakeholder dialogue platform, the niche for open-ended discussions and technical advice

at the global level is now saturated. However the GBF remains the only multi-stakeholder process with a focus not only on biodiversity, but also on CBD implementation.” (Terminal report)

Nevertheless several stakeholders also pointed out that despite the many side events which are now available they do not offer a replacement for the GBF.

“Most of the side events that are being organised are irrelevant PR events for projects” (Interviewee)

*“Side events are no substitute for the GBF. The many side events do not have the same impact – talking about issues after the CBD meeting - how is that going to help parties?
...GBF was not necessarily tied to the agenda of CBD. It was a brainstorming session. In fact the GBF came up with new areas. For delegations it was a useful avenue to reflect on the agenda if they did not have the time to do so at home but it was not the main aim of the GBF”. (Interviewee)*

Objective 2

To expand the CBD constituency to foster broader involvement and commitment of independent, public and business sector partners in actively supporting and assessing CBD implementation .

Indicator:

The number and type of participation of such groups (e.g. economic ministries, finance and tourism industries, local communities and indigenous groups, scientific institutions)

From having primarily contained traditional conservation organisations the GBF was able, as the Convention matured from tackling policy issues to considering implementation and use of genetic resources, to broaden the constituency and attract the private sector, indigenous people and other types of NGOs. According to the progress report¹³ almost 80% of the 1700 GBF participants were participating for the first time and a majority were participating at the associated CBD event. According to the statistics¹⁴ received from the project manager on average participants represented NGOs (45%), governments (29%), the private sector (10%), academia (10%) and local and indigenous communities (6%)¹⁵. Almost ¾ of GBF participants (71%) came from developing countries and of these 334 were supported by project funds. A large number of developing country participants were also supported by GBF session organizers using non-project funds (the figures for the amount for funds and number of participants funded in total are unfortunately unavailable).

Another important achievement related to this objective was that the number of organisations and institutions involved in organising and managing the GBF increased by 63% from 2001 to 2006. This partnership approach contributed to raising the credibility of the GBF as a process which was supported by a number of relevant stakeholders. Further, it is likely, and this is confirmed by the progress reports, that this approach contributed to the building of a number of relationships between stakeholders, notably in the CBD.

Objective 3

To catalyze new cooperative partnerships and initiatives among CBD parties, among different sectors, and stakeholder groups at global, regional and national levels

¹³ Source

¹⁴ The statistics covers 11 out of 14 meetings.

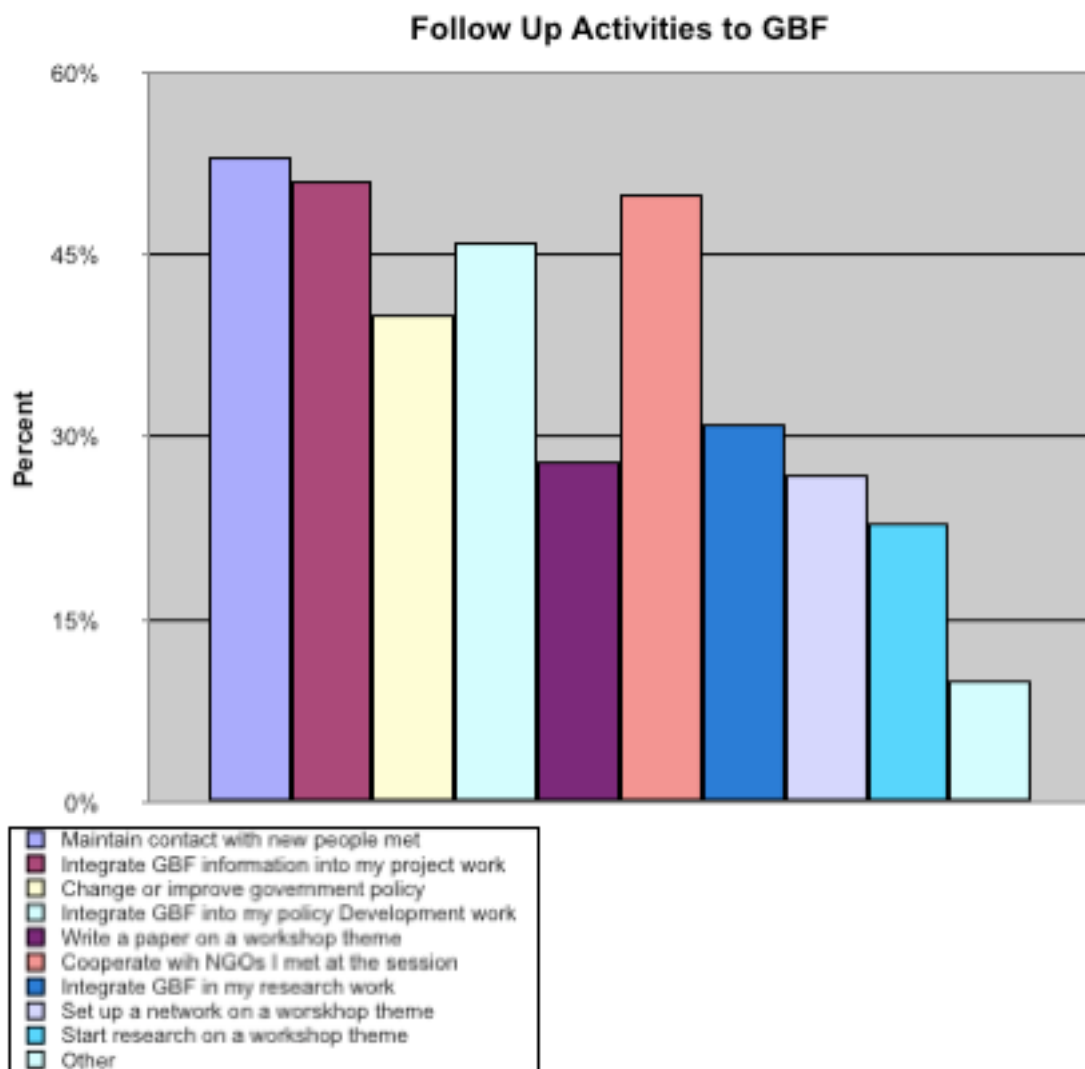
¹⁵ These figures differ from the figures in the terminal report which possibly covers all the meetings but where the total comes to 115% (54% NGOs; 12% Private Sector; 11%Academia; 33% Governments; 5% Indigenous people) clearly indicating a problem with the numbers (possibly some double counting), however the general trend is clear and so still useful to show.

Indicator:

Number and type of new cooperative partnerships catalysed.

The terminal report states that “Every GBF session created the opportunity to either further develop partnerships or led to new initiatives”¹⁶. It also established that a particular aspect of the GBF was its consortium approach, which enabled a very wide range of institutions to collaborate not only in organizing GBF sessions but also to come into contact with a wide range of other institutions to discuss issues of mutual interests. Despite providing a conducive environment for catalysing partnerships it is clear that no deliberate effort was made to ensure that a certain number or type of cooperative partnerships were established and no records of any partnerships were established or kept.

However, an average of 53 percent (53%) of GBF participants who filled in the monitoring and evaluation questionnaires from seven GBF meetings¹⁷ mentioned that they would “maintain contact with new people met” scoring this parameter of follow up the highest. This was followed by “integrating GBF information into my project work” (51%) and “cooperate with NGOs” (50%).



Some anecdotal evidence also, suggests that partnerships were indeed being formed.

¹⁶ Ibid.

¹⁷Global Biodiversity Forum Session Reports for Cancun, Cuba, South Asia, Valencia, Eastern Europe, Pacific, and Hague. Universalis and IUCN.

One stakeholder mentioned that in the early days of the GBF this was happening to a very strong degree and in the later days this equally took place at the regional level. For example, the regional GBF meeting on Cook Island, Rarotonga provided additional impetus to the creation of the Pacific Regional strategy on Invasive Species which was funded by the New Zealand Government and managed by South Pacific Regional Environment Programme. In connection to this another stakeholder pointed out that if it had not been for the GBF, article 8h of the Convention, that relates to invasive species, would never have received the attention that it received from the Convention and that ultimately led to the establishment of the Global Invasive Species Programme (GISP). This programme outlines the content that needs to be included in the implementation of article 8h.

Two interviewees mentioned that the GBF WTO meeting in Cancun was instrumental in bringing together IUCN and the International Centre for Trade and Sustainable Development. Prior to GBF the two groups were working on their own agendas in relative isolation of one another. At a more informal level the meeting helped IUCN think through how they wanted to be engaged with trade and biodiversity.

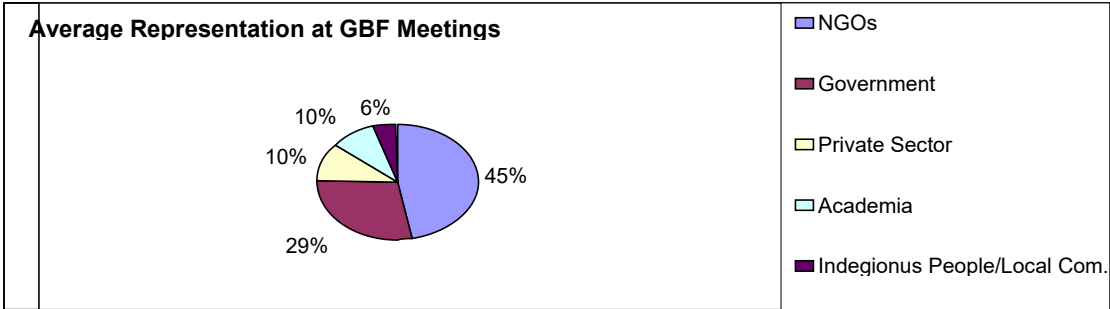
Access and Benefit Sharing of Genetic Resources was another difficult area which according to one interviewee was able to generate a lot of partnerships among organisations that previously did not realise that others cared about the issues in the way they did.

Other stakeholders mentioned that partnerships happened naturally after the meetings among like-minded groups and institutions and that the meetings were conducive for partnerships to be established at an informal level but could not provide concrete examples of this happening.

From the evidence gathered it would seem that objectives 1 and 2 were achieved. However, as mentioned earlier there is no evidence unlike previous project periods of the Forum’s discussions translating into formal decisions and recommendations taken at the CBD intergovernmental level. Objective 3 remains the most difficult to evaluate. The interviews and M&E reports, however, provide an indication as to some of the possibilities for partnership creation that the GBF offered.

Stakeholder participation / public awareness:

One of the central purposes of the GBF was to broaden stakeholder involvement in the CBD process and the project seems to have been fairly successful in achieving this by applying all the three processes related to stakeholder participation namely consultation, stakeholder participation and information dissemination. As previously mentioned the third phase of GBF attracted 1700 GBF participants. The figure below illustrates the average representation of different sectors at the meetings.



Consultation: A procedure was laid out in the GBF manual and consisted of a number of steps and involvement of several partners. Inputs prior to meetings were solicited from stakeholders through announcements and invitations using several networks including the website (i.e. CBD focal points, Ramsar focal points, previous GBF participants). The GBF was open to all but funding priority was

given to those participants from developing countries who had been selected to make a presentation, or otherwise have a substantive role in the workshops. In total about 334 participants were supported by project funds. Funding was limited and, according to stakeholders interviewed, it was never possible to support all the people who were interested in participating. Despite this fact the GBF was able to ensure representation of people from developing countries who would not otherwise have been able to participate (e.g. Indigenous People's representatives).

Workshop organisers were usually identified by either the IUCN Secretariat and/or Steering Committee for a given topic and IUCN would then work with the organizers to select those to make presentations. In other cases organisers would volunteer to lead on a topic and propose other organisers. Finally, contributions were also sought when GBFs were announced and these were provided to organisers.

For every GBF session, a partnership of individuals and institutions was formed for the management, organization and follow up of the session. The key partners included:

- A GBF session coordinator who was responsible for the day to day preparations of the session and its follow up
- The GBF Session Organizers made up of institutions involved in the organization of the overall GBF session
- A local host who undertook on-site arrangements (i.e. venue) and could be technically involved in workshops
- Workshop organizers who were responsible for developing, managing and fund-raising for GBF workshops. The organizers were responsible for ensuring high-quality discussions and outputs. Each workshop had a workshop leader who was the focal point for the session coordinator.
- The chief rapporteur who was responsible for organizing, coordinating and delivering the general outputs of the GBF such as the speech, statements, and report
- Each GBF session formed an organizing committee consisting of the local host, organizers, Chief rapporteur and the GBF Secretariat under the leadership of the GBF Session Coordinator.
- Each GBF session was preceded by extensive efforts to solicit input from a broad range of stakeholders. For example, notices of upcoming GBF sessions were widely circulated (including postings on GBF website and other key Internet sites).

At the end of each GBF session, meetings were held to solicit ideas on themes, overall GBF strategy and related issues for discussion at future sessions. This procedure seems to have worked extremely well. The reason for this was that participants were largely self selected and therefore participated because they were interested in the topics being discussed. IUCN was also praised by participants in the GBF for its ability to attract a wide array of stakeholders without branding the meetings as an IUCN event.

However, some stakeholders argued that this approach contributed to trade offs between quality and quantity of the GBF resulting in the GBF becoming too much of a “free for all” event. In striving to attract new participants at each meeting the learning curve for a majority of participants was high at the cost of frustrating the “wise” and affecting the quality of workshop session discussions and providing results of a variable quality. While a capacity building service for helping the layman understand the MEAs was considered important the cost effectiveness of applying the GBF for this purpose was eventually questioned and it was pointed out that other alternative mechanisms could replace this function e.g. working with MEA secretariats, academia etc¹⁸.

¹⁸ Personal comment

Information dissemination: the progress reports state that during Phase III, the GBF Website became a central repository for all GBF related documents. In particular, when available, workshop background papers, reports and participant presentations were posted in a timely manner on the GBF web-site (www.gbf.ch). To help increase the quality and timeliness of reports, chief rapporteurs were engaged for each GBF session. Nonetheless a number of delays in receiving reports and in some cases reports never provided made it impossible to publish full session reports in paper format. According to the project manager the website functioned really well reaching an unconfirmed 500,000 relevant hits (i.e. pages with GBF sessions or on how to organize a GBF rather than just on the home page). Unfortunately due to the web-site having been compromised by spammers and no funds or other means available to mend it, the evaluator has not been able to verify this information.

Another mechanism for disseminating information was the Consultative Network which was established but unfortunately never took off properly due to the low degree of participation of its members. It was therefore used primarily to alert individuals on upcoming sessions. The purpose of the network had initially been to get cross sectoral feedback regarding priority themes to be addressed during the workshop sessions.

Stakeholder participation: From the information retrieved from the session monitoring and evaluation reports an average of fifty four percent (54%) of the participants felt that all important stakeholders were represented at the different sessions leaving forty six percent (46%) replying no to this question and this approximate 50/50 split occurred in all but one of the meetings. The stakeholders most commonly cited as missing were governments (other than CBD NFPs), local officials and decision makers. This was followed by indigenous people/farmers/local population and end users of resources and various specialists (e.g. crop research institutes/foresters/wildlife specialists/lawyers/climate change). The business sector was also mentioned as missing in several sessions. It has been argued that some session themes, relating to PA management, etc., were not particularly relevant to business so their low participation level was not surprising however, it is assumed that the business sector was mainly reported missing in sessions where their contributions were deemed relevant.

Despite this fact it would seem from the interviews that the GBF was fairly successful in attracting the participation of the private sector. This was achieved partly by focusing some of the forum sessions directly on ways for the private sector to make positive contributions to biodiversity conservation and sustainable use and partly due to the existing (trusted) relations between IUCN and the private sector. Yet the positive development in the increasing amount of private sector involvement did not automatically result in their satisfaction with the GBF process. For example, one private sector stakeholder had the following to say about GBF:

“My first feeling was one of disappointment and that it (GBF) was not worth spending time on...it was good to have the discussion but the outcome was rather limited.” (Interviewee).

It is clear from conversations with stakeholders that the private sector representatives had limited time and few were able to devote a whole day to biodiversity. Although it made sense to involve the private sector the overall format of the GBF was perhaps ultimately not that conducive for private sector involvement.

“...if you want to be effective you need to be very practical or very specific and other stakeholders should be very clear about what their role is and how they contribute to the agenda” (Interviewee).

The Business and 2010 Biodiversity Challenge meeting organized in 2005 in London by CBD, IUCN, the Food and Rural Affairs UK, the Brazilian Ministry of Environment, the Brazilian Business Council and Insight Investment was mentioned as being a more serious effort to engage the private sector.

However some stakeholders pointed out that as time went on the private sector started to understand the importance of biodiversity better and this realization was translated into an interest in being involved e.g. BP realized that exploration of gas and oil was going to have an impact on biodiversity and saw GBF as a helpful mechanism in gaining understanding of important issues and processes.

A few stakeholders raised the bigger issue as to whether the private sector could really see an investment opportunity from being involved in the CBD unlike for example the United Nations Framework Convention on Climate Change (UNFCCC) and that problems with private sector involvement in CBD are tied to the CBD process and the way it is being managed which provided no real investment potential.

One interviewee from the private sector described the relationship between the private sector and CBD as follows:

“CBD is not on the agenda of businesses it is the biodiversity agenda (that the private sector is interested in). The representation of the business sector at the CBD is very small, many don’t see the value. They have their own channels and work for example in direct partnership with certain NGOs. This is much more practical than many of the issues that are on the agenda of CBD.”(Interviewee)

Another stakeholder added to this view:

“CBD has become immensely bureaucratic the things which are negotiated, the endless papers and things like that so that those who want to try and make change and do biodiversity conservation see it as only one of the many ways of doing that out in the world. They work making change through other kinds of fora such as private sector incorporation and action on the ground– whereas when it started (CBD) it was the only place that people were talking about the issues internationally that is not the case anymore”(Interviewee)

From the interviews it also emerged that the relationship between the private sector and some of the other groups in the GBF was at times contrived and led to difficulties in having a free debate.

“At least one or two people did not focus on the issue and just attacked the company and brought up accusations and this was their mission for the event. This was annoying for the people who had invited me. I gave a presentation on what the company was trying to achieve. If you allow these things to happen you are not clear on what you want to achieve.”(Interviewee)

Another stakeholder offered a different perspective:

“...the private sector wanted more of a say and that created conflict. I think the GBF involving the private sector was a powerful ally but at the same time it was a very powerful enemy for the communities. In a way it was a success but it also meant the end of certain community groups participation in the GBF. The weaker members of GBF quit. They saw it as an attempt to give business access to information and knowledge and green wash the ugly background activities that these companies were doing. If you see members of the GBF such as mining companies and BP and everybody was remembering Nigeria and oil spills and Ecuador and what was being done to the Huaorani people– it was a hard thing to have these companies as your partners – when you thought about the human right abuses that they are doing. It was a wrong move (to involve the private sector) in my view we need a different mechanism to involve business you cannot sleep with your executioner”. (Interviewee)

The GBF project was centered around public awareness and participation in the biodiversity negotiation process. It would seem that the GBF formula which provided a recognized and regularly organized forum where familiar faces (or “another gathering of the clan”) were mixed with new constituencies worked well even if it was not perfect. The merit of this lies to a large extent with IUCN who managed to attract a wide array of stakeholders to the fora without branding the meetings as IUCN events.

Sustainability and Catalytic Role of the GBF

Financial Sustainability: The significant amount of co-financing leveraged for this project (1 GEF- 3 Co-Finance) when and as themes and locations for GBF meetings were decided is evidence of a broad buy in and relevance of the project beyond the GEF. The Executing Agency provided a large amount of in-kind co-financing and all fora achieved a high level of co-financing from both conveners and participants, who paid a registration fee.

The nature of this type of project will always to some extent rely on a financial input from interested parties. There are concrete examples of continued willingness to fund and replicate GBF type activities. For example, UNEP convened a one day High-Level discussion session focusing on key issues of relevance to take forward the CBD agenda, titled "Biodiversity Forum" in 2008 in conjunction with the COP9 held in Bonn. This 'Forum' was organized in close partnership with the Secretariat of the CBD and other key stakeholders, such as Countdown 2010¹⁹ and others. The 'Forum' aimed to provide a platform to discuss critical issues of cross-cutting nature that were relevant to the work of the CBD and to link them to global environmental debates and reiterate the need to mainstream conservation, sustainable use, equitable benefit sharing, financing and development issues. The expected outcomes included: providing strategic inputs into the High Level Segment discussions during COP 9, developing a long term plan for UNEP on biodiversity-related issues and providing inputs into the governance agenda on biodiversity.

Recently at the G8 meeting held in Kobe 24-28 May, 2008²⁰ the government of Japan committed itself to hold a global forum entitled the "Kobe Biodiversity Dialogue" in conjunction with the COP10 to be held in Japan 11-29 October 2010 in order to promote information exchange, dialogue, discussion, and collaboration among various stakeholders including governments, business sector, NGOs, researchers, and international organizations. The exact nature of this forum is still being conceptualised but there are indications that it will build logically on the GBF.

These two examples clearly point to the continued relevance and willingness to fund similar types of multi-stakeholder fora. The third phase of the GBF has proved that the concept is applicable to other international negotiation processes (e.g. Ramsar, UNCCD, WTO) than the CBD and some stakeholders seem to want to take a future forum this step further and not only discuss issues related to biodiversity. The climate change negotiations were mentioned as being less open and inclusive than other negotiation processes and a future forum could potentially play an important role in conjunction with this or other negotiation process.

Socio-Political Sustainability: A number of different opinions were expressed in this regard ranging from the fact that the GBF has had its day to the fact that it was still relevant but needed to be more focussed. Since the end of Phase III the Biodiversity Forum at COP9 and the other events mentioned in the previous section, demonstrate the socio-political will to continue this type of event. Whilst it is clear that today's environment is very different from when GBF was first formulated with a wealth of information and side events at COPs and other international processes now available the interviewees in the main felt that these were not a replacement for GBF. Specifically, some interviewees emphasised the continued need and niche for a GBF at the regional or national level which still lacks a biodiversity voice.

Suggestions for future GBF type fora included making them more science-oriented looking at the interface between science and policy, more objective and more tightly focused on particular/single issues and going really deep (e.g access and benefit sharing or biodiversity indicators).

Some interviewees, however, stated that GBF had become a victim of its own success both in terms of being more inclusive and mainstreaming multi-stakeholder fora. It was suggested that although one

¹⁹ Countdown 2010 is a network of active partners working together towards the 2010 biodiversity target. Each partner commits additional efforts to tackle the causes of biodiversity loss. The secretariat is hosted by IUCN.

²⁰ "Kobe Call for Action on Biodiversity", G8 Environment Minister's Meeting, 2008.

negotiation process varied from another most UN processes were nowadays more open and stakeholders such as NGOs and indigenous people were now treated as equal partners which eliminated the need for side events. It was also pointed out that multi-stakeholder fora were now mainstream and any future GBF should therefore be very carefully thought through and the format changed to ensure its continued relevance in a changed world.

“I participated in one meeting, in Brazil 2006 at the COP8, and by that time the whole big meeting looked just like a giant GBF. The actual formal negotiations had almost become like a side event and the main things that a lot of people were there for were the various multi-stakeholder fora e.g. the Equator Initiative²¹, GBF etc. – so no longer the only forum – GBF had won and became mainstream so the GBF as a single event became less important – returns from doing it were not as great as hitherto.” (Edited interview)

The Forest day organised by CIFOR in conjunction with Conference of Parties to the UNFCCC was mentioned as a similar type event which aims to assemble a broad range of stakeholders and generate vigorous debate and analytical dialogue of all the social, science, technological, human and political issues related to forests and climate. Other global action networks mentioned included the Marine Stewardship Council and the Forest Stewardship Council.

Institutional Sustainability: There is no evidence of formal decisions and recommendations taken at the CBD intergovernmental level as a result of this phase of the project. The project succeeded in broadening the CBD constituency. However, in the long term, concrete evidence of the results of the project will only be sustained if the institutional frameworks are further developed to ensure that GBF is embedded more explicitly into CBD or similar policy processes.

Environmental Sustainability: The concept of sustainability with regard to environmental parameters is not applicable in the context of this project. The project was intended primarily to broaden awareness of biodiversity issues and the CBD process. One of the project objectives was to leverage formal policy decisions and recommendations at the CBD which lead to ecological sustainability, but there is no evidence of this occurring in the third phase of this project.

Country Ownership/drivenness

This project did not originate from within the participating countries, and in this sense the project was not country-driven. As a global project, however, this criteria is less relevant, and the high demand for and willingness to host the various GBF fora are evidence of the relevance of the project to national and environmental agendas. Despite this fact, a few of the planned sessions had to be abandoned in North Africa/Central Africa and West Africa due to insufficient counterpart technical and/or financial commitment.

The third phase of the GBF emphasized regionalization of the GBF and was according to interviewees able to provide impetus into regional processes such as the Regional Strategy on Invasive Species for the Pacific. In addition, one stakeholder mentioned that the GBF in its third phase managed to translate some of the broader issues from international level negotiations into concrete and tangible concepts and solutions (e.g. what does sustainable use of biodiversity mean for Africa?).

In addition, the impressive amount of co-financing mobilised from as diverse organisations as for example African Centre for Technology Studies (ACTS) and the Regional Environment Centre for Central and Eastern Europe (REC) points to ownership at the regional level.

²¹ The Equator Initiative is a partnership that brings together the United Nations, governments, civil society, businesses, and grassroots organizations to build the capacity and raise the profile of local efforts to reduce poverty through the conservation and sustainable use of biodiversity.

Monitoring and Evaluation

According to the project document a monitoring and evaluation plan was developed in 1999 during phase II of the project. This plan was to be implemented under the guidance of the Steering Committee.

M&E design: The M&E plan outlined the goals, indicators, data sources and data collection methods and responsibilities. At each session of the GBF, participants, organizers and convenors were to be surveyed (orally and through the use of questionnaires); the impact of forum discussions on the CBD meetings was to be determined and the income generated and actual expenditures analysed. The M&E Plan sought answers to key questions such as “To what degree did each GBF Session assist policy making and implementation at all levels (international, national and regional)? No baseline information for the proposed outcomes, however, was provided in the original project document. Additionally a number of the indicators were neither specific nor measurable indicating lack of use of the SMART²² framework.

M&E Implementation: An independent Canadian based consultancy company which specialises in M&E assisted in collecting the data and processed it while IUCN wrote up the reports. It is unclear to the evaluator how many meetings were effectively monitored and evaluated. The evaluator had access to seven reports²³ from (2002-2003) which are clear and useful. However the reports were not used by project management or the Steering Committee for adaptive management because the project manager was swamped and “...just did not have the time to deal with them”.

No budget was foreseen for M&E activities apart from this terminal evaluation in the original project budget.

The lack of use of the M&E plan has significantly affected the projects ability to document impact and potentially improve performance of the project. A number of indicators have not been reported on in the PIR 2005-2006. This challenge is described in the following way in the PIR (2005-2006):

“qualitative assessment of higher level indicators such as extent to which the GBF meeting discussion, publications, and spin off initiatives contribute constructively to formal decisions and recommendations taken at the CBD intergovernmental level, and to effective national and regional implementation efforts is almost impossible to measure without significant pre-design and costing.

It is unclear why this challenge was not spotted earlier on as M&E were or should have been a high priority for this phase of the GBF. For example, the evaluation conducted in 2000 specifically recommended the ongoing use of the monitoring and evaluation plan.

In the terminal report the project manager describes the challenges with the M&E system as follows:

“As with previous phases, the popularity of the GBF and unanticipated opportunities created some significant management challenges for the project team. The project team overcame some of these challenges through partnerships with other organisations, which were generally positive. However, this “delegation”, also sometimes led to difficulties in obtaining the full range of information that are required to quantify results, particularly with respect to elements required to implementing the monitoring and evaluation plan elaborated under the previous project period. As a result, while the team is generally satisfied with the results of the project, it is no longer in a position to provide a comprehensive array of facts and figures to document its success²⁴”.

²² Specific, Measurable, Achievable and Attributable, Relevant and Realistic, Timebound, Timely, Trackable and Targeted (SMART).

²³ The reports covered GBF16-Hague; GBF Pacific, GBF17-Valencia; GBF Eastern Europe, GBF South Asia, GBF-CUBA, GBF18-Cancun.

²⁴ Draft Terminal Report, 24th August 2006.

Despite these major deficiencies in project design and implementation the project team complied with annual reporting (Progress Implementation Reports) and other UNEP M&E requirements such as the terminal report and self assessments which are as complete as they can be given the above mentioned challenges.

It is the evaluator's assessment that although the M&E system in place was not perfect (i.e. no baselines were established and indicators were not always specific and measurable) it could have contributed significantly to document the results and impacts of this project. This would have been particularly useful given the nature of the project which does not naturally lend itself to showing concrete results of the meetings held. This point was emphasised during the previous evaluation in 2000 and an M&E plan was made a precondition for future GEF funding. Despite the efforts that went into establishing an M&E plan and guidelines these were only used to some extent. Resources, both human and financial should have been earmarked to implement this plan and then apply the lessons learnt through a process of adaptive management.

Implementation Approach and UNEP Supervision and Backstopping

The project was executed by a small but experienced management team located at the global headquarters of the IUCN, Gland, Switzerland. IUCN was praised by GBF participants for its ability to bring a wide array of stakeholders together in the fora, in fact it is unlikely that the GBF could have functioned at all as a project without the experience and, most importantly, global network of the World Conservation Union (IUCN). However, the dilution - to other IUCN duties - and final disbanding of this team due to family commitments resulted in a lack of focus to complete the final activities of the project and this resulted in a 12 month delay in organising the final two regional activities that needed to be completed before project closure. In addition, it was decided to extend the project beyond its existing completion date in order to convene a last session on the margins of the CBD COP8 in March 2006 Curitiba, Brazil. This led to a further 6 months extension of the project. IUCN had the capacity to execute the project but perhaps did not adequately consider the demands on the secretariat in terms of management and preparation of the sessions.

“The experience with the GBF has demonstrated that any organisation that undertakes a multi-stakeholder dialogue process needs to recognize that such processes are significant management challenges that require a highly professional approach (i.e. beyond “event management”) to lead to clear outcomes”. (Terminal report)

In addition, despite the fact that IUCN had provided administrative, managerial and leadership support to the GBF since 1994 the institutional and programmatic value of the GBF for IUCN was sometimes mentioned as being unclear. Some stakeholders felt that the GBF was clearly seen as an IUCN event externally but as a non-IUCN event internally and this led to ownership problems²⁵.

Additionally, most of the work was described as being down to IUCN alone with the partners primarily participating through the Steering Committee. Compared to the roles foreseen in the project document for many of the partners (e.g. UNEP, UNDP, World Bank) they played a limited role. Overall no major problems were mentioned with respect to the collaboration between project partners but there were indications that IUCN felt that the CBD Secretariat could have played a more supportive role in line with that of the Ramsar Secretariat.

The funds to undertake the extra sessions came from savings made by not implementing the GBF communication strategy which was seen to be lower priority than initially anticipated. According to the progress reports, the GBF Steering Committee decided that the decreasing attention to biodiversity by the world community was a higher priority than developing a communication strategy and the

²⁵ Personal comment.

funds for this activity were redirected to supporting additional GBF sessions to increase communications on biodiversity outside the CBD community.

Other changes from the project document included the disbanding of The Consultative Network. The network was operational from 2003 however was quickly disbanded due to underutilisation.

During these changes in project implementation the project Task Manager maintained close communications with the Executing Agency (IUCN) – which allowed for the adaptive management principles to be introduced with the aim of maximising project impact in a changing implementation environment.

At UNEP's side Task Management responsibility was passed to the office responsible for Biodiversity Enabling Activities in Nairobi in 2004. This Task Manager then transferred to new duties (biosafety) in Geneva in April 2005 and it was decided that responsibility for the final stages of GBF-III could also move to Geneva in order to avoid a third change of TM just before project closure. UNEP, as the implementing agency, was responsible for oversight of the project. UNEP provided support through the project development and approval process, including facilitating communication between the GEF-Secretariat and the project development team.

All information collected during the evaluation indicates that UNEP played a sufficient albeit removed role throughout the project. Annual Project Implementation Reports were provided to the GEF and the project met all requirements in terms of financial standards and progress reporting to UNEP. The collaboration was described as good in terms of consultation but in terms of working together UNEP was described as “passive”.

The Steering Committee met twice in 2002 and 2003. According to the Task Manager e-consultations took place in conjunction with each of the Fora held between 2003-2006²⁶. Nevertheless a decline in the effectiveness of the Steering Committee was reported and this was in part linked to the overall decline in quality of the management of the project. Given the considerable extension of this project and that the SC did not meet between 2003 and 2006 this activity can therefore only be said to have been partially carried out.

There was a significant delay in organising this terminal evaluation which took place approximately two years after the project finished. Although there are potential benefits to the evaluation taking place at this time, with this particular evaluation this timeframe proved to be a constraint as project staff had moved on to other duties, the web-site was non functioning (so a lot of material was no longer available) and some stakeholders felt that their participation in the GBF lay too far back for them to contribute to the evaluation. This led to further delays during the evaluation.

Financial Planning

A third party conducted an audit (as required in the project document) and no irregularities in the project's financial records have been recorded. Based on the evidence gathered in this evaluation the evaluator concurs with this conclusion.

The major variances noted with respect to the planned budget related to the extra Global Biodiversity Session held in Curitiba, Brazil 2006; reporting and publication costs and the abandonment of the communication strategy. All these changes to the original budget were communicated in the progress reports. In addition, the project implementation did not progress as rapidly as expected resulting in an 18 month no-cost extension of the project. The overall variance with the original budget was 1,643 USD. Table 3 shows the project's actual expenditures of GEF funds broken down as required by UNEP for reporting.

²⁶ The evaluator has not been able to verify this.

Table 3 GEF expenditures (UNEP format)

Description	Total Budget USD	Revised Budget 2005 USD	Total expenditure 2002 USD	Total expenditure 2003 USD	Total expenditure 2004 USD (Jan-March)	Total expenditure 2004 USD (April-Dec)	Total expenditure 2005 (Jan-Sept)	Total expenditure 2005 USD (Oct-June)	Total expenditure	Budget Balance vs. Expenditure USD
Project Personnel component	245,000	240,614	100,000	87,245,14	-	13,596,07	19,021,70	20,487,60	240,350,51	- 263,49
Training Component	598,000	671,386	235,561,38	261,977,31	6,527	121,493,78	38,108,97	9,550,54	673,219,88	1,833,88
Miscellaneous Component	153,500	84,500	9,310,74	33,231,52	-	40,540,38	1,462,48	27,65	84,572,77	72,77
Grand Total	996,500	996,500	344,872,12	382,453,96	6,527	175,630,23	58,593,15	30,066,79	998,143,16	1,643,16

The financial reporting was described by UNEP as having been fairly in-time except for when the project staff changed. According to the fund manager in IUCN the quarterly reporting went well and no problems were reported but at times IUCN struggled with the short time frame between when accounts were closed to when quarterly reports were due.

The project received US \$3,445,281.00 in co-financing which is US \$339,781 more than originally foreseen in the project document. The GBF generated its co-financing for each GBF meeting as they were decided and developed. The table below lays out the costs covered from sources other than the core GBF budget and indicates a very high degree of broad buy in.

Table X. GBF Project co-Financing

	IA own Financing (mill US\$)		Government (mill US\$)		Other* (mill US\$)		Total		Total Disbursement (mill US\$)
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	
-Grants									
- Loans/Concessional (compared to market rate)	0	0	0	0	0	0	0	0	0
- Credits	0	0	0	0	0	0	0	0	0
- Equity investments	0	0	0	0	0	0	0	0	0
- In-kind support	500,000 200,000				2,305,5000	2,564,138,0 0	3,005,500	2,564,138,00	2,564,138,00
- Other (cash)						881,143,00	0	881,143,00	881,143,00
Totals								3,445,281,00	3,445,281,00

V. CONCLUSION AND RATINGS

As with the evaluation undertaken in 2000 significant differences in people's perceptions of the role and purpose of the Forum was encountered. Likewise there was also a wide range of perceptions as to the GBFs effectiveness, ranging from ecstatic approval to uncertainty of its value.

The evaluation concludes that the GBF as a process has achieved many of its immediate objectives and has successfully followed up on a number of recommendations from the 2000 evaluation such as widening the range of stakeholders to engaging the private and business sectors, regionalisation of the GBF and working with other conventions. However the project has not been able to quantify its results through measurable indicators by applying the monitoring and evaluation processes in place. This is especially the case for longer term tracking of the GBF influence that extended over a number of years. This reflects a lack of clarity in the project document as to how the emphasis on dialogue, increased understanding and capacity can be tied to shared action.

The inability of the project to document its impact is also a result of high demands on a two person run GBF secretariat and in later days staff turnover which eventually led to non compliance with the M&E plan in place. It is evident that these factors also posed significant constraints for this evaluation.

While demands for the GBF sessions remain high it was argued that the GBF had become redundant since Multi-Stakeholder Dialogues now abound. Where the GBF was once an innovative multi-stakeholder process in the CBD, the niche for open-ended dialogue and technical advice is seen by some stakeholders as saturated. This was expressed in an increasing number of "conflicts" over dates with other organized events, notably NGO strategy meetings, indigenous people's events and other more technical meetings. While efforts to complement these other meetings worked to some extent, it was clear that the GBF by the end of its third phase was of lower added value. The number of participants to CBD COP GBFs began decreasing and delegates were showing reluctance to participate in more meetings.

Nevertheless, the GBF principles are still being applied even after the last activities of Phase III of the GBF had been carried out. This was the case at the CBD COP9 where a high level biodiversity Forum was organised. Similarly, a dialogue forum is being organised for COP10. Both initiatives indicate a continued relevance of the forum and its approach.

Most stakeholders interviewed agreed that there is a niche for GBF in relation to other convention processes such as Ramsar and UNCCD, WTO where the added value of GBF remained high as it was the only major event that supplied an open multi-stakeholder approach to debate issues of particular concern to the Parties. There was also continued support for GBF to play a role at the regional level where it was felt that the GBF could fulfil a significant need to raise understanding, create relationships and coordinate action on cross-sectoral issues. Furthermore, there seems to be a demand for a more science oriented forum which focuses on particular issues that are of concern.

In summary the GBF-III continued to play an important role in terms of broadening the CBD constituency and creating a space for free debate on issues that were difficult to tackle. In line with the expansion of the side events and the maturation of the convention process donors and certain stakeholders started to show signs of fatigue. However, the demand for the GBF remains. If it is to continue however, a future GBF would have to evolve and diversify and should adopt a more adaptive approach possibly involving problem solving, consensus-building, promotion of action and setting agenda's depending on the nature of the issues. There is also a need to adapt and extend how the Forum conveys its results to ensure that they are properly embedded in policy processes or action on the ground.

Table 4 shows the evaluators ratings of the project in conjunction with the evaluator’s summary comments.

Table 4 OVERALL RATINGS TABLE

Criterion	Evaluator’s Summary Comments	Evaluator’s Rating
A. Attainment of project objectives and results (overall rating) Sub criteria (below)	From the relatively limited amount of information made available to the evaluator it seems that the project was successful in providing an informal mechanism which strengthened debate and analysis of CBD implementation. The project also successfully broadened the CBD constituency and did foster a conducive environment for partnerships to be catalyzed. However, there is no evidence that that the project contributed to formal decisions and recommendations taken at the CBD level and there is only anecdotal evidence of partnerships being formed.	MS
A. 1. Effectiveness	The project mostly achieved its objectives but struggled to achieve a number of indicators. The evaluation demonstrated that a space for open dialogue had been created, that the constituency had been broadened and there was anecdotal evidence of partnerships being established. There was however little evidence of the project contributing to formal decisions and recommendations at the CBD intergovernmental level.	MS
A. 2. Relevance	The project was relevant and broke ground by having a multi-stakeholder dialogue meeting in association with intergovernmental negotiations. Signs of fatigue became apparent in the last phase and this phase should possibly have adapted better to changes in the Convention. However, there are clear signs that the principles of the GBF are being replicated and most stakeholders feel that there is still a niche for the GBF although it would have to be redesigned to match current needs.	MS
A. 3. Efficiency	The project was efficient. IUCN absorbed a large proportion of the costs by running a small and dedicated secretariat. The project also managed to leverage a large amount of co-financing (1USD GEF -3 co-financing). The secretariat was unfortunately not sustained which led to a no-cost extension of the project and delays in closing the project down.	MS
B. Sustainability of Project outcomes (overall rating) Sub criteria (below)		U
B. 1. Financial	The project is being replicated in subsequent related initiatives at the international level. It is unlikely that GEF will provide follow-on financial support.	ML

Criterion	Evaluator's Summary Comments	Evaluator's Rating
B. 2. Socio Political	There is overall agreement that the project left a gap in terms of providing a space for debating critical and difficult biodiversity issues. Many stakeholders still see a niche for GBF at regional/national level discussing more specific issues. Nevertheless, it is also recognized that the continuation of GBF will require significant changes to the format in order to sustain its relevance.	ML
B. 3. Institutional framework and governance	<i>Institutional Sustainability:</i> There is no evidence of formal decisions and recommendations taken at the CBD intergovernmental level as a result of this phase of the project. The project succeeded in broadening the CBD constituency. However, in the long term, concrete evidence of the results of the project will only be sustained if the institutional frameworks are further developed to ensure that GBF is embedded more explicitly into CBD or similar policy processes.	U
B. 4. Environmental	<i>Environmental Sustainability:</i> The concept of sustainability with regard to environmental parameters is not applicable in the context of this project. The project was intended primarily to broaden awareness of biodiversity issues and the CBD process. One of the project objectives was to leverage formal policy decisions and recommendations at the CBD which lead to ecological sustainability, but there is no evidence of this occurring in the third phase of this project.	N.A.
C. Achievement of outputs and activities	The project achieved almost all outputs and activities, even though some took longer than anticipated to complete.	S
D. Monitoring and Evaluation (overall rating) Sub criteria (below)	(See below)	MU
D. 1. M&E Design	The project document includes a Monitoring and Evaluation Plan, but lacks baselines.	MS
D. 2. M&E Plan Implementation (use for adaptive management)	Despite having a M&E Plan and making some efforts to implement it the project failed in documenting the achievements of the project and using this information to make management decisions. However, the project successfully submitted Project Implementation Reports (PIR) to the GEF and the project completed a terminal report.	MU
D. 3. Budgeting and Funding for M&E activities	The project document did not include a budget for monitoring and evaluation.	U
E. Catalytic Role	The project had no specific replication plan. There is evidence that the project was relevant and similar Fora being replicated (COP9 and COP10)	S

Criterion	Evaluator's Summary Comments	Evaluator's Rating
F. Preparation and readiness	Project logic was not very clear (e.g. how the meetings would result in decisions taken at CBD or partnerships being catalyzed). There seems to have been a mismatch between expectations e.g. should the project merely highlight policy options or influence the CBD negotiation process.	MU
G. Country ownership / drivenness	The project was global and originated externally. Once the project was initiated there was strong interest at regional and country level in hosting and preparing meetings.	S
H. Stakeholders involvement	A wide range of stakeholders were involved in the project , and contributed to project results. The objective of broadening the CBD constituency was successfully achieved in this Phase and cited by multiple sources as one of the most valuable aspects of the project.	S
I. Financial planning	Despite not having a co-financing package at the time of the endorsement of the project. GBF successfully managed to raise the necessary funds once each meeting had been decided upon. Adaptive management was applied and project funds seem to have been appropriately spent and reported on leaving a balance of 1, 643 USD.	HS
J. Implementation approach	The project was delayed owing to break up of the IUCN GBF management team. This resulted in a lack of focus to complete the final activities of the project. The Steering Committee only met twice during the project period but was according to the project manager involved via e-mail. Adaptive management decisions were taken and UNEP was informed accordingly.	MS
K. UNEP Supervision and backstopping	UNEP-GEF provided support in the project development process but played a removed role once the project took off. There was consultation but not as much collaboration as foreseen in the project document. The project did not face any major threats to implementation that would have required significant intervention by UNEP-GEF. Whether as a result of the effectiveness of the project management team or of UNEP-GEF oversight or both, the project met all progress and financial reporting requirements.	MS

VI. LESSONS LEARNED AND RECOMMENDATIONS

1. The project design of the GBF was centred on dialogue and exploring and highlighting perspectives and policy options rather than generating consensus or concrete action. While emphasising dialogue provides an enabling framework to bring a range of perspectives, interests and experience to the same table, the impact of this approach is highly variable and difficult to measure and can lead to ineffectiveness if the increased understanding and capacity is not concretely tied to shared action. Future projects should adopt a more adaptive approach

possibly involving problem solving, consensus-building, promotion of action and setting agendas depending on the nature of the issues. Future projects that evolve around Multi Stakeholder Dialogues should also consider adapting and extending how they convey their results to ensure that they are properly embedded in policy processes or action on the ground. It is equally important that follow up with stakeholders is done to monitor if and how acquired knowledge and capacity is applied after such meetings.

2. While it was seen as desirable to continually attract newcomers to the GBF meetings in order to broaden the constituency and avoid assembling “the same old club” it compromised the quality of certain workshops and frustrated the “wise“ (i.e. those individuals who have been previously and consistently engaged in the process). Getting the balance between laymen and “experts” right is crucial for Multi Stakeholder Dialogues if they are to be credible and influence decision making. In order to overcome this dilemma future projects should consider giving attention to the topic of the meeting and structure it accordingly e.g. an expert panel approach might be useful in some instances where a high degree of technical information is essential, for other topics (e.g. which relate to indigenous people) a more participatory approach is appropriate.
3. Even the best Monitoring and Evaluation system will fail if the required human and economic resources to implement it are not in place. In the case of the GBF the team was overwhelmed with other work. Although attempts were made to carry out the M&E activities this did not lead to adaptive management and monitoring activities of the meetings were eventually abandoned making it impossible to measure the impact of the meetings or integrate lessons learnt. In order to ensure that M&E activities are given sufficient priority in project management M&E budgets and activities need to be integrated into the overall project budget and workplan; depending on the nature and size of the project, allocation of specific M&E staff should be considered.
4. The evaluation of the GBF faced significant challenges. The evaluation was conducted two years after the project ended and many of the staff had moved on. In addition, the GBF website was spammed and attempts by IUCN to collect the information and provide it to the evaluator failed. These constraints meant that the evaluator had no access to any of the documentation or specific products produced in preparation of the GBF meetings as well as the reports developed after each meeting. In order to conduct credible evaluations proper documentation and data is a necessity. While it can be argued that data are never perfect it is important to ensure that evaluators have easy access to a minimum of contact details and data. Providing project staff with a checklist of necessary documentation to carry out the evaluations can assist in gaining rapid feedback on the information resources available. If the necessary documentation is not available the evaluability of the project may be compromised and the cost-effectiveness of conducting the evaluation should be assessed.

Recommendations

Since the GBF project has been completed for over two years now, it is not necessary to make recommendations about what the project should or should not do in the future. Others who in the future may wish to develop GBFs or MSDs should consider the lessons from the GBF project.

**Terminal Evaluation of the UNEP GEF project
“Global Biodiversity Forum, Phase III: Multi-Stakeholder Support for the
Implementation of the Convention on Biological Diversity”
GF/2010-02-02**

1. PROJECT BACKGROUND AND OVERVIEW

Project rationale

The overall mission of the GBF was to support the ability of Parties and civil society to effectively implement the CBD by providing a multi-stakeholder forum to support and enhance the conservation of biodiversity, sustainable use of biological resources, and equitable sharing of benefits from the use of these resources. Stakeholders from developing countries, economies in transition and local and indigenous communities were given particular attention.

The GEF-supported Phase II of the GBF in order to establish the GBF as a mature product that is supported by an effective Steering Committee, Coordination System, Sustainability Study, Monitoring and Evaluation Plan, Guide for Organizers, and Internet site. The external evaluation of GEF-GBFII gave an overall evaluation of Very Good and that *“the process has shown considerable value and is developing as a major component of the CBD”*. The Evaluation also made a number of significant policy and programme relevant recommendations, and accurately states that the GBF *“...is at a critical stage where it needs to consider a number of strategic options for the future including widening the range of stakeholders, regionalisation, innovative connections into the COP process for the CBD and other Conventions, and maximising the effectiveness of workshops, and non COP outputs which effect outcomes of the Convention on Biological Diversity”*.

Building on the recommendations, the central thrust of this project was to: 1) support the implementation of the CBD by regionalizing the GBF as a multi-stakeholder forum aiming at broadening the constituency for biodiversity; 2) to increase quality consistency in GBF sessions, and in particular the outputs of the GBF; and 3) to more effectively engage the private sector and other biodiversity-related conventions on key biodiversity issues in support of CBD implementation.

The main objectives were stated as:

1. Through the GBF to provide an informal mechanism where CBD Parties and major stakeholder groups can explore and strengthen analysis and debate the central issues around CBD implementation.
2. To expand the CBD constituency to foster broader involvement and commitment of independent, public and business sector partners in actively supporting and assessing CBD implementation.
3. To catalyze new cooperative partnerships and initiatives among CBD Parties, among different sectors, and stakeholder groups at global, regional and national levels.

Relevance to GEF Programmes

This project falls under all four Operational Programs under the biodiversity focal area by dealing in activities related to Arid and Semi-Arid Zone Ecosystems - OP 1, activities which focus on the conservation and sustainable use of endemic biodiversity in dry land ecosystems; Coastal, Marine, and Freshwater Ecosystems - OP 2, activities which concentrate on the conservation and sustainable use of biodiversity in coastal, wetland, mangrove, estuarine, marine, and freshwater ecosystems; Forest Ecosystems - OP 3, activities which focus on forest ecosystems in protected areas and increasingly in landscapes as a key to the conservation, sustainable use and equitable sharing of benefits from biodiversity and Mountain Ecosystems - OP 4, activities that seek to establish sustainable land use practices on mountain slopes in order to protect representative habitats and strengthen the network of conservation areas in the alpine, mountain, grassland, montane forest zones and freshwater ecosystems.

The GEF as the funding mechanism for the CBD, and based on the outcomes of the pilot phase and second phase of the GBF, which engaged over 3,000 individuals from more than 110 countries, the strategy for the third phase of the GBF was to more effectively target GBF meetings and outcomes on the regional and national implementation of the CBD and to focus especially on areas that have been identified by the CBD COP as particularly important in supporting national priorities, action plans and programs, including areas in which GEF support has been recommended by the COP.

Executing Arrangements

The Executing Agencies were a consortium of institutions closely involved in the CBD process. This consortium included: World Resources Institute (WRI), United Nations Environment Programme (UNEP), the Indigenous Peoples Biodiversity Network (IPBN), Secretariat to the Convention on Biological Diversity, Bureau to the Ramsar Convention, World Wide Fund for Nature (WWF), and Global Environment Facility (GEF). In addition, a number of other institutions were involved as executants of GBF sessions on a session by session basis.

Project Activities

The initial project duration was 43 months starting March 2002, ending September 2005. A further revision to accommodate on-going and incomplete activities extended the duration of the project for 48 months to March 2006

The project had seven activities:

- 1) To convene 3 formal meetings of the GBF Steering Committee (at the beginning of the project, about one year into it and close to the end of the project);
- 2) To organize and convene a series of at least 9 meetings over the next 2 years (3 global and 6 regional sessions of the GBF).
- 3) Financial assistance packages sought and provided to participants from developing countries and countries with economies in transition
- 4) Produce and disseminate widely approximately 9 associated reports and other publications (practical tools), and maintain a GBF Internet Site that would post announcements for and results from GBF sessions, and provide linkages to relevant institutions.
- 5) The GBF Consultative Network fully established to encourage input from the wider biodiversity community

- 6) The development and implementation of a communications strategy for the GBF as a whole, and then for each individual GBF session and workshop;
- 7) Provide Project Management and Coordination

Project Outputs were stated as:

1. Greater stakeholder participation through at least 9 meetings of the GBF prepared and held at global and regional levels.
2. New partnerships for implementation of the CBD and of other biodiversity-related conventions (COP decisions and programmes of work) are facilitated within/between sectors of society.
3. Synergies between biodiversity-related processes are actively promoted by the GBF.
4. Regional coordination, initiatives and input into the CBD implementation process are facilitated.
5. Gaps are filled in information and understanding of the key biodiversity issues and of how to participate in the CBD and other biodiversity-related conventions.
6. The CBD process is informed by a diversity of technical experiences and perspectives from different sectors.

Budget

Grand total of GEF Budget US \$988,144

TERMS OF REFERENCE FOR THE EVALUATION

1. Objective and Scope of the Evaluation

The objective of this terminal evaluation is to examine the extent and magnitude of any project impacts to date and determine the likelihood of future impacts. The evaluation will also assess project performance and the implementation of planned project activities and planned outputs against actual results. The evaluation will focus on the following main questions:

1. Did the GBF provide an informal mechanism where CBD Parties and major stakeholder groups could explore and strengthen analyses and debate the central issues around CBD implementation?
2. Did the GBF expand the CBD constituency and foster broader active involvement and commitment of independent, public and business sector partners in supporting and assessing CBD implementation?
3. Did the GBF catalyze new cooperative partnerships and initiatives among CBD Parties, among different sectors, and stakeholder groups at global, regional and national levels?

4. Methods

This terminal evaluation will be conducted as an in-depth evaluation using a participatory approach whereby the UNEP/DGEF Task Manager, key representatives of the executing agencies and other relevant staff are kept informed and consulted throughout the evaluation. The consultant will liaise with the UNEP/EOU and the UNEP/DGEF Task Manager on any logistic and/or methodological issues to properly conduct the review in as independent a way as possible, given the circumstances and resources offered. The draft report will be circulated to UNEP/DGEF Task Manager, key representatives of the executing agencies and the UNEP/EOU. Any comments or responses to the draft report will be sent to UNEP / EOU for collation and the consultant will be advised of any necessary or suggested revisions.

The findings of the evaluation will be based on the following:

1. A desk review of project documents including, but not limited to:
 - (a) The project documents, outputs, monitoring reports (such as progress and financial reports to UNEP and GEF annual Project Implementation Review reports) and relevant correspondence.
 - (b) Notes from the Steering Group meetings.
 - (c) Other project-related material produced by the project staff or partners.
 - (d) Relevant material published on the web.
2. Interviews with project management and technical support including:
World Conservation Union (IUCN), World Resources Institute (WRI), United Nations Environment Programme (UNEP), the Indigenous Peoples Biodiversity Network (IPBN), Secretariat to the Convention on Biological Diversity (SCBD), Bureau to the Ramsar Convention, World Wide Fund for Nature (WWF), and Global Environment Facility (GEF), plus a number of other institutions involved as executants of GBF sessions
3. Interviews and Telephone interviews with intended users for the project outputs and other stakeholders involved with this project, including in the participating countries and international bodies. The Consultant shall determine whether to seek additional

information and opinions from representatives of donor agencies and other organisations. As appropriate, these interviews could be combined with an email questionnaire.

4. Interviews with the UNEP/DGEF project task manager and Fund Management Officer, and other relevant staff in UNEP dealing with Biodiversity activities as necessary. The Consultant shall also gain broader perspectives from discussions with relevant GEF Secretariat staff.

Key Evaluation principles.

In attempting to evaluate any outcomes and impacts that the project may have achieved, evaluators should remember that the project's performance should be assessed by considering the difference between the answers to two simple questions "*what happened?*" and "*what would have happened anyway?*". These questions imply that there should be consideration of the baseline conditions and trends in relation to the intended project outcomes and impacts. In addition it implies that there should be plausible evidence to **attribute** such outcomes and impacts **to the actions of the project**.

Sometimes, adequate information on baseline conditions and trends is lacking. In such cases this should be clearly highlighted by the evaluator, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.

5. Project Ratings

The success of project implementation will be rated on a scale from 'highly unsatisfactory' to 'highly satisfactory'. In particular the evaluation shall **assess and rate** the project with respect to the eleven categories defined below:²⁷

A. Attainment of objectives and planned results:

The evaluation should assess the extent to which the project's major relevant objectives were effectively and efficiently achieved or are expected to be achieved and their relevance.

- *Effectiveness*: Evaluate how, and to what extent, the stated project objectives have been met, taking into account the "achievement indicators". The analysis of outcomes achieved should include, *inter alia*, an assessment of the extent to which the project has directly or indirectly assisted policy- and decision-makers to apply information supplied by biodiversity indicators in their national planning and decision-making. In particular:
 - Evaluate the immediate impact of the project on cross-sectoral involvement and participation in national and regional biodiversity planning.
 - As far as possible, also assess the potential longer-term impacts of the project considering that the evaluation is taking place two years after project completion.
- *Relevance*: In retrospect, were the project's outcomes consistent with the focal areas/operational program strategies? Ascertain the nature and

²⁷ However, the views and comments expressed by the evaluator need not be restricted to these items.

significance of the contribution of the project outcomes to the CBD and and the wider portfolio of the GEF.

- *Efficiency*: Was the project cost effective? Was the project the least cost option? Was the project implementation delayed and if it was, then did that affect cost-effectiveness? Assess the contribution of cash and in-kind co-financing to project implementation and to what extent the project leveraged additional resources. Did the project build on earlier initiatives, did it make effective use of available scientific and / or technical information. Wherever possible, the evaluator should also compare the cost-time vs. outcomes relationship of the project with that of other similar projects.

B. Sustainability:

Sustainability is understood as the probability of continued long-term project-derived outcomes and impacts after the GEF project funding ends. The evaluation will identify and assess the key conditions or factors that contribute to or undermine the persistence of benefits after the project completion. Some of these factors might be outcomes of the project, e.g. stronger institutional capacities or better informed decision-making. Other factors will include contextual circumstances or developments that are not outcomes of the project but that are relevant to the sustainability of outcomes. The evaluation should ascertain to what extent follow-up work was initiated and how project outcomes will be sustained and enhanced over time.

Five aspects of sustainability should be addressed: financial, socio-political, institutional frameworks and governance, environmental (if applicable). The following questions provide guidance on the assessment of these aspects:

- *Financial resources*. Are there any financial risks that may jeopardize sustenance of project outcomes? What is the likelihood that financial and economic resources will not be available once the GEF assistance ends (resources can be from multiple sources, such as the public and private sectors, income generating activities, and trends that may indicate that it is likely that in future there will be adequate financial resources for sustaining project's outcomes)? To what extent are the outcomes of the project dependent on continued financial support?
- *Socio-political*: Are there any social or political risks that may jeopardize sustenance of project outcomes? What is the risk that the level of stakeholder ownership will be insufficient to allow for the project outcomes to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long term objectives of the project?
- *Institutional framework and governance*. To what extent is the sustenance of the outcomes of the project dependent on issues relating to institutional frameworks and governance? What is the likelihood that institutional and technical achievements, legal frameworks, policies and governance structures and processes will allow for, the project outcomes/benefits to be sustained? While responding to these questions consider if the required systems for accountability and transparency and the required technical know-how are in place.

- *Environmental.* Are there any environmental risks that can undermine the future flow of project environmental benefits? The TE should assess whether certain activities in the project area will pose a threat to the sustainability of the project outcomes. For example; construction of dam in a protected area could inundate a sizable area and thereby neutralize the biodiversity-related gains made by the project; or, a newly established pulp mill might jeopardise the viability of nearby protected forest areas by increasing logging pressures; or a vector control intervention may be made less effective by changes in climate and consequent alterations to the incidence and distribution of malarial mosquitoes. Note: this standard GEF sustainability factor may not be relevant in the context of the GBF.

C. Achievement of outputs and activities:

- Delivered outputs: Assessment of the project's success in producing each of the programmed outputs, both in quantity and quality as well as usefulness and timeliness.
- Assess the soundness and effectiveness of the methodologies used for developing the technical documents and related management options in the participating countries
- Assess to what extent the project outputs produced have the weight of scientific authority / credibility, necessary to influence policy and decision-makers, particularly at the national level.

D. Catalytic Role

Replication and catalysis. What examples are there of replication and catalytic outcomes? Replication approach, in the context of GEF projects, is defined as lessons and experiences coming out of the project that are replicated or scaled up in the design and implementation of other projects. Replication can have two aspects, replication proper (lessons and experiences are replicated in different geographic area) or scaling up (lessons and experiences are replicated within the same geographic area but funded by other sources). Specifically:

- Does the GBF concept have the potential for application in relation to other MEAs?

If no effects are identified, the evaluation will describe the catalytic or replication actions that the project carried out.

E. Assessment monitoring and evaluation systems.

The evaluation shall include an assessment of the quality, application and effectiveness of project monitoring and evaluation plans and tools, including an assessment of risk management based on the assumptions and risks identified in the project document. The Terminal Evaluation will assess whether the project met the minimum requirements for 'project design of M&E' and 'the application of the Project M&E plan' (see minimum requirements 1&2 in Annex 4). GEF projects must budget adequately for execution of the M&E plan, and provide adequate resources during implementation of the M&E plan. Project managers are also expected to use the information generated by the M&E system during project implementation to adapt and improve the project.

M&E during project implementation

- *M&E design.* Projects should have sound M&E plans to monitor results and track progress towards achieving project objectives. An M&E plan should include a baseline (including data, methodology, etc.), SMART indicators (see Annex 4) and data analysis systems, and evaluation studies at specific times to assess results. The time frame for various M&E activities and standards for outputs should have been specified.
- *M&E plan implementation.* A Terminal Evaluation should verify that: an M&E system was in place and facilitated timely tracking of results and progress towards projects objectives throughout the project implementation period (perhaps through use of a log frame or similar); annual project reports and Progress Implementation Review (PIR) reports were complete, accurate and with well justified ratings; that the information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs; and that projects had an M&E system in place with proper training for parties responsible for M&E activities.
- *Budgeting and Funding for M&E activities.* The terminal evaluation should determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.

F. Preparation and Readiness and ‘quality at entry

The evaluator will provide:

- A review and analysis of project development issues prior to GEF approval including an evaluation of the quality of the project review process (e.g., STAP review, GEF Sec review(s))
- An assessment of the quality of the project document at the time it was formally approved by the GEF. and
- any other factors that may have affected the ‘quality at entry’ of the project.

The following questions may guide the evaluation of *preparation readiness and ‘quality at entry’*:

Were the project’s objectives and components clear, practicable and feasible within its timeframe? Were the capacities of executing institution and counterparts properly considered when the project was designed? Were lessons from other relevant projects properly incorporated in the project design? Were the partnership arrangements properly identified in the project document and the roles and responsibilities negotiated prior to project implementation? Were counterpart resources (funding, staff, and facilities), enabling legislation, and adequate project management arrangements in place?

G. Country ownership / drivenness:

This is the relevance of the project to national development and environmental agendas, recipient country commitment, and regional and international agreements. The evaluation will:

- Assess the level of country ownership. Specifically, the evaluator should assess whether the project was effective in providing and communicating biodiversity information that catalyzed action in participating countries to improve decisions relating to the conservation and management of the focal ecosystem in each country.

- Assess the level of country commitment to the generation and use of biodiversity indicators for decision-making during and after the project, including in regional and international fora.

H. Stakeholder participation / public awareness:

This consists of three related and often overlapping processes: information dissemination, consultation, and “stakeholder” participation. Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or stake in the outcome of the GEF- financed project. The term also applies to those potentially adversely affected by a project. The evaluation will specifically:

- Assess the mechanisms put in place by the project for identification and engagement of stakeholders in each participating country and establish, in consultation with the stakeholders, whether this mechanism was successful, and identify its strengths and weaknesses.
- Assess the degree and effectiveness of collaboration/interactions between the various project partners and institutions during the course of implementation of the project.
- Assess the degree and effectiveness of any various public awareness activities that were undertaken during the course of implementation of the project.

I. Financial Planning

Evaluation of financial planning requires assessment of the quality and effectiveness of financial planning and control of financial resources throughout the project’s lifetime. Evaluation includes actual project costs by activities compared to budget (variances), financial management (including disbursement issues), and co- financing. The evaluation should:

- Assess the strength and utility of financial controls, including reporting, and planning to allow the project management to make informed decisions regarding the budget and allow for a proper and timely flow of funds for the payment of satisfactory project deliverables.
- Present the major findings from the financial audit if one has been conducted.
- Identify and verify the sources of co- financing as well as leveraged and associated financing (in co-operation with the IA and EA).
- Assess whether the project has applied appropriate standards of due diligence in the management of funds and financial audits.
- The evaluation should also include a breakdown of final actual costs and co-financing for the project prepared in consultation with the relevant UNON/DGEF Fund Management Officer of the project (table attached in Annex 1 Co-financing and leveraged resources).

J. Implementation approach:

This includes an analysis of the project’s management framework, adaptation to changing conditions (adaptive management), partnerships in implementation arrangements, changes in project design, and overall project management. The evaluation will:

- Ascertain to what extent the project implementation mechanisms outlined in the project document have been closely followed. In particular, assess the role of the various committees established and

whether the project document was clear and realistic to enable effective and efficient implementation, whether the project was executed according to the plan and how well the management was able to adapt to changes during the life of the project to enable the implementation of the project.

- Evaluate the effectiveness and efficiency and adaptability of project management and the supervision of project activities / project execution arrangements at all levels (1) policy decisions: Steering Group; (2) day to day project management in each of the executing agencies and.

K. UNEP Supervision and Backstopping

- Assess the effectiveness of supervision and administrative and financial support provided by UNEP/DGEF.
- Identify administrative, operational and/or technical problems and constraints that influenced the effective implementation of the project.

The *ratings will be presented in the form of a table*. Each of the eleven categories should be rated separately with **brief justifications** based on the findings of the main analysis. An overall rating for the project should also be given. The following rating system is to be applied:

HS	= Highly Satisfactory
S	= Satisfactory
MS	= Moderately Satisfactory
MU	= Moderately Unsatisfactory
U	= Unsatisfactory
HU	= Highly Unsatisfactory

6. Evaluation report format and review procedures

The report should be brief, to the point and easy to understand. It must explain; the purpose of the evaluation, exactly what was evaluated and the methods used. The report must highlight any methodological limitations, identify key concerns and present evidence-based findings, consequent conclusions, recommendations and lessons. The report should be presented in a way that makes the information accessible and comprehensible and include an executive summary that encapsulates the essence of the information contained in the report to facilitate dissemination and distillation of lessons.

The evaluation will rate the overall implementation success of the project and provide individual ratings of the eleven implementation aspects as described in Section 1 of this TOR. *The ratings will be presented in the format of a table with brief justifications based on the findings of the main analysis.*

Evidence, findings, conclusions and recommendations should be presented in a complete and balanced manner. Any dissident views in response to evaluation findings will be appended in an annex. The evaluation report shall be written in English, be of no more than 50 pages (excluding annexes), use numbered paragraphs and include:

- i) An **executive summary** (no more than 3 pages) providing a brief overview of the main conclusions and recommendations of the evaluation;
- ii) **Introduction and background** giving a brief overview of the evaluated project, for example, the objective and status of activities; The GEF

Monitoring and Evaluation Policy, 2006, requires that a TE report will provide summary information on when the evaluation took place; places visited; who was involved; the key questions; and, the methodology.

- iii) **Scope, objective and methods** presenting the evaluation's purpose, the evaluation criteria used and questions to be addressed;
- iv) **Project Performance and Impact** providing *factual evidence* relevant to the questions asked by the evaluator and interpretations of such evidence. This is the main substantive section of the report. The evaluator should provide a commentary and analysis on all eleven evaluation aspects (A – K above).
- v) **Conclusions and rating** of project implementation success giving the evaluator's concluding assessments and ratings of the project against given evaluation criteria and standards of performance. The conclusions should provide answers to questions about whether the project is considered good or bad, and whether the results are considered positive or negative. The ratings should be provided with a brief narrative comment in a table (see Annex 1);
- vi) **Lessons (to be) learned** presenting general conclusions from the standpoint of the design and implementation of the project, based on good practices and successes or problems and mistakes. Lessons should have the potential for wider application and use. All lessons should 'stand alone' and should:
 - Briefly describe the context from which they are derived
 - State or imply some prescriptive action;
 - Specify the contexts in which they may be applied (if possible, who when and where)
- vii) **Recommendations** suggesting *actionable* proposals for improvement of the current project. In general, Terminal Evaluations are likely to have very few (perhaps two or three) actionable recommendations.

Prior to each recommendation, the issue(s) or problem(s) to be addressed by the recommendation should be clearly stated.

A high quality recommendation is an actionable proposal that is:

1. Feasible to implement within the timeframe and resources available
2. Commensurate with the available capacities of project team and partners
3. Specific in terms of who would do what and when
4. Contains results-based language (i.e. a measurable performance target)
5. Includes a trade-off analysis, when its implementation may require utilizing significant resources that would otherwise be used for other project purposes.

- viii) **Annexes** may include additional material deemed relevant by the evaluator but must include:
 1. The Evaluation Terms of Reference,
 2. A list of interviewees, and evaluation timeline
 3. A list of documents reviewed / consulted
 4. Summary co-finance information and a statement of project expenditure by activity
 5. The expertise of the evaluation team. (brief CV).

TE reports will also include any response / comments from the project management team and/or the country focal point regarding the evaluation

findings or conclusions as an annex to the report, however, such will be appended to the report by UNEP EOU.

Examples of UNEP GEF Terminal Evaluation Reports are available at www.unep.org/eou

Review of the Draft Evaluation Report

Draft reports submitted to UNEP EOU are shared with the corresponding Programme or Project Officer and his or her supervisor for initial review and consultation. The DGEF staff and senior Executing Agency staff are allowed to comment on the draft evaluation report. They may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. The consultation also seeks feedback on the proposed recommendations. UNEP EOU collates all review comments and provides them to the evaluators for their consideration in preparing the final version of the report.

7. Submission of Final Terminal Evaluation Reports.

The final report shall be submitted in electronic form in MS Word format and should be sent to the following persons:

Segbedzi Norgbey, Chief,
UNEP Evaluation and Oversight Unit
P.O. Box 30552-00100
Nairobi, Kenya
Tel.: (254-20) 7624181
Fax: (254-20) 7623158
Email: segbedzi.norgbey@unep.org

With a copy to:

Maryam Niamir-Fuller, Director
UNEP/Division of GEF Coordination
P.O. Box 30552-00100
Nairobi, Kenya
Tel: + 254-20-7624686
Fax: + 254-20-623158/4042
Email: maryam.niamir-fuller@unep.org

David Duthie
UNEP-GEF Biosafety Unit
International Environment House (Room D601)
15, Chemin des Anemones, 1219 Geneva
Switzerland
Tel: + 41 22 917 8741
Mobile: + 41 79 368 5602
Fax: + 41 22 917 8070
Email: david.duthie@unep.ch

The Final evaluation will also be copied to the following GEF National Focal Points.

The final evaluation report will be published on the Evaluation and Oversight Unit's web-site www.unep.org/eou and may be printed in hard copy. Subsequently, the report will be sent to the GEF Office of Evaluation for their review, appraisal and inclusion on the GEF website.

8. Resources and schedule of the evaluation

This final evaluation will be undertaken by an international evaluator contracted by the Evaluation and Oversight Unit, UNEP. The contract for the evaluator will begin on 15 October 2008 and end on 31 January 2009 (2 months spread over 3.5 months). The evaluator will submit a draft report on 29 December 2008 to UNEP/EOU, the UNEP/DGEF Task Manager, and key representatives of the executing agencies. Any comments or responses to the draft report will be sent to UNEP / EOU for collation and the consultant will be advised of any necessary revisions. Comments to the final draft report will be sent to the consultant by 15 January 2009 after which, the consultant will submit the final report no later than 31 January 2009.

The evaluator will have an initial telephone briefing with EOU and UNEP/GEF.

In accordance with UNEP/GEF policy, all GEF projects are evaluated by independent evaluators contracted as consultants by the EOU. The evaluator should have the following qualifications:

The evaluator should not have been associated with the design and implementation of the project in a paid capacity. The evaluator will work under the overall supervision of the Chief, Evaluation and Oversight Unit, UNEP. The evaluator should be an international expert in biodiversity management or conservation with a sound understanding of biodiversity and climate change issues. The consultant should have the following minimum qualifications: (i) experience in international biodiversity and forest issues; (ii) experience with management and implementation of research projects and in particular with research targeted at policy-influence and decision-making; (iii) experience with project evaluation. Knowledge of UNEP programmes and GEF activities is desirable.. Fluency in oral and written English is a must.

9. Schedule Of Payment

Lump Sum Option

The evaluator will receive an initial payment of equivalent to the lump sum travel upon signing of the contract, 40% of the SSA fee upon submission of draft report and final payment of 60% upon satisfactory completion of work. The fee is payable under the individual SSAs of the evaluator and is inclusive of all expenses such as travel, accommodation and incidental expenses.

In case, the evaluator cannot provide the products in accordance with the TORs, the timeframe agreed, or his products are substandard, the payment to the evaluator could be withheld, until such a time the products are modified to meet UNEP's standard. In case the evaluator fails to submit a satisfactory final product to UNEP, the product prepared by the evaluator may not constitute the evaluation report.

OVERALL RATINGS TABLE

Criterion	Evaluator's Summary Comments	Evaluator's Rating
A. Attainment of project objectives and results (overall rating) Sub criteria (below)		
A. 1. Effectiveness		
A. 2. Relevance		
A. 3. Efficiency		
B. Sustainability of Project outcomes (overall rating) Sub criteria (below)		
B. 1. Financial		
B. 2. Socio Political		
B. 3. Institutional framework and governance		
B. 4. Environmental		
C. Achievement of outputs and activities		
D. Monitoring and Evaluation (overall rating) Sub criteria (below)		
D. 1. M&E Design		
D. 2. M&E Plan Implementation (use for adaptive management)		
D. 3. Budgeting and Funding for M&E activities		
E. Catalytic Role		
F. Preparation and readiness		
G. Country ownership / drivenness		
H. Stakeholders involvement		
I. Financial planning		
J. Implementation approach		
K. UNEP Supervision and backstopping		

RATING OF PROJECT OBJECTIVES AND RESULTS

Highly Satisfactory (HS): The project had no shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Satisfactory (S): The project had minor shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Moderately Satisfactory (MS): The project had moderate shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Moderately Unsatisfactory (MU): The project had significant shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Unsatisfactory (U) The project had major shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Highly Unsatisfactory (HU): The project had severe shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Please note: Relevance and effectiveness will be considered as critical criteria. The overall rating of the project for achievement of objectives and results **may not be higher** than the lowest rating on either of these two criteria. Thus, to have an overall satisfactory rating for outcomes a project must have at least satisfactory ratings on both relevance and effectiveness.

RATINGS ON SUSTAINABILITY

A. Sustainability will be understood as the probability of continued long-term outcomes and impacts after the GEF project funding ends. The Terminal evaluation will identify and assess the key conditions or factors that are likely to contribute or undermine the persistence of benefits after the project ends. Some of these factors might be outcomes of the project, i.e. stronger institutional capacities, legal frameworks, socio-economic incentives /or public awareness. Other factors will include contextual circumstances or developments that are not outcomes of the project but that are relevant to the sustainability of outcomes..

Rating system for sustainability sub-criteria

On each of the dimensions of sustainability of the project outcomes will be rated as follows.

Likely (L): There are no risks affecting this dimension of sustainability.

Moderately Likely (ML). There are moderate risks that affect this dimension of sustainability.

Moderately Unlikely (MU): There are significant risks that affect this dimension of sustainability

Unlikely (U): There are severe risks that affect this dimension of sustainability.

According to the GEF Office of Evaluation, all the risk dimensions of sustainability are deemed critical. Therefore, overall rating for sustainability will not be higher than the rating of the dimension with lowest ratings. For example, if a project has an Unlikely rating in any of the dimensions then its overall rating cannot be higher than Unlikely, regardless of whether higher ratings in other dimensions of sustainability produce a higher average.

RATINGS OF PROJECT M&E

Monitoring is a continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing project with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds. Evaluation is the systematic and objective assessment of an on-going or completed project, its design, implementation and results. Project evaluation may involve the definition of appropriate standards, the examination of performance against those standards, and an assessment of actual and expected results.

The Project monitoring and evaluation system will be rated on ‘M&E Design’, ‘M&E Plan Implementation’ and ‘Budgeting and Funding for M&E activities’ as follows:

- Highly Satisfactory (HS): There were no shortcomings in the project M&E system.
- Satisfactory(S): There were minor shortcomings in the project M&E system.
- Moderately Satisfactory (MS): There were moderate shortcomings in the project M&E system.
- Moderately Unsatisfactory (MU): There were significant shortcomings in the project M&E system.
- Unsatisfactory (U): There were major shortcomings in the project M&E system.
- Highly Unsatisfactory (HU): The Project had no M&E system.

“M&E plan implementation” will be considered a critical parameter for the overall assessment of the M&E system. The overall rating for the M&E systems will not be higher than the rating on “M&E plan implementation.”

All other ratings will be on the GEF six point scale.

GEF Performance Description	Alternative description on the same scale
HS = Highly Satisfactory	Excellent
S = Satisfactory	Well above average
MS = Moderately Satisfactory	Average
MU = Moderately Unsatisfactory	Below Average
U = Unsatisfactory	Poor
HU = Highly Unsatisfactory	Very poor (Appalling)

Co-financing and Leveraged Resources

Co-financing (basic data to be supplied to the consultant for verification)

Co financing (Type/Source)	IA own Financing (mill US\$)		Government (mill US\$)		Other* (mill US\$)		Total (mill US\$)		Total Disbursement (mill US\$)	
	Plann ed	Actual	Planned	Actual	Planne d	Actual	Plann ed	Actual	Planned	Actual
- Grants										
- Loans/Concessio nal (compared to market rate)										
- Credits										
- Equity investments										
- In-kind support										
- Other (*)										
-										
-										
-										
-										
-										
Totals										

* Other is referred to contributions mobilized for the project from other multilateral agencies, bilateral development cooperation agencies, NGOs, the private sector and beneficiaries.

Leveraged Resources

Leveraged resources are additional resources—beyond those committed to the project itself at the time of approval—that are mobilized later as a direct result of the project. Leveraged resources can be financial or in-kind and they may be from other donors, NGO's,

foundations, governments, communities or the private sector. Please briefly describe the resources the project has leveraged since inception and indicate how these resources are contributing to the project's ultimate objective.

Table showing final actual project expenditure by activity

			Disbursements and Audited Expenditures over Life of Project						
			2002	2003	2004	2005	2006	2007	Total
10	PROJECT PERSONNEL COMPONENT								
	1100	Project Personnel w/m							
	1101	Project Coordination (\$800/day)	72,000	117,474	(4,560)	19,022	20,488	(0)	203,936
	1199	Sub-total	72,000	117,474	-4,560	19,022	20,488		203,936
	1200	Consultants w/m							
	1201	Communication strategy	-	614	-	314			928
	1202	Consultative Network	-	11,885	3,115	-			15,000
	1299	Sub-total	-	12,498.57	3,115.41	313.76			15,928
	1999	Component Total	72,000	129,973	-1,445	19,335	20,488	0	219,863
30	TRAINING COMPONENT								
	3200	Group training (study tours, field trips, workshops, seminars, etc)							
	3201	Regional Sessions (15x\$2500x6)	44,700	181,476	79,528	38,809	(700)		344,513
	3202	Global Sessions (12x\$3000x3)	70,245	179,368	40,244	10,000	7,907	(8,357)	307,764
	3299	Sub-total	114,944	360,844	119,772	48,809	7,207	-8,357	652,276
	3300	Meetings/conferences (give title)							
	3301	GBF Steering Committee	10,325	1,325	8,350	-			20,000
	3399	Sub-total	10,325	1,325	8,350	0			20,000

3999	Component Total	125,269	362,169	128,122	48,809	7,207	-8,357	672,277
50	MISCELLANEOUS COMPONENT							
5200	Reporting costs (publications, maps, newsletters, printing, etc)							
5201	GBF reports (9x\$10,000)	-	21,794	26,893	-			48,686
5202	GBF background papers (3 x 9 x \$2000)	6,734	2,546	5,721	-			15,000
5299	Sub-total	6,734	24,339	32,614	0			63,687
5300	Sundry (communications, postage, freight, clearance charges, etc)							
5301	GBF Announcements (9x\$500)	381	3,366	753	-			4,500
5302	GBF Internet site	1,515	6,206.88	7,173	1,462	28		16,358
5399	Sub-total	1,896	9,573	7,926	1,462	28		20,858
5999	Component Total	8,630	33,912	40,540	1,462	28	-	84,545
99	GRAND TOTAL	205,900	526,054	167,217	69,607	27,723	(8,357)	988,144
	GEF approved budget							996,500
	Unspent Funds							8,356
	Yearly Audited Expenditures	344,872	382,454	182,158	58,593	30,066		998,143
	Variance	(138,973)	143,600	(14,941)	11,014	(2,343)		(1,643)

Review of the Draft Report

Draft reports submitted to UNEP EOU are shared with the corresponding Programme or Project Officer and his or her supervisor for initial review and consultation. The DGEF staff and senior Executing Agency staff provide comments on the draft evaluation report. They may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. The consultation also seeks agreement on the findings and recommendations. UNEP EOU collates the review comments and provides them to the evaluators for their consideration in preparing the final version of the report. General comments on the draft report with respect to compliance with these TOR are shared with the reviewer.

Quality Assessment of the Evaluation Report

All UNEP GEF Mid Term Reports are subject to quality assessments by UNEP EOU. These apply GEF Office of Evaluation quality assessment and are used as a tool for providing structured feedback to the evaluator.

The quality of the draft evaluation report is assessed and rated against the following criteria:

GEF Report Quality Criteria	UNEP EOU Assessment	Rating
A. Did the report present an assessment of relevant outcomes and achievement of project objectives in the context of the focal area program indicators if applicable?		
B. Was the report consistent and the evidence complete and convincing and were the ratings substantiated when used?		
C. Did the report present a sound assessment of sustainability of outcomes?		
D. Were the lessons and recommendations supported by the evidence presented?		
E. Did the report include the actual project costs (total and per activity) and actual co-financing used?		
F. Did the report include an assessment of the quality of the project M&E system and its use for project management?		
UNEP EOU additional Report Quality Criteria	UNEP EOU Assessment	Rating
G. Quality of the lessons: Were lessons readily applicable in other contexts? Did they suggest prescriptive action?		
H. Quality of the recommendations: Did recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?'). Can they be implemented? Did the recommendations specify a goal and an associated performance indicator?		
I. Was the report well written? (clear English language and grammar)		
J. Did the report structure follow EOU guidelines, were all requested Annexes included?		
K. Were all evaluation aspects specified in the TORs adequately addressed?		
L. Was the report delivered in a timely manner		

**GEF Quality of the MTE report = 0.3*(A + B) +
0.1*(C+D+E+F)**

**EOU assessment of MTE report = 0.3*(G + H) +
0.1*(I+J+K+L)**

**Combined quality Rating = (2* 'GEF EO' rating + EOU
rating)/3**

The Totals are rounded and converted to the scale of HS to HU

Rating system for quality of terminal evaluation reports

A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1, and unable to assess = 0.

GEF Minimum requirements for M&E

Minimum Requirement 1: Project Design of M&E²⁸

All projects must include a concrete and fully budgeted monitoring and evaluation plan by the time of Work Program entry (full-sized projects) or CEO approval (medium-sized projects). This plan must contain at a minimum:

- SMART (see below) indicators for project implementation, or, if no indicators are identified, an alternative plan for monitoring that will deliver reliable and valid information to management
- SMART indicators for results (outcomes and, if applicable, impacts), and, where appropriate, corporate-level indicators
- A project baseline, with:
 - a description of the problem to address
 - indicator data
 - or, if major baseline indicators are not identified, an alternative plan for addressing this within one year of implementation
- An M&E Plan with identification of reviews and evaluations which will be undertaken, such as mid-term reviews or evaluations of activities
- An organizational setup and budgets for monitoring and evaluation.

²⁸ <http://gefweb.org/MonitoringandEvaluation/MEPoliciesProcedures/MEPTools/meptstandards.html>

Minimum Requirement 2: Application of Project M&E

- Project monitoring and supervision will include implementation of the M&E plan, comprising:
- Use of SMART indicators for implementation (or provision of a reasonable explanation if not used)
- Use of SMART indicators for results (or provision of a reasonable explanation if not used)
- Fully established baseline for the project and data compiled to review progress
- Evaluations are undertaken as planned
- Operational organizational setup for M&E and budgets spent as planned.

SMART INDICATORS GEF projects and programs should monitor using relevant performance indicators. The monitoring system should be “SMART”:

1. **Specific:** The system captures the essence of the desired result by clearly and directly relating to achieving an objective, and only that objective.
2. **Measurable:** The monitoring system and its indicators are unambiguously specified so that all parties agree on what the system covers and there are practical ways to measure the indicators and results.
3. **Achievable and Attributable:** The system identifies what changes are anticipated as a result of the intervention and whether the result(s) are realistic. Attribution requires that changes in the targeted developmental issue can be linked to the intervention.
4. **Relevant and Realistic:** The system establishes levels of performance that are likely to be achieved in a practical manner, and that reflect the expectations of stakeholders.
5. **Time-bound, Timely, Trackable, and Targeted:** The system allows progress to be tracked in a cost-effective manner at desired frequency for a set period, with clear identification of the particular stakeholder group to be impacted by the project or program.

List of intended additional recipients for the Terminal Evaluation (to be completed by the IA Task Manager)

Name	Affiliation	Email
Aaron Zazueta	GEF Evaluation Office	azazueta@thegef.org
	UNEP DGEF Portfolio Manager	

Annex II List of Activities Achieved

Activities	Indicators	Actual level achieved
Activity 1. Convene 2-3 meetings of the GBF Steering Committee. Support for the GBF coordination system responsible for coordinating all activities relating to the Forum will come from non-GEF funds	One formal meeting of the GBF Steering Committee held per year.	One meeting held April 2002. One meeting held in 2003. according to the project manager comment on proposed regional workshops by e-mail. Given the extension of this project this activity has only been partially met as from 2003 no meetings were held.
Activity 2. Prepare, announce organize and convene at least 9 sessions of the GBF: about 6 regional sessions and 3 global sessions	At least 9 sessions of the GBF organized and convened: 1 global session in conjunction with CBD-COP6; one global session in conjunction with a biodiversity related convention COP; one global session in conjunction with a biodiversity related international process (i.e. World Food Summit, Rio+10); and regional sessions held for the Pacific, Latin America, Asia, North Africa/Middle East and Eastern Europe). Specific products include background papers, reports of the GBF sessions including case studies, and recommendations for action on GBF themes.	14 rather than 9 sessions of the GBF were held. GBF were held in conjunction with three major environmental conventions Biodiversity, Ramsar and Desertification; 2 major regional conferences (Eastern Europe and Pacific), as well as during the 5 th Ministerial Conference of the World Trade Organisation. 5 global, 7 regional and 2 national sessions were organised and convened. Regional sessions were held in three new regions (Eastern Europe, Pacific, Caribbean). Efforts to organize regional sessions in North Africa/Central Africa and West Africa were unsuccessful due to insufficient counterpart commitment, either technically and/or financially, to ensure good quality GBF sessions. Further, the concept of an interregional session was tested in Cuba, with the aim to stimulate cross regional dialogue on dryland management. Two national sessions were held for Germany and India.

<p>Activity 3. Support the participation of developing country participants to the global sessions and regional sessions of the GBF.</p>	<p>At least 50% of GBF participants are from developing countries and economies in transition. Specific outputs resulting from this activity may include recommendations, technical input, partnerships possibilities on a host of issues that are based on broad stakeholder involvement, especially from developing countries and countries with economies in transition and that are likely to be of use to governments, the CBD and SBSTTA in their efforts to implement the objectives of CBD</p>	<p>1700 participants attended the GBF sessions in the third phase, Almost ¾ GBF participants 71% came from developing countries and 334 were supported by project funds. A large number of developing country participants were also supported by GBF session organisers using non-project funds (the amount for funds and number of participants are unavailable)</p>
	<p>More than 20 developing country participants are financially supported to participate in each session of GBF</p>	

<p>Activity 4. Produce and disseminate GBF reports(English, French, Spanish) assists with background papers and publications and maintain a GBF Internet site</p>	<p>Background papers produced and made available on the GBF Internet site at least one month before each GBF session.</p>	<p>During Phase III the GBF website became a central repository for for GBF themes are all GBF related documents. In particular when available workshop produced and made background papers, reports and participants presentations were posted in a timely manner on the GBF website. To help increase the quality and timeliness of reports, chief rapporteurs were engaged to each GBF session. Nonetheless a number of delays or non delivery of reports were encountered making it impossible to publish full session reports in paper format.</p>
	<p>2 GBF reports produced, translated into Spanish, French and distributed within 4 months of each session</p>	<p>During the project period a significant effort to use the web site for sessions management in particular regarding participant registration was made with very good results. Through its website the GBF was one of the first CBD related events to offer online registration and instant access to available information on GBF workshops. In addition, participant data (country, gender, sector representation) was collected during the registration process for most of the sessions. This data was used to analyse and graph participant profiles for GBF sessions.</p>
	<p>GBF internet site maintained and number of hits monitored</p>	<p>According to the project manager very few documents were translated into French and Spanish during this phase of the project.</p>
<p>Activity 5. Establish and maintain GBF Consultative network</p>	<p>Consultative network comprised of previous GBF participants and focal points for NBSAPS and the biodiversity related Convention operationalised and used</p>	<p>Launched in 2003 composing over 5000 individuals including previous GBF participants, IUCN members, CBD national focal points, UNCDD national focal points, UNFCCC national focal points, IUCN commission chairs and IUCN technical staff world wide. The purpose of the network was to get cross sectoral feedback regarding priority themes to be addressed during the workshop sessions. Initial responses were encouraging but it rapidly became evident that only a few individuals had the time or the inclination to communicate regularly on such issues. The Network was henceforth used primarily to alert individuals on upcoming sessions.</p>
<p>Develop and implement a GBF communications strategy</p>	<p>A communications strategy for the GBF developed and implemented</p>	<p>This activity was not undertaken as it was seen to be a lower priority than initially anticipated. The GBF Steering Committee decided that the decreasing attention to biodiversity by the world community was a higher priority and the funds for this activity were redirected to supporting additional GBF sessions to increase communication on biodiversity outside the CBD community.</p>

<p>The project is managed effectively and efficiently to deliver project outputs and achieve project objectives</p>	<p>Technical and financial management of the project and its deliverable are effective and efficient. Specific products include organisations of GBF sessions, production of project results, timely and comprehensive financial and technical reports, concrete assessments of project activities and consistent information sharing with UNEP and the GEF.</p>	<p>The project was delayed due to work overload and lack of continuity caused by retirement of the project management team</p> <p>The project was extended in order to convene a last important session on the margins of the CBD COP8 in March 2006, Curitiba, Brazil. This extension had to be managed by UNEP and IUCN staff already committed to other work and this slowed the final closure of the project.</p>
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Annex III List of Publications

Project Document

Draft Global Biodiversity Forum: A feasibility Study, Gudrun Henne, 1998

Evaluation Report on Phase II of the Global Biodiversity Forum: Broadening Support for the Implementation of the Convention on Biological Biodiversity, David R. Given, UNEP, 2000

GEF Biodiversity Focal Area Strategy and Strategic Programming for GEF-4 (Biodiversity) – <http://wwwgefweb.org/interior.aspx?id=84>

GEF Secretariat's Medium Sized Project Agreement Review, 2001

Global Biodiversity Forum, the Hague Session Report, Netherlands 2002

Global Biodiversity Forum, Valencia Session Report, Spain, 2002

Global Biodiversity Forum, Rarotonga Session Report, Cook Island 2002

Global Biodiversity Forum, Chisinau Session Report, Moldova, 2003

Global Biodiversity Forum, Cancun Session Report, Mexico, 2003

Global Biodiversity Forum, Havana Session Report, Cuba, 2003

Global Biodiversity forum, Dhaka Session Report, Bangladesh, 2003

Global Biodiversity Forum Phase III, Financial Statement for the year ended December 31, 2004 and Auditors Report, IUCN, Deloitte and Touche

Global Biodiversity Forum Phase III, Statements and Cash Receipts for the period January 1, 2005 to June 30, 2006, IUCN, Deloitte and Touche.

Global Biodiversity Forum, Monitoring & Evaluation Plan

Draft GBF – A guide for Organizers, IUCN, June 2003

Self Evaluation Fact Sheet

UNEP Project Implementation Review (PIR) FY2003

UNEP Project Implementation Review (PIR) FY2005

UNEP Project Implementation Review (PIR) FY2006

UNEP

Report of the Third Steering Committee Meeting, Montreal, 2000

GBF- Steering Committee Meeting 4, The Hague, 2002

Annex IV List of Persons Interviewed

Alejandro Argumedo, International Coordinator, Indigenous Peoples Biodiversity Network and Director of the Quechua-Aymara Association for Sustainable Livelihoods (ANDES), Peru - ipbn@web.net

Balakrishna Pisupati, Division for Environmental Law and Conventions UNEP (formerly IUCN) - Balakrishna.Pisupati@unep.org

Caroline Ponti Martinet, Project Manager, IUCN- Caroline.Ponti-Martinet@iucn.org

Charles Barber, Environmental Advisor, USAID (formerly WRI) - cbarber@usaid.gov

David Duthie, Task Manager, UNEP-GEF Biosafety Unit UNEP/GEF - david.duthie@unep.ch

Eerie Tamale, Programme Officer, Capacity Building and Outreach, CBD (formerly WWF)- erie.tamale@cbd.int

Jamie Skinner IIED, Cluster Leader Global Water Initiative - West Africa, International Institute for Environment and Development, (IIED) (formerly IUCN) - jamie.skinner@iied.org

Jeffrey McNealy, Chief Scientist, IUCN - jam@iucn.org

Josette Lehmann, Senior Project Finance Officer, Global Finance Group IUCN (International Union for Conservation of Nature) - Josette.LEHMANN@iucn.org

Kalemani Mulongoy, Scientific, Technical and Technological Matters, CBD - jo.mulongoy@cbd.int

Kenton Miller, IUCN World Commission on Protected Areas - kenton@hardynet.com

Sebastian Winkler, Head, Countdown 2010 Secretariat & Senior European Policy Advisor, Office of Environment and Science Policy Regional Office for Pan-Europe, IUCN - sebastian.winkler@iucn.org

Setiijati Sastrapradja, Naturae Indonesiana (Naturendo), Indonesia - dinkopib@indo.net.id

Sheila Aggarwal-Khan, Senior Advisor on Programme Strategic Implementation Team, The Executive Office, UNEP - Sheila.Aggarwal-Khan@unep.org

Stas Burgiel, Sr. International Policy Advisor IGR/Invasive Species Team, The Nature Conservancy (TNC) - sburgiel@tnc.org

Steven De Bie, Manager Strategic Partnerships, Shell - steven.debie@shell.com