# A Review of the Effectiveness of Great Ape Conservation Planning Processes and Action Plans

Prepared for the IUCN SSC Primate Specialist Group, Section on Great Apes



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## **EXECUTIVE SUMMARY**

Conserving the world's remaining great ape populations is a monumental challenge. Major threats such as poaching, disease, and habitat loss must be overcome within highly complex socioeconomic and ecological systems. Understanding that a highly effective collective and cross-sectoral approach is needed if great apes are to survive, over the past 15 years, the IUCN SSC Primate Specialist Group, Section on Great Apes (SGA) has helped to run multi-stakeholder processes to articulate a series of Action Plans. In Africa, plans have been completed for all four subspecies of chimpanzees, three of four gorilla subspecies (the mountain gorilla being the exception, although a planning process is under development), and bonobos. As many of these plans have expired or will soon, the SGA contracted a review to assess the effectiveness of past planning processes and plans in order to formulate recommendations for strengthening these in the future. The review involved a desk assessment of nine plans and consultations with 30 key informants.

The review found that past great ape planning processes are appreciated for their participatory nature, use of quality evidence, application of logical approaches, and attainment of critical decisions regarding priority populations, places, barriers, and conservation actions. Resulting plans are, in general, considered to be high quality, serving to catalog the current status of the targeted species, the threats they face, and the array of strategies needed to achieve conservation success. However, it is unclear whether the plans themselves have been implemented as designed, driven more strategic and impactful action by nongovernmental organizations (NGOs) and government agencies, and ultimately contributed to greater conservation outcomes than would have been attained in their absence. In part, added value to outcome attainment is difficult to assess because it would require regular monitoring as well as a more formal evaluation, which this review was not. The review does indicate, however, that SGA-supported plannings have added value by helping to bring stakeholders together to reach common visions and agreements and by generating plans that have been influential with funders and government stakeholders.

Lack of insight regarding the impact of plan development on conservation effectiveness is because in most cases, the plans were treated as point-in-time exercises versus the first step in a collective impact adaptive management cycle. As a result, and again in many cases but not all, coordination models for implementing the plans were not defined, systematic collaboration to ensure better strategic alignment of efforts was not broadly undertaken, and shared measurement and periodic reflection at the scale of the plans did not occur in order to assess progress and make course corrections to strengthen impact. While key Informants all said they felt the planning exercises were worthwhile and many highlighted ways they have leveraged the plans, most felt unable to speak to the extent to which the plans were implemented as designed (versus whether components of a plan were advanced, which most could discuss). Additionally, key informants could not be certain whether the plans had helped to amplify impact beyond what would have been achieved in their absence. Knowing more about why plans have or have not been implemented as designed or whether and how they have affected impact would be useful information for plan design and implementation going forward.

That is not to say that the plans did not have value. Rather, it appears that their value could be further optimized by better: ensuring sufficient representation and effective participation (particularly by governments and local communities), defining a clear planning purpose, planning at the right scales

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<sup>&</sup>lt;sup>1</sup> The revised (Maldonado and Fourrier, (2015) Eastern DRC great ape plan has a coordination model.

given that purpose, applying robust and effective approaches, methods, and facilitation (including vital pre-work), and ensuring that roles and responsibilities of organizers, facilitators, and participants are clear and well executed.

Additionally, the high-quality plans themselves could be further strengthened by going deeper on situation and stakeholder analysis, sharpening stated goals and objectives, and documenting methods and approaches to support future repeatability and updating. Furthermore, clarity of the purpose of the plan, who the end user(s) are, and what the intended use(s) are prior to starting the planning process will encourage greater collaboration and ownership and help manage expectations. The implications of this clarity may lead to a change in the "title" of the plan (e.g., moving from an action plan to a strategic framework). The processes and plans also should strive to both populate and make use of SGA platforms like the A.P.E.S. database and the A.P.E.S Wiki. Both systems are designed to capture and maintain current and vital information that could inform and be updated by planning efforts, potentially leading to more dynamic tracking of status and progress.

Beyond these incremental improvements, however, for the investment in planning to be truly worthwhile, the SGA should move beyond its emphasis on point-in-time planning exercises and product generation to cultivating ongoing and effective collective impact endeavors. Kania and Kramer (2011) suggest that plans, or "Common Agendas" as they refer to them, are in fact just one of five key ingredients to achieve collective impact. Similarly, the Open Standards for the Practice of Conservation (Conservation Standards), a widely applied standard for planning and adaptive management, include process design, implementation, and plan development within just the first two steps in a five-step cycle meant to optimize impact. To ensure a group's Common Agenda is executed effectively, additional key ingredients that must be established include Shared Measurement, Mutually Reinforcing Activities, Continuous Communication, and--to ensure all of that happens--a Backbone Support Entity. In fact, the Conservation Planning Specialists Group's recently released *Species Conservation Planning Principles & Steps* guide, which closely aligns to the Conservation Standards, includes many of these components as critical elements of an effective planning process.

Given its diverse membership of NGOs and governments, IUCN is uniquely positioned to drive genuine multi-stakeholder collective impact endeavors that establish the critical constituencies with the capacity, will, and capital necessary to effect near term change and ensure long term sustainability. Through the planning it supports, IUCN's SGA could more consistently carry that agenda forward. In fact, when asked for examples of how great ape action planning and implementation should occur in the future, many key informants point to two plans and associated implementation processes: *Grauer's Gorillas and Chimpanzees in Eastern Democratic Republic of Congo (2012–2022 (revised version of 2015))* and the *Regional Action Plan for the Conservation of Western Chimpanzees (2020–2030)*. In both cases, either during the planning process or soon thereafter, steps were taken to ensure effective collective action by the involved stakeholders, which many say is vital if the plans are to add real value and improve the course of great ape conservation.

## **INTRODUCTION**

## **Purpose**

The IUCN SSC Primate Specialist Group's Section on Great Apes (SGA) regularly facilitates and participates in efforts to develop multi-stakeholder action plans to guide the conservation of great ape

species around the world. To date, 11 African Great Ape action plans have been developed (Annex F), although several have expired or will soon. Anticipating the need to develop or update several plans, the SGA commissioned this review to assess a representative set of existing action plans and the processes to design them in order to generate recommendations for ensuring even more effective great ape planning in the future. These recommendations are to consider and build on a set of initial guiding principles identified by the SGA Action Plan Working Group as important for future action planning processes, including:

- Ensure a coordinated approach including the level of inclusion and engagement of the diverse set of stakeholders in both plan development and implementation (continued stakeholder engagement).
- 2) Foster the willingness and active participation from relevant government institutions and other stakeholders to define and agree on the plans' priorities and their continued engagement.
- 3) Provide clarity and transparency amongst partners/stakeholders related to who is committed to undertaking specific actions.
- 4) Ensure best use of science and data as part of an adaptive management approach.
- 5) Ensure plans are complementary and applicable to other planning processes in the region.

Additionally, the SGA believes action plans should be actionable with commitment and implementation ensured by relevant stakeholders, and rigorous enough to enable evaluation of conservation impact.

This review was conducted from April through July of 2021 to fulfill the following objectives:

- Review approaches in action planning for other taxa and other planning layers, such as Key Biodiversity Areas (KBAs)/others, as these approaches have contributed to or supported the development of the individual great ape plans<sup>2</sup>
- Review how plans can be better communicated, foster ownership, ensure continued stakeholder engagement and track continual progress (achievements/ challenges)
- Investigate how new plans can align with and draw upon other information bases (e.g., A.P.E.S. Portal<sup>3</sup>, A.P.E.S. Wiki<sup>4</sup>)
- Review the merits of developing regional versus national action plans and/or how plans at these different scales might be designed in an efficient and complementary manner.
- Make recommendations that would inform the development of 'SGA Guidelines for great ape action planning,' which would provide general guidance on the most effective approaches to a successful plan, specific to great apes and with care to complement and not duplicate existing guidance on species action planning provided by, for example, the IUCN Conservation Planning Specialist Group and Species Survival Commission, and Conservation Standards.

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<sup>&</sup>lt;sup>2</sup> It is beyond the scope or resourcing of this review to assess or make recommendations regarding the array of approaches used to do conservation priority setting. We will therefore capture the diversity of approaches used in past planning efforts and thoughts on key stakeholders regarding the strengths and weaknesses of those, in the context of great ape plan development.

<sup>&</sup>lt;sup>3</sup> http://apesportal.eva.mpg.de/status/tools/dashboard

<sup>&</sup>lt;sup>4</sup> https://apeswiki.eva.mpg.de/index.php/Main\_Page

## **Approach**

This assessment involved a desk-based review<sup>5</sup> of eight great ape action plans and one population and habitat viability analysis (PHVA) (Box 1) as well as interviews with 30 key informants (Appendix A).<sup>6</sup> The

review also considered some relevant conservation planning guidelines, including those from the IUCN Conservation Planning Specialists Group (CPSG), the Conservation Standards, and an ecosystem-based planning approach (UNEP).

To meet the objectives for the review, the desk assessment and consultations were structured around three core aspects of planning and plans (Appendix B), including:

 Effectiveness of the planning processes. Arriving at a robust plan that is successfully implemented depends upon the planning process as much as, if not more than, the plan itself. This component considered questions

# Box 1. Plans & PHVAs reviewed in support of this assessment.

- Orangutan Population and Habitat Viability Assessment 2016
- Regional Action Plan for the Conservation of the Nigeria-Cameroon Chimpanzee, 2012-2016
- Orangutan Indonesia Conservation Strategies and Action Plan 2007-2017
- Revised Regional Action Plan for the Conservation of the Cross River Gorilla 2014–2019
- Eastern Chimpanzee Status Survey and Conservation Action Plan 2010–2020
- Bonobo Conservation Strategy 2012–2022
- Grauer's Gorillas and Chimpanzees in Eastern Democratic Republic of Congo 2012-2022
- Regional Action Plan for the Conservation of Western Lowland Gorillas and Central Chimpanzees 2015–2025
- Regional Action Plan for the Conservation of Western Chimpanzees 2020–2030

related to stakeholder engagement and achieving agreements and buy-in, clarity of the planning purpose, technical rigor of the planning process, and leverage of other planning approaches.

- The plan itself. A robust plan should be clear, easy to follow and comprehend, evidence-based, scale-appropriate, and actionable by relevant parties. Consideration of this component looked at questions related to application of industry-standard best design practices, reflection of key ingredients for collective impact, clarity of definition of ultimate success and how that would be measured, and pros, cons, and best practices for planning at national versus regional scales.
- Plan implementation. While it was beyond the scope of this review to carry out an evaluation of
  whether the plans have been successfully implemented, we consulted with key informants to
  determine whether the planning processes and plans themselves have made an important
  contribution to effective implementation and impact, as demonstrated by things like advancement

<sup>&</sup>lt;sup>5</sup> The desk-based review consisted largely of a *conservation audit* of each plan, which assesses the extent to which the design and management of a conservation project reflect accepted industry-standard best practices. The Great Ape plans were audited against the best practices laid out in the Open Standards for the Practice of Conservation, an accepted standard and a comparable framework to the recently issued IUCN CPSG Species Conservation Planning Principles & Steps (Appendix C). Rather than attempting to create an audit tool for the new CPSG standards, we used an existing conservation audit tool for the Conservation Standards. The plans were audited against only the first two steps of the Conservation Standards -- those related to planning versus implementation, evaluation, or adaptation (Appendix D).

<sup>&</sup>lt;sup>6</sup> Other individuals were asked but elected not to participate in consultations.

<sup>&</sup>lt;sup>7</sup> See Kania, J. and M. Kramer. 2011. Collective Impact. Stanford Social Innovation Review. Winter 2011. https://ssir.org/articles/entry/collective\_impact

of planned priorities, evidence of positive changes in threats or status of targeted species or populations, and funding success.

While we are confident that the information collected supports our findings and recommendations, various constraints or limitations to this review are worth acknowledging, including:

- This was a rapid, desk- and internet-based assessment, involving the review of just eight plans and one PHVA. In addition, the documentation review was based mostly on the initial plans themselves which may or may not have included their annexes.
- Consultations largely drew on recollections that were, in most cases, based on planning processes that occurred five or more years ago.
- While we interviewed 30 people, this was fewer than hoped. An online survey was sent to elicit more responses but no responses were received. The key Informants largely represented the NGO community even though IUCN is a nongovernmental-governmental institution, planning processes engaged both types of actors, and both were intended to be ultimate audiences and implementers of the plans.
- The review gathered key informant perspectives on implementation, but the scope of the review did not include a genuine evaluation of the extent to which the plans were executed and achieved intended outcomes or impacts.

## **FINDINGS**

## **Introduction and Overview**

Planning processes and the resulting plans are generally viewed as having been worthwhile investments of time and funds, with positive contributions to great ape conservation including consolidating multi-stakeholder, point-in-time views of the status of targeted species<sup>8</sup> and the context surrounding their conservation, cataloging priority actions to be taken by NGOs, government agencies, and other actors, and cultivating communities of common purpose and key relationships. The planning processes have evolved over the last decade to become more inclusive, follow more standardized principles and steps, avow the necessity for and links to national and other scaled-down processes and plans, and, in some cases, establish agreements and mechanisms for collaborative implementation.

We also find there is significant room for improvement to ensure that the design of action plans results in significant, positive outcomes for great apes. Findings of this review suggest priorities among these improvements include designing processes around a clear and common purpose; not viewing the plans as an end point, but a milestone within a larger and ongoing effort; making inclusivity and sustainability pillars such that the right array of actors are engaged in an effective manner; sufficiently complementing biological analyses with context analyses; and working to generate *strategic* versus *action* plans. This section elaborates on these findings, broken out by our analyses of great ape planning processes, the plans themselves, and effectiveness of implementation.

<sup>&</sup>lt;sup>8</sup> Some action plans may also provide information on the decline and/or present population estimates.

## **Planning Processes**

## **Introduction and Overview**

The planning process, including who is involved, how it is run, and how people feel about their participation (and their intent or willingness to implement someone else's plan), can be as important as, or even more important than, the product it delivers. Fuller et al (2003) described the purpose of IUCN Species Action Planning as developing a compendium of knowledge, a baseline of information, a guide to activities, and a common framework for fundraising and allocating resources. Our rapid review of great ape action planning exercises supports these as primary aims for both the process and the plans. The planning processes involved in this review are generally noted for their participatory approaches, intention to include a full representation of the diversity of key stakeholders, and, in many cases, their application of widely accepted planning frameworks. In addition, the planning processes were considered credible, in that they used high quality evidence. They were also deemed necessary and important in their own right, as they brought people together to share experience and information, built relationships, advanced collaboration, and generated shared visions for great ape conservation.

#### A diversity of logical approaches have been and are in current use

A variety of different planning frameworks have been used alone and in combination over the past 15-20 years. These include Spatial Planning approaches, Species Action Planning, Conservation Action Planning, the Conservation Standards, and Population and Habitat Viability Analysis (PHVA). The IUCN Species Conservation Planning Principles and Steps appears to be a clear and actionable planning framework that largely mirrors the first two Conservation Standards steps (Assess and Plan; see Appendix C), but all of the plans reviewed were designed prior to their issuance. Nonetheless, they might be considered as a useful planning guide going forward, albeit they do not cover the realm of implementation and adaptation, key elements in any type of Plan-Do-Check-Act model of planning.

Of the frameworks used, the Conservation Standards seems to be the current approach of choice and was used for the most recent plans. It was recognized for providing structure and moving through a sequence of steps that supports out-of-the box thinking. On the other hand, there were those who saw the Conservation Standards as overly prescriptive and insufficient to support true complex systems thinking, particularly with regard to socioeconomic and political considerations. Regarding IUCN's Species Action Planning approach (i.e. IUCN Conservation Planning Specialist Group (CPSG)), some feel it was derived largely via the Captive Breeding Specialist Group and therefore not as applicable to wild/in situ conservation.

Specific methodologies and tools employed have been similarly diverse and often were selected based on the planning framework used. Our sample size and the depth of the analysis did not permit us to really compare and contrast the methods and tools and key informants generally did not emphasize this in their interviews. Rather, most suggest that the approach employed should be flexible enough to adapt to the planning purpose, context, and stakeholders, while still robust enough to return a credible, evidence-based result and facilitate common understanding and shared agreements.

## Planning purpose typically was well defined but not necessarily known to all stakeholders

Planning processes typically identified a clear intended purpose(s) that guided process design, although the purpose was often unstated in the plans themselves. We heard many reasons why

planning processes were carried out. In some cases, the purpose was simply to develop a shared vision of the desired future for great apes and to engender recognition and ownership of the process and actions needed to deliver on the vision. In other cases, the focus was on detailed target setting and selection of priority actions. In yet other cases, processes were intended primarily to build relationships and overcome conflicts or competition. Initially, the purpose and process to deliver the action plan were typically decided by the proponent of the process--often an international NGO. In many cases, these were further refined via a working or steering group formed to help make these decisions.

Although planning process organizers were often clear on the purpose, multiple key informants indicate that the purpose and the intended use(s) of the plan were not always adequately communicated prior to and during the process in order to ensure understanding and ownership by different stakeholders. Without clear, agreed, and broadly owned purpose statements, we heard that some processes were not as efficient as they could have been, leading to a lack of commitment and ownership, in particular by government authorities. In Kormos's (2008) review of two great ape action plans, she also concluded that a discussion about what an action plan can or is likely to achieve should be held prior to the initial planning workshop.

Intended end-users of the plans were generally outlined but ownership by key stakeholders has not been consistently achieved. Definition of the end uses and recognition of ownership of the process and the output varied amongst great ape action planning processes we reviewed. Most key informants, however, recognized end uses such as fundraising or funding strategy, platform for collaboration, and priority setting for organizations and governments. Consistent with the IUCN membership, there was widespread agreement that in addition to participating NGOs, government offices from local to district to national must commit to and realize their commitments, though it seems that these processes have yet to achieve these ideals in all cases. Instead, processes appear to strive for government buy-in and sign-off to which they may later be held accountable by the NGOs that tend to be the primary plan implementers. Various key informants suggest that if intended owners/end-users were more clearly defined up front and understood by all participants, this would likely influence how processes are run and create greater commitment and, potentially, increase implementation. Ensuring this orientation at the start would require pre-work such as one-on-one meetings and in-person invitations.

A number of key informants felt that developing action plans under the auspices of IUCN has some advantages such as global reputation, an assumption of quality, nonspecific NGO ownership, and the ability to convene and there did not appear to be problems of labeling these documents with the IUCN banner. However, in the case of Indonesian Orangutan Action Plans, these were led and published by government authorities.

## Stakeholder participation has captured many of the necessary players, but not all

Thinking regarding who leads, who facilitates, and whose perspectives are valued has evolved over time. Historically, most great ape action planning processes have been driven and led primarily by NGOs, with much of the representation consisting of scientists and on-the-ground implementers, many of whom have been expatriates. While the processes have been valued for their rigor and resulting products, several key informants said their thinking on who should be involved has changed. In fact, they say, more recent exercises have made greater attempts at meaningfully engaging a broader spectrum of stakeholders, including government representatives from non-environment agencies and local CSOs and communities. This evolution aligns with Kormos' (2008) recommendation that "great care should be

taken in the selection of the workshop participants to ensure technical representation from each range state in addition to political invitees."

Substantial effort needs to be made to find "key" people who fill different roles such as leadership, facilitation, scientific expertise, and general participation, as examples. These should continue to ensure rigor but increase emphasis on cultivating local ownership and leadership, intergenerational involvement and those who can make a difference in their own communities. Regardless of their professional or social position, those who are most dedicated to great ape conservation and those with staying power can add particular value to a process. In addition, understanding if and what barriers exist that may inhibit wider leadership and participation, especially among range state nationals, in these different roles and rectifying these as possible could become part of planning processes to enable more opportunities. Finally, key informants say that facilitators must be chosen carefully, both for their technical planning expertise and for their ability to cultivate and launch a shared endeavor into the future. In the past, it appears that it was assumed that facilitators would take point on product write-up, and some say this responsibility must sit more squarely with the leaders and implementing parties.

The scale of the plan and the country(ies) involved has influenced participation. Most of the planning efforts that were part of this review did not engage sectors beyond environment/conservation in the initial process planning, although they may have been invited to participate in the process at later stages. Some key informants noted that transboundary planning efforts can make it more problematic to include participants representing communities, diverse levels of government (and multiple departments), private sector and the wide academic community. It was noted that processes at national levels were more likely to involve inter-ministerial engagement. For the most recent Indonesian orangutan action plan, the process started more locally and built upwards with participation in the process determined for maximum engagement at each scale and with each sector. Consideration of the scale, the context, including challenges, opportunities and different social and cultural characteristics, should help identify who should be engaged, how, and when. Looking ahead, several key informants suggest that processes need to continue to expand involvement of local communities and of different ministries or government departments (e.g., mining, energy, tourism, development) and of donors. They also say this would require processes to be adapted to ensure inclusive, effective engagement and to lay out a flow such that different stakeholders are engaged in the right discussions and decision moments.

# All planning processes were considered credible though there are efficiencies and increased rigor to be sought

Work prior to the main workshop/event can help improve the process and the output. Pre workshop planning activities recommended by key informants include: (1) creation of a steering committee with a terms of reference (and sourcing any budget needed), (2) outlining the process and timing and the planning approach to be used, (3) agreeing on who participates, when and how (with justification), (4) selecting a facilitator and identifying participants who are knowledgeable about the planning approach being used and who can serve as support of the facilitator, (5) deciding if, when, and how any advance training in the approach is needed. Additionally, deciding on when, who, and how spatial planning, PHVAs or other modeling or tools are to be used and fed into the general approach is recommended. Other specific examples of preparatory work include distribution modeling as seen in the eastern

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<sup>&</sup>lt;sup>9</sup> PHVAs or other data layers are likely to be advantageous providing a more comprehensive view of great apes, their habitats, their situation, and the people who co-exist with them.

chimpanzee plan, density modeling and spatial landscape definitions based on Marxan in the WEA plan, and suitable habitat modeling in the bonobo plan. In addition, analyses such as threat ranking and prioritization and stakeholder assessments could be drafted prior to planning workshops so that participants can then focus on refining them and setting clear priorities and objectives, versus starting from scratch. Although the conservation sector has increasingly used planning layers such as <a href="Key Biodiversity Areas">Key Biodiversity Areas</a>, these were not employed in many of the plans reviewed.

Many plans referred to the need to link up or step down to other scales, but these other plans have rarely been produced. Creating links between and following through on processes (and the resulting plans) at different scales were cited as important yet did not appear to happen systematically. All larger multi-country [regional] plans referred to the importance of having national level plans, though this subsequent planning appears to happen infrequently (e.g., we heard of planning for Tanzania and Uganda) and/or happens as a result of a different process, and thus not linked in targeted ways to the regional planning process. There are likely many reasons preventing finer-scale planning from happening, including resource and time limitations, lack of the specific aim of step-down plans, lack of an organization or agency to lead, and/or a fatigue in planning. Additionally, finer scale planning may occur but not as part of the IUCN great ape planning process and these should be taken into consideration before any new or renewed planning begins. This will avoid the remark of one key informant that "there are too many plans, not enough thought about what is really needed, and how to build on other work."

The processes brought in different perspectives and generated significant knowledge. All key informants and our review of the plans and other documentation supported our finding that the processes were considered credible. This was often attributed to the diversity of perspectives from stakeholders (e.g., government, scientists, NGOs, communities) and the collaborative approach used to generate and share knowledge. In some cases, such as in the Indonesian Orangutan action planning process, the private sector was consulted. Key informants suggest that inclusion of new and relevant voices (e.g., the mining, transport, energy, and tourism sectors, depending on context) and more robust analyses wherever possible would further strengthen the credibility of planning processes.

The A.P.E.S. Wiki and A.P.E.S. Portal could further support and be informed by planning processes, as exemplified by the involvement of A.P.E.S staff in both pre-work and in planning workshops for the eastern chimpanzee and bonobo plans. Both A.P.E.S. systems provide fairly high level information regarding subspecies status, priority sites within the range, threats that are present, and conservation actions being taken. At this time, however, the A.P.E.S. Wiki is filled out only for a subset of sites. The A.P.E.S. database is designed to provide more in-depth information but many features are not yet functional. In both cases, if these platforms were complete and functional, they could serve as useful base layers or starting points for planning. Additionally, they might aid in tracking change in status over time if some kind of time-series function were added. Complementarily, planning processes could strive to update and fill information gaps in the platforms where possible.

## Effective and efficient planning processes benefit from structure, coordination, and resourcing

**Steering committee approaches can create efficiencies and strengthen credibility.** Typically the process to get a new plan started or to refresh an existing one is initiated or called for by the SGA, an NGO, or a funder. The choice of planning approach and tools largely depends on the lead facilitator. Some processes were guided and managed by a steering committee, which some say helped to ensure focus,

leadership, and efficiency. Some key informants say that past steering committees could have been more effective and respected if they had been more representative of all concerned parties.

There were mixed feelings about how well organized the planning processes were. In general, key informants felt that the processes were well facilitated and followed a good structure. In some cases, resourcing and time constraints meant that outputs were finalized by a sub-group following major planning events, and this may have contributed to a lack of broad ownership in implementation. There were several key informants who questioned the level of objectivity of organizations as they seemed to prioritize activities or areas that they were already working on rather than consider new proposals set by the process. While appreciating the approach and tools employed, some see the need for greater flexibility in adapting planning frameworks to context, resources, and participants. Also we heard that familiarizing participants with the planning framework and tools prior to planning events would be helpful to ensure full engagement and efficient process.

## **The Plans**

#### **Introduction and Overview**

Our review of the plans themselves began with a *conservation audit* <sup>10</sup> of each plan, which assesses the extent to which the design and management of a conservation project reflect accepted industry-standard best practices (Appendix D). In this case, the great ape plans were audited against the best practices laid out in the Conservation Standards, an accepted standard and a comparable framework to the recently issued IUCN CPSG Species Conservation Planning Principles & Steps (Appendix C). <sup>11</sup> The plans were audited against only the first two steps of the Conservation Standards -- those related to planning versus implementation, evaluation, or adaptation. Our desk review also assessed whether the plans reflected critical ingredients for achieving collective success, including a common agenda, a shared measurement approach, processes for ensuring ongoing communication and mutually reinforcing activities, and a backbone entity to support collaborative implementation. <sup>12</sup> Through the key informant consultations, we then ground-truthed whether people felt the gaps identified via the desk reviews were important in terms of generating a strong plan in support of effective implementation. The consultations also dove into focal questions for the review, including the best scale at which planning should occur, whether the plans should follow a standardized template or framework, and whether they should contain cost estimates.

All of the plans are believed to represent fundamental scales at which planning had to happen, in that they generally align to the scale at which each species or subspecies occurs. Many feel that in the case of regional plans, however, step-down planning must follow to generate, at a minimum, national level plans to align more closely to relevant policy, critical decision-making, and actions.

With regard to collective impact, generally the plans represent "common agendas" at a high level, particularly with regard to identifying priority places and/or populations, key threats, and their current status and cataloging actions that could be taken to overcome the threats to conserve the priorities. but the plans are missing other key elements to support joint success, including how implementation and

<sup>&</sup>lt;sup>10</sup> CMP Audit tool: https://sites.google.com/view/cmp-conservation-audit-tool/home/introduction

<sup>&</sup>lt;sup>11</sup> Rather than attempting to create an audit tool for the new CPSG standards, we used the existing conservation audit tool developed for the Conservation Standards.

<sup>&</sup>lt;sup>12</sup> See Kania, J. and M. Kramer. 2011. Collective Impact. Stanford Social Innovation Review. Winter 2011. https://ssir.org/articles/entry/collective\_impact

coordination will occur or a shared measurement approach (i.e., monitoring the extent of delivery and effectiveness and impact of implementation and tracking of actions).

In terms of standardization, while a "one size fits all" approach is not widely considered as helpful, some degree of standardization across the plans is viewed as potentially helpful to ensure completeness, improve efficiency when it comes to updating, and help donors compare and contrast across different plans and priorities.

## Plans have been designed at necessary but insufficient scales

Generally, key informants agree that a plan should be crafted for each species or subspecies at the scale of its full range and that, for species that span multiple countries, step-down plans also are needed. Planning at the regional scale is said to create an opportunity to periodically check in on how the species is doing, including population and distribution trends, threats, and new thinking around strategies. Regional plans also help to build important transboundary relationships and understanding.

However, in many cases, range-wide plans are at a scale that is typically too large to be actionable, and it can be challenging to identify priority populations and sites at this scale. In these cases, more refined analysis and planning may be needed in the form of finer resolution plans at national, landscape, or range/site scales (e.g., for some orangutan plans). While views vary on what the SGA's role could be in developing these smaller scale plans, there is agreement that focused strategy development, action planning, and execution makes the most sense and typically happens at the national scale or below. Developing plans at these scales also would support engagement and buy-in of more local actors (e.g., government ministries at different levels, local communities) who will have fundamental roles in realizing conservation success.

To ensure efficiency in developing the set of nested plans, key informants suggest that at the broad regional scale, it is vital that plans reflect stakeholder agreements around priority populations and areas, regional-scale, pervasive, and/or transboundary threats, and actions requiring multi-national coordination and effort. Regional plans also can continue to catalog planned actions of the various stakeholders, but are unlikely to support clear prioritization among those. Identifying priority landscapes and/or populations is not an explicit step in a Conservation Standards-based process and therefore was omitted in several cases. However, key informants suggest that if a regional plan does not include agreement on these priorities, it is not very useful and fails to fulfill a central purpose of doing a regional-scale plan. That said, this review did not delve into what the preferred method should be for undertaking priority-setting, as that analysis requires more detailed analysis and a different consultative process than was possible in this exercise. There was agreement amongst some key informants that figuring this out in the future is going to be key, and aiming for consistency in how it is done across species/subspecies is also a must.

Key informants say national level plans should involve more local stakeholders, reflect finer resolution context analysis, and finer scale action planning (including national/local policy priorities), including commitments around who will do what with whom (and possibly what it will cost). Several suggest such processes should engage a broader array of key stakeholders, including local communities, civil society organizations, the private sector in many cases (e.g., in Indonesia, the private sector is a key group for developing orangutan action plans), and especially wide representation of local government and from relevant ministries beyond the one that oversees the environment/wildlife. Many assert that attaining government-scale ownership and buy-in across all relevant branches/agencies is fundamental

and more likely to occur within a national or finer-scale process than it is at a regional scale. While many say national planning is vital, there is no clear agreement on SGA's best role therein, which could range from being the catalyst and facilitating the process to advising on methodology and process, to providing expertise and capacity where needed, as members' time, resources and priorities allow.

In cases where it is determined that step-down plans are needed, it will be important for regional plans to describe what those are and how they will be developed. Key informants say that there have been agreements that national plans were needed, for example, but it was often assumed those would be derived by nationally-led versus IUCN-led processes. While not all such country plans have been developed, a number do exist or are under development (e.g., Uganda, Tanzania, Guinea, Sierra Leone), often with the engagement of the Conservation Breeding Specialist Group (CBSG), United Nations Environment Programme's (UNEP) Great Apes Survival Partnership (GRASP). Beyond finer scale plans, one key informant suggests that the SGA may want to consider supporting focused planning for particular issues, like illegal mining or illegal wildlife trade. This is consistent with other comments we heard regarding the need to do more rigorous analysis and planning that takes into account the socioeconomic/political landscape and how to influence it most effectively in support of great ape conservation.

## The plans reflect few of the "key ingredients for collective success"

By their nature, the great ape action plans represent "collective impact" plans, in that they are intended to be executed by an array of stakeholders whose results will add up to conservation of the species (or species populations). As mentioned above, all of the plans reviewed effectively lay out high level visions for what success looks like, often in terms of which site-based priorities need to be effectively managed, which key threats need to be mitigated, and the full array of actions that need to be taken. With few exceptions (e.g., bonobo and WEA), the plans generally do not provide sufficient specificity, however, such that partners would have a clear, common, and measurable definition of ultimate success, particularly in terms of the population size/distribution or threat mitigation.

Although these are labeled as "action plans," almost none of the plans lay out how collaborative implementation will occur. While several plans indicate which organizations will have a role in executing which activities, joint action plans are generally not attached to the plans (although that doesn't mean they don't exist). Additionally, a backbone coordination entity to ensure effective coordination toward delivery on the plan is typically not identified, and approaches to ensure effective communications and alignment going forward are generally not articulated. Where these "key ingredients for collective success" have been advanced, as in the cases of the Eastern DRC and Western Chimpanzee plans, many key informants could speak more confidently about the extent and nature of implementation.

Several plans contain some form of a monitoring plan, but how data will be aggregated and analyzed against the plan, or how that data will be used by the collective to assess progress, are not described. Several key informants supported the idea that shared measurement is fundamental to collective success, but also expressed skepticism that it is possible in many cases. While sharing information in order to track species and habitat status is already taking place, stakeholders including governments, NGOs and academics are often reluctant to make data available on things like activities or threat data due to concerns stemming from confidential business information, fundraising advantage, or political

vulnerabilities. Several also point out that a shared measurement system<sup>13</sup> requires dedicated coordination and a platform and therefore core funding to make it possible. Nonetheless, regular and joint qualitative reflection on implementation progress and perceived results would be feasible and likely very useful, in particular to assess whether the collective is achieving effective alignment of their efforts against the plan.

## Tailoring plan contents on a case-by-case basis has allowed flexibility, but also gaps

While a "one size fits all" plan template isn't feasible or desirable given the diversity across species, contexts, and planning purposes, there is a sense that plans could benefit from greater standardization following a consistent methodology (e.g., as laid out in the Conservation Standards or the CPSG guidelines, "which are very similar in their fundamental principles and steps). Key informants say that potential benefits of greater consistency across plans include quality assurance, reducing learning curves of repeat participants and facilitators, supporting greater comparison across plans for cross-project learning, and achieving more efficient update processes because the critical plan elements and methods would be clear and the aim would be to simply update those analyses versus designing each process anew. Funders have different views on whether greater standardization is needed -- some say this would make it easier to compare and contrast across plans and potential priorities, while others feel more organic processes generate a better result.

While the preference of those consulted is that the SGA not follow perfectly prescriptive templates, it might consider identifying fundamental components each plan should include and some indication of the level of rigor that is preferred. As one key informant says, "A lot of the power of the plan is agreeing on a standard, for example how to measure and monitor threats, how to assess viability." The conservation audits provide some indication of which of these types of elements are already being prioritized and which might be developed further in the future.

# According to the audits (i.e., reviewing the plans against an industry standard), the existing set of plans demonstrate many strengths.

- Plans generally scored well on the earliest steps of the Conservation Standards, which relate to high level definitions of ultimate success (i.e., defining planning purpose, project scope, vision, and conservation targets).
- The "Project Team" is generally defined (i.e., who was central to developing the plan) but audiences and end-uses of the plans are not always clear, nor are roles and responsibilities related to implementation.
- Threats are typically identified and generally described and objectives are generally defined for mitigation of threats (although these are not usually framed in a manner that would be measurable).
- Situation models or conceptual models are well developed in half the plans.

<sup>13</sup> F. Maisels pointed out that population size and density trends and area of range occupied (km2) are common metrics, and SMART provides shared metrics for NGOS and governments and is widely used in Central Africa.

<sup>&</sup>lt;sup>14</sup> Note that if the SGA decides to promote the CPSG's *Species Conservation Planning Principles and Steps*, some work will be needed to overcome biases that exist in the community that stem from IUCN's CBSG species action planning past, which many perceive as having been built from a focus on ex situ efforts versus the realities of in situ conservation.

Looking to the future, the audits suggest that the SGA might want to incorporate additional industry-standard elements and/or address existing elements in a manner that is more complete or robust.

- Target viability analysis, which defines key aspects of a species or habitat target that must be in good condition for the target itself to thrive, is generally lacking. While this can be difficult to do for plans that are more thematic in nature, it is typically feasible for species-specific plans and can help significantly with establishing baselines and defining what ultimate success for the species looks like (i.e., measurable goals). While some say it is very difficult or even contrived to articulate conservation aims in terms of population size or distribution<sup>15</sup> Others say this is a necessity in order to define and track progress and impact. The following quotes demonstrate the diversity of views on this important point, and suggest the need for the SGA to agree on its standard for defining ultimate success.
  - o "We should define success in terms of the challenges and how we'll know if they've been removed, and at the same time, have we established/maximized enabling conditions for apes to thrive?"
  - o "For me, success would be measured in terms of whether we see an increase/decrease in great ape habitats or populations. It should be our ambition to save great apes."
  - o "Often, setting numerical targets is somewhat arbitrary and maybe not particularly helpful if you don't know where you're at or what is biologically feasible. Instead of measurable goals, which some say is ideal, I think trends is more helpful; we should seek to improve trends in threats and relative numbers of gorillas."
  - o "The plans should definitely contain SMART goal statements for desired future status of species and SMART objectives regarding threats or threat mitigation aims (e.g., new protected area creation). We need those to know if we have or have not succeeded."
- Situation analyses are generally overviews of challenges and key actors versus close, detailed, evidence-based analyses. Within this, threats are typically not rated or ranked, which can make it difficult to set clear priorities, establish baselines, or set measurable objectives. Several key informants identified this as an important gap in past processes and plans, suggesting that the rigor typically brought to the biological analyses should be mirrored by the socioeconomic and political analyses.
- Related to the above, most plans contain elements regarding human behavior change but these are largely framed as a means to achieve threat mitigation versus acknowledging that in many great ape landscapes, if human well-being is not improved, great ape conservation is unlikely to be achieved or sustained over the long term. Key informants say that beyond being a potential gap in the theory of change, not acknowledging the need to improve human well-being as an aim in its own right fails to speak to the complex nature of the situation in which conservation is happening, and does not resonate well with many fundamental stakeholders.
- As discussed earlier, the plans contain limited information that would support implementation, including more near term action plans, detailed monitoring and evaluation plans, and operational plans. While these may have been developed in some cases, they are typically not referenced in the primary planning documents themselves.

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<sup>&</sup>lt;sup>15</sup> "The work undertaken for two WEA species which contributed to the action plan and the Red List Assessment was published as a peer review paper and strengthened both of these products (Strindberg et al 2018- Annex E)"

• When it comes to implementation and operational aspects, including cost estimates for priority actions is considered both important and highly inexact. Several key informants noted the importance of these plans as fundraising vehicles and funding guides, while others say that the cost estimates are wild guesses, particularly within the large regional-scale plans. The interim solution may be to ensure finer resolution plans are developed such that developing more defensible cost estimates becomes possible. Plans also should contain estimated costs for ongoing coordination, including funding a coordinator position, enabling periodic stakeholder communications and check-ins, and supporting shared measurement.

## Plans could potentially go further to be more strategic versus action-oriented

Several key informants question whether the plans are truly strategic versus inventories or reports of what all stakeholders are presently doing or planning to do. In part, this results from some of the issues highlighted by the audits, namely that context assessment, conceptual models and theories of change could go further. Additionally, the spirit of the planning process could shift more strongly toward elaborating a joint strategy versus a compilation of actions already prioritized and underway by the participating stakeholders. While key informants widely agree that much of what is laid out in the action plans represents actions that would be *good to do*, some feel that what the community is *most needed to do* first, by when, and to what end is not as clear, and it is those elements that would make the plans "strategic" versus "action-oriented." In developing the plans, facilitators will need to judge the level of capacity and competence of the implementing bodies to create an appropriate balance between strategy and action.

## **Plan Implementation**

## **Introduction and Overview**

While it was beyond the scope of this review to carry out an evaluation of whether the plans have been successfully implemented, we consulted with key informants to determine whether the planning processes and plans themselves have made an important contribution to effective implementation and impact. We asked about things like advancement of planned priorities, evidence of positive changes in threats or status of targeted species or populations, and funding success, as well as the extent to which any of these positive results could be attributed to having the plan versus what might have occurred without it. Generally speaking, most felt efforts to produce the plans were worthwhile and had positive results, but lack of a 'coordination body', structured monitoring, evaluation and learning, and structured, collaborative implementation in most cases impedes assessment by involved parties of the extent of implementation or attainment of positive outcomes or impacts.

## It is hard to say whether the plans have led to greater effectiveness or impact

Tracking and monitoring against the plans generally have not occurred. Implementation of the action plans is generally not tracked or monitored, so it is unknown in most cases the extent to which they have been implemented as designed. While some plans have targets and indicators that could be monitored and key informants note the existence of data available at national and set level, there is a lack of coordinated monitoring and review efforts in support of adaptive management. Without such monitoring, involved stakeholders can have very different views on the extent of implementation that has occurred. For example, one key informant says that the Bonobo plan has been effectively implemented and well funded, while another expressed skepticism that the plan did much at all to

support implementation. When asked about monitoring, several key informants spoke to species status monitoring, as is carried out via surveys; any other tracking or monitoring that has occurred has largely been by individual organizations and focused on their own strategic plans. The only exception is the EDRC plan, which had a dedicated coordinator in the form of JGI and funding for coordination, including shared measurement, provided primarily by Arcus.

Views differ as to the added value the plans have had. From anecdotal accounts, in most cases, successes and advances have been realized, but most say it is unclear how much of those can be attributed to the plans versus what might have happened anyway. Some say they believe that in the absence of the plans, things would have been worse off, while others feel that the plans had little effect in terms of mitigating threats and maintaining or improving the status of the targeted species.

Improved strategic alignment has occurred where active follow-up and coordination has happened. Most key informants express skepticism that organizations, agencies, and other entities actually changed what they were intending to do as a result of the planning process, for example to address critical strategic gaps, better align efforts, or alleviate redundancies. Per one key informant, "I don't think the Bonobo Action Plan had an influence on where existing or new parties decided to invest."

Some say the plans simply cataloged what everyone was intending to do anyway and that this is often driven by the belief that the main purpose of an action plan is to support fundraising (therefore key stakeholders want to see their existing priorities/projects included). This can be particularly true in cases where NGOs are established in management agency functions which often means they already have a detailed plan in implementation. On the other hand, one key informant suggests that the planning processes help to ensure the stakeholder group is brought up to date on emerging challenges, which can ultimately shift attention and investment in important ways.

The EDRC plan (Moldonado and Fourrier 2015), and to an increasing extent, the WEA plan demonstrate the increased alignment that can occur with more structured coordination and follow-up. In EDRC, partners have regular check-ins to review changes in context and progress made in order to ensure an effective strategic approach going forward.

## Generation of the plans has had some positive results

The plans serve as a key reference on status, trends, and priorities. Several key informants indicate that the plans are their "go-to" reference regarding the status and trends of a species, what is affecting it, and what must be done to conserve it. They say that the data aggregation, analysis, review, and summation that went into formulating the plans provides a completeness and credibility not found in any other species-level reference. Stakeholders therefore use it as a point-in-time baseline as well as a map and guide regarding what is to be done to achieve the bigger picture that is species or subspecies conservation.

The plans have helped with fundraising and funder decision-making. The plans are said to have served as useful vehicles for fundraising. Donors also say they refer to the plans to help inform their decisions regarding funding priorities. In fact, many plans were intended to be fundraising instruments once developed (and some still say this is the primary reason to develop plans). One key informant notes, "Almost all funding has been in part or largely due to the fact that there is an accepted IUCN action plan for this taxon." Another says, "Any survey proposal I had input into, I always stressed that the proposed action was a Priority Action in one of these two plans, so they were internationally and nationally

recognized by the governments and the donors who were present at, and actively participated in, the workshops."

To strengthen this function, key informants say more effort would be needed at finer scales of planning to develop credible cost estimates. Additionally, some feel more could be done to engage the full donor community in developing, getting behind, and funding the plans, most of which are believed to have been significantly underfunded in their implementation. In most cases, it does not appear that funding mechanisms or models were discussed in the course of the planning processes.

The plans have been used to hold government decision-makers to agreements they made. Some have successfully used the plans to influence later government decision-making, policy, land/resource-use planning, etc. But key informants say this only works if government representatives have fully engaged, bought into, and signed off on the plans.

## An array of key factors has influenced plan implementation

#### The credibility and representation that characterize the processes influences implementation.

Developing the plans with broad participation and under the IUCN umbrella is said to help the array of actors view them as widely owned by those involved in the process versus primarily led by one organization or by just a segment of the stakeholder community (e.g., international NGOs). This helps individual actors to advocate for the priorities in the plan with other key stakeholders, such as government ministries or funders. In some cases, however, buy-in and implementation have been undermined by who has asserted and demonstrated leadership in the process and whether those organizations or individuals are viewed as unbiased and adequately representing local as well as international perspectives.

Where an implementation approach has been defined, that helps with plan execution; those that have done this are highlighted as models for the future. Lack of an agreed coordination mechanism/ organization or approach in most cases hinders collective implementation. Where such an approach has been developed, there is a sense that implementation goes better (e.g., in the cases of the eastern DRC, Cross River gorilla, and western chimpanzee plans). As one key informant says, "Ongoing coordination and effective communication is a must for plans to have ownership and to be effective." Through such improved coordination, some have observed added benefits like more sharing of data, joint publications, and ultimately greater collaboration toward impact.

For example, in the case of the Cross River gorilla, key stakeholders came together to review the extent of implementation of the first plan before launching into the second planning, agreed to do a mid-term review of the new plan, and for a while conducted annual check-in meetings. In this case, ensuring follow-through and coordination is in good part attributed to WCS, which has offices in both Cross River gorilla range states and was willing to take a 'leadership' role.

In eastern DRC, the Jane Goodall Institute has played a vital coordination role with support from Arcus, including supporting ongoing multi-stakeholder coordination and a shared measurement approach. One key informant suggests that the scale of implementation has been important in this case, saying, "The Eastern DRC plan is at the right level to allow people to identify each other, get into partnerships, form agreements, capture lessons learned, and push for a common agenda."

In the case of the western chimpanzee plan, a coordinator has been brought on for a 2-year period initially. This role is guided by the implementation section of the plan. An implementation committee

also helps to prioritize and divide up the work, maintain communications, and disseminate the plan. Key informants mentioned accessing guidance and information via a task force focused on Avoid, Reduce, Restore and Conserve (ARRC); this task force addresses extractive and hydrological developments that may affect all apes. While shared monitoring has not yet been established, the coordinator intends for implementation committee members to share in this responsibility.

Whether or not it is possible to achieve the "key ingredients for collective success" tends to come down to resources, particularly for things like a dedicated coordination role, regular check-ins, and shared measurement. One key informant suggests that for the group to be willing to really dig in on mapping out a collective implementation/impact approach, it helps to know up front that meaningful coordination resources will be available, and this will depend on whether there are specific funders willing to support this role. Many do point to a central coordinator as the ideal however (e.g., as has been the case for EDRC and is becoming more established for Western chimpanzee), and something that should be replicated, particularly where there isn't already a strong partner working across the scope of the plan and already fulfilling this role to a good extent (e.g., in the case of WCS and the Cross River gorilla).

The time between planning events and plan generation can be long, causing lost momentum and delaying implementation. Moving from the planning process to plan implementation can be hindered by time lags between convenings and when plans are finalized. Not only do commitments fade in participants' minds, but momentum overall can get lost. In several cases, it appears that this lag resulted from a lack of clarity at the start as to who would be responsible for writing up the plan and on what timeline.

**Funder participation impacts plan design and implementation.** Funder interest is considered by many to be one of the most important indicators of whether successful implementation will occur, and particularly whether it will occur comprehensively per the plan, versus in a very piecemeal fashion. While having funders involved in the planning can adversely influence the process and outcomes (e.g., by driving individual organizations to advocate more strongly for their existing priorities), it also can help to ensure their buy-in and readiness to provide support once the plan is complete, including for sustained coordination. Toward the intent of using the plans as fundraising vehicles, costs to implement activities are estimated, but others omit this altogether and we saw no evidence of comprehensive collaborative funding strategies or considerations of potential funding mechanisms.

The scale of the plan greatly influences implementation. There is a sense that finer resolution plans tend to be more implementable. By nature, they are more likely to have involved "front line" local stakeholders in the design process, better assuring that they are poised to take action. Plans at finer scales also tend to align more closely to the scale at which policy and resource-use decisions are made and at which governance occurs. Regional plans, on the other hand, tend to be on such a large scale that unless they also include step-down planning (e.g., at a national or landscape scale), they are not designed to be implemented per se.

**Not all plans are actually intended to be "Action Plans."** In some cases, planning processes were initiated as a means by which great alignment could be found among stakeholders, but not necessarily with an eye to the plan then facilitating implementation of specific efforts. Rather, in some cases, the

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<sup>&</sup>lt;sup>16</sup> Per Kania and Kramer (2011), the five key ingredients for collective impact include Common Agenda, Shared Measurement Systems, Mutually Reinforcing Activities, Continuous Communication, and a Backbone Support Organization.

processes were designed more to mitigate conflicts, resolve tensions, and build relationships; this was the case for the Bonobo plan. In these cases, it is not entirely appropriate to judge the extent to which they were implemented, as that wasn't necessarily the primary purpose.

## RECOMMENDATIONS

## **Overarching Recommendations**

The findings of this review suggest that a paradigm shift may be needed to ensure that action planning has significant added value beyond what would have occurred in its absence. This paradigm shift includes:

- Redefining the central purpose from producing a plan to launching dynamic collective impact efforts at appropriate scales. While the multi-stakeholder, multi-year nature of the plans is reflective of a collective impact effort, the processes typically have ended with the generation of the planning documents themselves. More thought is needed during the planning process as to how implementation and coordination will work to ensure that the vital priorities outlined in the plans are actually advanced. Central to this will be clear framing, ensuring buy-in to, and designing a tailored approach for achieving the purpose of the planning process at the start. As a result, for example, this might require defining and pursuing planning outcomes that focus just as much on building relationships and resolving past conflicts as they do on undertaking rigorous technical analyses.
- Designing for sustainability, which requires local ownership, leadership, and resources. For conservation efforts to succeed over the long term, broad buy-in and action are required by local actors. Historically, it appears that the planning processes have been heavily led by the international NGO community, with the plans being viewed as largely for those same NGOs, with government agencies considered more as targets of the resulting actions. Going forward, key informants say greater effort will be needed to effectively engage, in full partnership, appropriate government agencies, civil society organizations, local communities, local academic and research institutions, and potentially the private sector, especially where extractive industries overlap with great ape habitat. Additionally, more thought will be needed regarding financial resources and funding mechanisms to ensure action can be taken by local as well as international actors.
- Ensuring the plans are *strategic* as well as *action* plans. Many of the plans give the impression that they present the "menu" of actions that are needed to advance great ape conservation. In fact, many say that the processes served, in good part, to catalog the priorities of the participants. It is less clear that they supported robust strategic thinking in terms of setting explicit priorities for the attention of the group -- which populations/sites and/or threats require action sooner than later? Where are there gaps in the conservation response and where are there redundancies or overlaps to resolve? Where does the community need to pull together more effectively? The existing plans provide an excellent foundation upon which to update and then elaborate in order to generate plans that describe priority strategies as well as actions. This shift, combined with the emphasis on establishing a collective impact implementation approach, would allow for lighter touch planning processes, as more detailed action and finer-scale planning could then be left to the coordination model, including derivation of funding estimates and strategies.

- Building the plans upon a robust and multi-faceted analysis of context. Related to all three points above, and mirroring the history of thorough and rigorous biological analyses, the great ape planning processes could benefit from significantly strengthening efforts to understand the context within which great ape conservation is happening. While priority-setting exercises appear to have been based in large part on species data (e.g., range, demographics, etc.), discussions of threats and key challenges have been derived largely through qualitative and anecdotal exchange. A deeper analysis of context will help to ensure the right people and sectors are engaged in the process, better acknowledge and speak to the trade-offs that range state governments are navigating, and strengthen selection and elaboration of priority strategies. Integral to considerations of context must be the recognition that in the complex bio-cultural landscapes that support great apes, their fate and that of local human populations are integrally linked and often interdependent. The plans therefore must reframe their treatment of local communities, moving away from dealing with them only as "threats" versus critical allies, beneficiaries, and leaders.
- Accepting that some degree of standardization is worth compromising on total flexibility. While it is clear that some key informants prefer an adaptable versus prescriptive planning approach, identifying critical planning elements that represent the SGA's minimum standard is key to improved planning. This might include preferred methods to develop each element. Having a more consistent approach across plans would reduce the learning curve among repeat participants, make the plans easier to update, and make them more readily navigable by those who work across multiple great ape action plans, such as funders.
  - Going forward, if the Conservation Standards or CPSG guidelines were followed closely, to some extent that would remedy many of the shortfalls identified by the audits. In both cases, the frameworks are generalized versus prescriptive and are readily adaptable to different contexts, under the guidance of an experienced facilitator. Strong examples of good plans developed following both approaches can help to support the use of these frameworks<sup>17</sup>. They also can be easily complemented by other planning approaches and tools such as PHVA, KBAs, scenario and complex systems modeling, and ecosystem approaches.
- Frequently reviewing and revising processes to embody the SGA's own planning principles (Box 2). This review has largely affirmed that the SGA's principles are sound and a strong basis for improving great ape planning. Much of the input we received spoke to the extent to which those principles were or were not being followed. If those are brought more centrally into each process, and potentially reframed as intended outcomes in support of the planning purpose, it is likely that many of the overarching recommendations above, and the specific recommendations below, would be fully adopted and in evidence.

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<sup>&</sup>lt;sup>17</sup> Per CPSG: Three projects that did a reasonable job of spanning a range of contexts and taxa, and that followed CPSG's key principles and steps: include the Tamaraw, the shrill carder bee, and greater bilby:

http://cpsg.org/sites/cbsg.org/files/documents/TamarawTCMAP\_Oct21\_FINAL.pdf

http://cpsg.org/sites/cbsg.org/files/documents/FINAL%2023062020%20BBCT146%20-%20SCB%20Conservation%20Strategy%202020-2030.pdf

http://cpsg.org/content/greater-bilby-summit-report-and-conservation-plan-2015

# Step-specific Recommendations

Specific priority recommendations related to the planning processes, the plans themselves, and implementation are detailed below. Note that these are derived from the findings of this review but are not exhaustive in nature. The overarching recommendations above, the SGA's own planning principles, and reputable planning frameworks, including the Conservation Standards and the closely related CPSG Principles & Steps, also should be consulted when designing and carrying out a planning exercise.

#### Box 2. SGA planning principles

- Ensure a coordinated approach including the level of inclusion and engagement of the diverse set of stakeholders in both plan development and implementation (continued stakeholder engagement).
- Foster the willingness and active participation from relevant government institutions and other stakeholders to define and agree on the plans' priorities and their continued engagement.
- Provide clarity and transparency amongst partners/stakeholders related to who is committed to undertaking specific actions.
- Ensure best use of science and data as part of an adaptive management approach.
- Are complementary and applicable to other planning processes in the region.
- Action plans should be actionable, owned and implemented by relevant stakeholders, and rigorous enough to enable evaluation of conservation impact.

## Design and run a great process

#### Lessons from the Review:

- Continue to employ participatory processes, ensuring broad engagement by all key stakeholder groups both in the design and execution of the planning process. In the past, processes have done a good job involving NGOs, government environment agencies, and academics. Greater effort is needed to engage local communities and broader representation of government (e.g., non-environment ministries), and potentially the private sector. This will require careful thought about the structure and facilitation of the process to ensure inclusive, effective engagement of all participants. Key informants indicate that steering committees composed of individuals representing the different key stakeholder groups are more likely to result in an inclusive process.
- Spend as much time as needed defining the purpose and ensuring everyone is on board. Who are the intended audiences and end-uses? Are there specific challenges in the operating context that the process is to help overcome (e.g., past conflict in the community)? Articulate specific outcomes to be achieved in support of delivering on the overall purpose, framed in terms of who you want to think/act/decide differently as a result of participating in the process. Conduct pre-planning sessions that walk through the intended process, tools, and outputs so that people are well oriented, comfortable, and equipped to participate effectively. This may require having in-country ambassadors, in particular to ensure government buy-in.
- Make a thoughtful decision at the start regarding what scale of plans are needed: range-wide, national, or both. Depending on scale, design the process to the extent that it results in actionable plans (e.g., WEA is a model with regional and landscape actions). In Indonesia the new (2019-2029) orangutan plan started planning more locally and built up to national priorities and actions. This change in planning process was partially due to lessons learned from the evaluation of the

2007-2017 orangutan plan. Historically, some key informants say multi-country plans have attempted to plan beyond an actionable scale and that they are instead best used to set priorities for the metapopulation, conduct broad scale situation assessment to identify transboundary/ pervasive threats requiring coordinated action, identify transboundary/ regional/ multinational policy and other strategic priorities (research, disease emergence and prevention, illegal trade), and define a regional coordination mechanism, approach, and backbone. Ensure that conversations and planning are initiated early so that any necessary step-down plans are produced.

- Identify the approach, methodologies, and facilitator carefully, as these have significant influence on the process, product, and ultimate utility. As stated above, use an established and well regarded planning method--or an aligned equivalent. Based upon the method to be followed and consideration of the planning purpose, at the start of the exercise, outline the plan to be generated. Consider standardizing plan elements, if not the exact structure. What needs to be in every regional and every national plan? What are the "must-haves" and what are the "nice-to-haves"?
- Map out and carry out pre-work, in particular to identify and aggregate available data sets, identify
  other relevant plans that already exist or are being developed, conduct any rigorous analyses that
  are necessary, understand any legal and jurisdictional boundaries or issues that may arise and get
  early buy-in to draft components (e.g., population and site-based priorities, initial context
  assessment methods and analyses).
- Clearly lay out roles and responsibilities for the planning (e.g., with a steering committee), including
  designing and facilitating the process (e.g., larger regional processes and/or those with many
  participants will need a proficient facilitation team), conducting pre-work, capturing the discussions
  and decisions, and generating the plan.
- Ensure the process is funded from preparatory or pre-planning work all the way through to product generation and dissemination (and ideally through to at least a couple of years of coordination of implementation).

## Create a strategic and actionable plan

#### Lessons from the Review:

- Continue to emphasize the generation or updating of a shared vision of success among all key stakeholders. Go beyond a generalized vision, however, to define evidence-based and measurable conservation goals with a temporal ingredient ("by year x"...), framed in terms of habitat and population aims (target viability analysis can help with this). Additionally, consider defining objectives related to human well-being, as most great ape landscapes also support indigenous and local communities as well as economic activities led by the private sector.
- In support of articulating the shared vision, continue to include a priority-setting process to identify critical areas of habitat to support the target species. Key informants say this is particularly important for regional-scale plans. We note that the Conservation Standards, the standard followed in several cases, does not include a specific step around priority-setting, therefore a complementary approach will need to be identified.
- Conduct deeper context analyses to ensure a robust understanding of the system within which conservation of great apes is to happen. Use situation and concept models to help participants

articulate and grasp complexity. Where funding, time, and data allow, consider using systems modeling approaches and other tools (e.g., network or social structure analysis) that allow a more in depth view of the situation and its stakeholders and actors. Ensure that key threats are at least rated and ranked, informed by analyses of the current pressure they exert or their likely future impact on the species targeted. If relying heavily on anecdotal information contributed by participants, ensure the group includes experts from all critical sectors and ensure the validity and accuracy of the information to the extent possible.

- Articulate SMART objectives/outcomes for how you want to see the system change in order to meet conservation goals. Most of the plans reviewed described these changes qualitatively, but not in a manner that would be measurable in order to assess progress.
- Ensure the plan goes beyond cataloging activities underway or already prioritized to undertake a strategy alternatives analysis that identifies those efforts that are most needed to achieve goals and threat mitigation objectives. Ensure strategies and associated activities are relevant and actionable. In a regional plan, it makes sense to go to the level of transboundary actions to mitigate pervasive threats, but national policy priorities and strategies should arise within national plans. Capture the strategy selection analysis in an appendix so that it might be reviewed, repeated, and updated over the course of plan implementation.

## **Ensure effective collective implementation**

## Lessons from the Review:

- Continue to emphasize rigor and credibility in the planning processes, as this helps with later uptake and advancement of the priorities identified.
- To avoid losing momentum for implementation, ensure the plan itself is generated promptly following the conclusion of the multi-stakeholder process.
- Ensure the "key ingredients of collective impact" are discussed/launched during the planning process versus dealt with after the fact. In particular, talk about how coordination will work as well as shared measurement. This should include identifying the "backbone" -- an organization or individual profile that will be engaged to help move the process through to coordinated implementation.
- Include a monitoring and evaluation approach, at a minimum, for high level goals and objectives (e.g., for species-specific and habitat-based goals and threat mitigation objectives). Agree on a basic platform, method, and general guidelines for data sharing. Beyond focusing solely on defining indicators, data needs, and methods, articulate clearly how the stakeholder group will go about analyzing and reflecting on data gathered in order to assess progress and make necessary course corrections.
- Plans need point people to support coordination and these should be scaled appropriately; one key informant suggests that for national plans, there are two point people -- a government representative and an NGO lead who facilitate regular connections and check-ins. An IUCN technical person based in the region or country could be considered for this role. Important to note is that a dedicated coordination role requires ongoing and sufficient funding support.

 Where appropriate, launch discussions of how the ongoing processes and implementation of the plan will be funded. Begin to consider options such as funding mechanisms and joint proposals.
 Ensure the plans are strategic and fine resolution enough in nature that the funding needs and priorities are clear.

## CONCLUSION

Conservation planning done well strengthens collaboration, opens up opportunities, focuses efforts on priorities and can lead to improved conservation activity and outcomes. Lees et al. (2021), in their review of the impacts of planning, state that "Post-planning, threatened species declines continued, but gradually slowed, and then reversed, with an upward trend of recovery within 15 years. No species became extinct. Simulated counterfactual projections indicated outcomes would have been worse without the planning intervention; around eight species would have become extinct over that timeframe." Also Fuller et al. (2003), in their review of three species action plans, concluded that "Although it is impossible to demonstrate the effectiveness of species action planning through rigorous scientific assessment, [these] results indicate a substantial amount of conservation-relevant activity directly attributable to the process."

IUCN and the SGA clearly believe in the value of planning. Significant investment has been made to run multi-stakeholder processes that generate plans representing shared visions of common purpose and action. To ensure there is high return on that investment, this review has identified an array of ways the SGA might strengthen its processes, plans, and implementation. In particular, the top priorities appear to be broadening local participation and ensuring local ownership, increasing standardization of processes and plans (while still supporting flexibility and tailoring), deepening the rigor of context analyses and strategy selection, and, during and following the planning processes, establishing some of the key elements required for collective success. Through continued improvements to the planning process and the plans themselves, greater implementation along with the realization of the desired outcomes and goals will more likely be forthcoming.

## **APPENDICES**

## Appendix A. Key informants consulted

Key Informant Name	Organization
S. Suci Utami Atmoko	FORINA, Indonesian Orangutan Forum
Anna Behm Masozera	International Gorilla Conservation Programme
Rich Bergl	North Carolina Zoo
Julian Blanc	United Nations Environment Programme
Dirck Byler	Re:Wild
Ken Cameron	USFWS International Affairs
Jamie Deppen	IUCN CPSG
Jef Dupain	Antwerp Zoo Foundation
Christina Ellis	Jane Goodall Institute (formerly)
Roger Fotso	Wildlife Conservation Society
Marc Fourrier	Jane Goodall Institute
Tatyana Humle	University of Kent
Inaoyom Imong	Wildlife Conservation Society
Annette Lanjouw	Arcus Foundation
Caroline Lees	IUCN CPSG
Darmawan Liswanto	Yayasan-Titian Lestari
Fiona (Boo) Maisels	Wildlife Conservation Society/ University of Stirling
Erik Meijaard	Borneo Futures
Bethan Morgan	San Diego Zoo
Lilian Pintea	Jane Goodall Institute
Andrew Plumptre	Key Biodiversity Areas Secretariat
Amy Pokempner	USFWS International Affairs
Aldrianto Priadjati	FORINA, Indonesian Orangutan Forum
Johannes Refisch	Great Apes Survival Partnership
Ronna Saab	FORINA, INdonesian Orangutan Forum
Jacqui Sunderland-Groves	University of British Columbia
Jatna Supriatna	University of Indonesia
Erin Wessling	Harvard University
Serge Wich	Liverpool John Moores University
Liz Williamson	University of Stirling

## **Appendix B. Review framework**

The following topics and focal questions guided this review.

**Effectiveness of the planning processes.** Arriving at a robust plan that is successfully implemented depends upon the planning process as much as, if not more than, the plan itself. This component will considered questions such as:

- Was the right set of key stakeholders engaged and engaged effectively to ensure key voices were heard and later ownership and leaders were achieved?
- Was the process handled in a manner that successfully resulted in broad buy-in and, most importantly, clarity in participants' minds (versus just on the plan page) regarding priorities, challenges, critical strategic actions, and roles and responsibilities?
- Was the purpose of the planning process clear and did resulting agreements reflect that purpose?
- Was the planning process focused, evidence-based, credible, and efficient?
- How did the planning process leverage approaches in action planning for other taxa and other planning layers and relevant information bases? (Or if it didn't leverage these, could these resources have resulted in a more robust plan and how?)

**The plan itself**. A robust plan should be clear, easy to follow and comprehend, evidence-based, scale-appropriate, and actionable by relevant parties. Consideration of this component will look at questions such as:

- Does the plan reflect industry-standard best design practices, as laid out in the Conservation Standards? (a streamlined version of the Conservation Standards Audit Tool will be used)
- Does the plan reflect critical "key ingredients for collective impact," such as a clear and common vision, priorities that will support active alignment of efforts led by diverse parties, and an outline of a shared measurement and adaptive management approach?<sup>18</sup>
- Is the plan specific enough that ultimate success is defined clearly and progress toward that success can be measured?
- What scale is the plan (regional or national) and what are the pros and cons of focusing at that scale?

**Plan implementation.** While it is beyond the scope of this review to carry out a robust evaluation of whether the plans have been successfully implemented, we will use available documentation and solicit views of key informants to determine whether the planning processes and plans themselves have enabled effective implementation and impact, as demonstrated by:

- Whether priorities laid out in the plans have served as an effective guide to advance planned activities and efforts.
- The extent to which execution on the plans has led to positive and intended changes in key factors (e.g., threats) and the ultimate status of conservation targets (i.e., great apes and their habitat).

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<sup>&</sup>lt;sup>18</sup> See Kania, J. and M. Kramer. 2011. Collective Impact. Stanford Social Innovation Review. Winter 2011. https://ssir.org/articles/entry/collective\_impact

- Whether necessary funding has been secured, including consideration of whether the planning process and plan itself adequately considered funding potential.
- Evidence of efficiency, including best use of available human and financial resources and effective collaboration and communication among relevant parties.
- Demonstration of positive change in key factors as needed for long-term sustainability of efforts and positive results realized.

## Appendix C. The CPSG planning guidelines and the Conservation Standards

#### **IUCN CPSG Species Conservation Planning CMP Open Standards for the Practice of Principles & Steps Conservation (first two steps)** 1 Prepare to plan 1. ASSESS Agree on the scope, rationale and required product of planning. Design and prepare a planning process that will meet these requirements. 1A. Define Purpose and Identify Project Team 2 Define success Define the core elements of a future state for the species that represents the desired outcome both for conservation and for other relevant stakeholder needs or values. 1B. Define Scope, Vision, and Conservation Targets 3 Understand the system Assemble the best available information on the biology, history, management, status and threats to the species, the obstacles to addressing those threats, and the opportunities or options for successful 1C. Identify Critical Threats intervention. 4 Decide where to intervene 1D. Assess the Conservation Situation Determine where in the system to intervene and recommend and prioritize the changes needed to achieve the desired future state. 2. PLAN 5 Agree on how to intervene Identify alternative approaches to achieving the recommended changes, compare their relative costs, benefits and feasibility, and choose which one(s) to pursue. 2A. Develop a Formal Action Plan: Goals, Strategies, Assumptions, and Objectives 6 Specify what is to be done Agree on what will be done, when and by whom, to implement the chosen approach, and which measures will be used to indicate progress or completion of specific tasks. 2B. Develop a Formal Monitoring, Evaluation, and Learning Plan 7 Prepare to implement Agree on how key individuals and organizations will communicate, coordinate, make decisions, and track and report on progress as they move forward together to implement the plan. 2C. Develop an Operational Plan 8 Share, learn and improve Produce the plan swiftly, share it widely and strategically to maximize conservation impact, and capture lessons learned in order to develop more effective conservation planning processes.

## Appendix D. Overview of desk-based conservation audit findings

The desk review began with a conservation audit of each plan, which assesses the extent to which the design and management of a conservation project reflect accepted industry-standard best practices. In this case, the Great Ape plans were audited against the best practices laid out in the Conservation Standards, an accepted standard and a comparable framework to the recently issued IUCN CPSG Species Conservation Planning Principles & Steps (Appendix C). The plans were audited against only the first two steps of the Conservation Standards -- those related to planning versus implementation, evaluation, or adaptation. Note that audits simply assess presence/absence and alignment to a standard. They do not assess whether that presence/absence or extent of alignment actually matter when it comes to what is needed in a plan. For this review, we asked key informants to provide insights on whether the lack of something like theories of change or results chains actually impacted the quality of the plan in terms of articulation or execution. Key for scores below.

Conservation Standards 4.0 Steps, Sub-steps, and Criteria	Cross River Gorilla	Bonobo	W. Lowland Gorillas & C. Chimps	Indonesia Orangutan 2007-2017	Orang PHVA	Nigernia- Cameroon Chimp	Eastern Chimp	Grauer's Gorillas & Chimps in E DRC		AVG FOR STEP
1. ASSESS										
1a. Define Purpose & Identify Project Team										3.1
Purpose of the project is clear and aligned to relevant programmatic and organizational strategic plans.	4	3	3	3	4	3	4	4	3	
Project team and their roles and responsibilities are defined, including relevant stakeholders and necessary skill sets.	3	3	3	2	4	2	2	3	2	
1b. Define Scope, Vision, & Conservation Targets										3.5
Project scope is described.	4	4	4	4	4	4	4	4	4	
There is a map of project scope for any project with a geographic footprint.	4	4	4	4	4	4	4	4	4	
A vision statement is defined that describes the desired future state of the project scope.	3	4	1	4	N/A	1	4	4	4	
A limited number of conservation targets (e.g., species, habitats) are defined, justified, and mapped (if relevant).	4	4	3	4	4	4	4	4	2	
If relevant, a limited number of human well-being (HWB) targets are defined, justified, and mapped.	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	4	
An analysis of the viability of each target is conducted, based on: identifying Key Attributes; defining indicators; outlining viability ratings for indicators; and setting current baselines and future desired ratings.	1	3	2	3	4	1	1	3	4	
1c. Identify Critical Threats										2.9
Threats are identified and described (If appropriate, a climate change vulnerability assessment has been undertaken).	4	4	4	3	4	2	3	4	3	
Threats are rated for all targets.	1	4	1	4	2	1	2	4	3	
1d. Assess the Conservation Situation										2.4
Factors contributing to threats and status of targets, such as indirect threats (or root causes and drivers), opportunities, and enabling conditions, are identified and analyzed.	2	4	1	2	2	2	3	4	2	
Stakeholders and other influential actors are identified and their level of influence understood and their interest known.	2	2	2	2	N/A	2	3	3	2	
Situation or conceptual model has been developed representing key cause-and-effect relationships.	1	4	3	1	N/A	1	3	4	N/A	

Conservation Standards 4.0 Steps, Sub-steps, and Criteria	Cross River Gorilla	Bonob o	W. Lowland Gorillas & C. Chimps	Indonesia Oranguta n 2007- 2017	Orang	Nigerni a- Camero on Chimp	Fastern	Grauer' s Gorillas & Chimps in E DRC	n	AVG FOR STEP
2. PLAN										
2a. Develop a Formal Action Plan: Goals, Strategies, Assumptions, & Objectives										2.3
Goals are articulated describing desired future state of each conservation and human well-being target.	1	4	4	3	N/A	1	2	4	1	
Strategies have been selected through robust process and are 1) linked to threats, contributing factors, and/or targets, 2) focused, 3) feasible, and 4) appropriate.	3	4	2	2	3	2	N/A	3	2	
Theories of change (e.g., results chains) are defined that elaborate assumptions and results for each strategy.	1	1	2	1	N/A	1	1	4	N/A	
Objectives are defined for key intermediate and threat reduction results.	2	4	4	1	N/A	1	3	4	3	
Goals, strategies, objectives, and activities are documented in a formal action plan.	1	2	3	3	N/A	1	2	3	2	
2b. Develop a Formal Monitoring, Evaluation & Learning Plan										1.9
A monitoring plan is developed and guides all monitoring activities.	2	3	3	2	N/A	1	1	4	2	
Baselines for each indicator are defined.	2	2	1	1	2	1	N/A	1	N/A	
2c. Develop Operational Plan										1.5
Funding needs are defined.	2	1	4	1	N/A	2	2	3	1	
Human resource needs and a governance structure are defined [including partnerships].	3	2	2	2	N/A	2	N/A	2	1	
Risk assessment is developed and mitigation plans formed.	1	1	1	1	N/A	1	1	1	1	
Sustainability and/or exit options or plans are developed.	1	1	1	1	N/A	1	1	1	1	

<sup>&</sup>lt;sup>19</sup> Key for Scores: 4= No or minimal improvement needed; 3= Some improvement needed; 2= Significant improvement needed; 1= Does not exist/not developed

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## **Appendix F. IUCN SSC PSG SGA Action Plans for African Great Apes**

PDFs available at: / Ces documents peuvent être téléchargés à: www.primate-sq.org/action plans

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