

What is SwedBio and what does Sida want to do with it?

**An external evaluation of the Sida-supported Swedish
International Biodiversity Programme 2003–2007**

**Thorsten Celandér
Anders Fahlén**

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Sida Evaluation 2008:42

Sida

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Foreword

In July 2008, Sida commissioned an external evaluation of the Sida-supported Swedish International Biodiversity Programme (SwedBio). The review intended to assess the performance of the SwedBio programme from 2003 to end 2007 and also provide recommendations on improvements for the future. The evaluation was commissioned to the consultants T. Celander and A. Fahlén and the views, interpretations and recommendations expressed are the authors' and do not necessarily reflect those of Sida.

The evaluation provides some valuable findings and areas for further improvements, important as input to the SwedBio programme as well as discussions among Sida, SwedBio and its partners. It also points at Sida's role, where relevance and integration of biodiversity and ecosystem services depend not only on the "sender" but also the capacity and interest of Sida as the "receiver."

Sida finds that the evaluation could have had a stronger focus on the performance of SwedBio in terms of its results and impacts over the years. In addition, the Terms of Reference (ToR) made clear requests for forward-looking aspects and recommendations for the future. The evaluation could thus have contributed with deeper analysis on some of these questions, such as recommendations on how to strengthen the integration of knowledge and experiences from the Collaborative Programme and other "in the field" programmes and international processes into Sida as well as the Swedish development cooperation overall. Higher priority could also have been given to dialogue with relevant staff at SwedBio, which might have facilitated clarifications as well as provided input and thoughts for the future.

Some of the unclarities regarding the documentation and steering of the programme might have been overcome with the guidance of minutes from Steering Group meetings. Unfortunately these documents were not brought into the evaluation, and the responsibility for this lies on all parties, the evaluators, SwedBio as well as Sida.

SwedBio has been given the opportunity to comment on the evaluation, attached as an appendix to this report.

Stockholm 11 March 2009

Ulf Källstig
Head of Team for Global Programmes
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Anders Fahlén and Thorsten Celandér,
Sweden*

Acronyms

ABN	African Biodiversity Network
ABS	Access and Benefit Sharing
AIPP	Asian Indigenous Peoples Pact
ACP	Application for the Collaborative Programme 2003–2005 (SwedBio)
ACTS	African Centre for Technology Studies
AIECP	Application for the Extension of the Collaborative Programme 2006–2007 (SwedBio)
APR07	Annual Progress Report 2007 (SwedBio)
AR	Annual Report
AWP	Annual Work Plan
BUCAP	Biodiversity Use and Conservation in Asia Program
CAP	Council for the African Partnership
CBD	Convention on Biological Diversity
CBDC	Community Biodiversity Development and Conservation
CBM	Swedish Biodiversity Centre
CBO	Community-Based Organisation
CGIAR	Consultative Group of International Agricultural Research
CIFOR	Center for International Forestry Research
COP	Conference of the Parties
CP	Collaborative Programme
CS	Country Strategy
CSO	Civil Society Organisations
DNRE	Department for Natural Resources and the Environment (Sida)
EA	Environmental Assessment
EC	European Commission
EEU	Environmental Economics Unit (at the Gothenburg University)
EI	Equator Initiative
EIA	Environmental Impact Assessment
EIA-HD	The Swedish EIA Center
ELCI	Environment Liaison Centre International

EPA	Swedish Environmental Protection Agency
ET	Evaluation Team
ETC Group	The Action Group on Erosion, Technology and Concentration
EU	European Union
FAO	Food and Agriculture Organisation
FERN	Forests and the European Union Resource Network
FPP	Forest Peoples Programme
GDP	Swedish Global Policy for Development
GEF	Global Environment Facility
GISP	Global Invasive Species Programme
GFC	Global Forest Coalition
GRAIN	Genetic Resources Action International
IAASTD	International Assessment of Agricultural Knowledge, Science and Technology for Development
ICSF	International Collective in Support of Fishworkers
IGC	Intergovernmental Committee on Intellectual Property and Genetic Resources
IIED	International Institute for Environment and Development
IIFB	Indigenous Forum on Biodiversity
IIN	Indigenous Information Network
IP	Indigenous Peoples
IPCC	Indigenous People's Committee on Conservation
IPCC	International Panel on Climate Change
IPO	Indigenous Peoples Organisation
IPPB	International Participatory Plant Breeding
IPR	Intellectual Property Rights
ITPGRFA	International Treaty on Plant Genetic Resources for Food and Agriculture
IUCN	World Conservation Union
LFA	Logic Framework Matrix
LPP	League for Pastoral Peoples
MA	Millenium Ecosystem Assessment
MASIPAG	Magsasaka at Siyentista Tungo sa Pag-unlad ng Agrikultura (Philippines)
MDG	Millenium Development Goals

MDI	Mekong Delta Research Institute
MERC	Mangrove Ecosystem Research Centre
Mff	Ministry for Foreign Affairs (Sweden)
MoE	Ministry of the Environment (Sweden)
MoU	Memorandum of Understanding
MPO	Macroeconomics Programme Office (WWF)
NGO	Non Governmental Organisation
PA	Protected Areas
PANAP	Pesticide Action Network Asia and the Pacific
PBR	Peoples Biodiversity Register
PD	Programme Document
PEI	Poverty Environment Initiative
PEP	Poverty and Environment Partnership
PGR	Plant Genetic Resources
PGU	(Sweden's) Policy on Global Development
PRS	Poverty Reduction Strategy
REDD	Reducing Emissions from Deforestation and Degradation
SAREC	Department for Research Cooperation (Sida)
SBSTTA	Subsidiary Body on Scientific, Technical and Technological Advice
SD	Steering Document
SEA	Strategic Environmental Assessment
SEARICE	South East Asia Regional Initiative for Community Empowerment
SEI	Stockholm Environment Institute
SG	Steering Group (CBM)
Sida	Swedish International Development Cooperation Agency
SIDS	UN meeting for Small Island Development States
SIWI	Swedish International Water Initiative
SLU	Swedish University of Agricultural Sciences
SME	Small- and Medium-sized Enterprises
SSGs	Site Support Groups
SSNC	Swedish Society for Nature Conservation

SwedBio	Swedish International Biodiversity Programme
Tebtebba	Indigenous Peoples International Centre for Policy and Education
TNC	Trans National Company
ToR	Terms of Reference
TRIPS	Trade-Related Aspects of Intellectual Property Rights
TWN	Third World Network
UNCCD	United Nations Convention to Combat Desertification
UNCED	United Nations Conference on Environment and Development
UNCTAD	United Nations Conference on Trade and Development
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNFF	United Nation Forum on Forests
UNPFII	United Nations Permanent Forum on Indigenous Issues
UU	Uppsala University
WIPO	World Intellectual Property Organisation
VRBM	Swedish Scientific Council on Biological Diversity (abbreviation in Swedish)
WPC	World Park Congress
WRI	World Resources Institute
WWF-MPO	World Wide Fund for Nature – Macroeconomics Programme Office

Executive Summary

The Sida-funded programme, SwedBio was initiated at the end of 2002 and includes phase I (2003–2005) and phase II (2005–2008). The programme is hosted, and in a formal sense implemented by the Swedish Biodiversity Centre (CBM), at the Swedish University of Agricultural Sciences and Uppsala University. This first evaluation of SwedBio with all its components included and its institutional setting has been done both to serve as an input for Sida's one-year extension of the current second phase, as well as a possible decision to prepare for a third phase.

The *overall objective of the evaluation* has been to assess results and experiences of SwedBio so far, and to make recommendations on how the critical work on integrating and addressing biodiversity and ecosystems services in Swedish development cooperation could be improved (details can be found in the ToR in annex 1). The methodology for this study has, on a general level, been guided by the ToR and consists of desk studies, meetings, email exchanges, telephone calls, and journeys to Kenya, Philippines, Thailand, and Vietnam (1.4)

SwedBio has – in terms of *management* – enjoyed a high degree of independence within CBM, with its own budget and staff. It is governed by a Steering Group (SG) with two members from CBM and two from Sida. The management routines on how formal decisions with budgetary implications should be made are clearly defined. AWP and progress reports are prepared in line with established routines including how these should be approved. The funding of the AWP originates from different allocations or sources in Sida. These allocations have been targeted for different major cost categories and have covered different periods. This makes assessments of cost efficiency difficult (2.3).

The number and articulation of components and objectives varies, when different Steering Documents¹ (SD) are compared. Part of these variations can be a reflection of changes in expectations and demands over time, but not entirely as there are differences also when SD from the same year(s) are compared. SwedBio has to some extent been a process oriented programme and therefore somewhat difficult to describe and assess. The ET has therefore somewhat subjectively used the components presented at SwedBio's homepage and/or those applied in the LFA matrix attached in annex 5 of this report. *The design of the programme* and how changes in the programme have been managed has not been satisfactory (3.1).

The programme does – as a consequence of this – neither display a convincing sense of direction, nor any easy accessible arguments for the additions/changes introduced over time in different steering documents. This is not to suggest that progress has not been made. On the contrary, significant progress has undoubtedly been achieved. The appreciation expressed for the SwedBio programme officers, by several of the people with whom the ET has interacted, strongly supports this conclusion (3.1). The original justifications for the programme, as presented in Sida's Decision Memo from 2002, are also in ET's opinion by and large still valid (2.2).

The programme design issues have been particularly confusing for the *Collaborative Programme* as SwedBio has introduced additional justifications, various rationales and criteria's over time (3.1; 3.2.1). This has probably been a consequence of the expansion of the Collaborative Programme since its start in 2003. This expansion has been thematic as well as in terms of budget allocations, where the Collaborative Programme now constitutes the lion share of SwedBio's total budget (3.2.1; 3.2.8)

The relevance of the Collaborative Programme depends on the perspective of the partners, i.e. SwedBio and the organisations receiving support. On a general level most, if not all, respondents met during ETs

¹ E.g. Sida Decision Memo, Program Documents/Applications, Progress Reports, Agreements etc.

fieldtrip have expressed high appreciation for SwedBio and have regarded their support as relevant. The question is to what extent and how the CP has been relevant for the ambitions of SwedBio's other two components, and most important, for their programme- and development objectives. The ET has reservations about this and believes that the CP could be used for an even more analytical and "problematizing" approach. This should not necessarily be the same as proposing solutions only, but rather articulating decisive questions and issues that needs to be addressed. The ET believes that this approach would call for a modified or new strategy and changes of the project portfolio in the CP. This would in addition more clearly distinguish the CP from the direct and indirect support provided by different departments in Sida (primarily SEKA) to different third-world NGOs/CSOs (3.2.3.2; 3.2.5; 3.2.8).

The component, *Integration of biodiversity in Swedish international development cooperation*, has been addressed by assessing the impact within Sida in particular, and has resulted in mixed impressions. These impressions are to some extent due to how the mandate for SwedBio has been interpreted (again, to a considerable extent a programme design-management issue), but also due to how the scene has been set for "integration" in Sida itself. The latter has been a decisive factor for the ET's rather critical assessment. Sida has not functioned convincingly as the end-receiver of SwedBio's promotion of biodiversity and ecosystem services. But SwedBio could also have been more strategic in their communication and information efforts. On the positive side, the ET's view is that the cooperation with the EIA-HD in the Swedish EIA Center at the Swedish University of Agricultural Sciences, and the EEU-HD at the University of Gothenburg has functioned well. Moreover, SwedBio's homepage is by and large informative, but could be improved (3.3.4).

The third component, *International methods- and policy development*, has been developed through three phases. These are characterized by the ET as: "reconnaissance-", "prioritization-", and "increased focus". This component has, in the ET's opinion, been rather successful. SwedBio follows, and are well updated, on a selective number of international processes (3.4.1). SwedBio has been and are actively, systematically and successfully involved in Swedish development cooperation in e.g. the work related to the Millennium Ecosystem Assessment (MA) follow-up (3.4.2). There might however be a need to define and agree on where Swedbio's mandate and Sida's funding for this begins and ends.

CBM's and Swedbio's internal organizational arrangement with roles and responsibilities appears as reasonably clear including SwedBio's. The launch of SwedBio was not subject to any call for tender invitation. The reasons for this are not known and the judicial implications are beyond the terms of reference of this evaluation (3.5.1). The question about SwedBio's *Institutional setting* is far-reaching and complex and has not been assessed in any detail. Possible alternatives are elaborated on in the report, but the question calls for more attention preferably by an external evaluation (3.5.2)

The last two sections of this report include *the main evaluative conclusions* (Chapter 4) and the recommendations (Chapter 5). These two chapters complement this executive summary, which mainly draws on Chapter 3 on "findings" and, to a lesser extent, on the first two chapters.

1. Introduction

The Sida-funded programme, SwedBio – the subject of this evaluation – was initiated at the end of 2002. The programme is hosted, and in a formal sense implemented by the Swedish Biodiversity Centre (CBM) at the Swedish University of Agricultural Sciences and University of Uppsala. The programme has not been evaluated before except for a special assessment of one of three components, SwedBio's Collaborative Programme. The evaluation has been done both to serve as an input for Sida's one-year extension of the current second phase, as well as a possible decision to prepare for a third phase.

While the focus has been on SwedBio, a review of SwedBio's support to some of its different partners is also included. This review should not be seen as an assessment of these partner organisations. The purpose has been to use the information from the ETs interaction with these organisations as a mean of assessing SwedBio's ambitions (goals, objectives, outcome) and indirectly also Sida's.

1.1 Scope and Purpose of the Evaluation

The overall objectives of the evaluation have been to assess results and experiences of SwedBio so far, and to make recommendations on how the critical work on integrating and addressing biodiversity and ecosystems services, within Swedish international development cooperation, could be further improved. The Terms of Reference (ToR) for the assignment is attached in Annex 1.

The three main components (i) Collaborative programme; (ii) Integration of ecosystem services and biodiversity within Swedish international development cooperation; and (iii) International methods- and policy development; have, as far as possible, been reviewed for their relevance, outcome, achievements, and impact. Moreover, the ET has made an attempt to assess the extent of reciprocity in terms of enhancing the outcome for the three components in relation to the programme objective. While the focus in the ToR is on the performance (results) and the design (relevance) of the programme, and its three components, the evaluation also includes an assessment of the institutional arrangement of the programme.

1.2 The Limitations of this Evaluation

The ET would like to bring attention to some limitations beyond what often seem to be the case in these type of studies, namely the balance between the resources (time) and the task as outlined in the ToR, and for this particular assignment, also the different expectations conveyed to the ET during the work. This is done not so much as an excuse in the event some readers would be less satisfied with the report, but rather as an explanation we believe is required for readers of the report.

SwedBio's overall agenda has been very ambitious and has changed over time, addressing biodiversity and ecosystem services in a changing Swedish development cooperation context. The programme has therefore been expected to pay attention to additional/other issues and themes which have been brought into the programme over time. Some of these are the same as what the Swedish Global Policy for Development (GDP; or in Swedish PGU) refers to as fundamental values². These circumstances can be difficult for a programme to manage during implementation and have certainly been a challenge also for this evaluation of SwedBio. It is a somewhat ambiguous programme judging from the discus-

² These are i) Democracy and good governance; ii) Respect for human rights; iii) Equality between women and men; iv) Sustainable use of natural resources and protection of the environment; v) Economic growth; vi) Social development and social security; vii) Conflict management and human security; and viii) Global public goods. These should all be guided by two perspectives, namely these of the poor and a human rights perspective.

sions the ET has had with various actors. Perhaps this, combined with what is elaborated in the previous sentence, has been behind what eventually evolved into a very comprehensive list of proposed actors and informants for the ET to interact with. The original list from Swedbio expanded as additional proposed interviewees were added during the course of our work.

The timing of the evaluation has been unfortunate as well. It coincided first with the time for vacations in Sweden as well as abroad (i.e. July and August) and also with a major reorganisation of Sida (in September). This has made communication by email and phone difficult and time consuming something that has made the organisation of this assignment cumbersome.

1.3 To the Readers of this Report

The structure of this report follows more or less a mandatory outline usually required by Sida, although there was no specific reference made to this in the ToR for this assignment. A consequence of this outline is that the report becomes a bit repetitive, particularly for the chapters on conclusions and recommendations. An attempt has also been made to follow the structure and specific questions outlined in the ToR and to let these, as much as possible, be reflected in the different sub-sections of the report. A consequence of this has been that that one of the three components – the Collaborative Programme – occupies a fairly large part of this report as the ToR brings up a number of issues related to this component.

The nature of these questions is such that some are covered in Chapter 2 “The Evaluated Intervention”, while most of them are addressed in Chapter 3 “Findings”. There are however some exceptions, where questions either have been combined in one sub-section or where some have been addressed under several sub-sections. Significant findings and observations in Chapter 2 and 3 are indicated in italics. Each of the “component “ sections as well as the section on “institutional setting” under Chapters 3 are in addition finalised with a short “reflective” summary section.

The ET has only interacted with some of SwedBio’s partners in their Collaborative Programme, confined to four countries: Kenya, Philippines, Thailand and Vietnam. The time for this has been limited typically covering a couple of hours only per event (meetings and/or field excursions). It is therefore likely that there are some misunderstandings or that some conclusions have been overstated and therefore can be questioned. It is hoped though that the misunderstandings are few and that overstated conclusions still are more useful for discussion about the project and the future, than if the mission had been too cautious.

1.4 Methodology

The methodology for this study has on a general level been guided by the ToR and consists of desk studies, meetings/discussions, email exchanges, telephone calls, and journeys to Kenya, Philippines and Vietnam. Some documents were made available to the mission by SwedBio and Sida just prior to the field visits, while the mission got access to a more comprehensive number of additional documents during the field visit. Documents, reports and literature used for this study are listed in Annex 2.

The mission has interacted with:

- (i) Representatives from Sida (including their “help desks”);
- (ii) SwedBio;
- (iii) Ministries (Foreign Affairs and Environment);
- (iv) Swedish Academia;

(v) The Swedish NGO community;

(vi) A number of actors in SwedBio's Collaborative Programme

The latter group has included research organisations, NGOs, CSOs, and UNEP, as well as the Swedish Embassies in Kenya and Vietnam. This has mainly been through interviews and discussions, as well as some field visits, but also by e-mail communication and phone when meetings were not possible. The people met are listed in Annex 3. The interviews/discussions have been both semi-structured and open ended. In order to guide the evaluation and ensure reasonable consistency between the two team-members of the mission a special matrix – with the key issues to be addressed – were developed for this purpose.

The team itself has consisted of two consultants and the conclusions and views expressed are those of the authors only.

2. The Evaluated Intervention

2.1 The Project and the Issues Addressed

The Swedish International Biodiversity Programme (SwedBio) was initiated by the Swedish International Development Cooperation Agency (Sida) late 2002 in order to provide a platform for a pro-active and strategic approach to address biodiversity for local livelihoods within Swedish international development cooperation.

The number and articulation of components and objectives varies, when different Steering Documents³ (SD) are compared. Part of these variations can be a reflection of changes in expectations and demands over time, but not entirely as there are differences also when SD from the same year(s) are compared. SwedBio has to some extent been a process-oriented programme and therefore somewhat difficult to describe and assess. The ET will elaborate more on this in section 3.1.

The issues addressed by SwedBio have on a general level been about the need to manage biodiversity in a more equitable, sustainable and productive manner and thereby contribute to poverty alleviation and improved livelihoods. The main vehicle for this has been to strengthen the capacity and commitment of Swedish international development cooperation to pro-actively and strategically work to address these issues, by integrating biodiversity concerns at different levels.

The significance of biodiversity, and the problems associated with its decline for poverty alleviation and reduction, is highlighted in the Millennium Development Goals and, in particular, in Goal 7 associated with "Environmental Sustainability" (where a special target address the need to significantly reduce bio-diversity loss by 2010). Moreover, the result of the Millennium Ecosystem Assessment exercise was published in 2005. The conclusion was that out of 24 ecosystems examined 15 are degraded or used unsustainable. This will have – if not addressed – implications for all of us, but in particular, for the poor people of the world.

³ E.g. Sida Decision Memo, Program Documents/Applications, Progress Reports, Agreements etc.

2.2 Programme Justification

The justification for the programme as originally presented in Sida's Decision Memo from 2002 centered around:

- Environmentally sustainable development: emphasizing the link between biodiversity and functional ecosystems.
- Poverty and food security: emphasizing the dependence of rural poor on natural resources (for food, medicines, raw material etc.) and by implication use of bio-diversity.
- Health: stressing the importance of a varied diet for different kind of nutrients (proteins, carbon hydrates, fat, vitamins, minerals etc.) and therefore by implication importance of biodiversity.
- Vulnerability: arguing the role of biodiversity for mitigation and adjustment to climate change.
- Economic and political value: claiming that 40% of the global economy is based on biological products and processes.
- Human rights – right to development: ...linking biodiversity through the debate in CBD regarding e.g. right to genetic resources, food, health, protection to indigenous knowledge etc.
- Cultural values
- Etc.

The purpose of the programme, as stated in Sida's Decision memo, was “to contribute to higher capacity within Swedish development cooperation to strategically and coherently address biodiversity issues in a perspective of poverty alleviation and sustainability.

2.3 Programme Organisation and Management

It was decided by Sida in 2002 to locate the SwedBio programme at the Swedish Biodiversity Center (CBM), based at the Swedish University of Agricultural Sciences and in partnership with the Uppsala University. Other organisations considered at the time included: (i) the Department of Systems Ecology, Stockholm University; (ii) the Natural History Museum; (iii) the World Wildlife Fund; and (iv) the Swedish Society for Nature Conservation. Important reasons for selecting CBM as the host for Swed-Bio were (1) an already ongoing Sida-funded M.Sc. programme in Biodiversity and (2) the fact that the CBM was the only Swedish Centre with a national mandate to coordinate and pursue research and education in biological diversity.

The SwedBio programme has now been implemented during two phases, Phase 1: 2003 – 2005; and Phase 2: 2005 – 2008 with a possible extension to include also 2009. The programme has enjoyed a high degree of independence within CBM with its own budget and staff. Moreover, it was agreed that staff employed as programme officers and programme director should be approved by Sida, mainly because of their interest to ensure adequate experience and knowledge from issues and priorities in development cooperation. This has changed and the Director of CBM now decides on all employments at SwedBio although in dialogue with Sida.

A Steering Group (SG) has been established to provide guidance and direction for SwedBio. The SG has two members from CBM (including the Director) and two from Sida. They meet four times a year. Documented decisions have been required for all activities amounting to more than SEK 50 000 as well as for duty travels. The Programme Director of SwedBio has had the mandate to decide independently about contributions of less than SEK 150 000 and provided that she has not been administrating the

proposal. In case of project support beyond SEK 150 000 or if the Programme Director has been involved in the proposal, the Director of CBM has had the mandate to decide about the support.

For each year an AWP has been prepared. Reporting requirements include six-monthly financial reports, a nine-month narrative report (for monitoring of the AWP) as well as an Annual Report (AR), the latter being more reflective and analytical. In addition to this, “field trips” abroad are followed by travel reports and special thematic or topical reports are provided when required. The SG should endorse all reports, except for travel- and thematic reports. More details on the management and organization of SwedBio are provided in section 3.5.1.

The priorities, and how these have been addressed, have varied somewhat over time, but are now organized and presented as three components. These are:

- (i) The Collaborative Programme (CP),
- (ii) The Integration of Ecosystem services and Biodiversity within Swedish Development Cooperation and,
- (iii) International Methods- and Policy Development.

Out of these, the CP has by far been the largest in terms of budget allocations.

The funds provided from Sida originate from different allocations or sources in Sida. These allocations have been targeted for different major cost categories and have covered different periods. Hence, an assessment of how the funds are used and the overall cost efficiency of SwedBio is therefore not that easy. Funds are provided to cover: (i) basic costs referred to as the “Base Programme (administration, salaries etc.); (ii) the Collaborative Programme; (iii) short-term support funded by the Multi Vote; (iv) the support to MA follow up (a fairly new project involving UNEP and WRI); (v) the support for an invitation area for biodiversity research in cooperation with SAREC⁴; and (vi) the support for IUCN PLANTS programme. The different funds, the amount and for what they have been used is further elaborated under section 3.2.2.

3. Findings

3.1 Programme Design

In a broad sense the programme design varies somewhat depending on the source of information (documents, web page, discussions etc.) consulted. *These variations can to some extent – but not fully – be explained by contextual changes over time⁵ compared to those under which SwedBio was once elaborated and prepared* (e.g. original assumptions might have been modified, expectations/demands from Sida and other clients of SwedBio may have changed, additional opportunistic initiatives etc.). In other words, it is a challenging task to fully describe and explain SwedBio, and its programme design, in all its details and how it has changed over time.

⁴ These funds has however in practice been transferred from Sida DNRE and not via SwedBio, although the invitation area was initiated by SwedBio. The funds amounted to SEK 1 million per year for the period 2004–2006 and increased to SEK 1.5 million for 2007

⁵ For instance (i) the Swedish Global Development Policy (GDP/PGU) introduced in 2004; (ii) Millenium Ecosystem Report from 2005, a new Swedish government in 2006; (iii) the threats and challenges associated with climate change (after UNCCC in Bali December 2007, the IPCC Climate Change Report of 2007, and the Stern Report of 2006, as well as the engagement by fore US Vice President Al Gore, etc.)

The ET will for the purpose of assessing programme design use the LFA matrix as a point of departure as it represents the easiest – in view of the ET – means of getting an overall initial picture of the programme. It needs to be emphasized though that there is only in one recent document where the LFA matrix has been presented, namely in the CBM/SwedBio's application for extension of the Collaborative Programme for 2006–07 (AECF). The half-hearted use of LFA is surprising given that it is so frequently applied in other Sida-funded programmes. The LFA matrix covers the same three components as those presented by SwedBio on their web page, as well as those elaborated in the ToR for the ET⁶.

The hierarchy of objectives and component-outcomes are according to this LFA:

- *Development Objective:* To contribute to poverty alleviation and improved livelihoods through equitable, sustainable and productive management, of biodiversity resources at all levels – genes, species and ecosystems.
- *Programme Objective:* Increased capacity and commitment of Swedish international development cooperation to proactively and strategically work towards the development objective and address biodiversity issues in a perspective of poverty alleviation and sustainable development.

Component: Collaborative Programme

- *Outcome 1:* Strategically important biodiversity initiatives and projects, in line with SwedBio's development objective, points of departure and strategy, identified and strengthened.
- *Outcome 2:* Learning and experiences from the supported initiatives systematically brought back to Sweden and used to inform and improve inclusion of biodiversity aspects within Swedish international development cooperation.

Component: Integration of biodiversity in Swedish international development cooperation

Outcome 3: Biodiversity aspects integrated into Sida's projects, programmes, plans and policies.

Outcome 4: International development cooperation and poverty alleviation perspective in Sweden's international work related to biodiversity has been further strengthened.

Outcome 5: Increased capacity (understanding, knowledge, engagement, actions,) among Swedish organisations and actors regarding the role of biodiversity for poverty alleviation and improved livelihoods.

Component: International dialogue

Outcome 6: Increased Swedish contribution to international policy-and methods development on biodiversity management from a development cooperation and livelihoods perspective.

The complete LFA is attached in Annex 4 including (i) indicators; (ii) means of verifications; and (iii) assumptions and risks. This will be further commented on later in this report.

The Development Objective and the three Components are the same in the LFA matrix as on SwedBio's homepage. However, the Programme Objective from the latter source differs as it reads: "to increase capacity & commitment of Swedish international development cooperation to proactively and strategically work towards the Development Objectives". This is more or less consistent with the stated purpose of Sida's Decision Memo from 2002, but the memo differs when it comes to the components. These were originally articulated as follows:

⁶ In the Annual Work Plans, there is a fourth component listed on "Planning and reporting"

- Integration in Sida's international development cooperation
- Advisory services for Sida in connection with the administration of contributions and administration of the programme's own contribution
- Advisory services for the Government Offices
- Development of the Swedish resource base
- Specific assignments

The most significant change is that the Collaborative Programme was not a component in its own right originally, and that the component about the Swedish resource base has disappeared. One could also perhaps argue that the component on advisory services for Government Offices has been substituted with the component on International dialogue (see relevant component outcome above).

It appears as if there have never been any attempts to articulate qualitative and/or quantitative statements in relation to the components and their outcomes by which one could get some sense of initial ambitions and actual progress made. The presence of well-formulated outputs under each of outcomes in the LFA matrix, together with defined progress indicators, could partly have served this purpose.

There are however a number of "formulations and ambitions" in SwedBio's steering and management documents, and their homepage, that are meant to both guide as well as justify and explain various activities. These formulations have been introduced over time in different documents and include e.g.: (i) Point of departure; (ii) Main themes (e.g. in Lessons Learned Report from 2005, AWP 2006 and 2007); and (iii) Thematic priorities (AWP 2008) etc. While there are understandable intentions behind these, if assessed isolated and one by one, they do not necessarily bring clarity when analyzed together and over time, in combination with the objectives and outcomes of the programme. *This may partly be behind the question "what is SwedBio?", raised by several of the respondents resource persons with whom the ET has interacted. This question, and similar ones, were also articulated when the respondents – as often has been the case – have a positive view of SwedBio.* The following paragraphs provide some elaborations regarding different formulations and ambitions:

1. The point of departures guiding SwedBio's work can be found on their homepage and could perhaps be described as a combination of justifications and arguments for working with biodiversity specifically. While being more lengthy in their original version on the homepage, these point of departures include statements like:
 - biodiversity is a key resource for poor people
 - good governance and sustainable use of biodiversity is critical
 - integration of biodiversity aspects and concerns in different sectors is paramount
 - access to biodiversity and its benefits is a human rights issue, and
 - good governance and appropriate institutional frameworks including decentralized approaches to biodiversity management and local participation is crucial
2. The *Main themes* emerge for the first time during SwedBio's planning days in the autumn of 2005 and are listed in e.g. the Lessons Learned Report from 2005, and then repeated in the AWP 2006 and 2007. These are listed in the box below:

Box 1. Main dimensions and themes

1. Sustainable management of biodiversity to ensure continued functioning and delivery of ecosystem services for human well-being and health and contribute to poverty alleviation. This includes three main themes:
 - a. Biodiversity and food and income
 - b. Biodiversity and health
 - c. Biodiversity and vulnerability
2. Ensuring equity and human rights in management and use of biodiversity and ecosystem services. The three themes under this dimension are:
 - a. Increasing civil society involvement in international processes regarding biodiversity management.
 - b. Collaborative and community-based management of biodiversity resources.
 - c. Biodiversity and gender.
3. Support development of appropriate incentive frameworks and good governance in order to address root causes of biodiversity loss, which includes the following themes:
 - a. Biodiversity, macro-policies, trade and international conventions.
 - b. Integration of biodiversity-livelihoods concerns in development planning and sector frameworks.
 - c. Communication and awareness-raising

3. The *Thematic* priorities are introduced in the Steering Documents for the first time in the AWP 2008. They appear to represent priorities for a particular year, although the concept and their rationale (for planning and management) is not entirely clear. The thematic priorities for 2008 are/were:
 - Ecosystem services and climate change,
 - MA follow up, and tools for mainstreaming (biodiversity/ecosystem services indicators, biodiversity/ecosystem services in EIA/SEA and value of ecosystem services),
 - Equity, democracy and human rights (including gender) and biodiversity,
 - Health and biodiversity,
 - Productive, biodiversity-based and ecologically sustainable agriculture with particular focus on small scale farmers in Africa, and
 - Productive and ecologically sustainable forest management.

There are in addition to this specific justifications, arguments and guidance articulated as Dimensions and Criteria's in the Collaborative Programme. This adds complexity to this component and the Collaborative Programme, in similar ways as have been elaborated on above. The *dimensions* mentioned for the Collaborative Programme⁷ include:

- The need to sustainably manage biodiversity and maintain ecosystem services to ensure human wellbeing and health, and contribute to poverty alleviation.
- The need to support development of appropriate incentive frameworks and good governance in order to address root causes of biodiversity loss.
- The need to ensure equity and human rights in management and use of biodiversity and ecosystem services

⁷ The Collaborative Program – Rationale, priorities and criteria (2005)

There are finally two sets of criteria guiding SwedBio and their Collaborative Programme. These are listed below:

1. From the document: The Collaborative Programme – Rationale, priorities and criteria (2005):

- Contribute to the development objective of SwedBio, the objectives of the Collaborative Programme, and be in line with SwedBio's points of departure.
- Be relevant to poor people in local communities in the South and at the same time contribute to learning, communication of results, and policy development of regional and/or global relevance.
- Seek and promote dialogue between different types of stakeholders, disciplines and knowledge systems.
- Strengthen capacity and contribute to organisational development of southern national and regional organisations and NGOs.
- Be managed by recipients with adequate organisational structure and management capacity (transparent, accountable, democratic, with a balanced representation of relevant parties, including gender).

2. From the document (in Swedish): "Ansökan till Sida om medel för Finansiellt stöd till aktiviteter och organisationer av strategisk betydelse för arbete med biologisk mångfald i Syd (2003)":

- Tonvikt på policyrelaterade och globala insatser (även om fältinriktade insatser med policyanknytning kan inkluderas),
- Stödformer bör inbegripa både organisationsstöd och mer kortsiktiga stöd (t ex stöd till deltagande i internationella förhandlingar för delegater från tredje världen,
- Sida's mål och handlingsprogram skall var vägledande: inklusive "hållbar utveckling", fattigdomsriktning, gender och MR/demokrati,
- Sida's riktlinjer och förhållningssätt för arbete med enskilda organisationer skall beaktas,
- Sida's syn på kapacitetsutveckling och projekthantering bör återspeglas.

A final general observation is that for none of the ambitions expressed in terms of objectives, outcomes and, in some instances also outputs (the latter only applied in some progress reports), *has there been any specifications in terms of what should be achieved in qualitative and/or quantitative terms over a defined period of time.* Not even the LFA matrix includes any convincing attempt in this regard. The indicators, suggested in the matrix, have in some cases the intention of recording numbers of workshops, number of times, etc., but this need to be compared with something (whether it is an expressed programme ambition or a base line).

ET is well aware that a "process-oriented" programme like SwedBio does not easily lend itself to this type of specifications, but we believe that more could be done in this regard. A more elaborate use of indicators could improve the situation. This is however not the same as a massive use of indicators or referring to progress reports as being an indicators (or the means of verifying progress). While this latter weakness is not so pronounced in the SwedBio LFA matrix, the phenomenon is not uncommon in development programmes.

3.1.1 Reflections on Programme Design

A project or programme should be well defined both in terms of its ambitions as well as the means for achieving them. This calls for well-articulated objectives, outcomes and outputs. A common definition of the latter is that this is what the programme should deliver through its various activities, and by this, accomplishes the outcomes and programme objective normally at the end of the programme. This

should then contribute to the development objective. The progress at this level is often referred to as its long-term impact.

From the above follows that the design phase of a programme is particularly important for the objectives, while the outputs primarily would depend on the performance during its implementation phase. The results of outcomes would be a function of both design and implementation. In other words, the analysis of the programme context, the assumptions that usually has to be part of a forward looking assessment, the identification of risks etc., is very important for the design phase, and these aspects needs to be regularly challenged, discussed and documented for a programme to be relevant (i.e. are the outputs leading to the outcomes, if not – why?). *On a speculative note, the ET wonders if a lack of this type of discussions is behind the somewhat confusing picture one gets while studying the different steering documents of SwedBio.*

It has been very cumbersome to navigate through all these steering documents, in order to get an overall understanding of SwedBio and its evolution. The programme does neither display a convincing sense of direction, nor any easy accessible arguments for the additions/changes introduced over time in different steering documents. This is not to suggest that progress has not been made. On the contrary, significant progress has undoubtedly been achieved. The appreciation expressed for the SwedBio programme officers, by several of the people with whom the ET has interacted, strongly supports this conclusion. The question is rather if the progress made could be related to the overall ambitions in the programme, particularly when there have been changes over time.

3.2 Collaborative Programme

3.2.1 Objectives, outputs and criteria for support

From financial and disbursement viewpoints, and also probably in terms of workload, the support by SwedBio to organisations in the South as part of the Collaborative Programme, has been at the forefront during the 2003–2007 period.

When SwedBio was initiated in 2002, a portfolio of four minor initiatives⁸ was taken over by SwedBio from the Department for Natural Resources and the Environment (DNRE) at Sida. These four projects were all supporting NGOs⁹ and their work with biodiversity in productive landscapes and/or biosafety issues in the South. It was articulated in the application by SwedBio for financial funding of activities and organisations of strategic importance to work with biodiversity in the South¹⁰, 2003–2005 (ACP), that a main rationale to shift the administration of the aforementioned activities was due to the facts that they were comparatively time-consuming to handle, and that Sida personnel already had a heavy workload.

During the 2003–2005 period support to the Collaborative Programme was based on the following *starting points*:

- Financial support should be an integrated part of an active dialogue, exchange and learning process with organisations and projects (beneficiaries).
- Minor projects of strategic importance, which Sida cannot administrate due to time-constraints, shall be funded.
- Support to organisations in developing countries, as well as support to participation of members from developing countries in various conferences and workshops, can be considered.

⁸ Inputs with a yearly budget less than 5–6 MSEK

⁹ GRAIN, TWN, CBDC, ETC/RAFI

¹⁰ "Finansiellt stöd till aktiviteter och organisationer av strategisk betydelse för arbete med biologisk mångfald i Syd", SwedBio (March 17, 2003)

- Both long-term support to organisations of relevancy and shorter one-time supports can be considered.
- When support is based on the MultiVote¹¹ funds it is important that co-ordination is done jointly with the Ministry of Foreign Affairs and The Ministry of the Environment.
- The four initiatives previously administrated by Sida will continue to be supported in 2003 (and in some cases in 2004) at the same financial level and with the same direction.

In the application for an extension of the Collaborative Programme (AECF), 2006–2007, SwedBio has to some extent modified and detailed the rational by which activities can be supported. It is here formulated that support is directed to initiatives that strategically address the following *interlinked dimensions*:

1. Sustainable management of biodiversity and maintenance of ecosystem services to ensure human well-being and health and contribute to poverty alleviation (including biodiversity-food/income, biodiversity-vulnerability, and biodiversity-health linkages),
2. Promote equity and human rights in management and use of biodiversity and ecosystem services (including civil society representation in international processes, collaborative and community-based resource management, and gender-biodiversity linkages), and
3. Support development of appropriate incentive frameworks and good governance in order to address root causes of biodiversity loss (including initiatives addressing macro-policy, trade and international conventions, the integration of ecosystem management goals in development and sector planning, communication, and initiatives addressing governance failures).

It is thus reviewed that SwedBio, by its AECF document, further detailed the rational by which support can be provided. New keywords included, but were not limited to, the following: ecosystem services and *interlinked dimensions*.

In the AECF document SwedBio introduced a criteria list which supported activities should match:

1. Contribute to the development objective of SwedBio, the objectives and Strategic Framework of the Collaborative Programme, and be in line with SwedBio's points of departure.
2. Be relevant to poor people in local communities in the South and at the same time contribute to learning, communication of results, and policy development of regional and/or global relevance.
3. Seek and promote dialogue between different types of stakeholders, disciplines and knowledge systems.
4. Strengthen capacity and contribute to organisational development of southern national and regional organisations and NGOs.
5. Be managed by recipients with adequate organisational structure and management capacity (transparent, accountable, democratic, with a balanced representation of relevant parties, including gender).
6. Specific attention will be given to the priority areas for new support identified in SwedBio annual work plans and under section 2 ("Gearing up for new challenges") in the application for extended financing.

¹¹ "Multianslag"; Funds specifically provided by the Ministry of Foreign Affairs to Sida as to support multilateral environmental processes

The programme's *development objective* and *programme objective* are presented and discussed in section 3.1. In this context it is noted that the development objective has been adjusted from an initial biodiversity-driven focus to also embed the concept of ecosystems and linkages to poverty alleviation and livelihood development during the 2006–2007 period. Further the hierarchy of objective and outcomes was formulated as a Logical Framework Matrix (LFA).

In the AECF document it was articulated that SwedBio would actively seek to broaden and expand the programme portfolio in the coming years, specifically in biodiversity-health linkages, marine and coastal management, and in assessment, indicators and valuation¹².

The *expected outputs*, formulated by SwedBio, of the support to the Collaborative Programme, have been maintained throughout the 2003–2007 period:

1. The identification and strengthening of strategically important biodiversity initiatives and projects.
2. Learning and experiences from the supported initiatives systematically used to inform and improve the inclusion of biodiversity aspects within Swedish international development cooperation.

SwedBio's LFA of the Collaborative Programme, including formulated objectives, outputs, indicators, etc., is included in Annex 4.

SwedBio is currently preparing a document of results and experiences from the Collaborative Programme during the 2003–2008 period. Two expected outcomes are presented in the Draft 3 version¹³:

1. Strategically important biodiversity initiatives and projects – in line with SwedBio's development objective, points of departure and strategy – have been identified and strengthened.
2. Learning and experiences from the supported initiatives systematically brought back to Sweden and used to inform and improve inclusion of biodiversity aspects within Swedish international development cooperation.

As can be seen, the first expected outcome is a modified and expanded version of the first listed expected output as presented in the ACP and AECF documents, whereas the second outcome is formulated exactly as in previous documents.

Another imperative used by SwedBio to support its Collaborative Programme is that it provides an opportunity to be updated and gain new experiences, findings to be used as a base for the process by which biodiversity-livelihood aspects can be integrated with Sida and other actors involved in Swedish development cooperation.

It is further noted that SwedBio introduced the concept of "*Added value*" of SwedBio in the AECF document. The term "*added value*" is not further elaborated on but it is here interpreted as a specific set of modes of strategies used such that without them there would be a difference. Among the "Added values", the following are listed in the AECF document: (1) to explicitly take the importance of biodiversity to poverty alleviation as its starting point (poverty alleviation, not biodiversity conservation per se, is viewed as the overall aim), (2) a focus to manage biodiversity in productive landscapes (man-made landscapes), to be comprehensive and knowledgeable to address biodiversity-livelihood in all sectors and at all levels, and (4) an articulated focus to collaborate with intermediary organisations and network (e.g. NGOs, action research institutes).

¹² an increased focus on assessment, indicators and valuation, during the extended period (2006–2007), is stated to be triggered by the external evaluation of SwedBio in Nov., 2005

¹³ the two outcomes are the same as included in the LFA Matrix concerning the Collaborative Programme

SwedBio also refers to “*points of departure*” that should clarify the direction of work (including the Collaborative Programme). References are made at several sections in the AECF document to this concept but it is not actually defined. On its web page (<http://www.swedbio.se/>) the concept is though elaborated on: *points of departure* is here described as a broad set of links between biodiversity, livelihood and poverty alleviation, providing instructions on how SwedBio should work.

The Collaborative Programme is further stated to address¹⁴ *three inter-linked dimensions*, and for each dimension three main themes are identified (see section 3.1; Box 1).

The evaluation team (ET) finds the hierarchical architecture and actual implication and usage of concepts introduced unclear and confusing, and questions the actual usefulness in having a seemingly overlapping situation by making references to *criteria*, “*points of departure*”, and “*dimensions*” and “*themes*” in programme documents¹⁵. Specifically, the ET is not clear on how these concepts are actually used and interpreted throughout the Collaborative Programme application, reviewing, assessment, selection, and decision-making processes. The ET is here left with a taint of emptiness as being an explorer who wants to understand a new geographical area just to discover that the map legend does not explain printed mapping symbols.

Specifically, the ET wants to highlight that long-term funding of programmes supporting implementation work (e.g. the CBDC-BUCAP programme), including assumed drivers affecting e.g. flows/changes of ecosystem services, needs to support the development of indicators of achievement which makes it possible to assess adjoined impacts and changes over time, e.g. reduced water stress in agroecosystems. Such qualitative data outputs of changes over time, including a “with” and without” assessment methodology, as part of the Collaborative Programme, are viewed by the ET to be a principal key by which SwedBio can improve its capacity to link up with feedback opportunities to Sida and other relevant partners within the Swedish international development cooperation.

The ET acknowledges that indicators and assessment tools capable of answering the “why?” and “what?” dimensions of actual achievements made through a programme intervention, including assumptions of interlinked benefits accrued in both human and natural systems, e.g. win-win scenarios in combined biodiversity-poverty alleviation programmes, are conceptually complex¹⁶ to develop and need time and evolution as to mature. However, it is viewed crucial to understand the magnitude, overlap and interactions between biodiversity, poverty alleviation, and macroeconomic/policy-induced processes¹⁷ in identifying possible win-win scenarios. The ET wants to draw attention to Sida, SwedBio, and the two help desk functions (EEU and Swedish EIA Centre), to investigate the merits in making such strategic support of the development of qualitative indicators and to provide a deepened information-base as to understand the magnitude, overlap, and interactions in possible win-win scenarios through the Collaborative Programme. This is also viewed to be in agreement with similar requests from some collaborating partners interviewed by the ET and Sida’s new direction.

The ET further acknowledges that SwedBio in its Draft 3 version of the document, “*Results and experiences from the SwedBio Collaborative Programme 2003–2008*”, lists support to biodiversity-livelihood indicators for sector planning and indicators relevant to indigenous people within the CBD and MDG processes. The ET though here wants to reiterate statements made in section 3.1, namely that the Collaborative Programme needs to more thoroughly develop and incorporate progress indicators, and indicators of achievement, that can specifically qualify to measure defined outcomes. Further, effective programme/project monitoring requires baseline data acquisition and compilation. The comparatively

¹⁴ SwedBio uses “address” as to describe main themes and dimensions of critical aspects to be dealt with, but is not seen as programme areas

¹⁵ The ET finds that the concept, “points of departure”, broadly coincides with the description of “dimensions”

¹⁶ Science 14 September 2007: Vol. 317. no. 5844, pp. 1513 - 1516

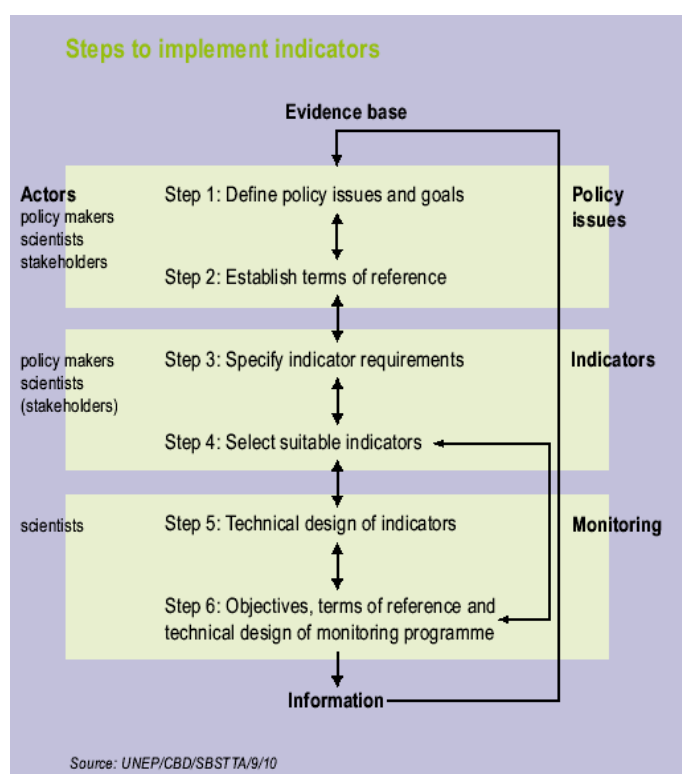
¹⁷ Ecological Economics, Volume 62, Issue 1, 1 April 2007, Pages 93-101

large amount of total funds allocated to policy and advocacy support, suggests that SwedBio should more actively define process indicators as to characterize progress and completions in e.g. policy reform-based programmes.

An illustration¹⁸ of principal steps and actors in the development and implementation of indicators is found in Box 2.

The *Strategic Framework for the Collaborative Programme*, introduced in the AECp document, is discussed in section 3.2.2.1. The ET reasons that this concept draws heavily from the Millenium Ecosystem Assessment outputs and it is therefore relevant to link up with the ET's discussion on international trends and directions.

Box 2



3.2.2 Budgeting

From an administrative point of view, SwedBio receives funding from both Sida's so-called MultiVote and from the Global Environmental Vote¹⁹. Until 2006 SwedBio received funds from the MultiVote on an annual basis, principally to be used for participation in the formulation of multilateral environmental processes. Since 2007 funds from the MultiVote are not separated from the Global Environmental Vote when resources are allocated from the Ministry of Foreign Affairs to Sida. SwedBio though maintains a budget administration where investments are internally separated as a function of source of funding. The Collaborative Programme is thus, since 2007, financed from both the MultiVote and the Global Environmental Vote.

Financial support through the Collaborative Programme is separated into four main types of initiatives²⁰:

¹⁸ UNEP/CBD/SBSTTA/9/10

¹⁹ AECp document, p. 7

²⁰ AECp document, p. 1

- *Programme support* to strategic initiatives (two years or longer programmes)
- *Short-term support* to workshops, awareness-raising initiatives, seed money to start new initiatives, etc.
- *Support to civil society involvement in international biodiversity processes*
- *Support to Swedish multi-disciplinary research in biodiversity-livelihood linkages*

Some short-term support, as classified by SwedBio's internal administration, has developed into long-term programme support but is presently still budgeted as short-term initiatives, whereas other initiatives classified as long-term support, have received funding for only one year. Therefore, the budget reporting system does not fully correspond with the four programmatic support initiatives.

According to SwedBio's budgeting report²¹, the following disbursements have been made during the 2003–2007 period.

Table 1. Support to the Collaborative Programme's initiatives (excl. monetary costs)²² during the 2003–2007 period.

Major initiative supported	Sub-initiative supported	No. of individual initiatives/ organisations supported	Costs (SEK)
Short-term support	Workshops	9	3,023,315
	Studies/short-term support	15	7,423,443
Programme support ²²		17	61,505,000
Sub-total			71,951,758
Support to civil society involvement in int. processes		24	15,001,770
Total			86,953,528

The long-term programme support provided by SwedBio during the 2003–2007 period is estimated as 61,505,000 SEK. SwedBio has also disbursed short-term support equalling 10,446,758 SEK. The total short-term and long-term support is thus estimated to be 71,951,758 SEK. In addition, SwedBio has provided support to civil society organisation participating in international environmental processes at a cost of 15,001,770 SEK (see also section 3.2.5). Some individual collaborating agencies have received both long- and short-term support from SwedBio. As part of the MultiVote financing received from Sida, SwedBio has also provided support to MA follow-up initiatives (19 MSEK²³) allocated to WRI and UNEP.

It is complex to make a detailed assessment of the relative disbursement from SwedBio to defined sub-categories of programme work, e.g. programmes dominated by (i) policy and information advocacy, (ii) implementation and local capacity-building, or (iii) tools, monitoring and action plans. Funds are in many cases disbursed to partners that operate within a network themselves, wherefore it is probably not easy to comprehensively trace the monetary support back to the end-beneficiaries (who may be heterogeneous and difficult to define by themselves). Many programmes supported further build on a mix of the aforementioned sub-categories, wherefor a division as aforementioned is a bit simplistic.

Nevertheless, the ET has made an attempt to broadly define sub-categories to which funds released to long-term activities within the Collaborative Programme during the 2003–2007 period can be classified. It is viewed (table 2) that a majority of the funds represent support to collaborating partners with a

²¹ budget file (Excel), dated 2008-10-02

²² 3-year support to Tebtebba has been transferred from "short-term support" to "programme support" in the tabulation by the ET

²³ SwedBio's budgeting report, 081002, informs that a total of 19MSEK has been allocated from Sida in reference to the MA follow-up initiative, but only 5 MSEK have been disbursed to WRI and UNEP during the 2003–2007 period.

main focus on “*policy and information advocacy, and formulation*”. Less money is perceived allocated to programmes with a strong focus on “*implementation and local capacity building*”, or “*analytical tools, methods, and action plans*”. This is found to be in agreement with the initial criteria set up to rule on which ground support could be approved. The relative high ratio of investments in policy and information advocacy vs. implementation/analytical tools, also suggest that SwedBio should pay comparatively more attention to the development of process indicators as to monitor performance over time.

Four collaborating agencies have received about 31 MSEK over the evaluated programme period, which represents more than half of the sums used for long-term support.

The ET recommends that SwedBio’s internal budget reporting system is reworked to more congruently reflect the division into major categories of short-term and long-term support provided, and to allow for easier ways to navigate and identify cumulative disbursements over time per collaborating agency.

The ET has reviewed a selected number of Memos on project support from SwedBio. It appears that in most cases SwedBio is providing partial funds, in partnership with other donors, in cases where applications are recommended to be approved upon. In co-funding situations SwedBio is providing some 18–65% of total programme budgets. However, there are cases where SwedBio is the sole funder (e.g. the inception phase of support to AIPP in 2005–2008, and the Biosafety and Biodiversity Programme 2008–2010 organised by TWN). There is also a case where SwedBio appears to have been the sole funder since other funding resources were not secured, e.g. support to GISP in 2006–2007. The ET recommends that SwedBio strengthen its management routines as to provide guidelines and information on the relative rate of financial contribution prior to decision-making. As of now this cannot be directly read off from the Memo documents.

Table 2. Support from SwedBio to the Collaborative Programme (long-term support) during the 2003–2007 period.

Programme collaborator	Programme description	Programme dominated by			SwedBio's financing 2003–2007 (SEK)
		policy and information formulation & advocacy	implement. work and capacity building	analytical tools, methods, and action plans	
Genetic Resources Action International (GRAIN)	Harnessing Diversity	X			11,100,000
Third World Network (TWN)	Biosafety and biodiversity programme	X			6,900,000
Action Group on Erosion, Technology and Concentration (ETC)	“The points for moving on”	X			7,175,000
Community Biodiversity Development and Conservation Programme CBDC Asia	Strengthening farmers' rights to plant genetic resources...in Asia		X		6,000,000
CBDC Bridge/ Africa	Community Biodiversity Development and Conservation Programme in Africa		X		2,250,000
BirdLife International	Improving the livelihoods of local communities in Africa by promoting sustainable use of renewable natural resources...	(X)	(x)		3,400,000

Forest Peoples Programme (FPP)	Linking Forest Peoples' Rights and Local Knowledge of Biodiversity Conservation...	X		5,000,000
African Biodiversity Network (ABN/GAIA)	Strengthening the African Biodiversity network and its International Alliances...	X		8,785,000
Asian Indigenous Peoples Pact (AIPP)	Collaborative Management Learning Network is Southeast Asia (CMLN)	X		2,000,000
World Wildlife Fund for Nature-Macroeconomics Programme Office (WWF-MPO)	Promoting Ecosystem Services and Rural Poverty Reduction...		X	375,000
Equator Initiative-International Institute for Environment and Development (EHI-IED)	Policy that works for Biodiversity and Poverty Reduction	X		950,000
Global Forest Coalition (GFC)	Life as Commerce Phase 2 – Building the capacity of Local Communities and Social Movements...	X		2,000,000
Forests and the European Union Resource Network (FERN)	Promoting Good Governance in the Forest Sector	X		1,000,000
Stockholm Environmental Institute (SEI)	Mangrove ecosystems, communities and conflict-developing knowledge-based approaches...		X	250,000
International Collective in Support of Fishworkers (ICSF)	Coastal and fisheries resources management	X		350,000
League for Pastoral Peoples (LPP)	Strengthening the Movement for Livestock Keepers' Rights...	X		470,000
TEBTEBBA	Indigenous Peoples' Capacity-building and advocacy project for CBDC implementation; Int. Expert Seminar on Indicators Relevant to Indigenous People and the CBD	X		3,500,000
Total (long-term)				61,505,000

3.2.3 Relevance

To outline an interface between a valuation of “relevance” and this evaluation is not viewed as being as straightforward as it may first appear. The perception of relevance is seldom a homogeneous experience. Various actors have different motives as to respond to the degree of relevancy to any unit of information or intervention produced at a specific time event. The multifaceted dimension of “relevancy” is to some degree embedded in the ToR for this evaluation.

Specifically, the ToR states that the ET should evaluate if criteria and direction are relevant to (1) the international debate and (2) Sida’s goals. However, as a major portion of funding and staff work by SwedBio is directed to the support of the Collaborative Programme, the perception of relevance also includes the views on relevance by the implementing parties and adjoined end-beneficiaries. The multidimensional views of relevance and adjoined complexities will therefore be commented on in this section.

Within a two-party relationship such as represented by Sida <=> SwedBio there is further a real possibility that the ranking of relevance may embed diverging valuations through the bridging mechanism used between sender and receiver. In other words, *the perception of relevance is not only dependent on the sender but also includes the capacity and willingness of the receiver*. This will be further elaborated on in section 3.3.2.

3.2.3.1 Relevance of criteria and direction in relation to the international debate

The ET acknowledges that SwedBio is perceived to be mostly on-track and on-line with the international advocacy debate in terms of putting biodiversity and ecosystem services and linkages to livelihood development and poverty alleviation on the agendas of multilateral convention formulation and international agreements. It is most likely that SwedBio’s support to the Collaborative Programme has added feedback of importance to its capacity to follow and influence the international debate. The ET though views that it is not possible to actually assess any detailed impacts within the time-restrictions of this evaluation. SwedBio’s development of its support to the Collaborative Programme mirrors time-wise major initiatives taken at the international level. For instance, the introduction of “ecosystem services” in the AECP document, from thereon presented in tandem with the original focus on “biodiversity”, is directly tapping from the introduction and international advocacy of the Millenium Ecosystem Assessment (MA).

It is further concluded that international partners collaborating with SwedBio through the evaluation period, *in general rank SwedBio high in terms of being knowledgeable, relevant, and professional in their work with multilateral convention formulation and advocacy at the international policy level*. The feedback opportunities originating from being able to directly tap from field and programme experiences achieved through the Collaborative Programme are plausible explanations behind these superlatives. It may also partially stem from the personalities, including their background and having previous hands-on experiences of development fieldwork.

It may be argued from an altruistic viewpoint that support to poor people strongly dependent on biodiversity may ultimately and principally lead to poverty alleviation and improved livelihoods in the long run, whereby any investment may be seen as justified. However, Sida as well as SwedBio are not operated purely by altruism²⁴ and need to make wise decisions based on scarce resources available at any time event, and use selection and monitoring methodologies by which the most strategic intervention can be selected and separated from the less justifiable alternatives available – be it process-dominated programme support or not. In the case of the SwedBio-supported Collaborative Programme, the

²⁴ Indeed, the influence of altruism in Swedish development aid is a debatable issue. However, it is non—controversial to conclude that altruistic motives have been reduced since the days of pioneering aid proponents in the 1950s, such as the Swedish economist and intellectual Gunnar Myrdal and the development economist, Paul Rosenstein-Rodan

ET views that the single key steering document as to provide guidance on if defined outputs are achieved or not over time, and hence to guide whether investments are justifiable and/or if adjustments are needed, is the LFA Matrix. *As noted elsewhere in this report, the ET perceives that SwedBio would positively benefit from (1) a rework of the Logical Framework Matrix as to more comprehensively define indicators used to verify assumed synergies embedded into development and programme objectives, and (2) to develop its Collaborative Programme support by advocating investments in advancements made by the international community in defining drivers linking biodiversity-ecosystem goods and services and coupling/decoupling mechanisms between e.g. biodiversity and poverty.*

In view of the degree of maturity and financial resources invested in the Collaborative Programme through the 2003–2007 period, the ET recommends SwedBio (and Sida) to support a deepened focus and analysis under which settings investments can result in a win-win pathway, including cases where livelihood development may be foreseen to take precedence during an initial stage at the expense of biodiversity but where losses are likely to stabilize or recover while socioeconomic development continues. It is thus recommended that SwedBio supports the development of more comprehensive and focused guidelines as to decide on strategic programme interventions, including assessments of potential pathways between e.g. biodiversity and poverty.

The ET would also encourage SwedBio to re-develop its Strategic Framework for the Collaborative Programme, a concept introduced in the AECF document. As of now it is not viewed to adequately represent the essence of an important supporting or underlying structure for analytical guidance in decision-making on programme support.

Although the role of enterprises in the interface of biodiversity-ecosystem services-poverty alleviation has not specifically been part of the agenda of SwedBio, the ET wants to make a notification that there is an increasing understanding of the influential roles played by small and medium-sized enterprises (SMEs) on both income generation and resource use/changes in much of the world, particularly in the South. For example, trade barriers faced by SMEs may have stronger influences on biodiversity-aware development than policies focusing on big companies. SwedBio has through its engagement in the follow-up procedures of the MA co-operated with WRI and the development of tools to identify how companies are influenced by ecosystem services. It is though viewed by the ET that this tool²⁵ is not adapted to the SME development in the South.

This notification about the impacts of SMEs, and the increasing importance to consider these contributors in biodiversity-poverty alleviation analysis, may be equally addressed to Sida itself as to SwedBio. It is also identified, that a set of business-to-business programmes (North to South) has been launched in recent times, by countries in the North (including the Swedish Government; e.g. the StartSouth, Start-East, and DemoEnvironment programmes presently administrated by Nutek). This development may warrant a discussion between Sida, SwedBio, the two helpdesk functions, the Environmental Economic Unit, Gothenburg University (EEU), the Swedish EIA Centre, Swedish University of Agricultural Sciences, and adjoined embassies, on how to collaborate and eventually provide support in business-to-business programmes, having biodiversity-poverty interfaces and funded by the Swedish Government.

From a global perspective there are ample justifications to include marine ecosystems, and not only terrestrial ecosystems, in biodiversity-poverty alleviation development and programme and policy support. Indeed, the external evaluation of SwedBio in November (2005) suggested that the Programme could broaden the scope of activities, and also include marine biodiversity, particularly if resources would increase. While such an expansion may be commendable as a sign of ambitions into the future, *the ET is of the opinion that SwedBio, at its present stage and staff capacity, including the new directions in Sida's work, is not recommended to expand in such directions. Rather, it is viewed that SwedBio and the implementing agencies through the Collaborative Programme would further gain in quality if more stringent and coherent objectives,*

²⁵ The Ecosystem Services Review (ESR), an off-spring from the MA, is a framework pioneered and tested with corporate business entities, not developed from typical SMEs in the South

output and criteria are defined, and if support is rather fine-tuned within the existing stock of terrestrial man-made ecosystems programmes in which SwedBio staff are experienced.

The previous review of SwedBio, in particular focusing on the Collaborative Programme in 2005, briefly mentioned that some partners identified a bias towards support to plant biodiversity and less attention to animal-based agroecosystems. The ET finds that this bias still probably prevails²⁶ and recommends that SwedBio should seek to take counteracting initiatives.

In recent years, a development of regional think tanks or policy research institutes in the South has been initiated. Sida has e.g. recently proposed to add core support to the African Centre for Technology Studies (ACTS) hosted in Kenya and with a mission to “strengthen the capacity of African countries and institutions to harness science and technology for sustainable development”. The Centre’s Strategic Plan includes at least four programmatic areas conceptually coalescing also with the broad agenda of interest to SwedBio, namely biodiversity and environmental governance, energy and water security, agriculture and food security, and human health. *The ET suggests that Sida and SwedBio consider to address the potential benefits from a collaboration with such international/regional institutions in the South. It may represent (1) a mechanism of possible devolution of know-how in biodiversity - ecosystem goods and services - poverty interfaces as well as providing improved feedback avenues from the field, and (2) to add support in capacity-building to core staff in position to link with important decision-making processes and policy formulations. Such an approach is viewed to be in agreement with Sida’s strategies and policies.*

3.2.3.2 Relevance of criteria and direction in relation to Sida’s goals and objectives

As an introduction, Sida’s goals, mission and guidelines are briefly described in relation to international environmental treaties/conventions and the concept of *ecosystem services*.

The stated goal of the Swedish policy for global development is to ensure that development is equitable and sustainable. Consequently, one of the basic missions of Sida’s development cooperation is environmental protection. The overall goal of Sida is to “*contribute to making it possible for poor people to improve their living conditions. By reducing injustices and poverty throughout the world, better opportunities are created for development, peace and security for all people and nations. In an increasingly globalised world we are all dependent on, and affected by, each other*”²⁷.

Sida’s mission of helping to improve the lot of the poor is stated to include “*a need to consider environmental consequences, and to use natural resources in a sustainable manner*”. Further, Sida’s objective is to “*involve environmental awareness in all stages of development cooperation, from broad, long-term cooperation strategies, through planning and sector support, to decisions regarding support for individual projects*”.

Guidelines are introduced by Sida on environmental impact assessments for sector programmes, Strategic Environmental Assessments (SEA). It is stated that the SEA should be an integral component in the formulation and implementation of the Sector Programme. For specific sectors, e.g. agricultural support, key issues to check include agrobiodiversity depletion and the development of monitoring and suitable indicators for changes in resource stocks are described. Likewise, Sida has introduced routines by which staff are responsible to ensure that every project includes an Environmental Assessment (EA).

In December 1993, The Convention on Biological Diversity (CBD) came into force and was ratified by 186 countries, including Sweden. Thereby, the Swedish Government has undertaken to cooperate internationally as to achieve the three main goals of the Convention: (1) conservation, (2) sustainable use of biological diversity and (3) the equitable sharing of its benefits. Sweden is also a contracting parties to other intergovernmental environmental treaties and protocols, e.g. the RAMSAR Convention on Wetlands and the Kyoto Protocol.

²⁶ The ET though acknowledges SwedBio’s support to the League for Pastoral Peoples (LPP)

²⁷ http://www.Sida.se/Sida/jsp/Sida.jsp?d=797&a=5271&language=en_US

Most countries have voluntarily accepted international legal obligations to promote, respect, protect and fulfil human rights by ratifying international human rights conventions. These and other obligations are not suspended in connection with CBD. Therefore, there are conceptual links between Sida's inclusion of human rights in the development goal and the CBD.

The incorporation and use of the concept of ecosystem services within Sida and the findings of the Millenium Ecosystem Assessment (MA) presented in 2005, are stated to be presently discussed but as perceived by the ET, are not congruently or conditionally embedded into Sida's goals, objectives or policies.

Presently, Sida is under reorganisation and during the 2006–2008 period new guiding principles for the agency's continued work have been produced²⁸. The document, "Where we are. Where we are going" (December 2006), describes the new direction as built on a Rights Perspective (international framework that sets out shared global values) and Poor people's perspectives on development. Building on the Paris Declaration the new direction also states that:

- "we will do fewer things better",
- "listen more and look more at the opportunities than the problems",
- "concentration on fewer countries and sectors",
- "concentrate our subject knowledge on what is needed most in the field",
- "we need to learn more about the perspectives and conditions of the poor"
- "we will become better at steering towards, measuring and following up results of poverty reduction in order to ensure effective aid of the highest quality"

The document about Sida's new direction does not include any hits for *ecosystem* or *biodiversity*, and just one hit for environment. A similar discouraging pattern is also found by the ET when reviewing a selected number of other Sida steering and policy documents.

Building on the above, the ET wants to highlight the following conclusions:

1. When comparing the evolution and integration of e.g. biodiversity and environmental management/monitoring and indicators of changes in resource stocks into Sida's existing goals and objectives, with the criteria and direction articulated for SwedBio's Collaborative Programme, the match is quite evident.
2. The component that the ET finds to conceptually separate SwedBio's criteria and direction of the Collaborative Programme from Sida's existing goals and objectives, is the ecosystem services consideration. The biodiversity component is viewed to be mutually included as Sida is already superimposed by CBD signed by the Swedish Government.
3. The ET finds it relevant to raise the question if the agency's formulated changes of its organisation and work mode represent an opportunity for SwedBio to improve its feedback influences from the Collaborative Programme, in the fields of biodiversity – environmental services – poverty issues, or if it represents less chances.
4. Irrespective the response to (3), the ET views that it is likely that the new directions in Sida's work will have implications on the criteria and directions of the Collaborative Programme. It would seem plausible that (i) SwedBio's comparatively strong focus in funding implementing agencies in South-east Asia will be challenged by the "*fewer countries*" rational introduced (in combination with a stronger focus on Africa), and (ii) that the "*fewer things better*" direction may emphasize the need for SwedBio to rather concentrate its long-term programme support than to broadened into new fields.

²⁸ <http://www.Sida.se/shared/jsp/download.jsp?f=Sidas+direction.pdf&a=32068>

5. It is further suggested that the “*steering, measuring and following-up*” direction will make SwedBio have to put a stronger focus on monitoring, use of qualitative and coherent indicators, and validation of changes over time through its support of the Collaborative Programme.
6. The new direction and focus on “*learning more about the perspectives and conditions of the poor*” may or may not represent new opportunities for SwedBio to be in demand by Sida, through the staff’s field-experiences gained from action- and field-oriented programme support to poor people interfaced by biodiversity – ecosystem services issues. SwedBio may though also face an increasingly competitive scenery in the future, where Sida’s new regional, country and thematic teams may find it rational, based on case-by-case judgements, to look for similar feedback and information services through its communication and funding of e.g. regional think tanks and/or policy research institutions in the South.

3.2.4 Performance

3.2.4.1 Effectiveness (*doing the right thing*)

In March 2004, Sida presented the document “Integrating Biological Diversity²⁹”. Here the findings from the first phase of integration of biodiversity into Sida’s policy and implementation work (1998–2000) were elaborated on. Conclusions made were later re-used as e.g. “*points of departure*” when SwedBio was initiated. The authors found that biodiversity appeared to be overlooked within Sida’s natural resource management programmes and that the policy framework on biodiversity needed to be updated. Building on results from case studies examined and interviews with Sida personnel the overall impression was that biodiversity issues were not mentioned or addressed in most of Sida’s policy papers, and that the chances of mainstreaming biodiversity into Sida were perceived to be best during project preparation, and monitoring and evaluation – preferably as early as possible.

Thus, in view of the institutional lack of knowledge in biodiversity issues at large within Sida at a time preceding the birth of SwedBio, and the recognition that biodiversity and adjoined environmental issues at stake (ecosystems services, resilience capacity, etc.) are important for staff to learn about as to make wise and comprehensive decisions, the ET finds that SwedBio, through its base in the Collaborative Programme, has been principally effective and timely to initiate means to address the missing gaps. The ET is of the opinion that SwedBio has devoted itself at large to become messengers of its agenda and programme outputs.

Many respondents within Sida interviewed by the ET express an overall positive view on SwedBio and its perceived effectiveness, and that its work in partnership with the two helpdesks, is believed to have impacts on Sida’s field work. The amount of self-governance in SwedBio’s development of its Collaborative Programme is commented as being mostly advantageous as it is experienced to foster a strong link to action- and field work in the South. The drawback of this degree of autonomy and outsourcing of know-how is seen as a risk to create a skewness in relation to countries supported, in relation to Sida’s new direction, and that the outsourcing of main themes to SwedBio may trigger a “work in splendid isolation” case if not effectively mainstreamed into Sida.

Based on interviews made, unfortunately limited to just a few due to time constraints and lack of responses, *the ET finds indications that the outputs from SwedBio are not uniformly viewed as useful by programme officers within the Department of Natural Resources (DNRE). This is further elaborated on in section 3.3.4 (in Direct linkages with Sida).*

Respondents from a selected number of implementing agencies and their adjoined partners within the Collaborative Programme, were interviewed by the ET in Kenya, Philippines and Vietnam, in August–September (2008). *The general impression received is that SwedBio is regarded as being professional and responsive in their work and management routines.* Some respondents positively indicated that SwedBio allowed for a more

²⁹ Integrating Biological Diversity. Environment Policy Division. March 2004.

interactive dialogue than in cases where programmes previously had been administrated by Sida (though from a management point of view no major differences were identified).

Collaborating partners interviewed presented a set of thoughts on how the interactions between SwedBio (and other co-funding agencies in the North) and the implementing agencies could become even more favourable and useful. This is summarized below:

- respondents frequently requested more dialogues, and more frequent, with the funding partners, including hands-on issues like financial management routines, and reporting
- some respondents wished for the funding agencies to more actively step in and assist the implementing agency in building links to international research organisations, and international communities, and to develop North-South linkages (e.g. learning from the “open source” directions in computer programming in the North, and adjoined legal/right/sharing of benefit issues, fair trade business-to-business concepts, etc.)
- respondents also mentioned that evaluation processes preferably would embed more information to reflect upon (not simply stating the already obvious facts and findings), that the terms of references for external evaluation processes can be improved, that there should be a strong emphasis on what should come out of an evaluation, and improved stakeholder involvement
- respondents stated that funding agencies could contribute to the development of a recognition of indicators and monitoring of programme impacts over time, and robust and coherent data collection procedures
- respondents notified that the concept of baseline studies should be considered already at the onset of the programme cycle as to measure and provide feedback on impacts “with” and “without” over time.

3.2.4.2 Efficiency (results in relation to resource use)

One of the rational used in the ACP document to outsource minor programmes from Sida to SwedBio was that management and administration were considered comparatively costly and time consuming. While this may be perfectly true the ET finds it hard to see that programme administration costs and staff inputs would change substantially just because the programme portfolio changed institutional setting (SwedBio staff interviewed comment that the administration of the Collaborative Programme is comparatively time consuming). As such the ET does not consider this rational alone as a strong motive for the development of SwedBio and the institutional shift of minor programmes.

The ET is informed that Sida has made an agreement with Swedish universities, by which the overhead costs that can be claimed by any collaborating university is presently restricted to a maximum of 35% of gross sum allocated for staff expenditures. From this viewpoint alone, the implications, in theory, on cost-effectiveness do not seem to change from one collaborative university setup to another.

The ET acknowledges that SwedBio, through its Collaborative Programme, in general have developed partnerships with action- and policy-oriented NGOs who are recognized by external reviews to be sufficiently robust, having track records of being able to deliver cost-effectively and timely, and having functioning management routines. However, the ET also recommends that the role of monitoring and assessment of achievements in qualitative terms should be substantially reinforced within the Collaborative Programme, and the Logical Framework Matrix reworked (e.g. to verify whether improved household incomes through programme support are the result of integrated changes in crop management systems over time rather than the result of seed/plant biodiversity conservation per se). To exemplify, the ET views that there is scope for the implementing agencies to a larger degree involve MSc- and PhD-students to conduct structured monitoring and assessment studies in the field as to acquire and record data over time as part of a programme setup.

3.2.5 Complementarities with Swedish development cooperation

Most respondents within Sida (including DNRE) who have responded to the ET, and who have experiences with SwedBio view that their work is complementary to the agency's own outputs. Specifically, it is stated that SwedBio has contributed in a complementary manner via inputs to e.g. subject-matter policy papers, by arranging a seminar about links between forests-biodiversity-health, by raising staff competence in environmental-related issues, etc. Some Sida respondents view that SwedBio is functionally a help desk, in line with the two environmental help desk functions (EEU, Gothenburg, and the Swedish EIA Centre, Uppsala), providing information and knowledge in biodiversity and ecosystem services. These perceived benefits are viewed by the ET to build on experiences gained from the Collaborative Programme – at least to some degree. One Sida respondent though articulated from a field perspective that the implication of recent development and increase in local/regional knowledgeable staff in the South, including environmental issues, is undervalued, and that the gap between Sida's help desk functions and its field programmes/implementation works is wide.

Sida supports a number of NGOs and action-oriented institutions, including interfaces of biodiversity – ecosystem services – poverty alleviation in programme and project works. A quick search through Sida's NGO database (www.Sida.se/ngodatabase) shows that during the fiscal years 2004–2007, some 90 projects with a total support of 17.3 MSEK were agreed on, within the main sector "Environment and sustainable use of natural resources, general". In some cases, it is identified that the same local implementing agency receiving funds from SwedBio also received funds from the SEKA Department (Sida) through its support to collaborating Swedish NGOs. The supported programmes may be complementary to one another and justified on their own rights, but there does not seem to have been any formal arrangements between SwedBio and Sida-SEKA as to check if any NGO organisation may be supported by both parties within the same category of programme work. A recent Decision Memo³⁰ regarding SwedBio's long-term support to organisations, stipulates that the applicant should "*not receive funds from other Swedish sources*". The actual interpretation of this is not clear to the ET, but it is suggested that SwedBio incorporates routines, if not already done, by which the NGO database at Sida-SEKA is scanned and checked during the reviewing and justification process to avoid eventual duplications.

The respondent representing the EEU help desk function in Environmental Economics, informed that SwedBio have added new and complementary insights regarding e.g. biodiversity aspects in agriculture landscapes, and a systems' view that agriculture is a subset of a larger ecosystem. The respondent though mentioned that the coupling mechanism to SwedBio's Collaborative Programme should preferably be clarified – specifically as Sida's new direction is likely to raise the demand on country-specific knowledge. The respondent from the Swedish EIA Centre mentioned that SwedBio have provided inputs to e.g. fact sheets about biofuels and that the help desk maintains a good working relationship with SwedBio. No specific issues or experiences have though been discussed with SwedBio concerning the Collaborative Programme.

The ET views that the largest risks of potential overlapping support within similar project/programme categories is in the intersection of SwedBio and Swedish NGOs. Indeed, some collaborative partners and category of work supported by SwedBio, are (and have been) in parallel supported by e.g. SSNC. As some SwedBio staff previously worked at SSNC (including staff movements in reverse direction) there is a potential source of confusion and non-transparency in resources allocated. SwedBio staff interviewed by the ET have noted that it is presently difficult for Sida to navigate to identify if there is a connectivity between Sida's and Swedish NGOs' support to NGOs in the South (this issue has also been commented on in section 3.2.2). *The ET recommends that management routines are introduced to increase the degree of transparency following decisions to support NGOs in the South by Sida-SwedBio and Swedish NGOs respectively.*

³⁰ Decision Memo, "Mall för beslutsunderlag"

3.2.6 Use of local knowledge

In section 3.2.3.1 it is elaborated on how respondents representing local collaborative agencies³¹ have made recommendations on means of programme improvements in partnership with the funding agencies. Focus is here on (i) to what degree and by which means local or traditional knowledge is merged into the design and implementation of the Collaborative Programme, and (ii) signs if synthesis of experiences from local knowledge is entered into Sida.

The use of *local* as an agent to be recognized with its own merits is introduced in SwedBios's original application to Sida in 2002. The matter of localness is here used to underpin the value of local plant and animal genetic diversity for further crop improvements, as a source to reduce vulnerability in productive landscapes, and representing unique knowledge by local people in local biodiversity (a mode of magnifying and interlinked valuation of local knowledge and local diversity). The original application document further uses local as a rational preferably incorporated in the identification of indicators for biodiversity monitoring, and that disbursements to approved projects can embed long-term capacity development of countries' institutions, assisting governments during international negotiation processes, including local peoples' organisations (community-based organisations).

In the AECP document the rationale behind local is further elaborated and expanded upon. Here *local* is referred to as a critical "hook" to which biodiversity, management regimes, livelihood, food security, and poverty are intimately linked to. Local sustainability in use of biodiversity is seen as a micro-shed on which the global human and natural systems cumulatively depend on.

The LFA Matrix introduced with the AECP document includes indicators of achievement linked to the first outcome of the Collaborative Programme (see section 3.1), which stipulates the following in reference to the local dimension:

- Increased space of local voices and policy positions from below to regional and global partners.
- New knowledge generated on biodiversity, local livelihoods and poverty alleviation.

In the AECP document the explicit feature of the Collaborative Programme is phrased as "to take a broad grip on the multitude of issues and linkages between biodiversity and local livelihoods, and in particular maintains a strong focus on productive and ecologically sustainable management of agricultural landscapes and agrobiodiversity". An articulated wish to support local peoples' rights in a broad sense, through strengthened representation in international/multilateral processes, is also obvious when reviewing the AECP document, and was also commented on by the external review of SwedBio in 2005: "SwedBio starts from a wish to connect the perspectives of indigenous and other local communities to the broader policy processes that will protect their rights".

The support to agencies in the Collaborative Programme during the 2003–2007 period includes the local dimension in several of approved programmes. Local access and rights to genetic resources, improved local livelihood development through participation in biodiversity policy-making and implementation, greater recognition of roles played by local communities in reducing poverty and conserving biodiversity, and strengthened capacity of local institutions to support farmers' management of Plant Genetic Resources (PGR); are some of the expected outputs from supported programmes.

The ET acknowledges that SwedBio has taken a principally interesting and seemingly well-founded decision, via the Collaborative Programme, by building support to the local dimension through improved capacity and representation of local communities in international environmental policy processes. Ultimately, a process indicator to verify if support to the local dimension has made a difference over time would be e.g. a higher degree of completeness in policy formulation, international conventions and treaties, etc., incorporating local rights to management and conservation of biodiversity and ecosystem services. Respondents representing indigenous

³¹ For further details about field reports; see Annexes 5–8

peoples' rights supported, and with whom the ET has met, refer to events in international policy processes where direct interactions and discussions with SwedBio's staff have been found positive and valuable. The ET finds that linkages between SwedBio and local interests and knowledge have been conceptually explored and developed through the history of the Collaborative Programme. Likewise, it is assumed by the ET that the support to local dimensions has contributed to capacity-building among poor people in the South in agreement with Sida's overall aims and objectives.

However, the lack of well-defined indicators (including process and progress indicators) in the programme design, already commented on in previous sections, makes it difficult for the ET to evaluate "How?" and "To what extent?" local dimensions have been achieved. The ET finds it reasonable to believe that the influences on the local dimension in specific multilateral policy processes (e.g. CBD) and e.g. farmers' rights to seed, have made a difference. At the regional/national levels, the impacts from programme support may be less apparent (e.g. the development of the progressive legislative framework of indigenous peoples' rights in the Philippines is seen as largely uncoupled from programme support).

When reviewing the possible implications on the second outcome of the Collaborative programme (i.e. the feedback into Sida and Swedish international development cooperation) of supporting local specificities, the pattern is different. Swedish respondents interviewed have in general not been able to link SwedBio's support to local dimensions through the Collaborative Programme, to any specific transfer of learning or institutional support. This is not to say that such transfer or forwarding of local knowledge and information has not occurred – in all likelihood it is believed by the ET to have influenced SwedBio as a messenger. However, the conclusion made by the ET is that Swedish respondents, within Sida and external actors, have in general not been able to recall any specific link between SwedBio's build on local experiences and knowledge through the Collaborative Programme, and the perceived capacity of SwedBio to deliver on issues at stake. SwedBio's capacity and institutionalized chances to deliver local dimensions of experiences and knowledge, from the Collaborative Programme, are, by the ET, seen as intimately interwoven with the larger issue of feedback and integration capacity in general. At present, the ET reasons that SwedBio have comparatively larger potential of untapped capacity to build on local experiences in relation to the two environmental help desk functions than to Sida itself – rather due to good working informal relationships with the former than anything else.

The ET also believes that SwedBio's pool of local experiences is of greater interest to the Embassies and Sida's field organisations than presently formally requested. For example, the ET finds it rational that the Embassy³² in Vietnam should have merits in learning from local knowledge about such a programme as the CBDC-BUCAP supported by SwedBio and implemented at the national scale (as well as the regional scale). In the future, *the ET believes that SwedBio may also build contacts with Swedish Embassies in a more structured manner*, e.g. by making it a routine to combine visits to the embassies when travelling to partnership meetings, etc.

3.2.7 International and national processes

SwedBio have supported collaborative agencies to participate in international forums and processes regarding biodiversity and rights issues via the Collaborative Programme. Table 3 summaries the support provided during the 2003–2007 period according to budget records from SwedBio.

³² the lack of recognition of the CBDC-BUCAP Programme may be a result of recent changes in staff

Table 3. Funds disbursed by SwedBio to collaborating agencies participating in international forums regarding biodiversity, local knowledge, and rights' issues during the 2003–2007 period.

Collaborating Agency	Activity/Process	Costs (SEK)
AIPP	COP7/CBD	750,000
AWO	–	450,000
Centro Ecologico	COP8/CBD	480,000
EI	COP7/CBD	450,000
EI	COP8/CBD	500,000
EI	SIDS	395,000
ELCI/CBD Alliance	COP7/CBD	800,000
ELCI/CBD Alliance	COP8/CBD	700,000
Flora & Fauna Int.	CITES	230,000
FPP	WGPA/CBD	600,000
FPP	WPC	450,000
GISP	–	750,000
IAITPTF	ABSWG2/CBD	65,000
IAITPTF	COP8	709,770
IAITPTF	UNFF	450,000
IIN Africa	COP9	750,000
IUCN-ROfE	–	512,000
Kalpavriksh/CBD Alliance	–	750,000
REDES-AT	Nyeleni	700,000
SAIWF	UNPFII	350,000
SEARICE	COP8/CBD	230,000
SEARICE	COP7	580,000
SEARICE	ITPGRFA	350,000
TWN	COP7/CBD	750,000
WCMC	2010indicators/CBD	1,350,000
Via Campesina	COP8/CBD	400,000
WIPO-IGC	–	500,000
Total		15,001,770

Out of the 27 individual events identified and supported by SwedBio, more than half are related to the CBD processes (COP7, 8 and 9). A further look at the partners who have received financing for representation in CBD processes, indicates that a majority are southern-based NGOs, or network of NGOs, representing indigenous people (including indigenous womens' groups), and community-organisations. SwedBio's support of participation in other international processes include representation at SIDS³³, CITES, WPC³⁴, UNFF³⁵, Nyeleni³⁶, UNPFII³⁷, and ITPGRFA³⁸.

The ET finds the support to southern groups of NGOs and networks of NGOs, and their representation in policy formulation and rights'-based advocacy in international processes, well-founded and in agreement with Sida's ambitions to support poor people, environment, and empowerment. Further, the ET acknowledges the strategic decision taken by

³³ UN meeting for Small Island Development States, SIDS (Jan, 2005)

³⁴ 5th World Park Congress, WPC (Sep. 2003)

³⁵ Expert meeting prior to the United Nations Forum on Forests, UNFF (Dec., 2004)

³⁶ The Nyeleni 2007 World Forum on Food Sovereignty, Nyeleni (Feb., 2007)

³⁷ United Nations Permanent Forum on Indigenous Issues, UNPFII

³⁸ 2nd Governing Body Meeting, International Treaty on Plant Genetic Resources for Food and Agriculture, ITPGRFA (Oct. 29–Nov. 2, 2007)

SwedBio to partially use its limited resources to improve the capacity of biodiversity-dependent local people in the South by providing support to their advocacy in important international processes, including treaties and Conventions. The ET became increasingly curious to learn more about these experiences and the outputs as this evaluation evolved time-wise but did, unfortunately, not find any structured documentation of lessons learnt. It is recommended that SwedBio puts increasing efforts to build a synthesis and concise summaries of lessons learnt and pointers to future work. The ET is further left with a question mark whether it is coherent or not, to maintain (or expand) the present level of programme support financing when the “integration with Sida” dimension is not more convincingly demonstrated. In principal, the Collaborative Programme would not be tainted with this level of problematization if it would be decoupled from the ambitions to integrate and provide feedback with Sida – which is not the case.

In general, the respondents interviewed representing collaborative partners in Kenya, Philippines, and Vietnam, also gave credits to SwedBio for their active participation in international processes.

The ET identifies that SwedBio may be challenged on how to mirror its partial shift to add support to poor people in the South, in relation to the ecosystem services and valuation dimensions, and their representation in international processes. This is believed to result from a lower level of formal international recognition and binding responsibilities, compared with the biodiversity and climate change issues.

A discussion on the support for disadvantaged groups to engage in international processes is also included in section 3.4.1.1.

The ET wants to draw from field visits and interviews with implementing agencies responsible for the CBDC-BUCAP Programme in the Philippines and Vietnam, as to illustrate on how national decision-making processes may have been influenced. During the International Participatory Plant Breeding (IPPB) conference, Hanoi, Vietnam (March 24–29, 2008), Vietnamese respondents from MDI stated that public officials at ministerial level acknowledged that farmers can actually conduct on-farm plant breeding and varietal selection. This was viewed to represent a break-through momentum of the programme, bringing further anticipations on possible influences on national policy and legislative framework processes.

In the case of the Philippines the ET finds that domestic civil society organizations (e.g. MASIPAG) have already come a long way to build and institutionalize an organization for farmers’ rights to seeds, as well as to influence national policy processes, whereby the impacts from external financiers’ support (including SwedBio) are less apparent. This finding, that the eventual influences from external programme support on national institutional and legal framework development in the Philippines are likely to be less-significant, is also underpinned by views from the respondents of the WWF Philippines met by ET. In other words, the influences on national policy processes are, viewed by the ET, to be country-specific and dependent on the evolutionary stage of civil society development, and its cumulative role to influence decision-making, legislation, and implementation processes.

3.2.8 Reflections on the collaborative programme

This section is included with the purposes to (i) summarize the ET’s impression of the Collaborative Programme funded by SwedBio, and (ii) to bring forward reflections on key areas of experiences from the 2003–2007 period and pointers to the future. It is noted that the ET has only been able to directly interact with a limited group of collaborating agencies in Kenya, Philippines, and Vietnam, wherefore thoughts and considerations made are likely to be methodologically skewed and not uniformly representative of work done. Nevertheless, the writing is done with the aim to represent a front-window of the essence of the ET’s findings.

Programme design

The evaluation team (ET) finds the hierarchical architecture and actual implication and usage of concepts introduced unclear and confusing, and question the actual usefulness in having a seemingly overlapping situation by making references to criteria, “points of departure”, and “dimensions” and “themes” in programme documents³⁹. Specifically, the ET is not clear on how these concepts are actually used and interpreted throughout the Collaborative Programme application, reviewing, assessment, selection, and decision-making processes. The ET is here left with a taint of emptiness as being an explorer who wants to understand a new geographical area just to discover that the map legend does not sufficiently explain printed mapping symbols introduced.

The ET acknowledges that indicators and assessment tools capable of answering the “why ?” and “what ?” dimensions of actual achievements made through a programme intervention, including assumptions of interlinked benefits accrued in both human and natural systems, e.g. win-win scenarios in combined biodiversity-poverty alleviation programmes, are conceptually complex⁴⁰ to develop and need time and evolution as to mature. Nevertheless, the ET wants to draw attention to Sida, SwedBio, and the two help desk functions (EEU and Swedish EIA Centre) to investigate the merits in making such strategic development through the Collaborative Programme. Such a development is also viewed to be in agreement with a similar request from some collaborating partners interviewed by the ET.

Budgeting

The Collaborative Programme has grown substantially since its start in 2003, and hence the programme’s budget. Already from the beginning SwedBio had to maintain a portfolio of collaborating agencies previously supported by Sida, wherefore the degrees of freedom – in financial terms – for SwedBio to take independent decisions were principally somewhat restricted. During the first year of operation the disbursement rate was low⁴¹ as the programme portfolio was initialized and developed. Since year 2004 the annual disbursement rate was estimated to average 18–20 MSEK.

A majority of funds allocated to collaborating partners represent support with a main focus on “policy and information advocacy, and formulation”. Less money is perceived allocated to programmes with a strong focus on “implementation and local capacity building”, or “analytical tools, methods, and action plans”. This is found to be in agreement with the initial criteria set up to rule on which ground support could be approved.

Relevance

The ET wants to initially bring forward that the perception of relevance of the Collaborative Programme is not only dependent on the sender but also includes the capacity and willingness of the receiver – the interweaved relationship between SwedBio (sender) and Sida (receiver) calls for a review of relevancy in which the sender’s capacity to synthesize, transmit, and deliver on demand is considered, as well as the receiver’s institutionalized, operational and individual capacity to request and reflect upon.

SwedBio’s development of its support to the Collaborative Programme mirrors time-wise major initiatives taken at the international level. For instance, the introduction of “ecosystem services” in the AECP document, from thereon presented in tandem with the original focus on “biodiversity”, is directly tapping from the introduction and international advocacy of the Millenium Ecosystem Assessment (MA).

The ET finds that SwedBio’s documented outputs are dominantly building on the pre-assumption that interlinkages between e.g. biodiversity and poverty alleviation either represent win-win or lose-lose

³⁹ The ET finds that the concept, “points of departure”, broadly coincides with the description of “dimensions”

⁴⁰ see e.g. Science 14 September 2007: Vol. 317. no. 5844, pp. 1513 - 1516

⁴¹ 5 MSEK according to the AECP document

cases. While this assumption may be true and conceptually valid and supported by international research, it is equally true that there is a surprisingly low level of empirical findings to support that a unit intervention leads per se to the twin benefits of biodiversity conservation and improved poverty alleviation combined.

The ET is of the opinion that SwedBio, at its present stage and staff capacity and the new directions in Sida's work, it is viewed that SwedBio and the implementing agencies through the Collaborative Programme would further gain in quality if support is rather fine-tuned within the existing stock of terrestrial man-made ecosystems programmes in which SwedBio staff are experienced. The previous review of SwedBio, in particular focusing on the Collaborative Programme in 2005, briefly mentioned that some partners identified a bias towards support to plant biodiversity and less attention to animal-based agroecosystems. The ET finds that this bias still probably prevails and recommends that SwedBio should seek to take counteracting initiatives (although the support to the LPP programme is acknowledged).

The ET suggests that Sida and SwedBio consider the potential benefits from a collaboration with the emerging development of international/regional institutions or think tanks in the South. It may represent (1) a mechanism of possible devolution of know-how in biodiversity – ecosystem goods and services – poverty interfaces, as well as providing improved feedback avenues from the field into Sida, and (2) to add support in capacity-building to core staff in the South in position to link with important decision-making processes and policy formulations.

The incorporation and use of the concept of ecosystem services are not viewed to be congruently or conditionally embedded into Sida's goals, objectives or policies. *The ET views that this gap is rather a Sida issue than a SwedBio issue to overbridge, although the latter party is believed to be able to provide improved clarity and increased flexibility in communication as to convey messages with greater relevancy to various sub-bodies of Sida.*

Performance

Many respondents within Sida interviewed by the ET express an overall positive view on SwedBio and its perceived effectiveness, and that its work in partnership with the two helpdesks, is believed to have impacts on Sida's field work. The amount of self-governance in SwedBio's development of its Collaborative Programme is commented as being mostly advantageous as it is experienced to foster a strong link to action- and field work in the South. The drawback of this degree of autonomy is seen as a risk to create a skewness in relation to countries supported and in relation to Sida's new direction, and a risk that the outsourcing of main themes to SwedBio may trigger a "work in splendid isolation" case if not effectively mainstreamed into Sida.

The ET has been briefed about diverging views at DNRE related to the perception of SwedBio's performance – although a majority seem to find SwedBio's outputs relevant and important. The limited number of staff who have been interviewed or have responded during this evaluation makes it difficult to conclude to what degree these views of differences are representative or typical among officers/advisors at DNRE (and elsewhere). *From a Sida perspective, they are though seen to signal a state of concern of perceived losses in effectiveness and usefulness that would warrant a deeper analysis by both parties (Sida – SwedBio).*

Complementarity

The respondents interviewed by the ET generally express that SwedBio has provided outputs in a complementary manner. These perceived benefits are viewed by the ET to build on experiences gained from the Collaborative Programme – at least to some degree. A Sida respondent though articulated, from a field perspective, that the implication of recent development and increase in local/regional knowledgeable staff in the South, including environmental issues, is undervalued, and that the gap between Sida's help desk functions and the field is wide.

The ET views that the largest risks of potential overlapping support within similar project/programme categories is in the intersection of SwedBio and Swedish NGOs. Indeed, some collaborative partners and category of work supported by SwedBio, are (and have been) in parallel supported by e.g. SSNC. The ET recommends that management routines are introduced to increase the degree of transparency, following decisions to support NGOs in the South by Sida-SwedBio and Swedish NGOs respectively.

Use of local knowledge

The ET acknowledges that SwedBio has taken a principally interesting and seemingly well-founded decision via the Collaborative Programme, by building support to the local dimension through improved capacity and representation of local communities in international environmental policy processes. Ultimately, a process indicator to verify if support to the local dimension has made a difference over time would be e.g. a higher degree of completeness in policy formulation, international conventions and treaties, etc., incorporating local rights to management and conservation of biodiversity and ecosystem services.

When reviewing the possible implications on the second outcome of the Collaborative programme (i.e. the feedback into Sida and Swedish international development cooperation) of supporting local specificities, the pattern is different. Swedish respondents interviewed have in general not been able to link SwedBio's support to local dimensions through the Collaborative Programme, to any specific transfer of learning or institutional support. This is not to say that such transfer or forwarding of local knowledge and information has not occurred – in all likelihood it is believed by the ET to have influenced SwedBio as a messenger. However, the conclusion made by the ET is that Swedish respondents, within Sida and external actors, have in general not been able to recall any specific link between SwedBio's build on local experiences and knowledge through the Collaborative Programme

The ET also believes that SwedBio's pool of local experiences is of greater interest to the Embassies and Sida's field organisations than presently formally requested. In the future, the ET believes that SwedBio may build contacts with Swedish Embassies in a more structured manner, e.g. by making it a routine to combine visits to the Embassies when travelling to partnership meetings, etc.

International and national processes

The ET finds the support to southern groups of NGOs and networks of NGOs, and their representation in policy formulation and rights'-based advocacy in international processes, well-founded and in agreement with Sida's ambitions to support poor people, environment, and empowerment. Further, the ET acknowledges the strategic decision taken by SwedBio to partially use its limited resources to improve the capacity of biodiversity-dependent local people in the South by providing support to their advocacy in important international processes, including treaties and Conventions. The ET became increasingly curious to learn more about these experiences and the outputs as this evaluation evolved time-wise but did, unfortunately, not find any structured documentation of lessons learnt. It is recommended that SwedBio puts increasing efforts to build a synthesis and concise summaries of lessons learnt and pointers to future work.

The ET identifies that SwedBio may be challenged on how to mirror its partial shift to add support to poor people in the South, in relation to the *ecosystem services and valuation* dimensions, and their representation in international processes. This is believed to result from a lower level of formal international recognition and binding responsibilities, compared with the biodiversity and climate change issues.

3.3 Integration of Biodiversity and Ecosystem Services

Understanding biodiversity and ecosystem services and how this should be meaningfully integrated in *Swedish development cooperation* has presumably been a major challenge. *Swedish development cooperation* imply a broad and varied group of organizations particularly since Sweden adopted a new development policy in 2004 – The Policy for Global Development (GDP), which emphasize the role of different actors beyond those usually associated with development cooperation like e.g. different Ministries and Government Agencies, Local Authorities (Counties and Communes), Research and Universities; and Private Sector organizations, etc.

Another important contextual change, which has had clear influence of SwedBio's work has been the release of the Millennium Ecosystem Report from 2005 and the growing concern regarding its limited impact and therefore the need to support a continuation. This has clearly reflected on SwedBio's work and has shifted the balance between how frequently the term ecosystem services is applied compared to biodiversity.

SwedBio itself has somehow gradually changed their balance of focus *from biodiversity to ecosystem services*, although the rhetoric usually combine the two in formulations like use of “biodiversity resources and ecosystem services” and their importance for poverty alleviation. Another complementary explanation is that SwedBio have found it easier to communicate “ecosystem services” than “biodiversity” alone something that some respondents in Sida also agreed with. This shift is more noticeable in different recent documents than on SwedBio's homepage, where “biodiversity” still is more visibly used.

3.3.1 SwedBio's mandate

SwedBio's mandate regarding the integration of ecosystem services and biodiversity within Swedish international development cooperation is not that clear as the Steering documents has changed over time – often without providing sufficiently documented explanations for these changes. For the purpose of this evaluation the original components as well as the more recent components and outcomes in the LFA matrix will be used to assess integration. The three outcomes articulated in the LFA matrix under the “integration component” (see section 3.1) were

Outcome 3: Biodiversity aspects integrated into Sida's projects, programmes, plans and policies.

Outcome 4: International development cooperation and poverty alleviation perspective in Sweden's international work related to biodiversity has been further strengthened.

Outcome 5: Increased capacity (understanding, knowledge, engagement, actions,) among Swedish organisations and actors regarding the role of biodiversity for poverty alleviation and improved livelihoods.

Out of the listed outcomes above, (3) and (5) appears as particularly relevant for the “integration component”. Outcome (4) is in a sense more relevant for Component 3 on “International policy and methods development” (see LFA matrix in Annex 4).

The components and related outcomes resemble only to some extent the original components of SwedBio. These components were articulated as follows:

- a. Integration in Sida's international development cooperation
- b. Advisory services for Sida in connection with the administration of contributions and administration of the programme's own contribution
- c. Advisory services for the Government Offices
- d. Development of the Swedish resource base

e. Specific assignments

The rationale behind the changes compared to e.g. the LFA matrix is not clear. On a purely speculative note the linkages between the old Steering Document (Sida Decision PM) and the lately developed LFA and the outcomes under the “integration” component appears to be that *component (c)* has transformed into *outcome 4*, *component (a)* developed into *outcome 5*, while *component (b)* has some resemblance of *outcome 3*. *The point here is that for evaluation purposes (and for more consistent long term monitoring) the lack of properly documented and formalized changes makes an evaluation difficult.* In view of the ET SwedBio’s mandate has not necessarily been made clearer with these changes.

What stands out as particularly strange is that component d (the Swedish resource base) has disappeared without any convincing explanation, when compared with the justifications for this component in Sida’s original decision memo. The original justification was that “the Swedish resource base is small in respect of understanding and knowledge about the linkages of biological diversity and sustainable development in the perspective of development cooperation and poverty alleviation, and also more specifically regarding experiences of project management/support. There is a need to strengthen the organisational base for work on biological diversity with an international focus”. *Was this component accomplished immediately or was there something wrong with the justification in relation to SwedBio’s integration ambitions?*

3.3.2 Setting the scene for SwedBio’s integration efforts

Before addressing the issue of integration of biodiversity and ecosystem services in Swedish development cooperation in general and in Sida in particular, the ET would like to briefly raise some points about the recipient. The formal tools for “integration” are the relevant *Sida policy and strategy documents* and their guiding and operational ambitions regarding biodiversity and ecosystem services. Another decisive aspect is *Sida as an organization* and to what extent it has been possible to meaningfully integrate biodiversity and ecosystem services.

The most frequently mentioned guiding documents during this evaluation have been: (i) “Sida’s Environmental Management System” (Miljöledningssystem) from 2004; (ii) “The Guidelines for the Review of Environmental Impact Assessments” from 2002; (iii) “The Country Strategies - Guidelines for Strategic Environmental and Sustainability Analysis” from 2002; and (iv) “Integrating the Environment – Knowledge for environmentally sustainable development” from 2004. The ET also picked another guiding document for a more general level published after the previous mentioned documents to see the influence that these (i – iv) might have had namely (v) Methods Document - Integrated Economic Analysis for Pro-Poor Growth from 2006.

Out of these:

- (i) provides a long list of actions in order to improve Sida’s work on environmental management. Ecosystem services is not mentioned at all while biodiversity is, but only a few times in terms of
 - Improving understanding at Sida of the importance of biological diversity for development, and
 - Integrating issues relating to vulnerability and biodiversity in strategic environmental analysis.
- (ii) provides a fair number of examples and explanations why biodiversity and ecosystem services should be important elements of a credible EIA.
- (iii) does not mention or use the terms biodiversity and ecosystem services
- (iv) provides a number of examples and justifications for biodiversity and ecosystem services
- (v) does not mention or use the terms biodiversity and ecosystem services. The word environment is mentioned a few times in relation natural resources, but frequently used in combinations like “business environment”, “macro-economic environment”, “institutional environment”.

These examples provide a somewhat mixed picture of how integration of biodiversity and ecosystem services has been addressed through some of the key guiding documents related to on the “environment” in Sida⁴². What is remarkable though is that nothing is mentioned about ecosystem services and biodiversity in the last document on pro-poor growth. *While admitting that the last document was randomly picked among documents that presumably should represent a synthesized view, considering sectors, crosscutting issues, mainstreaming themes etc in relation to poverty and not a systematic assessment, the indication is somewhat discouraging.*

There are in addition other mainstreaming and/or integration⁴³ ambitions in Sida calling for attention as well, beyond those related to the environment in general and biodiversity and ecosystem services in particular. There has at times been concerns in Sida for what could be referred to as “mainstreaming fatigue”, at least when programme officers find themselves overloaded with work⁴⁴. There has – as far as the ET understands – not been any attempt in Sida to address this “fatigue”, which also most likely apply for environmental themes.

Sida also has a reputation of considerable lack of institutional memory. This constraint has to some extent been enhanced by a degree of individual freedom for programme officers to assess and prioritize issues and aspects in their work, particularly when they are based in the Embassies as programme officers. *This coupled with fairly frequent staff turnover (Sida programme officers in the Embassies hold their positions for some 2–4 years) aggravates the situation.*

The indications from this review of how the scene was and has been set for SwedBio are that there has not been much formal guidance – conceptual as well as operational – for integration of biodiversity and ecosystem services in Sida (except perhaps for the document on Environmental Impact Assessment). Coupled with the other constraints mentioned, this must have made integration of biodiversity and ecosystem considerations a major challenge. *This is important to conclude for this type of evaluation questions. There must be a functional “receiving end”, if integration ambitions should improve.*

Finally, it might be worth mentioning that while “mainstreaming” has a reasonable definition at least on a conceptual level; “integration” is in this context a somewhat more ambiguous term. *The ETs observation is that integration and what this implies, particularly in terms of Sida’s expectations, will require more attention.* Specifically, in light of the review above of a sample of Sida’s key guiding documents related to environmental consideration and pro-poor growth. It should be mentioned in this context that there are efforts to develop a new web based guideline for how environmental considerations should be integrated in Sida’s development cooperation, which is now expected to be launched in March, 2009. The EIA HD at the Swedish University of Agricultural Sciences has had a leading role in this development. This may improve the situation, but much will also depend on the new organization in Sida.

3.3.3 Means for integration

3.3.3.1 Helpdesks

Sida usually refer to two Helpdesks related to the environment. These are the already mentioned EIA-HD in the Swedish EIA Center at the Swedish University of Agricultural Sciences and EEU-HD at the University of Gothenburg, although there are programme officers in Sida who regard SwedBio as a formal Helpdesk as well. The roles of the two HDs are different but also complementary. In very general terms EIA-HD’s mandate is to support/facilitate Sida’s obligation to perform EIA in projects and programmes, while EEU-HD’s is to assist Sida with Strategic Environmental Analysis (SEA) usually in connection with development and reviews of Sida’s Country Assistance Strategies. In practice both

⁴² There are many other guiding and learning documents addressing environmental issues in Sida. A more conclusive assessment of how these documents promote integration of biodiversity and ecosystem services will require an evaluation in its own right.

⁴³ It appears that while there is a reasonable conceptual definition of “mainstreaming” in Sida, the meaning of the term “integration” and it’s distinguishing characteristics (if any) are more ambiguous.

⁴⁴ See Ugglä F (2007) Mainstreaming at Sida – A Synthesis Report

HD have a broader menu of activities within their EIA and SEA mandates including e.g. capacity development both for Sida personnel but also for organizations in Sida's partner countries. A frequently mentioned role for SwedBio to support integration of biodiversity and ecosystem services has been its collaboration and work through Sida's Help Desks EIA-HD and EEU-HD.

This appears to have functioned well. All the respondents with whom the ET has interacted convey more or less the same message. The strengths according to both EIA-HD, EEU-HD and SwedBio has partly been their informal relations, which has made it possible to respond swiftly when advice has been requested from SwedBio. *With no exceptions all respondents has acknowledged the competence of SwedBio's staff.* The interaction between SwedBio and EIA-HD has been frequent, which is also demonstrated by the information in their progress reports. At the same time one could argue that the staff competence at EIA-HD is very similar to that of SwedBio and that SwedBio therefor can become more of "gap-filler", when time and resources are insufficient for EIA-HD. SwedBio's comparative advantages seem to rest more with the experiences of different staff members in SwedBio from specific countries and regions. The profile of SwedBio's staff compared to EEU is in this way different and the support provided by them presumably more complementary than in the EIA-HD case. EEU also claim that they have learned more about issues related to biodiversity and ecosystem services through the cooperation with SwedBio.

In most cases EIA-HD and EEU-HD maintain the formal contact with Sida when they have been called upon to provide assistance, and SwedBio have – when needed – provided inputs in this work. In case a written documented response has been required, EIA-HD and EEU-HD have had the responsibility for the final editing and packaging of this document (regardless whether it has been a response to a direct question or the drafting of a policy, strategy and/or guideline).

There are somewhat different views regarding the possible need for a more formalized relation (e.g. a written MoU) with SwedBio. EIA-HD believe that the current informal arrangements has and should be satisfactory, while EEU-HD can see a need to make the relation more formalized, particularly as Swedish development cooperation recently has changed it's focus and with the recent reorganization of Sida.

3.3.3.2 Direct linkages with Sida

Individual programme officers in Sida also have direct contacts with SwedBio. When these contacts have been initiated from Sida it has usually been for rather specific questions. *The general message conveyed to the ET is that these type of contacts and support provided by SwedBio have been highly appreciated.*

The picture is however mixed. It appears as if these individual links to some extent have been based on personal contacts that in many cases even go back to before SwedBio was established. They have tended to be more frequent with Sida DNRE and to some extent Sida SAREC than with other departments, based on information from meetings the ET managed to have with some Sida programme officers. There were also examples where the mission's requests for meetings, telephone calls and/or email exchange have either been ignored or met with responses like "I have never had anything to do with SwedBio and therefore has nothing to offer". Such lack of response also includes programme officers in Sida DNRE. This may have resulted from the unfortunate timing of this evaluation⁴⁵ as mentioned earlier in this report, but could also be indications of the difficulties and challenges of integrating biodiversity and ecosystem services in an organization like Sida⁴⁶.

Based on interviews made, unfortunately limited to just a few due to time constraints and lack of responses, *the ET findings are that the outputs from SwedBio are not uniformly viewed as useful by programme offices*

⁴⁵ July and August are popular months for summer vacations in Sweden and abroad. In September the focus in Sida has been on the finalization of a major reorganization.

⁴⁶ The ET has sought contact (and sometime repeatedly) with more than 20 persons in Sida. Out of these the mission has had personal meetings with 8, skype/telephone meetings with two and email exchanges with three (out of which two have responded that they have nothing to offer).

within the Department of Natural Resources (DNRE). Two respondents from DNRE have indicated that concepts used by SwedBio, e.g. biodiversity and ecosystem services, are meaningful to DNRE, that they indicate new conceptual ways of thinking, and are sufficiently well explained. However, there also appears to be some differences in views at the officer/advisor level regarding the usefulness of introducing new concepts such as ecosystem services, resilience capacity, etc. in productive landscapes where “old concepts” used may still represent useful systems’ analytical approaches already known, and perceived suited to deal with “old issues”, e.g. water management in small-scale farming systems. Secondly, diverging views seem to include different perceptions of opportunities and risks involved in Sida’s interventions in productive landscapes. A respondent within DNRE, who questioned the usefulness of SwedBio’s outputs, stated that information is skewed to rather identify risks than opportunities. Another Sida staff has commented that research organisations and programme field organisations in the South generally have more pragmatic views on biodiversity – poverty alleviation issues, than NGOs rooted in political movements.

It is presumed by the ET that differences in views also entail diverging mindsets of what is ideology and what is science. *Although the ET cannot elaborate on to what degree these views of differences are representative or typical among officers/advisors at DNRE (and elsewhere), in reference to Sida they signal a state of concern of perceived losses in effectiveness and usefulness that warrants a deeper analysis by both parties (Sida – SwedBio). Specifically, as the ET has also received responses from staff that the problem of integration may rather be related to Sida itself than SwedBio.*

Responses from three representatives of other departments in Sida (outside DNRE and SAREC) expressed enthusiasm over the information provided and workshops organized, while one of them still had some difficulties in seeing how this could have operational implications for her/his specific sector. *This mirrors a recommendation by another respondent – that SwedBio may have to adapt their messages more than what has been the case so far to different recipients in Sida, i.e. to apply a more “relevant language”.*

An important entry point for raising awareness about biodiversity and ecosystem services and their integration are the Embassies, particularly in countries with Sida’s programmes for bilateral cooperation. SwedBio has over time made five presentations at the Embassies in Nairobi, Harare, Lusaka, Beijing, and Hanoi respectively. While these presentations have been appreciated, the possible impact they may have had disappears with the programme officers when they leave their positions. The ET has also noted (from our fieldtrips in Kenya and Vietnam) that *there are basically no linkages – ranging from information exchanges to more operational initiatives – with SwedBio’s partners in these countries with the exception of SEI in Bangkok (see also section on Collaborative Programme on this issue).*

3.3.3.3 Information and communications

A potential point of departure for this section could have been *SwedBio’s Communication Strategy* from 2005. This is however a very short document of little more than one and a half pages. It presents (i) the target groups⁴⁷ and a communication objective for each of them, (ii) the most important messages to disseminate, and (iii) the methods to be used. The latter is a list including SwedBio’s homepage, Sida’s homepage (partner point), and printed material and power point presentations. *The document does not – in view of the ET – really qualify as a strategy* apart from stating the obvious, namely a need to adapt messages to different type of target groups. Beside this, it does not provide any operational guidance. Another observation supporting this conclusion is that the *communication objectives in the strategy by no means can be considered as proactive and hardly even reactive.* They are in general rather passive in that they apply formulations like “shall have access to.”

In this section the ET will therefore review some of the information materials used and the communication tools applied by SwedBio. This will include SwedBio’s homepage, publications and other printed

⁴⁷ Except for Sida who’s staff is the primary target, they also include organizations in the collaborative program, international organizations and Swedish actors involved in natural resources and development cooperation and the Swedish public..

materials (but not management documents although most of them are available on SwedBio's home page) as well as communication tools (or rather how SwedBio has made use of special events such as workshops, courses and conferences).

SwedBio's homepage is by and large informative and relatively easy to navigate. It provides useful information as well as links to other sites. There are perhaps too much of "ambitions" and "guiding statements", something that in the end can confuse a visitor, who looks for a more in-depth understanding of the subject (biodiversity integration.) or about SwedBio. The many ambitions and principles guiding SwedBio is a more serious and pronounced weakness that apply for all Steering Documents when they are assessed together, something the ET has highlighted in the Design section of this report. Another observation is that "biodiversity" as a theme is more visible than "ecosystem services" on the homepage. This is not the impression one gets when reviewing the documents provided for this evaluation and in the discussions the ET have had with SwedBio.

The homepage could perhaps be improved by providing easy access to statistics over the number of visitors and how this has evolved over time. This has more to do with monitoring and follow up, but it also provides some indications of how useful the homepage might be for "information purposes". If in addition it would be possible to register and provide statistics on the various documents downloaded from SwedBio, so much the better. Finally, SwedBio may eventually consider including a search engine on their homepage in order to facilitate search of specific information related to environmental management.

When it comes to *documented information* SwedBio lists and categorises their own documents as "SwedBio produced material" under the following headings with the number of documents for each category put in brackets:

- Planning documents (8)⁴⁸
- Reports (7) – these are essentially progress reports
- Workshop reports (1)
- Reports and case studies on experiences of biodiversity integration at Sida (4)
- Food security and biodiversity – who has the power. *This is however not a document but a link to a brief presentation of conference on this theme, where SwedBio was one of the organizers*
- Fact sheets (2)

In addition, SwedBio refer to "Key documents" on their opening page. These include the two fact sheets and a lesson learned report (listed under the progress reports above) and the "Criteria for the Collaborative Programme". The latter, however, is not included under "SwedBio produced material". Out of these, the planning documents and the progress reports are special. They are useful for monitoring and evaluations, but less so for substantive information on the subjects of biodiversity and ecosystems. What remains are the categories under bullet points 4 – 6. *ET has no view whether this is a reasonable output and has not made any attempt to provide a qualitative assessment.* The ET has no information about the numbers printed of relevant information material and how these have been distributed, although requests for this information have been made. This is not essential, but could have provided some indication of how the material is used and by whom.

The staff has participated in numerous *workshops* over the years even to the extent that they reported⁴⁹ a need to focus and prioritize more. SwedBio has made appreciated presentations in several of these workshops. It appears from the information provided on the homepage as if SwedBio has been instru-

⁴⁸ These are included under "Steering documents" elsewhere in this evaluation report

⁴⁹ SwedBio (2005) Report from phase 1 – experiences and lessons, October 2002 – December 2004

mental in the organization of one documented workshop and one documented conference, since its inception. This conveys a somewhat false impression of limited engagement in these types of exercises, as the ET knows that SwedBio has been part of other workshop arrangements⁵⁰ although there are no information on how many these are.

3.3.4 Reflections on integration in Swedish development cooperation

The findings of this section 3.3 on integration of biodiversity and ecosystem services in Swedish development cooperation draws mainly on a selection of Sida and SwedBio/CBM documents and interactions with representatives from both organizations as well as EIA-HD at SLU and EEU-HD at EEU. While the reflections provided in this section therefore primarily concerns Sida, the ET believe that some also are more generally applicable.

Perhaps the most important constraint that most of the people the ET have interacted with are aware of – but does not convincingly reflect on – is that *for integration to succeed there must be a receiving end for those who are charged with the task of promoting integration*. Several informants as well as studies have highlighted the issue of lack of institutional memory in Sida. Several reasons for this shortcoming have over time been suggested:

- Relatively high rotation of staff in Sida either between different positions (e.g. between HQ and Embassies) or between different employers,
- High degree of personal and professional freedom at least in some positions in Sida with often very competent and strong minded programme officers. This combine to a situation where some of them tend to push their priorities, usually with good intentions, but where work already in progress get less attention,
- High workload for most programme officers both in terms of their immediate responsibilities (programme portfolio etc.) and several cross cutting themes that call for attention, integration and/or mainstreaming (some Sida studies has coined the expression “mainstreaming fatigue”),
- Organizational anomalies where units responsible for policy and strategy development for a particular sector/theme/crosscutting issue either has an inappropriate position and/or mandate for the task they are responsible for. The Environment Policy Unit in Sida DNRE might be an example of this, although the ET has not assessed this in particular,
- Policy changes related to development cooperation (international and national) that lead to an overly opportunistic behavior among many development cooperation actors. This is not to suggest that policy changes are bad, but different actors have to recognize and relate to these changes in a more convincing/realistic manner.

The combination of the three first bullet points lead to what one might call a lack of institutional discipline. This in combination with the issues related to institutional memory can have negative consequences for sustainability (a key ambition in development cooperation).

A potential additional problem is that SwedBio is the sum of their programme officers and therefore heavily dependent on individuals as well. SwedBio could partly be seen as Sida’s institutional memory but only as long as the staff situation is reasonably stable. The ET has neither the intention nor the task to suggest how Sida might address their problems – something that now has changed completely with Sida’s new organization just being put in place – but we believe that *SwedBio need to relate to these circumstances more convincingly and perhaps even aggressively than what has been the case so far with the old Sida organization. SwedBio’s communication strategy was and is in this regard far from sufficient*. The development of a new strategy will require close cooperation with the recipients and in particular Sida (after all SwedBio is a Sida programme!).

⁵⁰ The latest being a workshop organized by CBM on “Climate and biodiversity” in late 2007

The integration of biodiversity and ecosystem services in development cooperation is mostly said to have been implemented with a *demand-driven approach*. With Sida's individualistic character, it appears as the demand for SwedBio's services, directly or through the Environmental Help Desks, to some extent has come from programme officers who already were well aware of SwedBio, and particularly, the competence of their staff. This awareness, it seems, has in some cases been based on relations that goes back to before SwedBio had been established. This is not the case to the same extent with ELA-HD and EEU-HD. Demands are made from a larger and more diverse group of Sida's programme officers. The reason for this may well be that these helpdesks were established long before SwedBio. *The ET however believes that there is another factor here as well. The tasks and "services" provided by ELA-HD and EEU-HD have been well-defined and far more institutionalized, as part of Sida's management routine,s than has been the case with SwedBio.* It has been charged with the task of "selling" a message (biodiversity and ecosystem services) at different levels of Sida and for different aspects of the development cooperation cycle. Moreover, the message itself encompasses issues that are complex and sometimes also disputed.

One could perhaps *categorize Sida programme officers* into three broad categories from a SwedBio perspective: the converted, the skeptic⁵¹ (informed or misinformed), and the ignorant. The two former are usually reasonably or even well aware about the subjects (although drawing different conclusions), while the third in some cases have some general awareness but usually does not see the relevance for his/her particular work.

The third category is therefore not likely to express any demands. A "demand-driven" approach may in this case have to be substituted with a "mission-driven" approach (but with a message that is relevant for them). The most difficult category is likely to be the "informed" skeptics. The ET has not been able to assess to what extent this has been a serious constraint to SwedBio, but we do believe that this category might have been more common in Sida DNRE⁵². Arguments have been put forward, e.g. that SwedBio has had too much of a conservation- and/or protection agenda and too little focus on production and poverty reduction. The ET does not believe that this is true. SwedBio has purposely been promoting biodiversity and ecosystem services for their perceived benefits for the poor. *However, in view of the ET, this has been done at the cost of a broader approach, such as the need to "problematize" the many complex issues related to poverty, biodiversity and ecosystem services. If integration (for whatever ambition Sida may have) should become more internalized and perhaps even institutionalized, the ET suggests that SwedBio need to broaden their approach to – for lack of a better term – an engagement-driven approach to involve also the skeptics.* Many of the informed skeptics are knowledgeable and have a long experience of development cooperation.

3.4 International Methods- and Policy Development

This is the third component of SwedBio listed in the ToR as well as in the LFA matrix (although here referred to as "international dialogue"). It could be worth noticing that the formulation of this component has changed over time from the original Sida Decision Memo, where it was articulated as "Advisory services for the Government Offices". The involvement of SwedBio in international processes has been both direct and indirect. The most obvious examples of the direct involvement are some of the support provided by SwedBio to Ministry of the Environment (MoE) and to a somewhat lesser extent to the Ministry for Foreign Affairs (Mff). The indirect support represents the support by SwedBio to selected organizations and initiatives related to international processes. This has been done through the Collaborative Programme and can be exemplified by the support for the follow up of the MA through UNEP (further detailed in 3.4.2) and WRI. SwedBio has also provided opportunities, through the Collaborative Programme, for special interest groups – NGOs and CSOs – to participate and make their voice heard in different international forums primarily related to the CBD.

⁵¹ A fairly common remark has been that the SwedBio message is an example of the "Emperor's new clothes".

⁵² The ET has only been interacting meaningfully with a very limited number of program officers from Sida DNRE and our attempts to discuss SwedBio through meetings, telephone and/or emails has by and large failed..

The component “International methods and policy development” is in SwedBio’s last Annual Progress Report for 2007 (APR07) reported under Outcome 4 and 6, although Outcome 4 has been organized under another component in the LFA matrix for 2006–2007 (see LFA matrix, Annex 4). The reason or justification for this is not clarified in the APR07 other than stating that this is being done since 2006.

This observation can serve as an example on the conclusion made by the ET about the difficulties in navigating through the SwedBio programme highlighted in the section “Programme design” in this report.

Other sources of information have, beside the APR 2007, been used as well. The most significant have been other progress reports, meetings with representatives of MfF, MoE, VRBM and some of the organizations of the Collaborative Programme as well as SwedBio itself. Attempts to interact with international respondents have not been very successful. The ET has only managed to consult a limited number of respondents for this purpose.

It appears as if SwedBio has developed through three phases (although it is not reported in this manner by SwedBio), which has influenced the accomplishments under this component. The first phase represents a reconnaissance period, when SwedBio has explored what international process might be the most relevant to follow and eventually provide advice on, the second represents a period of prioritization as it was realized that SwedBio had to adjust their ambitions to their resources and finally the third phase with an increasing focus on a limited number of international processes. This focus might be jeopardized by an expansion into too many thematic areas. *The ET has no evidence or indications suggesting that this is the case, but raises this observation as a point for discussion as the thematic areas covered are very different in nature*⁵³.

3.4.1 Monitoring and involvement in international processes

SwedBio focused initially on following international policy and methods development processes they identified as relevant for biodiversity management⁵⁴. This has for example included CIFORs conference May 2003 on ‘Forests, Livelihoods and Biodiversity; (ii) the Millenium Ecosystem Assessment’s conference in February 2004 on local and national assessments on human and ecosystem well-being; and (iii) IUCNs World Conservation Congress in November 2004; as well as meetings linked to international policy processes such as (iv) CBD’s COP7 meeting in Malaysia February 2004; and (v) the EU-expert group meetings on Biodiversity in Development Cooperation.

Increasingly over time, the focus has been on the CBD deliberations and the follow up of MA. This is what has been the most frequently mentioned to the ET during discussions with different informants. SwedBio has however been involved in several processes (some of which are part of either CBD or the follow up of MA). This has mostly been done as a result of requests to SwedBio to provide comments on a variety of issues. Some examples cover e.g.:

- Climate change and the SBSTTA/CBD as well as REDD for COP13/CMP2 (with linkages to UNFCCC,
- The GEF focal area strategy on biodiversity for MfF,
- Farmers rights in relation to the FAO – ITPGRFA (for Ministry of Agriculture), The Cartagena Protocol/CBD, Sweden’s National Report on Biosafety for MoE,
- Sweden’s strategy for collaboration with UNEP 2008–2010 promoting the inclusion of biodiversity and ecosystem services,

⁵³ The current latest thematic areas are a) Climate change; b) Democracy and Human Rights; c) Health; d) MA-follow up; and e) Agriculture

⁵⁴ The Lessons learned document 2003 – 2005 provides a good overview of the nature of their support during the initial years of the program

- The International Assessment of Agricultural Knowledge, Science and Technology for Development (IAASTD) for the Ministry of Agriculture 2007 – 2008,
- The World Intellectual Property Organization (WIPO) for the Ministry of Justice,
- The Access and Benefit Sharing process in CBD.

During the interactions with informants from MfF and MoE, the ET has without any exceptions received a positive response, while discussing the inputs of SwedBio. The messages conveyed emphasize both the competence and engagements of SwedBio's representatives and that contributions have been both constructive and useful. The SwedBio contributions have been dominated by inputs related to Swedish inputs in formulations of EU positions related to CBD. SwedBio has at times been part of the Swedish delegation including the last COP 9 in Bonn, May 2008. SwedBio has contributed with advices to MoE on the implementation of Sweden's Global Development Policy as well. MfF has primarily requested assistance from SwedBio through their Unit for Multilateral Cooperation. In this context, the assistance has mostly been associated with inputs related to GEF and cooperation with UNEP, where SwedBio in some occasions even acted as "gap fillers" for MfF (due to in-house resource constraints). SwedBio can and have played a role in commenting on synergies between CBD and other "UNCED" conventions like UNFCCC and UNCCD. SwedBio representatives participated e.g. actively in the Swedish delegation during COP13/CMP2/UNFCCC in Bali December 2007, particularly regarding discussions on REDD (Reduced Emissions from Deforestation in Developing countries) through a CIFOR-organized side event.

SwedBio has also made use of other entry-points in order to support/influence the Swedish government than through the direct services provided on request for MfF and MoE. This has included:

- Their participation together with CBM/SLU as an associated resource to the VRBM (Swedish abbreviation for The Scientific Council for Biological Diversity).
- Their brokering role between international research organizations and Swedish government organizations. More recent examples include:
 - WRI and their presentation about the MA findings to the MfF in 2006 for MfF (and also for the Royal Academy of Science and Sida as separate events), and
 - CIFOR and a seminar on the linkages between forests and health for Sida.
- Their involvement as the chair of a working group charged with the task of preparing and Draft Advisory Note on Ecosystem Services and SEAs as a complement to the OECD-DAC SEA Guidelines from 2006.
- Their membership in the Poverty and Environment Partnership (PEP), a group of international development agencies and NGOs. Activities have included the championing of a PEP position paper on making the UNFCCC REDD concept (Reduced Emission from Developing Countries) pro-poor.

3.4.1.1 Supporting capacity for disadvantaged groups

SwedBio has assisted NGOs and CSOs representing special interests to enhance their capacity to engage in different international processes mostly related to CBD. This capacity has been developed by supporting networking and participation in regional and international workshops and conferences. The support has covered organizations concerned with e.g.:

- Diversity of plant genetic resources in agriculture
- Indigenous peoples rights

- Collaborative and/or community management of natural resources
- Good governance in forestry

and has – by a categorization introduced by the ET – been organized into three broad categories (see Section on Collaborative Programme). One of these categories is addressing “information, advocacy and policy”. This would also be the category under which SwedBio’s support for preparation and participation in international processes belong (a list of the activities supported is included under section 3.2.7).

In this section the ET will bring attention to one example, namely SwedBio’s support to Indigenous Information Network in Kenya (IIN)⁵⁵. The intention with the support was to enable participation by representatives of indigenous peoples organizations (NGOs and CSOs) to participate in CBD/COP 9 in May 2008. IIN is a member of the International Indigenous Forum on Biodiversity⁵⁶ (IIFB) where the secretariat function rotates among its members with IIN in charge this year (2007/08). The participation in CBD/COP 9 was preceded by regional meetings (in Africa, Asia, Latin America), including a final international meeting in order to agree on common positions and strategies prior to the main event in COP 9. The support from SwedBio was highly appreciated as a significant number of representatives of different indigenous people groups were enabled to participate. The support illustrates SwedBio’s ambition to enable participation of disadvantaged “interest groups” in international processes to have a voice in deliberations that could be potentially very important for these peoples. *The ET has sympathy for the rationale behind this kind of support.*

3.4.2 Involvement in Swedish Development Cooperation Processes

The most striking illustration of how SwedBio has been actively, systematically and successfully involved in Swedish development cooperation is their work related to the Millennium Ecosystem Assessment (MA) follow-up. While there are other examples as well such as the inputs and support to e.g. MfF, MoE and MoA, (section 3.4.1), these have often been short-term and at times even ad hoc. *These other examples have been generally appreciated and perhaps successful to a varying degree depending on the yardstick by which you measure them. However, the support for the MA follow-up display a determination and systematic and proactive approach that is somewhat different.*

The work with the MA has to a considerable extent evolved after an initial initiative from the Environmental Policy Unit in Sida/DNRE in tandem with SwedBio. It was triggered by the somewhat disappointing international response to the Millennium Ecosystem Assessment (MA) report in 2005. One of the first actions was to invite WRI – who were one of the initiators of the MA – to present the MA report for Swedish government representatives.

While there might have been several reasons for why the MA report of 2005 received limited attention only⁵⁷, there are a few that has been suggested to the ET that summarizes them:

- There were never a clear ownership and/or institutional belonging of the MA in the same way as for the IPCC and their reports and the UNFCCC.
- The sheer complexity of issues related to ecosystem management (or lack thereof). The impacts of climate change (complex as it is) are probably easier to comprehend for politicians as well as the general public, than ecosystem services and biodiversity.

⁵⁵ More information is provided in Annex 5–8 about IIN and other collaborative partners visited by the ET as part of this evaluation.

⁵⁶ IIFB is a collection of representatives from indigenous governments, indigenous non-governmental organizations and indigenous scholars

⁵⁷ Something that two independent evaluations commissioned by UNEP as well as the UK based House of Commons concluded. They both noted (i) limited impact of MA on policy processes; (ii) limited outreach; and (iii) knowledge “gaps” regarding ecosystem services

- The absence of a “Stern Report” that assess the consequences in a language that have more of strategic and operational implications.
- The absence of a well known and respected “front figure” – like Al Gore for climate change - that advocates and raise awareness about ecosystem degradation and the consequences of this.

SwedBio has since then been very active in informing about the findings and arguing for the need of a continuation both in Sweden as well as internationally. *The International Millennium Ecosystem Assessment Follow-up Workshop organized by SwedBio in Stockholm on October 22, 2007 is a convincing illustration of the efforts made.* It brought, apart from participants of the Swedish Government and Swedish institutions, also international representatives from UNEP, UNDP, UNU, UK DFID, Dutch Ministry of Foreign Affairs, the Convention on Biological Diversity, the David & Lucile Packard Foundation, GEF, WRI, UNEP-UNDP Poverty Environment Initiative, and UNEP-World Conservation Monitoring Centre. The result of this workshop was broad agreement on a Global MA follow up strategy.

The workshop also represents the initiation and beginning of CBM/SwedBio’s support to the programme “Follow up of the Millennium Ecosystem Assessment”. The programme involves two partners, UNEP and WRI, and what one may regard as two components. The Cooperation with UNEP is related to UNEP’s vision “Strengthening capacities to assess and manage ecosystem services in support of human well-being, sustainable development and poverty reduction”, including four strategic areas for intervention and support⁵⁸:

- Global advocacy and outreach
- Integrating the MA approach in national development planning
- Building a learning network of MA sub-global assessments
- A UNEP MA Secretariat and Advisory Board

The cooperation with WRI is based on a project proposal titled “Mainstreaming Ecosystem Services in Socioeconomic Decisions”. Both components were expected to receive support from different sources and not only SwedBio. Its share of the original planned budget was approximately 43% for the cooperation with UNEP and for WRI around 29%⁵⁹. *A potential concern however is that SwedBio has been the only source of external funding so far, which has delayed the implementation.*

One of the first visible results has been the development and endorsement in February 2008 of “a global strategy for turning knowledge into action”. While the strategy is development oriented through its vision, it will not address poverty issues per se. This is expected to come about “through close linkages with partner organizations efforts towards poverty alleviation”. The ambition is expected to be achieved through the mainstreaming of ecosystem service considerations into international and national development frameworks related to UNDAF, DAC and PRS etc. *To that end the programme intend to make use of the UNDP/UNEP Poverty Environment Initiative (PEI) and make constructive use of the pilot PEI assessments being tested in a few countries in Africa and Asia.* Sida through the Swedish Environmental Protection Agency is also providing support to the PEI process. The PEI experiences could also hopefully feed into the Poverty Environment Partnership (PEP) of which SwedBio is a member.

3.4.3 Reflections on international methods- and policy development

The programme design, how it has changed and how it has been reported on and the associated difficulties highlighted under the Programme design section is confirmed under this component. Navigating through the SwedBio programme is more or less consistently difficult.

⁵⁸ UNEP refer to this project/component as “Implementing the Millennium Ecosystem Assessment (MA) findings and recommendations”

⁵⁹ Total budget for the three year (2006–2008) period were USD 5.8 million for UNEP and USD 3.8 million for WRI.

It appears as if SwedBio has been through three phases (although not reported in this manner by SwedBio), which has influenced the accomplishments under this component. These have covered i) reconnaissance; ii) prioritization; and iii) increased focus (in substance and with resources).

Current thematic areas and their justification open up for expansion into new additional themes. Unless SwedBio as a programme is not i) more clearly defined/designed; and ii) adequate resources allocated, the ET believes that this can become a serious problem for the programme.

In our interaction with informants from MfF, MoE as well as WRI and UNEP, the ET has without any exceptions got a positive response, while discussing the inputs of SwedBio. The messages conveyed emphasize both the competence and engagements of SwedBio's representatives and that contributions have been both constructive and useful. In this regard the ET's impression about SwedBio's presence in international processes is indeed positive particularly for the second phase.

The support to IIN and similar organizations illustrates SwedBio's ambition to enable participation of disadvantaged "interests" in international processes to have a voice in deliberations, where the outcome could potentially be very important for these peoples. *The ET has sympathy for the rationale behind this kind of support.*

While the more short-term support for MfF and MoE has been highly appreciated and can serve as examples of SwedBio's presence in international processes, it is in some cases not immediately clear how and to what extent this has effectively contributed to SwedBio's overall ambitions. The rationale for the support to the MA follow-up is in this regard generally more convincing. SwedBio has displayed a determination and systematic approach that has impressed the ET.

SwedBio's share of the original planned budget was approximately 43% for the cooperation with UNEP and for WRI around 29%⁶⁰. *A potential concern however is that SwedBio has been the only source of external funding so far, which has delayed the implementation. Another concern or rather observation is the need to ensure a poverty focus something that is expected from UNEP/UNDP Poverty Environment Initiative, which formally is not part of the SwedBio supported programme.*

3.5 Institutional Setting

The organisation and management of SwedBio is broadly described in section 3.2. In this section focus will be on a discussion to (i) the ET's comments on the perceived appropriateness of SwedBio's management setup and routines, and (ii) to what extent the present institutional setting, including the Swedish Biodiversity Centre (CBM), Swedish University of Agricultural Sciences, and Uppsala University, provides an adequate host environment for SwedBio, and (iii) if the level of interaction with other institutions is found sufficient.

3.5.1 Organisation and management

During the event when SwedBio was reviewed by the ET there were seven staff employed, including four⁶¹ senior programme officers, one programme officer, a programme director, and one administrative officer:

- Maria Berlekom, Programme Director (100% employment)
- Maria Schultz, Senior Programme Officer (100% employment; appointed as Programme Director in September, 2008)
- Sara Elfstrand, Programme Officer (100% employment)

⁶⁰ Total budget for the three year (2006–2008) period were USD 5.8 million for UNEP and USD 3.8 million for WRI.

⁶¹ one senior programme officer with 50% full-time employment

- Karin Gerhardt, Senior Programme Officer (50% employment)
- Pernilla Malmer, Senior Programme Officer (100% employment)
- Susanne von Walter, Senior Programme Officer (100% employment)
- Sonja Jansson, Administrative Officer (85% employment)

During the evaluation period the programme director left her position and became Acting Head of the Environmental Policy Division, Sida, whereas the former senior programme officer, Maria Schultz, was appointed the new programme director of SwedBio. One new staff, Göran Ek, has also recently been recruited having a former background in SSNC. Among the programme officers two have PhD-degrees whereas the others have MSc-degrees in agronomy, forestry and ecology/biosciences. Much of SwedBio's informal networking and collaborative management capacity seemingly stem from the fact that staff represent a broad set of working experiences including Sida, Swedish NGOs, MoE, SAREC, Swedish University of Agricultural Sciences, field work in developing countries, etc.

The Director of CBM decides on all employments at SwedBio. For assignments as programme officers and programme director Sida had initially to formally endorse the decisions prior to any employment. SwedBio is now stated to have a dialogue with Sida about staff employments.

SwedBio's staff have briefed the ET about the guidelines on the partial time to be used by programme officers for major work tasks. It is stated that some 20–25% should be used for integration with Sida, and some 10–12% for policy-processes and methods in partnership with Swedish and international collaborating agencies (including support to the MoE and Mff) – a partial time expenditure stated to have been achieved just recently. The ET has not been able to review any management documentation about the time-related division of work tasks.

The division of tasks within SwedBio seems to be reasonably well-structured and managed during the evaluation period. The only grip that the ET has come across is about comments made by Sida staff that the expansion of SwedBio's contributions to Swedish Ministries in policy formulation processes may include a call for cost-sharing of benefits accrued. When respondents at the Ministry of the Environment and the Ministry of Foreign Affairs were asked by the ET to comment on this, the response was that it is the Government Offices who can formally request Sida to deliver services in demand. It is then up to Sida to delegate the topics to relevant units or staff. Within this hierarchy of formal call and response obligations the respondents at Ministerial level found the cost-sharing idea a moot issue.

The decision-making process of SwedBio follows three main principles: (i) in all cases where programme initiatives trigger costs larger than 50,000 SEK documented decisions have to be prepared, (ii) in cases where decisions cover expenditures other than programme financing, the rules set by the Swedish University of Agricultural Sciences should be applied, and (iii) the programme director is eligible to take decisions related to Sida's basic support⁶² of SwedBio up to 150,000 SEK if the programme director does not personally administrate the case (in other cases, and if the expenditure is greater than 150,000 SEK the decision is taken by the Director of CBM).

The Collaborative Programme is regulated by an agreement between Sida and the Swedish Biodiversity Centre, whereas the management procedure to prepare, decide upon, and to follow-up programme support, is a sequence of four major steps and adjoined documentation. The first step includes an authorized project application including budget, the second includes a preparatory memorandum document by a responsible programme officer, the third documentation is about a formal decision document provided by SwedBio/CBM, and the final documentation includes a formal agreement

⁶² "basverksamhet" in Swedish

between SwedBio/CBM and the collaborating agency. Programme applications are reviewed, and preliminary proposals to reject or approve upon, by the Working Group including SwedBio's programme officer, the administration officer, and CBM's representatives who participate in the quarterly meetings between CBM and Sida. The Working Group meets every four to six weeks and the events are documented by protocols. All applications should be registered and programme reports and audit/evaluation reports should be archived.

In reference to the multi-research invitation on biodiversity-livelihood linkages administered by SAREC, the formal management routines between Sida and SAREC should be applied. SwedBio acts as one of several external reviewers of research applications submitted.

The ET has not had the dedicated time to review the management procedures of SwedBio in detail. The overall impression by the ET is that management routines are seemingly transparent and well-functioning within SwedBio as well as between SwedBio and CBM. There are though some details concerning management and nitty-gritty that the ET wants to comment on:

- The many "ex-hats" borne by SwedBio staff (e.g. ex-SSNC, ex-Sida, and ex-MoE), in combination with the multitude of hats presently borne or, externally perceived to be borne, (e.g. SwedBio, Sida, Swedish University of Agricultural Sciences, official/governmental negotiators and advisors in multi-lateral conventions and treaties, and additional member of the Swedish Scientific Council on Biological Diversity), calls for a significant degree of transparency and clearness in management routines concerning "who is representing whom" in any event and decision-making. This is an area where the ET finds reasons to recommend improvements and more effective institutional arrangements.
- The following nitty-gritty details about discrepancies observed in management documentation is recommended by the ET to be corrected: (i) the SwedBio/CBM steering document on project administration routines, dated 2006-05-31, states that four types of support can be effectuated whereas only three are listed (p. 2), (ii) the Decision Memo used to administrate long-term support is found in several versions with quite different outlines and regulatory implications, (iii) it is sometimes noted that electronic management documents are not headed as "SwedBio documents" but rather as "SSNC documents" (this discrepancy is found under the Files => Properties => Author information).
- Likewise, it is recommended by the ET that the budget administration allows for easier navigation on actual and cumulative disbursement per collaborative agency, easy on the eye listing and grouping of financed activities as a function of major types of support financed, and the inclusion of partial percentage of SwedBio's support in relation to total funds provided.

The ET has not found any documentation showing that the launch of SwedBio included any public call for tender invitation. The reasons for this are not known and the judicial implications of the original agreements made between Sida and SwedBio are beyond the terms of reference of this evaluation. In combination with any judicial implications, following changing institutional settings and relationships over time, *the ET recommends that contract lawyers from Sida and the adjoined universities are invited to examine the agreements made between the collaborating partners (Sida, Swedish University of Agricultural Sciences, Uppsala University, CBM, and SwedBio) in partnership with the responsible institutional management teams, as the contractual situations are likely to have bearings on the capacity to deliver.* The ET though finds it important to stress that there are no indications that SwedBio's management of the Collaborative Programme would be negatively superimposed by any eventual and remaining contractual unclearness between Sida, SwedBio and adjoined Swedish institutional partners. In contrary, the ET has received frequent responses from interviewed collaborating partners that SwedBio's staff react swiftly and with competence.

3.5.2 Interaction with institutions and organisations

The original Decision Memo (June 2002), when SwedBio was launched, used arguments to develop the Swedish resource base as to underpin the rationale behind the setup of the Programme. The issue of development of the Swedish resource base was further linked to the location of SwedBio and its institutional setting. The Swedish Biodiversity Centre, located at the Swedish University of Agricultural Sciences and co-managed by the Uppsala University, was identified to best meet the criteria specified. A number of alternative institutional candidates to possibly host SwedBio were briefly mentioned, such as the Dept. of Systems Ecology (Stockholm University), the Natural History Museum, the World Wildlife Fund, and the Swedish Society for the Conservation of Nature. The Swedish Biodiversity Centre (CBM) was selected as it represented expertise on biological diversity in a broad social context, having links to research (including applied research), and interest in international cooperation with Sida. The nearness to the Swedish EIA Centre, the Species Data Bank, and subject-matter departmental expertise at the Swedish University of Agricultural Sciences was further mentioned as being advantageous. Interviewed Sida staff have indeed reiterated that it has been regarded as an added-on value to host SwedBio, and to co-utilize the competence and knowledge, at The Swedish Biodiversity Centre specifically and at the Swedish University of Agricultural Sciences in general.

The respondent from CBM interviewed by the ET reviews that the contractual arrangement between SwedBio and CBM has been very useful. It was further stated that the SwedBio staff have been successful as to participate and contribute to formulations in policy processes in multilateral environmental conventions and treaties. It was also noted that SwedBio would preferably develop to have a more reflective role versus Sida.

The Swedish Agriculture University is currently undertaking a review of the relationships between CBM, the Faculty of Agriculture and Natural Resources, and the university's Management. No formal output/response is yet produced, wherefore the ET deliberately decides to not comment on this internal and on-going process.

As already described in this report SwedBio has made changes to its rationality over time. The inclusion of ecosystem services, from the AECF document and onwards, has obviously provided SwedBio with reasons to expand its working relationships with Swedish institutions. Through its assignment to finance a follow-up of the Millennium Ecosystem Assessment, new institutional partners were identified as being of importance: Stockholm Environmental Institute (SEI), Swedish Scientific Council on Biological Diversity, the Swedish Fisheries Board, the Swedish Water House, the Swedish International Water Initiative (SIWI), and the Beijer Institute.

SwedBio staff has become an additional member of the Swedish Scientific Council on Biological Diversity (hereafter known as the "Council"), whose formal members are assigned by the MoE apart from the Secretary. The Council has recently received a mission from the MoE to assess resilience functions and ecosystem services, including instructions to utilize other Swedish partners of relevance (e.g. The Swedish Species Information Centre, SwedBio, and the Stockholm Resilience Centre). The respondent from the Swedish Environmental Protection Agency (EPA) interviewed by the ET, who in parallel is appointed as Secretary of the Council, reflected upon the roles played by SwedBio staff as additional Council members. While appreciated for their contribution in climate- CBD-, and ecosystem-related issues, it was perceived that it was sometimes unclear whether SwedBio represented Sida or CBM within the Council. It was further noted that the Council viewed that the conceptual framework introduced by the MA can be useful, as an analytical approach to some extent and to some countries, but that it is also viewed to resemble a tad of the Emperor's New Clothes as a systems' approach.

From an institutional landscape point of view, including dependency on collaborative linkages, it is evident that the expansion in scale of activities and conceptual merge with new themes, such as climate change and ecosystem services, that SwedBio have found reasons to make some mind-mapped reorientations. SwedBio has actively developed collabora-

tion with the Stockholm Resilience Center since 2003, e.g. by inviting representatives from collaborating partners in the South to lecture on the role for biodiversity in ecosystems, and as part of an expert group during The Millennium Ecosystem Assessment Follow-up Workshop, Oct 22, 2007.

Established on 1 January 2007, the Stockholm Resilience Centre is an international centre that advances trans-disciplinary research for governance of social-ecological systems with a special emphasis on resilience - the ability to deal with change and continue to develop. It is a joint initiative between Stockholm University, the Stockholm Environment Institute, and the Beijer International Institute of Ecological Economics at The Royal Swedish Academy of Sciences. The centre is funded by the Foundation for Strategic Environmental Research, Mistra.

Likewise, the EEU environmental help desk has recently made an agreement on collaborative support in climate change issues with SEI's Oxford office, focusing on adaptive resource management particularly related to climate risks, and SwedBio has seemingly intensified its communication with SEI regarding climate change issues in addition to the existing agenda.

Unfortunately, the ET has not been able to receive management responses from the Beijer Institute, SEI or the Stockholm Resilience Center as part of this evaluation. Nevertheless, it is obvious that SwedBio's move into the fields of climate change and ecosystem services is viewed by the staff to have created reasons to broaden its collaborative partnership. From a principal point of view, the ET argues that there is e.g. a rationale for SwedBio to build on the scientific advancements in interactions between human and natural systems as developed and pioneered by the Beijer Institute and the Stockholm Resilience Center. On the other hand, the interpretation and read-off of ecosystem services in productive landscapes will still lead into subject-matter experiences in forestry, agriculture, soils, plants, and biodiversity – which are disciplines covered by the Swedish University of Agricultural Sciences and the CBM. If SwedBio is to adequately continue to develop to produce support in biodiversity, climate change, and ecosystem services – and interactions with poverty and livelihood development – a combination of maintaining existing institutional links, as well as the outcrop of new institutional arrangements, seems like a plausible approach.

The ET wants to stress that the question about SwedBio's institutional homeland is far-reaching and complex and cannot be elaborated on in any detail in this evaluation. Preferably, such an external evaluation should be undertaken on its own premises and include implications from Sida's new reorganisation and direction as well as the outcome from the on-going evaluation of relationships between CBM, the Faculty of Agriculture and Natural Resources, and the university's Management (Swedish University of Agricultural Sciences).

3.5.3 Reflections on institutional setting

The ET has not had the dedicated time to review the management procedures of SwedBio in detail. The overall impression by the ET is that management routines are seemingly transparent and well-functioning within SwedBio as well as between SwedBio and CBM. There are though some details concerning management and nitty-gritty that the ET wants to comment on as outlined in section 3.5.1.

The ET recommends that contract lawyers are invited to re-examine the agreements made between the adjoined partners, in partnership with the responsible institutional management teams, as the contractual situations are likely to have bearings on the capacity to deliver and legal appropriateness.

SwedBio has made changes to its rationality over time. The inclusion of ecosystem services, from the AECF document and onwards, has obviously provided SwedBio with reasons to expand its working relationships with Swedish institutions. From an institutional landscape point of view, including dependency on collaborative linkages, it is evident that the expansion in scale of activities and conceptual merge with new themes, such as climate change and ecosystem services, that SwedBio have found reasons to make some mind-mapped reorientations.

The ET wants to stress that the question about SwedBio's institutional homeland is far –reaching and complex and cannot be elaborated on in any detail in this evaluation. Preferably, such an external evaluation should be undertaken on its own premises and include implications from Sida's new reorganisation and direction as well as the outcome from the on-going evaluation of relationships between CBM, the Faculty of Agriculture and Natural Resources, and the university's Management (Swedish University of Agricultural Sciences).

4. Evaluative Conclusions

The ETs main conclusions are highlighted in this section. There are additional conclusions implied in chapter 3, particularly at the end of the design section (3.1), component sections (3.2, 3.3, 3.4), as well as under the section on “institutional setting” (3.5). Before going into the conclusions related to the sections of this report, the ET provides a conceptual section as we believe that this also has a bearing for the future of SwedBio.

4.1 Conceptual Issues in Biodiversity, Ecosystem Services and Poverty Alleviation

Biodiversity and ecosystem services can for some actors be a new concept (even if most of them have heard the terms before) and/or is not fully understood. Biodiversity in particular has been or is still seen as the agenda of “a green movement” of interest groups who wish to protect threatened species by all means possible. While these perceptions in most cases are unfair in view of the ET, there is a legacy, which to some extent explains these misconceptions.

There are in addition different schools of thought among the expertise on issues such as (i) definitions of ecosystem resilience; (ii) the significance of biodiversity for the robustness of an ecosystem (and by implications the services they provide); (iii) and the economic valuation of biodiversity⁶³. There are also regarding ecosystem services some common misconceptions e.g. the common reference to natural forests and their unique significance for preventing floods and droughts in watersheds and river basins. While these forests are significant, the conclusion often seems to end up in the argument that there are no alternatives other than protection of these forests or massive reforestation schemes (in case these areas have been deforested).

In regards to the present evolutionary stage of the international research debate on how biodiversity–ecosystem services may link to livelihood-poverty alleviation, the ET finds that SwedBio's documented outputs are dominantly building on the pre-assumption that interlinkages between e.g. biodiversity and poverty alleviation either represent win-win or lose-lose cases. While this assumption may be true and conceptually valid and supported by international research, it is equally true that there is a surprisingly low level of empirical findings to support that a unit intervention leads per se to the twin benefits of biodiversity conservation and improved poverty alleviation combined. A substantial amount of peer-reviewed writings examined does not permit any systematic and context-sensitive generalisations about the conditions under which it may be possible to achieve poverty alleviation and biodiversity conservation simultaneously⁶⁴, ⁶⁵. In a similar fashion, the scientific understanding of roles played by key species

⁶³ Markandya A. et al (2008) Review on the economics of biodiversity loss –phase. Economic analysis and synthesis. EC – ENV.G.1/FRA/2006/0073

⁶⁴ Science, Vol. 306, 12Nov 2004, pp. 1146-1149

⁶⁵ Agrawal, A., Redford, K. 2006. Poverty, Development, and Biodiversity Conservation: Shooting in the Dark ? Wildlife Conservation Society.

in providing pathways in matter and energy transfers between different interfaces of ecosystems has been advocated by a school of analysts who rank losses of ecosystem function as more severe than extinction of single individual species or genes per se. There are moreover development researchers that make a distinction between poverty alleviation on one hand and poverty reduction (or pro-poor growth) on the other, something that adds another conceptual dimension to the questions highlighted in this paragraph.

The ET is of the opinion that the international community has made significant progress in recent times as to develop frameworks of indicators and monitoring and their coherency in support to the interfaces of biodiversity, ecosystem goods and services, and poverty. To illustrate this point, the CBDC-BUCAP programme co-funded by SwedBio since its start in 2003, and visited by the ET, is viewed to benefit from a development and introduction of qualitative indicators to assess changes in e.g. the interface between biodiversity and poverty over time (the programme seems to lack the inclusion of a dedicated baseline study to assess impacts over time and following “with” and “without” interventions). Such a development, which could be lead by one of the implementing agencies combining research experiences, and staff knowledgeable and experienced in participatory field work, e.g. the Mekong Delta Research Institute (MDI), is viewed to improve programme monitoring coherency and accuracy, specifically if the two associated programme structures, BUCAP and CBDC, can be developed to even more intimately collaborate with one another than presently. The ET, at the same time, recognizes that SwedBio’s funding of this programme, focusing on farmers’ rights to seed issues, seems relevant and well-founded in light of both the existing steering objectives superimposed on SwedBio’s work, and from an international and competitive perspective on potential alternatives within the same programme category. The external review of the BUCAP Programme by Dr. Jaap J. Hardon (2005) was impressed and positive of programme implementation and management in general.

Finally, the debate and rhetoric regarding the significance of biodiversity and ecosystem services to address poverty sometime tend to be somewhat simplistic, while the issues that need to be considered makes the overall question very complex. It involves – or should involve – different disciplines as well as different scales and time frames depending on the specific issue addressed. *The ET is not convinced that repeating formulations about the importance of biodiversity for poverty alleviation (and similar statements) are particularly useful or convincing for development cooperation.* Similar arguments are used also in forestry, but have there been partly challenged by some who argue that forest dependence can be a poverty trap (!).

4.2 Programme Design

The programme, and its changes over time, has not been convincingly designed and documented, particularly regarding additions and or changes that have been introduced over time. To navigate through SwedBio’s different steering and management documents, including its website, in order to get a more in-depth understanding of SwedBio is difficult. (3.1, 3.1.1). The assessment of the results linked to the three components supports this conclusion. (3.2, 3.3, 3.4)

These difficulties are particularly pronounced for the Collaborative Programme and the ET questions the actual usefulness in having a seemingly overlapping situation, by making references to *criteria*, *“points of departure”*, *“dimensions”* and *“themes”* in different programme documents.

While appreciating that SwedBio, to a large extent, has been a process-oriented programme, is no excuse for these weaknesses. With an unambiguous programme design, changes can be introduced without losing sight of direction and purpose. This will however require clear routines on how changes and additions should be managed and mutually agreed upon. (3.1).

This should be a concern for Sida as well. A fair number of respondents in this study raised the question “What is SwedBio?”, also including those who had positive experiences of interacting with the SwedBio staff.

4.3 Collaborative Programme

It is not clear how the steering concepts used in SwedBio's documents of the Collaborative Programme have actually been used and interpreted throughout the application, reviewing, assessment, selection, and decision-making processes (3.2.1).

The ET is left with an uncertainty of what Sida specifically wants to institutionalise from the Collaborative Programme, and how the agency wants to use the feedback option available. The incorporation and use of the concept of ecosystem services are not viewed to be congruently or conditionally embedded into Sida's goals, objectives or policies. This gap is as much a Sida issue as it is a SwedBio issue to resolve and have clear implications for the "integration" component of the SwedBio programme (3.2.3.2).

SwedBio has taken a principally interesting and seemingly well-founded decision, via the Collaborative Programme, by building support to the local dimension through improved capacity and representation of local communities in international environmental policy processes (3.2.6).

The amount of self-governance in SwedBio's development of its Collaborative Programme is commented as being mostly advantageous, though some feel a risk that the outsourcing of themes to SwedBio may reduce Sida's attention to institutionalize the same matters (3.2.4.1).

The ET doubts that the current portfolio and financing level of the Collaborative Programme is justifiable as long as the feedback mechanism to Sida is performing poorly.

SwedBio and the implementing agencies, through the Collaborative Programme, would further gain in quality if support is rather fine-tuned within the existing stock of terrestrial man-made ecosystems programmes in which SwedBio staff are experienced (3.2.3.1).

SwedBio's experiences from the Collaborative Programme are largely untapped by the Swedish Embassies in programme countries and elsewhere. It is believed that SwedBio's pool of *local* experiences should be of more relevance to the Embassies and Sida's field organisations than presently found (3.2.5).

4.4 Integration of Biodiversity and Ecosystem Services in Swedish Development Cooperation (Sida)

If a selection of Sida's guiding document is used to assess the extent by which "biodiversity" and "ecosystem services" are integrated and mainstreamed in Sida, the findings are mixed but mainly discouraging (3.3.2).

Sida has not functioned convincingly as the end-receiver of SwedBio's promotion of integration of biodiversity and ecosystem services. The ET has identified several reasons likely to explain why this has been so difficult. (3.3.2, 3.3.4).

Regardless of whether this will change or not with the new Sida organization, SwedBio should apply a more aggressive and systematic approach for integration in Sida. SwedBio's current communication strategy will not be sufficient in this regard (3.3.4).

SwedBio's homepage is by and large informative and relatively easy to navigate. It provides useful information as well as links to other sites. There are perhaps too much of "ambitions" and "guiding statements", something that in the end can confuse a visitor, who looks for a more in-depth understanding of the subject. The ET has only reviewed a limited sample of SwedBio's publicized material available on their homepage (addressing the biodiversity *per se*) and cannot offer an overall conclusion as to whether this has been a reasonable output. Those assessed are however informative and useful. (3.3.3.3).

The support from, and cooperation between, SwedBio and the Swedish EIA Center and EEU-HD have been informal and has functioned well, The latter party has though stated that the interaction with SwedBio can be further improved. SwedBio's competence is somewhat similar to that of EIA-HD and more complementary to EEU-HD. (3.3.3.1).

EIA-HD and EEU-HD services has been more institutionalized and better defined, while SwedBio to some extent has been charged with the task of selling a "message". (3.3.3.1).

Albeit simplified, the ET suggests that Sida's programme officers can be categorized into three categories: (i) the converted; (ii) the skeptics (informed and misinformed); and (iii) the ignorant. The demand for SwedBio's services has, for understandable reasons, mainly been from category (i), while (ii) and (iii) have been less likely to request services from SwedBio. (3.3.5).

4.5 International Methods- and Policy Development

Various informants from MfF and MoE, as well as WRI and UNEP, have without exception conveyed a very positive impression of SwedBio, emphasizing both their competence and engagement. (3.4.3).

The engagement has been *direct* in terms of the advisory support provided by SwedBio's staff as well as *indirect* through the funding of other organization's initiatives/activities.

The most significant example of contributions to other organizations and initiatives in terms of potential results (yet to be achieved) is the support to UNEP and WRI for the MA follow up (3.4.2). Other examples of results already achieved have been the support to NGOs/CSOs to build their capacity to participate in regional/international processes (3.2.7, 3.4.1.1).

A potential problem with the support for the MA follow up is that SwedBio has been the only source of external funding amounting to some 30–40% of the budgets associated the WRI- and UNEP- projects respectively (3.4.2).

Examples of direct engagement and demonstrated results include e.g. the assistance provided to Swedish Government Ministries like MfF, MoA, MoE etc. MoE has included several examples on deliberations related to environmental conventions and processes in e.g. CBD as well as UNFCCC (3.4.1).

However, it is not clear how some of these inputs have contributed to SwedBio's overall ambitions (program objective). For example, it seems as if SwedBio sometimes has acted as gap-fillers to the Ministries (3.4.1).

4.6 Institutional Setting

The division of tasks within SwedBio seems to be reasonably well-structured and managed during the evaluation period (3.5.1).

There are some concerns expressed by Sida staff as to where Sida's funding responsibilities begins and ends regarding Swedbios expanded contributions to Swedish Ministries in policy formulation processes and whether this may call for cost-sharing arrangements. Representatives from MfF and MoE do not necessarily agree with the idea and claim they can request Sida to deliver relevant services in demand (3.5.1).

The overall impression by the ET is that management routines are seemingly transparent and well-functioning within SwedBio as well as between SwedBio and CBM. There are though some details concerning management that the ET has commented upon (3.5.1).

The launch of SwedBio does not seem to have included any public call for tender invitation. The reason for this is not known. Nevertheless, it is likely that the institutional setting have changed over time and it would seem relevant to invite contract lawyers (Sida and the collaborating Universities), in partnership with management teams of Sida, CBM, Swedish University of Agricultural Sciences, Uppsala University, and SwedBio, to assess the formal agreements and judicial implications prior to a launch of a phase three period (3.5.1).

From a principal point of view, the ET argues that if Sida and SwedBio want to conceptually cover new themes (climate change/adaption and ecosystem services), there is e.g. a rationale for SwedBio to build on the scientific advancements in interactions between human and natural systems as developed and pioneered by the Beijer Institute and the Stockholm Resilience Center (3.5.2).

On the other hand, the interpretation and read-off of ecosystem services in productive landscapes will still lead into subject-matter experiences in forestry, agriculture, soils, plants, and biodiversity – which are disciplines covered by the Swedish University of Agricultural Sciences and the CBM (3.5.2).

The ET wants to stress that the question about SwedBio's institutional homeland is far-reaching and complex and cannot be elaborated on in any detail in this evaluation. Preferably an external evaluation should be undertaken on its own premises to address this issue and take into consideration the reorganisation of Sida as well as the evaluation of the relationship between CBM, the Faculty of Agriculture and Natural Resources, and the Management of the University (SLU).

5. Recommendations

5.1 Mandates and Capacity to Accomplish the Programme Objective

In view of the ET SwedBio has accomplished least in relation to the component “Integration of biodiversity in Swedish international development cooperation”, while the performance linked to the component, “International policy and methods development” (International dialogue), has been highly satisfactory. The performance related to the component “Collaborative Programme” depends on the entry point of the assessment and is comparatively more vulnerable to become a victim of poor programme design. All three components should contribute to the overall programme objective:

“Increased capacity and commitment of Swedish international development cooperation to pro-actively and strategically work towards the development objective⁶⁶ and address biodiversity issues in a perspective of poverty alleviation and sustainable development.”

Assuming that there will be a third phase and that the overall programme objective about “integration” is maintained, the ET views that the following fundamental questions require attention:

1. Would “integration” of “biodiversity” and “ecosystem services” in Swedish development cooperation be facilitated, if biodiversity and ecosystem services and their relation to pro-poor growth, would be more thoroughly analyzed and problematized ?

After all, the development objective of SwedBio emphasizes “poverty alleviation and improved livelihoods through equitable, sustainable and productive management, of biodiversity resources”. The ET is of the opinion that the interpretation of this objective should not necessarily be that

⁶⁶ Swedbio's development objective: To contribute to poverty alleviation and improved livelihoods through equitable, sustainable and productive management, of biodiversity resources at all levels – genes, species and ecosystems”

more “biodiversity” automatically leads to reduced poverty and pro-poor growth. We believe that there is scope for a more convincing approach if opportunities and constraints related to poverty alleviation and biodiversity, as well as ecosystem services, would be problematized more convincingly. The question then arises on how this could be done. The ET has not assessed this specifically but provides some comments for further discussion below:

- What role should SwedBio have if this approach is adopted? To (i) collate, assess and document current research/experiences on relevant issues, to (ii) articulate specific issues and involve (contract) other institutions for further analysis; and/or to (iii) support research etc.? These proposed modes of operation have to some extent already been applied by SwedBio, but the “issues” would need to be congruently and complementary addressed from other entry points than what has been the case so far.
 - Integration in Swedish development cooperation could probably be boosted by providing improved documentation and conceptualized analysis and assessments of crucial matters, including an improved understanding of the magnitude, overlap and interactions between biodiversity, poverty alleviation, and macroeconomic/policy-induced processes, and informed trade-off decisions. If there would be a commitment from Sida for this idea, seminars and workshops could be organized where articulated issues are discussed from different entry points. There are also several other avenues that could be used for this purpose, but Sida would still need to display a convincing engagement and to provide SwedBio with a relevant mandate.
 - What would be the implications for the programme design? The ET believes that the components, “Integration” and the “Collaborative Programme”, would require thorough discussions and reviews. The third component, “International Methods and Policy Development”, is in this regard less problematic, but should be part of the equation as well.
2. The alternative would be to continue as before and – allowing for some simplification – convey a message that “maintaining and increasing “biodiversity” automatically leads to pro-poor growth. With this alternative there would still be a need to improve programme design/routines (see below).

While the ET favors the first approach, the question deserves a more thorough discussion among the immediate stakeholders i.e. representatives of Swedbio, Sida, CBM and other resource persons. This is particularly important in the light of Sida’s new organization and direction.

5.2 Programme Design

The overall objective should mirror an overall problem or concern and is usually analyzed by identifying a subset of problems. The adjoined challenges should be addressed more convincingly to achieve an improved programme design. The hierarchy of objectives and how these are articulated, and associated outcomes and outputs, need to reflect these problems.

A process-oriented program like SwedBio will at the same time require some flexibility as the need to modify the programme over time is more likely to occur than not. The “image” of SwedBio can only gain from a convincing design process, unambiguous programme documents, and well-defined procedures on how modifications and/or changes should be managed, if and when the need occurs.

For this purpose the ET recommends that LFA is applied in case a third phase is approved upon. However, an LFA should not simply be regarded as a “writing-up exercise” ending up in a matrix and then forgotten, and it is important to ensure a shared understanding among the more immediate stakeholders of the programme.

In relation to this there will be a need for useful indicators that reflect progress and performance. They should facilitate and complement other means to monitor the program and should be fairly easy to record and/or collect. Indicators should as much as possible be SMART (Specific, Measurable, Achievable, Relevant and Time bound).

5.3 Collaborative Programme

SwedBio is encouraged to re-develop its Strategic Framework for the Collaborative Programme, a concept introduced in the AECF document. As of now it is not viewed to adequately represent the essence of an important supporting or underlying structure for analytical guidance in decision-making on programme support.

The Collaborative Programme needs to more thoroughly develop and incorporate progress indicators, and indicators of achievement, that can specifically qualify to measure defined outcomes.

It is recommended that SwedBio puts increasing efforts to build a synthesis and concise summaries of lessons learnt from the Collaborative Programme and pointers to future work.

The comparatively large amount of total funds allocated to policy and advocacy support, suggests that SwedBio should more actively support the definition of process indicators as to characterize progress and completions in e.g. policy reform-based programmes.

The ET recommends that SwedBio's internal budget reporting system is reworked to more congruently reflect the division into major categories of short-term and long-term support provided, and to allow for easier ways to navigate and identify cumulative disbursements over time per collaborating agency.

It is further recommended that SwedBio strengthen its management routines as to provide guidelines and information on the relative rate of financial contribution prior to decision-making.

It is recommended that management routines are introduced to increase information exchange following decisions to support NGOs in the South by Sida-SwedBio and through Swedish NGOs respectively.

The ET suggests that Sida and SwedBio consider addressing the potential benefits from collaboration with international/regional think tanks or research institutions in the South.

The impacts of SMEs, and the increasing importance to consider these actors in biodiversity-poverty alleviation analysis and biodiversity-awareness development, are recommended to be equally addressed by Sida as well as SwedBio. This is currently not covered by the Collaborative Programme (nor is it an existing mandate for SwedBio).

5.4 Integration of Biodiversity and Ecosystem Services in Swedish Development Cooperation (Sida)

SwedBio is recommended to develop a communication and information strategy for integration of biodiversity and ecosystem services considerations in Swedish development cooperation with relevant sections in Sida. The strategy should provide operational ambitions and a defined mandate for SwedBio.

SwedBio is recommended to develop a new communication and information strategy – in cooperation with representatives from Sida – with well-defined ambitions regarding “integration” of “biodiversity” and “ecosystem services” in Swedish development cooperation. The strategy should provide operational guidance and define the role of SwedBio and relevant sections within Sida. The strategy may or may not make use of the findings and ideas presented in section 3.3.4.

A systematic approach for integration of biodiversity and ecosystem services at the Embassies is missing and need to be addressed. Moreover, SwedBio and Sida are recommended to explore the possibility to make use of SwedBio's collaborative partners, when these are based in the same country.

The prevailing and dominant “demand-driven” approach should be complemented with both a “mission-driven” as well as “engagement-driven” approaches, in order to adapt to different needs and circumstances in Sida. The details of this will depend on Sida's new organization and institutional arrangements (3.3.4).

An appealing entry point for integration in Swedish development cooperation is the so called “resource base”. This initial SwedBio ambition disappeared – or has at least not been very visible – during its two first phases. Unless there were good arguments for this, the ET suggests that the resource base should at least be on the agenda if and when a third phase is prepared (3.3.1).

There might be a need to develop a more formalized relation between SwedBio and the other two help-desks (EIA-HD and EEU-HD), while maintaining as much as possible of the flexibility that has characterized these relationships in phase 1 and 2. This could also make SwedBio's contributions more visible (3.3.4.1).

5.5 International Methods- and Policy Development

Swedbio and Sida should clarify the implications of this component, if “integration in Swedish development cooperation” remains as the overall programme objective. Issues to address are e.g.:

- Is there a need to define where SwedBio's (and by extension also Side's) responsibilities to support Swedish Government Ministries and Agencies (and their international responsibilities) begins and ends. Are there any needs and means of formalizing this kind of assistance?
- In what way should assistance be delivered? The Programme Objective emphasizes “increased capacity”. The ambition of the Component Outcome is “increased Swedish contribution to international policy-and methods development”...How should this be achieved? The current approach has been to use SwedBio programme officers as resource persons and sometime almost as gap fillers (for lack of resources in e.g. a Ministry). While SwedBio's performance has been excellent and highly appreciated, the question is whether this is “capacity” building or to what extent “increased contributions” should be made through direct involvement of SwedBio programme officers more or less on a case by case basis?

5.6 Institutional Setting

The many “ex-hats” borne by SwedBio staff (e.g. ex-SSNC, ex-Sida, and ex-MoE), in combination with the multitude of hats presently borne or, externally perceived to be borne, (e.g. SwedBio, Sida, Swedish University of Agricultural Sciences, official/governmental negotiators and advisors in multilateral conventions and treaties, and additional member of the Swedish Scientific Council on Biological Diversity), calls for a significant degree of transparency and clearness in management routines concerning “who is representing whom” in any event and decision-making. This is an area where the ET finds reasons to recommend improvements and more effective institutional arrangements.

It is recommended that SwedBio maintain an institutionalized body of diversified experiences and skills in development work. The ET though wants to underscore a potential vulnerability in the institutional setting as the assistance from SwedBio's programme officers appears to be very individualized, something that is most apparent in relation to the “International Methods- and Policy Development” component. The ET suggests that this situation should be considered when Sida, SwedBio, and ad-joined partners discuss institutional settings, eventual partnerships, and work task assignments.

It is recommended that the budget administration allows for easier navigation on actual and cumulative disbursement per collaborative agency, easy on the eye listing and grouping of financed activities as a function of major types of support financed, and the inclusion of partial percentage of SwedBio's support in relation to total funds provided. It is also recommended that SwedBio rectify some existing anomalies in management documentation (see section 3.5.1).

The ET wants to stress that the question about SwedBio's institutional homeland is far –reaching and complex and cannot be elaborated on in any detail in this evaluation. Preferably, such an external evaluation should be undertaken on its own premises and include implications from Sida's new reorganisation and direction, as well as the outcome from the on-going evaluation of relationships between CBM, the Faculty of Agriculture and Natural Resources, and the university's Management (Swedish University of Agricultural Sciences).

Appendix 1. Terms of Reference

External evaluation of the Sida-supported Swedish International Biodiversity Programme at the Swedish Biodiversity Centre, Swedish University of Agricultural Sciences

Review Purpose

The review is intended to a) assess experiences and results during 2003 to December 2007 from the Sida-supported Swedish International Biodiversity programme (SwedBio) at the Swedish Biodiversity Centre, and b) to identify emerging issues and challenges related to biodiversity resources and ecosystem services and their importance to poverty alleviation, as a basis for guiding Swedbio's future support to Sida in managing these issues.

Intervention Background

The Swedish International Biodiversity Programme (SwedBio) was initiated by the Swedish International Development Cooperation Agency (Sida) late 2002 in order to provide a platform for a pro-active and strategic approach to addressing biodiversity for local livelihoods within Swedish international development cooperation.

SwedBio's work is organised into three main components:

1. Integration of biodiversity aspects in Swedish development cooperation, with primary focus on functioning as resource to Sida. In this context SwedBio primarily works with and through the two Sida environmental help-desks (Environmental Assessment based at SLU, and Environmental Economics at Gothenburg University) and the Environment Policy Division.
2. Direct support to capacity building in the South on different aspects of "biodiversity for local livelihoods and poverty alleviation" (the Collaborative Programme).
3. Direct involvement by SwedBio staff in relevant international policy and methods development processes.

Since SwedBio was initiated, the global context, as well as the work of Sida, has partly changed and a number of new challenges have emerged.

Present global challenges and context

Important changes and development in the global context include:

- The Paris Declaration on Aid Effectiveness (from March 2005) in which donor countries commit themselves to continuing and increasing efforts in ownership, harmonization, alignment, managing for results and mutual accountability.
- Understanding of the global threats to environment and natural resources – and how this affects human livelihoods and poor and vulnerable groups in particular – is gradually increasing. Environment and natural resources is partly back on the international agenda, with particular focus on climate change and agriculture. Of particular relevance are the reports and results of the Millennium Ecosystem Assessment (MA) that were concluded during 2005 and the Stern Review on the Economics of Climate Change.

A changing scene for Swedish development cooperation and at Sida

Linked to the changes in the global context it is also clear that the scene for Swedish international development cooperation is changing:

- More focus on budget and sector support – according to Sida’s work on Programme Based Approach, and concentration to fewer sectors in recipient partner countries (in line with the Paris declaration). Decentralised Embassies. More attention to indicators, results-based management, analysis of results and dialogue.
- Sweden is restructuring its bilateral aid by focusing on a reduced number of recipient countries, giving a stronger focus on Africa and the number of countries has decreased to 33 of which 12 are the main programme countries. “Climate and Environment” is one of three priority areas.
- The external evaluation (from 2006) of Sida’s work on environment integration made a number of specific recommendations.
- A re-organisation of Sida is underway (to be implemented in the second half of 2008) and may have implications for how environmentally related support services to Sida could and should be organised. The new organisation structure will be equipped with country teams.

Stakeholder Involvement

The main stakeholders are the Environment Policy Division at Sida, and the SwedBio-programme at CBM. These should be approached during the early stages of the assessment and should also be consulted for clarifications and comments before the final report is completed.

In addition, the following main stakeholders should be approached:

- Other relevant departments within Sida and field offices (i.e. embassies), and Sida’s two environment help-desks.
- SwedBio partners within the Collaborative Programme and other relevant international organisations.
- Swedish Government representatives, e.g. Ministry of Environment and Foreign Affairs.

Objective and Evaluation Questions

The objectives of the evaluation are to assess results and experiences of SwedBio so far, and to make recommendations on how the critical work on integrating and addressing biodiversity and ecosystems services within Swedish development cooperation could be further improved.

The three main programme components should, as far as possible, be reviewed for their overall relevance, outcome in relation to objectives, as well as quantitative and qualitative achievements and impact as well as to what extent they are mutually supportive. The assessment can be divided into two parts:

1. Assessment of past performance against the Project Document.
2. Recommendations on improvements for the future.

Specific evaluation questions include:

Collaborative programme:

- Is the SwedBio Collaborative Programme making a difference (in terms of addressing drivers behind biodiversity loss, biodiversity-livelihood linkages, promoting sustained ecosystem services, affecting policy agendas etc)?
- Are criteria and direction relevant (e.g. in relation to the critical issues discussed and debated internationally, and Sida's goals)?
- Is the performance of supported initiatives adequate (effectiveness and efficiency)?
- How do different stakeholders (including supported organisations) perceive the programme and its performance?
- How does the selection of supported initiatives relate to priorities and criteria? Are the SwedBio management routines adequate?
- To what extent does the SwedBio Collaborative Programme complement and/or duplicate other support through Swedish development cooperation?
- How does local knowledge feed into the programme as a whole and also into Sida?
- To what extent does the support from SwedBio help organisations making their voice heard in international and national policy and decision fora?

Contribute to the integration of ecosystem services and biodiversity within Swedish international development cooperation:

- What are the main bottlenecks to integration of biodiversity and ecosystem services?
- To what extent is SwedBio efficient in the "fore-front" and contribute to raising and addressing emerging and strategic biodiversity-livelihoods issues within Swedish development cooperation?
- What has worked and what can be improved in using SwedBio as an efficient resource for Sida? Are there any special Sida divisions that should be targeted?
- Are the tools used today (i.e. Environmental Assessment, Environment & Climate Analysis) sufficient for integrating Biodiversity and ecosystem services issues?
- Do the communications tools such as fact-sheets work as relevant tool for increasing awareness at Sida? What is a reasonable ambition level to put on development of new fact sheets?
- Is the division of roles and main strategy selected (e.g. working mainly through the two environmental helpdesks) adequate and relevant?
- How can SwedBio interact with embassies and SENSEA?
- How can the advisory services to embassies be connected to and benefit from the projects in respective countries?
- Which key challenges can be identified for the coming years?

International methods- and policy development:

- To what extent is SwedBio "present" in and follow (and/or participate in) relevant processes internationally?

- To what extent has SwedBio been able to respond to new and emerging issues?
- How efficient and relevant is SwedBio's in-puts in the Swedish policy processes of relevance to biodiversity and livelihoods in developing countries?

Institutional setting

- To what extent has SLU and CBM provided an adequate institutional and knowledge base for SwedBio?
- Is the level of SwedBio's interaction with relevant institutions and organisations in Sweden adequate?

Recommendations and Lessons Learned

Lessons learned and recommendations could include, but not necessarily be restricted to, the following issues:

- Recommendations on how the Collaborative Programme should be improved and/or developed. Can the resources be used in more effective ways? How could knowledge from the Collaborative Programme better feed into the SwedBio programme as a whole? How could/should SwedBio's work to strengthen of civil society voice in international and national policy and decision fora be improved?
- Recommendations on how SwedBio more efficiently can provide back-stopping to integration of ecosystem services and biodiversity concerns in Swedish international development cooperation (policies, country- and regional strategy processes and projects/programmes), including on how to create further synergies between SwedBio and the two environment help-desks to this effect.
- Recommendations on how SwedBio can improve advice and feedback from the Collaborative Programme and from international processes to Sida.
- Recommendations on how SwedBio could further improve inputs to the international policy processes and dialogue, including collaboration with relevant Ministries in Sweden.
- Recommendations on appropriate institutional setting for SwedBio, to ensure adequate collaboration with relevant actors in Sweden.
- Recommendations on how to follow-up on and make results of the programme visible (long and short term).

Methodology

The evaluation will include, but not necessarily be limited to:

- Review of secondary data, plans and reports (Sida-CBM agreements, Three-year and annual plans and reports from SwedBio, Decision-memos regarding support provided from SwedBio, Reports from supported partners, External review of SwedBio's Collaborative Programme from 2005 etc).
- Data collection, analysis and interviews with relevant stakeholders in Sweden, including visits to SwedBio/CBM and Sida.
- Data collection and interviews with relevant international stakeholders, including both partners within the Collaborative Programme and other international organisations.
- Field visits to selected partners.

Work Plan and Schedule

- The evaluation should take a maximum of six weeks during the period August-September 2008 and shall include:
- 1 week interviews of stakeholders in Sweden, including a two day visit to SwedBio/CBM.
- 1,5 weeks to gather and analyse background information, and interview international informants.
- 2 weeks field visit to region to be selected by consultant in consultation with SwedBio/CBM and Sida.
- 1,5 week for preparation and finalisation of the report.

Reporting

The consultant should submit a preliminary written report to the Environmental Policy Division by 30 September 2008. After receiving comments from the Environmental Policy Unit and SwedBio/CBM, a final written report should be submitted to Sida by 15 October 2008.

Evaluation Team

The evaluation team should consist of a minimum of 2 consultants (working 6 weeks each).

At least one of the consultants should be fluent in both Swedish and English.

The consultants should furthermore have extensive knowledge about and experience in:

- policies and methods used in Swedish international development co-operation;
- international policy- and methods development on ecosystem services and biodiversity;
- integrating biodiversity and ecosystem services concerns into development cooperation and other planning frameworks;
- capacity building in developing countries, including experiences of NGO networks;
- very good knowledge and understanding of the main regional and global actors, networks and NGOs.

Appendix 2. List of Documents Consulted

Note: This list is organised under different headings in order to distinguish specific SwedBio and Sida documents from those of more general relevance. There are however some documents headed as general that are both SwedBio-specific and general in that there are other supporting partner organisations involved.

Author	Year	Title
General		
3D > Trade – Human Rights – Equitable Economy and the Institute for Agriculture and Trade Policy	2005	Planting the Rights Seed: A human rights perspective on agriculture trade and the WTO March 2005, Backgrounder No. 1 in the THREAD series
Agrawal, A., Redford, K.	2006	Poverty, Development, and Biodiversity Conservation: Shooting in the Dark ? Wildlife Conservation Society.
Anon.	2005	Specific Targetted Reaearch or Innovation Project – Annex I, Description of Work. Sixth Framework Programme
Anon.	2008	Mangrove Ecosystem Research Centre (MERC). Hanoi University of Education
Anon.	2006	Invasive Species and Poverty: Exploring the Links. GISP
Bhagwati, J.	2002	“Wanted: Jubilee 2010”, OECD Observer, No. 231/232, May 2002.
Ecological Economics	2007	Ecological Economics, Volume 62, Issue 1, 1 April 2007, Pages 93–101
Fahlén, A.	2002	Contrasting views on the valuation of tropical forest resources: With particular references to Southeast Asia. PhLic Dissertation, Dept. of Physical Geography and Quaternary Geology, Stockholm University.
Erkenborn U. Et. Al.	2008	Systems.based Audit of the African Biodiversity Network (ABN). Öhrlings Price-Waterhouse-Coopers
Hardon J. J., et. al	2005	Evaluation Report of the Biodiversity Use and Conservation in Asia Programme (BUCAP) November 2004–January 2005
Hessel B.	2007	Bedömnings-PM: Stöd till ”Poverty and Environment Initiative (PEI). Naturvårdsverket
Lundberg J., Moberg F.	2008	Ecological in Ethiopia – Farming with nature increases profitability and reduces vulnerability. Swedish Society for Nature Conservation
MacKinnon, K.	2008	Linkages Between Biodiversity Conservation and Poverty Alleviation: Lessons from the World Bank Portfolio. The World Bank.
Markandya A. et. al.	2008	Review on the Economics of Biodiversity Loss – Phase 1 (Scoping) Economic Analysis and Synthesis. EU, Directorate – General Environment
Netherlands Environmental Assessment Agency	2006	Flyer_ IB project (sep pages).pdf
Nuvunga M., Mpunde R.	2008	Evaluation of the African Biodiversity Network. A Report Commissioned by Hivos
Science	2004	Science 306, 1146 (2004)
Science	2007	Science 14 September 2007: Vol. 317. no. 5844, pp. 1513 - 1516
Statens Offentliga Utredningar	2007	Tillväxt och miljö i globalt perspektiv. Miljövårdsberedningens promemoria 2007:1
UNEP		UNEP/CBD/SBSTTA/9/10
Wärnbäck J	2006	Support to Stockholm Environment Institute (SEI) for the project “Mangrove ecosystems, communities and conflict: developing knowledge-based approaches to reconcile multiple demands”, 1 June 2006–31 December 2006. Decision Memo

Author	Year	Title
Wunder S.		Payments for environmental services: Some nuts and bolts. CIFOR
Sida Documents		
Bergström L.	2004	Integrating the Environment – Knowledge for environmentally sustainable development. Sida, Environment Policy Division
Berlekom M.	2004	Mountaing Rural Development, Integration of biodiversity aspects in development cooperation – a case study. Sida, Environment Policy Division
Berlekom M. et. Byström M..	2004	Integrating Biological Diversity – the beginning of a learning process. Sida, Environment Policy Division
Brunnström K., et. al	2006	Integrating the Environment? Environmental Considerations in Sida's Work. Sida Evaluation 06/42
Ekbom A. et. Al.	2002	The Country Strategies – Guidelines for Strategic Environmental and Sustainability Analysis. Sida, Department for Natural Resources and the Environment
Lundström S. et. Rönnås P.	2006	Integrated Economic Analysis for Pro-Poor Growth – Methods Document. Sida, Department for Policy Analysis and Methodlogy
Sida	2004	Sida's Environmental Management System" – Policy and Action Plan for Environmentally Sustainable Development. Sida, Environment Policy Division
Sida	2002	Sustainable Development? – Guidelines for the Review of Environmental Impact Assessments. Sida, Environment Policy Division
Sida	2006	Sida's direction. http://www.Sida.se/Sida/jsp/Sida.jsp?d=118&a=32068 . The Internet.
Uggla F	2007	Mainstreaming at Sida – A Synthesis Report. Sida Studies in Evaluation
Sida	2008	Organisation och ansvarsfördelning. 1 oktober 2008. Sida.
Sida	2008	Sidas organisation from October 1. http://www.Sida.se/Sida/jsp/Sida.jsp?d=115&a=41539&language=en_US . The Internet.
SwedBioDocuments		
Powell N., Osbeck M.	2008	Mangrove ecosystems, communities and conflict: developing knowledge-based approaches to reconciling multiple demands – Project Summary Report 2007. Stockholm Environment Institute
UNEP	2008	The Millennium Ecosystem Assessment (MA) follow-up- A global strategy for turning knowledge into action
UNEP	2007	Sub-programme 3: Environmental policy implementation. Project Document. United Nations Environment Programme
UNEP	2008	Implementing the Millennium Ecosystem Assessment (MA), Annual Progress Report for 2007
WRI	2006	Proposal: Mainstreaming Ecosystem Services in Socioeconomic Decisions. Prepared for SwedBio by the World Resources Institute
WRI	2008	Annual Narrative Report to SwedBio on Mainstreaming Ecosystem Services in Socioeconomic Decisions.
Anon	2008	Improving Livelihoods and Policy Making through Sustainable Use of Natural Resources – SwedBio funded project.. Birdlife International
Agreements		
Schultz M.	2008	Swedish International Biodiversity programme 2002–2004(sammanställning för Evaluation Team)
Sida	2005	Avtal mellan Sida och Centrum för Biologisk Mångfald, CBM, om stöd till Swedish International Biodiversity Programme, SwedBio, under 2005–2007
Sida	2006	Förlängning av särskilt uppdrag mellan Sida och Centrum för Biologisk Mångfald, om stöd till SwedBios Collaborative Programme under 2006–2007
SLU/CBM	2008	Förlängning av antal mellan Sida och SwedBio under perioden 1 januari–31 mars, 2008, Sidas dnr 2004–402.
SwedBio	2008	SwedBio-relaterade avtal (sammanställning för Evaluation Team)

Author	Year	Title
Applications		
SwedBio	2003	Ansökan till Sida om medel för "Finansiellt stöd till aktiviteter och organisationer av strategisk betydelse för arbete med biologisk mångfald"
SwedBio	2006	Application to Sida for "Extension of the SwedBio Collaborative Programme, 2006–2007". Swedish International Biodiversity Programme, SwedBio, Swedish Biodiversity Centre, CBM
SwedBio	2005	The Swedish International Biodiversity Programme, phase 2, 2005–2007
SwedBio	2005	Memo 2005-09-27. Support to the Asia Indigenous Peoples Pact (AIPP) for the project "Indigenous Peoples and Protected Areas: a Collaborative Management Learning Network in Southeast Asia" 1/11 2005 to 30/4 2008
SwedBio	2005	Memo 051207. SwedBio support to the Pesticide Action Network Asia and the Pacific for the programme "Ending the cycle of Poison: Community Empowerment and Action for Eliminating Pesticide Hazards, January 2006 – December 2006"
SwedBio	2006	Revised application to Sida for "A programme in support of global follow-up of the Millennium Ecosystem Assessment (MA)". SwedBio
SwedBio	2007	DecisionMemo 2008-07-16. SwedBio support to Third World Network for the project "Third World Network Programme on Biosafety and Biodiversity during the period 1 January 2008 to 31 December 2010
SwedBio	2007	Reserapport 2007-0004-24. Resa till Filippinerna och besök SEARICE/CBDC-BUCAP och GRAIN 13–22 oktober, 2006
SwedBio	2006	Memo 060606. SwedBio support to SEARICE and the Community Biodiversity Development Conservation (CBDC) and Biodiversity Use and Conservation Programme (BUCAP), 1 January 2006 – 31 December 2008
SwedBio	2008	Decision Memo 2008-02-22. SwedBio support to SEARICE/CBDC Network for the project "Prospects of Farmers' Rights within the Convention on Biological Diversity (CBD): Active Engagement and Lobbying of the CBDC Network at the 9th Conference of the Parties to the Convention on Biological Diversity (CBD-COP 9) and the 4th Conference of the Parties serving as Meeting of the Parties to the Cartagena Protocol (COP-MOP 4)" during the period 1 January 2008–30 June 2008
SwedBio	2008	DecisionMemo 2008-03-27. SwedBio support to GRAIN for the project "Struggles for life Supporting people's movements on agriculture, food and biodiversity" during the period "1 January 2008 – 31 December 2010"
SwedBio	2008	DecisionMemo 2008-05-05. SwedBio support to Tebtebba for the project "Phase 2 – Indigenous Peoples' Capacity Building and advocacy project for CBD implementation" during the period 1st January 2008 to 31st December 2009
SwedBio	2008	Reserapport 2008-06-30. Deltagande i "International Participatory Plant Breeding (IPPB) conference", Hanoi, Vietnam 24–29 mars 2008
		Decisions
Schultz M.	2002	Swedish International Biodiversity programme 2002–2004. Sida Decision Memo
Evaluations and Reviews		
Halle M	2005	Review of the Swedish International Biodiversity Programme (SwedBio) – With Special Emphasis on its Collaborative Programme. SwedBio
Hardon, J.J.	2005	EVALUATION REPORT of the Biodiversity Use and Conservation in Asia Programme BUCAP November 2004–January 2005
AIPP	2006	Indigenous Peoples and Protected Areas: A Collaborative Management Learning Network in Southeast Asia Project Inception Phase Report Dec 1 2005 – June 30 2006
Mulvany, P., Ruiz, C., Goita, M.	2007	Evaluation of GRAIN's Information Work. Final Report== Executive summary and Recommendations == "GRAIN's information outputs and outreach" External evaluation for:Swedbio (Sweden), Novib (the Netherlands) and The Fund for Sustainable Biodiversity Management (NL – Hivos/Novib)

Author	Year	Title
Artajo, A.J.	2008	CoManagement Learning Network Accomplishment Report for the Months of July–December 2007. IP Coordinator KKP/WWF Phils. Fact Sheets, Flyers et.
Dung, T.N, and Pelegrina, W.R.	2002	MANAGING AGROBIODIVERSITY UNDER CHANGING MARKET AND AGRICULTURAL PRODUCTION SYSTEMS OF VIETNAM: The Use of Farmers Fields Schools Approach. International Learning Workshop on Farmer Field Schools (FFS): Emerging Issues and Challenges, 21–25 October 2002, Yogyakarta, Indonesia
Anon.	2003	Community Biodiversity Development and Conservation in the Mekong Delta, Vietnam, pp. 364-568. Sourcebook produced by CIP-UPWARD, in partnership with GTZ GmbH, IDRC of Canada, IPGRI and SEARICE.
Anon	2007	Expertkompetens: Ekosystemtjänster och biologisk mångfald. Sida, SLU/CBM och Uppsala Universitet. (Prmotinal flyer about SwedBio
Vromant, N.	2007	Good quality seeds from farmers' seed clubs, LE I S A I N D I A • J U N E 2 0 0 7, pp. 21-22
SwedBio	2008	Climate change and ecosystem services – Fact Sheet
SwedBio	2008	Human health, ecosystem services and biodiversity – Fact Sheet
Guiding documents		
SwedBio	2005	The SwedBio Communication Strategy
SwedBio	2005	Rationale, priorities and criteria for the Collaborative Programme
SwedBio/CBM	2006	Projekthanteringsrutiner och besluts- och arbetsordning för SwedBio's verksamhet
Progress Reports		
Berlekom M., Schultz M	2008	Participation in the Swedish delegation to the 9th Conference of the Parties (COP9) to the Convention on Biological Diversity (CBD), Bonn, 19–30 May, 2008. Reserapport, SwedBio
Elfstrand S.	2008	Deltagande i “International Participatory Plant Breeding (IPPB) conference”, Hanoi, Vietnam 24–29 mars 2008. Reserapport, SwedBio
Schultz M.	2007	Rapport Seminarium MA-Follow Up 22–23 oktober 2007
SwedBio	2008	Draft 3: Results and experiences from the SwedBio Collaborative Programme 2003–2008
SwedBio	2005	Report from phase 1 – main experiences and lessons learned October 2002 – December 2004
SwedBio	2006	Lessons learned from the SwedBio Collaborative Programme 2003–2005
SwedBio	2007	Annual Report 2007. Swedish International Biodiversity Programme, SwedBio – A Sida-funded programme at the Swedish Biodiversity Centre
Work Plans		
SwedBio	2005	The Swedish International Biodiversity Programme, Work Plan 2005 A Sida-supported programme at the Swedish Biodiversity Centre
SwedBio	2005	The Swedish International Biodiversity Programme, Work Plan 2006 A Sida-supported programme at the Swedish Biodiversity Centre
SwedBio	2006	The Swedish International Biodiversity Programme, SwedBio & International MSC programme on management of biological diversity. Work Plan 2007
SwedBio	2007	The Swedish International Biodiversity Programme, SwedBio A Sida-supported programme at the Swedish Biodiversity Centre. Application to Sida for a one-year extension during 2008 of a) The Sida-support to the SwedBio/CBM Collaborative Programme, and b) Sida-support to SwedBio, phase 2. Work Plan and budget for 2008
Budget		
SwedBio	2008	Budget file (Excel), dated 2008-10-02

Appendix 3. List of Persons Consulted

Title	Country/Name	Organisation	Position
Sweden			
Ms	Angelica Broman	Sida	Program Officer, SEKA
Mr	Jan Bjerninger	Sida	Head, Dept. of Natural Resources and Environment
Mr	Mats Segnestam (Retired)	Sida	Former Head of Environmental Unit in Dept of Natural Resources and Environment
Mr	Per Björkman	Sida	Coordinator, Sida's Forest Initiative
Mrs	Susanne Lokrantz	Sida	Program Officer, DESO
Mr	Peter Herthelius	Sida	Senior Agricultural Advisor, Dept of Natural Resources and Environment
Mrs	Anita Ingevall	Sida	Senior Advisor, Sustainable Agriculture, Dept of Natural Resources and Environment
	Renée Ankarfjärd	Sida	Research Advisor, Department of Research Cooperation, SAREC
Mrs	Annika Otterstedt	Sida	Policy Adviser, Environment Environment Policy Division Dept. of Natural Resources and Environment
	Michelle Bouchard	Sida	Department of Research Cooperation, SAREC
Ms	Carly Smith Jönsson	Ministry for Foreign Affairs	Desk Officer, Dept. for Multilateral Development Cooperation
Mrs	Åsa Norrman	Ministry of the Environment	Director, Division for Natural Resources
	Lars Berg	Ministry of the Environment	Senior Advisor, Division for Natural Resources
Ms	Eva Stephansson	Swedish University of Agricultural Sciences	Head of MKB Helpdesk
Dr	Torbjörn Ebenhard	Swedish Biodiversity Centre (CBM),	Deputy Director
Dr	Karin Gerhardt	SwedBio	Programme Officer
Mrs	Maria Berlekom	SwedBio	Former Program Director
Ms	Maria Schultz	SwedBio	Program Director
Mrs	Pernilla Malmer	SwedBio	Programme Officer
Dr	Sara Elfstrand	SwedBio	Programme Officer
Mrs	Susanne von Walter	SwedBio	Programme Officer
Mrs	Sonja Jansson	SwedBio	Administrative Officer
AgrLic	Karin Höök	SSNC	Head of International Department
Dr	Mark Marissink	Swedish Environmental Protection Agency	Secretary, Swedish Scientific Council on Biological Diversity
Kenya			
Ms	Anna Tufvesson	Sida/Embassy of Sweden, Kenya	Senior Programme Officer
Mr	Torsten Andersson	Sida/Embassy of Sweden/Kenya	Programme Officer, Regional unit for Rural Development

Title	Country/Name	Organisation	Position
Dr	Geoffrey W. Howard	IUCN, Kenya	Global Coordinator, Invasive Species
Mr	Hazell S. Thompson	Birdlife International	Regional Director for Africa
Mr	Jacob Machekele	Nature Kenya	Community Conservation Coordinator
Mr	Jacob Mburu	ABN Kenya	Country Coordinator
Mrs	Jane Gaithuma	Birdlife International	Communication Officer
Ms	Liz Hosken	GAIA	Programme Director
Mrs	Lucy Mulenkei	IIN	Director
Ms	Makiko Yashiro	UNEP, Kenya	Programme Officer
Mrs	Sarah Simons	GISP, Kenya	Executive Director
Mr	Zachary M. Makanya	PELUM, Kenya	Country Desk Coordinator
Mr	Simon Mitambo	PELUM, Kenya	Country Director
Mr	James Manyara	Kijabe Environmental Volunteers Organisation	Kenvo's Forest Rehabilitation Project
Ms	Lean Mwangi	Kijabe Environmental Volunteers Organisation	Project Coordinator
Mr	Michael Njinia Kibuka	Kijabe Environmental Volunteers Organisation	Recorce Center Attendant
Mr	Nicholus Kiherko	Kijabe Environmental Volunteers Organisation	Project Officer, Eco-agriculture Program
Mr	Samuel Wailangi	Kijabe Environmental Volunteers Organisation	Project Officer, Youtn Empowerment & Environmental Program
Mr	Simon Chege	Kijabe Environmental Volunteers Organisation	Project Officer, Ecotourism Program
Mr	Stephen Kamau	Kijabe Environmental Volunteers Organisation	Kenvo's Forest Rehabilitation Project
Mr	Zippora Mugure Kibuika	Kijabe Environmental Volunteers Organisation	Project Officer, Youth Exchange Program
Philippines			
	Aylwin Darleen M. Arnejo	Searice Bohol Office	Coordinator
	Merigine C. Otara	Searice Bohol Office	Programme Officer
	Prosperidao J. Abonette	Searice Bohol Office	Programme Officer
	Edilberto Yaun	Cabog Organic Farmers Organization, Clarin Commune, Bohol	Farmer representative
	Mila Yaun	Cabog Organic Farmers Organization, Clarin Commune, Bohol	Farmer representative
	Sabina Oracion	Cabog Organic Farmers Organization, Clarin Commune, Bohol	Farmer representative
	Artemio Sambayon	Cabog Organic Farmers Organization, Clarin Commune, Bohol	Farmer representative
	Florencio Rapas	Cabog Organic Farmers Organization, Clarin Commune, Bohol	Farmer representative
	Silverio Bacalso	Cabog Organic Farmers Organization, Clarin Commune, Bohol	Farmer representative
	Rufino Janohan	Cabog Organic Farmers Organization, Clarin Commune, Bohol	Farmer representative
	Calixto Polinar	Cabog Organic Farmers Organization, Clarin Commune, Bohol	Farmer representative
	Norman Torrejano	Clarin Municipality	Municipal Agricultural Technician

Title	Country/Name	Organisation	Position
Dr.	Marina A. Labonite	Central Visayas State College of Agriculture, Forestry and Technology, Bilar Commune	Director Research & Development, CVSCAFT
Prof.	Jose G. Labonite	Central Visayas State College of Agriculture, Forestry and Technology, Bilar Commune	Professor, CVSCAFT
	Bonifacio Tejada	Campagao Farmer's Production and Research Association, Campagao, Bilar	Farmer representative
	Artemio C. Cambangay	Kapunungan sa mga Mag-uuma para sa Katilingbanong Kalambuan, Riverside, Bilar	Farmer representative
	Ruperta Mangaya-ay	Zamora Organic Farmer-Researchers Association, Zamora, Bilar	Farmer representative
	Amancia Dando	Zamora Organic Farmer-Researchers Association, Zamora, Bilar	Farmer representative
	Wilhelmina R. Pelegrina (Ditdit)	Searice Philippines, Quezon City Office	Programme Coordinator
	Corazon de Jesus (Cheche)	Searice Philippines, Quezon City Office	Programme Officer, Policy Unit
	Golda Mier Hilario	Searice Philippines, Quezon City Office	Programme Officer, Policy Unit
	Vo-Tong An		Board of Trustee member (Searice Philippines)
	Jocelyn (Joji) Carino-Nettleton	Tebtebba Foundation, Philippines	CBD Capacity Building Project
	Maria Elena (Len) Regpala	Tebtebba Foundation, Philippines	CBD Capacity Building Project
	Judith (Judy) Carino	Tebtebba Foundation, Philippines	CBD Capacity Building Project
	Helen Valdez	Tebtebba Foundation, Philippines	CBD Capacity Building Project
	Catalino (Bong) Corpuz, Jr.	Tebtebba Foundation, Philippines	Administrative Officer
Dr.	Lourdes Cruz	Marine Science Institute, UP University, Quezon City	Researcher
Dr.	Mr. Borromeo Motin	Kanawan Tribal Commune, Morong, Bataan Province	Village Facilitator
Mr.	Joseph Salonga	Kanawan Tribal Commune, Morong, Bataan Province	Village leader
	Renée Vellvé	GRAIN, Regional Office, Los Baños, Philippines	Programme Coordinator (Asia)
Mr.	Chito P. Medina	MASIPAG office, Los Baños	National Coordinator
	Edgardo E. Tongson	WWF Philippines, Quezon City	Vice president for Corporate Sustainability
	Luz Teresa P. Baskiñas	WWF Philippines, Quezon City	Vice President for Project Development and Grants Monitoring
	Elpidio (Ping) Peria	TWN office, Mindanao (interviewed at the Quezon City office)	Attorney/Regional Programme Officer
	Lilibeth (Lee) Aruelo	TWN office, Quezon City	Attorney/Regional Programme Officer
Thailand			
Ms	Karin Isaksson	SENSA/Embassy of Sweden, Thailand	Programme Officer
Ms	Maria Osbeck	SEI Bangkok Office	Research Fellow
Vietnam			
Mrs	Johanna Palmgren	Sida/Embassy of Sweden, Hanoi	Programme Officer
Dr	Tran Thanh Be	Mekong Delta Development Research Institute (MDI), Can Tho University	Director

Title	Country/Name	Organisation	Position
Mr.	Huynh Quang Tin	Mekong Delta Development Research Institute (MDI), Can Tho University	Senior Researcher
Ms	Nguyen Hong Cuc	Mekong Delta Development Research Institute (MDI), Can Tho University	Senior Researcher
	Pham Van Nam	Tan Hoi Dong – Chau Thanh, Seed Club	Seed club member
	Ngo Van Thuyen	Tan Hoi Dong – Chau Thanh, Seed Club	Seed club member
	Do Tap Khiem	Tan Hoa Tay – Tan Phuoc, Seed Club	Seed club member
	Nguyen van Ro	Hau My Trinh – Cai Be, Seed Club	Seed club member
	Nguyen Thanh Son	Hau My Trinh – Cai Be, Seed Club	Seed club member
	Le Van Teo	Hau My Trinh – Cai Be, Seed Club	Seed club member
	Nguyen Van Thi	Hau My Trinh – Cai Be, Seed Club	Seed club member
	Dinh Van Cuong	Hau My Trinh – Cai Be, Seed Club	Seed club member
	Nguyen Van Hai	Phu Cuong – Cai Lay, Seed Club	Seed club member
	Ngueyn Van Thiem	Phu Cuong – Cai Lay, Seed Club	Seed club member
	Huynh Van Nguyen	Seed Center, Tien Giang province	Deputy director, Seed Center
	Nguyen Hoang Quan	Seed Center, Tien Giang province	Technician, Seed Center
	Đo Thi Nhu	Seed Center, Tien Giang province	Technician, Seed Center
	Pham An Lac	Lang Giay – Hoa Binh, Seed Club	Seed club member
	Truong Quoc Son	Lang Giay – Hoa Binh, Seed Club	Seed club member
	Vo van Chien	Lang Giay – Hoa Binh, Seed Club	Seed club member
	Huynh Thanh Phong	Lang Giay – Hoa Binh, Seed Club	Seed club member
	Truong Quoc Van	Lang Giay – Hoa Binh, Seed Club	Seed club member
	Phan Van Liem	Ta Ben – Hong Dan, Seed Club	Seed club member
	Pham Van Ut	Ta Ben – Hong Dan, Seed Club	Seed club member
	Phan Van Liem	Seed Center, Bac Lieu Province	Deputy director, Seed Center
	Nguyen Tam Dao	Seed Center, Bac Lieu Province	Technician, Seed Center
	Duong Van Ngo	Seed Center, Bac Lieu Province	Technician, Seed Center
Mr	Hoang Van Lam	Fauna & Flora International, Hanoi	Hoang Lien Son Coordinator
Ms	Nguyen Thi Thanh Nga	Fauna & Flora International, Hanoi	Conservation Assistant
	Nguyen Xuan Quy	BUCAP field site, Dai Phac Commune, Yen Bai Province	
Mr	Hoang Trung Kien	Community Office, Dai Phac Commune, Yen Bai Province	Vice Leader
Mr	Ngo Van Tinh	Agriculture Union, Dai Phac Commune, Yen Bai Province	Representative
Mrs	Ngha Thi Hoe	Seed Club, Dai Phac Commune, Yen Bai Province	Seed club member
Mrs	Loc Thi Dinh	Seed Club, Dai Phac Commune, Yen Bai Province	Seed club member
Mrs	Hoang Thi Nguyet	Seed Club, Dai Phac Commune, Yen Bai Province	Seed club member
Mrs.	Hoang Thi Hang	Seed Club, Dai Phac Commune, Yen Bai Province	Seed club member
Dr	Le Xuan Tuan	MERC	Director
Ms	Quan Thi Quynh Dao	MERC	Researcher
Mr	Do Tuong Minh	Forest Protection Department in Yen Bai, Vietnam	Vice Director

Title	Country/Name	Organisation	Position
Mr	Hoang Van Lam	Plant Protection Station in Van Yen District, Yen Bai	Head of Station
Mr	Le Ba Thang	Forest Protection Department in Yen Bai, Vietnam	Vice Manager, Conservation Department
Mr	Le Xuan Ket	Forest Protection Department in Yen Bai, Vietnam	Manager, Conservation Department
Mr	Nguyen Ngoc Tao	Forest Protection Department in Yen Bai, Vietnam	Vice Director and in charge Mu Cang Chai Protected Area
Mr	Nguyen Quang Vinh	Forest Protection Department in Yen Bai, Vietnam	Director
Mr	Tran Van Tuyen	Forest Protection Department in Yen Bai, Vietnam	Staff
International			
	Janet Ranganathan	World Resources Institute	WRI staff
	Craig Hanson	World Resources Institute	WRI staff

Appendix 4. SwedBio's Logical Framework Assessment (LFA) Matrix

SwedBio's Logical Framework Assessment (LFA) Matrix				
LOGICAL FRAMEWORK MATRIX				
Objectives/outputs	Indicators of achievement	Sources and means of verification	Assumptions / Risks	
Development objective <i>To contribute to poverty alleviation and improved livelihoods through equitable, sustainable and productive management, of biodiversity resources at all levels – genes, species and ecosystems"</i>	Livelihoods of poor people are improved Biodiversity is sustainably and equitably utilised	• Reports from supported initiatives • Evaluations and reviews from supported initiatives • SwedBio reports from field visits	• Sustainable and equitable use of biodiversity is given priority within mainstream planning • Conducive institutional and incentive frameworks • "Good governance" of biodiversity resources	
Programme objective "Increased capacity and commitment of Swedish international development cooperation to pro-actively and strategically work towards the development objective and address biodiversity issues in a perspective of poverty alleviation and sustainable development".	Outcomes 1-6	See below under each component	See below under each component	
Component 1. Collaborative programme				
Outcome 1 Strategically important biodiversity initiatives and projects, in line with SwedBio's development objective, points of departure and strategy, identified and strengthened	• Programme portfolio covers all SwedBio's priority areas • Support granted in line with SwedBio directives • Supported organisations play an active role in international/regional meetings • Increased space of local voices and policy positions from below to regional and global partners • New knowledge generated on biodiversity, local livelihoods and poverty alleviation • Supported issues are high/increasing on the international agenda – e.g discussed in relation to CBD (COPs), and/or taken up by other international donors working pro-actively with biodiversity integration (UNDP etc)	• Decision memos and project applications • SwedBio annual report • Reports from supported organisations • Evaluation reports • Agenda and discussions at COPs to CBD, and Swedish official travel reports from COPs • SwedBio travel reports	• SwedBio's priority areas and directives are strategically important in the international policy context • Adequate funds are available • SwedBio staff has adequate capacity (number and competence)	
Outcome 2	• Number of meetings between SwedBio and	• SwedBio annual report	• Interest and time of Sida and	

Learning and experiences from the supported initiatives systematically brought back to Sweden and used to inform and improve inclusion of biodiversity aspects within Swedish international development cooperation.	- recipient organisations - Content and quality of annual report on collaborative programme - Number of seminars/workshops in Sweden to which SwedBio has brought representatives from the partner organisations - Number of contacts between supported organisations and Sida	SwedBio travel reports	- embassy staff - Interest and time of other Swedish actors
Component 2 Integration of biodiversity in Swedish international development cooperation			
Outcome 3 Biodiversity aspects integrated into Sida's projects, programmes, plans and policies	- Number of times biodiversity and its links to issues in programmes etc. mentioned in Sida supported programme documents - Number of times biodiversity mentioned in Sida policies - Number of times biodiversity mentioned in Sida country strategies - Number of times SwedBio staff have been consulted by Sida staff - Number of training and information and training sessions for Sida staff & partners - Number of EIAs with explicit biodiversity assessment	- Sida's project, programme, plan and policy documents - Country strategies - EIAs - Training reports - SwedBio annual report	- Interest and time of Sida and embassy staff - Interest and time of other Swedish actors
Outcome 4 International development cooperation and poverty alleviation perspective in Sweden's international work related to biodiversity has been further strengthened	- International dev. Coop and poverty alleviation mentioned more frequently and more at depth in e.g. government instructions for international meetings - Number of times SwedBio staff has provided comments on Swedish positions	Government instructions	- PGU is implemented - Interest and time of Government staff
Outcome 5 Increased capacity (understanding, knowledge, engagement, actions,) among Swedish organisations and actors regarding the role of biodiversity for poverty alleviation and improved livelihoods.	- View of staff at NGOs, universities, consultancy companies, etc. show increased capacity - Increasing number of high quality research proposals that relate to biodiversity, local livelihoods and poverty alleviation - Number of invitations from NGO's, universities, etc to lecture on biodiversity and poverty alleviation	- Interviews with staff at NGOs, universities, consultancy companies - SAREC's research proposals - SwedBio annual report	- Interest and time of Swedish actors - SAREC funding available
Component 3 International dialogue			
Outcome 6 Increased Swedish contribution to international policy- and methods development on biodiversity management from a development cooperation and livelihoods perspective	Text incorporated, policies adapted or changed, new legislation in place	Policy documents, guidelines	- Space and funds for increased Swedish contribution available - International policy- and methods development open to modification

Appendix 5. Field Reports from Kenya

SwedBio and IIN: Indigenous Participation at CBD, COP 9.

Date 2008-08-26

Respondent: Mrs. Lucy Mulenkei

Introduction

The Indigenous Information Network (IIN) is an organization based in Nairobi, Kenya. IIN was established by a group of indigenous professionals in 1996 and formally registered as an NGO in 2001. It originated from a concern over the limited information and interest for nomadic groups/ pastoralists and hunter/gatherers and the exclusion of indigenous and minority peoples from the mainstream development agenda. IIN's mission is to enhance and maintain the capacity of indigenous peoples to protect their rights and participate in development through:

- information sharing, dissemination and networking
- research on issues affecting the indigenous and minority peoples
- socio-economic empowerment
- promotion of human rights
- cultural and environmental conservation
- gender mainstreaming
- addressing HIV/AIDS and related health problems

Activities in support of these ambitions include (i) environmental conservation; (ii) health, including HIV/AIDS; (iii) women's rights; (iv) education; (v) fundraising and income generation; (vi) cultural preservation; and (vii) land rights. IIN is also issuing the journal "Nomadic News" twice a year since 2003 as well as other publications (e.g. Environmental News – Indigenous Peoples Perspective since 2007).

Findings

SwedBio's cooperation with IIN represents a special type of "short term support" where e.g. Civil Society Organizations (CSO) should be enabled to participate in international bio-diversity meetings. SwedBio has also previously supported (i) a conference on CBD in East Africa; and (ii) a special edition of Nomadic News on the theme "environment and women". Through IIN's linkages (south-south cooperation) with the Tetebba Foundation in the Philippines, IIN was quite well informed about SwedBio. SwedBio has a more comprehensive program with Tetebba and IIN has benefitted indirectly from this cooperation as well.

The ET met with Mrs. Lucy Mulekeii (IIN Director) and with representatives from local CSO/commune groups from different parts of rural Kenya (Edna, Alice, Habiba, George, Catherine, Agnes and Rhoda)

The following brief review is based on these meetings as well as different documents and IIN's internet site.

While IIN is active on different themes and sector issues, the focus on environmental issues has gradually increased over the years. IIN follow actively relevant UN-processes (notably the CBD) both at the global, regional, national and local levels. They are part the International Indigenous Forum on Biodiversity⁶⁷ (IIFB), who facilitate coordination of indigenous strategies in international processes like the CBD. This is in case of IIN and Africa first organized through regional meetings, which then feed into international meetings in order to agree on positions and a common strategy in e.g COP and CBD. The coordination function (or secretariat) is rotated among IIFBs members, where IIN currently is fulfilling this role. Among the responsibilities is the need to raise funds in order for IIN and representatives from local CSO to participate. SwedBio has in this context been a significant donor for COP 9 (in May 2008). This enabled IIN to support the participation of a significant number of persons in COP 9.

SwedBio's has been highly appreciated since they provide a major part of their funds in advance (75%) and the rest (25%) upon completion of final report together with an Audit. The procedure include (i) the preparation of a proposal (in consultation with SwedBio); (ii) signing the agreement and the first disbursement of the funds; and (iii) reporting and its approval and final disbursement of funds. The communication with SwedBio is efficient and they are said to respond quickly on any inquiries made by IIN. SwedBio's share of the budget for the different activities supported has varied with approximately (i) 50% for the training activities supported through Tebtebba and 50% from IIN; (ii) 100 % (or USD 50000) for the conference in 2004 on "Women and Environment" and special edition of Nomadic News; (iii) 29% for the activities related to COP 9 of CBD with additional support from two other donors.

IIN has not had any direct meetings or exchange of information with Sida or the Swedish Embassy in Nairobi, nor with the Help Desks except for a general meeting with several actors in Kenya some years back on "environmental issues". IIN finds generally difficult to develop and maintain relations including exchange of information with many bilateral development cooperation organizations and their Embassies.

The ET made the following observations:

- IIN is in many ways an impressive NGO, but as many similar organizations they tend to depend on a few very dedicated persons. While this is a strength, it can also make these organizations vulnerable to changes, external as well as internal⁶⁸. The ET has no evidence suggesting that IIN is vulnerable in this sense, but provides this as a general reflection.
- The reflection above, is less problematic for the kind support provided to IIN as it was for a well defined and time-bound result (make it possible for representatives of indigenous people to participate in CBD, COP 8).
- The ET has no evidence suggesting that IIN is vulnerable in this sense, but provide this as a general reflection as to how systematically SwedBio assess different organizations capacity and resilience to changes. This should be particularly relevant for more long-term collaborations with different organizations.

⁶⁷ IIFB is a collection of representatives from indigenous governments, indigenous non-governmental organizations and indigenous scholars

⁶⁸ For longer term cooperation, Swedbio may consider a more convincing assessment of in particular small NGOs and CSOs in terms of their (i) organizational identity and structure; (ii) activities and relevance; (iii) capacity; and (iv) relations (members, constituency, other organizations and processes)

SwedBio may consider a follow up of the impact of this kind of support (short term with well defined activities and outputs).

- What are the results beyond the support?
- How are information from these events disseminated and to whom?
- Are there any responses and/or follow up activities?
- What kind of capacity has been developed? For whom? And to what potential use?

The interactions with Sida and the Swedish Embassy has been very limited, where the constraints appears to rest more with Sida/Embassy and perhaps also SwedBio.

SwedBio and ABN: "Strengthening the African Biodiversity Network and its International Alliances; Developing and Implementing Biodiversity-Related Policy, Legislation and Practice in Africa"

Date: 2008-08-27

Respondents: Mr. Jacob Mburu, Mr. Zachary M. Makanya, and Mr Simon Mitambo

Introduction

The African Biodiversity Network (ABN) was first conceived in 1996, in response to growing concern about threatened biodiversity and community livelihood in Africa – mainly due to the effects of industrial commodification – and therefore the need to develop strong African positions and legislation, to protect Africa's heritage. By 2002 it was more established as a network within Genetic Resources Action International (GRAIN) and as from 2004 as an independent network from GRAIN.

There are now 36 members from having previously been 76 some years back. These members represent a variety of organizations including NGOs, GOs, Research organizations etc. In addition to the members there are also some 300 associated resource persons who receive information regularly from ABN and who can be active on specific issues. ABN has collaborated with other networks and NGOs such as COMPASS, COPAGEN, PELAM etc.

ABN focus on four thematic areas: (a) Seed security for sustainable livelihoods; (b) Genetic engineering, bio-safety and intellectual property rights; (c) Strengthening cultural biodiversity practices for sustaining ecosystem services and; (d) Community and environmental rights for equitable governance.

GAIA and ABN has recently been thoroughly evaluated both through a more traditional review focusing on capacity building of ABN partners and on the achievements in relation to objectives and expected results⁶⁹ as well as "a management audit" focusing on management/administration systems and related capacity in GAIA/ABN⁷⁰.

The network has been a rather "loose" network, but with the ambitions for the near future to have it registered as a charity organization (Company by Guarantee). The secretariat has so far been based in GAIA, an UK based NGO. More and more of the responsibilities have and will however be transferred

⁶⁹ An Evaluation of the African Biodiversity Network – the project "Strengthening the African Biodiversity Network and its International Alliance" (by Milagre Nuvunga and Rodger Mpande).

⁷⁰ A Systems-based Audit of the African Biodiversity Network (by Ulrika Erkenborn, Inga Britt Sundin and Per Wardhammar)

to the ABN office in Kenya. The ultimate ambition is to transfer the secretariat from GAIA/UK to the ABN office in Kenya.

Findings

The current SwedBio support has been channeled through the ABN secretariat in GAIA since support the current program was first initiated in 2004 initially for a three year period up to the end of 2006 with SEK 6 million. It has since then been extended to December 2008 with approximately the same annual amount (SEK 1.9 million for 2008).

The specific objectives of the program supported by SwedBio has been articulated as follows:

- Network development: to consolidate and expand a broad based, active and informed network of concerned Africans engaged in biodiversity issues and common strategies
- Capacity building: to build capacity in African to protect biodiversity through promoting sustainable practices
- Catalyzing wider action: to catalyze African civil society and government to take action that will protect and enhance biodiversity, diversity based livelihoods and ecosystem services.

The funds from SwedBio has since 2004 been pooled together with three other donors namely from HIVOS (an NGO based in Netherlands) and EU. SwedBio's shares of the budget for 2008 amounted to approximately 29% (SEK 1.9 million). Planning and reporting follows a common format and routines for HIVOS, EU and SwedBio. It is consequently not possible to attribute specific achievements or lack thereof to SwedBio in particular.

The formal arrangement of the collaboration with GAIA and ABN is somewhat complicated with first a formal agreement between SwedBio and GAIA. GAIA then has a Memorandum of Understanding⁷¹ with the Institute for Culture and Ecology (ICE), which is the NGO in Kenya hosting ABN. ABN then essentially uses the funds in line with their thematic priorities. This can include also be other organizations receiving support from ABN, hence the chain from Sida to the ultimate activity can be fairly long.

The interaction between the parties in the program has mainly been between SwedBio (and the other co-funders) on one hand and GAIA UK on the other. ABN-Africa was however visited last year (2007) by a Program Officer from SwedBio, a visit that was much appreciated. ABN-Africa would like to see more frequent interaction with SwedBio in the future. ABN has except for SwedBio had no exchanges of information, communication or interaction with Sida and/or Swedish Embassy in Kenya.

An emerging issue resulting from the ambition to transfer the ABN secretariat from GAIA UK to Kenya is that there are no commitments yet from the donors to provide funding for the employment of necessary staff if and when the secretariat is transferred to Kenya.

The ET was also involved in an interesting field tour visiting some of the field activities of ICE. The core of the field tour was the interaction with members of a Self Help Group of disabled people who were engaged in tree planting, food security (supplementary farming) and special support for those in need.

The ET has made the following observations:

- ABN and its Kenyan host ICE are managed by motivated and committed persons

⁷¹ Normally a "weaker" legal document than an agreement or contract.

- The objectives of the program reflect more the type of intervention/activities ABN engages in, while the content is determined by their thematic priorities.
- The assessment of the activities in terms of relevance, effectiveness, efficiency and selection of partners is difficult with many actors involved in different levels.

SwedBio and Birdlife Africa: "Improving the livelihoods of local communities in Africa by promoting sustainable use of renewable natural resources through increased participation in biodiversity policy making and implementation"

Date: 2008-08-28

Respondents: Mr. Hazell Thompson and Mrs. Jane Gaithuma

Introduction

Birdlife is a global network of NGOs in more than 100 countries concerned primarily with conservation of threatened birds and their habitats. Birdlife works with people to promote sustainable use of natural resources⁷². In Africa the network include NGOs from 22 countries with 35 projects and a total turnover of USD 10 million. Projects implemented by the secretariat are limited to regional/multinational projects (often including advocacy related to regional policy processes) and/or projects concerned with migratory birds with an approximate turnover of USD 1 million.

BirdLife's aims are to:

- prevent the extinction of any bird species,
- maintain and where possible improve the conservation status of all bird species,
- conserve and where appropriate improve and enlarge sites and habitats important for birds,
- help, through birds, to conserve biodiversity and to improve the quality of people's lives,
- integrate bird conservation into sustaining people's livelihoods.

A salient feature of some projects is the Site Support Concept, which involves the local people often with the establishment of special Site Support Groups (SSG) with members from the communities. There are now some 140 SSGs in Africa. Closely related to the success or failures of many habitat schemes are associated with land use (actual/planned, legal/illegal).

It appears in Kenya as if the SSG concept is fairly well established as Birdlife and national NGOs are informing and sharing experiences through the National Liaison Committee (NLC) who bring together relevant government organizations, NGOs, UNDP, and the Forest Service.

Birdlife participate in several global processes, one of the more recent being COP 9 of CBD in May 2008 and there made a presentation of the SSG concept and experiences in a special side event from a national, regional and international perspective. There were also representatives of SSG participating in this event.

Birdlife and its partners in Africa is also active at the regional "pan African" level e.g. under the framework of AU in for example the African Minister Conference (AMC), where Birdlife is a recognized

⁷² See home page www.birdlife.org

partner in their Program of Work (POW). They are also through AU engaged in NEPAD and the African Ministerial Conference on the Environment (AMCEN).

Findings

The overall objective of the current project phase (end of 2004 – end of 2007, but later extended to the end of 2008) funded by SwedBio is “to improve the livelihoods of local communities in Africa by promoting sustainable use of renewable natural resources through increased participation in biodiversity policy-making and implementation”.

The SwedBio project has been implemented by BirdLife’s national partners with support from BirdLife’s International Secretariat for Africa. The Site Support Groups has been a significant element of the project. Birdlife had at the outset of the project 18 partners in Africa who were eligible for support by the SwedBio grant. The Secretariat developed forms for “call for proposal” and “grants application”. Proposals were received from 7 countries, namely Kenya, Botswana, Burundi, Burkina Faso, South Africa, Sierra Leone and Zimbabwe. The proposals from Kenya, Botswana and Burkina Faso were finally selected.

The project has until recently been funded by SwedBio only. A Spanish organization has recently engaged in the project and now provides additional funds, which has added South Africa and Ethiopia to the three countries supported already through the SwedBio grant. The Spanish funds amounted to some EURO 100 000 for 2008, while SwedBio’s allocation was slightly more than EURO 100 000.

The main activities and outcomes has included:

- Workshop on Financing Protected Areas of Africa
- Participation in the the African Ministerial Conference on the Environment (AMCEN)

The ET made some observations as follows:

- Birdlife is a well established conservation NGO, which has engaged in policy processes effectively at national, regional and international policy processes.
- The contacts with SwedBio have been on a regular basis and Birdlife emphasised the promptness and professional qualities of the program officers they have interacted with.
- In discussions about the incentives for the members of the SSGs, Birdlife stressed the importance of a personal commitment and interest among those who should be members.
- Discussions revealed however that among the benefits brought about through the SSG scheme were schools, office building (something the ET saw in a field-visit with Nature Kenya, one of Birdlife’s national partners), and micro-credit schemes.
- The influence on poverty alleviation and reduction in relevant communities and to what extent this is attributable to the project will require a fairly comprehensive study in case SwedBio, Birdlife and their national partners would be interested in this.

SwedBio and UNEP: Follow up of the Millennium Ecosystem Assessment.

Date: 2008-08-26

Respondent: Ms. Makiko Yashiro

Introduction

The program “Follow up of the Millennium Ecosystem Assessment” (MA) involves two partners UNEP and WRI and what one may regard as two components. The Cooperation with UNEP is related to UNEP’s vision “Strengthening capacities to assess and manage ecosystem services in support of human well-being, sustainable development and poverty reduction” including four strategic areas for intervention and support⁷³:

- Global advocacy and outreach
- Integrating the MA approach in national development planning
- Building a learning network of MA sub-global assessments
- A UNEP MA Secretariat and Advisory Board

The cooperation with WRI is based on a project proposal titled “Mainstreaming Ecosystem Services in Socioeconomic Decisions”. Both components were expected to receive support from different sources and not only SwedBio. SwedBio’s share of the original budget was approximately 43% for the cooperation with UNEP and for WRI around 29%⁷⁴.

Findings

The ET met with Makiko Yashiro, program officer in UNEP’s Division of Environmental Policy Implementation. The following brief review is based on this meeting and previous meetings with Maria Schultz from SwedBio as well as different documents and selected internet sites.

The program was initiated in October 2007 i.e. slightly delayed from what was originally planned. The program has primarily been a consequence of two independent evaluations, one conducted on behalf of UNEP and one by the UK based House of Commons. They both noted (i) limited impact of MA on policy processes; (ii) limited outreach; and (iii) knowledge “gaps” regarding ecosystem services.

The first significant result of the program has been the development and endorsement of a strategy for how to proceed with the work “The Millennium Ecosystem Assessment (MA) follow-up – A global strategy for turning knowledge into action” from February 2008. In response to critique the strategy identifies four objectives (i) Building the knowledge base; (ii) Integration of the MA approach into decision making at all levels; (iii) Outreach and dissemination; and (iv) Future global ecosystem assessments.

Among the issues identified under objective (i) were the need to further clarify the linkages between eco-systems and human well being, something that is particularly important from a development/livelihood/poverty perspective. With regard to objective (iv), which essentially is about institutionalisation of regular MAs exercises, the current ambition is that the next assessment would be conducted four years from now.

⁷³ UNEP refer to this project/component as “Implementing the Millennium Ecosystem Assessment (MA) findings and recommendations”

⁷⁴ Total budget for the three year (2006 – 2008) period were USD 5.8 million for UNEP and USD 3.8 million for WRI.

Means are also being developed to link this program with the French initiated “International Mechanism of Scientific Expertise on Biodiversity (IMoSEB)”⁷⁵, as the two processes have much in common and therefore need to be harmonized with each other.

While the project has a reasonable well elaborated PD (including a LFA matrix), a Work Plan within the UNEP POW framework need yet to be developed, where the strategy together with the PD will provide guidance. A potential concern is that SwedBio is the only source of external funding so far. Even if additional support eventually can be secured, there is a risk that progress in the UNDP part of SwedBio’s program “Follow up of the Millennium Ecosystem Assessment” will be further delayed.

One important output of the project is linked to the UNDP-UNEP Poverty – Environment Initiative (PEI)⁷⁶. This is organized as a lesson learned exercise based on experiences from three African countries, which will feed into other outputs of the program. One of these outputs aims at developing a manual on how MA recommendations can be mainstreamed into national policies and programs (notably the PRS). Another related output focus on the development of a manual on “Valuation of ecosystem services”. *These outputs have obvious linkages to the overall goal in Swedish development cooperation, namely to alleviate and reduce poverty.*

SwedBio as a partner is appreciated as they respond swiftly when issues are raised. Communications are frequent and regular through e-mail and phone calls (approximately once a month) sometime to the point of being “pushy”. This engagement is however viewed as a positive characteristic compared to some other donors/partners.

The ET made the following observations:

- While working through an UN organisation sometime can be cumbersome with slow progress, UN organisations offer credibility and can through this have a significant impact.
- There is a danger that some of the outputs may be obsolete or overlap with other initiatives, since the activities proposed by no means are unique. Other organisations and researchers are addressing the same or similar issues, since some time e.g.:
 - Valuation of ecosystem services (where the problem often are how “valuation” will generate resources/funds/income that benefit the poor i.e. what are mechanisms that needed to be in place, rather than the “valuation” itself.
 - How crosscutting themes (like ecosystem services) can be more meaningfully integrated into national/regional policies and processes such as the PRS, decentralisation programs, sector programs, privatisation policies etc.
 - While the ET assumes that all efforts will be made to coordinate and harmonise with other initiatives and actors, the ET highlights this potential issue as some of these experiences might be found within Sida and other partners they cooperate with.
- There was an obvious risk already when the MDG was launched in 2000 with its reasonably clear overall objective regarding poverty reduction with a tight time frame (e.g. reducing poverty with 50% till 2015) that more complicated sectors (as in NRM) and difficult mainstreaming themes would capture less attention than more “simple” sectors and interventions that could provide short term and more measurable gains. This could be a topic in its own right for lessons to be learned related to international policy processes, funding modalities, multilateral and bilateral cooperation.

⁷⁵ Linked to International Plant Protection Convention (IPPC)

⁷⁶ It was the ET’s understanding that Sweden actually is funding a UNDP position/expert, who will have his/her office in UNEP

SwedBio and GISP: Implementing the Global Strategy on Invasive Species

Date: 2008-08-25

Respondents: Dr. Sarah Simons and Dr. Geoffrey Howard

Introduction

The Global Invasive Species Programme (GISP) is an international partnership dedicated to tackling the global threat of invasive species. The secretariat is based in Nairobi since 2007 after having been previously located in South Africa. GISP's mission is to conserve biodiversity and sustain livelihoods by minimising the spread and impact of invasive species. GISP is primarily concerned with Article 8(h) of CBD. The objectives are slightly different depending on the source of information used, but they are all essentially about⁷⁷:

- Facilitating information exchange;
- Supporting policy and governance at a global level;
- Promoting awareness about invasive species
- Influence key decision makers

The origin of SwedBio's support to GISP was the CBD COP 8 in 2006, when the discussions initiated eventually led to the current program. SwedBio supports the programme "Implementing the Global Strategy on Invasive Species", during the period January 2007– December 2008. The objectives of the programme include the (i) Building of capacity, especially in developing countries, to prevent and manage IAS (invasive alien species); the (ii) Raising of awareness of the impacts of IAS to empower communities to participate in decision-making concerning the introduction and management of IAS, and the (iii) Promotion of global co-operation in the prevention and management of IAS. SwedBio was a significant source of fund for GISP during 2007 (the first year of cooperation with SwedBio) with USD 110 000 budgeted (constituting almost 30% of the total budget). Other major sources of funds were from Bf, Brazil (not disbursed), TNC and CABI.

Findings

The ET met with Dr. Sarah Simons (GISP Director) and Dr. Geoffrey Howard (IUCN Global Coordinator on invasive species) on 25 August at GISP secretariat hosted by CABI and ICRAF in Nairobi. The following brief review is based on this meeting and meetings held with SwedBio prior to the field visit as well as different documents and selected internet sites.

GISP is the only global organization on invasive species and provides technical backstopping to CBD. GISP itself was established in response to an international meeting on invasive alien species in Trondheim 1996⁷⁸. The main activities/intervention to contribute and accomplish the objectives include the (i) development of information and promotional material and events; (ii) maintaining a website; (iii) organize training courses and workshops; (iv) supporting development of national IAS strategies; (v) institutional development etc. GISP has e.g. published an informative brochure on the links between invasive species and poverty. An important initial accomplishment was the development of the "Global Strategy on Invasive Alien Species" from 2001.

⁷⁷ There were originally 10 objectives that now has been reduced to 3 or 4 depending on your source of information

⁷⁸ GISP was founded by CAB International, the World Conservation Union (IUCN), The Nature Conservancy, and the South African National Biodiversity Institute (SANBI). There are in addition seven partners/associates with GISP

The concept of “invasive species” is debated in the research community, which among other things resulted in the removal of “alien” that was originally part of the concept. Invasive species are “non-native plants, animals or micro-organisms whose introduction threatens biodiversity, food security, health and economic development”. The exact delineation in relation to “normal” pests, pathogens, and weeds is not entirely clear in view of the ET. Moreover, in a context of climate change one might even find species that so far has been “benevolent”, i.e. becoming invasive. This being said, the inherent intention of GISP and the issues addressed should be a real concern. There are several examples in Sweden that would seem to qualify as invasive.

The articulations of the four objectives of SwedBio’s support to GISP are different in GISP’s progress report than those listed on SwedBio’s homepage (see above). The former tend to be lengthy, overly ambitious and some include several ambitions that would have gained from separation into different objectives. This being said they are similar to the overall objectives mentioned by SwedBio, but it takes some effort to sort it out. The activities in support of these objectives are:

- A GEF-UNEP-GISP Project: “Building Capacity and Raising Awareness for Invasive Species Prevention and Management” (carried out in Chile, Costa Rica, Senegal, Tanzania and Vietnam).
- Training courses and technical support for the UNEP Regional Seas Programme.
- Technical support to a regional African network on IAS.
- Assessment of the impact of relevant trade agreements within Africa and its trading partners.
- Development of best practice manuals.
- Development of an Invasive Species Indicator for the 2010 Biodiversity Target.
- Implementation of Target 10 of the Global Strategy for Plant Conservation.
- Assessment of the economic impacts of IAS.
- The promotion of international cooperation through a Joint Global Work Programme.
- Communications and Information Sharing.

GISP now finds itself in a difficult financial situation as some of the major sources of funds either are not secured or coming to an end. The “seed funds” supported by GEF was abruptly cancelled in 2007⁷⁹. This is also the reason why there were no local partner/activity to visit in Vietnam, something that was originally proposed by SwedBio⁸⁰. Moreover, the last disbursement from SwedBio has not been made as they were still waiting for the financial report and audit from GISP at the time of ET’s visit to GISP. The reason for the delay was explained as a result from the transfer of the GISP secretariat from South Africa to Kenya.

The ET made the following observations:

- The support to GISP appears justified. GISP address aspects of bio-diversity that appears if not neglected at least insufficiently appreciated.
- In the absence of the agreement – for the ET – between SwedBio and GISP it appears from the information available as if the objectives and activities are overly ambitious if SwedBio is the only source of support for this.
- The concept or definition of “invasive species” may require further attention particularly in an “ecosystem service context”.

⁷⁹ As part of the general overhaul recently made of GEF’s portfolio. The “seed funds” were used to support national initiatives which now have left GISP in a somewhat difficult situation.

⁸⁰ There were seven countries – among them Vietnam - on the list for receiving support from GISP, had GEF honored their commitment (they had approved a proposal already in 2006).

SwedBio and Nature Kenya: The support to Nature Kenya is indirect and through funding of the "Improving the livelihoods of local communities in Africa by promoting sustainable use of renewable natural resources through increased participation in biodiversity policy making and implementation". This project is implemented by Birdlife Africa.

Date: 2008-08-29

Respondents: Jacob Machekele, Sarah Munguti

Introduction

Nature Kenya (NK) can be compared and seen as a sister organization to the Swedish Society for Nature Conservation (SSNC). Nature Kenya was founded already in the early 2000 century with its first activity being the establishment of a natural history museum and issuing of a scientific journal. This journal eventually became the Journal of East African Natural History. The museum was became part of the famous National Museums of Kenya. NK is a member-based NGO with some 1000 members.

Conservation is a vital both of threatened animals, plants and their habitats. NK's conservation programme uses birds as indicators for identifying, protecting and monitoring critical sites and has for this reason developed strong ties with Birdlife Africa. NK's approach is to work with local community groups referred to as Site Support Groups (SSGs). There are currently 14 SSGs in Kenya out of which 8 has been in operation for some time now. These SSG can be legally recognized and registered with the Ministry of Culture and Social Services

This approach has been applied in the Kikuyuy Escarpment Forest – among other sites- and the ET (one member) was guided to a group of communities to meet some members of a SSG, the Kijabe Environmental Volunteer's Organization.

Findings

A visible result of SwedBio's support to NK through Birdlife Africa is the employment of a full time policy and advocacy advisor (Ms Sarah Munguti). An important policy related task now is to develop guidelines as a result of the new Forest Act on how the forest authorities (forest commission) should engage local communities in forest management. Some forest authority representatives still operate on the old forest act in this regard.

Another challenge is the need to improve coordination between the different actors or stakeholders who are active in the forest sector. NK has therefore adopted a strategy of working with the government rather than confrontation on issues related to natural resource management, forestry and biodiversity. To that end NK has been instrumental in organizing a National Liaison Committee with participants from Government organizations, development agencies, NGOs and SSGs.

While the focus at the local level is on biodiversity attention is also given to local livelihood issues as these in many cases are fundamental for successful conservation and protection. Various income generation activities are tested and introduced ranging from eco-tourism to tree growing, bee keeping, silk rearing, wool spinning, mushroom cultivation etc. The monitoring of these livelihood initiatives are however not sufficient but is being improved (it is not done as consistently and convincing as for biodiversity).

The community has over the years received support for a variety of different activities. The SSG, the Kijabe Environmental Volunteer's Organization conveyed an impression of well- organized and very capable CSO. The ET met with eight members of the SSG, where some had been assigned special

tasks (e.g. program officers in charge of youth empowerment, environmental education, eco-tourism, eco-friendly agriculture, forest rehabilitation etc.). A micro finance scheme has also been introduced with support from British Petroleum to promote small businesses. A problem with the existing credit schemes through the local banks are that these require collateral, something that is problematic for the poor and the young.

NK has been active in Kijabe (the community visited by the ET) since 1998 with support from SwedBio and Birdlife Africa since 2006. The support from Birdlife/SwedBio has had its focus on policy issues at the local level e.g. (i) awareness/advocacy (familiarize community members with the Forest Act, the Environmental Act, bridging gaps between community and Government Forest Officers) ; (ii) institutional aspects (development and formation of Community Forest Associations); and (iii) capacity building (project planning, management etc.).

A special capacity building effort has been the training of how to proceed when there are violations against the forest act and the environmental act i.e. how to bring issues to the court. This training has included the forest guards and has covered different aspects ranging the paperwork needed and the procedures that need to be followed in order to enhance your case.

A special capacity assessment questionnaire has been circulated in the community group, which will be used to enhance conflict resolution capacity and to develop advocacy material to encourage closer work with government organization.

Finally, the support from Birdlife/SwedBio has made it possible for the SSG members to participate in CBD COP in Bonn in May this year.

Appendix 6. Field Reports from Thailand

SwedBio and Stockholm Environment Institute in Bangkok: “Mangrove ecosystems, communities and conflict-developing knowledge-based approaches to reconcile multiple demands”

Respondents: Ms. Maria Osbeck

Introduction

Stockholm Environment Institute (SEI) was established in 1989 following an initiative by the Swedish Government to develop an international environment/development research organisation. SEI's mission is to support decision-making and induce change towards sustainable development around the world by providing integrative knowledge that bridges science and policy in the field of environment and development. SEI has research centres in Sweden, Estonia, United Kingdom, US and Thailand. SEI works in the areas of: policy analysis, methods development and research on risk, livelihoods and vulnerability. Currently the research programme spans the areas of:

- Water
- Energy and climate
- Risk
- Livelihoods and vulnerability
- Policy and institutions
- Atmospheric environment
- Sustainability science

Findings

The support to SEI is part of a larger EU funded program with eight major components or applying EU terminology “Work Packages” (WP). The overall objective of the main program on mangroves is to address the lack of knowledge about their status, use and requirements for sustainable management. The main program is implemented by a consortium involving: Centre for Environment and Society, University of Essex (UOE), England; Fisheries and Fish Culture Group, Wageningen University (WUR), The Netherlands; Mulawarman University (MU), Indonesia; Kasetsart University (KU), Thailand; Vietnam National University (VNU), Hanoi, Vietnam; Network of Aquaculture Centres in Asia-Pacific (NACA), Thailand.

The SwedBio supported program covers the period 01/06/06-31/12/09 with the aim of “developing action plans to reconcile multiple demands placed on mangroves and adjacent coastal zones in South-east Asia”. The program is implemented in three different places in Indonesia, Thailand and Vietnam and could to some extent be characterised as a methods development program.

SEI got involved with this EU program in 2005, when the original consortium partner from Europe was substituted with SEI. The original ambitions of preparing multi stakeholder developed Action Plans, followed by their implementation and evaluation has been abandoned as the program in this sense was overly ambitious and optimistic. It has not only been the challenge of reaching consensus among a diverse group of stakeholders, but also the question of reaching agreements about what these Action Plans should include i.e. the most urgent issues to address and where these plans should begin and end.

The project therefore changed focus from planning and implementation of plans to a more process oriented work for capacity development and facilitating dialogue. To this end SEI has introduced the CATWOE ⁸¹ method or tool in order to encourage stakeholder participation through a stakeholder exercise in which actors, owners and clients are more clearly defined through a consultative process.

The program has so far been easier to implement in Thailand and Vietnam as actual and potential conflicts appears to be more contagious in the Indonesian program site. The program has received some attention from other programs and initiatives. In Vietnam the Ministry of Science and Technology is involved in a USD 220 million reforestation program (part of the National Forest Program in Vietnam). There are several challenges associated with this ranging from technical issues (selection of species and how to propagate them etc.) to institutional issues (current land use, land use rights etc.). In Thailand some of the challenges centre around institutional grey zones between e.g. the Ministry of Marine and the Department of Forestry.

Lessons on a more overall level seem to suggest that development of regional actions plans based on local plans may prove to be difficult as many of the issues raised are too situation specific. A general experience from the different sites clearly indicates how central the questions of “user rights” in various forms are.

In the pipeline are also policy analysis workshops that will address e.g. how to proceed with the development of the action plans.

The intention of developing action plans, implement and monitor them was far too optimistic and one can perhaps wonder how this was conceived as being possible during the preparation of the overall EU program with its eight “work packages”, given the resources allocated for this specific project. This was however before SEI got involved in this EU program.

The SEI project cooperates with other initiatives and organisations such as the WWF as well as the Mangroves for the Future (MFF) partnership. MFF was once initiated by IUCN and UNDP and now included partners from several other organisations. MFF is supported, among others, by Sida. The nature of cooperation is mostly in the form information exchange.

There are also some expectations that as a spin off from the project could that can contribute to the development of an EU certification scheme for import of shrimps from the SE Asia region.

SwedBio's share of the budget for the “SEI implemented” program were initially expected to be 50% with the other 50% originating from EU and SEI's partner University of Essex. In practice SwedBio's share has been less than 50%, with SEI making up for the difference. SEI provides SwedBio with three type of reports on an annual basis covering program progress, lessons learned and financial aspects.

SEI reports against the outputs of the project/program and not against outputs or criteria's determined by SwedBio. While this is a reasonable approach it should have some implications for how SwedBio assess progress or lack thereof in relation to their own agenda and priorities.

⁸¹ CATWOE is tool that facilitates the understanding of the different elements that constitutes a problem

Appendix 7. Field Reports from The Philippines

Field visit to SEARICE, Bohol

Aug. 24-25 2008

Respondents at Searice, Bohol:

Aylwin Darleen M. Arnejo,
Merigine C. Otara,
Prosperidao J. Abonette

Respondents at the Cabog Organic Farmers Organization (COFO), Clarin, Bohol:

Edilberto Yaun
Mila Yaun
Sabina Oracion
Artemio Sambayon
Florencio Rapas
Silverio Bacalso
Rufino Janohan
Calixto Polinar
Norman Torrejano (Municipal Agricultural Technician)

Respondents at the Central Visayas State College of Agriculture, Forestry and Technology (CVS-CAFT), Bilar:

Dr. Marina A. Labonite (Director Research & Development; CVSCAFT)
Prof. Jose G. Labonite (professor; CVSCAFT)
Bonifacio Tejada, a farmer-member of Campagao Farmer's Production and Research Association (CFPRA) in Campagao, Bilar)
Artemio C. Cambangay, a farmer-member of Kapunungan sa mga Mag-uuma para sa Katilingbanong Kalambuan (KMKK) or in English "Farmer's Union for Community Development, in Riverside, Bilar
Ruperta Mangaya-ay, a farmer-member of Zamora Organic Farmer-Researchers Association (ZOFRA) in Zamora, Bilar
Amancia Dando, a farmer-member of Zamora Organic Farmer-Researchers Association (ZOFRA) in Zamora, Bilar

Web link: www.searice.org.ph

History of Searice Bohol

Activities started in 1994/95 through project implementations, related to training in farmers' breeding of local varieties and Ecological Pest management (EPM), were initiated a year later, 1996.

Initially, there were 8 staff working in three communities (including 2 villages in Bilar Commune). During the first phase of CBDC the focus was mainly on enrichment of plant genetic diversity by promoting local varieties of major agricultural crops, such as rice, yam, and maize. A survey was conducted showing that Bohol is rich in genetic diversity but it was also found that usage of traditional varieties had been reduced over time.

Farmers were approached through collaborative work with Farmers Field Schools (FFS) regarding training and techniques in on-farm breeding of local varieties of rice. The initial phase was characterized by learning through practical experiences. In fact, Searice Bohol represents one of the oldest example of on-farm breeding work, in association with Farmers Schools, within the regional CBDC

programme. Farmers did initially receive external organic fertilizers by Searice Bohol, though input costs were to be repaid after harvest. This policy was later on shifted to training activities by which farmers received technical knowledge on how to produce organic fertilizers on-farm.

During the second phase of CBDC implementation, which started in year 2000, Searice Bohol also became active in policy matters such as “Farmers Rights to Seeds”. The policy-related advocacy was initiated in dialogue with local communes and local government units (LGUs) rather than at the provincial level. Later on, advocacy related to Genetically Modified Organisms (GMOs) was initiated. At this time Searice Bohol expanded their activities into two more communes (including three villages), focusing on plant diversity and usage of traditional varieties in rice cropping systems (rainfed and irrigated rice cultivation).

Farmers rights to breeding seeds is stated to have been advocated with success in Bohol at the commune and municipality levels, following talks, and discussions between farmers and local public officials. It was stated by the respondents that a Provincial Ordinance is yet to be established and approved upon.

Searice has further contributed with inputs as to establish Bohol as the first GMO-free zone in the Philippines.

Present Activities

There are presently 9 staff at Searice Bohol, including one project coordinator, and two admin staff. On-farm breeders, receiving training from Searice Bohol, include approx. 30 farmers in 2008. There is also a group of farmers trained in production and multiplication of traditional crop varieties which have undergone on-farm breeding and testing. This group includes some 20–25 farmers in each of three communes.

Each staff member (field technicians) work at 1-2 villages, including both field work and policy advocacy. Staff members are further associated with four major working groups within Searice.

Searice Bohol is also an associate of a local NGO network known as BISAD. This local network of NGOs focuses on the promotion of Organic Farming. Searice Bohol views that this represents an add-on to the five objectives regulating Searice’s CBDC activities, but “Organic Farming” is considered to be coupled to the sustainability criteria.

There is presently no system for certification of organic farming and derived products. The mechanism is rather a build by trust. Respondents stated that there is currently a premium price paid for organic rice equivalent to 1-1.50 pesos per kg red rice (a local variety) and 1 peso per kg white rice. It was further stated that the demand for organic rice is not met by local production.

It is approximated that some 40 out of 150 farmers receiving training by Searice Bohol practice organic farming (2007).

The respondents stated that the term “genetic diversity” is not well understood by farmers – implementation work rather aims to provide hands-on training and transfer of knowledge in on-farm plant breeding techniques.

Reporting and Budgeting Routines

Each staff is reporting activities on a monthly basis. The entire staff meet once a month. A monthly work plan is produced and a budget plan is effectuated at the end of the year (December). Two major sources of funds are identified: (1) National Searice funding of Policy Research, and (2) Local Searice funding of implementation work.

Field Impressions

1. *Clarin commune*

The consultant and the Searice staff made field visits to a barangay in Clarin Commune, meeting with local farmers trained in on-farm breeding techniques, varietal selection and on-farm production of organic fertilizers, the the Cabog Organic Farmers Organization (COFO). A Municipal Agricultural Officer (MAO) was also invited and participated during the visit in Clarin Commune.

The training by Searice was initiated in December 2005. It was conducted in partnership with the Municipal Agriculture Office. The training was done during a four months period, including lecturers, demo field experiments. Currently, there are four on-farm breeders in the Barangay (village) and three farmers who are trained in production and multiplication of selected breeds of local varieties.

The responding farmers stated that the following factors were considered to be most important in varietal selection and on-farm breeding:

- yield
- taste
- resistance to pests
- maturity

One farmer had initiated both varietal selection of rainfed rice and on-farm research on approx. 0.5 ha. The farmer had further initiated on-farm production of organic fertilizer produced by inoculation of worms, 30% cow dung and 70% rice straw (or equivalent volumes of herbaceous weeds).

The respondents stated that other Barnagays in the nearby surroundings also wanted to receive training and support from Searice-MAO.

2. *Bilar commune*

The consultant and Searice staff visited the Central Visayas State College of Agriculture, Forestry and Technology (CVSCAFT), Bilar. On-farm plan breeders and female representatives of a research organization in Zamora Barangay also joined for this meeting.

The Plant Genetic Center hosts seeds of varieties of agricultural crops as follows:

- Traditional varieties
- Farm-breed varieties
- NGO-local varieties
- Farmers' selection

The Center provides seed for testing purposes, long-term storage at low temperatures, and for distribution as to be multiplied by farmers. In all, the Center keeps 262 varieties of agricultural crops. The Center is a unit within the Agricultural College and does not receive any Government support.

The gene bank includes seeds from rainfed rice, vegetables, coconut, ornamental plants, fruit crops and forest timber species.

Seeds from traditional varieties are not distributed on commercial terms. The respondents informed that it costs approx. 35,000 pesos only to register a traditional variety as to secure Farmers Rights at the national level, irrespective if the application is approved or not.

Nearby the Agricultural College a group of farmers have formed a research organization within the Barangay Zamosa, the Zamora Organic Farmer-Researchers Association (ZOFRA). Searice assists in conducting on-farm agricultural experiments including vegetables.

Issues on Sustainable Agriculture

The Searice staff informed that it is perceived that the rainfall pattern in Bohol has become more erratic and does not clearly follow seasonal patterns. Water is viewed as the most limiting factor in rainfed rice cultivation. Out of a total of approx. 45,000 ha of rice crop land, some 30,000 ha is classified as rainfed rice crop land and 15,000 ha is classified as potentially irrigated or semi-irrigated rice land. Both acidic and alkaline soils are distributed on the island, the former are reported to sustain higher yields. The average yield of rainfed rice in Bohol is lower than the national average estimate.

There are presently three irrigation projects in Bohol financed by the national budget and under implementation by the Department of Agriculture. Searice staff stated that these irrigation projects are major failures and have not contributed to improved availability of water for irrigation purposes.

Searice is aware of the critical role of water deficits in small-scale farming and are currently looking into the issue.

Challenges for the Future

Searice staff in Bohol stated that the uncertainty if the young generation of farming families will have any interest to continue with farming in the future is a major challenge. Searice considers to initiate work at the primary school level as to inform and motivate the young generation.

The tourism development in Bohol is viewed as a driving force to create an increased and diversified market demand in other crops than currently covered by Searice. For instance, vegetables are considered to have a greater potential than currently met by local production. Searice would then need to invest in in-house know-how and/or recruit staff with complementary technical skills as to be able to assist in new areas of food production.

Field visit to SEARICE Philippines, Quezon City

August 26 2008

Respondents:

Wilhelmina R. Pelegrina (Ditdit), Programme Coordinator
Corazon de Jesus (Cheche), Policy Unit
Golda, Policy Unit¹
Normita G. Ignacio (Nori), Regional Programme Coordinator¹
Vo-Tong An, Vietnam; Board of Trustee member¹
Location: Searice Head-office, Quezon City
Date: August 26, 2008⁸²
Web link: <http://searice.org.ph>

History of Searice Philippines

The history of the NGO association Searice, registered as a non-governmental and non-profit organization in the Philippines, dates back to decisions taken in Macao in 1977, where NGO associates had met during a period of dictatorship in the Philippines.

⁸² Golda, Searice Policy Unit, was briefed during the flight from Manila to Tagbilaran on August 24), Nori, Searice Regional Coordinator was briefed shortly at the Airport, Tagbilaran, on August 25, and the Searice Board of Trustee member, Mr. Vo-Tong An, Vietnam, was interviewed on Sept. 2, 2008

In 1989 the organization shifted focus to farmers' seed right issues as part of a social movement opposing negative impacts of the Green Revolution on small-scale farmers' livelihood and farming systems. Policy advocacy and implementation works focusing on farmers' rights to seeds became a technical vehicle by which Searice became active.

The activities started at a time when the request to varietal selection, distribution and access to traditional breeds of agricultural crops were reviewed to have ceased by small-scale farmers.

A network which developed into a regional collaboration emerged by e.g. on-farm varietal selection and breeding in Vietnam which started in 1994.

Provincial Searice work in Bohol initiated an approach in 1996 by which the association worked in partnership Agricultural Schools and Farmer Field Schools (FFS) on training of trainees in on-farm breeding and selection techniques.

Searice maintains a standpoint by which experiences and lessons learnt from the implementation work at farmer/village/commune levels are used to underpin policy advocacy at the provincial/national/regional levels.

Present Activities

The vision, mission and goals of the organization are formulated⁸³ as follows:

Vision: To work for the creation of a just democratic civil society which upholds peoples' initiatives towards the creative and sustainable utilization of the earth's resources.

Mission: To assist in the development of civil society and contribute to the search for a new development paradigm.

Goals:

- Empower farming and indigenous communities through agricultural research and development.
- Strengthen the control of farming and indigenous communities over agricultural resources and technologies such as plant genetic resources, and pest and soil management.
- Work towards policy and structural reforms to ensure the conservation biodiversity in agriculture.
- Assist in the development of policies at all levels -national, regional and global – to support farmers' control over their resources.
- Strengthen community organizing work to facilitate and support peoples' control over their resources.
- Facilitate the establishment of self-reliant grassroots organizations through education, training and linkages.
- Assist local and indigenous communities, peoples' organizations and grassroots development workers in understanding the implications of global and regional trends in matters affecting plant genetic resources conservation and development through information sharing and dissemination, popularization of information, and education campaigns.

⁸³ <http://searice.org.ph/home/>

The CBDC-BUCAP Network

CBDC Network is a global initiative of partners in Africa (Burkina Faso, Lesotho, Ethiopia, Mali, Malawi, Sierra Leone, Zambia and Zimbabwe), Latin America (Argentina, Brazil, Chile, Colombia, Cuba, Nicaragua, Peru and Venezuela) and Southeast Asia (Bhutan, Lao PDR, Philippines, Thailand and Vietnam) and selected North-based organisations. CBDC Network is working since 1994 to strengthen farmer-led conservation and sustainable use of agricultural biodiversity at community level.

SEARICE Philippines is presently acting as a coordinator of the CBDC-BUCAP regional work in South-east Asia, including Bhutan.

The following countries and number of regions/provinces/communes are presently included in the Regional Southeast Asian CBDC-BUCAP programme:

Country	Date of origin of implementation	Number of administrative units included		
		Regions	Provinces	Communes
Lao PDR	2000		4 (Champassak, Luangprabang, Savannakhet, Vientiane)	36 villages
Bhutan	2001	East-Central, West-Central, Western and Eastern Regions	5	25
Philippines		Visayas & Mindanao,	Bohol, Sultan Kudarat, North Cotabato, Bukidnon	
Thailand	1996	Northeast	Nan & Chiangrai	
Vietnam	1996 in Mekong Delta, 2000 in North & Central Vietnam	Mekong Delta Area, Northern & Central Vietnam	13 (Mekong Delta Area)	335 (Mekong Delta Area)
			26 (Vietnam)	520 (Vietnam)

SEARICE is active with implementation work and policy advocacy in the following fields:

- Advocacy on impacts of economic liberalization
- Advocacy on impacts of hybrid rice
- Advocacy and implementation work on farmers rights to seeds
- Advocacy and implementation work on organic agriculture
- Assessment of impacts of government-funded agricultural infrastructure investments at the local scales
- Advocacy on the establishment of GMO-free zones (a pending case applied by SEARICE vs. Bayer regarding usage of GMO products is presently under appeal by the Court in the Philippines)

In the Philippines, SEARICE is networking in partnership with public institutions, such as the Department of Environment and Natural Resources (DENR), local government units (LGUs), and provincial agricultural schools. SEARICE is also a representative of the Philippine NGO network in liaison with ADB. SEARICE further acts through networking with other NGOs regarding specific topics such as intellectual property rights, economic liberalization and trade, etc.

The organization is stated by the respondents to rather be known at the local levels in the Philippines through its implementation work within CBDC-BUCAP rather than being recognized as SEARICE activities.

The present staff at Searice Philippines include:

- 28 staff in total
- 9 staff in Bohol
- 9 staff in Mindanao
- 4 staff at the policy unit (covering national/regional/international networking)
- The staff is also, since 2005, active in four different working groups related to:
- Farmers rights to seed/Indigenous Peoples Rights (IPR)
- Hybrid Rice (state to not be presently active)
- GMO
- Sustainable Agriculture

A majority of the staff have a background working with technical assistance in implementation work. There is further one lawyer and one communication facilitator working with SEARICE.

SEARICEs organization includes a Regional Board of Trustee having eight members from Indonesia (1), Vietnam (1), Thailand (2), Philippines (3), and Malaysia (1). The Board is stated to have a role of providing expert backstopping, and meets every year.

Reporting and Budgeting Routines

Within the regional CBDC-BUCAP collaborative programme the reporting and auditing routines differ in each participating country due to varying legislative settings. For example, the Vietnamese programme has been evaluated by the MARD and is audited by external actors, whereas in Bhutan the auditing is effectuated by the Ministry of Finance.

The progress reporting structure consists of:

- Community assessments (using indicators to measure achievements made as a function of objectives)
- External evaluations (the previous and separate BUCAP programme was, for instance, evaluated on request by the Norwegian Development Fund in 2005)

The respondents interviewed stated that SEARICE has not prioritized its field and progress reporting sufficiently well in previous work.

Internally, each SEARICE staff is reporting activities on a monthly basis. The local staff meet once a month. A monthly work plan is produced and a budget plan is effectuated at the end of the year (December). Two major sources of funds are identified: (1) National SEARICE funding of Policy Research, and (2) Local SEARICE funding of implementation work.

Crossregional and Regional Networking

The CBDC-BUCAP collaborative programme is stated to have promoted implementations and policy advocacy regarding farmers' rights to seed as its most successful activity at the regional scale.

The Farmer Field School (FFS) approach, once introduced in Bohol/Mindanao, is viewed to have been transferred to regional participating countries (Thailand, Laos, etc.), and then being re-imported to the Philippines building on new experiences gained through the network.

In 2004, a regional network for the first time met including farmer-to-farmer information-sharing, and including participants from Latin America, Africa, and Southeast Asia' – in parallel with the CBD

COP7 in Kuala Lumpur. In 2006 a similar regional information-sharing event was organized in Brazil, at CBD COP8 in Curitiba, with a stronger representation by actors in Latin America. In 2008 the regional network met in Germany. This meeting resulted in the first formulated document concerning farmers' right issues.

SEARICE has acted as international coordinator in this regional network, but Africa will take over the coordinating responsibility.

Challenges to the Future

The SEARICE respondents listed the following actors as being crucial to future performance:

- Improved capacity to attract the young generation, both in terms of in-house staff recruitment and to attract the young generation within farming families.
- Management procedures to enable a creative in-house working environment.
- Capacity to work with implementation and policy advocacy related to water rights issues in farming systems (it was stated that SEARICE considers to set up a working group on water issues dedicated to analyze emerging issues with water as a limiting factor to sustain farming systems).
- SEARICE articulates a wish to reorganize its focus on activities as to reshape the "SEARICE" appearance again, and to reduce its role as being an International CBDC coordinator.

Field visit to Marine Science Institute (MSI), Quezon City, and the Kanawan Tribal Commune, Morong, Bataan Province

August 27–28, 2008

Respondents:

Mr. Borromeo Motin (Facilitator; Kanawan Tribal Commune)
Dr. Lourdes Cruz (Researcher; Marine Science Institute)
Mr. Joseph Salonga (Village leader; Kanawan Tribal Commune)

Location:

Marine Science Institute, UP, Quezon City (August 27 (pm); Kanawan Tribal Commune, Morong, Bataan Province, August 28 (am))

Date: August 27–28, 2008

Web link: www.msi.upd.edu.ph/web

Bioprospecting Activities at MSI

In the afternoon on August 27, the author was invited to visit the MSI located at the University of the Philippines (Quezon City), and to meet with Dr. Lourdes J. Cruz, research associates, and community facilitator, Mr. Borromeo Motin.

The United States National Institute of Health—International Cooperative Biodiversity Groups (USNIH-ICBG), has provided the opportunity for the MSI and the Michigan State University to explore a bioprospecting venture involving pharmaceutical drug development. The site is the Bataan National Park in Morong, Bataan, and the prospective providers are the Ayta, the indigenous peoples residing at the Kanawan Reservation inside the Park. The ICBG has obtained a Free and Prior Informed Consent (FPIC) certificate that allows it to collect samples from within the Park, as provided by

the Indigenous Peoples Rights Act. Payments to the Ayta, for their role as service providers, will be in the form of non-cash assistance, including educational assistance for high school students, assistance in securing their Certificate of Ancestral Domain Title and others.

The team made a presentation of results from a two year project regarding bioprospecting research on rattan fruits in the Kanawan Tribal Commune, Morong, Bataan Province. The research setup was stated to be unique as it (1) represents the first example of bioprospecting in the Philippines, and (2) was developed and implemented in collaboration between MSI researchers and the local indigenous people, the Aytas. The research has been co-funded through Governmental support. Outputs so far include the identification of chemical compounds in rattan fruits stated to have promising medical activity and human health impacts.

The research activity is part of an integrated, unique approach to provide assistance in community development among the Ayta indigenous people in Moron, Bataan Province. This will be further explained below.

Development and Research Works in the Kanawan Tribal Commune, Morong, Bataan Province

In the afternoon on August 27, a team including Dr. Cruz, Mr. Motin, a driver, and the author, left Manila by car and headed for the Bataan National Park, Morong, Bataan Province. The old UN refugee camp located within the National Park Area was reached late in the evening the same day.

Dr. Cruz and Mr. Motin briefed the author about the history of this on-going development project. Dr. Cruz is now renting the old refugee camp from the Government at a rate of 200 USD per month. The development project is a combination of a private initiative lead by Dr. Cruz, and externally funded bioprospecting research. A unique approach is developed as it combines advanced bioprospecting research based on access to benefit sharing principles, implementation works (post-processing facilities), training and education of Ayta village people, and capacity-building to strengthen the Ayta peoples' rights to access and sustainable use of resources.

The community facilitator, Mr. Motin, further informed, during a walk from the Refugee camp to the Ayta Community in the morning on August 28, that the Ayta villagers now have agreed to stop logging and clearing of dipterocarp forests in the mountainous zones, and to implement a management and reforestation plan. The project also tries to assist villagers to terminate costly bank loans signed by individual village members due to pressures of land purchase activities by external actors (external actors were reported to try to purchase land within the ancestral domain territory and buy out indigenous people).

An interview with the village leader, Mr. Joseph Salonga, informed about his participation in several regional/national workshops arranged by Tebtebba related to indigenous peoples' rights to genetic resources. The project had initially also consulted Searice for assistance. Mr. Salonga stated that challenges for the future include: internal population growth control, capacity to develop and implement sustainable resource use principles, and capacity to develop outlets for processed products.

Some five to six village members were witnessed to work (food for work as benefit-sharing) with post-processing and packaging of food products within the refugee camp – a result from project works. An assortment of processed and refined products was already stated to have good local marketing opportunities.

Dr. Cruz recurrently brings her MSI students to the area as to introduce them into training and education in partnership with Ayta village members.

During the setup of the collaborative research programme on bioprospecting it was further reviewed that the Aytas cultural assets and worldviews should be incorporated into any development works.

Therefore, a social-cultural index has been developed as to facilitate processes by which the Ayta community can rank and decide upon development proposals.

It is important to note that perceived achievements and outputs at large are the results of the personal engagement by Dr. Cruz, the community facilitator, Mr. Salong, and the Ayta village people, in collaboration with project associates and networking partners. The role played by contributions from SwedBio funds through Tebtebba and Searice is in this case perceived to be minimal.

Field visit to GRAIN, Los Baños

Respondent:

Renée Vellvé

Location: GRAIN office, Los Baños

Date: August 28, 2008

Web link: www.grain.org

History of GRAIN and Present Programme

The international non-governmental organization GRAIN was initiated in the early 1990s and incorporated in Spain. On its web site (www.grain.org) it is stated that it started as a small and European-based unit, which has now grown into an organization with thirteen staff in nine countries and spread across 5 continents, carrying out a programme on local and global management of genetic diversity and the impacts of biotechnology on world agriculture, particularly in developing countries.

The head office of GRAIN is, according to its web site, located in Barcelona, Spain. The web site further lists that there are regional programme/information officers in the following countries: Argentina, Benin, Chile, India, Philippines, and South Africa. Global programme staff work from Canada, Spain and Philippines. GRAIN's global publications and information officers are in UK.

GRAIN is presently governed by a Board of Members including seven representatives from seven different countries. Board members are recurrently renewed.

Throughout the evaluation period of SwedBio (2003–2007), GRAIN was running a multiyear programme, “Harnessing Diversity”, stated⁸⁴ to include four main components: (1) ‘The fight for rights’ focuses on the struggle to articulate, strengthen and implement rights of local communities in relation to biodiversity management and traditional knowledge, (2) ‘Agricultural research for whom?’ focuses on the promotion of relevant research for farming communities to help further the development of locally adapted sustainable farming and livelihood systems, (3) ‘Cross-cutting information work’ brings together GRAIN’s general information activities and outreach functions, and (4) ‘Programme and organizational development’ focuses on the further consolidation of GRAIN’s organizational development gains and processes, as to address more efficiently and effectively the challenges posed by the programme.

The respondent mentioned that GRAIN is presently also active dealing with biotoxic and decontamination issues (work has included dialogue with a Norwegian research institute, GenØk⁸⁵).

The organization was externally evaluated in 2007 – an executive summary can be downloaded and read from here: <http://www.grain.org/about/grain-eval-2007.pdf>

⁸⁴ <http://www.grain.org/about/?id=9>

⁸⁵ <http://www.genok.org>

Vision and Programme Objectives

Vision⁸⁶: “Sustainable management and use of agricultural biodiversity based on people’s control over genetic resources and local knowledge.”

Programme Objectives⁸⁷: “Protecting and strengthening community control of agricultural biodiversity: GRAIN actively monitors, researches and lobbies against pressures that undermine the rights of farmers and other local communities to use, and benefit, from biodiversity. At the same time we work with national and local organizations across the world whom are advocating and building up mechanisms which enhance community control over local genetic resources and its associated knowledge.

- Promoting agriculture rich in biodiversity: All over the world there are farm and livelihood systems rich in biological and cultural diversity. Together with other NGOs, we work to support farmers and communities in strengthening sustainable agricultural approaches that are people-driven and serve food security first and foremost. GRAIN also explores how agricultural research programmes can better serve these approaches.
- Stopping the destruction of genetic diversity: Agricultural policies and trade liberalisation agreements have led to a more industrialised – and more vulnerable – food system. Through research, information and strategy work, we aim to help those involved in various activities to stop further privatisation and loss of agricultural biodiversity.”

The respondent, Renée Vellvé, stated that the organization is obliged to develop a broadened perspective on issues at stake. Over time GRAIN is seen as moving from an initial interest into plant genetic and biodiversity resources into a systems view approach and assessments of food systems, the food crisis, freed trade agreements, and seed aid issues. It was further commented that the organization is uniquely organized to deal with cross-regional sharing of experiences and information spreading, having strong priorities set and commitments made by its staff. GRAIN was further stated to include networking capacity to bridge between continents (e.g. Latin America and Southeast Asia).

It is, according to the respondent, found difficult to bring forward issues like intellectual property rights to the farmers’ field level.

Renée Vellvé said that GRAIN wants to maintain being a small, dedicated organization including some 15 staff members at the international level. The organization though currently wants to recruit an international-level consultant. The respondent estimated that some 70% of staff inputs are related to collaborative work including informal networking with other partners.

The Asian GRAIN coordination office is located in Los Baños in the Philippines and was opened in 1996. Three staff are currently active at the office: Coordinator (Renée Vellvé), Finance & Administration Officer (Etchel Del Pilar), and Regional Programme Officer (Vlady Rivera). The division of work tasks among staff is stated to be clearly defined.

At the national level (Philippines) GRAIN is stated to have been working with awareness and capacity sharing activities for about ten years, targeting mainly communities, the research society, and journalists. Much of this work is now stated to have been taken over by national NGOs (GRAIN has initially provided training to e.g. SEARICE, Philippines).

Renée Vellvé viewed that GRAIN had good working relationships with SwedBio, and that SwedBio staff were highly qualified.

⁸⁶ <http://www.grain.org/about/>

⁸⁷ <http://www.grain.org/about/?id=9>

Challenges for the Future

Renée Vellvé noted that the following may be future challenges for GRAIN to face:

- to stay focused on biodiversity within a broader systems view of food and agriculture (e.g. when dealing more with climate change, as GRAIN plans to)
- to develop a more diversified and expanded funding base
- to continuously deal with major opponents against work done by GRAIN; i.e. parts of the scientific community, and the biotech industry
- GRAIN's interest into decontamination issues are viewed as being challenging

Recommendations

The respondent made the following comments on means to improve the efficiency and relationships with the funding agencies (though it was stated that GRAIN overall maintains a good working relationship with funding agencies):

- more frequent meetings and more time spent in dialogue with funding agencies
- improved hands-on dialogue with the funding agencies on issues of common responsibilities, e.g. financial management and reporting routines
- strong emphasis on what should be expected outputs during evaluation processes

Field visit to MASIPAG, Los Baños

Respondent:

Chito P. Medina, National Coordinator

Location: MASIPAG office, Los Baños

Date: August 28, 2008

Web link: www.masipag.org

History of MASIPAG and Present Program

In June 25, 1987, the organization "Farmer-Scientist Partnership for Agricultural Development, Inc." was formally granted registration under the Securities and Exchange Commission (SEC), now known popularly as The MASIPAG Project – Magsasaka at Siyentipiko Para sa Pag-unlad ng Agrikultura.

A year later, a farmer-NGO-scientist partnership was formed and its first project was born with prime objective to break the control of local as well as multinational fertilizer and pesticide companies, multi-lateral rice research institutes and distribution cartels over the rice industry in the Philippines.

At present, MASIPAG has a total of 635 base PO⁸⁸s, 42 NGOs, and 15 people in its pool of scientists who composed the General Assembly which serve as the highest policy and decision-making body of the network. This body determines the direction/thrusts of the program. The elected Board of Directors acts as an advisory and policy-making body ensuring that decisions in the General Assembly are enforced/implemented. A Secretariat based in Los Banos, Laguna assists the coordination of activities in the regions. The Regional Project Management Teams (RPMT) coordinates work at the regional level. The RPMTs lead the program implementation in Luzon, Visayas and Mindanao.

⁸⁸ Peoples' Organisation

According to the respondent, MASIPAG is as of now supporting a total of 630+ organizations, covering half of the provinces in the Philippines and including 35,000 farmers, 64 on-farm rice breeders, 21 on-farm corn breeders, and 200 farm trainees.

According to information provided by the respondent, MASIPAG as a network has supported the establishment of 1,064 traditional rice varieties, developed 1,108 MASIPAG breed-lines, 185 farmers' breed-lines, and 75 corn varieties. The scientific/on-farm breeding work further includes the development of 11 salt-tolerant lines of rice (the latter breeding work was viewed as an important adaptive mechanism to cope with changing environmental and climate conditions in the Philippines).

Programs

MASIPAG currently undertakes six different programs:

- *Collection, Identification, Multiplication, Maintenance and Evaluation* (to ensure that collected species/varieties are maintained in seedbanks/farms for peasants to have greater access for breeding and production).
- *Development of Sustainable Agro-ecosystems* (development of sustainable agro-ecosystems, both in the lowland and upland ecosystems of the Philippines).
- *Breeding* (designed to breed varieties of rice and corn that are suitable for particular conditions and to maximize genetic diversity. Breeding is done in a participatory way involving not only MASIPAG scientists but also farmer breeders).
- *Farmer Designed/ Adapted Technologies* (the retrieval, reaffirmation, systematization and practical use of the body of knowledge relating to traditional/indigenous agricultural practices used and, over the years, improved by the farmers).
- *Marketing and Processing* (Efforts by MASIPAG in Marketing and Processing is focused in two areas. First is directed at collaborating with other organic practitioners and advocates in establishing the Organic Certification Center of the Philippines (OCCP). The second focus of Masipag is development of Participatory Guarantee System.
- *Education and Training* (of primary concern is to involve the farmers in all aspects of development that will help uplift themselves. The training of farmer-trainers is emphasized so as to maximize the impact of training and resources used. In the process, the knowledge and skills are transferred from one farmer organization to another and from one farmer-trainer to another).

The respondent further stated that the development of social networks is equally important as to establish technical networks as to cope with environmental and climate changes.

MASIPAG rather prefers to call its mode of networking (farmer-to-farmer mode of transfer) as “diffusion” rather than “upscaling”.

The organization has established the “MASIPAG Farmers’ Guarantee System”, a seed certification system which is the first of its kind in the Philippines (though not yet recognized by the Department of Agriculture).

The respondent stressed that improved livelihood opportunities made available through market opportunities of on-farm breeding activities comes second to securing access to food.

MASIPAG is currently considering if the organization should move into collaborative regional networking activities (a solid base of national experiences following organizational development and implemen

tation work is viewed to be conditional before entering into collaborative work at a regional scale). It is noted that MASIPAG is stated to have been copied and introduced into Cambodia⁸⁹.

Notes

It is recognized that MASIPAG has not received any support from SwedBio during the period of time valid for this assessment. However, MASIPAG has received minor funding support from SSNC.

The organization was valued as being of interest to the author as it has developed an organization and conducts implementation works in the same fields as supported by SwedBio (e.g. farmers' rights to seeds).

Field visit to Third World Network (TWN) Philippines, Quezon City

Respondents:

Atty. Elpidio (Ping) Peria,
Atty. Lilibeth (Lee) Aruelo

Location: TWN office, Quezon City

Date: August 29, 2008

Web link: <http://www.twinside.org.sg/>

History and Present Activities

Third World Network (TWN) was formed in November 1984 in Penang, Malaysia at the concluding session of an International Conference on "The Third World: Development or Crisis ?", organized by the Consumers' Association of Penang. The conference was attended by more than hundred participants from 21 countries. At this conference, TWN was formed with the objectives to coordinate and consolidate cooperation among development groups in the South.

Its main objectives are building on five pillars: (1) to conduct research on economic, social and environmental issues pertaining to the South; (2) to publish books and magazines; (3) to organize and participate in meetings and seminars; and (5) to provide a platform representing broadly Southern interests and perspectives at international fora such as the UN Conferences and processes.

TWN's International Secretariat is based in Penang, Malaysia. Its' regional secretariats are based in Montevideo (Uruguay), Accra (Ghana), and it has offices in Goa (India) and Geneva (Switzerland). TWN has affiliated organizations in several countries such as: India, Philippines, Bangladesh, Thailand, Malaysia, Ghana, South Africa, Uruguay, Mexico, Ethiopia, Peru and Brazil. It also cooperates with several organizations in the North.

TWN Philippines is stated by the respondents to focus on: Biosafety (mainly focusing on issues related to Genetically Modified Organisms [GMO]), Intellectual Property Rights (IPR), Access and Benefit Sharing (ABS), Indigenous Peoples' Rights (presently concentrating on conflicts in the Mindanao region), Ecological Farming (e.g. developing an association for advocacy of organic farming in Mindanao), and advocacy and influences on multilateral- and bilateral agreements).

Presently, TWN Philippines is stated to have three staff employed. People involved in implementation and/or acting as facilitators are though many more as the organizations works via a network of networking agencies (for example, TWN was described as trying to link up with other organizations concerning IPR issues). Two staff work at the regional level whereas one staff work at the national level.

⁸⁹ later stated to be Bangladesh by the respondent

Most staff within TWN have a background in law and jurisdiction.

The national units of TWN report quarterly to the Penang main office. Team reports are stated to be produced annually (in January) by its office in Geneva. From a regional viewpoint, Philippines and Indonesia are considered as being strategically liaised partners.

The respondents stated that the organization has a strong research foundation, cooperating with e.g. a New Zealand research institute⁹⁰ on biosafety issues, and with national researchers at Los Banos and the UP University (Quezon City). TWN has further worked with the Marine Science Institute on advocacy issues related to ocean fertilization.

However, the research society, though at a decreasing rate, are stated to also represent main opponents to TWNs work (specifically, the ABS issue was mentioned by the respondents).

TWN is currently the coordinator of Network Opposed to Genetically Modified Organisms or NO GMOs!, which is an informal network of environmental and sustainable agriculture NGOs and church-based organizations doing advocacy, awareness raising and research against genetic engineering in food and agriculture in the Philippines.

TWN associates are reported to have been invited by the Government (Philippines) as to support as legal advisors in ABS and Biosafety policy and legal framework formulations. The respondents though mentioned that the Government should improve on its recognition of outputs made by TWNs policy and advocacy works. It was further stated that the Government's reactions versus TWNs work may be multifaceted – the Department of Agriculture (DoA) was identified as an agency opposing TWNs work on biosafety.

The respondents further mentioned that TWNs work to empower plantation workers (Dole plantations) and to provide them with awareness of civil and legal rights, including the distribution of 700+ questionnaire and having received 300+ responses, is an example of advocacy that has contributed to create livelihood opportunities.

Challenges and Pointers to the Future

The respondents listed the following as being challenges faced by the organization:

- improved integration with the Government in advocacy and implementation works (e.g. not just to wait for revised WTO agreements)
- improved capacity to integrate advocacy and implementation works with line ministries
- a better integration and representation of field experiences in advocacy and policy works on bilateral and multilateral agreements
- improved communication and explanation of world view issues (biodiversity, ecosystem functions, etc.) to local levels
- maintaining focus on prioritized issues over time

The respondents also mentioned that the funding agencies could be more active as to facilitate a process by which the organization could be integrated with associated international networks.

It was further stated that organized events, with support from the funding agencies, by which e.g. best practices of dealing with biosafety issues could be explored and providing cross-country events of sharing of experiences, are sought-after.

⁹⁰ Centre for Integrated Research in Biosafety (INBI), Christchurch, New Zealand

TWN Philippines are also interested in the “open source” development in the North, concerning computer programming, software development, and the likes. This is viewed as a base of experiences that NGOs in the South could learn from.

Additionally, improved understanding of ABS – fair trade linkages, threats and opportunities were mentioned as attractive to TWN.

Field visit to WWF Philippines, Quezon City

Respondents:

Edgardo E. Tongson, Vice president for Corporate Sustainability

Luz Teresa P. Baskiñas, Vice President for Project Development and Grants Monitoring

Location: WWF office, Quezon City

Date: August 29, 2008

Web link: <http://www.wwf.org.ph/main.php>

Present Activities

The respondents stated that WWF Philippines has previously focused on environmental and biodiversity issues related to protected areas. However, as of lately the organization has decided to engage itself in issues related to man-made landscapes (forest, fishery, agriculture). A national assessment of ecological debts was undertaken in 2005 and a new version will be done this year (2008).

It was viewed that the concept of “ecological footprint assessments” used by ecologists and environmentalists in the North has less validity in the Philippines. This is due to the perceived dominance of real loss of biocapacity taking place and that the country is seen as a net importer of biocapacity from foreign countries. As to maintain options for sustainable development, the rapid processes of urbanization in the Philippines must e.g. be matched by a corresponding increase in biocapacity in the hinterlands.

The respondents mentioned, concerning species diversity in the Philippines that some animals have positively adopted to changing environmental and habitat conditions, e.g. the Philippine Eagle, whereas, e.g. the Philippine crocodile in the Mindanao/Sulu regions, is seriously threatened.

It was further stated that WWF Philippines recognizes the importance of making assessments of cross-regional and cross-country environmental impacts and adjoined sharing of experiences. The case of institutional evolution and development of legal frameworks in the Philippines is valued as being of increasing interest within the region. While the institutions in the region are viewed as being relatively young, compared to institutions in the North, it is though perceived that institutions and legal frameworks are comparatively progressive (right-oriented and people-oriented) in the Philippines. In particular, the indigenous peoples’ right movement and advocacy in the Philippines are viewed to have been very successful. Based on experiences accrued in co-management modes of natural resources management (NRM), Philippines is also considered to be ahead of many neighboring countries (co-management in NRM has been supported by WWF Philippines for more than ten years). However, it is perceived that the national implementation of aforementioned frameworks lacks in performance and effectiveness.

The respondents viewed that each country has to define and develop institutional settings and legal frameworks as to deal with right issues. Any change, as to become more effective, has to build from within the countries themselves and cannot be transmitted by donor funding.

It is stated that recipient countries in the South commonly need longer time frames as to be able to produce tangible outputs from project-/program works than applied by funding agencies. The experience is that smaller disbursements of money over a longer time period are more efficient.

WWF Philippines is presently engaged in conservation projects and implementation works covering 11 provinces and at least 28 towns. Marine Conservation and Coastal Management are two areas of present concern and interest by the organization. A Climate Change Adaptation Project is in the pipeline, including six countries in the region. The project is stated to include a ten-year action plan at national scales. A meeting will be held in Manila in October (2008) including regional/national stakeholders. A regional plan of action is stated to be under consideration.

The organization is further supported by the ADB and US Aid, among others, within a Coral Triangle Initiative on Coral Reefs, Fisheries, and Food Security. This triangular shaped region covers all or part of the seas of six countries: Indonesia, Malaysia, Papua New Guinea, Philippines, Solomon Islands, and Timor-Leste. The area is known to the world as the epicenter of marine life abundance and diversity. For example, it hosts 75% of all coral species known to science and more than 3,000 reef fish and commercially valuable pelagic species. The preparatory phase of the project is stated to be approved at the Council-level. National budgets will be used during the implementation phase, including possible subcontracts with NGOs.

WWF Philippines is further mentioned to consider project activities focusing on post-harvest resource management in man-made landscapes, and agroecosystems within a watershed management context. The respondents further stated that the organization wants to contribute with a more educated ecosystem approach through its advocacy and implementation works.

Funding agencies, including SwedBio, are encouraged to link up with research societies in the Philippines, as to (1) influence and motivate young scientists to act in partnership with governmental units and civil society organizations, and (2) to yield improved accreditation to modes of implementation and monitoring works. The respondents also mentioned that support to education and training of project staff/stakeholders at the provincial level and below is viewed as being important.

Notes

It is noted that SwedBio's actual support to the Collaborative Management Learning Network in SE Asia (CMLN) under administration by the Asia Indigenous People Pact (AIPP), having direct implications on co-management natural resources projects in the Philippines, is minimal. Outputs and lessons learnt are dominantly the result of own funding used by WWF Philippines. However, it is viewed that the learning processes in other countries in the region can be accelerated through a CMLN sharing of experiences from the Philippines at a regional scale. As such it could represent a focal point of interest in the sharing of experiences in co-management of biodiversity and natural resources at the cross-country level.

There may be indirect links between SwedBio's support to the UNDP/EI/IIED collaboration, Policy that Works for Biodiversity and Poverty Alleviation, and findings published by WWF Philippines, concerning its experiences in indigenous people and biodiversity conservation in the Sibuyan Islands, within the *Getting Biodiversity Projects to Work* book series.

Appendix 8. Field Reports from Vietnam

Field visit to Mekong Delta Development Research Institute (MDI), Can Tho University

Respondents at MDI,

Department of Crop Resource Management, September 1:

Director. Dr Tran Thanh Be,

Mr. Huynh Quang Tin, senior researcher and coordinator, CBDC project,

Ms. Nguyen Hong Cuc, senior researcher, seed testing,

Respondents during the field visit to Tien Giang province, August 30:

Huynh Van Nguyen Deputy director, Seed Center

Đo Thi Nhu Technical staff, Seed Center

Nguyen Hoang Quan Technical staff, Seed Center

Name of Seed club	Farmer's Name
Tan Hoi Dong – Chau Thanh	Pham Van Nam
	Ngo Van Thuyen
Tan Hoa Tay – Tan Phuoc	Do Tap Khiem
Hau My Trinh – Cai Be	Nguyen van Ro
	Nguyen Thanh Son
	Le Van Teo
	Nguyen Van Thi
Phu Cuong – Cai Lay	Dinh Van Cuong
	Nguyen Van Hai
	Ngueyn Van Thiem

Respondents during the field visit to Bac Lieu Province, August 31:

Phan Van Liem Deputy director, Seed Center

Nguyen Tam Dao Technical staff, Seed Center

Duong Van Ngo Technical staff, Seed Center

Name of Seed club	Farmer's Name
Lang Giay – Hoa Binh	Pham An Lac
	Truong Quoc Son
	Vo van Chien
	Huynh Thanh Phong
Ta Ben – Hong Dan	Truong Quoc Van
	Phan Van Liem
	Pham Van Ut

Location: MDI, Can Tho University, Can Tho

Date: August 28 - September 2, 2008

Web links: www.ctu.edu.vn/institutes/mdi/english/,
<http://www.cbdcprogram.org/final/firstphase/rcu/vietnam.htm>

History and Present Activities

The Department of Crop Resources, Mekong Delta Development Research Institute⁹¹, Can Tho University, is co-ordinator of the regional CBDC-BUCAP programme in the Mekong Delta Area in Vietnam.

The first phase of the CBDC was initiated during the April 1995 – May 1999 period. The main activities during this period were Participatory Varietal Selection (PVS) and Plant Genetic Resources (PGR) diversity management on rice crops to retain and enhance the cooperation with communities. During the first phase four seed clubs co-managed by on-farm breeders were established in the Mekong Delta Area. The experiences gained demonstrated that farmers can multiply and make varietal selections of seeds for local usage.

Prior to the launch of the second phase the MDI met with the regional coordinator of the CBDC-BUCAP programme, SEARICE, Philippines, as to outline programme works. Contacts with provincial seed centers and extension centers (Local Government Units, LGUs), as to provide capacity-building in seed production, were established.

The second phase of the Mekong Delta CBDC project started in June 2000. Activities of the project focused on four themes, namely: (1) Participatory Plant Breeding/Participatory Varietal Selection (PPB/PVS), (2) Seed Supply System (SSS), (3) Gender, and (4) Policy.

The CBDC project is steered via a Coordinating Board including a total of six members, out of whom two are MDI representatives and one is an on-farm breeder/Seed Club member. The project is also coordinated via a consultancy group including three members. The CBDC project includes six staff and 55 local technicians (25 in An Giang Province alone). The CBDC Project network includes links to provincial/local government units (DARD⁹², seven Provincial Seed Centers, six Provincial Agriculture Extension Centers, and the National Center for Variety Evaluation and Seed Certification [NCVESC]. The project is further linked to village-level units (Farmers' Associations) and three universities.

The CBDC project can provide financial support to Seed Club members in terms of subsidized machinery and drying costs through the associated Provincial Seed Centers. The project further covers fees for the national registration process of promising local varieties (stable lines, resulting from on-farm breeding/variety selection, are distributed by the project to the Provincial Seed Centers and the Can Tho University for further testing procedures before sent to the national variety testing programme).

Within the four main themes the following results are stated to have been achieved up until 2008:

1. Capacity Building

Table 1. Capacity building - results

Activity	Amount
Training events (FFS ⁹³)	389
No. of farmers trained	9,841
No. of female farmers trained	9% (2008)
Follow-up training events	84
Training of Technicians	113

⁹¹ known as the Mekong Delta Farming Systems Research & Development Institute since 1995

⁹² Department of Agriculture and Rural Development

Table 2. Seed club establishment

Year	No. of Seed Clubs established
2006	12
2007	44
2008	7
2006–2008	63
In preparation	69
Existing (old) seed clubs	248
Total No. of seed clubs	309⁹⁴

Within the capacity-building component, the project also arranges workshops with sharing of experiences with other partners as well as facilitating meetings with farmers every season. Such training events and workshops include: Farmer Field School (FFS), Farmer Field Day, follow-up training, and study tours. These activities are co-funded by local government units.

2. Seed Supply System

This project component focuses on (1) to diversify the use of plant genetic resources in the Mekong Delta Area and (2) to provide long-term support and maintain on-farm selected varieties.

Table 3. Local rice varieties released.

Year	Local varieties released	No. of local varieties to undergo national testing ⁹⁵
2003	3	–
2004	3	–
2005	11	4
2006	7	2
2007	29	2
2008	na	2

Table 4. Locally adapted rice varieties

Year	Local varieties (supply by informal seed systems)	High-Yielding Varieties (supply by formal seed systems)
1996–2000	25	-
2001–2005	6	50
2006–2007	8	14
2008	4	10
Total	43	74

⁹³ Farmer Field School

⁹⁴ 214 Seed Clubs established in An Giang Province alone

⁹⁵ the variety, SP1, is considered to be the most promising to undergo national testing

Table 5. Indicators used to demonstrate biodiversity/seed supply diversity-livelihood linkages through the CBDC Project work

Indicator	Outout	Remarks by the author
Household income	+10% (net income)	This figure probably reflects cumulative and integrated management changes over time – not only seed diversity
Income increase opportunity from on-farm seed production	+2–3 MVND/ha	See above.
Seed usage by weight	–50% (by weight)	See above.
Nitrogen fertilizer usage	–20–30 kg N/ha	See above.
Yield output	+ 0.4-0.6 ton/ha and season	See above.

It is mentioned by the respondents that in year 2004 more than 80% of rice seed demand in local communities covered by the CBDC Programme was met by local varieties. The An Giang Province alone is stated to contribute with 75% of seed supply of local varieties. Seeds from on-farm breeding/ varietal selection are estimated to cover 10–15% of the total seed demand in the project area, whereas the formal seed supply system only cover about 3–5% of the demand.

The MDI and CBDC project also work with methods to diversify cropping systems in the Mekong Delta Area. For example, Rice-Groundnut cropping systems (Tra Vinh Province) and Rice – Taro cropping systems (Soc Trang Province) have been introduced. An on-going trend is to shift from two rice crops per year to three crops per year, whenever possible, by the introduction of short duration varieties. The respondents stated that this shift in crop management has come at an ecological cost; pest control is less favorable in cropping system including three crops per year. It was further stated that in areas close to the sea, saltwater intrusion has caused farmers to switch from crop-based management systems alone to crop-aquaculture management systems.

MDI is also conducting breeding and varietal selection of tuber crops. The Gene Bank, MDI, hosts more than 2,000 samples of traditional varieties including 50 stable lines of farmers' varieties. Each sample is analyzed and recorded including 50 characteristics.

3. Gender

The project staff respondents mentioned that the representation by females in the Seed Clubs is still low. Recently there have been initiatives to establish female-based Seed Clubs. Three female Seed Clubs including 50 members are said to be presently active. Respondents further suggested that it would be potentially attractive for female farmers to engage in mixed management systems (crop-livestock-aquaculture; e.g. the VAC farming system model) rather than rice-based management systems. There are further articulated efforts to try to involve females through collaboration between MDI/CBDC and the Womens' Associations.

The skewed gender distribution (males grossly outweigh females) in the Seed Clubs was underpinned by a field visit to the Mo Lac Seed Club, Bac Lieu Province. In 2008, the Seed Club only reports two females whereas there are 46 male members recorded.

4. Policy

The project strives to strengthen policy support in “On-farm Plant Genetic Resources Conservation, Development and Use” (PGR-CGU). The Vietnamese law on Plant Variety Protection is stated to have been modified as a result of on-farm breeding results from the CBDC-BUCAP Programme demonstrated for policy-makers. This finding was presented and discussed during a regional conference in Hanoi in March, 2008.

Farmers are not allowed to exchange or commercialize seeds from parental material protected by Intellectual Property Rights (IPRs)/Plant Breeders’ Rights, without approval by the original plant breeder. There is though no recognition accorded to farmers whose indigenous varieties are used by plant breeders as parent materials without any restriction. The policy issues following the introduction of commercial seeds ruled by seed legislation, IPRs and Plant Breeders’ Rights, in combination with impacts of international trade agreements, are true challenges to the CBDC Programme. It was stated by the MDI respondents that the major concerns by farmers to use farmers’-bred varieties is the difficulty to sell on the export markets (the export quota system in Vietnam is currently under revision).

Environmental Issues

The respondents listed the following environmental factors of concern for the CBDC present and future work:

Table 6. Environmental concerns perceived by CBDC-MDI project staff

Priority ranking	Environmental factor	Remarks
Very high	Water (quality and seasonal availability)	Saltwater intrusion, salinity, seasonal availability, groundwater quality & availability
High	Pesticides, Eutrophication	The present risks and environmental impacts are stated to have triggered an articulated interest in organic farming systems adapted to the Mekong Delta Area
Moderate	Acid-sulphate soils	The distribution of acid-sulphate soils with soil-related constraints cover approx. 1 million ha in the Mekong Delta Area

Challenges and Pointers to the Future

The respondents listed the following challenges and pointers to the future concerning the CBDC programme:

1. Seed Club – Seed Center respondents (Bac Lieu Province)

- Will it be possible to maintain continuity in relationships between Seed Clubs and Seed Centers ?
- Challenges to meet increasing demands from Seed Club Members concerning support in post-harvest machinery and drying equipment.
- Follow-up training facilities requested by Seed Club members.
- Follow-up training facilities of core farmers initially trained by CBDC.
- Access to investment funds for Seed Club farmers.
- Possibility to fund activities in organic farming.

2. MDI respondents

- Impacts on the on-farm breeding/variety selection programme by actions taken by foreign seed companies and trade liberalization policies.
- How to cope with changes in the formal and commercial seed supply systems?
- Will it be possible to maintain relationships with participating farmers over time?
- How to raise funds for in-house staff salary⁹⁶ ?
- How to improve links to the international research community as to build stronger networking capacity and competence to the Programme?

The MDI respondents further listed the following as of importance to the development of the CBDC Programme:

- more frequent meetings with funding agencies as to go through and agree on management issues and partners' relationships.
- development of indicators for assessments and evaluations of programme impacts.
- development of modes to improve the stakeholders' involvement in evaluation processes.
- improved accountability and reliability in data collection through training of in-house staff and participating farmers and technicians.
- incorporation of baseline studies⁹⁷ at the beginning and end of programme cycles (i.e. to assess impacts with and without the programme over time).

Field visit to Plant Protection Department/

BUCAP field site, Dai Phac Commune, Yen Bai Province

Respondents:

Hoang Van Lam, Hoang Lien Son Coordinator (FFI)
Nguyen Xuan Quy
Hoang Trung Kun, Vice Leader of the Community Office
Ngo Van Tinh, Agriculture Union
Mrs. Ngha Thi Hoe, participating farmer (BUCAP)
Mrs. Loc Thi Dinh, participating farmer (BUCAP)
Mrs. Hoang Thi Nguyet, participating farmer (BUCAP)
Mrs. Hoang Thi Hang, participating farmer (BUCAP)

Location: Dai Phac Commune, Yen Bai

Date: September 4, 2008

⁹⁶ The MDI, Can Tho University, is under direct administration by the Ministry of Education, whereas the new universities in the Mekong Delta Area are administered by Provincial Authorities. In the latter case, it is stated that it is comparatively easier to secure funds for staff salaries.

⁹⁷ It was noted that the current CBDC programme does not include baseline studies introduced at the start of the programme cycle

History and Present Programme Activities

The BUCAP Country Project in Vietnam was initiated in 2000 through the National Integrated Pest Management (IPM) Programme, Plant Protection Department, Ministry of Agricultural and Rural Development (MARD), and with administering assistance by Oxfam Solidarity Belgium in Hanoi.

Main objectives of the project are to provide farmers with knowledge and methodology to conserve and diversify plant genetic resources at community level through FFS and field studies (FS).

During the initial phase project activities were implemented in five provinces in the North and Central Vietnam, namely Hoa Binh, Ha Noi, Hue, Bac Kan and Quang Nam.

Since 2003 the project has expanded to five other provinces, including Yen Bai (North mountain region), Nghe An and Quang Binh (Northern central region), and Kien Giang and Dong Thap (Mekong river delta). Among ten project provinces, four provinces (Nghe An, Quang Binh, Kien Giang and Dong Thap) are part of the IPM component of the Agricultural Support Program Sector (ASPS) with financial support from DANIDA. In Yen Bai support is provided by Oxfam Hong Kong⁹⁸. In late 2003 the programme covered 10 provinces and 48 villages.

The main programme activities are:

- Training farmers in farmer field school (FFS) methodologies in management of plant genetic resources (PGR) and improving rice varieties.
- Breeding varieties through participatory plant breeding (PPB) and through selection in breeding populations obtained from plant breeding institutions.
- Through participatory variety selection (PVS), testing on-farm potential new varieties adapted to local conditions.
- Rehabilitating through selection varieties (both local and improved) which through mixing and/or poor seed production practices had deteriorated.
- Seed production of selected new varieties or rehabilitated varieties for distribution within communities.

BUCAP Activities at Dai Phac Commune

The respondents from the Plant Protection Station stated that the Integrated pest Management (IPM) programme was initially launched in 1994. Activities were started in the commune through initiatives taken by the Women's Union. In 2004, 29 farmers were trained in IPM in 4 communes.

The BUCAP programme, under implementation by the Plant protection Station, is said to have been on-going for nine harvest seasons. FFS, PGR and PVS training are targeted to paddy rice cultivation systems.

The training activities are said to include:

- cultivation and seed collection (paddy rice only)
- suitability selection of seeds
- farmer to farmer training

It was stated that the activities had led to a successful multiplication and varietal selection of local rice varieties. However, it was also mentioned that PPB had not yet been introduced as part of training activities. None of the local varieties have yet been tested or certified at the national level.

The System of Rice Intensification (SRI) Programme⁹⁹ has in parallel been providing support to seed

⁹⁸ Evaluation Report of the BUCAP programme (2005).

⁹⁹ <http://ciifad.cornell.edu/sri/index.html>

supply and seed security in Yen Bai, including soil, nutrient, water and environmental management.

These activities, which were viewed as being somewhat similar to the BUCAP Programme, have been financed by Oxfam US.

The respondents reported that through the programme work several benefits have been achieved:

- reduced pesticide inputs
- improved productivity in paddy rice fields (a change from 4.7 t/h to 6.1 t/h was mentioned; though it was stated that the improved productivity was rather an integrated result from improved land and water management rather than from improved seed diversity *per se*)
- reduced labour input

Since 2005 the BUCAP Programme has trained about 30 core farmers. These farmers have further provided training of local trainees, by which 646 households were recorded to have received support. The training activities concentrate on seed varietal selection rather than PPB.

Three local rice varieties dominate the paddy rice area in the commune. Local varieties are said to cover approx. 40% of the local demand. When selecting rice seeds the following quality criteria check-list is used:

- flavour
- degree of “stickyness”
- cooking quality
- seed and panicle size

It was further stated that only three paddy rice varieties fit reasonably well with the local agroecological conditions.

The respondents also mentioned that seed companies were interested to buy seeds from on-farm breeding and selection sources. This seed supply chain was supported by an intermediary partner, the Agriculture Union¹⁰⁰, which provided distributional services between the producers and buyer(s).

Interestingly, almost all core farmers trained are females. This is in contrast to the great dominance by males in Seed Clubs in the Mekong Delta Area (CBDC Programme), as found by this author.

The respondents reported about perceived income benefits at the household level from the BUCAP Programme. It was estimated that the net income from sales of local variety rice crops could average some 30.5 MVND/ha, whereas the equivalent average net income from external/improved varieties would be approx. 27 MVND/ha. This author notes that the net income estimates probably represent lump sums of integrated impacts of changes in land, crop and water management over time, rather than being estimates of the impact of seed/plant biodiversity *per se*.

The technicians at the Plant Protection Department/Station provide services to Seed Club members as follows:

- guidelines on planting and resource management techniques
- guidelines on variety selection and seed collection

The BUCAP training components are stated to include three steps where the first is about training in PVS, the second includes seed/field testing, and the final step is about dissemination of results.

¹⁰⁰an association of farmers providing services to farmers, membership on a volunteer basis

The Plant Protection Department does not have any funds to support investments in post-processing technology – this has to be applied for at the individual farmer level.

Environmental Issues

The respondents perceived increased irregularities in weather conditions in recent years, including recurrent flooding events and periods with cold weather. Many corn fields close to the river embankments have been flooded and impounded during this season. Further, some 200 mammals are reported being killed by unusually cold weather.

Farmers are reported to have replanted paddy rice fields as much as three times this season. The event during the summer 2008 is described to have caused the biggest flooding in the area in 20 years.

Challenges and Pointers to the Future

The respondents from the Plant Protection Station rated risks of natural disaster events as challenges to meet.

It was further mentioned that changing socioeconomic conditions represent challenges, such as costs increases of agricultural inputs outweighing the commune's capacity to increase farm-gate prices. This situation is partially caused by the lack of temporary storage facilities, post-harvest technology and grading. Thus, agricultural products are sold to local brokers (middlemen) directly at harvest times.

A third challenge mentioned focused on possible and beneficial interactions between the SRI and BUCAP Programmes. It was viewed that there still is a need for programme support to increase and diversify production. The BUCAP Programme in the commune is stated to have formally finished but will proceed until 2011.

The Seed Club members added that the lack of storage and post-harvest technology is a real challenge to be met. It was further mentioned that an extension of the programme to cover farmers' seed supply and varietal selection of other crops (e.g. peanuts and corn) is sought after.

SwedBio, Stockholm Environment Institute and Mangrove Ecosystem Research Centre (MERC) in Vietnam: "Mangrove ecosystems, communities and conflict-developing knowledge-based approaches to reconcile multiple demands"

Date: 2008-09-05

Respondents:

Dr. Le Xuan Tuan and Ms. Quan Thi Quynh Dao

Introduction

MERC was established in 1987 under the National University of Hanoi (which consists of the National University of Education and the National University of Science). Later MERC and the Centre for Natural Resources and Management Studies (CRES) established the Mangrove Ecosystem Research Division. While MERD is mainly staffed with professionals from MERC, the division has to look for external funds for their research and projects.

The objectives guiding MERC are:

- To train highly qualified scientists on mangrove ecology, human ecology and biodiversity of coastal wetlands for sustainable use of natural resources and coastal environment,

- To coordinate with national and international institutions in researching the mangrove ecosystem, coastal wetlands and the life of coastal communities,
- To provide planning and technical support and education on the restoration and development of mangrove ecosystem and the life of the coastal communities in Vietnam

MERC and later also MERD has been the lead organisation for several national, ministerial and cooperative projects since the early 1990s.

Findings

A significant problem and challenge in the coastal zones of Vietnam has been the rapid uncoordinated expansion of aquaculture mainly through shrimp farming, but later also clam farming. Many of these shrimp farms are neither viable nor environmentally sustainable and have to be abandoned after some years leaving wastelands behind. The funds needed for this type of land use usually originates from wealthy non-resident people who are looking for profitable investments. The local poor who have been depending on the mangroves for fishing and crab collection etc for their livelihood often have to pay the price. Moreover coastal communities will be more vulnerable to natural disasters like typhoons and tsunamis.

The GoV has launched a very ambitious reforestation program for the coastal areas including the re-establishment of mangrove forests. While there are good intentions with this, it will require careful planning and consultations with local stakeholders addressing also difficult institutional issues beside the technical requirements in order to be reasonably successful.

The support from SEI and SwedBio (together with other similar projects) will and has included (i) training courses for the communities of the project site in the Red River delta; (ii) mapping exercises; (iii) activities to sort out roles and responsibilities of different stakeholders; and (iv) preparation of posters and flyers.

SEI has provided training for the staff of MERC and introduced the CATWOE tool through a video conference. CATWOE is method for analysing the different elements that constitute a problem e.g. associated with misuse of natural resources. This will presumably lay the ground reconciliation of different stakeholder's interests in the problem. While the CATWOE tool has been appreciated, it was felt that it should take Vietnamese conditions into account more convincingly. A national workshop is planned for early next year.

The planning and reporting procedures follow those established within the overall EU funded program of which SEI and MERC are partners. Progress reports are prepared using a standard format applicable for all the three project sites in Indonesia, Thailand and Vietnam. SEI and University of Essex will then review and rewrite these reports if needed and aggregate and include them into the main progress report submitted to EU. SwedBio will receive copies of the reviewed reports from the three project sites.

The future aim is to develop a strategy for the project site and the Red River Delta or demonstrate for policy makers how this might be done.

Appendix 9. Summary of SwedBio Comments on the Evaluation Report “What is SwedBio and what does Sida want to do with it?”

In summary, SwedBio is of the opinion that the evaluation process has not accomplished the Terms of Reference. As a result, the evaluation report does not reflect a comprehensive view of SwedBio’s results, nor does it provide substantial recommendations on the ways forward. This means it does not provide SwedBio and Sida with the expected tools for further progress and planning, and is thus of limited value. This could have been avoided, if SwedBio comments on the draft report had been properly followed up. Some of the weaknesses at the general level are exemplified below.

1. Conceptual Issues in Biodiversity, Ecosystem Services and Poverty Alleviation – Problematization

The assumption that biodiversity and ecosystems are relevant for poverty alleviation was set by Sida when SwedBio was created. Most of the original thoughts for SwedBio’s basic assumptions are found in Sida’s documents related to biological diversity from the period around the setup of SwedBio; “Sida and the convention on biological diversity” (updated 2000) and “Integrating Biological Diversity – the beginning of a learning process (Sida 2004). We note that “Sida and the convention on biological diversity” is not listed in the evaluators’ reference lists. They are both accessible through SwedBio’s webpage and at Sida. This assumption is also presented in the LFA matrix and the SwedBio development objective. The Collaborative Programme has worked with the assumptions as a base, which is a normal log frame procedure. Our questions have been on how to find the ways for sustainable use of biodiversity to go together with poverty alleviation, and how to avoid the situations where actually both biodiversity and poor people lose out, which often is the case. The SwedBio mandate during the first two phases did not have the task to explore, through e.g. commissioning studies within the collaborative programme, if the assumptions in the log frame are true. We have financed what partner organizations prioritize and which is in line with our objectives. We have had dialogues with all our collaborative partners on content, objectives, monitoring, budgeting etc but not to the extent that we have decided in detail what they should do. In short, SwedBio has had a development support approach rather than a research approach which admittedly would be more relevant for a critical discussion on our assumptions. We think that what the ET state about our lack of promblematization is outside our mandate.

The Evaluation Report does not give enough acknowledgements to the fact that many scientists and practitioners today use the assumption that biodiversity and ecosystem services contribute to poverty alleviation, through e.g. less vulnerability and through resilience¹⁰¹, and also that a rich biodiversity and ecosystem services contribute to risk distribution and functions as an insurance asset and contributes to food security. This is also very important aspects regarding mitigation of and adaptation to climate change.

Development of concepts in the program e.g. “Biodiversity” towards “Ecosystems”. The programme has adapted and evolved to conceptual framework and language in line with the international development concerning biodiversity in development cooperation. This discussion can be followed in the Steering documents of the programme. (Se further below)

¹⁰¹, i.e. the capacity of a social-ecological system to withstand perturbations from e.g. climate or economic shocks and to rebuild and renew itself afterwards.

2. Programme Design – Development of the Program

The programme has been executed over a long period, from 2003 – 2008. It started from scratch, and for understandable reasons it has been necessary with changes and clarifications over time. The elaboration of steering documents, as well as development of annual reports and work plans etc, has been made in accordance with the SwedBio management routines (Projekthanteringsrutiner och besluts- och arbetordning för SwedBios verksamhet, SwedBio/CBM 2006).

The development of the programme can to a large extent be followed in the proposals, work plans and annual reports of the programme. The Steering Group meetings, up to June 2006 and thereafter the Quarterly Review meetings have been the formal fora between Sida and SwedBio/CBM for discussion and approval of these documents, with meetings 4 – 6 times every year. From each meeting, minutes are prepared which notes desired changes in the programme. In addition, SwedBio's planning meetings (normally held twice a year), have minutes that are documenting the discussion of the development of the programme. The most important e-mail conversations are moreover filed electronically in our database journal. *This is not reflected in the evaluation report*¹⁰².

3. Collaborative Programme

SwedBio maintains an active relationship with its partners in the Collaborative Programme, and SwedBio has the impression that the value of this constant dialogue in the integration work is underestimated by the ET. The Steering Group and later Quarterly Review meetings have maintained a continuous strategic discussion on the profile of the program, including the balance between more “think thank organizations”¹⁰³, and grass roots experiences. The link from practical experiences, up to global policy in the supported initiatives, and the general relevance in international negotiations has been seen upon as a crucial value in all support in the CP. The collaborative programme is interlinked with the other components of the programme, i.e. the integration in Swedish International Development Cooperation and the international methods- and policy dialogue¹⁰⁴. SwedBio means that the experience and interaction with the Collaborative Programme is a key factor for maintaining relevance in the integration work at Sida. It has also been witnessed that “on the ground” experience from partners has been highly appreciated by Sida staff. This has been manifested for example in that Sida has used cases from the CP as positive examples in Sida information work¹⁰⁵. In addition, the contacts with partners from civil society incl. indigenous groups (of which some work in close connection with southern negotiators) are one of SwedBio's added values for Swedish Ministries in the International Dialogue.

Regarding possible overlap with Swedish actors SwedBio has in some cases found it relevant to support a programme if successfully implemented and useful for SwedBio and partners, although partners have other relations to Sweden. Such cases has been analyzed and documented in decision memos, and the

¹⁰² SwedBio provided these comments and information for the draft evaluation report.

¹⁰³ Regarding support to think tanks SwedBio already has ongoing dialogue with Southern think tanks, incl ACTS, supported by Sida, that is mentioned in the evaluation report.

¹⁰⁴ An example of this is the issue of REDD (Reduced Emissions from Deforestation and Degradation). The Collaborative Programme includes organizations and activities analyzing the effects of REDD on poor people, experiences that in addition to SwedBio staffs competences contribute to the dialogue on the international arena and in the integration work at Sida. SwedBio has for example been a member of the PEP (Poverty Environment Partnership) working group on REDD that produced the report “Making REDD work for the poor” and participated in the Swedish delegation to the UNFCCC-meetings on Bali and in Poznan.

¹⁰⁵ Example: Sida press release on sustainable agriculture, World Environment Day 2007; internal seminars at Sida e.g. TWN seminar at Sida September 2007, UNEP and WRI seminars in November 2007, CIFO-seminar on health and forests 2008; and transfer of experiences from field visits as well as partners updates directly in the interaction with Sida staff in the integration work e.g. the work with strengthening efforts of climate adaptation / mitigation in ongoing Sida programmes, May – October 2008.

SwedBio Steering group. SwedBio has in those cases supported only clearly defined parts of a programme that have had relevance for SwedBio's mandate.

4. Integration of Biodiversity and Ecosystem Services in Swedish International Development Cooperation

The evaluation report expresses too little of future recommendations regarding how the programme could take on the objectives of e.g. integration at Sida. Since the evaluation puts so much emphasis on the documentation of the programme (which moreover is not described correctly See under 2), the actual activities, initiatives, outputs, outcomes and effects are overshadowed.. It would have helped SwedBio, if additional text, findings and recommendations on the actual content would have been added to the evaluation.

We believe that the ETs approach when exploring integrations at Sida is somewhat simplistic, and not an easy task to perform and therefore one of the areas we would have hoped for better recommendations on. ET writes on page 76 "A systematic approach for integration of biodiversity and ecosystem services at the Embassies is missing and need to be addressed." SwedBio would like to stress that this issue is described in proposals, work plans and reports and frequently discussed at the Steering Committee meetings and that Swedbio does work with the integration wherever possible though the other environmental helpdesk, on commission from Sida in various documents and processes e.g. PGD-development, indicator work, environmental assessments, country strategies, through climate coaching dialogue with Sida staff, through seminars with cooperating partners at Sida and through the delivery of fact sheets¹⁰⁶. Sida does receive and absorb SwedBio experiences although it might be hard to track that it is SwedBio who have contributed with the knowledge. The indirect influence can be from within Sida, or via the other environment helpdesks, see above, but actually also from the loop SwedBio to global policymaking and back to Sida. It is hard to measure these outputs and outcomes. The ET is most certainly aware of the methodological problem with interviews concerning changes in attitudes and views and we would appreciate if this problem was acknowledged in the evaluation.

5. International Methods- and Policy Development

The evaluation report does not acknowledge the thorough strategic thinking and performance regarding the policy dialogue, in accordance with the Swedish Politics for Global Development. SwedBio links knowledge from the collaborative programme with international negotiations, commissioned by and in dialogue with Sida. This contributes to the possibility for Swedish international development cooperation to successfully contribute to a sustainable development since it contributes to the international policy development which comes down to national implementation in Swedish partner countries. It is a misconception that Sida has not been engaged in this part of SwedBio's work. This engagement and the value of SwedBio's work on methods- and policy development are e.g. clearly visible. As an example over 30 help-desk activities regarding the international policy and methods dialogue September 2007 to September 2008, on behalf of Sida to the government office was undertaken¹⁰⁷.

¹⁰⁶One example is that SwedBio gave support to Sida (actually writing the major part of the first draft) of a position paper and a report in the Sida study series on the subject "Natural Resource Tenure". The draft was widely discussed in all departments in Sida and it can be assumed that the view on natural resource tenures' importance for sustainable use of biodiversity and a rights perspective on the same had influence on Sida staff, and eventually the content of the documents.

¹⁰⁷Examples is the work of the follow up to the Millennium Ecosystem Assessment, the REDD- example given above, and regarding the work on the International Assessment of Agricultural Knowledge, Science and Technology for Development (IAASTD) where Sida was one of the main donors to the IAASTD Trust Fund and commissioned to SwedBio to review chapters of IAASTD, and to on behalf of the Ministry of Agriculture participate in the Swedish delegation together with Sida in the Final Plenary.

6. Further Comments

On page 15 in the evaluation report it says that the

“The Programme Director of SwedBio has had the mandate to decide independently about contributions of less than SEK 150 000 provided that s/he has not been preparing the proposal. In case of project support beyond SEK 150 000 or if the Programme Director has been involved in the proposal, the Director of CBM has had the mandate to decide about the support.”

Please note that this is incorrect, as pointed out by SwedBio also for the draft evaluation report. The amount should for project contributions be 1 000 0000 SEK in accordance with “Projekthanteringsrutiner och besluts- och arbetsordning för SwedBio’s verksamhet”.

On page 75 the ET writes that:

“It is further recommended that SwedBio strengthen its management routines as to provide guidelines and information on the relative rate of financial contribution prior to decision-making.”

Please note that SwedBio always asks for information regarding income and expenses to projects or programmes, and uses the same principles for co-financing as other donors.

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