



IUCN-FSC MARKET SURVEY ON THE CERTIFICATION OF PROTECTED AREAS

Final Report of Survey Results

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August 31st 2014

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1. Introduction

- FSC and IUCN are currently developing separate independent schemes for certifying Protected Areas (PAs)
- Both organisations recognise that there may be added value in working together where practicable in order to optimise the service offerings and their operational and cost effectiveness
- This market survey has been undertaken as one of several contributions to discussions held on potential collaboration
- Its aim is to understand the perspective of a variety of stakeholders on the potential for collaboration. These stakeholders include IUCN and FSC staff, PA and Forestry experts/consultants/certifiers, NGOs, government agencies, and businesses (16%). Significantly they include only a relatively few organisations that will be the direct customers for PA certification offerings (only a limited number of these names were supplied by FSC and IUCN). For this reason one needs to be clear about the value of the results:
 - The results are very useful in presenting the views and insights of both forestry, PA certification and other conservation experts on the value and challenges of PA certification, and of collaboration between the IUCN and FSC
 - The results should **not** be seen to present a **customer** view of the likely attractiveness of either joint IUCN-FSC or separate IUCN and FSC PA certification schemes. A separate survey needs to be conducted to achieve this



2. Method

- Sisu worked with both FSC and IUCN to develop a joint questionnaire, email, and Concept Brief (see Appendices) to send to participants.
- A mailing list was compiled, again working with IUCN and FSC, which comprised a total of around 750 names. The breakdown of the type and location of respondents are shown in the following slides.
- The survey comprised two parts:
 - The use of the Survey Monkey on-line tool to send the questionnaire to the respondent list. 125 responses were received in this way.
 - A follow up Skype interview with 16 respondents who agreed. This interview lasted 45-60 minutes and focused on perspectives on a IUCN FSC collaboration, and further explanation of answers where needed.
- The survey and interview respondents were told their responses would remain anonymous, and in a number cases, they specifically asked that they remain so. This made the likelihood of honest, rather than politicised, responses more likely. Key points of view from these interviews are anonymously provided at the end of this presentation.
- The following slides present the results of the Survey Monkey. The IUCN FSC Market Survey Interview Results are attached to this email as a Word file.



3. Results of Analysis



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A. Which best describes your organisation? Q.6

The total number of results (125) is as expected for the sample size, and gives +/- 8% margin of error at the survey level as a whole.

Good number of respondents from each of the key areas targeted, give reasonable comfort at segmented level that results are directionally accurate with +/- 15-20% margin of error (except for Government where 8 responses is too small a sample to be statistically relevant):

- 27% PA background
- 17% FSC or extractives background
- 16% NGO background
- 16% Other business
- 7% Government (national & international)

Which of the following best describes your organization?

Answer Options	Response Percent	Response Count
Protected area	4.0%	5
Protected area agency	6.4%	8
FSC national office	7.2%	9
Local/national NGO	16.0%	20
Certification body	2.4%	3
Global NGO	12.8%	16
Foundation or trust fund	1.6%	2
Protected area expert or academic	15.2%	19
National government or international governmental	7.2%	9
International financial institution or donor agency	0.0%	0
Extractive industry (forestry, mining, fisheries)	9.6%	12
Agriculture	1.6%	2
National/international tourism agency or operator	0.8%	1
Other business	15.2%	19
Other (please specify)		23
<i>answered question</i>		125
<i>skipped question</i>		0

A. Which best describes your organisation? Q.6

Respondents who answered 'Other Business' specified what their business was. See below.

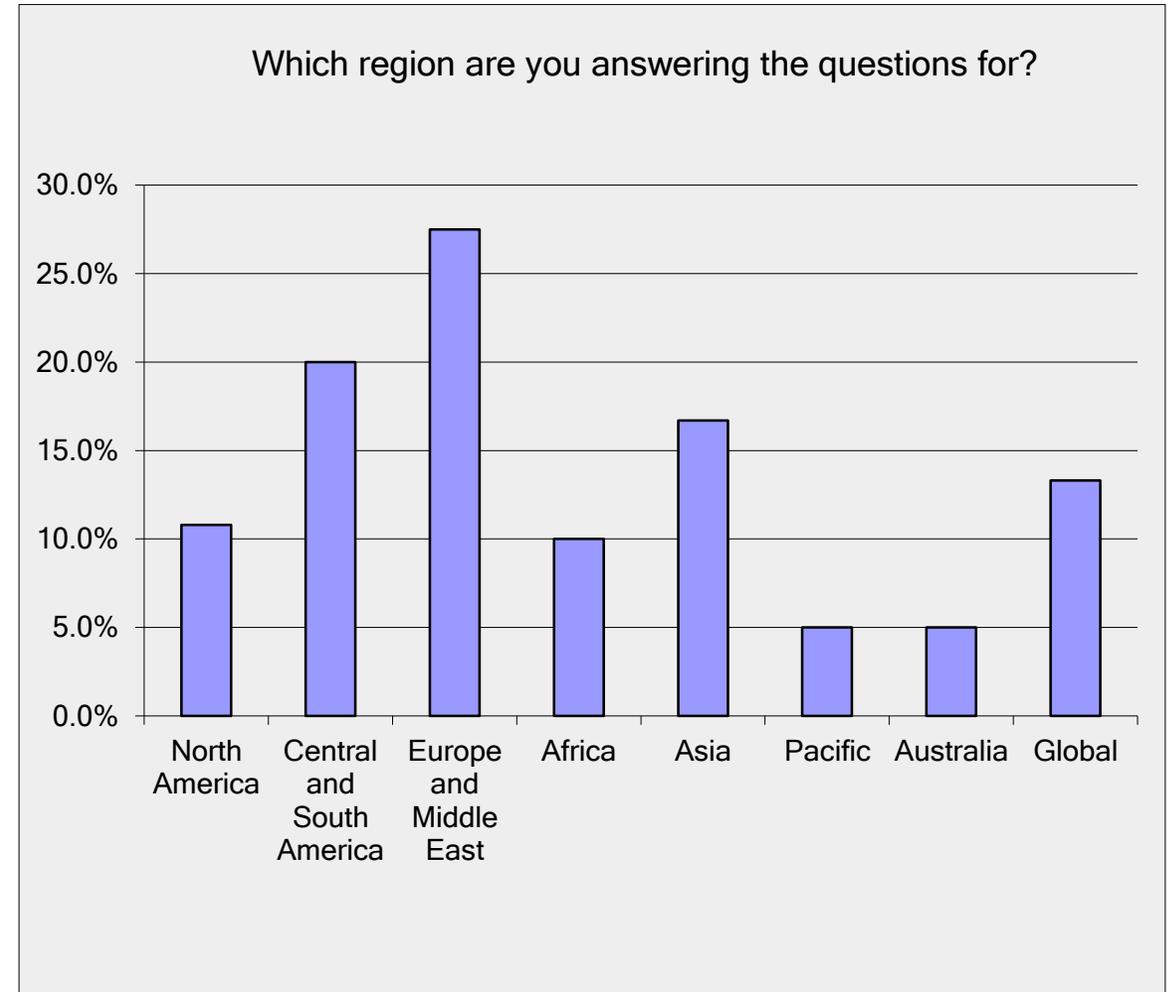
- Investment Fund
- Triple Bottom Line Community Development Organization
- Empresa de Produccion y Exportacion de paneles Balsa
- Biodiversity, Business & Finance
- International Development Cooperation
- Forestry Sector; Teak Plantation Support Program
- Higher Education and Research Institution on natural resource management
- Maintenance and installation forest firm
- State government agency
- International NGO for nature conservation and management of protected areas

- Training provider for Protected areas
- institutionalized public-private partnership
- Local authority/ municipality
- Different fields, including PAs
- Public university
- Sustainable production of timber products. Growing forests.
- Cooperativa de moradores da Floresta Nacional do Tapajós que trabalha com Manejo Florestal Comunitário
- Cooperation
- Manufacturer of Medium Density Fiberbo
- Interested individual
- National Training and Research institution in the field of wildlife and protected area management
- University: Agriculture, Forestry,
- Professional services firm



A: Which region are you answering questions for? Q.7

- All regions are represented
- Three continents each have over quarter of respondents
 - Asia Pacific (including Australia) 26%
 - Europe 26%
 - Americas 31%
- Only 10% of respondents represented Africa
- 13% of respondents stated that they were taking a global perspective when answering the questions.



B. Are the proposals of interest and potential benefit to your organisation? Q.8

The proposals are of interest to almost three-quarters of respondents

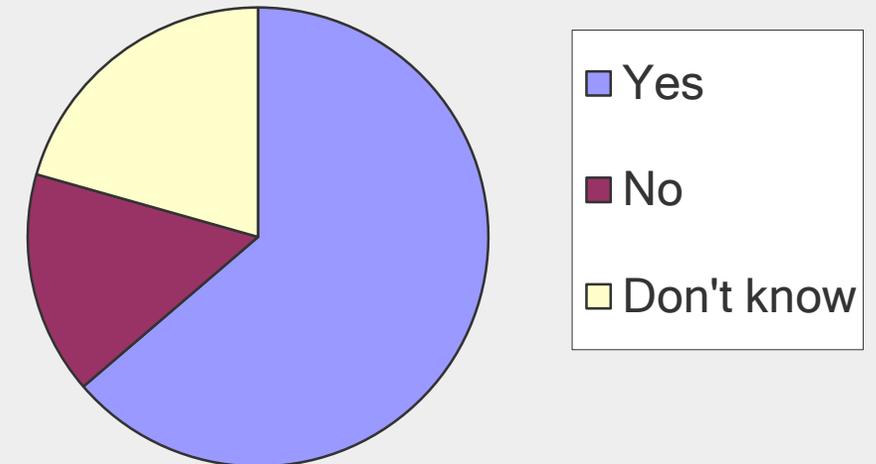
Why yes?

- Will improve management of PAs
- Useful to have FSC forests certified
- Will promote best practice, recognition, support
- Increased interest in market for forestry products
- Will improve FSC system
- Working together is better than scatter-gun effort
- Would a FSC certified PA be eligible for deforestation?
- We can train/certify/research, etc

Why not?

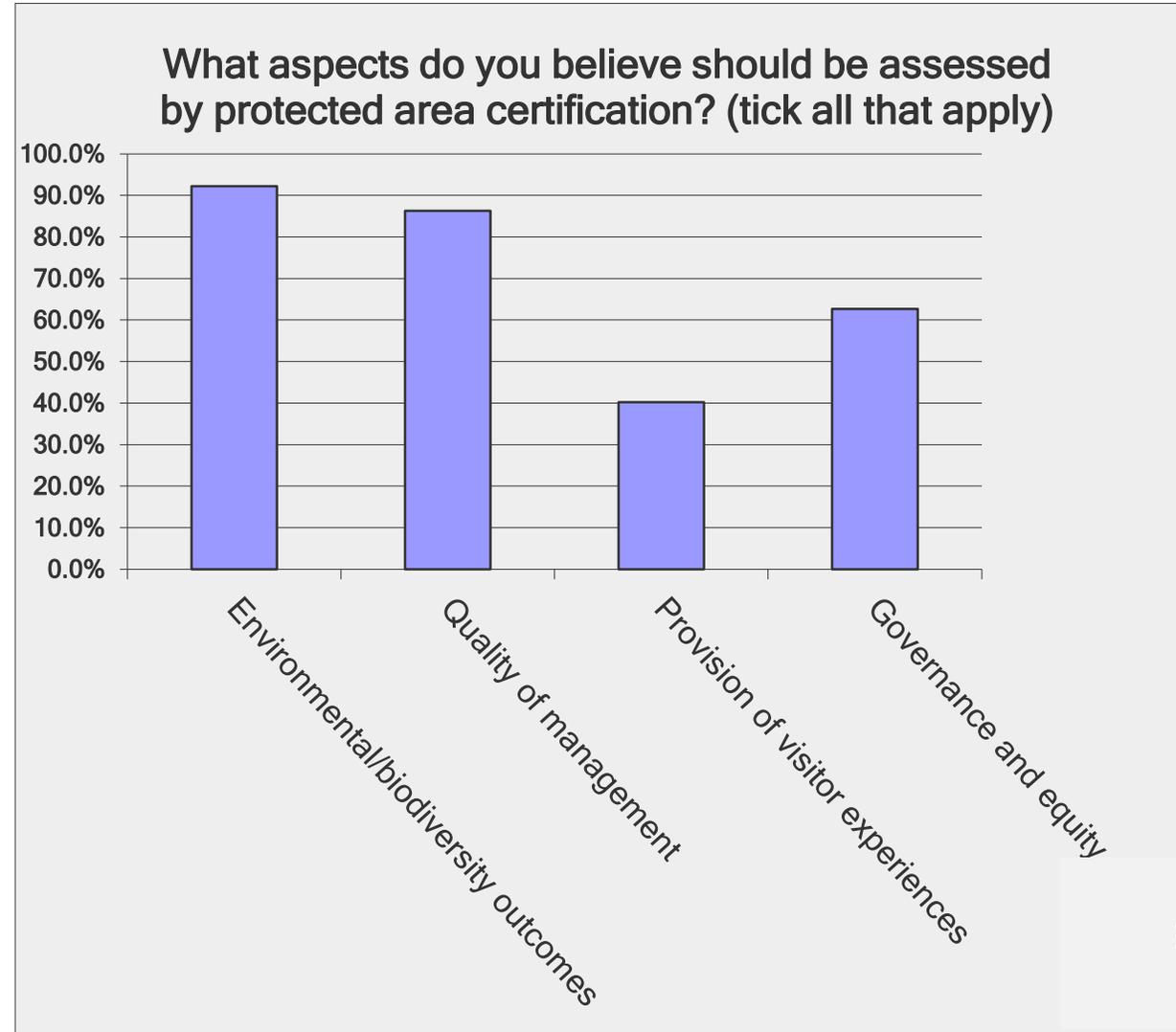
- Certification is a dirty word in Australia
- Certification a distraction from real work
- Beyond the scope of FSC

Do you believe that your organization can derive benefits (direct or indirect) from the certification of protected areas?



C. What aspects do you believe should be assessed by protected area certification? Q.9

- 80-90% believe that both environmental outcomes and quality of management are important
- In addition, around two-thirds believe governance and equity must be assessed
- Possible additional areas that individual respondents said should be covered:
 - Socio economic aspects
 - Non consumptive uses (medical plants)
 - Cultural/geological values
 - Ecosystem services
 - Compliance and enforcement
 - Partnership mechanisms
 - Research and monitoring



C. Benefits of Certification Q.11

- **Disagreement with the statements is lower than 20% in all cases**
- The majority agree proposals would assist (see green boxes):
 - policy framework
 - management of PAs
 - sharing of best practice
 - professional recognition
 - opportunities for funding
 - defending against threats
- Many respondents are uncertain (neither agree nor disagree + don't know – see orange boxes) about many of the other benefits

Answer Options Average reponse count: 100	Agree	Neither agree nor disagree	Disagree	Don't know
Catalyst to improve the enabling policy framework	58	23	10	10
Catalyst to improve the level and performance of management of protected areas	74	11	10	6
Facilitate reporting against CBD	44	27	9	21
Facilitate the cross-border sharing of best practice	60	24	8	10
Professional recognition	63	26	5	6
Easier to attract additional funding for new projects	55	23	6	15
More equitably distribute benefits to stakeholders	28	43	13	16
Better able to defend against threats	52	29	9	10
Attract more and higher spending visitors	36	32	15	16
Visitors will benefit from improvements in services	41	30	14	14
Attract greater revenues for businesses providing services (hotels, guides, tourist operators, restaurants)	33	35	13	19
Contribute to sustainable management in adjacent lands	38	34	18	10
Facilitate better cooperation with extractive industries	37	32	17	14
Enhanced employment opportunities for local communities	30	39	15	16
Enhanced reputation for local business	50	31	8	9
Local civil society and communities will benefit from improved stakeholder participation	53	28	11	7



C. Additional potential benefits mentioned Q.12

- Global increase in biodiversity protection
- Demonstration to public that PAs have clear direction
- Climate change benefits
- Sharing of best practices
- Better access to funding at all levels
- Eliminate lock up and leave approach
- **Doubtful any benefits will result...**

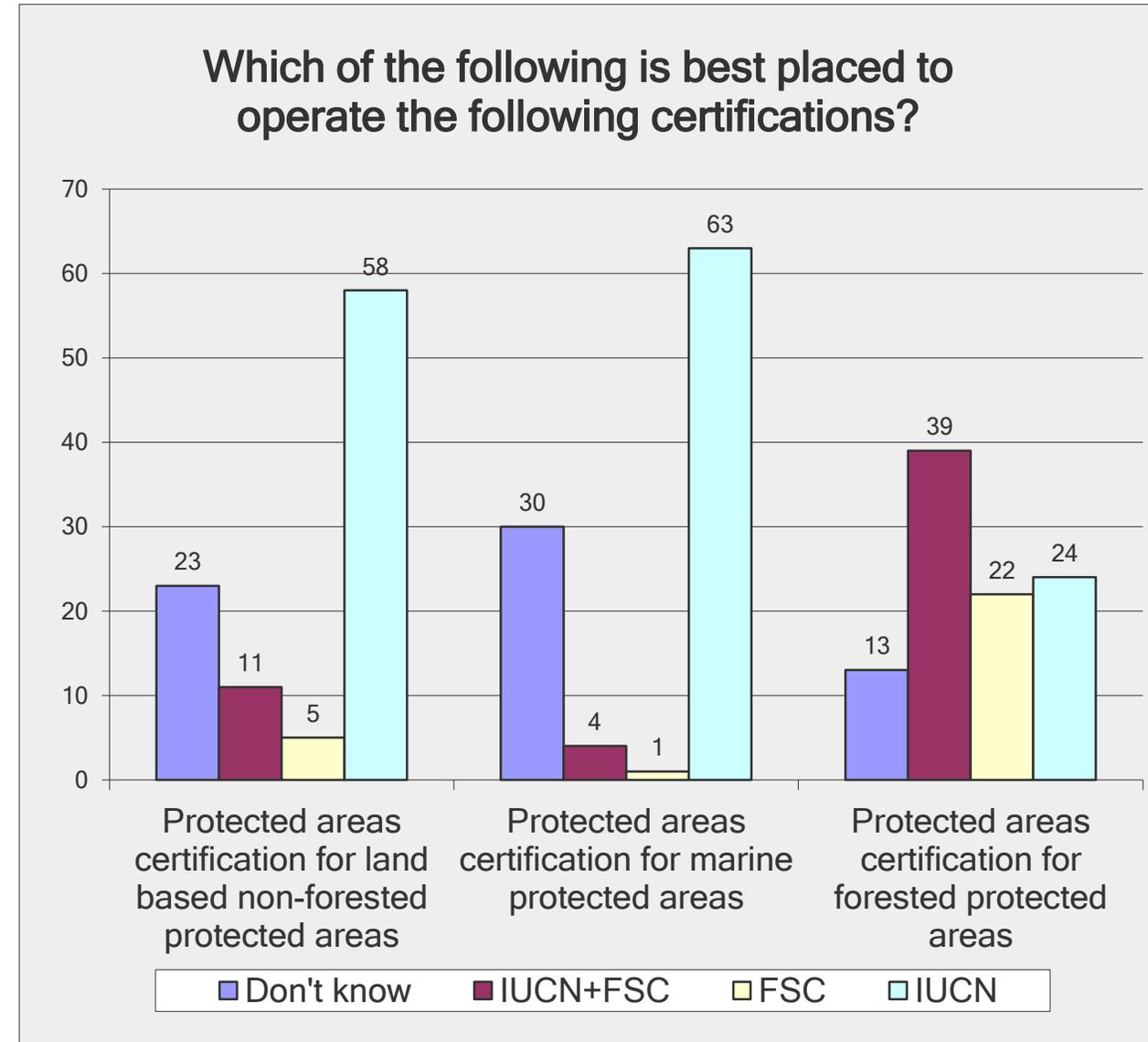
D. Potential disbenefits of certification mentioned Q.13

- Almost half of respondents (see red boxes) believe certification may lead to:
 - increased green washing
 - politicization
 - diversion of funds from more important uses
 - difficulty in maintaining certification over time
- Otherwise a minority have concerns but most respondents believe other prompted dis-benefits are manageable through good scheme design

Answer Options	Agree	Neither agree nor disagree	Disagree	Don't know
Certified PAs seen as needing no further investment/improvement	21	18	58	5
Reduce focus on poorly managed PAs	36	27	26	13
Greater tourism impacts	19	43	28	12
Conflicts over benefits sharing	13	33	36	19
Politicization of the certification process	48	19	25	9
Demotivation where PA feel they cannot reach standard	25	30	32	12
Increased attempts at green washing	49	27	19	4
Funds used for certification instead of more urgent/strategic activities	46	26	22	7
PA unable to maintain its certificate	46	31	12	11

E. Which of the following is best placed to operate the following certifications? Q.14

- IUCN is seen by the majority to be best placed to certify non-forested land and marine PAs
- A joint approach is preferred by two-fifths for forested PAs
- Only one fifth believe that FSC is better placed than a combined IUCN/FSC approach to forest areas
- A significant proportion found it difficult to make a choice
- Comments made included:
 - FSC is better in certification, but has no background in non forested areas
 - Crucial both are involved in forested areas
 - FSC is not the appropriate body for PA certs
 - Believe strongly neither body should do this
 - IUCN is seen as independent & will not charge
 - IUCN cannot operate a credible cert. scheme
 - FSC standard can be applied to terrestrial PAs
 - IUCN has appropriate expertise & membership



E. Confidence in IUCN and FSC Q.15

- Majority have confidence in:
 - FSC's certification of forestry
 - IUCN's setting of PA standards
 - A joint IUCN/FSC approach is best for forested PAs
- Respondents are positive about
 - Application of FSC Standard to PAs
 - FSC extending offering to forest PAs
 - IUCN certifying forest PAs
- Respondents are sceptical of either FSC or IUCN seeking to certify forested areas alone

Answer Options	Strongly agree	Agree	Neither agree nor disagree	Disagree	Strongly disagree	Don't know
I have confidence in FSC for the certification of responsible forest management that provides environmental, social and economic benefits	23	55	9	4	3	4
I have confidence in IUCN for setting standards for protected area management	37	33	11	2	1	14
I believe that FSC forest management standards could meaningfully be applied to forest conservation and protected areas certification	16	33	22	12	7	8
I have confidence in the ability of FSC to extend its current offering to include certification of forested protected areas	13	35	18	8	10	12
I have confidence in the ability of the IUCN to certify forested areas as protected areas	14	34	18	8	4	20
I would have more confidence in FSC than in IUCN in certifying the protection of forested areas	7	15	30	21	11	14
I would have more confidence in IUCN than in FSC in certifying the protection of forested areas	12	20	32	18	2	14
I would have more confidence in a joint FSC/IUCN certification scheme for the protection of forested areas	22	28	23	8	3	14

E. Strengths and weaknesses of IUCN? Q.16

IUCN seen as strong in

- Knowledge of PAs and Forested PAs
- Global reach

IUCN is seen as not weak in

- Certification
- Convening of environmental/ social/economic forums
- Requirements for social and environmental sustainability

IUCN is seen as weak in

- Cost effective certification

Answer Options	Strong	Not strong nor weak	Weak	Don't know
Competent and impartial certification	33	23	13	26
Cost effectiveness of certification	10	31	21	35
Knowledge of protected areas in general	75	7	1	14
Knowledge of forested protected areas	61	15	4	17
Ability to convene environmental/ economic/ social forums	39	22	11	24
Global reach: relevance/ presence at the national/regional level	60	14	9	14
Effective requirements for social and environmental sustainability	28	29	9	29

E. Strengths and weaknesses of FSC? Q.17

FSC is seen as strong in

- Certification

FSC is seen as not weak in

- Cost effective certification
- Knowledge of Forested PAs
- Convening of env/social/eco forums
- Global reach
- Requirements for social and environmental sustainability

FSC is seen as weak in

- Knowledge of PAs

Answer Options	Strong	Not strong nor weak	Weak	Don't know
A system for ensuring the competence and impartiality of certification, i.e. accreditation capabilities	67	15	4	11
Cost-effectiveness of certification	23	34	16	23
Knowledge of protected areas in general	8	32	42	14
Knowledge of forested protected areas	33	35	17	13
Ability to convene environmental/economic/social forums to resolve difficult land use issues	29	30	18	19
Global reach: relevance and presence at the national/regional level	45	27	13	12
Effective requirements for social and environmental sustainability	47	27	7	16



E: Perceived Relative Strengths and Weaknesses of FSC and IUCN? Q.17

- FSC is seen to be stronger than IUCN on certification systems
- IUCN is seen to be stronger than FSC on:
 - knowledge of PAs in general
 - knowledge of forested PAs
 - global reach
- Neither are seen to be particularly strong on:
 - ability to convene multi-perspective forums
 - requirements for social and environmental sustainability
- Additional analysis by segments:

Figures in brackets show %s for forestry and PA respondents. Thus 73% of respondents working in forestry believe FSC is strong in certification, etc

Answer Options	FSC				IUCN			
	Strong	Not strong nor weak	Weak	Don't know	Strong	Not strong nor weak	Weak	Don't know
A system for ensuring the competence and impartiality of certification, i.e. accreditation capabilities	67 (73)	15	4	11	33 (44)	23	13	26
Cost-effectiveness of certification	23	34	16	23	10	31	21	35
Knowledge of protected areas in general	8	32	42	14	75	7	1	14
Knowledge of forested protected areas	33	35	17	13	61	15	4	17
Ability to convene environmental/economic/social forums to resolve difficult land use issues	29	30	18	19	39	22	11	24
Global reach: relevance and presence at the national/regional level	45	27	13	12	60	14	9	14
Effective requirements for social and environmental sustainability	47	27	7	16	28	29	9	29

F. What do you believe would provide sufficient assurance that certification assessments are independent and objective? Q.18

- Depoliticisation. FSC already has a good system for managing this, albeit still with some improvements needed
- Mixed stakeholder governance and independent auditors
- De-certification of those failing. Criteria which reflect conservation outcomes, not management parameters
- The certification team is made up of representatives from different countries and different professional areas
- A third party certification scheme. Reviewers should not work for IUCN.
- Balanced multi-stakeholder involvement
- Good governance, oversight body, reputation, performance
- Trust in certifying organization. Peer evaluation
- Arms-length from government
- Transparency

F. What should be involved in conducting the evaluation of protected areas for certification? Q.19

- Over four-fifths believe assessments must include:
 - Documentary review
 - Site visits
 - Ongoing surveillance
- In addition, other elements of an evaluation considered valuable include:
 - Self assessment
 - Mapping
 - Remote sensing

Answer Options	Response Percent
Review of documentary evidence of performance	84,4%
Site visit	87,5%
Periodic surveillance of ongoing compliance	83,3%
Self assessment for the protected area	60,4%
Mapping	57,3%
Remote sensing	41,7%
Other	21,9%

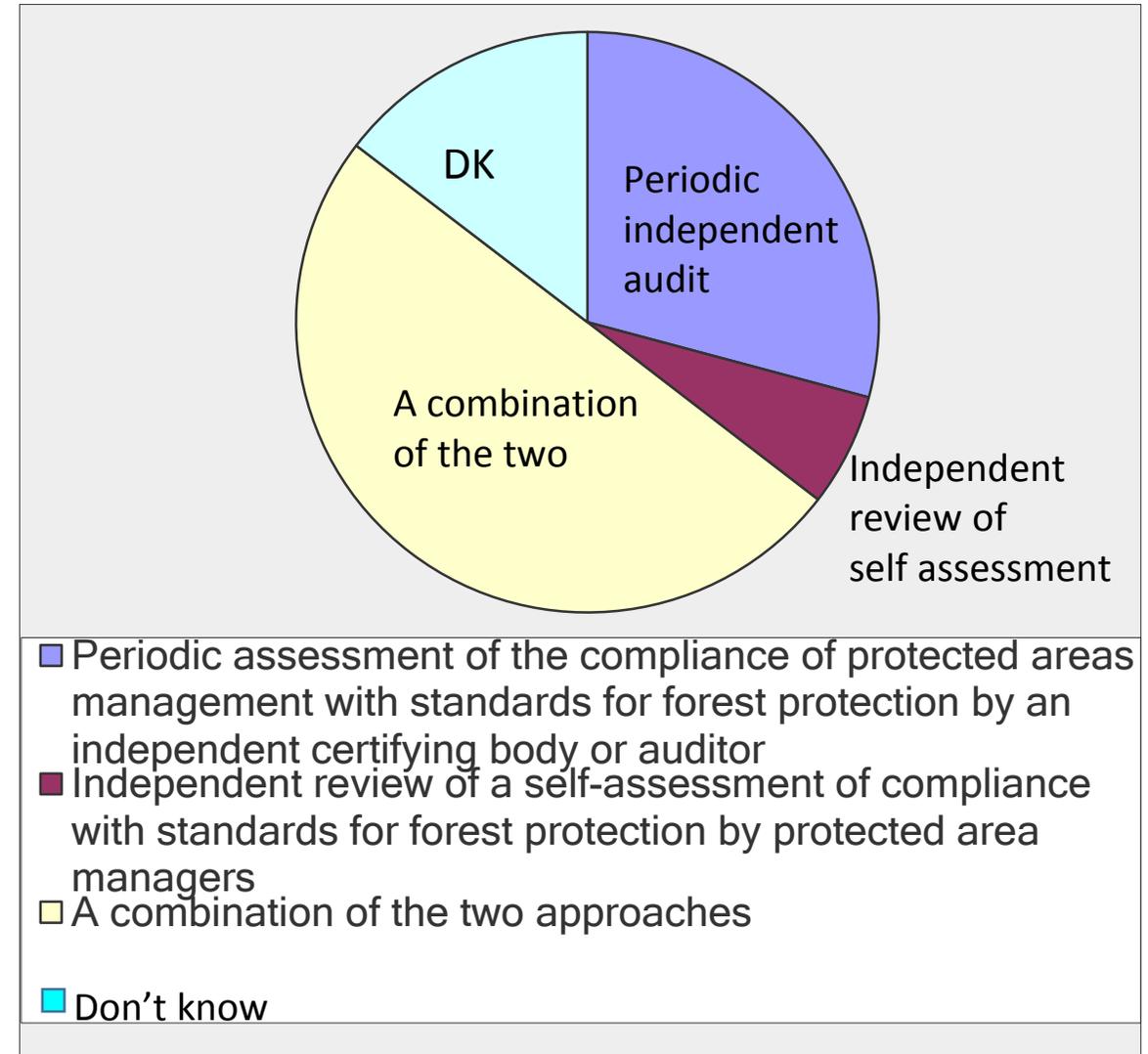
F. Who should be involved in conducting the evaluation of protected areas for certification purposes? Q.20

- Basically respondents believe that a three-chamber committee should take the decision and a broad set of people ought to be involved and/or consulted including:
 - PA manager
 - Independent auditor/evaluator
 - Consultation with the community, indigenous peoples, businesses, NGOs
- Interestingly, only a minority believe that it is important to have out-of-country independent expert evaluators

Answer Options	Response Percent
Protected area manager	66,7%
Independent assessment by an accredited certification body, or auditor	75,0%
Out-of-country independent protected area expert evaluator(s)	43,8%
In-country independent evaluator(s)	65,6%
Consultation with businesses operating in or around the protected area	53,1%
Consultation with representatives of local communities	69,8%
Consultation with local or national NGOs	70,8%
Consultation with international NGOs	42,7%
Consultation with indigenous peoples	59,4%
Decision by a balanced committee comprising independent social/economic/environmental experts	56,3%
Other	8,3%

F. Which of the following assurance models is most appropriate for the certification of protected areas? Q.21

- One third of respondents believe that only an independent audit will suffice
- Only 6% believe that an independent review of a self assessment alone is adequate
- Half of the respondents believe a combination of these is the best option
- Comments
 - Anything less than independent assessment is not going to be robust, but it increases costs.
 - Self assessment do not work in forests
 - Self assessment is not adequate
 - Keep it simple, or it just becomes another money making scheme, like Rainforest Alliance.
 - PA managers self assessments may produce an echo chamber of received wisdom based upon opinion rather than objective standards.



F. How should the costs of certification for a specific protected area be covered? Q.22

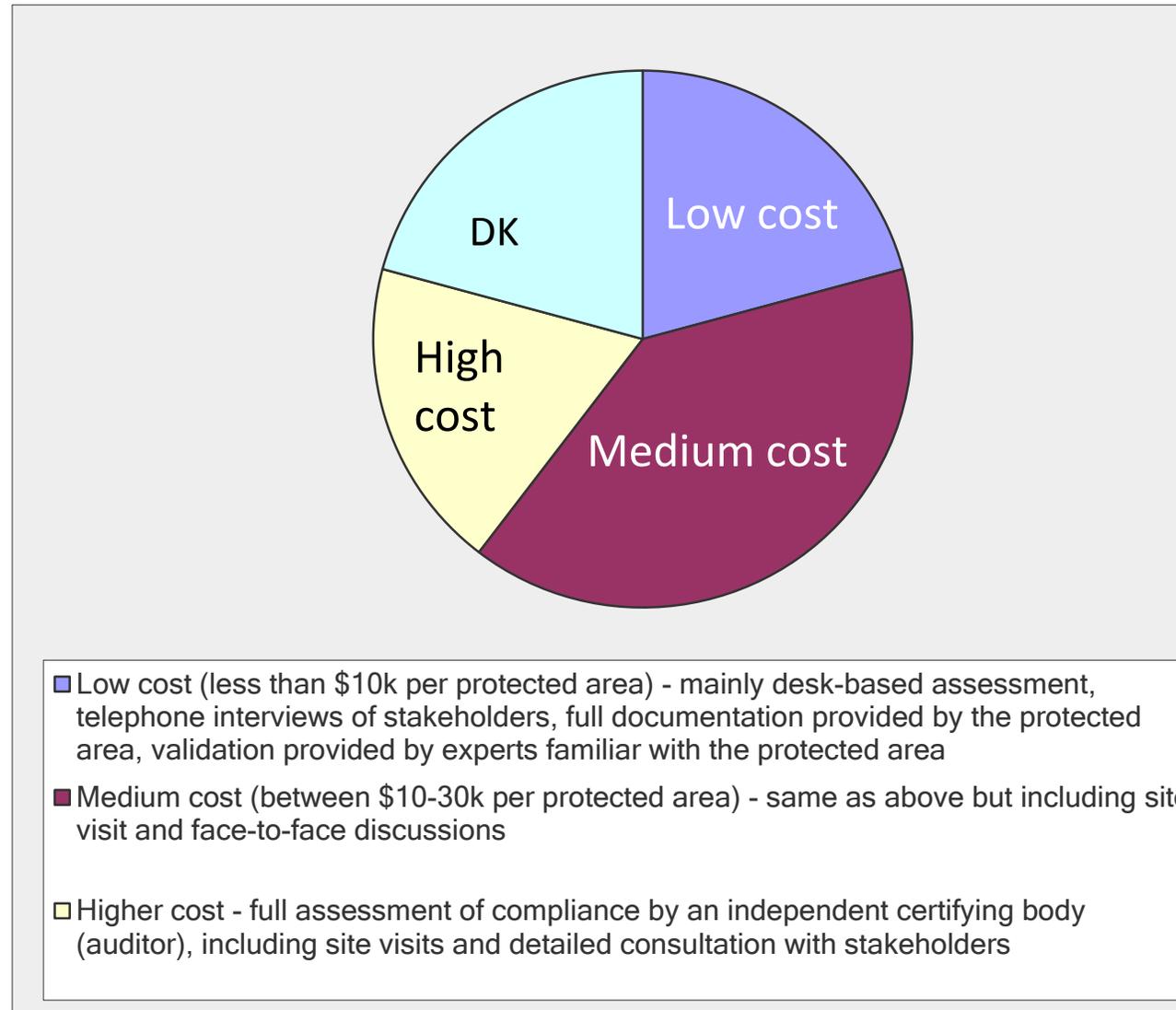
Comments:

- Everyone shares benefits--everyone should pay within their abilities of course
- Subsidized in some way but that it should not be free to the PA
- PAs hardly have enough to fully execute the Management Plans, they can't pay
- 'Does it matter where money comes from?' But it should be cost-effective.
- It's going to be context dependent. Systems for funding PA's vary within and between countries ...is likely to come from multiple sources....but must ensure the certification process isn't too costly.
- All are possible, but certification should not depend on ability to pay.

Answer Options	Response Percent
Local funding from the protected area (private or public), and, if public, from its agency and/or ministry	67,7%
Business sponsorship	40,6%
Community group sponsorship	27,1%
Donor agencies and foundations	66,7%
Other	22,9%
Don't know	11,5%

F. What is right balance between level of assessment and certification cost?

Q.23



G. What are the factors that in your view could undermine credibility and objectivity of certification for protected areas? Q.24

- It must be independent audit or not worth doing
- Failure to implement random, full scale, audits. The medium cost system could be supplemented by random full scale audits in a selected number of PAs, say 5%
- Politicisation, lack of robustness, lack of fit with existing approaches, too narrow an approach
- Lack of support from local communities; inappropriate valuation of non-market services of protected areas; lack of cost effective approaches
- Not doing a site visit nor finding time to talk to a diversity/equitable sample of local business, stakeholders, indigenous people
- Involving organisation which has direct/indirect connection with resource extraction
- Not certifying conservation outcomes
- Corruption, centralized auditors
- Lack of transparency and public accountability
- Using auditors/ assessors who are not independent



G. How important do you consider that the following critical success factors are for the certification of protected areas? Q.25-26

- The great majority of respondents consider all of the prompted CSFs to be important or very important
- Comments on other CSFs
 - Multiplicity and duplication dilute the effectiveness. Roll in other schemes – e.g. European Diplomas
 - Communications to general public
 - Certification should focus on conservation outcomes. Otherwise it is useless.
 - Institutionalizing the process nationally, regionally and globally.
 - A visit to the site.
 - Criteria should be built with participation of countries/regions
 - Certification not sustainable if it does not have a financial benefit, so payment for eco-systems services, carbon sequestration, native species planting and seed banks, to name a few, should be able to benefit.
 - Very high standards for evaluators.
 - Avoid making impractical demands

Answer Options	Very important	Important	Neither important nor unimportant	Unimportant	Don't know
Independence and objectivity	78	11	1	0	1
Demonstrate ecological and social do-no-harm	44	28	14	2	3
Demonstrate additional environmental & social benefits	30	40	15	3	3
Unaffected by commercial or political interests	55	24	7	4	1
Stakeholders consulted and considered	38	37	12	3	1
Recognize cultural diversity in management values and approaches	37	40	10	2	2
Cost-effective	45	38	4	3	1
Affordable to all well-run PAs, irrespective of resources	51	24	14	1	1

G. What, in your view, are the key risks associated with certification of protected areas? How should they be mitigated? Q.27

- Green-wash - mitigated by clear standards and transparent assessments
- Misuse of certification - mitigated through effective monitoring & quality control systems.
- Total cumplimiento de las normas, leyes de cada país y principios establecidos de la empresa certificadora.
- Industry or political influence. How to mitigate? Transparent and objective process. And, a lot of hard work!
- The entire endeavour is an unnecessary, unwelcome risk. Neither IUCN nor FSC should get into this business. ...it is driven by NGOs, not by a perceived market demand
- That IUCN / WCPA will not have the resources to properly maintain the program
- Unscrupulous people who see an opportunity and try to hoodwink the certifiers. This happens, but there must be robust complaints procedures
- Seen as rewarding the good. They should be seen to incentivise the weak to become good
- Key risk is that the PA community does not pull together with one voice and also that it will not be established properly so will flounder and fail as partial processes and inconsistencies come to light.



G. What do you see are the main obstacles to the success of certification of protected areas? Q.28

- Funding
- Failure to get a major subsidy to make it affordable
- A clear objective: Why would a protected area invest on a certification scheme?
- Cost of certification
- Difficulty of including PAs of poor countries because of often low level of knowledge on sites
- Actual conservation info for most PAs is highly incomplete
- Getting enough reviewers to meet the demand
- At present I am hard pushed to see any commercial interest. No commercial interest will always mean unreliable resource streams and thus unreliable long term commitment
- Keeping the certification safe from corruption
- Political and business interests subverting the process for political or monetary gain
- Managers feeling they are threatened if have low score
- Lack of support among decision-makers
- Polarised ideological positions of key stakeholders constraining the design of a simple and credible scheme



H. Key perspectives on collaboration from interviews

IUCN does not have the record on accountability needed to operate a credible certification process.

Global expertise and policy debate are IUCN strengths, not field activities such as accreditation or assessment.

If there is a conflict of interest over Green Listing, how will IUCN be able to manage this? It does not have the governance structure to resolve such issues.

IUCN and FSC have complementary skills. FSC can quality manage outcomes in a standard. Three chambers model helps in balancing negotiations.

You need a fairly large pool of experts in order to undertake the work, make sure they are available and fully engaged – service provider model with expertise on demand is the right approach.

If it became an FSC led GLPA, it would hurt its credibility. Need to keep it clearly IUCN led and figure out how to bring in human and financial resources from FSC into a joint collaboration.

IUCN clearly has the expertise and experience in PAs whereas FSC has the expertise in certification, so combining ...would seem to really make sense.

Joint Venture, the creation of a separate entity with clear focus and means to achieve objectives, is the best approach. A joint scheme not set up as a separate venture will pose governance problems.

FSC has lots of problems with its certifications and should focus on getting that right.



H. Key perspectives on collaboration from interviews

Must collaborate. Avoid being like boxing with competing associations – you end up with so many belts as champion that you can't stand up!

Collaboration should be biome-based. MSC for MPAs, FSC for forests, etc.

IUCN might be capable of doing certification but worried that they will try to reinvent the wheel in terms of certification capability and systems.

Keen on using IUCN network. But the WCPA ... needs to be rejuvenated, bringing in young blood.

For some purists, even talking to large international corporations is bad. But it's too idealistic to only deal with original forms and not also with productive forms.

Certification is worthy objective but if it is at expense of investment in on-ground delivery it's a bad outcome. PAs are already underfunded. In forestry there is an economic driver for certification. Need to find driver for PA certification.

What is needed is a nimble, light, open source, wiki-type system where stakeholders are able to build an honest shared picture of the performance of a PA.

IUCN is a strong partner. Can see that if there were a scheme, IUCN could help. Believes that an IUCN/FSC certification scheme for forest PAs could be stronger than an FSC one.

Neither IUCN or FSC alone or together have the strength needed to run a global PA certification scheme.



H. Key perspectives on collaboration from interviews

The point of certification is to motivate parks that are not high quality to work towards it, it is not just to pat best parks on the back.

PEFC/FSC competition in Sweden is ridiculous. Do not want more competition, prefer collaborative scheme rather than a competing one.

Concerned about diluting brand at this point. Should stick to FSC's strengths. To extent that looking at ecosystem services should use High Conservation Value Forests standard (HCVF) as the mechanism.

Bringing in FSC auditors from outside is inappropriate in this part of the world. Our business is different to FSC's.

WCPA has great people but their capacity is fragile, we need to focus on upskilling people.

Consultation can take forever. Should identify key individuals, elected officials, get the process done, not try to satisfy everyone.

FSC standard is too detailed : "motivation-killing juridical details". Anything that can be done to simplify the standard is good.

IUCN and FSC are very different. Experience is that FSC is very prescriptive. IUCN encompasses broader range of possibilities. Arguably FSC is too prescriptive and IUCN too flexible. How to bring these cultures together?

Need approach embedded in the region, in the culture, rather than audits. "Fly in/fly out" is environmental imperialism.

Non-compliance is under the radar, need enforcement, not just voluntary certification.



Sisu Consulting

Sisu was established by Simon and Sarah to help organisations understand the sustainability challenges they face, develop strategies to address them, and shape programs to successfully execute the strategies.

Simon Hodgkinson BSc, Mphil, MSP, Prince2

Ex Deloitte consulting partner with an international track record of leading successful engagements with business, government and NGOs. Simon has a diversity of experiences in environmental, energy (energy efficiency, nuclear, oil & gas, renewables), telecoms, banking and high tech; able to manage complex stakeholder environments, facilitate meetings and strategy reviews, develop business cases, shape programmes, manage multi-cultural and multi-disciplinary teams. Experience of working on all continents

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Sarah LaBrasca

Sarah has extensive experience as a Human Resources manager in multinational companies, especially across Europe. She is certified in International Business Operations and Corporate Social Responsibility and is also a Master Coach. She has an intuitive understanding of operational HR challenges faced by organizations seeking to build their CSR capacity, and is able to shape and manage labour relations and human rights policies to align with sustainable development strategies

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