Independent Progress Review of WWF▪UK's Programme Partnership Arrangement with DFID, 2011▪2014:

A report to WWF-UK

by

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Contents

Acronyms & abbreviations

APR	Annual Progress Report
AR	Annual Report
BACS	Bankers' Automated Clearing Services
BMU	Beach Management Unit
BOND	British Overseas NGOs for Development
BZ	Buffer Zone (NPBZ – National Park Buffer Zone, PABZ – Protected Area Buffer Zone)
BZMC	Buffer Zone Management Committee
CBA	Cost-benefit analysis
CBAPO	Community-based Anti Poaching (Organisation)
CBCRM	Community-based Coastal Resource Management
CBNRM	Community-based Natural Resource Management
CBO	Community-based Organisation
CBRC	China Banking Regulatory Commission
CC	Climate change
CCA	Climate change adaptation
CC&E	Climate Change & Energy (PPA-funded Team in WWF-Brazil)
CCICED	China Council for International Co-operation on Environment and Development
CEA	Coastal East Africa
CEO	Chief Executive Officer
CFCC	Community Forest Coordinating Committee
CFMA	Coastal Fisheries Management Area
CFUG	Community Forest User Group
CSO	Civil Society Organisation
D&I	Design and Impact
DAC	Development Assistance Committee
DDC	District Development Committee
DEG	Development Environment Group of BOND
DFID	Department for International Development
EC	European Commission
ECLAC	Economic Commission for Latin America and the Caribbean
EU	European Union
FCPC	Forest Carbon Partnership Facility Committee
FOCAC	Forum on China-Africa Co-operation
FUGs	Forest User Groups
FY	Financial Year
GI	Global Initiative (of WWF)
GIZ	German Society for International Co-operation
GPAF	Global Poverty Action Fund
HR	Human Resources
ICAI	Independent Commission for Aid Impact
IDEAM	Colombian governmental research institute that leads the country's climate change policy development
IGA	Income-generating activity
IIED	International Institute for Environment and Development
INGOs	International Non-Governmental Organisations
IPR	Independent Progress Review
IRC	International Water & Sanitation Centre, the Netherlands
IUCN	International Union for Conservation of Nature
IWRM	Integrated Water Resources Management
Km	Kilometre

KPI	Key Performance Indicator
LAPA	Local Adaptation Plan of Action (for climate change)
LCD	Low Carbon Development
LDC	Least Developed Countries
LF	Logframe
LFA	Learning for Adaptation
M&E	Monitoring & Evaluation
MACEMP	Marine & Coastal Environment Management Programme
MCA	Multi-Criteria Analysis
MOU	Memorandum of Understanding
NAPA	National Adaptation Programmes of Action
NGO	Non-Governmental Organisation
NP	National Park
NR	Natural Resources
OECD	Organisation for Economic Co-operation and Development
PA	Protected Area
PES	Payment for Environmental Services
PIPAL	People in Participatory Action for Life (PPA project, Nepal)
PPA	Programme Partnership Arrangement
PVSE	Poor, vulnerable and socially excluded
RBWO	Rufiji Basin Water Office (Tanzania)
REDD+	Reduced Emissions from Deforestation and Degradation
Rumaki	The three districts of Rufiji, Mafia Island and Kilwa, Tanzania
SADC	Southern African Development Community
SAGCOT	Southern Agricultural Growth Corridor of Tanzania
SEA	Strategic Environment Assessment
SHL	Sacred Himalayan Landscape of Nepal
T Sh.	Tanzanian shillings
TAL	Terai Arc Landscape of Nepal
ToC	Theory of Change
ToR	Terms of Reference
TPR	Technical Progress Report
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change
VA	Vulnerability Assessment
VDC	Village Development Committee
VFM	Value for Money
VICOBA	Village Community Banks – a Community Savings and Credit Initiative
WUAs	Water User Associations
WWF-Tz	WWF-Tanzania

Acknowledgements

Executive Summary

Purpose and scope

This IPR is designed to meet the requirements of WWF-UK, WWF offices with DFID Programme Partnership Arrangement (PPA) funding, the Civil Society Team at DFID and the Evaluation Manager.

Objectives of the IPR are as follows:

1. Assess the extent to which comments provided as part of the Annual Review Process (APR) have been acted upon by grantees;
2. Verify, and supplement where necessary, grantees' reporting through the Annual Review Process, changing lives case study and the additionality report;
3. Independently evaluate the impact that DFID funding has had on organisations and projects and to assess the value for money of the funding. The IPR should answer the questions "What has happened because of DFID funding that wouldn't have otherwise happened?" And "To what extent does the use of funding represent good value for money?"; and
4. Provide recommendations and lessons which will enable WWF-UK to inform the period 2012-14 of this PPA.

Under WWF-UK's current PPA (referred to internally within WWF as PPA4[1]) the organisation receives £3,090,356 per year to lead on and support work on eight programmes spread across Africa, Asia and Latin America. These programmes fall under five WWF policy priority areas: water security; forest and marine governance for the poor; climate change adaptation; driving urgent action on climate change in emerging economies; and enabling environmentally sustainable economic growth for Africa.

Funding from PPA constitutes approximately 5% of WWF-UK's annual funding but has the potential to influence a much larger amount of funding through leveraging other donor funds to match PPA funding and influencing the behaviour of WWF-UK more broadly.

Methodology

The review has been framed by a set of questions relating to Relevance, Efficiency, Effectiveness, Results and Sustainability. Evaluation questions were developed from Coffey International's Evaluation Strategy and OECD/DAC Framework 2012, as well as the DFID Evaluation Department's Guidance and Review for DFID Staff, 2005. Questions of particular relevance to each programme and stakeholder group were selected from within the framework and used to guide each interviews/discussion. Wherever possible, the emphasis has been on an approach that contributes to learning for WWF and their partners.

In line with the ToRs the evaluation consisted of a combination of meetings/interviews with WWF-UK staff, review of a wide range of documentation including WWF-UK's FY 12 APR and individual PPA Programme reports, and interviews with key partners and programme participants.

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[1] The previous PPA (2008-11) is referred to within WWF-UK as PPA3, and the current PPA as PPA4. The main report aims to avoid these internally-used terms; but they may appear occasionally in the Annexes.

The eight programmes that received substantial PPA funding formed the basis of this review. However, not all eight were covered in equal depth. Selection was made in consultation with WWF-UK on the basis that programmes included in the review should cover at least two of the three logframe outcomes and should be substantially funded by PPA.

Six case studies were developed to assess the validity of statements made in the PPA APR. Four of these involved visits to staff and stakeholders in-country. Countries (Tanzania and Nepal) visited were selected in conjunction with the WWF PPA team and a key country selection criterion was that countries selected should include programmes that covered all three logframe Outcomes.

Partners and other stakeholders were selected to gain a range of perspectives. Thus they included community members, community-based organisations, other civil society organisations, and government partners at village, local government and regional/national level.

Relevance – representativeness and targeting

WWF has clearly worked to enhance representativeness in their interventions, with progress in the established Colombia Forestry and Nepal programmes as well as in initiatives new to PPA: Ruaha Water Programme Phase II and Boni-Dodori. For example, this has been achieved in the Ruaha Water Programme by adopting a multi-stakeholder approach to identify potentially marginalised groups. Programmes operating at the policy level have also, on the whole, been based on sound analysis of key players. The China-Africa sub-programme, for example conducted a detailed situational analysis at the start of the current PPA.

Effectiveness

The 2010 evaluation of the previous PPA (PPA3) identified M&E as an area of weakness and the WWF-UK management response proposed a comprehensive set of changes to address this. Considerable progress has been made by WWF-UK since the start of the current PPA on this front. Programmes now have a design phase, are required to produce a robust M&E plan and 12.5% of the programme spend is now allocated to M&E. A new head of the Design &Impact (D&I) team has been appointed and the D&I unit has worked closely with PPA programmes during the design phase. The CEOs of WWF offices have been briefed by the WWF-UK CEO on requirements in the event of receiving PPA funding. As a result of these changes there are a number of programmes that are more representative of and better targeted to the poor than was the case in PPA3.

Case study evidence suggests that the social aspect of situational analysis is now much stronger. The Colombia Forestry programme has undertaken detailed poverty mapping and is now looking at how gender determines gains from improved forest management plans (potentially producing income gains mainly for men from timber but reduced access to forest resources for women). Similar progress has been demonstrated in the Ruaha Water Programme and Bono-Dodori Forest and Livelihoods project. But similar progress has not yet been made on economic aspects of M&E and this is preventing PPA programmes from effectively communicating the difference that DFID funding is making.

An important lesson for WWF-UK is that the PPA3 approach of integrating social and ecological objectives has achieved significant conservation impacts that could not otherwise have been achieved.

In terms of learning, and as noted by the AR (2012), some of the most innovative contextual learning is emerging within those programmes that are framing their practice around the transformation of complex, dynamic, multi-level social-ecological systems. The PPA-funded Colombia forestry programme

innovative work with indigenous communities to build a framework for conflict resolution to secure improved ecosystems and ecosystem services has also led to these systems being used in areas such as health (with other NGO partners in the lead). The PPA-funded Ruaha Water Programme has adopted an innovative social learning methodology to engage with stakeholders.

Non-contextual learning was noted in the Boni-Dodori project. In a previous project (Kwale, Kenya), livelihoods components were not based on a clear definition of need but were added into a pre-existing forest policy implementation programme and as such did not respond to the needs of poor people. The Boni-Dodori project has been designed to overcome these shortcomings.

At the policy level, a 'National Enabling Policy Environment' tool has been developed through the WWF/SADC CBNRM Forum and re-designed in work by WWF-Tz. Although still being developed, the tool appears promising for assessing the policy environment not only for wildlife but also for forestry and fisheries sectors. With limited adaptation, it will be applicable across countries.

Examples of successful partnership working under PPA can be found throughout the AR (2012) and our case studies. These include:

- Partnerships to deliver at a landscape level e.g. Nepal, Ruaha, Rumaki and Colombia
- Partnerships to influence national policy and practice e.g. Brazil, China-Africa
- Partnerships to influence international climate agreements e.g. Learning for adaptation programmes.

In a number of cases partnerships have been built over more than one PPA period and it is not possible to attribute the high value added solely to the current PPA. Indeed, an extended period of engagement has been necessary to produce these gains. The effectiveness of partnership arrangements from local to national levels is illustrated by the WWF-Nepal PIPAL programme which was described by one government official as "being like a government vehicle running on WWF tyres".

The AR (2012) identifies four key strategies to help deliver sustainability among PPA-funded programmes and there is evidence that these strategies are being implemented.

Efficiency

WWF-UK has put in place a number of systems and processes to improve cost-effectiveness. Examples include: strengthening procurement and HR management systems; establishing a design phase for PPA programmes; rigorous use of WWF Network Standards of Project and Programme Management for larger programmes; and allocating at least 10% of programme budgets to M&E in programme contracts. The KPMG March 2011 due diligence review produced three recommendations to strengthen VFM (broadly defined). These have very largely been addressed and will secure improvements in cost-effectiveness for the current PPA spend and the AR (2012) notes that in terms of contracts initiated or negotiated in FY12, savings have been identified due to improved procurement processes amounting to £377,000 and further efficiency gains are expected over the remainder of the PPA period.

However, currently WWF-UK does not systematically monitor cost-efficiency or cost-effectiveness across programmes based on unit costs of delivering common logframe targets. Although there is a strong VFM case for using this type of benchmarking to compare the costs of service delivery, it is not clear that meaningful data can be produced from the WWF-UK PPA portfolio. Differences in unit costs are more likely to reflect the significant differences in programme capacity to use these tools as well as differences in the starting point of CSO capacity and in operating environments.

Results

This IPR confirms that, on the whole, the PPA Annual Report (May 2012) is fair representation of achievements under the current PPA. It presents a comprehensive self-assessment of progress against Outcomes and Outputs (Part A), and includes sections on Results, Value for Money and Relevance (Part B), Lessons learned (Part C), due diligence and transparency (Part D). It builds on monitoring reports submitted by programmes. However, as the feedback provided by DFID on the additionality report and changing lives case studies implies, these achievements could be better articulated with stronger socio-economic analysis

Faced with an unrealistic deadline for indicators, milestones and targets the PPA team did what they were asked by DFID but the logframe indicators we now have are less than ideal. The dedication and commitment of the WWF-UK PPA and D&I teams to ensuring programmes introduced M&E systems that would deliver the portfolio logframe has meant that weaknesses in the portfolio logframe indicators have been effectively rolled out to programmes. Although we have made suggestions for improving indicators, we recognise that as indicators need to be tracked over programme lifetimes it may simply not be feasible to introduce new indicators at this point. It is likely these problems could have been avoided if DFID had allowed a reasonable time for developing a full logframe and responding to feedback from the Coffey review – for example six weeks rather than three weeks.

Feedback by DFID on the 2011/12 annual report requires responses in four areas. Two of these relate to logframe revisions that have been completed. The two that relate to future reports involve taking account of the feedback provided on the additionality report and changing lives case studies. In order to address this concern the PPA team needs to encourage and support programmes to use explicit and consistent theories of change and undertake better socio-economic analysis, including quantitative analysis. Lack of socio-economic analysis is most obvious in evaluation data but, in some initiatives, stems from lack of analysis at design and implementation stages. This is likely to require strengthening D&I capacity in this area (perhaps drawing on the capacity for economic analysis that exists within WWF-UK) and, as an intelligent customer, commissioning local researchers to address these issues. Taking better account of disaggregation (e.g. women and girls, men and boys) is also necessary and programme logframes are being revisited to help achieve this.

Value for money assessment of PPA Funding

Currently only the Colombia forestry programme reports "cost per beneficiary" and we note that variation in population density is likely to be the main driver of cost/beneficiary. Consequently, programmes that work in fragile ecological zones with low population densities are very likely to appear "expensive" using this metric. Hence, it is important for WWF-UK to demonstrate *how much* difference a programme makes to the poor as well as the numbers of poor people who benefit.

Evidence from case study interviews suggests that Programmes such as PIPAL in Nepal (with interventions such as ecotourism and microfinance) and Rumaki VICOBAs (credit and saving groups) in Tanzania have had significant livelihood benefits. In the very limited time available for field visits in this evaluation we were not able to gather sufficient data to quantify this impact but the programmes can and should contract consultancy support to do this socio-economic analysis.

Our assessment of the draft WWF-UK VFM guidance is that it needs to be modified to incorporate impacts (as well as outputs and outcomes). This holds true whether a "4E" or "3E" VFM model is used.

We also find that too little emphasis is placed on *demonstrating* VFM to an external audience (particularly for PPA-funded programmes).

WWF-UK now has a portfolio of programmes that demonstrates a focus on the poor as a means to increasing equity and inclusivity. This focus has been as a direct result of PPA funding. In 2012 this portfolio accounted for approximately 5% of WWF-UK's spend. Other areas of additionality as a result of PPA funding include:

- Greater emphasis to cross-cutting issues such as gender, learning and ensuring initiatives take into consideration aspects of vulnerability to climate change
- Re-framing their practice (see for example, Ruaha Water Programme, Boni-Dodori Livelihoods and Forest Project) to respond to complex, multi-level, social-ecological systems)
- Engagement in policy development with development organisations such as Interagency Working Group on Resilience
- Influencing the broader WWF offices involved in these programmes to use PPA approaches. Funding leveraged by the Colombia, CEA and Brazil programmes for FY2012 accounted for approximately 50% of the entire PPA portfolio spend[2] but changes in staff attitudes and practice (resulting from building capacity to do social analysis, M&E and Learning) are likely to be just as significant
- Influencing the wider WWF Network through integrating PPA approaches into Network Standards.

The flexibility of PPA funding, and the fact that a number of programmes have received funding across two or more PPAs, has also resulted in better programme outcomes than would otherwise have been the case.

Lessons learned

The APR highlights a number of areas in which WWF recognises that lesson learning has taken place. These take place at a number of levels, from the project to the PPA level and as highlighted by WWF PPA team themselves:

"The PPA portfolio for WWF includes a rich and diverse set of programmes focusing broadly on four interlinked practice areas …These practice areas touch most parts of the WWF organisation, making for diverse interconnections and routes for wider learning and innovation". In broad terms, this review agrees with this self-assessment.

We believe there are high-level lessons for DFID from the PPA with WWF-UK, given DFID's commitment to climate proofing the UK aid programme. Successful community-based natural resource management (CBNRM) is now particularly important in delivering resilience and adaptation to CC for the poor (who are most likely to be dependent on forests or other natural resources and threatened by the loss of provisioning and regulating ecosystem services). The success of PPA-funded programmes in Colombia, Nepal and CEA illustrate a genuine competitive advantage of WWF-UK in delivering innovative CBNRM that improves livelihoods and ecological outcomes. While this has direct relevance to DFID's broader climate change work there is a need to find effective ways of communicating these lessons to DFID.

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[2] Colombia: PPA funding helped leverage £1,124,119 of match funding for FY12; CEA: PPA funds are being used to leverage an additional £1.6 million from the EC over 5 years for the RUMAKI seascape programme; Brazil: £100,000/year from the Brazilian Energy Sector.

Also at policy level, there are a number of examples of lessons learned about the operating policy environment for a number of programmes. Some broad lessons affecting a number of programmes working to influence policy are:

- The value of working in coalition and investing in coalitions
- The need for policy analysis and a good understanding of core policy to identify entry points and respond to the specifics of a particular policy context
- The value of long-term funding to enhance the building of strategic relationships

At sector level, WWF has considerable experience of CBNRM across a variety of sectors and a number of common lessons are beginning to emerge. Key among these are the necessity of "getting the right process" and "getting the process right".

At PPA Fund level a number of further lessons are identified.

- The need for robust M&E to encourage internal learning and provide accountability to donors
- The value of sound design and the allocation of time for this process especially where other stakeholders are involved
- The recognition by the WWF-UK PPA team of the scope for PPA programmes and the portfolio as a whole to use Theory of Change (ToC) more effectively to articulate, discuss and challenge the thinking and assumptions behind proposed initiatives.

Recommendations

1. There is a weakness in programme evidence that explains how benefits from interventions are distributed within communities and that quantifies the level of benefits attained. In order to address this concern the PPA team needs to encourage and support programmes to undertake better socio-economic analysis, including quantitative analysis. Although a number of newer interventions show good understanding of socio-economic analysis, further work is needed on quantitative aspects. This is likely to require strengthening D&I capacity in this area (perhaps drawing on the capacity for economic analysis that exists within WWF-UK) and, as an intelligent customer, commissioning local researchers to address these issues.

2. There are clearly many alternative ways of assessing impact and the most appropriate analytical technique may depend on the *purpose* of the impact assessment. So while the draft WWF guidance on VFM needs to serve multiple users across the WWF Network, programmes will need to use techniques such as cost-benefit analysis to meet the needs of funding bodies such as DFID even if programmes themselves do not find CBA "useful" for their own purposes. It is therefore recommended that WWF-UK develop or access skills in cost-benefit techniques.

3. There is a tendency to conflate beneficiaries with more accurate terms which may be programme specific but might include "intended beneficiaries", "potential beneficiaries" "target population", or "community-based organisation members". In future Annual Reports it is recommended that a more accurate term is used, unless there is strong evidence that the target population has actually benefitted.

4. The WWF-UK PPA team recognise there is scope for PPA programmes and the portfolio as a whole to use Theory of Change (ToC) more effectively. There are currently quite different definitions of

ToC in use across programmes, as a tool for the learning adaptation workshops and as used by the Colombia Forestry programme, for example. As tools for results-based management these are limited by the failure of the former to include assumptions and by the focus on problems rather than solutions in the latter. To produce an effective tool for results-based management we strongly recommend using a guide such as The Community Builder's Approach to Theory of Change: A Practical Guide to Theory Development, by Andrea A. Anderson. Washington, D.C.: The Aspen Institute, 2005. Vogel (2012) provides a very useful review of the ToC literature that any WWF-UK PPA guidance should also draw on.

5. In feedback on an earlier draft of this report, WWF-UK asked the question how programmes can judge where investment in learning was most likely to result in improved performance. Our view is that programmes can help answer this question by developing a good theory of change as the ToC helps identify where investments in learning are most urgent or likely to be most productive. It is recommended that Theories of Change are developed and these include an identification of priority learning areas.

6. A concern that was raised in the most recent (2010) PPA evaluation was an apparent lack of research when embarking on new projects with communities. We recommend that PPA-funded programmes continue to commit to undertaking a minimum level of socio-economic and technical research before introducing community-based projects. This might simply be confirming that knowledgeable local specialists had been consulted or that a one to two day literature review had been undertaken (which could be supported by PPA staff).

7. Concerning cost-efficiency metrics, the PPA programme should consider whether reliable data could be obtained by specifying a protocol on which activities should be costed and then calculating the cost of getting improvements in scores. Discussing why these differ could be a useful learning exercise for the programmes. However, if this is likely to involve a significant time investment and programmes are not confident about data reliability it would be better to focus on quantifying impacts. Therefore the PPA programme should make an assessment as to whether cost-efficiency metrics are likely to be meaningful.

8. The approach to VFM taken by WWF-UK should include programme impacts as well inputs, outputs and outcomes in order to adequately capture environmental and social effects. This implies re-stating the "4E" model set out in the draft VFM paper. Using the "Relevance" criteria and then a standard "3E" approach may be just as good.

9. It is likely that programmes working in fragile ecological zones with low population densities will appear expensive using the "cost/beneficiary" metric. Hence, it is important for WWF-UK to demonstrate how *much* difference a programme makes to the poor as well as the numbers of poor people who benefit. Indeed, evidence from case study interviews suggests that Programmes such as PIPAL in Nepal (with interventions such as ecotourism and microfinance) and Rumaki VICOBAs (credit and saving groups) in Tanzania have had significant livelihood benefits. In the very limited time available for field visits in this evaluation we were not able to gather sufficient data to quantify this impact but the programmes should contract consultancy support to do this socio-economic analysis.

10. The WWF-UK PPA logframe indicator 2 (km^2 under improved management regimes) helps to balance the fact that areas of low population density have relatively few beneficiaries/£. However, it is also important to identify how much difference PPA intervention has made to the quality of the

forest resource as well as the land area covered. WWF-Colombia has developed an indicator that does just this and will provide a better measure to assess VFM than km^2 by itself. We understand that WWF-UK is considering using this basket indicator across relevant PPA programmes. We recommend this indicator is used and that WWF-UK then compares the cost of achieving incremental improvements across programmes.

11. The WWF policy on carbon budgeting also has implications for the effectiveness of PPA. There is a trade-off between the genuine commitment to reducing carbon emissions and the need for staff and consultants to have face-to-face time (and to understand the country context) in order to work most effectively. To ensure that PPA is delivered effectively, WWF-UK needs to treat carbon expenditure similarly to financial expenditure and look for value for money. The benefits of travel for PPA delivery in terms of environmental gains should be taken into account when allocating carbon miles – ideally in a transparent way.

12. WWF-UK has raised the issue of how to compare the likely VFM provided by complex policy programmes with difficult to measure outcomes with simpler programmes that have more easily observable outcomes. There is no simple answer to this question but we recommend that WWF-UK goes through the scoring process we have set out to systematically consider: What is at stake? What difference does WWF involvement make? How sure are we that we can deliver?

Recommendations to DFID

1. DFID should allow adequate time for logframe preparation – there is a high cost of forcing programmes to meet a three-week deadline.
2. There are very considerable benefits from enabling trust and complex CBNRM institutional arrangements and engagement with policy makers and institutions to be developed over five-year plus periods. WWF-UK has received funding through the PPA over three and half cycles to date. This has contributed to the achievements described above. It is recommended the DFID consider funding arrangements of greater than three years.
3. DFID should consider continued engagement with WWF for mutual learning in areas that WWF has built up considerable experience: Climate Change adaptation, Modalities of working with Chinese agencies, Multi-stakeholder engagement.
4. Where DFID is able to identify PPA grantees with particular strengths (e.g. from this evaluation), there is an opportunity to support peer-to-peer learning led by champions in various areas.

1   INTRODUCTION

1.1   Purpose of the evaluation

This evaluation has been commissioned by WWF-UK in order to meet the requirements of DFID for an independent review of progress in implementing the programme of work funded under DFID's Programme Partnership Arrangement (PPA) with WWF-UK. Under this PPA (2011-2014), WWF-UK receives PPA funding to lead and support work on eight programmes across Africa, Asia and Latin America as shown below:

1. Climate Change adaptation, learning, policy and mainstreaming at UNFCCC and in programmes
2. China Africa as part of Shift China Global Initiative (Kenya, Tanzania, China)
3. Colombia Forest for Life Programme (including adaption and REDD+)
4. Low Carbon Development in Brazil (including REDD+)
5. Nepal Living Himalayas (Terai Arc landscape, Sacred Himalayas landscape including climate adaptation)
6. REDD+ Learning (as part of the Forest & Climate Initiative Learning Framework)
7. Water security in Kenya & Tanzania (Ruaha, Tanzania; Lake Naivasha, Kenya)
8. Coastal East Africa: Reducing Poverty through Improved Local to Regional Natural Resource Governance in Coastal East Africa (Rumaki, Tanzania; Boni-Dori, Kenya; Shrimp and Timber)

1.2   Scope and focus of the evaluation

Terms of Reference for the evaluation are in Annex A to this report. These set out the specific purposes of the evaluation, which contribute to the PPA Evaluation Manager's task of assessing the performance of grantee organisations against their objectives, the alignment of this with DFID' theories of change, and the additionality and value for money of DFID funding. The specific tasks of the evaluation are to:

1. Assess the extent to which comments provided as part of the Annual Review Process (APR) have been acted upon by grantees;
2. Verify, and supplement where necessary, grantees' reporting through the Annual Review Process, changing lives case study and the additionality report;
3. Independently evaluate the impact that DFID funding has had on organisations and projects and to assess the value for money of the funding. The IPR should answer the questions "What has happened because of DFID funding that wouldn't have otherwise happened?" And "To what extent does the use of funding represent good value for money?"
4. Provide recommendations and lessons which will enable WWF-UK to inform the period 2012-14 of this PPA.

1.3   Organisation context

WWF-UK is one of 39 organisations receiving funding through the fourth round of DFID's Programme Partnership Arrangement (PPA). WWF-UK is part of the global network of national WWF organisations

sharing the mission to stop the degradation of the planet's natural environment and to build a future in which people live in harmony with nature.

WWF-UK has some 300 staff working in four divisions, the Programme Division being that responsible for implementing projects under the PPA. Within the division a PPA Manager and Reporting Manager have overall responsibility for implementation of PPA (under the Head of Programmes), while individual Programme Managers have the remit for implementation of the eight components of this PPA. In the case of the country programmes (Brazil, China, Colombia, Nepal, Kenya/Tanzania) these are implemented on the ground by the country WWF organisations, so the role of the UK-based Programme Managers is one of support, monitoring and reporting.

1.4 Logic and assumptions (i.e. theory of change) supporting DFID PPA funded activities

The theory of change supporting the projects supported by this PPA is that communities are enabled to safeguard ecosystems on which they depend by policy frameworks and practices which promote adaptation to climate change, reduction of environmental degradation and low carbon development, and by investment in infrastructure and natural resource extraction/use which are climate-smart and environmentally sustainable. In the current PPA logframe, this is elaborated into the following impact and outcomes:

PPA impact	Improved policies and practices, sustain or restore ecosystem services, and tackle climate change to secure and/or improve the wellbeing of women and men living in poverty
Outcome 1	Communities are safeguarding the ecosystems and ecosystem services upon which they and others depend in an equitable and adaptive manner
Outcome 2	Policy frameworks and practices relating to adaptation, REDD+ and low carbon development are climate smart, environmentally sustainable and designed to secure and/or improve the well-being of men and women living in poverty
Outcome 3	Government and private sector policies, practices and priorities relating to investment in infrastructure and natural resource extraction/use are climate-smart, environmentally sustainable, designed to secure and/or improve the well-being of women and men living in poverty

The view informing the programme is that these outcomes are complementary. Work at community level to support the securing of sustainable livelihoods can be highly effective. However this depends in turn on supportive national level policies to protect natural environments, including safeguarding them in face of infrastructural development and resource extraction activities.

1.5 Overview of PPA activities.

Programmes within this PPA, support the following policy priorities:

- Water security;
- Forest and marine governance for the poor;
- Climate change adaptation;

- Driving urgent action on climate change in emerging economies;
- Enabling environmentally sustainable economic growth for Africa;
- Conservation of vulnerable but globally-important ecosystems; and
- Enhancing livelihood opportunities within these systems, particularly for poor people who are dependent on natural resources.

Total funding from DFID under this PPA amounts to £3,090,356 per year.

1.6 Relationship of DFID PPA funded activities to other programme activities

Funding from PPA constitutes approximately 5% of WWF-UK's annual funding. Other programmes are funded by voluntary donations (supporters and membership), private sector collaborations (including SKY TV, HSBC, M&S and other major donors including the EU). A number of the PPA programmes attract funding from other sources (which may indeed have been leveraged by PPA). Thus in Brazil for example PPA contributes just under 40% of the Low Carbon Development project. WWF-UK now requires that a PPA-funded programme receives at least 25% of its funding from PPA. This has helped to ensure engagement with the PPA objectives and conditions (e.g. M&E) and reduce the risk of programmes regarding PPA's contribution as such a small proportion of our funding that it is not worth the costs of complying with PPA requirements.

2 EVALUATION METHODOLOGY

2.1 Evaluation plan

The work plan and work schedule are set out in our tender document (which themselves are based on the timetable set out in the ToRs) and also in Annex B of this document. The key deliverables are:

1. A draft report to WWF-UK by 19 September 2012; and
2. A final report for submission to DFID by 19 October 2012.

One revision was made from the initial plan: the person days set out in the tender document were adjusted to meet two requirements:

a) It was recognised that the number of days allocated to report preparation was inadequate given that the process of report preparation needs to include discussion with the Technical Group as well as finalising the report after the workshop planned for the second week of October. Three further person days have been allowed by WWF-UK for report preparation.

b) The importance of field visits other than to E Africa (to cover Outcome 2 of the PPA logframe) was discussed. Given this objective the evaluation team have made it possible to include a field visit to Nepal (as well as Tanzania) by reallocating days within the team and providing WWF-UK with 78 days while maintaining the original proposal (70 day) cost plus the agreed three days of additional time for report preparation.

2.1.1 Evaluation questions

These have been developed from two sources:

- Coffey International's Evaluation Strategy & OECD/DAC Framework 2012
- Guidance and Review for DFID Staff, Evaluation Department 2005

These are attached as Annex C. Although questions covering each DAC evaluation criteria were asked for all case study interviews, not all the questions listed under each heading were asked in every interview.

2.1.2 Evaluation Design and Research methodology

Design and research methodology has been chosen to respond to the TOR. As far as possible within inevitable time constraints, and is seen appropriate to a Mid-term review, the emphasis has been on an approach that contributes to a learning for WWF[3] and its partners.

The TOR provides a broad outline of the methodology expected:

"Using the WWF PPA proposal, the WWF PPA logframe, DFID's Business case for WWF-UK and DFID's PPA Evaluation strategy the successful bidder will":

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[3] Examples of working jointly to encourage learning in the review are i) further development of ToC with Ruaha Water Programme, ii) development of some assumptions with China-Africa Programme, iii) regular meetings with a review technical group in WWF-UK.

- Arrange and facilitate a series of meetings/interviews with WWF-UK staff to review and assess the range of programmes selected to report against the PPA portfolio logframe;
- Review WWF-UK's FY12 APR report and case studies;
- Review the individual PPA Programme reports used to produce the APR and case studies;
- Interview and/or survey a selection of key partners and beneficiaries by a range of means including tele/video conference interviews, meetings and visits to an agreed number of projects.

The methodology provided in the TOR was elaborated to give the following steps:

Step 1	Inception meeting to ensure agreed understanding between WWF-UK and review team
Step 2	Collation and review of key documents relating to the PPA portfolio – for main areas of review, see step 9 below
Step 3	Selection of case studies, field visits and personnel to interview
Step 4	Development of evaluation framework against guidelines[4]
Step 5	Refinement of framework and questions for specific programmes
Step 6	Conducting of interviews/discussion with PPA managers, programme managers and specialists within WWF-UK
Step 7	Conducting of interviews/discussions with WWF staff overseas, either by skype/telephone calls or through country visits
Step 8	Conducting of interviews/discussion with external partners, consultants and beneficiaries by skype/telephone calls or through country visits

Step 9	Analysis of interview/discussions against
	    a. PPA logframe,
	    b. Results and progress,
	    c. Value for money
	    d. Alignment with DFID's ToC and Business Plan
	    e. Additionality
	    f. Lessons learned

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[4] Evaluation Manager PPA and GPAF: Evaluation Strategy, Coffey, February 2012.

Step 10	Collation of findings from key documents, discussions/interviews, field observations into draft report
Step 11	Presentation of draft findings to WWF-UK Technical Group and refinements as required
Step 12	Presentation of draft findings to relevant WWF-UK staff and refinements as required
Step 13	Final report to WWF-UK for submission to DFID

2.1.3 Analytical framework

The review has been framed by a set of questions relating Relevance, Efficiency, Effectiveness, Results and Sustainability[5] see Annex C. Questions of particular relevance to each programme and stakeholder group were selected from within the framework and used to guide each interviews/discussion.

Selection of programmes

It was not be possible (given the resources and time available) for the review to cover all the PPA programmes as in Table 2 above. Where we needed to be selective, this was done on the basis of a systematic and transparent approach discussed with WWF-UK and using similar criteria as was used for selection of projects for field visits – see below. In addition to selection used for field visits, we did not include projects where PPA funding constitutes a very small proportion of total funding as in these cases it would be difficult to reliably attribute results to PPA funding.

Selection of countries and case studies

Country and field visits were selected according to the following criteria:

- Country programmes where interventions contributed to at least two of the three Outcomes in the PPA logframe. The review budget allowed for visits to two countries and the two selected countries taken together should contribute to all three Outcomes
- To share the opportunities (and burden) of the review process, countries visited during the final evaluation of the previous PPA were excluded (this excluded Brazil)
- If possible, countries should be DFID focal countries
- If possible, country programmes should be selected from different continents
- Security criteria.

The significance of East Africa in WWF-UK's portfolio (and the concentration of projects in this WWF 'hotspot') led us to propose field visits to three projects in East Africa (Ruaha, Tanzania; Rumaki, Tanzania; and China-Africa, Tanzania). The importance of addressing all Outcomes of the Logframe as

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[5] Based on the guidelines provided by DFID/Coffey and DAC OECD criteria.

well as including another geographical region and a DFID focus country led to the selection of Nepal (Terai Arc and Sacred Himalayas). The visit to East Africa provided the opportunity to include some components of the China Africa programme so a review of the China-based component of the programme (via literature review and distance interviews) was undertaken to complement this. No visit to Latin America was feasible (and this had formed part of the evaluation of the previous PPA) so reviews of the Brazil and Colombia programmes were also undertaken on the basis of document review and remote interview.

Selection of partners and other stakeholders

Partners and other stakeholders were selected to gain a range of perspectives. Therefore they were selected to include a number of different operation levels: community members, community-based organisations, other civil society organisations, government partners at village, local government and higher levels, see Annex D.

2.1.4 Approach to quality assurance of research

To ensure quality throughout the research three main checks have been built into the methodology. These are:

1. Triangulation: issues were examined from the perspective of different stakeholders
2. There was continuous peer review within the team enhanced by the distinct but overlapping experience and skills of the three evaluators
3. Periodic feedback to individual WWF staff both in the UK and as part of the case studies and monthly meetings with the WWF-UK Technical group

2.2 Research problems encountered

No major research problems were encountered. However two factors in the wider context of WWF were on-going during the period of the review. The first involved staff from WWF-UK. WWF-UK is undergoing a strategic review which has overlapped in terms of timing with the PPA review. Despite this, WWF-UK staffed contributed their ideas and time, and were helpful throughout.

Case studies as part of this review were developed through the Tanzania country office. The Tanzanian country office has suffered considerable disruption during the last 18 months[6] – repeated replacement of country managers, loss of key staff and revision of financial systems. This has resulted in considerable disruption in this office but is not seen to have significantly affected the review[7]. However, in one isolated instance, results from surveys or survey executive summaries highly relevant to this PPA were not available[8], despite having been collected some time ago. Efforts were made to reassure the individual responsible but the survey results were not forthcoming during the field visit. Towards the end of this review they were subsequently made available.

It should also be noted that inevitable time constraints limit the depth of investigation that is possible. In developing case studies of, for example, China-Africa much work will have been undertaken that cannot be fully explored in this review[9]. However, even with such limitations, it is believed that the case studies provide valuable triangulation of the APR, examples and lessons for the IPR.

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[6] Stemming from fraudulent use of funds unconnected with the PPA. The situation has been rectified and funds reimbursed. However compared with other WWF offices, morale is low at this point in time.

[7] Although disruptions in the WWF-Tanzania office are not seen to have disrupted the review process, staff for example in Ruaha, had suffered delays in decision making, funding, etc which has had an effect on progress. This together with the repeated need to explain the project to new staff has caused delays in implementation, largely beyond the control of Ruaha staff.

[8] Quality was insufficient to share more widely and delays were experienced in getting feedback to and action from the consultants responsible. The survey reports were completed in December 2011.

[9] China-Africa is a complex programme with many inter-connected components. For a full evaluation, a very diverse skills set is required including, for example, knowledge of the political and cultural context of China, as well as Africa.

It should also be noted that the programme of visits in-country were designed by WWF Country offices. These were well designed and staff worked diligently to make these a success. However, the allocation of time during these visits resulted in the availability of greater detail against Outcome 1 of the PPA logical framework than Outcomes 2 and 3. However, as far as possible within the time constraints of the report, the reviewers ensured telephone discussions and literature review contributed detail on Outcomes 2 and 3.

2.3 Strengths and weaknesses of selected evaluation design and research methods in retrospect

The evaluation design is seen as robust and was implemented without serious impediment. The evaluation framework ensured consistency across different reviewers and in discussion with a range of stakeholders. Although seen as robust, if time had been greater, more interviews at field level with those who were not members of PPA-supported institutions would have enhanced the field results. For example, in field visits under the Rumaki programme, the majority of discussions were held with those directly involved in resource management or savings and credit groups. However a small number of unscheduled interviews[10] were conducted with people beyond these groups and the results collected contributed to overall analysis.

Inevitably the researcher will have had some impact on the evaluation process. A number of approaches were used to reduce a frequent fear of evaluations and to encourage objective responses. Examples include:

- The learning dimension of the mid-term review was emphasised during introductions
- Interviews and discussions were structured to follow a "gentle" introduction, often a short history of the intervention or group
- Respondents were prompted for strengths and weaknesses in examples given
- Respondents were probed to give specific examples to illustrate their responses
- To encourage discussion CBO members, for example, were asked what advice they would give to other CBOs. This allowed respondents to discuss areas of progress, learning and concern in a way that was open and less threatening to their own position
- Interviews/discussions concluded with an opportunity to add further information and/or ask questions.

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[10] Interviews were held with three women and one man selected at random in one fishing community.

3   FINDINGS

3.1   Results

3.1.1 Performance assessment against logframe

Assessment of the appropriateness of the logframe and indicators

In order to understand the current state of the logframe it helps to consider the process of logframe development for this PPA. This process was as follows:

- WWF-UK was asked to provide the first two columns of the logframe in the old DFID format as part of their PPA proposal submitted in October 2010

- On 27 Jan 2011 DFID circulated instructions on its requirements of PPA agencies before MOUs could be finalised

- PPA agencies were asked to submit a full logframe by 21 Feb 2011

- Full logframes were required to be completed in DFID's new logframe format. This introduced a new structure of outputs – outcome – impact

- PPA agencies were required to provide realistic baselines, milestones and targets

- Concern was raised by WWF-UK on the tightness of the timeline given to compile the data, but little leeway was given by DFID

- In March 2011, Coffey (DFID's Evaluation Manager) conducted a review of all PPA logframes

- WWF-UK's specific feedback focused primarily on the differentiation between outcomes and outputs and Coffey advised that WWF-UK's outputs were at too high a level and needed to be rearticulated as 'direct deliverables' of the project.

We believe there is an important lesson for DFID from this process. The left hand column of the logframe, developed over a reasonable timeframe, is robust. However, faced with an unrealistic deadline for developing a full logframe and responding to feedback from the Coffey review, the PPA team did what they were asked by DFID but the logframe indicators we now have are less than ideal. Although we have made suggestions for improving indicators we recognise that as indicators need to be tracked over programme lifetimes it may simply not be feasible to introduce new indicators at this point.

It is ironic that the dedication and commitment of the WWF-UK PPA and D&I teams to ensuring programmes introduced M&E systems that would deliver the portfolio logframe has meant that weaknesses in the portfolio logframe indicators have been effectively rolled out to programmes. We believe this could have been avoided if DFID had allowed a reasonable time for baseline, milestone and target preparation – for example six weeks rather than three weeks.

Our detailed thoughts on the current logframe are set out in Appendix 1 at the end of the main body of the report. In summary, we note:

1. The logframe is strengthened by having indicators (social and biological) relating to people and ecosystems.

2. The number of beneficiaries under impact indicator 1 is estimated by programmes but there is no obvious link with the theory of change (ToC) and the underlying Outcomes i.e. we need to

see how achieving the Outcomes (PPA capacity building of CSOs and policy influence) and meeting the critical assumptions leads to impact in terms of wellbeing.

3. Impact indicator 3 (Number of policies and practices adopted and/or strengthened …) is really an Outcome indicator as improved policies and practices should lead to improved wellbeing at the impact level. Measuring the number of policies also does not tell us whether these will have a big or small effect on many or few people.

4. Outcome 1 (Communities are safeguarding the ecosystems and ecosystem services …) has an indicator (Number of CSOs/CBOs, and other multi-stakeholder management regimes with strengthened capacity to sustainably use/manage natural resources) that focuses on a lower, Output level. The problem with measuring the number of CSOs, plans and policies is that it does not tell us whether communities are actually safeguarding ecosystems.

5. It should be possible for Outcome indicators to tell us whether management plans are at least thought to be effective by stakeholders. This allows indicators of the form "% of programme area covered by NR management plans judged to be effective by stakeholders".

6. It is surprising that there is only 1 Output per Outcome. For example, for Outcome 1: Communities are safeguarding the ecosystems and ecosystem services upon which they and others depend in an equitable and adaptive manner – there is only one Output: Communities have received WWF training and/or have participated in processes for the equitable and adaptive safe-guarding of ecosystems. The Output actually comprises of 2 components: i) training, ii) participation - but in ii) is unclear how this facilitated. We would have expected outputs such as a) analysis of the ecosystem in terms of biological functions, ii) analysis of dependency on ecosystem by local people, iii) development/adaption of suitable local level structures, iv) training, v) handover, etc. (some of these steps may not be covered as they have been included in previous phases. However we would still expect more than training).

7. A number of the Logframe Outputs are ambitious and could be Outcomes (as recognised in the Coffey review of the draft Logframe) but some of the Output indicators are at a much lower level. For example, Output 2 (Policy frameworks and practices relating to adaptation, REDD+ and low carbon development that are climate-smart, environmentally sustainable and pro-poor, are identified, advocated and/or supported by WWF/partners) has the indicator "Amount (quantitative and qualitative) of information and lessons shared, and pro-poor tools and approaches developed and promoted". A problem with simply measuring the *number* of pro-poor approaches is that these might only reach a small percentage of the poor in programme areas.

The PPA approach delivers strong conservation impacts

An important lesson for WWF-UK is that the PPA3 approach of integrating social and ecological objectives has achieved significant conservation impacts that could not otherwise have been achieved. This is illustrated for three programmes in the box below.

Box 1 Cases of conservation impact from Nepal, Colombia and Tanzania

Nepal

Landscape improvement has been brought about as a result of creating community forests, reduced use of firewood through investment in biogas, and significant livelihood improvements as a result of project-supporting income generating activities.

60km^2 of community forest have been brought under improved management within 31 approved community Forest Operational Plans (FOPs) (Annual TPRs 2012 – TAL and SHL).

In the Terai Arc landscape 2,177 households installed alternative energy cooking systems contributing to saving of 9,800 MT fuel wood annually. (Annual TPR 2012 –TAL and SHL).

The last (2009) tiger and prey population estimation in Bardia NP in the Terai Arc indicated a drastic decline of tiger population in the park. Following the alarm of 2009 results, investment was made in BNP and associated corridors to revive the depressed tiger population. In 2012 the tiger monitoring study with camera traps has revealed that there has been 60% increase in the tiger population in Bardia National Park compared to year 2009. The number has increased from 18 individuals (2009) to 37 individuals (2012). Importantly the survey showed the regular use of the Khata corridor by several tiger individuals (Report on Tiger and prey monitoring in Bardia N.P. and Khata corridor, 2012).

The rhino census of 2011, carried out at the interval of every three years, recorded a total rhino population of 534, an increment of 22.7% since the last count of 2008. This comprised of 503 rhinos in Chitwan NP, 24 rhinos in Bardia NP and 7 rhinos in Shuklaphanta Wildlife Reserve. There has been a considerable increase of 23.3% in Chitwan population alone, with an increase in all age categories. (Report on Nepal Rhino count, 2011).

Tanzania / Rumaki

A recent analysis of three years of fish catch data collected by BMU fish data collectors under the Rumaki programme is provided below (Table 1). Although there is local variation in average fish catch patterns, the overall result for the whole Rumaki seascape is that effective management of local marine waters by 25 BMUs has led to the recovery of fish habitats (including coral reefs and seagrass beds), improved fish stocks and thus improved average fish catch per fisher and / or per gear.

BMU management that has led to these improvements include the seizure of illegal fishing gears (dynamite, fishing nets with extremely small mesh size etc.), control of the number of fishing licences granted and number of migrant fishers allowed to fish, and effective enforcement of agreed no-take areas. For example in the past 12 months alone 8 illegal beach seine nets, 187 fisherfolk fishing illegally, and 202 assorted illegal fishing gears were caught / seized and 3 tonnes of illegally dynamited fish seized and destroyed.

Table 1: Average fish catch data for all 25 BMU managed areas against a variety of parameters (2009 to 2011):

Fishing Year	Average catch per trip per day (kg)	Average catch per gear per hour (kg)	Average catch per fisher (kg)	Average catch per fisher per gear per hour (kg)
2009	20.68	1.13	8.78	0.54
2010	47.67	5.14	10.35	0.80
2011	60.80	6.36	17.13	1.24

Ongoing capacity building with BMUs and secondary schools over the importance of effective conservation of endangered marine species has led to increased protection and understanding. Sixteen sightings of the highly endangered and rare dugong were reported this year, before the establishment of the Rumaki programme the dugong was extremely rare and typically no sightings were reported, this is therefore a great sign that numbers are slowly recovering; 116 green turtle nests were laid and monitored on Mafia District out of which 93 nests hatched and 8,738 hatchlings emerged successfully with no reports of turtle nest poaching. A survey in 2008 recorded 40 whale sharks passing through Mafia Island waters, a re-survey was undertaken in mid-2012 and the results are awaited.

Colombia

1. Sanquianga and Gorgona National Park have integrated climate smart planning into their management plans (2 practices strengthened). Indicator-2 practices strengthened: number of policies and practices adopted and/or strengthened to incorporate concepts of, and/or instruments for delivering, environmental sustainability, poverty reduction, and/or climate smart as a result of WWF's engagement.

2. Awa Binational Territory (Southern Choco) – 32 km^2 reserve established in indigenous territory. Indicator: number of square kilometers under improved management regimes and/or with reduced threats as a result of improvements in policies and practices.

3. Upper Caqueta: A climate change vulnerability assessment was carried out by WWF with the 70 families of the San Pedro watershed. Based on this assessment, a preliminary adaptation strategy for the watershed was developed and the families are implementing combinations of vegetable gardens, life fences and isolation of ditches and springs, organic cacao plots, restoration of vegetation coverage. Indicator: number of policies and practices adopted.

Assessment of the quality of data sources which informed reporting against the logframe

An important element of work on the selected projects (see 2.1.4) above was to assess progress against logframe indicators: these assessments are the 'Results' section of each of the Case Studies (See Annex G). In particular, during field visits Team Members aimed to get a feel of the accuracy of the data sources, since it was such visits that carried us close to reality of the lives of programme participants as well as to the early stages of data collection and analysis. Thus forest and village visits as well as time spent with staff responsible for M&E in country offices have contributed to a view that the data on which projects based their reporting are for the very large part carefully collected and accurate, and therefore reliable.

Having said this, it needs to be noted that many of the logframe indicators, particularly at outcome and output level, do not present a particular challenge to record. Thus one finds indicators which depend on enumerating training events, or number of forest user groups facilitated, or hectares under improved management. There appears to be a dilemma here in that attempts to introduce more sophisticated indicators (such as 'number of poor women and poor men directly benefiting from initiatives that have improved ecosystems and ecosystem services…') tend to raise questions of definition (such as how are 'poor' and 'benefit' determined) as well as requiring comparatively sophisticated collection methods.

We note that the PPA Self Assessment Tools completed annually by projects involves the use of scoring. The Brazil project has recently (August 2012) revised its logframe and incorporated into this scores (on a 1-7 scale and with the criteria for each score set out) as a means of assessing the level of achievement of logframe indicators. This appears to be well-suited to a policy/advocacy based project where even simple enumeration is difficult. We found it useful in making an assessment of the project's results (in this case without a field visit) and regard it as a useful approach to transparency in logframe indicators.

Assessment of grantee's progress in addressing DFID's feedback

Feedback by DFID on the 2011/12 annual report requires responses in three areas:

- "Provide an updated version of the year 1 logframe to include achievements against each milestone by the end of July". This has now been done.

- "Consider any refinements including changes to future milestones and submit a new version of the logframe to start year 2. This should be submitted by end of July and will be the basis of reporting from this point forward". This has now been done.
- For future reports, take account of the feedback provided on the additionality report and changing lives case studies. The following quote illustrates the issue: "*The case studies describe the objectives and activities of the initiative reasonably well but are weaker at explaining exactly how the individuals in each example have participated and the differing level of benefits attained.*" In order to address this concern the PPA team needs to encourage and support programmes to undertake better socio-economic analysis, including quantitative analysis. This is likely to require strengthening D&I capacity in this area (perhaps drawing on the capacity for economic analysis that exists within WWF-UK) and, as an intelligent customer, commissioning local researchers to address these issues. It is worth noting that very similar concerns were raised in the previous PPA evaluation and while most of the issues raised in that report have been addressed this is one area that has progressed less far. This is unfortunate as it is preventing PPA programmes from effectively communicating the difference that DFID funding is making.

3.1.2 Intended and unintended effects (positive and negative changes) on poor and marginalised groups and civil society

As part of this review, a number of more detailed case studies have been developed (see Annex G). The case studies have been used to assess validity of statements made in the TPR and Additionality Report produced by WWF, and to provide general lessons. The case studies also assess intended and unintended effects on poor and marginalised groups and civil society.

Nepal, Living Himalayas

WWF-Nepal has based its approach to PPR on its sustainable livelihoods mainstreaming strategy[11], which adopts a holistic view of livelihoods and conservation stressing the synergies between the two. The guiding principles of the approach include 'ensuring equability' as well as 'empowering women, deprived and disadvantaged groups'.[12]

There is much case-study evidence of striking livelihood improvements achieved for individuals and for whole communities via the CBO / community forest model (expertly publicised by WWF-Nepal Communications Unit[13]). Further, some very poor people have been able to access loans from the PIPAL revolving fund to set up IGAs – a simple and striking example of this being to buy (for Rs 20,000) and operate a rickshaw.

It is important to recognise that a large proportion of members of CBOs will be poor by international standards. As part of the process of establishing a forest user group a participatory well-being ranking (PWBR) is carried out by members of the group (facilitated by a project field officer and/or the community mobiliser). Those observed typically show 65-70% of group members to be 'very poor' or

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[11] WWF-Nepal 2011. Sustainable Livelihoods: A Sustainable Livelihoods Mainstreaming Strategy. Kathmandu June 2011, 40pp (see esp pp.5-9, 13-20).
[12] WWF-Nepal 2011. Op Cit. 'Guiding Principles' p. 14.
[13] See e.g. http://wwfnepal.org/?206011/Dalla--Making-the-connection-between-communities-and-conservation for an account of Dalla village, where 'homestay' offered by 20 households has brought benefits to the community as a whole.

'poor' (the division between these categories being fairly even) with around 25% 'medium' and less than 10% 'well-off'. Such exercises are based on criteria set by the group, so an issue of comparability is raised. The case for this approach is that the data are to be used primarily to assist in managing the group (rather than for M&E). This process is seen by field staff as ensuring that benefits are well distributed within the group, including reaching the poorest members.

In practical terms, an approach which aims to mobilise rural people for environmental conservation (via Forest User Groups / User Committees and the variants of this model adopted in TAL and SHL) must be inclusive in that community-based conservation objectives can only be served if all members of the community are involved. This raises the question of the extent to which a specific poverty focus is possible within the User Group model. Case-study evidence of the extent to which participants of user groups have been enabled to move out of poverty is mentioned above. However, a recognition of the particular needs of the very poor is provided by the fact that in TAL a pilot credit programme is being set up exclusively for extremely poor people (and focusing on making loans available to set up IGAs). This will use the successful model in which cooperatives revolve PPA funding in loans for IGAs, but will *not* draw on PPA funding.

Brazil, Low Carbon Development

In Brazil the experience of promoting a participatory REDD+ strategy in Acre State has led to an awareness of links between poverty and climate change vulnerability, and to poverty-focused strategies which respond to this. A series of 'key lessons' learned by the project[14] stress the importance in designing REDD+ regimes of wide collaboration between stakeholder agencies and ample participation / public consultation (including direct payments).

In the energy sector, rapid dam construction in the Amazon basin has major impacts on local populations, leading to their resettlement and loss of land-based livelihoods. Numbers of people directly affected (i.e. requiring resettlement) have not been well estimated and the impacts on those whose livelihoods will indirectly be affected by dam construction even less so. Slowing down in the expansion of construction of hydro-electric dams is one of WWF's policy 'asks' of the Brazilian government. WWF-Brazil has recently aimed (with input from an external consultant) to develop an understanding of the impacts of its policies on poverty and welfare and to identify strategic ways to expand government policy discourse and awareness on poverty. A poverty monitoring tool was developed as part of this work and has now been integrated into the project monitoring and evaluation system (see the 'Results' section of the Brazil Case Study in Annex G).

Tanzania, Ruaha Water Programme

As a new phase which has adopted a new approach, most of the effects for the Ruaha Water Programme are at the Output level of achievement. Therefore in terms of effects on poor and marginalised groups and /or civil society, the identification of such changes is premature. As stated in the TPR: "At this relatively early stage the work is very much focused on both 'getting the right process' and 'getting that process right'."[15]

A successful multistakeholder workshop has brought together a range of stakeholders, including those from poor and marginalised groups, to voice their experiences and concerns together with

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[14] See Brazil TPR April 2012, Annex B.
[15] TPR, 2012.

representatives from other relevant stakeholder groups. Therefore to date the voice of the poor and marginalised and of CSOs has increased in a small way. The workshop was designed with considerable care to ensure inclusion of and learning from weaker voices.

An unintended effect on CSO may be that stemming from Phase I, in that Water User Associations continue to expect material support from WWF that may not be forthcoming. However, with continued engagement and communication this can be overcome.

China-Africa sub-programme

Programmes focusing at the policy level, for example China-Africa, have the potential to impact on very large numbers of poor people by reducing the negative consequences of investments that do not follow international standards or by promoting investments that bring benefits. As such they can be seen as "enabling" interventions that create the right conditions for pro-poor growth. If successful, China-Africa will enable poverty reduction and enhanced protection of the natural environment through the application of international standards to Chinese (and other) investments. The Green Credit Guidelines, for example see below, have the potential to influence the expenditure of several billion dollars.

At the TPR Outcome level, changes include the:
- Issuance of China Banking Regulatory Commission (CBRC) issuing green credit guidelines,
- The preparation of "Towards Sustainable Performance in the Forestry Sector" – a joint study with International Institute for Environment and Development (IIED) on Chinese and African perceptions on forest management,
- Contributions to Forum on China Africa Cooperation and engagement with FOCAC – an organisation that has had little or no engagement with civil society to date,
- Guidance for the Tanzanian mining sector entitled "Integrating Environment into Investment Decisions: Introductory Guidance for Tanzania's Mining Sector",
- Two pilot SEAs carried out with African governments,
- An agreement by the Mozambican and Tanzanian governments concerning joint approaches on sustainable forestry management.

The Chinese Banking Regulatory Commission (CBRC) has issued green credit guidelines that apply to both national, and for the first time, overseas credit by Chinese financial institutions. The CBRC acknowledges the essential role of the banking sector in promoting a more sustainable economy. To support the implementation of these guidelines, CBRC and WWF have begun a training programme on the guidelines. A further consequence of this is that two banks (ICBC, CMB) have requested WWF to provide capacity building on green lending.

Contributions to FOCAC (a significant platform for African and Chinese policy makers to enhance China's relations with African countries) by WWF have resulted in increased interest among three to four African Ambassadors, and is said to have raised awareness and interest among Chinese government officials, the business community and the media. A further result has been the establishment of a new dialogue with the Chinese Ministry of Commerce (MOFCOM) which has requested detailed recommendations on how to ensure Chinese overseas investments support sustainable development.

Tanzania, Rumaki programme

Within the CEA TPR, at Impact level the following achievements are described.

Beach Management Units

The Programme provides support to 22 established community-run Beach Management Units (BMUs) to strengthen their capacity to sustainably manage the coastal resources. Broad areas of BMU strength included good levels of engagement, inclusion and impact; and a strong vision, strategy and management as measured by a CSO capacity assessment tool. Over 80% were assessed as having high or medium capacity.

14,100 people are said to be directly involved in community-based coastal resource management as a result of Rumaki programme support and are "benefiting from improved natural resources". A further 100,000 residents who are dependent on coastal resources for their livelihoods in the Rumaki area are said to have benefited.

Although a number of surveys which should provide supporting data are underway, robust data to support actual data is not yet available. As not all will have received benefits as yet, though they may well do so in the longer term, the figures provided are likely to be an overestimate at this point in time.

Some people, particularly those using illegal fishing gear whose livelihoods will, in the short term be negatively affected through fines, the seizure of gear or through expenditure incurred in changing fishing gear but numbers are largely unknown.

However despite these caveats, establishment of 22 BMUs[16] (and 26 BMUs in total at time of writing) is a major achievement. During discussions with fishing communities as part of this review, a small number of communities already perceive an increase in fish stocks. This perception is supported by the initial analysis of several years of fish catch monitoring data.

Village Savings and Credit Groups

The number of community-based savings and credit groups (VICOBA) is 106. The estimated number of adults benefiting is at least 2,800. If household members are included this is likely to reach 14,000 people. Benefits from group membership have brought monetary and non-monetary benefits to members' lives in terms of profits from small businesses, easier cash flows, greater household harmony and individual confidence[17], among others. Some members will, of course, have not been successful in their business ventures. Those spoken to as part of this review however still perceived VICOBA membership as bringing net benefits.

Mariculture Groups

Mariculture groups involve 420 individuals organised in mariculture groups. Changes to their lives have not been robustly analysed to date but consist of figures from largely successful mudcrab fattening and pearl cultivation[18] with milk fish farming. The programme has reported what they believe to be the net overall effect of the interventions but in the absence of robust data this may be an overestimate.

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[16] As reported in APR 2012.
[17] See Case Study, Annex G.
[18] As reported by WWF.

Colombia Forestry programme

The programme has used participatory techniques extensively with communities to develop systems for conflict resolution[19]. This has taken what local staff describe as "a huge investment" of time and effort but has produced intended impacts in terms of enabling poor and marginalised communities to secure improved ecosystems and ecosystem services (and subsequent gains in well-being).

There have also been unintended impacts. First, a community-driven agenda has led to these systems for conflict resolution (originally developed for access to land and land use) being used in areas such as health (with other NGO partners in the lead). This is clearly a positive unintended consequence. In contrast, "improved forest management plans" were found to be improved in terms of timber income (accruing mainly to men) at the cost of reduced forest access (of more importance to women). The programme identified this unexpected impact and has been looking at ways of mitigating it.

3.2 Relevance

The need for greater social analysis at each stage of project life (design, implementation and evaluation) was noted in the previous PPA. Stronger social analysis[20], in the context of WWF, has the potential to lead to better conservation outcomes and impact, as well as improving people's well-being (see PPA logframe).

In terms of design, those programmes and projects new (or adopting new approaches) to this PPA have shown considerable progress in terms of design. Ruaha Water Programme has invested in understanding stakeholders' perceptions and working with other institutions to agree a design that facilitates greater social-ecological understanding. The programme has collated stakeholders' perceptions and brought them together to learn and develop solutions. Boni-Dodori has undertaken a participatory situational analysis to build working relationships between different agencies, in pursuit of mutual objectives.

In terms of implementation, the Ruaha Water Programme, as noted above, has employed a design that has led to the implementation of a successful multi-stakeholder workshop that collated perceptions from different stakeholder groups. In Colombia Forests Programme, strengthening governance within programme communities to deliver equitable benefit sharing from natural resource management plans is recognised as critical to the relevance, results and sustainability of the programme. Work undertaken by the programme with stakeholders ranging from local indigenous communities to the national army to establish a "Conversatorio for citizens' action" is given in Annex G, as are examples from other programmes.

In terms of evaluation, we looked at those programmes that have received PPA funds over more than one cycle. In Nepal, despite a recognition of the need to work with a variety of social groups,

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[19] Summarised in "PROCEDIMIENTOS DE WWF-COLOMBIA PARA EL RELACIONAMIENTO CON ORGANIZACIONES ETNICO TERRITORIALES (construyendo legitimidad y confianza), WWF-Colombia, Área de Gobernanza y Medios de Vida Sostenible, Cali, julio 2012.

[20] Social issues of particular relevance to WWF relate to understanding how different groups of people interact with the natural environment, what they depend upon for their livelihoods, their perceptions and sources of knowledge, power relations within and beyond communities, who is included and who is excluded, institutional organisation and relations – see also Section 3.3.2.

programmes have yet to provide quantitative evidence against results that are disaggregated in terms of poverty/wealth. Similar lack of evaluation evidence is apparent for Rumaki. These programmes have had greater difficulty in demonstrating who has participated and in demonstrating differentiated levels of benefits. In some cases, these difficulties stem from lack of evaluation data disaggregated by relative poverty but lack of socio-economic analysis[21] during design and implementation has also contributed.

3.2.1 Representativeness

The PPA provides examples where WWF has clearly worked to enhance representativeness in its interventions.

In the Colombia Forestry programme a considerable amount of work has been done to understand vulnerability and poverty in programme communities. The thinking behind this is illustrated in social dimensions of conservation (2012)[22] that has fed into the WWF Network guidance on social and biological dimensions of conservation. Participatory techniques have also been used extensively with communities to develop systems for conflict resolution[23] and programme staff describe a "huge investment in building mutual trust and transparent processes". While the WWF-Colombia focus has been on using these systems or framework for communities to secure improved ecosystems and ecosystem services, a community-driven agenda has also led to these systems being used in areas such as health (with other NGO partners in the lead).

This PPA's analysis of the role of women and children extends work begun in the previous PPA. This is important as introducing forest management plans typically produces gains in timber income (accruing to men) but may affect the access of women and children to forest resources. It is likely that the approach to gender in this programme will provide learning that is very useful for other PPA programmes and for WWF more generally.

Efforts to enhance representativeness are also evident in initiatives new to this PPA: Ruaha Water Programme Phase II and Boni-Dodori. Although these initiatives are at an early stage of implementation[24], they demonstrate a strong intention of inclusivity. This has been achieved in the Ruaha Water Programme by adopting a multi-stakeholder approach that clearly identifies potentially marginalised groups. Within the first workshop held for stakeholders across the target sub-catchment, appropriate means to encourage the views of these groups to be included were employed[25]. This has been achieved by the Boni-Dodori Livelihoods and Forest Project through a series of meetings with forest communities and other key stakeholders to develop a project strategic plan. A week-long inception meeting was held[26] and was said to be steered by the PPA portfolio document "Promoting

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[21] Livelihoods here refer to not only income but social, human, physical and natural capitals, informal rules and overall livelihoods strategies.

[22] DIMENSIONES SOCIALES DE LA CONSERVACIÓN, Conceptualización de las dimensiones de género y pobreza y su articulación a la conservación de la biodiversidad, WWF-Colombia, Cali junio 2012.

[23] Summarised in "PROCEDIMIENTOS DE WWF-COLOMBIA PARA EL RELACIONAMIENTO CON ORGANIZACIONES ETNICO TERRITORIALES (construyendo legitimidad y confianza), WWF-Colombia, Área de Gobernanza y Medios de Vida Sostenible, Cali, julio 2012.

[24] Ruaha Phase II has adopted a new approach but it should be noted that WWF-UK (together with others) has provided support to the Great Ruaha Catchment over a number of years.

[25] A day set aside for community members before the arrival of more powerful interests, expert pro-poor facilitation, a range of visual and other tools that supported all groups – see Workshop Report: The role of social learning in IWRM, WWF, Iringa, May 2012. Water Access, Use and Management – Report of a Collective Learning Workshop facilitated by the Rufiji Basin Water Office and the WWF Ruaha Water Programme, Mafinga, May, 2012.

[26] In June 2011.

Quality in the PPA: A People-Centred Focus"[27] followed by a participatory situational analysis[28]. From the latter, findings are disaggregated by vulnerability, gender and age. Lake Naivasha has conducted a baseline situational analysis disaggregated by age and gender.

Beach Management Units (BMUs) under Rumaki respond to a felt need among fishing communities: a perceived decline in fish numbers and size. In successful BMUs, at least among committee members[29], there is a clear sense of ownership. Although Tanzania law stipulates that for a BMU to be formed it should include a membership of 75% of adults in the community, there are some concerns about knowledge and ownership in the wider community[30]. The main method for BMU development is the village assembly – a forum that may exclude some voices for a variety of reasons.

Also under Rumaki, VICOBA savings and credit schemes also respond to a felt need within communities and this is reflected in unmet demand and further self-initiated groups. Participants are self-selecting, an aspect that may contribute to their success. However, to be more inclusive, mechanisms that are most appropriate for poorer sectors of society might be investigated, initially on a small scale[31].

3.2.2 Targeting

By nature of their geographical isolation, WWF often works in poorer and more marginalised communities. Although primary criteria for selection may be conservation value or conservation vulnerability, WWF can be said to work in isolated and hard to reach communities[32].

The Network Standards which apply to all WWF projects and programmes are clear that initiatives should "pay particular attention to indigenous and/or marginalised people who might be significantly affected by the project but often have little voice". The Network Standards refer to WWF's Policy on Poverty and Conservation (2009). This policy reaffirms WWF's commitment to embrace a pro-poor approach to conservation, to strive to find equitable solutions for people and the environment and make "special efforts to enable local people to play a key part in crafting solutions for sustainable development". The Policy also states: "Many people who suffer from poverty are heavily dependent on natural resources[33] and particularly vulnerable[34] to environmental change."

In terms of targeting, initiatives under the current PPA are aimed at being inclusive and equitable rather than focusing specifically on the poor *within* communities. In the context of co-management and co-governance of natural resources this may be valid if WWF can demonstrate efforts to be inclusive and ensure equity. This requires an understanding of stakeholder groups and institutions, their knowledge, perceptions and relationships, as well as an understanding of livelihoods of the poor. Such efforts can be

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[27] As of the end of August 2012, a three-year proposal to the Darwin Initiative has passed Stage 1 of the funding process. Major activities under this proposal also can be described as pro-people – participatory assessment of biodiversity and eco-system services, addressing human-wildlife conflict, establishment of equitable and sustainable use, conservation and management arrangements.
[28] In July 2011.
[29] From discussions that took place during this review.
[30] From a small number of individual discussions (4) undertaken as part of this review. Data has been collected which may show wider inclusion but was not available to the reviewers.
[31] The case study from Nepal provides an example of a credit and savings group directed at poorer members of society, See Annex G.
[32] For example, villages in the Rufiji delta.
[33] Many examples from the literature support this statement.
[34] This statement "and particularly vulnerable to environmental change (or to climate change)" is perhaps less meaningful as the poor are vulnerable to financial fluctuations, poor health, poor services, etc.

seen in, for example, the Ruaha Water Programme, Lake Naivasha, Boni-Dodori Project, and in the Strategic Environmental Assessments supported under China-Africa, but are less clear in the Rumaki programme[35]. Programmes that can demonstrate greater inclusivity and equity are likely to generate more sustainable conservation impacts.

Evidence overall suggests that PPA funding for this programme is highly relevant in terms of reflecting the needs of the target population; is focused on historically poor and marginalised communities; and manages to secure gains both for conservation and human well-being.

3.3 Effectiveness

3.3.1 Monitoring, Evaluation and Learning

WWF-UK M&E processes within PPA

Steps to strengthen M&E

The 2010 PPA evaluation identified M&E as an area of weakness and the WWF-UK management response proposed addressing these in a number of ways including:

1. Establishing a design phase for PPA programmes and using this to undertake a situational analysis (biological and climate, social, economic and political).

2. Rigorous use of WWF Network Standards of Project and Programme Management for larger programmes (with a lifetime value of £500,000+) that address the need for stakeholder analysis, theory of change and results chains, risk assessment, and monitoring and evaluation (M&E) plans to generate and analyse both qualitative and quantitative data, and ensuring appropriate baseline information is collected.

3. Allocating at least 10% of programme budgets to M&E.

4. Undertaking a critical review of organisational constraints to the successful running of a robust M&E system across all WWF-UK work.

5. Ensuring all UK programme teams are familiar with and actively deploying the WWF Network Standards.

6. Working collaboratively with other WWF Network offices in order to promote good practices in project design and M&E in the Network, and review best practice with other organisations.

Considerable progress has been made in the areas above by WWF-UK since the start of the current PPA. Programmes do now have a design phase, are required to produce a robust M&E plan and 12.5% of the programme spend is now allocated to M&E. A new head of D&I has been appointed and the D&I unit has worked closely with PPA programmes during the design phase. Moreover, the CEOs of WWF offices have been briefed by the WWF-UK CEO on what the requirements were to receive PPA funding.

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[35] In principle BMU membership by its nature is inclusive as 75% of a village must be members for the BMU to be officially recognised (the reality of how many are active members is a different question). Likewise, BMU, VICOBA and mariculture group formation all have guidelines and procedures on the inclusion of women. WWF-UK have held discussions with the Rumaki team on how the BMU and VICOBA model could be adapted / new models be tested to specifically target poorer / more marginalised members of the community.

Programme-level achievements

Case study evidence suggests that the *social* aspect of situational analysis is now much stronger. The Colombia Forestry programme has undertaken detailed poverty mapping and is now looking at how gender determines gains from improved forest management plans (potentially producing income gains mainly for men from timber but reduced access to forest resources for women).

A further example from Boni-Dodori Livelihoods and Forest Project illustrates considerable strengthening of social aspects. The intervention involves two phases: "an inception phase (phase I) focused on developing a good understanding of the situation, building relations and exploring different aspects of multi-stakeholder working (i.e. with communities, and with existing & new partners), and sharing and reflecting on different ideas (e.g. CBNRM, rights-based & sustainable livelihood approaches); and the main implementation phase (phase II)". A participatory situational analysis has been carried out which looks at household diversity, vulnerability, external factors, gender and intra-household diversity, roles at the household and community levels and disability, age-related infirmity and chronic illness[36]. The situational analysis has been combined with an analysis of the available literature to identify assumptions to be tested and to "better understand ....and to ensure selection of appropriate strategies"[37].

Situational analysis provides a good opportunity for programmes to understand climate risks and vulnerability, in that vulnerability assessments (VA) can be included as part of a situational analysis. Vulnerability Assessments are complete or underway in Lake Naivasha, PIPAL Nepal, and Colombia. VAs constitute an important early step in becoming climate-smart (as per WWF-UK's climate-smart guidance developed under PPA).

Progress has not yet made been on *economic* aspects of M&E and we believe this is preventing PPA programmes from effectively communicating the difference that DFID funding is making. The "Changing Lives" Case Study of the Colombia Forestry programme illustrates this[38], as does also the failure in Nepal to capture raw data from community-level participatory well-being ranking to provide a poverty profile or a baseline for the project's target population[39].The absence of rigorous analysis of the economic costs avoided by adaptation partly explains DFID's concerns about the evidence presented as part of the Additionality Report[40]. WWF-Colombia makes the point that there are a number of scientific uncertainties over climate impacts and so adding economic values to the Changing Lives work (in the way the PPA CC Adaptation programme has in the "Into Unknown Territory" report) requires capacity they do not currently have. Nonetheless, it is likely that existing studies by UNDP and ECLAC[41] contain estimates that can be drawn on and data on infrastructure costs can help to estimate damage costs. This kind of evidence is most likely to be available for the Tumaco region. The value added by strengthening the Changing Lives report in this way would be significant.

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[36] For more details see Boni-Dodori Livelihoods and Forests Project, November 2011, which summarises achievements of the inception phase.

[37] For more details see Boni-Dodori Livelihoods and Forests Project, November 2011, which summarises achievements of the inception phase.

[38] See the Colombia case study in Annex G.

[39] See the Nepal-PIPAL case study in Annex G.

[40] "Too little evidence presented" and "Little analysis of how and why changes have been brought about".

[41] http://www.eclac.org/portofspain/noticias/paginas/0/44160/ Final_Caribbean_RECC_Summary_Report%5B1-3%5D.pdf
http://www.undpcc.org/docs/Investment%20and%20Financial%20flows/Results%20flyers/Colombia/FLYER_COLOMBIA_HR.pdf

Programmes are now required to put a lot of effort into reporting on logframe indicators. This is likely to be a good thing provided the indicators are strong and the M&E results can be used effectively. Unfortunately, largely due to no fault of WWF-UK, logframe indicators are less useful than they should be. This is discussed elsewhere[42].

The WWF-UK PPA team recognises there is scope for PPA programmes and the portfolio as a whole to use Theory of Change (ToC) more effectively[43]. There are currently quite different definitions of ToC in use across programmes, as a tool for the learning adaptation workshops and as used by the Colombia Forestry programme, for example. As tools for results-based management these are limited by the failure of the former to include assumptions and by the focus on problems rather than solutions in the latter. To produce an effective tool for results-based management we strongly recommend using a guide such as The Community Builder's Approach to Theory of Change: A Practical Guide to Theory Development, by Andrea A. Anderson. Washington, D.C.: The Aspen Institute, 2005[44]. Vogel (2012)[45] provides a very useful review of the ToC literature that any WWF-UK PPA guidance should also draw on[46]. She rightly notes that the process of producing a ToC has the most potential value rather than producing a complex diagram of the ToC.

Learning that improves the organisation's own capacity

WWF-UK / the PPA Portfolio

The 2010 PPA evaluation identified three areas in which learning needed to be strengthened and in the subsequent WWF-UK management response "*the chief executive of WWF-UK writes (2011) that we will 'focus on improving programme quality, particularly in the design phase, to encourage lesson learning… and provide a mechanism to capture and disseminate lessons'*". Proposed improvements include both a strategy to formalise organisational learning and also technical improvements to programme design, guidance for pilot projects, investment in relevant learning systems, and exploration of ways to exchange best practices, experiences and knowledge.

WWF-UK senior management have taken this commitment seriously. For example, the Director of Programmes has requested regular updates on the implementation of the PPA at PSMT and the Deputy Director of Programmes has dedicated significant time to the PPA.

In terms of the changes to strengthen learning across the PPA portfolio, those introduced in the first year of the current PPA include:

1. Establishing PPA quality criteria in the contracts for PPA programmes and teams have been briefed. CEOs of offices have been briefed by WWF-UK CEO on what requirements were to receive PPA funding.
2. Participation in the DFID PPA Resilience Learning Group has allowed WWF-UK to introduce social-ecological systems and learning and therefore raise the importance of systems thinking in

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[42] Section 3.1.1 and Appendix 2 of the main report.
[43] At the time of writing a WWF-UK working group was considering how best to do this.
[44] Available for free download at:
http://www.aspeninstitute.org/sites/default/files/content/docs/rcc/rcccommbuildersapproach.pdf
[45] Isobel Vogel, Review of the use of 'Theory of Change' in international development, 2012, DFID
http://www.dfid.gov.uk/r4d/pdf/outputs/mis_spc/DFID_ToC_Review_VogelV7.pdf
[46] It should also be noted that WWF-UK (with support from PPA) is carrying out a review of appropriate ToC approaches.

resilience. This is demonstrated by the Interagency Resilience Working Group discussion paper "The Characteristics of Resilience Building" (April 2012), which WWF-UK actively engaged with and helped draft and shape.

3. Producing guidance for the PPA portfolio that is starting to be used more widely within the WWF Network; e.g. the paper 'Social dimensions of conservation in Colombia (2012)'[47] that has fed into the WWF Network guidance on social and biological dimensions of conservation.

4. Improved management for results using an inception phase for PPA programmes, a structured review process for proposals and a tighter performance management tied into contracts. This has presented what one respondent termed "a real challenge to WWF-UK practice".

Individual programmes

All programmes in the current PPA were revised to some degree as a result of these new systems. Inception phases for Ruaha Water Programme and Boni-Dodori Livelihoods and Forest Project have allowed greater understanding and coalition building through their stakeholder, institutional and situational analyses and Theories of Change. In the case of Ruaha Water Programme, the proposal review involved a range of institutions and has led to a robust log frame, though as yet unfinished[48]. There is also some evidence of learning processes being adopted beyond the PPA portfolio – for example, the HSBC-funded programme portfolio has been adopting lessons from PPA, such as inception phase, ToC, social policies.

Two PPA-funded programmes (Climate-smart, Pro-poor conservation; and Learning for Adaptation) aim to build WWF-UK and Network capacity to respond to climate change. The nature of CCA means that WWF-UK and the WWF Network will have to become better at learning in order to become more effective in supporting CCA. This team also make the case that without a culture and system for learning, a ToC may enhance initial planning but not effectiveness as this requires review, learning and adaptive management. This view accords with Vogel (2012), who concludes that: "Theory of change is still primarily looked at as a planning methodology: its real potential lies in supporting context-based innovation" (p4).

A challenge that a number of interviewees identified is "how to better incentivise reflective learning in WWF". Lack of these incentives has led to concerns such as those raised in the Colombia Forest programme learning workshop:

"We lack deliberative processes for learning…"

"We could better identify our hypotheses…"

Although these issues were raised during a workshop supported by a particular PPA-funded programme, they have implications for the WWF office as a whole. Hence changing the way that programmes learn does not only produce contextual learning but can influence the way that the WWF offices involved in these programmes learn.

The PPA-funded programmes receiving support through the "Learning for Adaptation" programme can therefore be seen as demonstrating ways of strengthening organisational capacity as well as producing

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[47] DIMENSIONES SOCIALES DE LA CONSERVACIÓN, Conceptualización de las dimensiones de género y pobreza y su articulación a la conservación de la biodiversidad, WWF-Colombia, Cali junio 2012.
[48] Refinement of indicators and completion of baseline data requirements is expected during the coming quarter – draft quarterly work plan Ruaha Water Project.

contextual learning. To date, the evidence of organisational capacity building is relatively modest and primarily involves introducing new processes, but includes:

1. WWF-Colombia learning workshop outcomes – a successful event that has been documented in the AR (2012) and a similar initiative is currently being undertaken with PPA funding by WWF-Nepal with input from WWF-Colombia.

2. A new online platform for sharing PPA lessons (in the first instance) that is being developed with Communications for Development. This will provide space to receive information (progress of programmes, learning from the literature and other sources, and social networking functions) and will be operational in the next month. An up and running online platform is already being successfully use by Ruaha Water, Boni-Dodori and Lake Naivasha programes and projects to share literature findings, events, progress and social networking for partners within and beyond WWF.

Learning that provides contextual knowledge

This is an area discussed in the AR (2012). We have found examples of learning for contextual knowledge in each programme we have reviewed and therefore agree with the AR (2012) findings on this issue. However, a more challenging question is the extent to which programme performance has improved as a result of contextual learning.

The evidence from the Colombia Forestry case study is encouraging. A considerable amount of work has been done to understand vulnerability and poverty in programme communities. Participatory techniques have also been used extensively with communities to develop systems for conflict resolution[49] and programme staff describe a "huge investment in building mutual trust and transparent processes". Learning how to do this (in earlier PPA programmes) has been critical for the success of the work of the current PPA. Thus analysis of the role of women and children extends work begun in the previous PPA. This is important as introducing forest management plans typically produces gains in timber income (accruing to men) but may affect the access of women and children to forest resources. We are yet to see changes in programming as a result of this learning.

Although at an earlier stage of Phase II, Ruaha Water Programme demonstrates learning from Phase I and the early stages of Phase II. A key lesson from Phase I is the need to match geographical scale to WWF capacity, which has resulted on a focus on two sub-catchments in Phase II instead of covering the Great Ruaha catchment, as in Phase I. A further lesson from Ruaha Water Programme, again building on earlier lessons, is the need for greater investment in building relationships between stakeholders including WWF to facilitate joint learning between stakeholders to build a joint vision and action plan for catchment management. This has resulted in a reframing of the programme.

In feedback on an earlier draft of this report, WWF-UK asked the question how programmes can judge where investment in learning was most likely to result in improved performance. Our view is that programmes can help answer this question by developing a good theory of change. So, for example, a programme that focuses on building capacity for climate change adaptation in the Ministry of Forests might identify that it is *critical* to get lessons learned into the Ministry of Finance in order for

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[49] Summarised in "PROCEDIMIENTOS DE WWF-COLOMBIA PARA EL RELACIONAMIENTO CON ORGANIZACIONES ETNICO TERRITORIALES (construyendo legitimidad y confianza), WWF-Colombia, Área de Gobernanza y Medios de Vida Sostenible, Cali, julio 2012.

programme innovations to be sustainable. The ToC therefore helps identify where investments in learning are most urgent or likely to be most productive.

A concern that was raised in the PPA3 evaluation was an apparent lack of site-specific or more general research when embarking on new projects. Case study evidence on the introduction of milk fish farming on Mafia Island as part of the Rumaki CEA programme suggests some issues remain. Milk fish farming was piloted with the community who now say, knowing what they know now, they would not do this again because rewards are too low and there have been a number of practical problems including the difficulty of getting milk fish fingerlings. Milk fish farming is a fairly minor component of the Rumaki programme. However, it has the potential to generate lessons for the introduction of income generating initiatives across WWF[50]. We recommend that PPA-funded programmes commit to undertaking a minimum level of site-specific, socio-economic and technical research before introducing community-based projects.

The same project (Rumaki) does demonstrate learning, this time in relation to lessons learned from a much larger and better-funded initiative supported by the World Bank – MACEMP, the Marine and Coastal Environment Management Programme. MACEMP, as assessed by District fisheries officer in Utete (Rufiji) has not been a success. Further details provided by an individual with more than 10 years' experience in marine conservation in Tanzania, described some of the reasons for failure. These include an unrealistic time span of six years for the $60 million budget and complexity of intervention. The size of the budget did not match implementation capacity within the Fisheries Division at a number of levels, and the lack of a full-time World Bank member of staff based in-country was said to be accentuated by an extreme reluctance on the part of the Ministry/Fisheries Division to channel funds through non-governmental partners, despite this being part of the original design and the receipt of proposals from IUCN and Sea Sense. Actions to tackle these have been built into Rumaki's approach, for example, a focus on a number of priority thematic areas, a willingness to partnership with others, a long-term time frame and sharing of responsibilities with the Fisheries Division that more closely matches their capacity.

3.3.2 Innovation

As noted by the AR (2012), some of the most innovative contextual learning is emerging within those programmes that are re-framing their practice around the transformation of complex, dynamic, multi-level social-ecological systems. The PPA-funded Colombia Forestry Programme's innovative work with indigenous communities to build a framework for conflict resolution to secure improved ecosystems and ecosystem services has also led to these systems being used in areas such as health (with other NGO partners in the lead). This is intentionally context-specific as it utilises the opportunities created by changes to Colombia's constitution.

"*Since December 2011, the Freshwater programme has been involved in a process of rapid learning about social learning practices, as a basis for its multi-stakeholder, 'learning by doing' approach both in the Naivasha Basin where the focus is on climate change adaptation and in the Great Ruaha River catchment of the Rufiji Basin, where the focus is on an IWRM pilot.*" While it may be too soon to speak of any significant contextual innovation, the approach holds considerable promise and constitutes a significant (triple loop) reframing of many mainstream WWF practices.

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[50] For more details, see Rumaki Case Study, Annex G.

"The team is already recognising the importance of group dynamics underpinning social learning processes. It is also learning about process monitoring." AR (2012, Part C)

Further non-contextual learning has been built into the Boni-Dodori project design, albeit from what not to do. Livelihoods components in the Kwale[51] programme were not based on a clear definition but were added into a pre-existing forest policy implementation programme and as such did not respond to the needs of poor people[52]. The Boni-Dodori Livelihoods and Forests Project is designed around a clear participatory situational analysis.

WWF is recognising that innovation and learning around social issues (namely issues relating to understanding how different groups of people interact with the natural environment, what they depend upon for their livelihoods, their perceptions and sources of knowledge, power relations within and beyond communities, who is included and who is excluded, institutional organisation and relations) will lead to better conservation outcomes.

A 'National Enabling Policy Environment' tool[53] is being developed through the WWF/SADC CBNRM Forum and redesigned in work by WWF-Tz (the Terrestrial Component under Coastal East Africa and others in the Tanzanian Office). The tool is still being developed but appears promising as a means for assessing the policy environment not only for wildlife but also for forestry and fisheries sectors. With limited adaptation, it will be applicable across a range of countries. The tool looks at a number of National Level Enabling Conditions and Indicators and asks the user to score against each condition/indicator and currently has further wildlife-related enabling conditions and indicators. Examples of conditions/indicators are: communities have full right to use/benefit from wildlife; communities have full right to enter into contracts with other parties, etc. Assessments are presented visually in a spider diagram. The tool is innovative in its bringing together issues relevant to policy analysis across a range of sectors, and has initial potential as an aid to discussion and learning on policies across a range of countries, sectors and partners.

3.3.3 Partnership working

Much of the work undertaken by WWF-UK aims to build the capacity of partners – CSOs, CBOs, other NGOs, government stakeholders, etc. – to sustainably and equitably manage natural resources in line with their needs and priorities. The PPA provides an incentive for mobilising this partnership work around poor/vulnerable groups. An improved understanding of partnership working with development stakeholders has had some impact on WWF more generally via revisions to Network Standards and with the experience of building and using two assessment tools developed under both the previous and the current PPA[54].

PPA programme case studies provide good examples of successful partnership working, for example, in Nepal. In Nepal, WWF has built up over time a 'working modality' with the two government line departments (National Parks and Forests) it needs to collaborate with most closely in the Terai Arc and Sacred Himalayas landscapes. This is based on joint staffing of the Project Field Offices (by a Forest or NP

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[51] Kwale Kenyan Forests supported under PPA3. Participatory situational analysis from Boni-Dodori has since been replicated in Kwale, a non-PPA CEA programme.
[52] Boni-Dodori Livelihoods and Forests Project, November 2011.
[53] Commonly referred to as the barometer tool.
[54] Level of Engagement Tool – A PPA Monitoring and Evaluation Tool; 2) Commitment and Action Towards Change Tool – A PPA Monitoring and Evaluation Tool.

Department Manager and a WWF Deputy Manager or Co-Manager[55]) and a (small) Coordinating Committee in Kathmandu, on which sit officials of the Departments (including a Deputy D-G) with the TAL and SHL Programme Coordinators from WWF. This works in a surprisingly un-bureaucratic way, meeting 'as and when required' (sometimes more than once a week, never less than monthly) and – importantly – can sanction allocation of funds to the Field Offices very rapidly. What this 'modality' achieves on the ground is that it mobilises the line departments' resources to support PIPAL initiatives. Thus in the case of community forests the Forest Department's input is needed to advise FUGs on their plans, to approve the plans and ultimately to register the forest so the rights of the FUG are legally established. Forest Officers can be mobilised for this task by payments from the PPA budget to cover their direct costs (travel etc.) As a general model this is of value in that it is a means of circumventing the classic problem of technical line departments being unable to deliver services because budgets are used up in meeting staff and other core costs. A Forest Department official in commending the arrangement likened it to a 'Government vehicle running on WWF tyres'. In terms of PPA, it is a means of leveraging the technical departments' resources.

A further example from Nepal illustrates partnership working which has resulted in a sustainable outcome is that of promotion of LAPAs (Local Adaptation Plans of Action for climate change). Here also a working modality between WWF and government has been successfully achieved. Having carried out a climate change vulnerability assessment of Langtang National Park and its associated Buffer Zone (in 2009, during the previous PPA) the PIPAL Project identified LAPAs (already a national policy) as having the potential to serve as a focus for awareness-raising on climate change, and the Village Development Committee (VDC i.e. the smallest administrative unit) as the appropriate planning unit for a LAPA. Endorsement of the concept of a VDC-level LAPA by local government (the District Development Committee – DDC) was achieved by making the case that PIPAL was ready to fund an activity which DDCs could embrace as consistent with national policy. Four LAPAs have been completed in Langtang area[56]. The success of achieving this collaboration means that there is now available a model which can be widely scaled, and PIPAL plans to introduce the LAPA into other project areas in SHL and also – importantly – into TAL.

It is important to note that both of these processes which have led to sustainable outcomes took longer than a single three-year funding cycle to achieve.

China-Africa has identified a number of key forums where influence can be maximised. FOCAC (Forum on Africa-China Cooperation) is such a forum which through long-term relation with key players has resulted in MOFCOM asking for WWF FOCAC recommendations based on a WWF FOCAC briefing note. A key learning point is that enhanced engagement is the result of good understanding of the institutional arena and relationships built over time.

PPA funding has enabled WWF-Colombia to effectively target decision makers from community up to national level. The long-term commitment to programme communities over the life of the previous and this PPA has been a critical component of success. Over this period, the programme has built effective coalitions at a number of levels. Programme staff reported in the TPR state that:

> "*We recognised that in order to address some of the complex objectives of this programme, we need to strategically work with different partners at different levels. This is why we carry out our work through a complex network of multi-stakeholders across Colombia. In this sense, our role*

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[55] Variously termed.
[56] More detail on the process of carrying out a LAPA is in Annex G.

varies depending on the context, our partners and the objectives we want to achieve. Sometimes we are supporting key stakeholders in influencing policy, or we work with ethnic communities in improving their direct management on natural resources, in other occasions, our work consists in providing scientific information and lessons learned to discussions on national level policy."

In the Ruaha Water Project, the Rufiji Water Basin Office (RWBO) has a strong partnership with WWF, also built up over many years. The RBWO saw the strength of the partnership as combining their technical knowledge with a new approach and supporting skills to involve stakeholders.

The investment in building mutual trust and transparent processes with communities (and other NGOs and government partners) has occurred over more than one PPA funding period. One of the lessons for DFID and WWF from this programme is that a commitment to a five-plus year engagement is required to do this type of work.

In considering what distinctive offering WWF brings to this programme, the commitment to ecosystems sits well with Afro-Colombian and, in particular, indigenous community beliefs around land tenure and natural resources use. However, more practically, land tenure issues are at the centre of the relationship between the State and indigenous and Afro-Colombians. Landscape level planning provides a very effective lens through which to look at conflict resolution and this has been the entry point for WWF-Colombia. WWF has therefore been able to facilitate decision taking by stakeholders with conflicting interests over land use.

There is evidence that PPA funding has encouraged WWF-Colombia to take a new community-led approach to supporting sustainable development that differs from traditional conservation practice. Hence, WWF has followed the communities' agenda and where a community wants to use programme-supported processes that build trust and resolve conflict for issues outside WWF's area of expertise – e.g. self-protection and land mines in National Parks – WWF brings in specialist NGOs to lead the work.

There is also evidence that PPA funding has encouraged the terrestrial component of CEA to take a new community-led approach in its Boni-Dodori project. This project emphasises the importance of the forest communities in protecting the natural environment and of responding to their needs and priorities. Although at an early stage, interventions to date have recognised a diversity of needs at local level and are building on an in-depth situational analysis developed with local communities.

In PPA not only has WWF built capacity of CBO, NGO and government partners, the PPA has also demonstrated WWF's willingness to learn from its partners. Ruaha Water Programme involves a range of partners with Wageningen University and Research Centre (Centre for Development Innovation) and others, which has led to the development of a multi-stakeholder approach and methodology for engagement. In Rumaki, the adoption of a tried and tested model for savings and credit at village level[57] has contributed to the success of the intervention.

In Brazil, an important lesson (noted in the July 2012 TPR) is the extent to which working in networks can be effective in 'magnifying impacts'. This has been learned particularly through the Brazil Climate Change and Energy (CC&E) team's involvement with coalitions – notably the Climate Observatory and the REDD Observatory[58]. Such coalitions generate greater impact on policy because they represent a wide range of interests and add legitimacy to what has been produced by individual members.

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[57] With capacity building from among others CARE International.
[58] These are policy / NGO / academic fora: see also the Brazil Case Study in Annex G.

Coalitions are thus crucial to policy influencing. However, considerable time and investment is needed in developing relationships within coalitions, so these relationships should be strategically aligned with policy priorities.

3.3.4 Sustainability

The AR (2012) identifies four key strategies for ensuring sustainability of results among PPA-funded programmes. Below we summarise these together with our observations based on case-study interviews:

1. "Building capacity of community and other non-governmental organisations to achieve and sustain impact (Nepal, Colombia, Rumaki, Boni-Dodori, Ruaha, Naivasha), as per Outcome 1 of the Logframe. For example, in Colombia, PPA funds have supported the capacity building of key partners, including indigenous and Afro-Colombian territorial organisations."

The evidence from case study interviews confirms that PPA funds have built the capacity of CBOs and local institutions in programme areas. In the Colombia example, conflict resolution systems established by the programme are now used to address non-environmental issues by the communities with support from local NGOs. For all the programmes mentioned above, sustainability has been built over both the recent PPAs and it has generally taken more than one PPA period to build sustainable local capacity. In Nepal, the partnership modality with government, provided in the section above, was described with feeling by a senior WWF-Nepal staff member as having "*taken a long time to set up*".

A further example from Nepal is that of cooperatives[59], which were established under an earlier (UNDP) project, and survived with varying degrees of vigour into the time of the previous PPA when they were adopted as a vehicle for handling PPA funds destined to enable investment in biogas and in income generating activities. Over six years, the 16 cooperatives concerned have seen membership grow 14-fold, and share capital and savings several thousand-fold. A crucial feature of the cooperatives is that their legal entity and registration mean that they have a life well beyond that of the project.

2. "Addressing drivers that threaten to undermine social and environmental outcomes, such as climate change, infrastructure development, land use, mining, etc., as per outcomes 2 and 3 of our logframe (Colombia, CEA, Brazil LCD policy work, adaptation policy work, China-Africa, Nepal)."

While PPA programmes have certainly helped to make communities more resilient, the threats from climate change, for example, are on-going and long-term and based on the evidence available we do not know if gains are sustainable.

3. "Fostering ownership among beneficiaries and target groups, for example by jointly identifying and planning ways to continue to work towards achieving and sustaining the project's goals beyond the project lifetime (China-Africa)."

In developing environmental best practice recommendations for the Tanzanian mining sector, WWF brought together Tanzanian government with the Chamber for Minerals and Energy to jointly develop the recommendations so as to ensure commitment and sustainability to the process by the key stakeholders who will be involved in the implementation. WWF's work in China under the China-Africa

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[59] See Annex G.

sub-programme involves to a large extent engaging with the needs of Chinese agencies and in dialogue over what it is feasible and effective for WWF to provide.

4. "By working in partnership, networks and coalitions with other NGOs, we also hope that what we bring to the table will be taken away by them in their future work and engagement. We are looking at building closer relationships with other NGOs towards this end."

There is evidence to support this statement from a number of PPA programmes. The Climate Change Adaptation and Adaptation Policy programmes provide good examples of partnership building with development INGOs.

We would also argue that the process of strengthening learning within and between PPA programmes – described earlier in this section of the report – provides a meaningful contribution to sustainability.

At the time of writing, the WWF Strategic Review is out for consultation. This will have implications for the PPA. WWF-UK is committed to delivering the current PPA, and programme staff funded by PPA would have the opportunity to remain in place until the end of the PPA period. However this may result in the movement of some PPA staff.

The WWF policy on carbon[60] budgeting also has implications for the effectiveness of the PPA. There is a trade-off between the genuine commitment to reducing carbon emissions and the need for staff and consultants to have face-to-face time (and to understand the country context) in order to work most effectively. In the medium term the WWF-UK restructuring will make this less of an issue but in the short term there is likely to be a need for more support to non-UK offices with new posts. Our recommendation is that WWF-UK treats carbon expenditure similarly to financial expenditure and look for value for money. The benefits of travel for PPA delivery in terms of environmental gains should be taken into account when allocating carbon miles – ideally in a transparent way.

3.4 Efficiency

3.4.1 Value for money assessment (outputs for given levels of inputs)

In this PPA WWF-UK has put in place a number of systems and processes to improve cost-effectiveness. These are discussed in detail in the section on Value for Money below but include:

1. Strengthening procurement and HR management systems;
2. Establishing a design phase for PPA programmes;
3. Rigorous use of WWF Network Standards of Project and Programme Management for larger programmes;
4. Allocating at least 10% of programme budgets to M&E in programme contracts;
5. Undertaking a critical review of organisational constraints to the successful running of a robust M&E system across all WWF-UK work;
6. Ensuring all UK programme teams are familiar with and actively deploying the WWF Network Standards; and

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[60] During this review, staff in Tanzania, particularly but not only staff outside of Dar es Salaam, valued visits by WWF-UK and the opportunities for debate this provided. However, there was an expressed desire for continuity of contact, as repeated explanation to those WWF staff unfamiliar with the project was seen as frustrating.

7. Working collaboratively with other WWF Network offices in order to promote good practices in project design and M&E in the Network.

The AR (2012) notes that in terms of contracts initiated or negotiated in FY12, savings have been identified due to improved procurement processes amounting to £377,000. Significant further gains are expected over the remainder of the PPA period.

Cost-efficiency metrics

This is an area where programmes have provided limited evidence. WWF (2012)[61] notes "*The Economy category of value for money was the least well explored, and although 7 programmes mentioned aspects of staff costs verses activity costs, very few of them explained how costs were kept down, or where economies are being made, the exception to this was East Africa freshwater Ruaha programme which talked of obtaining pro-bono days from their consultants*". P6

Being able to compare the cost per output within and across programmes could be useful for WWF PPA programmes if this helps flag up that some programmes are much more efficient than others in conducting training, for example. This would provide an opportunity to learn from best practice and monitor (benchmark) programme performance against this. However, it is likely that apparent variations in efficiency mainly reflect different operational environments – i.e. it simply costs more to train CBOs in sparsely populated regions with poor infrastructure.

At the moment WWF-UK does not systematically monitor cost-efficiency or cost-effectiveness across programmes based on unit costs of delivering common logframe targets. Although there is a strong VFM case for using this type of benchmarking to compare the costs of service delivery[62], it is not clear that meaningful data can be produced from the WWF-UK PPA portfolio. For example, while it should be possible to compare the cost of achieving improved levels of commitment and engagement of civil society (using the WWF commitment and engagement tools) across programmes, the variation that is observed is currently unlikely to tell us that a particular programme is more or less efficient than another programme. It is more likely to reflect the significant differences in programme capacity to use these tools as well as differences in the starting point of CSO capacity and in operating environments. Nonetheless, as three large programmes are now using these tools, the PPA programme should consider whether reliable data could be obtained by specifying a protocol on which activities should be costed and then calculating the cost of getting improvements in scores. Discussing *why* these differ could be a useful learning exercise for the programmes. However, if this is likely to involve a significant time investment and programmes are not confident about data reliability it would be better to focus on quantifying impacts.

3.5 Impact and value for money of PPA funding

3.5.1 Overview

Bond (2012) provides a useful overview of VFM in the context of UK NGOs. This makes the case that in order to deliver and improve value for money NGOs should look at their practice across three areas:

a. The systems and processes in place for *managing* value for money

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[61] WWF-UK Value for Money Briefing Document (by Karen Lawrence et al) 2012.
[62] See the Audit Commission work for local government in the UK, for example.

b. The approaches they use to *compare* value for money between activities

c. The use of evaluations to *demonstrate* value for money.

Figure 1: Measures for assessing VFM at each level of the logframe
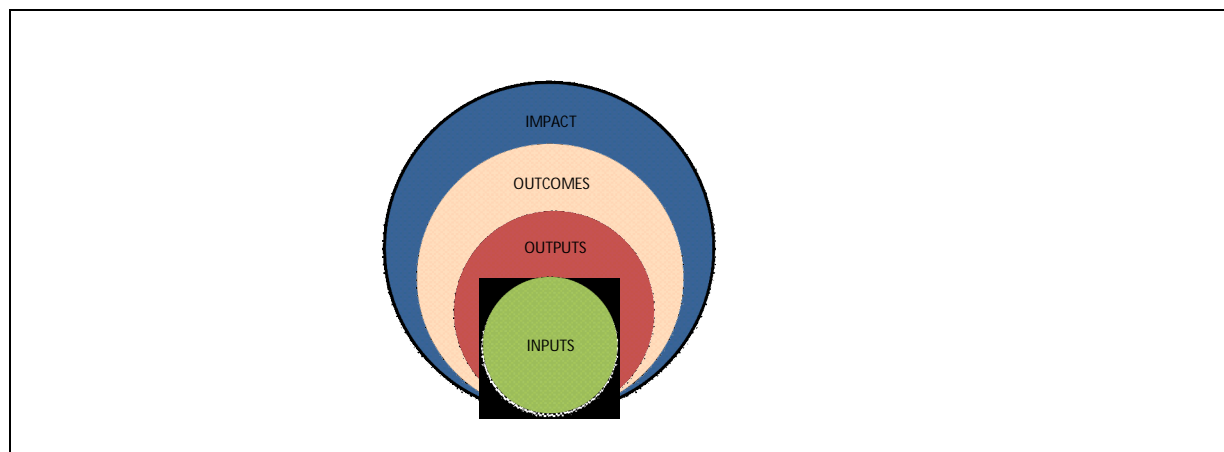
VFM, the logframe and the evaluation criteria			Potential quantitative techniques for assessing VFM
	Economy (cost of inputs)		Identifying systems to for efficient procurement & HR management
			Providing evidence of efficient procurement & HR management
	Efficiency (translating inputs into outputs)		Identifying systems in place & being used for results-based management e.g. inception phase and M&E
			Cost/Output target. For example, from Output 1 indicators 1.2 & 1.3 consider:
			Cost/ training conducted and/or facilitated with CBOs/ CSOs, collaborative or joint management regimes on pro-poor adaptive ecosystem (or climate change) management.
			Cost/training conducted and/or facilitated with CBOs/CSOs to engage in advocacy and/or watchdog functions relating to pro-poor environmental sustainability.
	Effectiveness (focus on outcomes)		Cost/Outcome target. For example, from Output 1:
			Cost per effective natural resource management plan implemented and enforced.
			From Output 2:
			Cost of achieving improved levels of engagement of civil society groups with key decision makers (using WWF engagement tool).
			Cost of achieving improved levels of commitment and action by government/other key decision makers (using WWF commitment tool).
		Results/Impact (focus on outcomes and impact)	Cost-Benefit Analysis (cost and monetised value of results)[63]
			Beneficiary satisfaction survey against cost of delivery or full Social Return on Investment[64]
			Cost/Impact target. For example:
			Cost/poor woman directly benefiting from initiatives that have improved ecosystems and ecosystem services in WWF's priority landscapes.
			Cost/km^2 under improved management regimes.

[63]See, for example, the CBA of Tearfund (a UK NGO) climate-related interventions in India: http://tilz.tearfund.org/webdocs/Tilz/Topics/Disaster%20preparedness%20in%20India%20a%20cost-benefit%20analysis.pdf . It is also quite possible to incorporate ecosystem service values in CBA – see Yaron et al (2012).

[64] A form of CBA that monetises a wide-range of values to society, often from perspectives of stakeholders. See: http://www.bond.org.uk/data/files/Cabinet_office_A_guide_to_Social_Return_on_Investment.pdf

As far as possible we aim to use these building blocks within the reporting structure required for this IPR. To do this it helps to make use of the close association between the types of thing we want to measure to assess Economy, Efficiency, Effectiveness and Results on the one hand and the WWF-UK PPA logframe (with inputs, outputs, outcomes and impact) on the other. This linkage, together with techniques that are often used to assess VFM at each level of the logframe is shown in Figure 1 above.

3.5.2 Value for money assessment of PPA funding

This sub-section is concerned with the first of the VFM stages described by Bond (2012): The systems and processes in place for *managing* value for money.

Strengthening procurement and HR management systems

The KPMG March 2011 due diligence review produced three recommendations to strengthen VFM (broadly defined). These have very largely been addressed and will secure improvements in cost-effectiveness for PPA spend. The KPMG recommendations are summarised, together with the WWF-UK response below:

1. DFID should require the grantee to implement a policy on when it is appropriate to create a new bank account and a limit to the period of bank account within six months of the commencement of the grant, including a review of the need for the existing accounts to identify if any should be closed. DFID should request that grant funds are maintained in a separate bank account relating only to the charitable arm of WWF-UK. If this cannot be achieved DFID should be given a clear explanation of the reason behind the use of the joint account and sufficient assurances that the funds will be ring-fenced for charitable activities only.

"WWF-UK regularly reviews whether there are any accounts that we can close. The large number of accounts is driven by three main factors: (1) The EC requires a separate account for each EC-funded project. (2) The need to keep a number of different currency accounts. (3) Our Treasury Management Policy demands that the organisation's reserves are held with a number of different banks to reduce risk.

WWF-UK is in the process of working with the BACS provider to ensure that the Trading BACs payments come straight out of the Trading bank account rather than the Charity account. In the meantime, the Trading account is continuing to reimburse the Charity account on the same day."

2. WWF-UK has staff and systems in place to conduct Monitoring and Evaluation (M&E) at the programme and project level but is not yet doing this at the organisational level although plans are in place to do this through the Log Frame development for DFID and in the Grantees 2012 strategic refresh. WWF-UK should ensure this happens.

"At the organisational level, WWF-UK has a set of key performance indicators (KPIs), most of which relate to operational performance. In August 2011, we enhanced our programmatic reporting to include ratings versus outcome and impact indicators, and an overview of programmatic performance can be gained through this. During 2012, we are further enhancing this system, which will support improvements in outcome and impact monitoring and adaptive management. The strategic and communications value of additional forms of programmatic KPIs at the organisational level is being assessed as part of our 2012 strategy renewal. Additional KPIs will be introduced from

2013 if their strategic and communications value is high in relation to the cost of gathering the data."

3. WWF-UK should continue with its plans to recruit a procurement manager and ensure that procurement and contracts procedures are followed accurately. WWF-UK should develop a systematic way to evaluate goods and service suppliers with defined indicators to be used across all projects to monitor and report on VFM in line with point 2 above.

"We employed a procurement manager in June 2011. We are currently implementing a new Procurement & Contract Management 'Source2Pay' system. Its 'go live' date for the whole organisation is likely to be October 2012. This system will address concerns over unsigned contracts through strict workflow and entity management in allowing expenditure and contract creation. Increased use of Government Procurement Service Framework Contracts and aggregation of spend is delivering improvements in overall VFM.

"We appointed new Head of Accounting Operations in April 2012. The role is focusing initially on implementing the new purchasing system, and the year-end accounts. Compilation of a Finance Manual will be in the latter part of 2012."

Additional PPA systems to strengthen VFM

A number of systems introduced in *this* PPA are very likely to have improved cost-effectiveness. These systems are:

1. Establishing a design phase for PPA programmes and using this to undertake a situational analysis (biological, social, economic and political). A number of programmes were revised during this phase in order to better meet logframe objectives.
2. Rigorous use of WWF Network Standards of Project and Programme Management for larger programmes (with a lifetime value of £500,000+) that address the need for stakeholder analysis, theory of change and results chains, risk assessment, and monitoring and evaluation (M&E) plans to generate and analyse both qualitative and quantitative data, and ensuring appropriate baseline information is collected. Greater use of the Network Standards has been made.
3. Allocating at least 10% of programme budgets to M&E in programme contracts.
4. Undertaking a critical review of organisational constraints to the successful running of a robust M&E system across all WWF-UK work.
5. Ensuring all UK programme teams are familiar with and actively deploying the WWF Network Standards.
6. Working collaboratively with other WWF Network offices in order to promote good practices in project design and M&E in the Network, and review best practice with other organisations.

Cost-effectiveness metrics

This sub-section together with the sub-section on cost-efficiency metrics above (see 3.4.1) is concerned with the second VFM stage described by Bond (2012): The approaches used to *compare* value for money between activities. We have already noted that programmes have provided limited evidence on this and there are significant challenges in generating reliable and comparable unit cost data on improving CSO commitment and engagement across programmes.

As we have noted in Section 3.4.1, the PPA team must carefully consider:

a) Which activities or outputs are common across PPA programmes and account for a meaningful amount of PPA spend;

b) Whether reliable data and comparable data can be obtained for these key indicators (e.g. by specifying a protocol on how to cost activities such as capacity building);

c) The cost (financial and in terms of what programmes would have to give up due to loss of time) of undertaking this exercise;

d) The potential benefits of being able to compare and explore differences in unit costs within and across programmes. For example, by asking well-informed staff how much the PPA programme could save if the cost of these key activities were reduced by 5%, 10%, 20% etc. with some thought to what best practice might really deliver.

If there is reasonable evidence that this exercise is technically feasible and the benefits are likely to outweigh the costs then the PPA programme should make the investment in developing a core set of cost-efficiency and cost-effectiveness metrics. However, if this is not the case it would be better to focus on quantifying impacts.

Assessing and comparing impact indicators

It should be possible for any programme that reports against the logframe impact indicator 1 (number of beneficiaries) to calculate cost per beneficiary although the Colombia forestry programme is the only programme in the current PPA that has produced this estimate. This metric will be useful for DFID, and is potentially useful for WWF-UK, but is of limited use for any particular programme. This is because variation in population density is the main driver of cost/beneficiary. Consequently, programmes that work in fragile ecological zones with low population densities are very likely to appear "expensive" using this metric. Hence, it is important for WWF-UK to demonstrate *how much* difference a programme makes to the poor as well as the numbers of poor people who benefit.

Evidence from case study interviews suggests that programmes such as PIPAL in Nepal (with interventions such as ecotourism and microfinance) and Rumaki VICOBAs (credit and saving groups) in Tanzania have had significant livelihood benefits. In the very limited time available for field visits in this evaluation we were not able to gather sufficient data to quantify this impact but the programmes should contract consultancy support to do this socio-economic analysis[65].

The Colombia forestry programme has set out linkages between programme outputs, outcomes and initial and expected impacts in the "Changing Lives" case study. This is a very useful basis for estimating livelihood impacts but, as DFID's comments illustrate, this case study fails to demonstrate the significant programme impact that has actually been achieved. Better economic data and analysis is needed to help tell a genuine success story. It is also important to highlight that we are only half way through the current PPA and there are a number of *expected impacts* based on the programme theory of change. So, for example, increased access to clean water has been identified but we do not yet know what health benefits will follow. However, it would be entirely reasonable for the programme to use published data on links between access to clean water and health outcomes in Latin America to indicate the magnitude of expected benefits.

The WWF-UK PPA logframe indicator 2 (km^2 under improved management regimes) helps to balance the fact that areas of low population density have relatively few beneficiaries/pound. However, it is also

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[65] WWF has clear data on number of loans, members, etc. and has a range of very positive testimonials from VICOBA members describing monetary and non-monetary gains but needs further study to elucidate impact.

important to identify *how much* difference PPA intervention has made to the quality of the forest resource as well as the land area covered. WWF-Colombia has developed an indicator that does just this and will provide a better measure to assess VFM than km^2 by itself. We recommend that WWF-UK considers using this basket indicator across relevant PPA programmes and then compares the cost of achieving incremental improvements.

How should WWF-UK approach VFM?

In Appendix 3 to the main report we explain how the "3E" (economy, efficiency and effectiveness) and "4E" (3E + equity) approaches to VFM have arisen. We also show that it is clearly the intention of the Independent Commission for Aid Impact (ICAI) to include the *impact* of programme spending in the assessment of VFM. Unfortunately, a widely-cited Figure from the ICAI 2011 paper did not capture this and the draft WWF guidelines on VFM appear to have drawn on this Figure rather than the document text (see Appendix 3).

This matters because the failure to consider impact/results is a major weakness. For example, the PPA logframe impact statement incorporates policies and practices on ecosystem services and climate change that improve the well-being of the poor. Any assessment of impact will therefore need to cover environmental, social and economic effects. Hence by only considering outputs and outcomes the draft VFM framework presented by Lawrence (2012) will not fully capture environmental, social and economic objectives. If WWF-UK is going to use a 4E model in future it is essential that it incorporates impacts (within effectiveness, for example[66]).

There are clearly many alternative ways of assessing impact and the most appropriate analytical technique may depend on the *purpose* of the impact assessment. So, for example, multi-criteria analysis (MCA) has proved effective in helping communities decide on planning priorities[67]. In the context of PPA VFM, the money has come from the UK taxpayer and there is a need to *demonstrate* VFM to an external audience. This is the third stage of VFM described by Bond (2012). So while the draft WWF guidance on VFM needs to serve multiple users across the WWF Network, programmes will need to use techniques such as cost-benefit analysis to meet the needs of funding bodies such as DFID even if programmes themselves do not find CBA "useful" for their own purposes. For example, Bond (2012) cites four examples of NGO good practice, all of which demonstrate VFM based around impact to an external audience (see Box 1 below).

We recognise that demonstrating VFM for PPA funding to an external audience is costly and may be less important for some other sources of funding across the Network (e.g. from private companies). However, we suggest that WWF-UK makes the case that this element of VFM is a way of strengthening governance and should apply to at least large programmes within the WWF Network.

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[66] The 3E model will also capture equity provided the evaluation covers results, relevance, economy, efficiency and effectiveness. The issue of equity is captured in the assessment of relevance as well as in the results achieved. If a programme is not relevant to the poor and marginalised it should not be PPA funded. The question of who has gained and who has lost from an intervention should be at the heart of the analysis of results.
[67] See for example Brown, Tompkins and Adger (2002), Making Waves: Integrating Coastal Conservation and Development, Earthscan, UK.

Box 1: Approaches being used by UK NGOs to demonstrate value for money

Social Return on Investment studies. International HIV/AIDS Alliance conducted a study on an HIV/AIDS stigma programme looking at the reported returns as perceived from stakeholders in the beneficiary communities. Monetary values for the returns were estimated by the beneficiary groups and measured against costs. Comparison data from communities not covered in the programme was also taken in to account.

Cost Benefit Analysis studies. Oxfam GB conducted a cost benefit analysis as part of a wider evaluation of its G8 advocacy activities. The analysis looks at the human resource and financial expenditure and compared the costs against the outputs and outcomes of particular advocacy activities.

Modelling the impact of a programme though Disability Adjusted Life Years (DALYS). Sightsavers, as part of an evaluation of its childhood cataract campaign in Bangladesh, calculated the total number of Disability Adjusted Life Years lost if surgery was undertaken and compared this with the number lost if no surgery was undertaken. Several different estimates were made and the final results were used to make a value for money case for the efficiency of the programme.

Making a judgement on value for money through evaluation. In its PPA evaluation, Progressio looked at the value for money of their model of deploying development workers to support the capacity development of partners. By analysing the relationship between the costs of deployment and the benefits of the capacity support provided, the evaluation showed the development worker model to offer good value for money.

Source: Bond (2012) p16 accessed as http://www.bond.org.uk/data/files/Value_for_money_-_what_it_means_for_NGOs_Jan_2012.pdf

A further issue raised by WWF-UK is how to compare the likely VFM provided by complex policy programmes with difficult to measure outcomes with simpler programmes that have more easily observable outcomes. While this is a particular challenge for PPA programmes it clearly applies more generally.

There is no simple answer to this question, but we recommend that WWF-UK goes through the following exercise at the same time that a programme theory of change is produced. The aim is to help clarify the likely magnitude of programme benefits and allow these to be compared more easily with costs.

In order to identify likely benefits, WWF-UK needs to answer three questions:

1. What is at stake? (What impacts do we reasonably believe this intervention could have?):
    a. Reducing benefits to a common (economic) dimension is time-consuming, complex and contested. Hence, a rough approach is for WWF-UK to use social, economic and environmental criteria for each programme.
    b. Orders of magnitude need to be defined for each of these criteria, e.g. for social, very high impact might be the livelihoods of 10 million poor people seriously affected and low impact might be fewer than 100,000 poor people and livelihoods not seriously threatened. Impact categories could be VH, H, M, L.
2. What difference does WWF involvement make?
    a. It should be possible to say whether failure to act is likely to delay a policy or intervention by a relatively short time (e.g. a year) or a long time (e.g. 10 years+).
    b. Will someone else do this if we don't?
    c. Using a. and b. above, honestly reflect on whether the importance of WWF in this context is big (B), moderate (M) or small (S).
3. How sure are we that we can deliver?

a. If risks are identified and significant risks can be mitigated, score the programme (CR). If risks do not appear clearly thought out or significant risks cannot be mitigated, score the programme (UR).

The process of reaching a common understanding on these questions should help managers compare "complex" and "simple" programmes. Where disagreement remains we suggest the following scoring system[68]:

i. Take the estimated impact levels VH, H, M, L.
ii. If the projected WWF difference is B, go up one impact level (e.g. H becomes VH). If the WWF difference is M, the impact level is unchanged. If the WWF difference is S, go down one impact level.
iii. Using these adjusted impact levels, if the programme risk is CR, do not make any further change. If the programme risk is UR, reduce the adjusted impact level by one (e.g. M becomes L).

Additionality and added value

Under this PPA, programmes have been given guidance and encouragement to identify the counterfactual in the absence of PPA funding and hence to identify additionality. In practice, progress has been variable and has been limited by the absence of carefully constructed programme Theories of Change.

The CCA policy programme has used a survey of NGO colleagues and government representatives to investigate additionality by asking both groups "What *do you see that WWF brings to the process, if anything, and what would be missing without us there (i.e. do we contribute anything specific or unique that others do not)?*"

While this survey was based on a small sample (5 NGOs where 4 responded, and 9 government representatives where 6 responded), it does provide some useful feedback on what would be the case without WWF (the counterfactual).

One NGOs response was "*If WWF was not there I am not sure 'ecosystems' would be considered in UNFCCC agreements. I think WWF's reputation means wider-CAN-NGO messages get heard too – WWF gives credibility to broader CAN lobbying.*" And one government representative responded "*Environmental Integrity, many other NGOs are looking from a development first agenda, which isn't necessarily best for the climate, whereas I see WWF's role to pursue and advocate for the 'that allows ecosystems to adapt' aspect of the ultimate objective of the convention, which is particularly important for islands. At the same time WWF is a relatively well resourced, organised and large network which can be very helpful to negotiators.*"

WWF-UK and Network partners have invested considerable amounts of time in producing the PPA APR. It presents a comprehensive self-assessment of progress against Outcomes and Outputs (Part A), and includes sections on Results, Value for Money and Relevance (Part B), Lessons learned (Part C), Due diligence and transparency (Part D). It builds on TPR reports submitted by programmes. However, as the feedback provided by DFID on the additionality report and changing lives case studies implies, these achievements could be better articulated with, at times, stronger socio-economic analysis.

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[68] This scoring system is based on experience but is obviously not "scientific" and other weightings would be equally valid.

A number of comments[69] have been made by WWF staff on the PPA Annual Report templates provided. On a positive side, the process has clarified the linkages within the PPA portfolio, has presented learning that has occurred at the PPA portfolio level, demonstrated the value of support from the D&I team and shown improvements in M&E and related adaptive learning. Challenges experienced included a very tight time scale set by DFID that did not encourage reflective learning, the learning section as presented in the template was said to be weak. This may have influenced documentation of effects.

As part of this review, a number of more detailed case studies have been developed, see Annex G. The case studies have been used to assess validity of statements made in the TPR and Additionality Report produced by WWF. While we have been able to use field interviews to test the theory of changes articulated by programme staff in some locations, we have not been able to generate new quantitative evidence on outcomes and impact.

The table in Appendix 2 presents conclusions of case studies against Sections B and C of the APR. One comment that applies across several examples in the PPA Annual Report is the use of the word "beneficiaries". There is a tendency to conflate beneficiaries with more accurate terms which may be programme specific but might include "intended beneficiaries", "potential beneficiaries" "target population", or "community-based organisation members"[70]. In future Annual Reports it is recommended that a more accurate term is used, unless there is strong evidence that the target population has actually benefitted[71]. However, on the whole the PPA Annual Progress Report (May 2012) is a fair representation of achievements under the current PPA.

Overall, our assessment is that without the PPA, WWF-UK would not:

1. Have a portfolio of programmes that focus specifically on the poor. In 2012, this portfolio accounted for approximately 5% of WWF-UK's spend
2. Have given as much emphasis to cross-cutting issues such as gender, learning and ensuring initiatives take into consideration aspects of vulnerability to climate change
3. Re-frame its practice (see for example, Ruaha Water Programme, Boni-Dodori Livelihoods and Forest Project) to respond to complex, multi-level, social-ecological systems)
4. Engage in policy development with development organisations such as Interagency Working Group on Resilience
5. Influence the broader WWF offices involved in these programmes to use PPA approaches. (Funding leveraged by the Colombia, CEA and Brazil programmes for FY2012 accounted for approximately 50% of the entire PPA portfolio spend[72] but changes in staff attitudes and practice – resulting from building capacity to do social analysis, M&E and Learning – are likely to be just as significant)
6. Influence the wider WWF Network through integrating PPA approaches into Network Standards (e.g. Climate Smart guidance).

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[69] During an internal WWF workshop facilitated by an external consultant, Lisa Howes, May 2012.
[70] Sometimes, as in for example, CEA report, an attempt is made to differentiate between direct and indirect beneficiaries but the same concern holds.
[71] Sometimes, as in for example, CEA report, an attempt is made to differentiate between direct and indirect beneficiaries but the same concern holds.
[72] Colombia: PPA funding helped leverage £1,124,119 of match funding for FY12; CEA: PPA funds are being used to leverage an additional £1.6 million from the EC over 5 years for the RUMAKI seascape programme; Brazil: £100,000/year from the Brazilian Energy Sector.

The flexibility of PPA funding and the fact that a number of programmes have received funding across two or more PPAs have also resulted in better programme outcomes than would otherwise have been the case.

Interviews with programme staff in Colombia, for example, make it clear that the huge investment in building local institutions for conflict resolution needed support over five-plus years, which sequential funding from the previous PPA as well as from this provided. Sequential funding over two PPA periods has also been essential for building up credibility with elements of the banking sector in China, and with FOCAC. Significant benefits are now being realised. Similar examples of added value can be seen in PIPAL (Nepal) and CEA programmes. (These are referred to in particular in sections 3.3.3 and 3.3.4 above, and in the Case Studies in Annexe G.)

The flexibility of PPA funding brings added value in terms of:

- Funding innovative (higher-risk) approaches e.g. the China-Africa programme that has been almost entirely funded by PPA (3 & 4). Some elements of the programme would have been funded – the Tanzanian Chamber of Mines believes that it could have found other donors – but the programme as a whole would have been less effective in terms of learning and influence.

- Enabling WWF offices to engage opportunistically and hence most effectively with senior policy makers –e.g. Low Carbon Development in Brazil; China-Africa where PPA funds have allowed WWF to follow up FOCAC discussions with African Ambassadors.

- Protecting investments. For example, the Rumaki programme finished a Phase of EU funding in February 2012 and PPA funding is allowing a continuation of the programme while the EU reviews a submission for a further phase of funding (which looks as though it will be received). PPA funding is allowing this successful programme to continue to deliver benefits and is also helping the next programme phase to avoid significant costs from losing experienced staff and the engagement of communities.

4 CONCLUSIONS

4.1 Summary of achievements against evaluation criteria

4.1.1 Relevance

Under PPA, WWF-UK has used the programme inception phase to encourage programmes to use social analysis. There are a number of programmes that are more representative of and better targeted to the poor than was the case in the previous PPA.

Examples of good practice include the:

- Ruaha Water programme multi-stakeholder approach to identify marginalised groups;
- Boni-Dodori Livelihoods and forest participatory planning with forest communities;
- Lake Naivasha baseline situational analysis disaggregated by age and gender;
- Colombia Forest programme analysis of poverty and gender issues.

Although all the PPA field programmes can demonstrate they are working with poor communities, socio-economic evidence is needed to understand *who* within target communities is gaining and who is losing from programme interventions. The new Colombia forest programme work on gender is a good example. In general, though, this is an area of weakness for WWF-UK PPA programmes and no other evidence on targeting of interventions was available. So, while many (sometimes most) community members in programme communities are poor using international definitions, WWF-UK should only report *all* community members as poor beneficiaries under logframe impact indicator 1 if this is based on some supporting evidence.

This type of analysis can be used to make interventions more pro-poor and better targeted to those most dependent on natural resources[73]. For example, the VICOBA micro-finance component of the Rumaki programme is popular with local communities and it would be very useful to know whether the relatively poor had access to VICOBAs and, if not, what the constraints were and whether these could be overcome.

4.1.2 Effectiveness

WWF-UK has strengthened PPA programme and portfolio monitoring, evaluation and learning since the start of the current PPA. Programmes now have a design phase, are required to produce a robust M&E plan and 12.5% of the programme spend is now allocated to M&E. A new head of D&I has been appointed and the D&I unit has worked closely with PPA programmes during the design phase.

Case study evidence suggests that the *social* aspect of situational analysis is now much stronger. Progress has not yet made been on *economic* aspects of M&E and we believe this is preventing PPA programmes from effectively communicating the difference that DFID funding is making[74].

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[73] As noted elsewhere in the document, WWF – including Rumaki – frequently worka with poor and marginalised communities in remote areas. However, intra-community support to poor sectors is important to promote inclusivity and equity.

[74] This evidence base needs to be holistic (covering social, environmental and economic data) and robust to tell a convincing story. We have found that the PPA team has provided relatively more focus on environmental and social evidence.

An important lesson for WWF-UK is that the PPA3 approach of integrating social and ecological objectives has achieved significant conservation impacts that could not otherwise have been achieved.

Programmes are now required to put a lot of effort into reporting on logframe indicators. This is likely to be a good thing, provided the indicators are strong and the M&E results can be used effectively. Unfortunately, largely due to no fault of WWF-UK, logframe indicators are less useful than they should be.

PPA funding is being used to support learning that improves the capacity of WWF. Evidence for this comes from the introduction of new processes that are designed to strengthen learning as well as from programmes that are focused on learning. These new processes include:

- Improved management for results using an inception phase for PPA programmes, a structured review process for proposals and a tighter performance management tied into contracts;
- Participating in the DFID PPA Resilience Learning Group, the Institutional Effectiveness Learning Group, and the Inclusion Learning Group;
- Producing guidance for the PPA portfolio that is starting to be used more widely within the WWF Network.

The PPA-funded "Learning for Adaptation" programme addresses issues that go beyond CCA. For example, the question of how WWF offices can incentivise reflective learning – to create the space within busy programmes for this to occur. In this sense this programme strengthens organisational capacity as well as producing contextual learning. To date, the evidence of organisational capacity building is relatively modest but includes:

- WWF-Colombia and Nepal learning workshops; and
- A new online platform for sharing PPA lessons.

The AR (2012) provides a good overview of PPA learning that provides contextual knowledge. We have found examples of learning for contextual knowledge in each programme we have reviewed. However, a more challenging question is the extent to which programme performance has improved as a result of contextual learning. Evidence from the Colombia Forestry and Ruaha case studies is encouraging. In Colombia, participatory techniques have been used extensively with communities to develop systems for conflict resolution[75] and programme staff describe a "huge investment in building mutual trust and transparent processes". Learning how to do this (in the previous PPA) has been critical for the success of the current PPA's work. In Ruaha, the programme design has been strengthened by learning from stakeholders within the sub-catchment and from the network of supporting institutions. In general, it is too early to see many examples of how programme performance has improved as a result of contextual learning but we expect these to be documented over the remainder of this current PPA.

As noted by the AR (2012), some of the most innovative contextual learning is emerging within those programmes that are framing their practice around the transformation of complex, dynamic, multi-level social-ecological systems. For example, the PPA-funded Colombia forestry programme's innovative work with indigenous communities to build a framework for conflict resolution to secure improved

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[75] Summarised in "PROCEDIMIENTOS DE WWF-COLOMBIA PARA EL RELACIONAMIENTO CON ORGANIZACIONES ETNICO TERRITORIALES (construyendo legitimidad y confianza), WWF-Colombia, Área de Gobernanza y Medios de Vida Sostenible, Cali, julio 2012.

ecosystems and ecosystem services has led to these systems being used in areas such as health (with other NGO partners in the lead).

Although it is quite early to identify innovation that goes beyond the programme context, there are some promising examples. A 'National Enabling Policy Environment' tool – developed through the WWF/SADC CBNRM Forum and redesigned in work by WWF-Tanzania – appears promising as a means of assessing the policy environment not only for wildlife but also for forestry and fisheries sectors. The "effective forest management index" created by WWF-Colombia provides a holistic measure of socio-ecological health that can potentially be used wherever FSC certification is undertaken.

Much of the work undertaken by WWF-UK outside the PPA aims to build the capacity of partners – CSOs, CBOs, other NGOs, government stakeholders, etc. – to sustainably and equitably manage natural resources in line with their needs and priorities. The PPA provides an incentive for mobilising this partnership work around poor/vulnerable groups. However, the PPA has also had some influence on WWF more generally through revisions to WWF Network Standards.

Examples of successful partnership working under PPA can be found throughout the AR (2012) and our case studies. These include:

- Partnerships to deliver at a landscape level e.g. Nepal, Ruaha, Rumaki and Colombia
- Partnerships to influence national policy and practice e.g. Brazil, China-Africa
- Partnerships to influence international climate agreements e.g. Learning for Adaptation programmes.

In a number of cases partnerships have been built over more than one PPA period and it is not possible to attribute the high value added solely to *the current* PPA. Indeed, an extended period of engagement has been necessary to produce these gains. The effectiveness of partnership arrangements from local to national levels is illustrated by the WWF-Nepal PIPAL programme, which was described by one government official as "being like a government vehicle running on WWF tyres".

Box 2: WWF-Nepal PIPAL and partner collaboration

Collaboration at field office level is supported at Department level by a small Coordinating Committee of senior people from the Departments and WWF which meets very frequently and informally. An (infrequently-meeting) Steering Committee and an Executive Committee provide support for the Coordinating Committee up to Director General level of the two Departments and Country Representative level in WWF-Nepal. What this modality achieves on the ground is that it mobilises the line departments' resources to support PIPAL initiatives. This is both directly via the role of the Office Managers from Forest and NP departments, but also in that Forest and NP staff can be very readily mobilised locally. Thus in the case of community forests, a Forest Officer's input is needed to advise FUGs on their plans, to approve the plans and ultimately to register the forest so the rights of the FUG are legally established.

It is worth noting that WWF PPA work with governments often brings together civil society and government to jointly address social and ecological threats. In contrast, the CSO-government relationship presented in the DFID causal theory of change is antagonistic. While the "push-pull" model is often valid, it is important to recognise that it does not always apply.

The AR (2012) identifies four key strategies that are being undertaken to ensure sustainability of results among PPA-funded programmes. In the light of our own case-study interviews, these claims seem reasonable. We would also argue that the process of strengthening learning within and between PPA programmes – described above – provides a meaningful contribution to sustainability.

4.1.3 Efficiency and Economy

WWF-UK has put in place a number of procurement and management systems, including strengthened monitoring, evaluation and learning under PPA to improve cost-effectiveness. The AR (2012) notes that in terms of contracts initiated or negotiated in FY12, savings identified solely due to improved procurement processes amounted to £377,000. Significant further efficiency gains are expected over the remainder of the PPA period.

Currently, cost-efficiency metrics are not calculated for PPA programmes based on logframe outputs. Our assessment is that a protocol could be put in place to collect data using a common approach for key indicators across programmes. Discussing why cost/output differs across programmes could be a useful learning exercise. However, if this is likely to involve a significant time investment and programmes are not confident about data reliability, it would be better to focus on quantifying impacts.

4.1.4 Results

Faced with an unrealistic deadline for indicators, milestones and targets, the PPA team did what they were asked by DFID but the logframe indicators we now have are far from ideal. The dedication and commitment of the WWF-UK PPA and D&I teams to ensuring programmes introduced M&E systems that would deliver the portfolio logframe has meant that weaknesses in the portfolio logframe indicators have been effectively rolled out to programmes. We believe these problems could have been avoided if DFID had allowed a reasonable time for baseline, milestone and target preparation – for example, six weeks rather than three weeks.

Feedback by DFID on the 2011/12 annual report requires responses in four areas:

1. "Provide an updated version of the year 1 logframe to include achievements against each milestone by the end of July". This has now been done.

2. "Consider any refinements including changes to future milestones and submit a new version of the logframe to start year 2. This should be submitted by end of July and will be the basis of reporting from this point forward". This has now been done.

3. For future reports, take account of the feedback provided on the additionality report and changing lives case studies. In order to address this concern the PPA team needs to encourage and support programmes to undertake better socio-economic analysis, including quantitative analysis[76]. Lack of socio-economic analysis is most obvious in evaluation data but to generate such data, greater attention is required in design and implementation stages. This is likely to require strengthening D&I capacity in this area (perhaps drawing on the capacity for economic analysis that exists within WWF-UK) and, as an intelligent customer, commissioning local researchers to address these issues.

4. For future reports, take account of the feedback above, particularly in relation to disaggregation. As a first step in addressing this feedback, WWF sought clarification from DFID. It was agreed that in relation to WWF's PPA portfolio, providing disaggregated data at the level of portfolio impact would be difficult. Greater disaggregation, however, was required in programme logframes. The feedback also notes that "a very basic starting point could be simply

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[76] At least one large programme, Rumaki, has undertaken Knowledge, Attitude and Perception (KAP) and Household Economic Surveys. But at the time of writing, the results of this work were not yet available.

disaggregating those participating in training or events". In relation to this basic starting point, disaggregation by men and women's participation in training and other events is already occurring within the majority of programmes reviewed (Colombia, Nepal, Tanzania) but to date is not captured in all programme logframes. For example VICOBA groups under Rumaki record members, total savings and total loans according to men and women. Programme logframes need to be revisited to ensure data is disaggregated according to women and girls, men and boys to allow this data to be captured in the PPA portfolio Outcome and Output levels. The logframe for Boni-Dodori project does disaggregate benefits to women and girls, men and boys. The D&I team see gender/disaggregation by women and girls, men and boys as an important aspect of measurement and learning. The logframe for Ruaha is not yet complete but is expected to include this level of disaggregation. For those initiatives that have a conservation education element, or elements relating to schools (e.g. in Nepal and Ruaha Water Programme), it will be especially important to record the number of girls and boys involved.

On the whole, the PPA Annual Report (May 2012) is fair representation of achievements under PPA. It presents a comprehensive self-assessment of progress against Outcomes and Outputs (Part A), and includes sections on Results, Value for Money and Relevance (Part B), Lessons learned (Part C), Due diligence and transparency (Part D). It builds on TPR reports submitted by programmes. However, as the feedback provided by DFID on the additionality report and changing lives case studies implies, these achievements could be better articulated with stronger socio-economic analysis.

4.2 Summary of achievements against rationale for PPA funding

Relevance: Stronger social analysis and better targeting – see 4.1.1.

Effectiveness: Improvements to M&E and Learning. A number of examples of excellent partnership work – see 4.1.2.

Efficiency: New procurement and management systems resulting in improved cost-efficiency – see 4.1.3.

Results: On the whole the PPA Annual Report (May 2012) is fair representation of achievements under PPA.

In summary, the Annual Report Outcome Indicator results were:

- Outcome indicator 1.1) 640 CSOs/CBOs, and other multi-stakeholder management regimes have strengthened capacity to sustainably use/manage natural resources, against a milestone of 662. 1.2) 104 effective natural resource management plans have been implemented and enforced, including 31 new plans this year, against a milestone of 117. 1.3) 39 local and national policies and plans with allocated resources that support improved regimes for the community, collective or co-management of natural resources against a target of 39.

- Outcome indicator 2.1) Level of Engagement Tool scores show that levels of engagement of civil society groups with key decision makers (government and other) to advocate for policy frameworks and practices related to adaptation, REDD+ and LCD, that are climate-smart, environmentally sustainable and designed to secure/improve the well-being of women and men living in poverty is on track. 2.2) Levels of commitment and action by government/other key decision makers towards policy frameworks and practices related to adaptation, REDD+ and LCD

are climate-smart, environmentally sustainable and designed to secure/improve the well-being of women and men living in poverty is on track.

- Outcome indicator 3.1) Commitment and Action Tool shows better than expected progress in terms of 'Levels of commitment and action by banks, and multi-lateral financial institutions to incorporate climate-smart, social and environmental best practices into their policies'. 3.2) Progress has met or exceeded targets for 'Levels of Commitment and Action by governments to ensure that social, environmental and climate-smart standards are integrated into development planning, trade and investment strategies'. 3.3) Likewise, progress has met or exceeded targets for 'Levels of commitment and action by local and international companies to incorporate climate-smart, social and environmental best practices into their policies and practices'.

As noted in 3.5.2, our assessment is that without the PPA, WWF-UK would not:

1. Have a portfolio of programmes that focus specifically on the poor. In 2012 this portfolio accounted for approximately 5% of WWF-UK's spend.
2. Give as much emphasis to cross-cutting issues such as gender, learning and ensuring initiatives take into consideration aspects of vulnerability to climate change.
3. Reframe its practice (see for example, Ruaha Water Programme, Boni-Dodori Livelihoods and Forest Project) to respond to complex, multi-level, social-ecological systems).
4. Engage in policy development with development organisations such as Interagency Working Group on Resilience.
5. Influence the broader WWF offices involved in these programmes to use PPA approaches. Funding leveraged by the Colombia, CEA and Brazil programmes for FY2012 accounted for approximately 50% of the entire PPA portfolio spend[77], but changes in staff attitudes and practice (resulting from building capacity to do social analysis, M&E and Learning) are likely to be just as significant.
6. Influence the wider WWF Network through integrating PPA approaches into Network Standards.

The flexibility of PPA funding and the fact that a number of programmes have received funding across two or more PPAs has also resulted in better programme outcomes than would otherwise have been the case.

4.3 Summary of problems and issues encountered in this evaluation

Section 2.2 above mentions a specific issue around access to field data and also the broader issue of time constraints limiting the depth of investigation that was possible. Something which struck both of the team members who undertook field visits was that once 'locked in' to a (necessarily) tight itinerary the scope for exploring questions which might have involved a diversion from this – or even meeting with people other than project beneficiaries[78] – was seriously limited. This should not be taken to imply that WWF staff were (for the most part) anything but open in their response to questions: we also found them keen to take feedback as well as ready to engage in discussions around (for example) issues relating to poverty-focused development in general.

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[77] Colombia: PPA funding helped leverage £1,124,119 of match funding for FY12; CEA: PPA funds are being used to leverage an additional £1.6 million from the EC over five years for the Rumaki seascape programme; Brazil: £100,000/year from the Brazilian Energy Sector.
[78] See Section 3.1.2 above for a note of caution about use of the term 'beneficiary'.

WWF-UK has been undergoing a strategic review, some elements of which overlapped in terms of timing with PPA review activities. Despite this, WWF-UK staffed contributed their ideas and time, and were helpful throughout.

4.4 Overall impact and value for money of PPA funded activities

The overall impact of PPA WWF-UK activities has been summarised in Sections 4.1 and 4.2. With this in mind, and using the VFM criteria proposed by Bond (2012), we would summarise value for money of the WWF-UK PPA as follows:

The systems and processes in place for managing value for money

This is an area in which WWF-UK has good evidence and can demonstrate a strong track record over *this* PPA.

The approaches used to compare value for money between activities

Programmes have provided limited evidence on this and there are significant challenges in generating reliable and comparable unit cost data on improving CSO commitment and engagement across programmes. We are therefore unable to assess this aspect of WWF-UK PPA VFM.

The use of evaluations to demonstrate value for money

Rigorous evidence of impact (quantitative evidence in general and economic evidence in particular) is relatively weak. Work to introduce programme theories of change is underway but cannot yet provide evidence to support evaluation. These factors tend to obscure genuine programme achievements and significant results. Nonetheless, case study evidence generally supports the findings reported in the 2012 Annual Review and Additionality Report. Hence there is a value for money story to tell and WWF-UK simply needs to commit to *demonstrating* this more effectively[79].

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[79] WWF-UK make the point that it deliberately chose not to prioritise demonstrating VFM using techniques such as CBA in the first year of PPA3, but that work is planned in this area.

5 UTILITY

Throughout the review, the team has worked in close contact with WWF, particularly with the PPA Manager and the PPA Reporting Manager (who we noted was proactive in maintaining contact), but also with the WWF-UK Programme Managers of the particular projects included in the Review.

The Review Team reported to a Technical Group in WWF-UK, chaired by the Deputy Director of Programmes, which met monthly, in late July, late August and late September. This last meeting was largely given to the Technical Group's response to a first draft of the Review Report.

Only one of the WWF-UK Programme Managers of the projects included in the Review sat on the Technical Group, so contact with the managers took place outside the group and was substantial. Managers facilitated and took part in skype/phone meetings between team members and WWF staff in Brazil, Nepal and Colombia, but also helped team members navigate their way through documentation, provided background to their projects and to local WWF offices in preparation for field visits, and discussed issues relating to this (such as ToC models adopted by the projects).

An important discussion on the PPA portfolio logframe took place with the PPA Manager at an early stage of the Review. This has been covered in Section 3.1.1.

A workshop was held during the final week of the review, with participation of the Review team and WWF-UK people (the Technical Group, project managers and members of the D&I team). This had the purposes (a) to enable WWF-UK to feed back to the reviewers so they could finalise the evaluation report and its recommendations in the knowledge of points of clear consensus and/or of disagreement about their findings, and (b) to begin the process within WWF-UK of determining how the organisation can respond to the Review recommendations.

Country programme staff had the opportunity to feed back on the case studies and in some cases were able to correct errors or misunderstandings on the part of the reviewers. The Review Team were keen that this process should take place, since they felt that the response of country programme staff to their work and presence had in general been very generous.

6 LESSONS LEARNED

The APR highlights a number of areas in which WWF recognises that lesson learning has taken place. These take place at a number of levels, from the project to the PPA level. As highlighted by WWF PPA team themselves:

"The PPA portfolio for WWF includes a rich and diverse set of programmes focusing broadly on four interlinked practice areas (and with some focusing on more than one area):

- *policy influencing (five programmes);*
- *integrated (social-ecological) adaptation approaches in specific landscapes (three programmes);*
- *transforming complex, dynamic, multi-level social ecological systems (three programmes); and*
- *Cross-cutting themes (climate smart, learning for adaptation, REDD+ learning, resilience, gender, poverty & environment).*

These practice areas touch most parts of the WWF organisation, making for diverse interconnections and routes for wider learning and innovation."

In broad terms, this review agrees with this self-assessment, and further examples of learning are provided in Section 3.3 above. In this section, we highlight lessons of relevance to WWF and DFID that have arisen from the current PPA to date.

A strength of WWF's PPA portfolio is its ability to work at a number of levels, from the community to the policy level allowing them to bring lessons learned from practice for debate at the policy level. In addition, WWF demonstrates strengths of working with partners, governmental and non-governmental to influence policies. Examples of lessons learned by WWF are given below.

We believe there are high-level lessons for DFID from this PPA, given DFID's commitment to climate proofing the UK aid programme and ensuring that the International Climate Fund (ICF) is:

- *"Helping the poorest people adapt to the effects of climate change on their lives and livelihoods*
- *Helping poor countries develop in ways that avoid or reduce harmful greenhouse gas emissions and enabling millions of people to benefit from clean energy*
- *Protecting the world's forests and the livelihoods of the 1.2 billion people who depend on them*
- *Encouraging global action on tackling climate change.[80]"*

Successful community-based natural resource management (CBNRM) is now particularly important in delivering resilience and adaptation to CC for the poor (who are most likely to be dependent on forests and threatened by the loss of provisioning and regulating ecosystem services). The successes of PPA-funded programmes in Colombia, Nepal, Tanzania and Kenya illustrate a genuine competitive advantage of WWF-UK in delivering innovative CBNRM that improves livelihoods and ecological outcomes. While this has direct relevance to DFID's broader climate change work, there is a need to find effective ways of communicating these lessons to DFID.

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[80] http://www.dfid.gov.uk/what-we-do/key-issues/climate-and-environment/

6.1 Policy level

Examples of lessons learned about the operating policy environment for a number of programmes are given below. Some broad lessons affecting a number of programmes working to influence policy are:

- The value of working in coalition and investing in coalitions
- The need for policy analysis and a good understanding of core policy to identify entry points and respond to the specifics of a particular policy context
- Flexibility to be able to take advantage of emergent policy opportunities and to address changing external dynamic or outcomes
- The value of long-term funding to enhance the building of strategic relationships

China-Africa

- The potential size of the policy environment as it relates to Chinese investment in Africa. WWF has recognised the need to be realistic about what can be achieved and to balance a need to focus on thematic and geographically defined areas while responding to opportunities as they arise.
- The sensitivity of the political environment in China. The WWF China team has worked quietly but steadily to build up trust and credibility with both government and financial institutions. In working with the Chinese government, WWF highlights that informal networks are as important as formal in bringing about changes in government thinking and policy. In both Africa and China, policy debate often requires considerable discretion and a down-playing of WWF's role.
- WWF's position is strong, in that it has come to be regarded by Chinese agencies as a conduit for facilitating their access to the international development community (INGO and bilateral donors). As importantly, in a synergic way, WWF has been able to facilitate international agencies (including DFID) in approaching Chinese counterparts.
- Chinese delegations are sensitive to what might be seen as Western imposition. As such, although international standards such as the IFC Standards are valuable as a benchmark, they are unlikely to be adopted by the Chinese government without adaptation.

Ruaha Water Programme

- National policy can contain contradictory goals. The national drive to increase agricultural production may have considerable downstream effects on other national priorities, such as electricity generation. Bringing multiple stakeholders together has the potential to highlight these contradictions and influence national policy.

Rumaki and CEA

- Despite the formation of Beach Management Units (BMUs) being supported by national policy, interest at national level focuses on large-scale commercial fisheries. Engagement on issues relating to artisanal fisheries is therefore of lower priority to national government. By providing examples of local marine management by BMUs, WWF and its partners have the building blocks to debate and influence fisheries policy at the national level.

- Certification of harvested products can bring benefits to producers and the environment where products are destined for European markets. However, certification brings few benefits from products destined for Asian markets.

Promoting climate-smart, low carbon development in Brazil

- The Brazil team highlights its learning about the value of engaging in coalitions for policy influencing. An important lesson (noted in the July 2012 TPR) is the extent to which working in networks can be effective in 'magnifying impacts' on policy. This has been learned particularly through the Brazil Climate Change and Energy (CC&E) team's involvement with the Climate Observatory and the REDD Observatory[81]. These represent a wide range of interests and add legitimacy to background material and policy 'asks' produced by individual members. Coalitions are thus crucial to policy influencing. However, considerable time and investment is needed in developing relationships within coalitions, so these relationships should be 'strategically aligned with policy priorities'.

6.2 Sector level

At sector level, WWF has considerable experience of CBNRM across a variety of sectors, and a number of common lessons are beginning to emerge. Key among these is the necessity of "getting the right process" and "getting the process right".

Getting the right process involves issues at a number of levels: understanding the opportunities and constraints presented by national policy, developing partnerships with government and non-government agencies to build on the strengths of each partner, developing a thorough understanding of context from a number of different perspectives including crucially, community and intra-community viewpoints. It also includes how to address and consider climate change threats, vulnerability and uncertainty as part of effective decision-making.

Commonalities across sectors in policy analysis, and learning from and measuring progress in practice, are reflected in a number of cross-sector tools developed or undergoing development. These include the "barometer tool" for analysing policy including policy on community co-management of fisheries, forestry and wildlife (under development), the Commitment and Action towards Change tool, the Level of Engagement tool, and the Climate Smart tool. A number of further lessons specific to sectors are given below.

Water Resource Management

- Technical and non-technical solutions are required. This will require the involvement of a large number of diverse partners and perspectives.
- There is the recognition of the importance of group dynamics underpinning social learning processes.
- Process monitoring and documentation is important to enhance credibility and transparency in a programme that is responsive to stakeholder input.
- The need to identify private sector interests and to develop methods of engagement specific and appropriate to the private sector.

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[81] These are policy / NGO / academic fora: see also the Brazil Case Study in Annex G.

- Climate change means we need to effectively address future threats and vulnerabilities, as well as current issues.
- Climate change capacity is needed at multiple levels to ensure opportunities to embed climate change into strategic policy and legislation can be realised and joined up.

Community management of common resources – water, forest, areas of conservation value

- Sustainability, including financial sustainability, needs to be built in from an early stage – Rumaki, for example, understands that this will be critical for future sustainability.
- Livelihoods components cannot be an "add-on" but must be based on clear market and contextual analysis and the needs of poor people and a well-defined purpose.
- Although projects and programmes with a conservation goal often work in areas of geographical isolation with marginalised communities, initiatives at the community level need to be equitable and inclusive to be sustainable. This requires an understanding of, and mechanisms to reach, the poor within societies.
- The investment in building mutual trust and transparent processes with communities and other partners is long term and requires more than one three-year funding period.
- Understanding and addressing climate change with local communities in an inclusive and participatory way can reduce vulnerability and help build adaptive capacity and resilience of people and their resource base.

6.3 PPA fund level

At the PPA fund level, the Network Standards refer to WWF's Policy on Poverty and Conservation: "*WWF's Policy on Poverty and Conservation (2009) reaffirms WWF's commitment to embrace a pro-poor approach to conservation to strive to find equitable solutions for people and the environment and making special efforts to enable local people to play a key part in crafting solutions for sustainable development.*"

PPA funding has facilitated the actualisation of a pro-poor approach to conservation and provided practical lessons from practice. A generic lesson is that unless efforts are made to include the poor and marginalised, then by definition they are likely to be excluded. A number of changes were made following the last PPA evaluation (see Section 3.3 above). These include situational analyses for larger projects, an emphasis on M&E and learning, and a need to demonstrate impact on poor people and the environment, value for money. Examples of such learning from specific programmes are as follows:

- Avoiding the imposition of WWF's agenda but working with communities to find a joint agenda that will potentially bring benefits for the poor and conservation (e.g. conflict resolution for indigenous communities in Colombia). This may require bringing in outside expertise beyond WWF's core remit (Forest conservation projects in Kenya).
- Where multiple stakeholders are involved, measures to support weaker stakeholders to voice their experience and opinions allows such voices to be heard (Ruaha, Colombia Forest).
- In payment for environmental services, directing payments to women household members can channel payments more directly at family well-being (Brazil)
- Models for revolving funds, savings and credits may need adaptation to reach the poor (Nepal).

Over the course of PPA funding, over and beyond the current PPA, a number of further lessons are identified.

- The need for robust M&E to encourage internal learning and provide accountability to donors
- The value of sound design and the allocation of time for this process, especially where other stakeholders are involved
- The recognition by the WWF-UK PPA team of the scope for PPA programmes and the portfolio as a whole to use Theory of Change (ToC) more effectively to articulate, discuss and challenge the thinking and assumptions behind proposed initiatives.

6.4 Organisational level – management, design, implementation

As stated by the Colombia PPA team, "*Learning is starting to become more systematic with the objective of producing a learning system that will influence the whole of the WWF-Colombia programme, not just the PPA.*" And, as noted above, the PPA-supported interventions include areas that touch on WWF's main areas of work. As such, PPA funding is supporting learning that improves the capacity of WWF. Evidence for this comes from the introduction of new processes that are designed to strengthen learning as well as a number of programmes[82] that are focused on learning.

Over at least two PPA funding cycles, the PPA has also had some influence on WWF more generally through revisions to the WWF Network Standards[83]. WWF-UK has gained experience in designing and implementing M&E that has been shared with the rest of the WWF network. By working collaboratively with WWF Network offices and external institutions to promote good practices in project design and M&E, review best practice and allocate sufficient funds, WWF-UK is seen as a network leader in this area.

Although not directly attributable to the PPA, WWF-UK's new strategy makes a commitment to poor and marginalised people as a core value, and highlights WWF's internal policies relating to indigenous peoples, poverty and conservation, and gender. In addition, as part of WWF's 50th anniversary celebration, a presentation made to parliamentarians, civil servants and the media included a focus on WWF's work on poverty and the environment.

When the findings of this report were presented at a workshop with WWF-UK, participants felt that a number of the recommendations had implications for WWF-UK or the Network and that it would be useful to explore these broader implications. This, however, would require a separate piece of work.

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[82] For example, REDD+ Learning; Climate Change adaptation, policy and mainstreaming at UNFCCC.
[83] This documents outlines what is required in terms of the project cycle for WWF initiatives.

7 RECOMMENDATIONS

General recommendations

1. There is a weakness in programme evidence that explains how benefits from interventions are distributed within communities and that quantifies the level of benefits attained. In order to address this concern the PPA team needs to encourage and support programmes to undertake better socio-economic analysis, including quantitative analysis. Although a number of newer interventions show good understanding of socio-economic analysis, further work is needed on quantitative aspects. This is likely to require strengthening D&I capacity in this area (perhaps drawing on the capacity for economic analysis that exists within WWF-UK) and, as an intelligent customer, commissioning local researchers to address these issues.

2. There are clearly many alternative ways of assessing impact, and the most appropriate analytical technique may depend on the *purpose* of the impact assessment. So while the draft WWF guidance on VFM needs to serve multiple users across the WWF Network, programmes will need to use techniques such as cost-benefit analysis to meet the needs of funding bodies such as DFID even if programmes themselves do not find CBA "useful" for their own purposes. It is therefore recommended that WWF-UK develops or accesses skills in cost-benefit techniques.

3. There is a tendency to conflate beneficiaries with more accurate terms which may be programme specific but might include "intended beneficiaries", "potential beneficiaries", "target population", or "community-based organisation members". In future Annual Reports, it is recommended that a more accurate term is used, unless there is strong evidence that the target population has actually benefited.

4. The WWF-UK PPA team recognises there is scope for PPA programmes and the portfolio as a whole to use Theory of Change (ToC) more effectively. There are currently quite different definitions of ToC in use across programmes, as a tool for the learning adaptation workshops and as used by the Colombia Forestry programme, for example. As tools for results-based management these are limited by the failure of the former to include assumptions and by the focus on problems rather than solutions in the latter. To produce an effective tool for results-based management we strongly recommend using a guide such as The Community Builder's Approach to Theory of Change: A Practical Guide to Theory Development, by Andrea A. Anderson. Washington, D.C.: The Aspen Institute, 2005. Vogel (2012) provides a very useful review of the ToC literature that any WWF-UK PPA guidance should also draw on.

5. In feedback on an earlier draft of this report, WWF-UK asked the question how programmes can judge where investment in learning was most likely to result in improved performance. Our view is that programmes can help answer this question by developing a good theory of change as the ToC helps identify where investments in learning are most urgent or likely to be most productive. It is recommended that Theories of Change are developed and these include an identification of priority learning areas.

6. A concern that was raised in the previous PPA evaluation was an apparent lack of research when embarking on new projects with communities. We recommend that PPA-funded programmes continue to commit to undertaking a minimum level of socio-economic and technical research before introducing community-based projects. This might simply be confirming that

knowledgeable local specialists had been consulted or that a one to two day literature review had been undertaken (which could be supported by PPA staff).

7. Concerning cost-efficiency metrics, the PPA programme should consider whether reliable data could be obtained by specifying a protocol on which activities should be costed, and then calculating the cost of getting improvements in scores. Discussing why these differ could be a useful learning exercise for the programmes. However, if this is likely to involve a significant time investment and programmes are not confident about data reliability, it would be better to focus on quantifying impacts. Therefore the PPA programme should make an assessment as to whether cost-efficiency metrics are likely to be meaningful.

8. The approach to VFM taken by WWF-UK should include programme impacts as well inputs, outputs and outcomes in order to adequately capture environmental and social effects. This implies re-stating the "4E" model set out in the draft VFM paper. Using the "Relevance" criteria and then a standard "3E" approach may be just as good.

9. It is likely that programmes working in fragile ecological zones with low population densities will appear expensive using the "cost/beneficiary" metric. Hence, it is important for WWF-UK to demonstrate how *much* difference a programme makes to the poor as well as the numbers of poor people who benefit. Indeed, evidence from case study interviews suggests that Programmes such as PIPAL in Nepal (with interventions such as ecotourism and microfinance) and Rumaki VICOBAs (credit and saving groups) in Tanzania have had significant livelihood benefits. In the very limited time available for field visits in this evaluation we were not able to gather sufficient data to quantify this impact, but the programmes should contract consultancy support to do this socio-economic analysis.

10. The WWF-UK PPA logframe indicator 2 (km^2 under improved management regimes) helps to balance the fact that that areas of low population density have relatively few beneficiaries/£. However, it is also important to identify how much difference PPA intervention has made to the quality of the forest resource, as well as the land area covered. WWF-Colombia has developed an indicator that does just this and will provide a better measure to assess VFM than km^2 by itself. We understand that WWF-UK is considering using this basket indicator across relevant PPA programmes. We recommend this indicator is used and that WWF-UK then compares the cost of achieving incremental improvements across programmes.

11. The WWF policy on carbon budgeting also has implications for the effectiveness of PPA. There is a trade-off between the genuine commitment to reducing carbon emissions and the need for staff and consultants to have face-to-face time (and to understand the country context) in order to work most effectively. To ensure that PPA is delivered effectively, WWF-UK needs to treat carbon expenditure similarly to financial expenditure and look for value for money. The benefits of travel for PPA delivery in terms of environmental gains should be taken into account when allocating carbon miles – ideally in a transparent way.

12. WWF-UK has raised the issue of how to compare the likely VFM provided by complex policy programmes with difficult to measure outcomes with simpler programmes that have more easily observable outcomes. There is no simple answer to this question, but we recommend that WWF-UK goes through the scoring process we have set out to systematically consider: What is at stake? What difference does WWF involvement make? How sure are we that we can deliver?

Recommendations to DFID

1. DFID should allow adequate time for logframe preparation – there is a high cost of forcing programmes to meet a three-week deadline.

2. There are very considerable benefits from enabling trust and complex CBNRM institutional arrangements and engagement with policy makers and institutions to be developed over five-year plus periods. WWF-UK has received funding through the PPA over three and half cycles to date. This has contributed to the achievements described above. It is recommended the DFID considers funding arrangements of greater than three years.

3. DFID should consider continued engagement with WWF for mutual learning in areas in which WWF has built up considerable experience: Climate Change Adaptation, Modalities of working with Chinese agencies, Multistakeholder engagement.

4. Where DFID is able to identify PPA grantees with particular strengths (e.g. from this evaluation), there is an opportunity to support peer-to-peer learning led by champions in various areas.

APPENDIX 1: Detailed comments on the WWF-UK PPA logframe

IMPACT	Impact Indicator 1	Comments
Improved polices and practices, sustain or restore ecosystem services, and tackle climate change to secure and/or improve the wellbeing of women and men living in poverty.	Number of poor women and poor men directly benefiting from initiatives that have improved ecosystems and ecosystem services in WWF's priority landscapes.	It is good to monitor the number of beneficiaries but you rely on evaluation to demonstrate the improvement in wellbeing. However, this requires evidence from the programmes that is often lacking. For example, the indicator refers to "directly benefiting" but it is unclear how benefits are measured. The assumption appears to be that being within a geographical area or being in a Beach Management Unit brings benefit. The supporting narrative is better for some programmes/projects than others. E.g. Ruaha under Impact 1.1 details spreadsheet does describe benefits expected but not Nepal. Also are all those who benefit poor?
	Impact Indicator 2	
	Number of km^2 under improved management regimes and/or with reduced threats as a result of improvements in policies and practices.	A good indicator but does not need "as a result of improvements in policies and practices"
	Impact Indicator 3	**Comments**
	Number of policies and practices adopted and/or strengthened to incorporate concepts of, and/or instruments for delivering, environmental sustainability, poverty reduction, and/or climate smart as a result of WWF's engagement.	This is really an Outcome indicator as improved policies & practices should lead to improved wellbeing. Measuring the number of policies does not tell us whether these will have a big or small effect on many or few people.

OUTCOME 1	Outcome 1 Indicator 1	Comments
Communities are safeguarding the ecosystems and ecosystem services upon which they and others depend in an equitable and adaptive manner.	Number of CSOs/CBOs, and other multi-stakeholder management regimes with strengthened capacity to sustainably use/manage natural resources.	The problem with measuring the number of CSOs, plans and policies is that it does not tell us whether communities are safeguarding ecosystems. These must at least be supplemented by measures of CSO capacity built (as in Outcome 2) and effectiveness of management plans.
	Outcome 1 Indicator 2	
	Number of effective natural resource management plans implemented and enforced.	Consider using:
		% of programme area covered by NR management plans judged to be effective by stakeholders.
	Outcome 1 Indicator 3	
	Number of local and national policies and plans with allocated resources that support improved regimes for the community, collective or co-management of natural resources, as a result of WWF engagement.	% of population in programme areas covered by local and national policies and plans with allocated resources that support improved regimes for the community, collective or co-management of natural resources, as a result of WWF engagement

OUTCOME 2	Outcome 2 Indicator 1	Comments
Policy frameworks and practices relating to adaptation, REDD+ and low carbon development are climate smart, environmentally sustainable and designed to secure and/or improve the well-being of men and women living in poverty.	Levels of engagement of civil society groups with key decision makers (Government and other) to advocate for policy frameworks and practices related to adaptation, REDD+ and LCD, that are climate smart, environmentally sustainable designed to secure/improve the well-being of women and men living in poverty.	This indicator is a powerful measure of an Output or intermediate Outcome on the way to securing improved policy frameworks. Consider replacing Output 1 with this indicator. It would be better to find criteria that allow you to judge whether major policy frameworks and practices relating to adaptation, REDD+ and low carbon development are climate smart and are designed to secure/improve the wellbeing of the poor.
	Outcome 2 Indicator 2	
	Levels of commitment and action by Government/other key decision makers towards policy frameworks and practices related to adaptation, REDD+ and LCD are climate smart, environmentally sustainable and designed to secure/improve the well-being of women and men living in poverty.	This indicator is a powerful measure of an Output or intermediate Outcome on the way to securing improved policy frameworks. Consider making this the main indicator for Output 2

OUTCOME 3	Outcome 3 Indicator 1	Comments
Government and private sector policies, practices and priorities relating to investment in infrastructure and natural resource extraction/use are climate-smart, environmentally sustainable, designed to secure and/or improve the well-being of women and men living in poverty.	Levels of commitment and action by banks and multilateral financial institutions to incorporate climate smart, social and environmental best practices into their policies.	The targets measure whether priorities and policies have changed. Not clear how the capacity assessment tool can tell us whether the policies are climate smart, sustainable or designed to secure well-being of the poor. Projects differ on how specific they are in what they expect to happen – this appears to reflect how established the intervention is. E.g. CEA shrimp is rather vague
	Outcome 3 Indicator 2	
	Levels of commitment and action by Governments to ensure that social, environmental, and climate smart standards are integrated into development planning, trade and investment strategies	Who assesses whether targets have been met? Is there external verification?
	Outcome 3 Indicator 3	
	Levels of commitment and action by local and international companies to incorporate climate smart, social and environmental best practices into their policies and practices	Who assesses whether targets have been met? Is there external verification?

Outputs: general points

It is surprising that there is only 1 Output per Outcome. For example, for Outcome 1: *Communities are safeguarding the ecosystems and ecosystem services upon which they and others depend in an equitable and adaptive manner* – there is only one Output: *Communities have received WWF training and/or have participated in processes for the equitable and adaptive safe-guarding of ecosystems*. The Output actually comprises of 2 components: i) training, ii) participation - but in ii) is unclear how this facilitated. We would have expected outputs such as a) analysis of the ecosystem in terms of biological functions, ii) analysis of dependency on ecosystem by local people, iii) development/adaption of suitable local level structures, iv) training, v) handover, etc. (some of these steps may not be covered as they have been included in previous phases. However we would still expect more than training).

OUTPUT 1	Output Indicator 1.1	Comment
Communities have received WWF training and/or have participated in processes for the equitable and adaptive safe-guarding of ecosystems.	Number of initiatives established that are enhancing and/or diversifying people's livelihoods.	Suggest using Outcome 2 Indicator 1 here[84]. If you stick with the current indicator, how can we know whether the number of initiatives is meaningful? See general comment above. Why not use % of communities or people covered by such initiatives?
	Output Indicator 1.2	
	Number of trainings conducted and/or facilitated with CBOs/ CSOs, collaborative or joint management regimes on pro-poor adaptive ecosystem (or climate change) management.	
	Output Indicator 1.3	
	Number of trainings conducted and/or facilitated with CBOs/CSOs to engage in advocacy and/or watchdog functions relating to pro-poor environmental sustainability.	

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[84] The draft logframe review by Coffey in March 2011 highlighted the need for WWF-UK to ensure that Outputs and associated indicators could be delivered directly by their PPA. This led to WWF-UK making Outputs and associated indicators less demanding. Our assessment is that in trying to address this concern, Output indicators (but not the Output statements themselves) have been made less useful than they could be.

OUTPUT 2	Output Indicator 2.1	Comment
Policy frameworks and practices relating to adaptation, REDD+ and low carbon development that are climate-smart, environmentally sustainable and pro-poor, are identified, advocated and/or supported by WWF/partners. 35%	Amount (quantitative and qualitative) of information and lessons shared, and pro-poor tools and approaches developed and promoted.	Suggest using Outcome 2 indicator 2 here. This is a much better indicator for the stated Output than the number of pro-poor approaches as these might only reach a small % of the poor in programme areas.
	Output Indicator 2.2	
	Number of civil society groups/other influential actors in decision making processes related to adaptation, REDD+ and LCD processes engaged with/by WWF.	A reasonable indicator if your ToC can link a given target number of influential actors to achieving improved policy. It is also important to ask whether it would be acceptable to meet these targets from a sub-group of programme countries as this might leave most of the poor people in the programme areas without improved policies. Could have targets for % of programmes that make progress in this area.

OUTPUT 3	Output Indicator 3.1	Comment
Climate smart, socially and environmentally sustainable policies and practices for public/private actors investing in infrastructure and natural resource extraction/use, are identified, advocated and/or supported by WWF & partners.	Amount (quantitative and qualitative) of information and lessons shared, and pro-poor tools and approaches developed and promoted.	As for Output 2
	Output Indicator 3.2	
	Numbers of influential actors and/or other key decision-making bodies engaged with/by WWF.	

APPENDIX 2: Summary Comparison of Case Studies and Verification of APR

	Annual Review Process and Report		Additional comments from Case Studies		Overall Conclusions
Programme /Project	Part B – Results & Value for Money, Relevance	Part C – Lessons Learned	Results & Value for Money, Relevance	Lessons Learned	
Colombia: Building resilience in forest ecosystems	During FY12, PPA funding helped leverage £1,124,119 of match funding from other funding sources (i.e. not administered by WWF) for supporting the delivery of results by WWF-Colombia, more than doubling the amount received from WWF-UK for FY12. This was achieved through close partnership working, for example with public environmental authorities.	It recently articulated the inquiry: "how can we work effectively with socio-ecological coupling, given the complex and dynamic nature of social ecological systems?" Such programmes are not only innovating in terms of their own practice, but also working with and integrating many of the cross-cutting programme themes (climate smart, learning for adaptation, resilience,gender, poverty & environment) in the process.	Programme work with communities has led to investment in management planning by municipalities, regional authorities or national parks. Moreover, funds from other donors (including the MacArthur Foundation and EU) have been leveraged from PPA funding.	PPA analysis of the role of women and children extends work begun in the previous PPA. This is important as introducing forest management plans typically produces gains in timber income (accruing to men) but may affect the access of women and children to forest resources. It is likely that the approach to gender in this programme will provide learning that is very useful for other PPA programmes and for WWF more generally.	Case study evidence confirms the claims made in the self-assessment. The evidence base could, however, be strengthened. Firstly, impact evaluation would be strengthened by a carefully designed longitudinal study to monitor how changes in forest management, affects different sections of the community. Secondly, analysis of the social and economic costs avoided by adaptation in at least one community should be possible.
Ruaha Water Programme (Tanzania)	Progress has been made towards the establishment of a new 'composite' initiative in Ruaha, Tanzania, where a social learning methodology is being piloted .	The Freshwater programme has been involved in a process of rapid learning about social learning practices, as a basis for its multi-stakeholder, 'learning by doing' approach both in the Naivasha Basin where the focus is on climate change adaptation and in the Great Ruaha River catchment.... The team is already recognising the importance of group dynamics underpinning social learning processes. It is also learning about process monitoring.	Most progress at this early stage of implementation has been made in agreeing an approach and at Output level	A highly successful multistakeholder workshop has been held. A lesson from the workshop and preparatory phases is that engagement with the private sector is likely to require approaches tailored to the specific constraints of the private sector.	The APR uses the Ruaha Water Programme to provide examples of learning with stakeholders and sound stakeholder analysis. This would appear appropriate.

	Annual Review Process and Report		Additional comments from Case Studies		Overall Conclusions
Programme /Project	Part B – Results & Value for Money, Relevance	Part C – Lessons Learned	Results & Value for Money, Relevance	Lessons Learned	
Tanzania: Rumaki	The APR states that 25 BMUS have strengthened their capacity to sustainably manage coastal resources.	The APR states that the CEA programme has been able to highlight some very specific lessons, such as the value of women only mariculture projects and long-term investment prior to scaling up in the Rumaki sustainable fisheries programme	5 BMUs visited as part of case study development. In this sample, BMUs had a strong vision, strategy and were undergoing management activities. As noted in the APR, challenges remain in financial sustainability & effective advocacy. However there are plans to address these in the next phase.	Timely availability of i) socio-economic well-being and ii) knowledge, understanding and practices is needed to fully assess "good levels of engagement, inclusion" as noted in the APR. This had been planned by WWF but poor consultant delivery meant that results are of poor quality The challenges noted in the APR are supported by observations in the field as part of this review	The examples provided from Rumaki to illustrate achievements in the APR are valid as assessed from the field visits made. There is a need for WWF to present a quantiative analysis of mariculture projects to provide evidence against the statement in the APR
	At Outcome level, Rumaki's success with VICOBA savings and credit groups are not included. They are included at Output Level In southern Tanzania. As stated in the APR: These loans increase the scale and range of livelihoods that members can engage in and the profits they can make (e.g. purchase of motorbikes for rural transport) and have led to an increase of profit for the members involved.	Lessons from VICOBAs not included in APR	Work with the VICOBAs does not contribute directly to achievement of Outcome indicators. However they have proved a sustainable and valuable entry point for WWF to engage with communities on other activities	It should perhaps be noted that (inevitably) not all members have experienced an increase in profits (as reported during field visits) though there was obvious support among members for VICOBAs.	The success of these groups, as summarized in the APR would seem a fair reflection from the 5 VICOBAs visited. Such an assessment would be strengthened by planned survey data, as noted above.

	Annual Review Process and Report		Additional comments from Case Studies		Overall Conclusions
Programme /Project	Part B – Results & Value for Money, Relevance	Part C – Lessons Learned	Results & Value for Money, Relevance	Lessons Learned	
Nepal: People in Participatory Action for Life – PIPAL FY 2012	In priority landscapes over 50,000 people benefited (some 30,000 in TAL & 10,500 in SHL) from livelihood-enhancing initiatives which are climate smart and have also improved ecosystems & ecosystem services. More than 7.700 ha of forests restored, and human-wildlife conflict mitigated through a range of measures. Partnerships fostered with Govt line agencies and with non-govt. Development agencies, via which PPA funding has leveraged both funds and skills	Local level joint monitoring is effective in ensuring local stewardship & ownership. This leads to empowered communities effective in skills learning and innovating. Implementation modality of landscape plans with government (now 8 years old) has been a major contributor to results. Sharing of internally-generated lessons requires more development.	WWF-Nepal is highly inventive in fostering institutional development and partnerships through which funds and other resources (notably those of Government line departments) can be leveraged. It also has engaged effectively with rural communities in the two priority landscapes, promoting project-generated initiatives (e.g. community forests, biogas, water conservation) but also fostering community generated initiatives (e.g. ecotourism). WWF-Nepal has engaged with Government since its foundation, but in the recent transition to a republic it has played a particularly important role in advising government on national land use policy, and forest and climate change policy	The general principle of developing partnerships and institutional development is an productive one with an important sustainability aspect: cooperatives in particular (revived in TAL), will, once registered and with a financial corpus, continue to exist beyond the live of the projeft and mobilise members' savings for credit to members. The Community Forest User Groups are a further case of institutional development: they serve as a focus for community activities and act as a 'gateway' for other initiatives from within communities, some of which PPA then supports.	TAL and SHL programmes have achieved some institutional innovations of major importance. However there are still issues of poverty focus and of measuring (and attributing) livelihood change. The landscape projects have a clear poverty focus but their approach to creating CBOs is necessarily inclusive, rather than specifically poverty-targeted. (Although participatory well-being ranking indicates that that a large proportion of Forest User Group –typically 60-70 % - of members are poor or very poor This debate is ongoing in WWF-Nepal, and in TAL small pilot project is planned (not with PIPAL funding) for a revolving fund to target extremely poor people with small loans.

	Annual Review Process and Report		Additional comments from Case Studies		Overall Conclusions
Programme /Project	Part B – Results & Value for Money, Relevance	Part C – Lessons Learned	Results & Value for Money, Relevance	Lessons Learned	
China-Africa	The APR says "The programme is working to influence selected African governments towards using inward investment screening criteria, and carrying out Strategic Environmental Assessments (SEAs). An additional objective is that key Chinese and African stakeholders on Forum on China-Africa Cooperation (FOCAC) and other international fora are aware of – and at least some of them show the intention of supporting – WWF's position." The above is illustrated by a number of examples – i) work with the Mozambican & Tanzanian Ministries of Forestry to include Accepted environmental and social standards into the forest sector and changed levels of commitment as measured by a number of tools, ii) The level of commitment of the Kenyan government towards SEA.	The China-Africa programme highlights several key lessons, some of which it has begun to apply in practice – for example, refocusing engagement from African ambassadors in China, to Chinese and other government officials in Africa	There are a large number of examples of where progress toward Outcomes have been made. Further development of a comprehensive ToC would help present a coherent picture for the interventions made	One area of innovation for the China-Africa project is in the engagement of selected African governments to integrate international standards into development of the forest sector. The signing of an agreement by the Mozambican and Tanzanian governments concerning joint approaches on sustainable forestry management is an example of WWF innovating through a 'peer pressure' mechanism. The China-Africa programme highlights several key lessons, some of which it has begun to apply in practice – for example, refocusing engagement from African ambassadors in China, to Chinese and other government officials in Africa	The APR provides examples of achievement against Outcome 3 and as an example of innovation, and would appear a fair reflection of what has been achieved.

	Annual Review Process		Additions from Case Studies		
Programme/ Project	Part B Results VfM Relevance	Part C Lessons Learned	Results VfM Relevance	Lessons Learned	Overall conclusions
Brazil Promoting Climate-smart, low carbon development	The Climate Change and Energy (CC&E) Team within WWF-Brazil is 36% funded by THIS PPA. With 4.5 members (on FTE basis), its remit is policy engagement, aimed at the objectives of promoting: a robust national climate policy framework; an increasing share of renewables in energy generation; reduction in emissions from deforestation (REDD); and a national strategy for climate change which protects or improves the livelihoods of vulnerable and poor people. Much of this depends on the teams establishing working relationships of trust with a wide range of actors: something that necessarily takes place at a slow pace. Thus in FY2012 there was limited progress in the last of the objectives above. But the Team played a major role in the Rio+20 Earth Summit, and also in upscaling to national level a REDD+ strategy developed in Acre State	The August 2012 TPR focuses on lessons of the implementation of REDD+ in Acre State, which is informing the task of promoting a national REDD+ policy. Those lessons stressed are: that REDD+ needs to be integrated within a broader set of forest conservation policies; that REDD+ regimes need to be compatible at various scales; that broad participation is critical to the process (and ultimately legitimises it); and that the time needed to define a REDD+ policy is significant although the cost is not large. The existence of a model should facilitate design of new regimes	The CC&E Team is 'lean', with just 4.5 core members. It also has high visibility and high impact, as in the Rio+20 Summit (June 2012), and the Durban COP conference Dc 2011). The Project has achieved a high level of engagement with government, and also with other actors (universities and research institutions, NGOs, and networks) The Project 's cost is low (less than £200K of a total budget of of £536K p.a.) A newly introduced M&E model (see final column) introduces a scoring system to assess achievements which cannot be quantified and thus to enable VfM to be assessed	The CC&E Team is an effective communicator, using media in high-profile events (e.g. Rio, Durban), but also commissioning substantial studies (including peer-reviewed academic papers) which enhance its credibility. Success of poverty-focused interventions was an important lesson of theAcre State experience. Currently the Team is working to raise awareness of the (poorly documented) impact of large-scale dam construction in the Amazon basin on livelihoods of poor and vulnerable forest dwellers, and also developing a strategy to expand government policy discourse and awareness on poverty. A poverty monitoring tool has now been integrated into the project monitoring and evaluation system.	A challenge mentioned at the beginning of the IPR is that of having to 'squeeze' the planning, monitoring and evaluation of policy/advocacy work into a 'project' format (based on a 3-year term and a logframe), when policy/advocacy has clear long-term objectives often with a maturity period of more than 3 yrs) yet operates in a policy environment which changes very rapidly. A revision of the Project's M&E framework has recently (August 2012) been undertaken by the Team: it is hoped this will be well-suited to its advocacy remit and make the task of reporting against logframe indicators less cumbersome.

	Annual Review Process		Additions from Case Studies		
Portfolio level	Part B Results VfM Relevance	Part C Lessons Learned	Results VfM Relevance	Lessons Learned	Overall conclusions
		The self-assessment outlines a number of types of learning including learning from the last PPA evaluation that also provides learning for the wider network beyond WWF-UK. The APR says "Within this first year of the PPA, many types of learning practices have developed across the portfolio, with a focus on learning by doing (starting with noticing and reflecting on experiences, followed by analysing, reconceptualising, translating, recommending, redesigning, planning, and in some cases beginning to embed); conceptual learning (revisiting theories of change, with a focus on incremental improvements as well as double loop (reframing) and triple loop (transformational) learning); learning together (learning with; social learning; collaborative inquiry; systemic learning); and learning from (training; reports and publications; and lessons learned)		As notes elsewhere in this document, the PPA portfolio demonstrates a strengthened M&E and a "learning culture" and this is seen as a positive development from earlier PPAs. Also noted was the need to demonstrate that projects and programmes need to use this learning to adjust and refine interventions.	Outputs (but not Outcomes) are scored A++ to C according to whether actual results to date meet targets and indicators in the PPA logframe. Output scores are a fair reflection of Outputs achieved. With the caveats discussed earlier, see Section 3.1.1, as to appropriateness of indicators, in general the APR provides a comprehensive and fair summary of achievements to date under THIS PPA.

Outcome 1: Communities are safeguarding the ecosystems and ecosystem services upon which they and others depend in an equitable and adaptive manner	Overall progress is self-assessed "as slower than anticipated... However significant results have been achieved against indicators of progress"				A fair reflection – the main reason for results being slower than expected that Ruaha Water Programme decided to focus on one rather than two sub-catchments in the first year. Due to the complexity of the catchments, this would seem a sensible decision
Outcome 2: Policy frameworks and practices relating to adaptation, REDD+ and low carbon development are climate smart, environmentally sustainable and designed to secure and/or improve the well-being of men and women living in poverty	Overall progress is self-assessed as "very much on track" as measured using a tool developed under PPA funding – the "Level of Engagement Tool"				Tools are used either by WWF staff or in a more participatory manner but time-consuming manner with partners (see for example Rumaki). Robustness of the tools' use would be enhanced by the involvement of those beyond WWF, i.e. during independent evaluations.

Outcome 3: Government and private sector policies, practices and priorities relating to investment in infrastructure and natural resource extraction/use are climate-smart, environmentally sustainable, designed to secure and/or improve the well- being of women and men living in poverty.	Progress against this indicator is given against three indicators designed to measure Outcome progress. Taking self-assessments against indicators as a whole, progress is self-assessed as being ahead of what was anticipated				Assessed as a fair representation of progress. However well-being of women & men living in poverty has not been fully assessed to date.

APPENDIX 3: Using the "3e" or "4e" Approach to VFM

In the UK, the approach to VFM has grown out of the auditing of service delivery by local government as governed by the Audit Commission Act 1998. Under Section 5(1)(e) of the Act, auditors have a specific duty to satisfy themselves that the body, whose accounts are being audited, has made proper arrangements for securing economy, efficiency and effectiveness in its use of resources[85]. This is the basis of the so-called "3E" approach to VFM.

The Independent Commission for Aid Impact (ICAI) – which is the body responsible for reporting to Parliament on whether UK aid is maximising impact for intended beneficiaries and achieving value for money for UK taxpayers – has adopted a "4E" model that includes equity as well as economy, efficiency and effectiveness. The objective of their VFM work is very clearly stated:

"In our view:
- effectiveness involves achieving a sustained impact for intended beneficiaries; and
- value for money is the best use of resources to deliver the desired impact"[86].

This is consistent with the view of the National Audit Office – the body that has overall responsibility for scrutinising UK public spending on behalf of Parliament. This is summarised in the statement that: "We define good value for money as the optimal use of resources to achieve the intended outcomes"[87].

The ICAI is clearly concerned with impact (results), for example, in their first report[88] they state:

"We understand that the important impacts are often only fully visible in the long term. We do not believe, however, that it is necessary to wait until the end of a programme to establish what is and is not working. We will therefore review programmes at every stage of development. For example:

"for relatively new programmes, we will determine whether they were designed with maximum impact and value for money in mind" p14.

Unfortunately, in the same report ICAI chose to express the 4E model using only inputs, outputs and outcomes as shown in Figure A3.1 below.

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[85] http://www.audit-commission.gov.uk/technicaldirectory/vfm1112/index.htm
[86] http://icai.independent.gov.uk/wp-content/uploads/2010/11/ICAIs-Approach-to-Effectiveness-and-VFM.pdf, pg 1
[87] http://www.nao.org.uk/what_we_do/value_for_money_audit/what_is_vfm_audit.aspx
[88] ICAI (2011), ICAI's Approach to Effectiveness and Value for Money Report 1, November

Definition of the four Es	Application to provision of anti-malaria bed nets
Economy: getting the best value inputs	Were bed nets of the required standard bought at the lowest possible cost?
Efficiency: maximising the outputs for a given level of inputs	Given the number of nets bought, how many people used the nets for their intended purpose?
Effectiveness: ensuring that the outputs deliver the desired outcome	For those people provided with nets, has the incidence of malaria decreased?
Equity: ensuring that the benefits are distributed fairly	Have the nets reached the poorest people and minority groups in more remote areas, as well as those closer to cities?

Source: ICAI (2011) Table 1

The WWF-UK approach to VFM as applied to PPA is set out in Lawrence (2012). It appears that the exposition of the 4E model in Figure A3.1 has been adopted and has been used to categorise the contribution of each PPA programme to VFM – see Figure A3.2 below.

Figure A3.2: Proposed 4E Framework for WWF VFM Assessment

	Simple Definition	General example	
Economy	Getting the best value inputs – *are we or our partners buying inputs of the right quality at the right price?* (inputs like: staff, consultants, raw materials, equipment)	Were the best fishing nets or equipment bought at the lowest possible cost? - best for whom? This would need to be understood from beneficiary perspective or from a regulatory perspective	cost effectiveness
Efficiency:	Maximising the outputs for a given level of inputs – *How well do we or our partners convert inputs into outputs? Is there sufficient control over the quality and quantity of both inputs and outputs?*	Given the number of nets/equipment bought how many people used them effectively for their intended purpose and were able to catch a measured amount of fish? - effectively for whom? This would need to be understood from the beneficiaries or from a standard measure like Catch Per Unit Effort	
Effectiveness	Ensuring that the outputs deliver the desired outcome – *How well are the outputs from an intervention achieving the desired outcome?* (there is no direct control over outcomes, but a clear contribution to them can and needs to be understood, i.e. theory of change/results chain)	For those given the nets, did their food security, income and / or well-being increase and how much of this is attributable to the new nets? - attribution would need to be understood from the beneficiaries perspective and or that of other stakeholders.	
Cross Cutting		
Equity (where cost effectiveness here results as a consequence of all four 4 Es being achieved)	Ensuring that benefits are distributed fairly – *how much impact on poverty reduction in our priority places does an intervention achieve relative to the inputs that we or our partners invest in it? How much resource equity is there in our interventions for species and ecosystem services which results in positive impacts on species and ecosystem health in our priority places relative to the inputs that we or our partners invest in the intervention?*	Have the benefits reached the poorest households and/or the most vulnerable groups in more remote areas/communities dependant on natural resources in our priority places? How are the benefits distributed between men and women and what difference does this make to their well being and natural resources? And or is there sufficient fish resources left to breed and sustain the population?	

Source: Lawrence (2012)

WWF-UK

Independent Progress Review of WWF-UK's Programme Partnership Arrangement with DFID 2011-2014

TERMS OF REFERENCE

25 May 2012

Project/Program Name(s)	WWF-UK's Programme Partnership Arrangement with DFID
Project/Program Location(s)	Brazil, China, Colombia, Kenya, Nepal, Tanzania
Project/Program Duration	2011-14
Period to Be Evaluated	April 2011 – August 2012
Project/Program Budget Sources and Amounts (for period to be evaluated)	£3,090,356

Background

WWF-UK is the UK arm of the global WWF Network, the world's leading environmental organisation, with over 5,000 staff active in over 100 countrie s on every continent. We work with government, private sector, civil society and local communities as trusted conveners and deliverers of sustainable environmental and development solutions. Our three strategic aims are safeguarding the natural world, tackling climate change and changing the way we live.

WWF-UK is one of 39 organisations receiving funding through DFID's Programme Partnership Arrangement (PPA) mechanism. PPAs are strategic level agreements based around mutually agreed outcomes and individual performance frameworks against which the organisations repo rt on an annual basis.

Under its current arrangement with DFID, WWF - UK receives £3,090,356 per year to lead on and support work on eight programmes spread across Africa, Asia and Latin America (see table 1).

In particular, under this PPA, WWF-UK supports the following policy priorities:
* Water security;
* Forest and marine governance for the poor;
* Climate change adaptation;
* Driving urgent action on climate change in emerging economies; and
* Enabling environmentally sustainable economic growth for Africa.

Table 1: WWF-UK programmes under the current PPA portfolio
Climate Change adaptation, learning, policy and mainstreaming at UNFCCC and in programmes
China Africa as part of Shift China Global Initiative (Kenya, Tanzania, China)
Colombia Forest for Life Programme (including adaption and REDD+)
Low Carbon Development in Brazil (including REDD+)
Nepal Living Himalayas (Terai Arc landscape, Sacred Himalayas landscape including climate adaptation)
REDD+ Learning (as part of the Forest & Climate Initiative Learning Framework)
Water security in Kenya & Tanzania (Ruaha, Tanzania; Lake Naivasha, Kenya)
Coastal East Africa: Reducing Poverty through Improved Local to Regional Natural Resource Governance in Coastal East Africa (Rumaki, Tanzania; Boni-Dori, Kenya; Shrimp and Timber)

1

Purpose, objective and scope

WWF-UK is seeking to recruit an evaluation team to conduct an Independent Progress Review (IPR) of its PPA. This IPR contributes to the reporting arrangements under the terms of the PPA grant, as outlined in The Evaluation Strategy for the PPA programmes developed by Coffey International, the Evaluation Manager. The Evaluation Strategy lays out the approach and methodology to assess the performance of grantees and of the funding mechanism as a whole. It includes guidelines for the IPR that should be read in full in preparation for the mid-term evaluation of WWF-UK programmes (see Appendix 1).

In terms of grantee performance, the Evaluation Manager is concerned with:
- the extent to which grantee organisations are performing against their objectives (see Appendix 2);
- the extent to which grantee organisations and achievements align with DFID's theories of change;
- the impact of DFID's funding in terms of the additional benefits realised because of funding and its attributable contribution to organisational effectiveness and the results set out in grantees logframes. The impact assessment will consider the value for money organisations derive from DFID funding.

The purpose of the IPR is threefold:
1. to assess the extent to which comments provided as part of the Annual Review Process (APR)[1] have been acted upon by grantees;
2. to verify, and supplement where necessary, grantees' reporting through the Annual Review Process, changing lives case study and the additionality report;
3. to independently evaluate the impact that DFID funding has had on organisations and projects and to assess the value for money of the funding. The IPR should answer the questions *What has happened because of DFID funding that wouldn't have otherwise happened? And To what extent does the use* of funding represent good value for money?

Equally, the successful candidate will be asked to provide recommendations and lessons which will enable WWF-UK to inform the period 2012-14 of this PPA.

The target audience and main users of this IPR will be WWF-UK, WWF offices in receipt of PPA funding, the Civil Society Team at DFID and the Evaluation Manager. However, WWF partners and other stakeholders may also benefit from the findings (this could include but is not limited to other WWF offices, other donors, other parts of DFID, fellow PPA grantees). Under our transparency guidelines, the IPR report will be made available on our website.

The evaluation will cover the period from April 2011 of the PPA grant 2011-2014 to date. Therefore it should cover developments in WWF's PPA strategies, programming, structure and context over this time frame. However please note that some projects and programmes have been funded on previous PPAs. Relevant issues from these earlier periods may be taken into account to the extent that they relate to activities, outcomes and impact occurring in the current PPA period.

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[1] Under the PPA, grantees were asked to submit an Annual Review Process in May 2012 indicating progress made against their objectives, Value for Money, lessons learned and two case studies amongst other things.

Evaluation Criteria

The IPR should assess WWF's PPA portfolio based on a standard set of criteria[2] defined as:

Relevance – doing the right things

Do the grantees respond to the needs and priorities of their constituencies whilst striking a balance between achieving the greatest impact and reaching the poor and marginalised?

Effectiveness – doing the right things, in the right way

How effective are grantees in terms of: adding value; learning to improve programmes; their organisational effectiveness and benefit to the sector as a whole; their capacity to innovate and channel this into benefits for the sector; their partnership approach; and their ability to assess and understand how their interventions change lives and reduce poverty?

Efficiency - doing the right thing, in the right way, at the right cost

To what extent are grantees able to provide evidence of their cost effectiveness and as such demonstrate an understanding of their costs, the factors that drive them, the linkages to their performance and an ability to achieve efficiency gains?

Results - doing the right thing, in the right way, at the right cost, to achieve results that would not otherwise have been achieved

Are grantees achieving what they set out to achieve (as described in the logframe) and is this changing lives and strengthening civil society?

These criteria are fully defined in Appendix 1.

Methodology

Based on its interpretation of the terms of reference and its experience of using quantitative and qualitative approaches to Monitoring & Evaluation, the successful bidder is expected to provide a methodology and an approach for reviewing the progress of WWF-UK's PPA portfolio achieving the purpose described above.

Using the WWF PPA proposal, the WWF PPA logframe, DFID's Business case for WWF-UK and DFID's PPA Evaluation Strategy the successful bidder will:

- arrange and facilitate a series of meetings/interviews with WWF-UK staff to review and assess the range of programmes selected to report against the PPA portfolio logframe
- review WWF-UK's FY12 PPA APR report and case studies;
- review the individual PPA Programme reports used to produce the APR and case studies;
- interview and/ or survey a selection of key partners (e.g. DFID policy teams, country offices, and other donors) and beneficiaries by a range of means including tele/videoconference interviews, meetings and visits[3] to an agreed number of programmes/projects.

The successful bidder will need to liaise with the PPA Team throughout and attend overview/planning meetings or conference calls as and when required.

Approach

WWF UK is interested in working with evaluators who:

- are able to develop and implement an approach which encourages and supports WWF to improve its learning culture. Evaluators should be able to support WWF-UK in such a way that it develops its own recommendations for change from the learning that emerges from the evaluation/IPR;

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[2] Criteria adapted from the OECD DAC Standard
[3] We anticipate that two country/regional visits will be necessary during this IPR. We leave this selection to the bidder but we would suggest that East Africa be one of them given the concentration of PPA activities there.

- are able to provide WWF UK with advice on how to meet DFID's requirements for additionality and value for money both in the context of this evaluation and for any possible future DFID funding.

Outputs

The successful bidder will be expected to produce an IPR report of no more than 30 pages of A4 plus annexes, in Plain English. This report will be written in a format which is easily accessible to all stakeholders, especially the Executive Summary section.

The report will follow a format that will be approved at inception but should cover:
- Executive Summary section
- An Introductory section which should include the methodology used in undertaking the evaluation.
- A section on Results and Progress
- A section covering Value for Money
- A section covering how WWF-UK's works aligns with DFID's theories of change
- A section covering Lesson Learning.
- A section covering Additionality
- A section on Issues to be addressed and Recommendations

In submitting the final report we would ask that you include annexes which contain:
- details of the final agreed TORs;
- a list of people and organisations interviewed;
- a list of documentation reviewed;
- a timeline and workplan of the evaluation process.

Timetable

The IPR will be carried out between July and October 2012. We anticipate that the evaluation will take roughly 70 working days. Tentative dates for the IPR process, to be agreed with the successful bidder, are:

Late June	Evaluation Team appointed and implementation plan agreed
mid July – Early August	Document review and interviews with key staff and stakeholders
No later than 1 September	Country visits underway
19 September	Draft Report submitted to WWF-UK
21 September	Initial findings presented to key WWF staff
28 September	Comments from WWF-UK provided
12 October	Final Report submitted to WWF-UK
19 October	Final Report submitted to DFID by WWF-UK

Skills and Qualifications

We foresee this evaluation requiring a team or a pair approach. The successful bidder will be expected to have the following skills and experience:

Essential
- A minimum of 7 years experience in programme and project delivery in an international development context;
- A strong understanding and experience of using/applying quantitative and qualitative evaluation methodologies for programmes and portfolios (e.g. result-based M&E, contribution analysis);

- Good knowledge and experience of natural resource management and rural livelihoods programming and a good understanding of the relationship of livelihoods, poverty, natural resource management and conservation;
- Knowledge of WWF or similar NGOs working in international development;
- Knowledge of PPAs and/or DFID procedures, experience of value for money methods
- Experience of helping organisations to build capacity to learn, in particular, able to facilitate teams to absorb learning and develop recommendations;
- Excellent writing and communication skills.

Desirable
- Extensive understanding and experience of governance and policy influencing at national developing country level and in connection with environmental and poverty issues;
- Some knowledge and experience of gender mainstreaming in programming;
- Some knowledge of climate change and adaptation work.

Tender requirements and selection criteria

Interested candidates should submit their response electronically to Nicholas Warren nwarren@wwf.org.uk **by Sunday 17th June 2012 at midnight**.

Equally, do not hesitate to contact him before then if you have any questions regarding these terms of reference.

Your proposal should not exceed 12 pages in length excluding annexes. It should include a summary of your experience and motivations, your understanding of the context, your approach and methodology, a tentative work schedule and activity plan clearly linked to the timeline for this evaluation, a presentation of the team, their respective role and level of involvement. You should also include a proposed budget for undertaking this work.

Please also include summary CVs of each team member and examples of previous evaluations as annexes.

The responses will be assessed based on the quality and robustness of the methodology (35%), skills and qualifications of the team (35%) and price (30%).

We expect to hold interviews with short-listed candidates on **Tuesday 26th June 2012** in view of starting the evaluation in early-mid July 2012.

	Task	Jly 9	16	23	30	Aug 6	13	20	27	Sep 3	10	17	24	Oct 1	8
1	Inception meetings & report, selection of programmes	grey	grey	blue											
2	Review of programme material, APR, case studies etc.			grey	grey	grey	blue	blue							
3	Theory of change work with WWF-UK, Refine evaluation criteria & VFM etc.					grey	grey								
4	Desk based interviews (UK) & evaluation against new ToC based criteria				blue	blue	grey	grey	grey						
5	ToC & interviews with field staff (overseas visits) & evaluation against new ToC criteria							blue	blue	grey	grey	grey			
6	Draft report & discuss with Tech Grp									blue	blue	grey	blue	grey	
7	Workshop with WWF-UK														grey
8	Finalize report														grey

Note: grey shading reflects the activity chart as it appears in the tender document, blue shading indicates our suggested revisions

ANNEX C   Data collection tools

Relevance	*From Coffey (adapted)*
all	Do the planned interventions, projects and outcome reflect the needs of the target population?
all	To what degree do the planned interventions reach men & women living in poverty
all	To what degree do these interventions maximise the impact on men & women living in poverty
all	Does the targeting strategy continue to be appropriate?
	Additional Qs
all	How has a balance between environmental aspects and well-being been achieved?
	Project specific Qs (to be added)
Efficiency	From Coffey
(cost-effectiveness to be more precise)	To what extent are grantees able to evidence their cost effectiveness and as such demonstrate an understanding of their costs, the factors that drive them, the linkages to their performance and an ability to achieve efficiency gains?
	Additional Qs
	Efficiency (translating inputs into outputs) – can we compare the cost of achieving common outputs across programmes?
	Cost-effectiveness (the cost of achieving outcomes) – compare the cost of making progress in the outcome indicators across programmes e.g. cost of improved engagement as measured by the WWF tool. Understand why this differs and hence VFM implications.
	Cost-effectiveness - Are there alternative interventions that would have given similar results at reduced costs?

Effectiveness	*From Coffey*
	What does WWF bring to the achievement of this Outcome (distinctive offering)
	How has the organisational culture of WWF promoted or impeded learning and innovation? (organisational, contextual knowledge, adoption by others, innovation)
	How has learning been communicated?
	How has learning led to improved programming?
	What impact assessment studies have been carried out?
	Additional Qs
	Has the targeting strategy of key decision makers been effective?
	Has the approach to working in coalition to influence policy been effective? (at a number of levels – grassroots to national)
	Project specific Qs (to be added)
Results	From Coffey
	Performance against LF: What progress is there towards intended Outcomes?
	How are poor people's well-being affected (disaggregated by gender, other criteria)
	To what extent are communities safeguarding services themselves?
	How are communities involved in policy influence??
	What are the elements that have led to success/failure? (internal, external)
	Has PPA funding achieved additionality? How and to what extent?
	Additional Qs
	Understanding among partners of LF, ToC, managing for results?
	Linkages with other Outcomes?
	Project specific Qs (to be added)

Sustainability	From Coffey

What has been the uptake of learning by others?

Institutional sustainability – will institutions/coallitions last beyond the life of the project? (should they?)

Has capacity been built to take institutions/project into the future?

Leverage of funds?

Additional Qs

What has WWF learned from others?

How has learning across the WWF network been enhanced/achieved?

Project specific Qs (to be added)

General (not in any particular order)	Influence of PPA on other parts of WWF-UK, WWF Network
Purpose	Improved policies and practices, sustain or restore ecosystem services, and tackle climate change to secure and/or improve the well-being of men and women living in poverty
	Key questions
Relevance	Does the purpose contribute to WWF's (UK & global) overall mission
	Is there a common understanding of the PPA purpose across those within i) the PPA; ii) within WWF-UK
	Does the purpose contribute to a share ethos between WWF-UK and DFID (how)
	How have the key elements of the purpose been incorporated in WWF (beyond the PPA)
	Are the PPA objectives sufficient / appropriate to the purpose
	Are M&E systems fit for purpose
	What added value has the PPA brought to WWF
	Areas supported by previous PPA – what has happened to these
Effectiveness	How could the PPA have been used more effectively
	How has the flexibility of the PPA funding contributed to the design of interventions
	How has the flexibility of the PPA funding contributed to outputs / outcomes
	What could be done to make the PPA more effective
Efficiency	What would have happened if there had been no PPA & what would have been the cost implications to WWF?
	Are there alternative interventions that would have given similar results at reduced costs
	What would impact look like under low, medium and high success scenarios
	What would impact in quantitative terms (financial and other units) look like under low, medium and high success scenarios
	Cost-benefit (cost of achieving impact) – established programmes should have identified expected if not current impact. This impact can often be expressed in economic terms e.g. the value of ecosystem services over the next 10 years.

Impact / Outcomes	Have there been negative impact in terms of i) ecosystem services; ii) wellbeing
	How has environmental ecosystem services been improved
	How has well-being improved
	Perspectives of stakeholders
	How have gains from PPA been institutionalised within WWF
Sustainability	What will happen at the end of current cycle of funding
	Have lessons been replicated (either within WWF or beyond)
	Are there plans to scale-up – how will this occur

ANNEX D People consulted

WWF-UK

Glyn Davies	WWF-UK	Programme Director
David Tanner	WWF-UK	Programme Manager, CEA
Robert Llewelyn-Smith	WWF-UK	Programme Manager, Ruaha - Water security in Kenya & Tanzania (Ruaha, Tanzania; Lake Naivasha, Kenya)
Clare Crawford	WWF-UK	Head of Design & Impact, Member of IPR Technical Group
Guido Broekhoven	WWF-UK	China Africa as part of Shift China Global Initiative
Julie Thomas	WWF-UK	
Helen Jeans	WWF-UK	Network Coordinator - Climate Change Adaptation
Becky Saunders	WWF-UK	
Oliver Smith	WWF-UK	Deputy Director of Programmes - Chair of Technical Group and Director in charge of PPA
Karen Lawrence	WWF-UK	
Jennifer Peer	WWF-UK	PPA Portfolio Manager, Member of IPR Technical Group
Dave Tickner	WWF-UK	Head of Freshwater Programmes, Member of IPR Technical Group
Mike Morris	WWF-UK	Social Development Adviser
Nicholas Warren	WWF-UK	PPA Reporting Manager, Member of IPR Technical Group
Lisa Howes	Independent Consultant	
John Barker	WWF-UK	Programme Manager, Nepal - PIPAL
James Gordon	WWF-UK	Programme Manager, Colombia – Building Resilience in Forest Ecosystems, Member of IPR Technical Group
Jon Taylor	WWF-UK	Programme Manager, Brazil – Climate-smart, Low-carbon development

Brazil

[Climate Change & Energy (CC&E) Team, WWF, Brazil]

Date:	Carlos Rittl	WWF-Brazil	CC&E Coordinator / Project Manager
24/8/12*	Anthony Anderson	WWF-Brazil	Senior Technical and M&E Advisor
	André Nahur	WWF-Brazil	Climate Policy Expert
	Ligia Pitta	WWF-Brazil	Climate and Energy Advisor

*skype call

Colombia

Dates:	Mary Lou Higgins	WWF-Colombia**	Regional Representative
21/8/12 & 22/8/12*	Maria Efi Chaves	WWF-Colombia	Project Coordinator
	Sandra Velanzuela	WWF-Colombia	Programme Director

*skype calls

China Africa

Dates: 10/10/12	Claudia Delpero	WWF-China for a Global Shift Initiative	Advocacy & Communications Director,
11/10/12	Donald Pols	WWF-China for a Global Shift Initiative	Programme Director

Coastal East Africa

Date	Name	Organization	Title
28.8.12	Christian Chonya	Wwf-Rwp	Programe Coordinator
	Rita Kamenya	Wwf-Rwp	Community Development Officer
	David Sarakikya	Wwf-Rwp	Accountant
	Mwamwini Masanja	Wwf-Rwp	EEO
	Jackson Jacka	Wwf-Rwp	Volunteer
	Grace Chitanda	Rbwb-Iringa	Ag Water Officer
	David Muginya	Rbwb-Iringa	Sociologist
	Charles M. Mengo	Rbwb-Iringa	Env.Engineer
	David Munkyala	Rbwb-Iringa	Hydrogist
29.08.12	David A. Mfugale	Rc Ifunda	Chair Water Users Association
	Elicus C. Ngweta	Jubodomlya	Acting Chair WUA
	Hawa Bangi	Ifunda	Messenger WUA
	Francis Lutambi	Ifunda	Chair Jubodomlya WUA
	Kayus Kihwele	Ifunda	Chair
	Gaspary J Chavala	Ifunda	Member
	Maria F. Itala	Mufindi	District Administrative Secretary
	Ali A. Kidwaka	Mufindi	District Natural resources Officer
	Masoud Samila	Mufindi	Water Engineer
	Rajab J. Kadege	LYAMUF	M/Kiti Water Users Association
	Mario A. Msilu	LYAMUF	Accountant (WUA)
	Elida Kisinga	LYAMUF	Water controller (WUA)
	Juma V. Chapuga	LYAMUF	Water controller (WUA)
	Stephen P.Mmassy	WWF-RWP	M&E Officer
	Bernard Rugayi	WWF-RWP	Hydrologist
31/8/12	Julitha Mwangamilo	WWF-TCO	PE-CFM
	Hamoud Abdallah	WWF Rumaki Mafia	Project executant
	Francis Mamaumba	Mafia District Authority	DED Mafia
	Joakim Henjewele	Mafia District Authority	Mafia District Council
1/9/12	Haji Machano	WWF-Mafia	Monitoring coordinator
	Ayoub Sabu	Mafia District Council	District Fisheries Officer
	Hasewa Japhet	Mafia District Authority	District cooperatives officer
	Jithada VICOBA, Jimbo, Mafia	23 members	13 women, 10 men
	Mungu Tubariki VICOBA, Jimbo, Mafia	30 members	16 women, 14 men
	Tutafika Shungu B, Kirongwe village Mari-culture Group, Mafia	10 members	7 women, 3 men

	Mwanzo Mgumu Mariculture Group, Kirongwe	5 members	5 women
	Chunguruma BMU	9 persons	4 village leaders, 5 BMU leaders
2/9/12	Dongo BMU	34 persons	13 village leaders, 21 members (25 men, 9 women)
	Kilindoni Ukombozi Fish Group	6 persons	Fish sellers (all men)
		Mafia District Authority	District Commissioner
3/9/12	Mr Mombeki	Rufiji District Authority	District Administration secretary
	Flora Koki	Rufiji District Authority	District Executive Director
	Paulo Mgarula	Rufiji District Authority	Rufiji District Fisheries Officer
	Mr Rwegasira	Rufiji District Authority	Natural Resource Officer
	Thomas Chale	WWF	Vicoba Coordinator
4/9/12	Jaja BMU and village government	7 persons	3 village govt leaders, 4 BMU members (1 women)
	Bedemi VICOBA Jaja	3 persons	3 Vicoba members (2 women, 1 man)
	Mkongo Mariculture	2 persons	(1 man, 1 woman)
	Muungano VICOBA Jaja	2 persons	(1 man, 1 woman)
	Mtumishi Beekeeper Group	1 person	(male)
	Mianjema VICOBA	2 members	(2 men)
	Abdallah Lijumba	Person selected at random, Jaja	
	2 women	Selected at randon, Jaja	
	Simaya VICOBA, Pombwe Village	10 members	(6 men, 4 women)
	Ushirika VICOBA, Pombwe	2 member	
	Mwanzo Mgumu Mariculture Group, Pombwe	3 members	(2 men, 1 woman)
	Pobwe BMU	13 persons	8 BMU members, 5 village leaders
	Peter Sumbi	WWF-Tz	Acting Conservation Manager
	Onesmo Zakaria Sidalla	WWF-Tz	Freshwater Thematic Leader
	Josephine Meela	WWF-Tz	CEA
	Matrida Sumfukwe	WWF-Tz	M&E Officer
	Elizabeth Ngoye	WWF-Tz	M&E Officer, CEA Initiative
	Jonathan Hobbs	WWF-Tz	International Coordinator for Extractives Sector, China-Africa
	Emmanuel Jengo	Tanzania Chamber Of Minerals & Energy	Executive Secretary
	Peter Scheren	WWF-Tz	CEA Initiative Coordinator
	Simon Anstey	WWF-Tz	Head of Terrestrial CEAI

Nepal

Date	Name	Organization	Title
30.08.12	Mr Anil Manandhar	WWF-Nepal	Country Representative
	Mr Shiv Raj Bhatta*	WWF-Nepal	Program Coordinator, TAL, & PIPAL Coordinator
	Mr Bijan Gurung*	WWF-Nepal	Manager, Development Planning & Monitoring
	Mr Shivani Malla*	WWF-Nepal	Database & Monitoring Officer
	Mr Santosh Mani Nepal*	WWF-Nepal	Director, Policy & Support Program
	Ms Bunu*	WWF-Nepal	Livelihoods Officer, TAL
31.08.12	Mr Ananta Ram Bhandri*	WWF-Nepal	Senior Program Officer-SHL
	Mr Ugan Manandhar	WWF-Nepal	Program Coordinator, Climate Change Energy & Freshwater (SHL Team)
	Mr Dhan Prassd Rai	WWF-Nepal	SHL Coordinator
	Mr Bhawani Shankar Dongol	WWF-Nepal	Senior Program Officer (SHL Team)
	Mr Ramesh Adhikari*	WWF-Nepal	Program Officer, Climate change & Freshwater Adaptation
	Dr Narendra Man Babu Pradhan	WWF-Nepal	Coordinator , Development Research & Monitoring
Field visit	01.09.12 to 04.09.12		
01.09.12	Mr Pradeep Kanal,

+ Chair of Buffer Zone User Cttee
 + Coop Manager
+ Committee members & beneficiaries | WWF-Nepal

Sundevi BZUC | Field Project Officer TAL-PABZ (Protected Area and Buffer Zone)

Approx 20 men |
| 01.09.12 | Mr Ghimire,
Mr Chandra Chand + 3 other WR staff | National Parks & Forest Dept | Asst. Wardens, Suklaphanta Wildlife Reserve |
| 02.09.12 | Mr Ram Prasad Lamsal

Mr Tilak

+Project field staff, Dhangadi | Dept of Forests

WWF-Nepal | Project Manager TAL-CBRD (Corridor & Bottleneck Restoration), Dhangadi

Deputy Manager TAL-CBRD |
| 02.09.12 | Mr Narenja

+ Chairwoman and approx 15 CFUG members (women and men) | WWF-Nepal

Sambhu Sunanda Community Forest User Group | Field Ranger |
| | Chairman and about 30 members (women and men) of Shiva CFUG | Shiva Community Forest User Group, Dalla Village. | Including 20 women who are providing homestay for ecotourists |
| | Mr Tikaram Adhikari | Dept of National Parks & Wildlife | Chief Warden, Bardia National Park |

*Key contacts throughout the visit to Nepal

03.09.12	Mr Vaskar Choudhary	Forest Department WWF TAL, Dhangadi	Microfinance Associate
	Mr Ganesh Choudhary + Coop Society Staff & Members	Coop Manager	About 12 in all (mainly women)
	Ms Lakshmi Choudhary + Members of CFCC, Lamahi Bottleneck	TAL-CBRD Lamahi Community Forest User Committee	Community Motivator
04.09.12	Mr Abdul Sahim Ansari + project field staff, Chitwan	WWF-Nepal	Project Co-manager TAL-PABZ (Protected Area & Buffer Zone), Chitwan

05.09.12 to 08.09.12	Dr Ghana S. Gurung	WWF-Nepal	Conservation Program Director
	Ms Judy Oglehtorpe	WWF-US	Chief of Party – Hariyo Ban Project
	Mr Gauri Shankar Timala*	Dept of Forest	Deputy Director-General
	Ms Madhuri Tapa Karki*	Dept of Forest	Senior Programme Officer (*TAL Coordinating Committee members)
	Mr Tara Prasad Gnyawali		Senior Livelihoods Expert
	Mr Akash Shrestha		Senior Manager, Communications & Marketing
	Ms Simirka Sharrma Marasini		Senior Communications Officer

ANNEX **E** Data Sources

Project Proposal & pre-grant documents (PRA portfolio)

Originated by	Title	Date
WWF-UK	PPA Concept Note – WWF-UK	
WWF-UK	WWF-UK Response to Information Request	Feb 2011
KPMG	Pre-Grant Due Diligence Assessment	March 2011
WWF-UK	Promoting a Pro-Poor Approach to Conservation (PPA2C)	April 2011
WWF-UK	WWF-UK PPA (2011-14) Environmental Screening	May 2011
WWF-UK	Towards climate-smart projects and programmes: Prepared by WWF NCAT mainstreaming climate adaptation sub-group[1]. Version 6	July 2011
WWF-UK	WWF-UK PPA Full Proposal	
DFID	The Programme Partnership Arrangement with WWF-UK: DFID intervention summary	
WWF_UK	Mainstreaming Gender: self-assessment questions	
DFID	DFID Intervention Summary: The Programme Partnership Arrangement with WWF-UK	
WWF-UK	Supporting PPA Programmes in adopting a Pro-Poor Approach to Conservation: Define and Design considerations	Sep 2011

Logframes (PRA portfolio)

WWF-UK	PPA WWF Logframe Revised_Final 24 Jan 12	Jan 2012
WWF-UK	PPA Logframe WWF-UK_25 Mar 2012_disaggregated	March 2012
WWF-UK	Indicator Guidance Notes 26 Jul 2012	July 2012

Annual Review 2012

WWF-UK	WWF Additionality Report	May 2012
WWF-UK	PPA Annual Review, Reporting Year 2011-2012	June 2012
DFID	DFID Feedback letter	July 2012

Evaluation

Coffey International	Evaluation Manager PPA and GPAF - Evaluation Strategy FINAL (plus Annexes 1-9, 11-12, & Annex 10 - meta logfame)	Feb 2012
WWF-UK	Value for Money Briefing Document (by Karen Lawrence et al)	2012

Adaptation learning

WWF-UK	Adaptation learning: WWF Internal Project / PPA4 Programme Proposal: Adaptation policy, mainstreaming and learning through PPA	
	WWF Internal Project / PPA4 Programme Proposal: Adaptation policy, mainstreaming and learning through PPA4	
	Project and Priority Programme Technical Progress Report: Climate-smart, pro-poor conservation (preparing for and adapting to climate change in WWF) June 2011-March 2012 including forecast April-June 2012	June 2012
	Annex A - Additional PPA Annual Review Questions (Lisa M Howes)	Feb 2012
WWF-UK	Self Assessment CCA Policy 250412-2 (Good Practice Project Management Self Assessment Tool)	
WWF-UK	Evidence of Changes in Behaviour and Attitude to Integrating Social Dimensions	Sept 2012

into WWF Programming

WWF-UK	Commitment and Action towards Change: A PPA M&E tool. Lisa Howes for WWF-UK	Nov 2011
WWF-UK	Level of Engagement Tool: A PPA Monitoring and Evaluation Tool: A PPA M&E tool. Lisa Howes for WWF-UK	Dec 2011
WWF-UK	Geeting the Message: Learning from the WWF-UK PPA. Final report from Susanne Turrall and Patta Scott-Villiers	May 2012
WWf-UK	WWF Standards of Conservation Project and Programme Management	July 2012
WWF-UK	WWF's Policy on Poverty and Conservation (2009)	2009

Brazil

WWF_Brazil	Project Proposal: Promoting Climate-Smart, Low-Carbon Development in Brazil (project ref BR 094901)	Feb 2012
WWF_UK	Annex A - Additional PPA Annual Review Questions – Tailored for Teams Receiving Limited Funding or with particular Time/Resource Constraints (Lisa Howes, with response from Brazil Project Manager)	Feb/March 2012
WWF-UK	Updates Self assessment 29 February Brazil (Good Prctice Project Management Self-Assessment Tool)	
WWF-Brazil	Summary of Financing for WWF-Brazil´s Climate Change and Energy Programme - 2012	
WWf-Brazil	Brazil LF PPA_Logframe_WWF-Brazil_changes-1	? April 2012
WWF-Brazil	Monitoring Table for Reporting Activities, Climate Change and Energy Programme	? April 2012
WWF_Brazil	Project/Priority Programme Technical Progress Report End June'11 till end March'12, with forecast for beginning April'12 till end June'12.	April 2012
WWF_Brazil	Project/Priority Programme Technical Progress Report FY 2012 Final, Reporting Period July 1 2011 – 30 June 2012	August 2012
WWF-Brazil	M&E System for WWF-Brazil Climate Change and Energy Programme (version 20 August 2012)	August 2012
WWF-Brazil	M&E System for WWF-Brazil Climate Change and Energy Programme (version 30 August 2012)	August 2012
EDF	Environmental Defense Fund(nd) Ready for REDD: *Acre's State Programs for Sustainable Development and Deforestation Control* (no other Publ. details)	

China Africa

WWF-UK/China/EA	Africa – China: Seizing the opportunity for sustainable development Sarah Bissell, Jonathan Hobbs, Guido Broekhvaen. WWF Final Proposal + Annexes	Feb 2012
	Annexes to the Final Proposal (above)	Feb 2012
	PPA4 CHINA - AFRICA PROPOSAL Review follow-up action vs3	
	TPR China-Africa PPA4 FY12 vs 2	July 2012
	China Africa Self-assessment draft FY 2012. Plus List of enclosed supporting evidence (separate Word file)	
	Annex A - Additional PPA Annual Review Questions PPA4 China - Africa Vs 3a (Lisa Howes)	Feb 2012
	Africa & China: Cooperation for Sustainability. Briefing Note From WWF to Competent Authorities in African Countries and China in the Context of FOCAC. 9 March 2012	March 2012
	Africa & China: Cooperation For Sustainability - 40 Actions That Will Make The Difference. Briefing Note From WWF To Competent Authorities In African Countries And China In The Context Of FOCAC	July 21012

	Applying Strategic Environmental Assessment to Development Cooperation OECD/DAC	March 2006
	2011-08 China Shift INTERNAL BULLETIN July-Aug 2011 (Restricted circulation within WWF only)	August 2011
	English Version 2012 07 China for a Global Shift Initiative Newsletter July 2012	July 2012
	English Version 2011.12 China for a Global Shift Initiative Newsletter December 2011	Dec 2011
	WWF Briefing Note Africa China cooperation for sustainability_EN	
	The Mara River Basin Strategic Environmental Assessment, 2011 Workshop Report. Developing policy matrices and a road map for the Mara River Basin	
	SEA Workshop Report – Maputo, April 25 -27	?April 2012
	The Tana River Delta And Lamu Archipelago Pilot SEA: Strategic Environmental Assessment Of Land Use Policy Options Full Report. Prepared By Planning Green Futures (PGF). 7 February 2011	rev Feb 2012
	Advocacy Plan for the China-Africa Ministerial Conference of July 2012 Beijing (INTERNAL WWF DOCUMENT NOT FOR DISTRIBUTION)	Feb 2012
	Evaluation of the FOCAC Declaration and Action Plan 2012 (INTERNAL DOCUMENT NOT FOR DISTRIBUTION OUTSIDE WWF)	Oct 2012
WWF-Tz	Concept Note for a WWF Symposium on China-Africa Cooperation for Development & Environmental Sustainability (working title) - Draft	Jan 2012
WWF-Tz	FOCAC Policy Briefing Paper: FOCAC: Addressing Joint Environmental Challenges? Centre for Chinese Studies, Stellenbosch, SA	May 2012
WWF-Tz	FOCAC Policy Briefing Paper: FOCAC Politica Rational and Functioning. Centre for Chinese Studies, Stellenbosch, SA	May 2012
WWF-Tz	FOCAC Policy Briefing Paper: FOCAC, Trade, Investment and Aid in China Africa Relations.. Centre for Chinese Studies, Stellenbosch, SA	May 2012
WWF-Tz	WWF Scoping Exercise. Enhancing WWF's Role in Managing Opportunities and Challenged of Chines Trade and Investment Activities in Africa By Frontier Advisory, Resource Consulting Services and Adam Smith International	June 2011
WWF-Tz	Integrating Environment and Investment Decisions: Introductory Guidancefor Tanzania's Mining Sector. WWF and Tanzania Chamber of Minerals and Energy	2012

Colombia

WWF-Colombia	Project proposal: Building resilience in forest ecosystems: Ecological integrity, climate change adaptation and reduction of the human ecological footprint	October 2011
	Colombia Action Plan (version 1)	
	Colombia logframe (version 1)	
	Colombia logframe (version 2)	
	Amazon piedmont_concept model result chains	
	ChocoDarien concept model result chains	
	Colombia: Good Practice Project Management Self Assessment Tool	
	Colombia Monitoring Plan 29-02-2012	Feb 2012
	Review of the Programme's theory of change, conceptual models and result chains	August 2012
	Changing Lives Case Study: Integrated ways to address climatevulnerable livelihood systems in Colombia (nd)	

	Candelo, C. 2011. Conversatorio de Acción Ciudadana para la legalidad de la madera de los Cabildos Indígenas de Chigorodó y Mutatá. WWF-Colombia. Manuscript.	2011
Oxfam	Johnson, J. y Chaves, M.E. 2011. Informe de Evaluación de Medio Término del Proyecto Bosques y Territorios Étnicos en el Chocó-Darién Colombo-Ecuatoriano: Protección Territorial, Manejo y Comercialización Responsable de Productos Forestales. Oxfam.	2011
WWF-UK	WWF-UK. 2008. Building hope from chaos. Culture, politics and the protection of the Colombian Pacific mangroves. Author Hannah Bearden. http://www.wwf.org.co/sala_redaccion/publicaciones/?205690/Del-Caos-a-la-Esperanza	2008

Nepal

WWF-Nepal	WWF Internal Project/ Programme Proposal: People in Participatory Action for Life (PIPAL): 13 October 2011	Oct 2011
WWF-Nepal	Nepal PIPAL Funds FY12 Budget & forcast spend & FY13 Budget	
WWF-Nepal	Nepal PIPAL Budget_FY12-14_Revised_24 October 2011	Oct 2011
WWF-Nepal	PIPAL_Workplan_FY12-14_Final (2)	
WWF-Nepal	Project/Priority Programme Technical Progress Report FY12	June 2012
WWF-UK	Annex A - Additional PPA Annual Review Questions (Lisa Howes)	Feb 2012
WWF-Nepal	Nepal PIPAL self-assessment FY 12	
WWF-Nepal	Eastern Himalayas Logframe 2012-14 & Monitoring Report Table	
Govt of Nepal	Government of Nepal Ministry of Land Reform and Management:National Land Use Policy 2012 (draft translation)	2012
WWF-Nepal	Policy Discourse - Experiences from WWF-Nepal: Powerpoint presentation - Anil Mandahar, Country Representative	2012
WWF-Nepal	Terai Arc Lanscape (TAL): Powerpoint presentation - PABZ Office , Chitwan	Sept 2012
National Parks &Wildlife Dept, Nepal	Programs Implemented in Shuklaphanta Wildlife Reserve Supported by TAL: Powerpoint presentation, August 2012	August 2012
WWF-Nepal	WWF Himalayas Programme Nepal: Evaluation Report Draft_v2_05.07.2011	July 2011
WWF-Nepal	Terai Arc Landscape Program Nepal: Cooperatives in TAL: Powerpoint presentation	August 2012
WWF-Nepal	Terai Arc Landscape Program Nepal: Profile of Bagarapur cooperative	
Bardiya NP	Bardia National Park: Conservation Education - Annual Report 2012	?July 2012
WWF-Nepal	Terai Arc Reloaded: The Future of Conservation... Now. Kathmandu, Nepal. WWF, June 2011	June 2011
WWF-Nepal	Livelihoods and Good Governance Change Monitoring: A Manual for Community Forest Coordination Commitees. Dhangadi, Nepal, Terai Arc Landscape Program, 2010	
WWF-Nepal	Sustainable Livelihoods: A sustainable livelihoods mainstreaming strategy. Kathmandu, Nepal, WWF-Nepal, June 2011	June 2011

Tanzania: Rumaki & Coastal East Africa

	Reducing Poverty through Improved Local to Regional Natural Resource Governance in Coastal East Africa	
	SEA Workshop Report Maputo April 25 -27	May 2012
WWF-Tz	Rumaki – Targets for all PPA IV Logframe impacts, outcomes and outputs	April 2012
WWF-TZ	Copy of CEA - PPA IV - ACTION PLAN - Nov 2011	Nov 2011
WWF-Tz	The Mara River Basin Strategic Environmental Assessment, 2011 Workshop Report Developing Policy Matrices and a Road Map For The Mara River Basin	
Planning Green Futures (PGF)	THE TANA RIVER DELTAAND LAMU ARCHIPELAGO PILOT SEA: Strategic Environmental Assessment of Land Use Policy Options	Feb 2011
WWF-Tz	Working Draft CBNRM National Enabling Environment Tool	Sept2012
WWF-UK	Rufiji-Mafia-Kilwa (Rumaki) Seascape Programme(2004-2009): WWF-UK Programme Document, Final Draft for Sign Off	May 2005
WWF-UK	Logical framework FOR RUMAKI SEASCAPE PROGRAMME (2004-09) from RUMAKI SEASCAPE TANZANIA – WWF-UK PROG DOC - ANNEXES	2004
WWF-UK	Strengthening Community Capacity for Fisheries Co-management in Rufiji, Mafia and Kilwa Districts. Draft Evaluation Report for NORAD	December 2010
WWF-UK	Community Based Endangered Marine Species Conservation Tanzania: Sea Sense Annual Report Jan - Dec 2010	
WWF-UK	Tanzania Enabling Environment National Level Enabling Conditions and Indicators	September 2011
WWF-Tz	Rumaki Logical framework 2004-9	Undated
WWf-Tz	Fish Catch Monitoring Report 2005-2011	Undated
WWF-Tz	Ecological Monitoring Report	June 2012
WWF-Tz	Rumaki Seascape Programme Institutional Framework powerpoint presentation: Slide 1	Undated
WWF-Tz	Mariculture Annual Report	June 2012
WWF-Tz	Rumaki Annual Report June 2011 to June 2012	July 2012
WWF-Tz	WWF CEAI Programme Techinical Progress Report FY12	2012
WWF-Tz	CEAI Team Retreat	June 2012
WWF-Tz	WWF Peer Review & Exchange Programme: Internal Peer Review of Coastal East Africa and Coral Triangle Initiative Fisheries Strategies compiled by Katherine Short	Feb 2012
WWF-UK	WWF Rufiji-Mafia-Kilwa (Rumaki) Seascape Programme Sustaining the Achievements. Draft Programme Document. WIMSA & PEM Consultants. Draft Programme Document	Feb2012
	VICOBA: A Tool for Community Emancipation from Poverty. A Paper presented to National Policy Dialogue. SEDIT, Tanzania	Nov 2008
WWF-Tz	Coast East Africa FY12 Budget Overview	
WWF-Tz	Memorandum of Understanding for Cooperation & Mutual Support in the Transboundary Management of Forestry Resources between The Ministry of Agriculture (Mozambique) The National Directorate of Land and Forests (DNTF) and The Ministry of Natural Resources and Tourism (Tanzania) Forestry and Beekeeping Division (FDB)	2012
	Governance and Fisheries Co-Management on Lake Victoria: Challenges to the Adaptive Governance Approach. Fiona Nunan, MAST 2010, 9(1): 103-125	2010
WWF-Tz	WWF Newsletter August 2011 Coastal East Africa Initiative	August 2011

Tanzania - Ruaha

WWF-Tz	Internal document: BUDGET NOTES WWF TCO FRESHWATER THEMATIC LEADER FY 13 BUDGET	
WWF-Tz	Concept Note: Ministers visit across the Great Ruaha Cathcment	Undated
WWF-Tz	The 'Pathway' of change - Powerpoint presentation, Wageningen	April 2012
WWF-Tz	Internal Document: Visiting Community - Report - Water Related Issues Baseline Data for selected areas of Ndembera sub catchment	May 2012
WWF-Tz	Draft Ruaha Workplan for FY13	
WWF-Tz	PPA Justification Table - Ruaha Water Programme	
WWF-Tz	Tentative Plan for Local Community Visit from 2 May to 12 May, Ndemebera subcatchmetn	April 2012
WWf-Tz	Situation Analysis for Phase II of the IWRM Project in Great Ruaha Catchment	Nov 2011
WWF-UK & WWF-UK	Ndembera Workshop Draft Workshop Report: Water Access, Use and Management: The Ndembera Sub-Catchment downstream to the Mtera Dam. May 2012	Undated
WWF-UK & WWF-UK	Ruaha Water Programme Learning, Monitoring & Evaluation Support Consultancy Phase 1 Report. Prepared by Sarah Gillingham for WWF	June 2012
WWF-UK & WWF-UK	Workshop 'The Role of Social Learning in IWRM' 17 May, Iringa, Tanzania. WWF & Wageningen	Undated
WWF-UK & WWF-UK	Water Access, Use and Management: The Ndembera Sub-Catchment downstream to the Mtera dam. Short Report of a Collaborative Learning Workshop 21-24 May 2012 facilitated by Rufiji Basin Water Board and the WWF Ruaha Water Programme	Undated
WWF-Tz	Ruaha Water Programme: Stakeholder Engagement - Individual/Formal/Organisation/Institutions Stakeholders Visit Report	Undated
	Base Camp Electronic Platform - various communications	

Kenya - Boni-Dodori

WWF-UK	Proposal: Boni-Dodori Livelihoods and Forests Project	2011
WWF-UK	Promoting a Pro-poor Approach to Conservation (PPA2C)	Sept 2012
WWF-UK	Lives and Livelihoods of the Boni in Mangai	July 2011
WWF-UK	Boni-Dodori Livelihoods and Forest Project – a coalition approach. Draft Report of a participatory situation analysis with the Mangai Community in the Boni-Dodori Forest Ecosystem	August 2011
WWF-UK	Base Camp Electronic Platform - various communications	

ANNEX F   Bibliography

Note Annex E presents a comprehensive list of documents accessed as part of the Review (ordered by theme): much of this material consists of internal reports and other unpublished papers (including some restricted material). This Annex consists of formally published material (also included in Annex E).

Anderson, Andrea A (2005) T*he Community Builder's Approach to Theory of Change: A Practical Guide to Theory Development.* Washington, D.C., The Aspen Institute.

Bearden, Hannah (2008) *Building Hope from Chaos: Culture, Politics and the Protection of the Colombian Pacific Mangroves.* WWF-UK. http://www.wwf.org.co/sala_redaccion/publicaciones/?205690/Del-Caos-a-la-Esperanza

Bene and Neiland (2006). *From Participation to Governance.* WorldFish center Studies and Reviews.
Brown, Katrina, Emma L. Tompkins and Neil Adger (2002), *Making Waves: Integrating Coastal Conservation and Development,* Earthscan, UK.

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http://wwf.panda.org/what_we_do/how_we_work/key_initiatives/transforming_china/resources/?205636/China-for-a-Global-Shift-Newsletter---December-2011

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Cofffey Internatonal Development (2012) *Evaluation Manager PPA and GPAF: Evaluation Strategy.* February 2012.

Environmental Defense Fund EDF (nd) *Ready for REDD: Acre's State Programs for Sustainable Development and Deforestation Control* http://www.edf.org/sites/default/files/Acre_Ready_for_REDD_EDF.pdf

Independent Commission on Aid Impact (2011) *ICAI's Approach to Effectiveness and Value for Money* Report 1, November 2011 http://icai.independent.gov.uk/wp-content/uploads/2010/11/ICAIs-Approach-to-Effectiveness-and-VFM.pdf,

Johnson, J. y Chaves, M.E. (2011) Informe de Evaluación de Medio Término del Proyecto Bosques y Territorios Étnicos en el Chocó-Darién Colombo-Ecuatoriano: Protección Territorial, Manejo y Comercialización Responsable de Productos Forestales. Oxfam.

National Audit Office (NAO) UK (nd) *What is a value for money study*?
http://www.nao.org.uk/what_we_do/value_for_money_audit/what_is_vfm_audit.aspx

Nunan, F. (2010) 'Governance and Fisheries Co-management on Lake Victoria: Challenges to the Adaptive Governance Approach'. MAST 2010, 9(1) pp103-125
OECD / DAC (2006) *Applying Strategic Environmental Assessment to Development Co-operation.* (8pp). March 2006

Venton, Coutney Cabot and Paul Venton (2004) *Disaster preparedness programmes in India: a cost benefit analysis.* ODI Humanitarian Practice Network Paper No 49. London, ODI Humanitarian Practice Network.

Vogel, Isobel (2012) *Review of the use of 'Theory of Change' in international development,* London, DFID
http://www.dfid.gov.uk/r4d/pdf/outputs/mis_spc/DFID_ToC_Review_VogelV7.pdf

WWF-Colombia (2012) DIMENSIONES SOCIALES DE LA CONSERVACIÓN, Conceptualización de las dimensiones de género y pobreza y su articulación a la conservación de la biodiversidad, WWF-Colombia, Cali junio 2012

WWF-Colombia (2012) PROCEDIMIENTOS DE WWF-COLOMBIA PARA EL RELACIONAMIENTO CON ORGANIZACIONES ETNICO TERRITORIALES (construyendo legitimidad y confianza), WWF-Colombia, Área de Gobernanza y Medios de Vida Sostenible, Cali, julio 2012

WWF-Nepal (2011) *Sustainable Livelihoods: A Sustainable Livelihoods Mainstreaming Strategy.* Kathmandu, WWF-Nepal, 40pp

WWF-Nepal (2010) Livelihoods and Good Governance Change Monitoring: a Manual for Community Forest Coordination Commitees. Dhangadi, Nepal, Terai Arc Landscape Program.

WWF-Nepal (2011) Sustainable Livelihoods: a sustainable livelihoods mainstreaming strategy. Kathmandu, Nepal, WWF-Nepal, June 2011

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Colombia: Building resilience in forest ecosystems: Ecological integrity, climate change adaptation and reduction of the human ecological footprint

</div>

Case study based on documentation provided by WWF-UK and WWF-Colombia and interviews with WWF-Colombia/WWF-UK team, Aug. 2012

Relevance

A considerable amount of work has been done to understand vulnerability and poverty in programme communities. The thinking behind this is illustrated in social dimensions of conservation (2012)[89] that has fed into the WWF Network guidance on social and biological dimensions of conservation. Participatory techniques have also been used extensively with communities to develop systems for conflict resolution[90] and programme staff describe a "huge investment in building mutual trust and transparent processes". While the WWF-Colombia focus has been on using these systems or framework for communities to secure improved ecosystems and ecosystem services, a community-driven agenda has also led to these systems being used in areas such as health (with other NGO partners in the lead).

In the current PPA, analysis of the role of women and children extends work begun in the previous. This is important as introducing forest management plans typically produces gains in timber income (accruing to men) but may affect the access of women and children to forest resources. It is likely that the approach to gender in this programme will provide learning that is very useful for other PPA programmes and for WWF more generally.

Strengthening governance within programme communities to deliver equitable benefit sharing from natural resource management plans is recognised as critical to the relevance, results and sustainability of the programme. Progress is further advanced in the Chigorodo and Mutata Indigenous Territories (in terms of explicitly defining how benefits from timber will be allocated) than in other communities. Appendix 1 to this document summarises work undertaken by the programme with stakeholders ranging from local indigenous communities to the national army to establish a "Conversatorio for citizens' action".

This evidence suggests that PPA funding for this programme is highly relevant in terms of reflecting the needs of the target population; is focused on historically poor and marginalised communities; and manages to secure gains both for conservation and human well-being.

The evidence base could, however, be strengthened in a number of ways. Firstly, impact evaluation would be strengthened by a carefully designed longitudinal study to monitor how changes in forest management, affects different sections of the community (e.g. women and men, old and young). The evidence produced by a study set up before forest management changes occur is likely to be far more robust than retrospective accounts. However, this is no longer possible in cases such as Chigorodo where we have been working for several years.

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[89] DIMENSIONES SOCIALES DE LA CONSERVACIÓN, Conceptualización de las dimensiones de género y pobreza y su articulación a la conservación de la biodiversidad, WWF-Colombia, Cali junio 2012
[90] Summarised in "PROCEDIMIENTOS DE WWF-COLOMBIA PARA EL RELACIONAMIENTO CON ORGANIZACIONES ETNICO TERRITORIALES (construyendo legitimidad y confianza), WWF-Colombia, Área de Gobernanza y Medios de Vida Sostenible, Cali, julio 2012

Secondly, while the programme's focus on integrating social and ecological issues can be seen from the Changing Lives Case Study, there is no rigorous analysis of the social and economic costs avoided by adaptation and partly explains DFID's concerns about the evidence presented as part of the Additionality Report[91]. WWF-Colombia make the point that there are a number of scientific uncertainties over climate impacts and so adding economic values to the Changing Lives work (in the way the PPA CC Adaptation programme has in the "Into Unknown Territory" report) requires capacity they do not currently have. Nonetheless, it is likely that existing studies by UNDP and ECLAC[92] contain estimates that can be drawn on and data on infrastructure costs can help to estimate damage costs. This kind of evidence is most likely to be available for Tumaco. The value added by strengthening the Changing Lives report in this way would be significant.

Efficiency

There is good evidence that this programme generates significant additionality:

1. Programme work with communities has led to investment in management planning by municipalities, regional authorities or national parks. Moreover, funds from other donors (including the MacArthur Foundation and EU) have been leveraged from PPA funding. Based on Forest and Climate funding data for FY12 provided by WWF-Colombia we see that PPA funding of just over £500,000 has leveraged more than £730,000 from other sources.

Figure 2: PPA and Leverage Fund shares
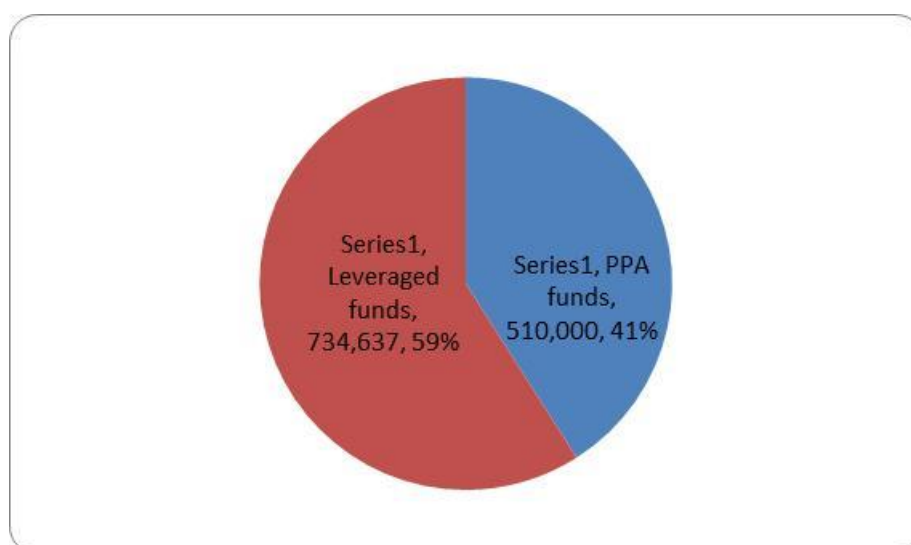
2. As noted above, participatory tools developed by the programme to help indigenous and Afro-Colombian communities build community legitimacy and confidence for natural resource management are now being used to resolve disputes in unexpected areas such as water and health.

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[91] "Too little evidence presented" and "Little analysis of how and why changes have been brought about".

[92] http://www.eclac.org/portofspain/noticias/paginas/0/44160/Final_Caribbean_RECC_Summary_Report%5B1-3%5D.pdf
http://www.undpcc.org/docs/Investment%20and%20Financial%20flows/Results%20flyers/Colombia/FLYER_COLOMBIA_HR.pdf

Lawrence (2012) uses the reported number of programme beneficiaries (impact indicator 1.1) and programme spend in FY 2012 to calculate PPA "cost per beneficiary" = £120. However, it is very difficult to know what this says about efficiency as there is no other programme data to compare it with. Even if there was, differences could easily just reflect differences in population density between programme areas. Moreover, the number of beneficiaries from current programme spend may increase significantly over time. At the *impact* level, discussion of value for money would be much more useful if it was undertaken using cost-benefit analysis[93]. At the *outcome* level it is more appropriate to compare the cost of achieving a given outcome across projects although we do not have comparable data that would allow this.

Effectiveness

The evidence presented in the TPR suggests that PPA funding has enabled WWF-Colombia to effectively target decision makers from community up to national level. The long term commitment to programme communities over the life of the previous and this PPA has been a critical component of success. Over this period, the programme has built effective coalitions at a number of levels. Programme staff reported in the TPR state that:

"We recognized that in order to address some of the complex objectives of this programme, we need to strategically work with different partners at different levels. This is why we carry out our work through a complex network of multi-stakeholders across Colombia. In this sense, our role varies depending on the context, our partners and the objectives we want to achieve. Sometimes we are supporting key stakeholders in influencing policy, or we work with ethnic communities in improving their direct management on natural resources, in other occasions, our work consists in providing scientific information and lessons learned to discussions on national level policy".

The investment in building mutual trust and transparent processes with communities (and other NGOs partners) has occurred over more than one PPA funding period. One of the lessons for DFID and WWF from this programme is that a commitment to a 5 plus year engagement is required to do this type of work. Consequently, some of the gains in policy influence that are observed half way through the current PPA period should also be attributed to investment which took place in the previous PPA.

In considering what distinctive offering WWF brings to this programme, the commitment to ecosystems sits well with afro-Colombian and, in particular, indigenous community beliefs around land tenure and natural resources use. However, more practically, land tenure issues are at the centre of indigenous and Afro-Colombian – State relationship. Landscape level planning provides a very effective lens through which to look at conflict resolution and this has been the entry point for WWF-Colombia. WWF has therefore been able to facilitate decision taking by stakeholders with conflicting interests over land use.

Other success factors highlighted by the WWF-Colombia office are that:

- WWF has not imposed their agenda but instead has followed the communities' agenda. Where a community wants to use programme-supported processes that build trust and resolve conflict for issues outside WWF's area of expertise - e.g. self-protection and land mines in National Parks

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[93] See, for example, the CBA of Tearfund (a UK NGO) climate-related interventions in India: http://tilz.tearfund.org/webdocs/Tilz/Topics/Disaster%20preparedness%20in%20India%20a%20cost-benefit%20analysis.pdf

- WWF brings in specialist NGOs to lead the work. The PPA has enabled what is clearly not a traditional conservation-led approach.

- There are good opportunities for learning on social-environmental issues across regions e.g. Timber marketing and REDD+.

This programme has placed a great deal of emphasis on learning to improve effectiveness – within the programme and the WWF-Colombia office- but also as a means of helping communities to modify behaviour to adapt to climate change.

"As part of the PPA Readiness Action Plan, the WWF-UK Climate Adaptation Team (namely Helen Jeans) designed with John Colvin (consultant) the "Learning for climate adaptation workshop" that they facilitated in WWF-Colombia in March, 2012. Through this very intensive and interesting four day workshop, they guided us in understanding and reflecting on: i) our "journey of adaptation to date, bringing us to the current shape of the Forest Resilience Program"; ii) to develop new ways of conceptualizing our future adaptation and climate smart development processes, enabling us to describe these to others; iii) introducing a range of individual and social learning practices that will help us underpin these future processes.

In the workshop we also developed an initial workplan related to lesson sharing of our adaptation work that will be part of a bigger program on WWF NACD learning and sharing knowledge. We will be implementing the adaptation lesson sharing work plan in the next months while structuring the larger program".

Learning is starting to become more systematic with the objective of producing a learning system that will influence the whole of the WWF-Colombia programme, not just the PPA[94]. It will obviously be important to document how this changes behaviour and what impact it has. Comments provided by team members were certainly positive e.g. " From WWF-Colombia's point of view, the workshop allowed us to clearly understand that learning is much more than producing a case study on a specific topic. It means asking questions about something you want to learn about and documenting the answer as activities are implemented. It means analysing and reflecting on the answers and seeing how that learning has transformed your individual thoughts, the institutional and/or community practice, policies, some aspect of reality".

By the end of this PPA the aim is to have the learning tools adapted and tried out in one or two communities (one in Choco and one in Amazon) and the Learning System in implementation in the whole of WWF-Colombia Programme.

- Most significant change methodology being used with communities. Field staff is using this as well. Work in progress. OD for local government tool has been developed and examples of use by communities themselves.

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[94] Besides providing support to John Colvin as main facilitator and learning in the process how to carry out these workshops, WWF-Colombia see Maria Elfi's participation in the Nepal workshop as a way of: i) installing more internal capacity to promote learning. ii) Establishing a connection with WWF-Nepal not only to share and discuss our advances, mistakes and successes in the learning process but to jointly contribute to enriching the network standards with this learning experience. iii) Establishing a connection with WWF-Brazil to share experience about learning on how to evaluate outcomes and impacts.

Results

The programme ToC is still evolving. Programme staff can articulate a very clear set of interventions and stakeholders that are required to transform activities into programme goals although these have not yet been adequately documented. The need to make assumptions more explicit in the results chain is recognised by the team (this is a weakness of the unusual ToC approach used by the learning consultant for the adaptation workshop).

Performance against LF:

- National Parks are in the process of reviewing their previous (5 year) plans. The Flowing Forward methodology enables climate change adaptation to be incorporated. WWF-Colombia are currently working with National Parks in including the ecological integrity analysis and an effectiveness assessment tool developed by National Parks and WWF several years ago (it is called Protected Areas Management Effectiveness Analysis with Social Participation – AEMAPPS, Spanish acronym) to develop a new methodology that WWF-Colombia have preliminarily called ARCA (Rapid Assessment of climatic risks and adaptation capacity), by which we will carry out the basic assessments of each national park and its landscape context (component 1 of the management plan) to inform the action plan component on the specific actions it must include.
- By raising awareness of climate change and supporting communities and policy makers to identify measures to reduce vulnerability successes have been seen in: making cattle-ranching more climate smart and encouraging protection of mangrove forest as a cost-effective means of coping with rising seas and more frequent tsunamis
- The programme impact indicator "Number of km^2 under improved management regimes" has the advantage of being comparable across programmes. However, it does not tell us whether this improved regime is really effective or sustainable. Hence, in addition, the programme has developed a four criteria index of effective forest management based around:
    1. Existence of a management plan
    2. Evidence that the plan is being used
    3. The integrity index (capturing biodiversity)
    4. Governance (a critical determinant of sustainability).

The integrity index has been developed in coalition with other NGOs and national parks in Colombia and used on another programme with Oxfam and others in Colombia. WWF also plan to use this approach in the Network more widely: specifically by applying it in Brazil and the regional Amazon work.

LF issues: the indicators for outcome 1 seem to capture various elements necessary to deliver the outcome rather than telling us if the communities are actually "safeguarding the ecosystems and ecosystem services upon which they and others depend in an equitable and adaptive manner".

For Outcome 2: indicator 2.1 it is sometimes difficult to see what difference the THIS PPA has made or is going to make to Policy frameworks and Practices as the indicators focus on lower levels in the ToC i.e. CSO levels of engagement with policy makers (2.1) and commitment to change by policymakers (2.2).

WWF-Colombia were unable to implement the "Commitment and action tool" in the projected timeframe (by June 2012), but will do so by the end of the calendar year since they were applying during the first year the capacity building index with the beneficiaries. WWF-Colombia were able to adjust the tool for implementation during November 2012.

Appendix

Governance and legality of forest management and timber production in Chigorodo and Mutata Indigenous territories (Uraba, Colombia): Conversatorio for Citizen Action summary by WWF-Colombia

As in other parts of the country, over-exploitation of forest resources and illegal timber production exert an enormous pressure on the forests in the Uraba region where Chigorodo and Mutata indigenous territories are located. WWF, partners and communities started the preparation phase of the Timber legality Conversatorio for Citizen Action in August 2011 by: a) identifying forest management and timber production problems, weaknesses and conflicts. This process included the analysis of the forest management/timber chain (planning, production, legal framework and transport) starting at the forest community level and going through the institutional (Corpouraba, Police and municipality) and transport and transformers levels. b) Strengthening the communities' capacities to understand and exercise their constitutional rights, know the legal and institutional framework of forest management and timber production, and manage environmental conflicts in a constructive way. At the end of the preparation phase, the participants had identified the main themes that would be discussed in the conversatorio, which took place in April 2011: i) the establishment of an inter-institutional coordination work table that would oversee legality of timber coming from Chigorodo and Mutata indigenous territories. ii) strengthening of technical capacities for timber production and control (cubication and dendrology). iii) Clear delimitation and clarification of ownership of indigenous territories. iv) Development of viable economic alternatives that could complement income generated by timber production and enhance food security. v) Indigenous communities' organizational capacity enhancement program. vi) Strengthening of a legal timber production practice in indigenous communities. vii) Strengthening of the indigenous justice system on topics related to natural resource management and legality. viii) Aspects of community and family well being.

During the Conversatorio event Corpouraba, National Parks, National Army, National Police, Ministry of the Environment, Universidad Distrital de Bogota, National University, SENA (National Apprenticeship Service), and other national or regional institutions signed and committed publicly to the implementation of various actions in each of these eight themes (Candelo 2011).

To date the most outstanding outcomes and impacts in relation to the implementation of the Conversatorio agreements have been: i) the establishment of the inter-institutional coordination table. 17 institutions and organizations signed the Uraba Regional Legal Timber Pact. ii) The consolidation of a mutually beneficial relation between Corpouraba and Chigorodo and Mutata, based on the total understanding of the role that each party has to play in sustainable forest management and legal timber production, transport and commercialization. "The relation between Corpouraba and Chigorodo regarding the implementation of a social control system and autoregulation with governmental participation is unique in the region (South America) and very significant" (Johnson 2011). iii) According to Ana Lucia Velez, Corpouraba´s Coordinator of Flora, Fauna and Soils, the whole Conversatorio process had an enormous impact on the Chigorodo and Mutata indigenous communities as it helped them understand that although they own the natural resources in their territories, their management and use has to be developed according to the existing legal framework and to sustainability criteria; in that sense they fully understand the differences between illegal and legal timber production and have fully committed to sustainable and

legal forest management and timber production. iv) Velez also points out that the Conversatorio process helped to strengthen and increase the number of community members participating in forest management and timber production discussions and decision making processes in Chigorodo and Mutatá. "Before the conversatorio these decisions were made solely by the indigenous government members, now they include other people from the communities". v) Chigorodo is implementing a territorial control system by which a group of trained Environmental Guardians regularly patrol their territory and coordinate with Corpouraba and Police for law enforcement. vi) Mutata government has realized it has the right to control their territory as Chigorodo is doing and has asked Corpouraba for resources to support the implementation of a similar control system.

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Nepal: People In Participatory Action For Life (PIPAL)

Case study based on documentation provided by WWF-UK and WWF-Nepal, interviews with WWF-UK and WWF-Nepal teams, and counterpart officials of Department of Forestry and Deptartment of National Parks and Wildlife. Also visits to Project sites in TAL and discussions with Field Project Officers, Community Mobilisers, User Group and User Committee members, and Coop members and officials. August 2012.

Relevance

WWF-Nepal has been active in the country since the 1970s, and during that time has undergone what it describes as a 'paradigm shift'. A focus up to the mid 80s on conservation of species via protecting habitats gave way to an approach of 'Integrated Conservation and Development' featuring buffer zones and conservation areas as a means of reducing pressure of human activity on wildlife reserves. Since 2000 WWF-Nepal has adopted a model of change which recognizes the synergy between:

   ecological & ecosystem integrity, and

   sustainable livelihood for human populations

...and thus gives equal weight to these.[95]

The projects implemented under the previous and this PPA –the latter named People in Participatory Action for life (PIPAL) - have both been based on this approach,

The importance of conserving the fragile landscapes of the Terai Arc and the Eastern Himalayas is well recognised internationally. The development of a landscape planning approach to developmental change has been a contribution of WWF-Nepal to this task. The adoption of landscape planning by the major Hariyo Ban ('Green Forest') programme, funded by USAID and recently implemented (2011) by a consortium of four national development agencies, led by WWF-Nepal, is an endorsement of this[96].

The two key components of the landscape planning approach are to enhance conservation in strictly protected areas (i.e. National Parks – IUCN category 1 or 2[97]) while promoting interventions in adjoining areas which contribute to safeguarding the strictly protected areas and at the same time provide opportunities for human populations to enhance their livelihoods in sustainable ways. In the Terai Arc, an important aim is to create 'corridors' which contain sufficient forest cover to allow wildlife to move across the Nepal India border, between National Parks in Nepal and the wildlife sanctuaries in India which adjoin the border. At the same time, 'bottlenecks' are being created to join the buffer-zones of National Parks, restoring and maintaining contiguity of habitat and thus promoting movement of wildlife between the Parks. These corridors and bottlenecks are also the home to many rural people gaining a livelihood from farming as well as –traditionally - from use of the forest. The Terai Arc Landscape presents a particular challenge in that its human population is relatively dense (some 650 per Km^2 over the 8 Districts which comprise the Arc), in that this population is increasing, and in that at the same time the landscape conservation objective requires extension of forest cover. The achievements of the

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[95] WWF-Nepal 2011. Sustainable Livelihoods: A Sustainable Livelihoods Mainstreaming Strategy. Kathmandu June 2011, 40pp (see esp pp.5-9, 13-20).

[96] The organisations are WWF-Nepal, CARE Nepal, National Trust for Nature Conservation(NTNC) and Federation of Community Forest Users Nepal (FECOFUN). The consortium is majority funded by USAID; the lead co-funder is WWF-Nepal and the consortium is led by by WWF-Nepal.

[97] See http://www.iucn.org/about/work/programmes/pa/pa_products/wcpa_categories

programme indicate that the vision of the project is achievable; but the process is not without some short-term tensions, including human –wildlife conflict (HWC).

Promoting developmental change in the Terai Arc and Sacred Himalayas landscapes involves a complex range of activities which aim to be synergic, addressing at the same time physical aspects of landscape conservation and also the task of capacity building of CBOs and CSOs, alongside that of protecting (or enhancing) the rights of poor, vulnerable and socially excluded (PVSE) socio-economic groups. The series of summaries in the 3 charts below[98], synthesised from the Project Proposal, indicate the range and complexity of activities at various levels for which PPA funding is used, and relate these to each of the Project Objectives 1-3.

Objective 1. To safeguard ecosystems and ecosystem services in TAL and SHL through increased access and ownership of local communities

Theme	Budget TAL	Budget SHL	Budget total USD	Budget %	Strategies & specimen activities
Forest	118,071	59,946	178,018	26.90	*Strategy 1.2*: Ensure ecosystem integrity and resilience through increased access and integrated community-base management in priority conservation areas.
Climate and Energy	38,571	20,536	59,107	8.93	
Freshwater		25,511	25,511	3.85	
Livelihoods	41,393	21,488	62,881	9.50	
Conservation education, capacity -building	36,804	49,000	85,804	12.96	*Activities:*CBO institutionalization; capacity building of CBOs; support CBOs for habitat management in corridors, bottlenecks and buffer zones; restore degraded forests and critical sites ; establish nursery for seedling production.
Policy and advocacy	5,714	13,214	18,929	2.86	
Communications and marketing	11,289	21,136	32,424	4.90	*Strategy 1.2* Ensure rights of poor, vulnerable and socially excluded groups in the decision-making and benefit sharing of forest resources.
Programme development and M&E	35,230	22,414	57,644	8.70	
Other Direct Costs	77371	64533	141,904	21.43	
Sub-Total (1) proportion of total budget	364444	297778	662,222 78.1%	100.00	*Activities:* Increase legal rights of PVSE though Community forest operational plans (CFOPs) *Strategy 1.3* Enhance and diversity livelihood opportunities (forest-based, off farm). *Activities:*Provide support through coops as micro-credit for IGAs. Support farm-based community enterprises(fisheries, horticulture food processing)

Objective 1, to which most of the Project budget is devoted, involves largely working with CBOs[99] in corridor or buffer zone villages at tasks which build capacity to pursue livelihood at the same time as conserving the environment so as to achieve sustainability of this livelihood. Thus so that (for example) the capacity-building of CBOs may be achieved by the practical means of encouraging the establishment of a tree nursery by a community forest user group as part of a programme for restoring their community forest. Protecting (or enhancing) the rights of poor, vulnerable and socially excluded (PVSE) socio-economic groups is achieved though their membership of forest user groups and the rights to Community forest which this provides. Support of off-farm income-generating opportunities reduces

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[98] Project proposal dated 13 October 2011 pp 30-38 (Objective Strategies & action plans) and 48 (Budget & fundraising).
[99] (CFCCs/CFUGs/BZCFUGs/CAUCs/rangeland management committee)

dependency on land-based resources for livelihood. The role of coops has been particularly effective in this process. Effectiveness of the strategies in general is discussed in the relevant section below.

Objective 2. To build climate resilience of community in TAL and SHL

Theme	Budget TAL	Budget SHL	Budget total USD	Budget %	
Enhancing climate knowledge:			24,931	17.64	*Strategy 2.1*: Conduct local vulnerability assessments, develop integrated (community & ecosystem based) adaptation strategies... to increase adaptive capacity of communities and ecosystems against climate-related stress. *Activities*: Implement climate-risk reduction strategies in identified vulnerable sites. Implement local adaptation plans of action (LAPA).
Disaster Relief			5,800	4.10	
Building resilience of community and ecosystem			52,000	36.79	
Improving policy / planning:			7,000	4.95	
Communications and up-scaling:			16,000	11.32	
Monitoring and evaluation:			2,350	1.66	*Strategy 2.2:* Diversify, upscale and replicate local adaptation initiatives on agriculture, water, energy, health & ecosystem management in vulnerable sites of TAL & SHL. *Activities*: Promote efficient multiple use of water. Promote drought and flood-resistant agricultural practices. Implement climate adaptation initiatives based on vulnerability assessment. Promote clean & energy efficient technologies. Conserve spring sources.
Scoping constraints & opportunities for integrating: - climate change adaptation, - the natural environment, and - poverty reduction into national and regional policy frameworks			4,250	3.00	
Other Direct Costs			29002	20.50	
Sub-Total (2)			141333	100.00	
proportion of total budget			16.7%		

Objective 2 focuses on climate change: an important breakthrough achieved here has been the institutionalisation of local adaptation plans of action (LAPA – outlined in detail under 'effectiveness' below.) These have been pioneered in SHL and are now ready to be scaled-out in both SHL and TAL, giving a focus to strategy 2.1 and also, in their implementation, enabling strategy 2.2 to be addressed.

Objective 3 covers the formulation of policy (at both national and local level) and the role that this plays in achieving project objectives. WWF-Nepal has since its foundation engaged with Government at national policy level, and there has been an important opportunity for this during the country's recent transition to a republic. WWF-Nepal has made important contributions to formulating national land use policy, and forest and climate change policy: currently it is represented (as member or expert advisor) on some 14 national committees or agencies concerned with biodiversity, climate change, and land use policy & law. As far as the current PPA is concerned, a fairly modest input in terms of the project budget is providing the scope for this work to be built on, and the enabling the particular strategies of PPA to be pursued in terms of national land use policy.

Objective 3. To develop environment friendly and climate smart national land use policy and local level land-use plans for TAL and SHL

Theme	Budget TAL	Budget SHL	Budget total USD	Budget %	Strategies & specimen activities
Engagement with Legislative Assembly committee			13,000	29.25	Strategy 3.1: Effective policy to protect PAs & critical corridors from large-scale economic development projects, and land-use planning to separate intensive land-use areas from wildlife areas.
Engagement with Legislative Assembly committee			12,000	27.00	Activities: Support development of a land-use policy & plan. Support awareness campaign. Support capacity-building of CSOs, CBOs, Government line agencies.
Partnership and Coordination			5,000	11.25	
Development of new proposal and technical support			2,000	4.50	
Conservation Education			3,000	6.75	
Other Direct Costs			9,445	21.25	
Sub-Total (3)			44,445	100.00	
Proportion of total budget			5.2%		

Efficiency

The Project's 'modality' of working cooperatively with Government in TAL and SHL.

Developed at an early stage of work in TAL (2001) and SHL (2006) this involves the four field offices in the two Landscapes being staffed by a seconded manager of a government department (Forest or National Parks and Wildlife) and a co-manager who is a WWF staff member. (Other staff are WWF-funded as are operational costs.) This collaboration at field office level is supported at Department level by a small Coordinating Committee of senior staff from the Departments and WWF which meets very frequently and informally. An (infrequently-meeting) Steering Committee and an Executive Committee provide support for the Coordinating Committee up to Director General level of the two Departments and Country Representative level in WWF-Nepal. In the field, what this modality achieves on the ground is that it mobilizes the line departments' resources to support PIPAL initiatives. This is achieved directly via the role of the Managers from Forest and NP departments, but also in that Forest and NP staff can be very readily mobilised locally. Thus in the case of community forests a Forest Officer's input is needed to advise FUGs on their plans, to approve the plans, and ultimately to register the forest so the rights of the FUG are legally established. This input can be achieved very readily within the modality (which, more generally, avoids the classic problem of technical departments being unable to deliver services because budgets are used up in meeting staff and other core costs).

'Lean' staffing of the Project in TAL and SHL

Project activities are delivered from each of the 4 field offices of TAL and SHL by a very small number of staff. In each of these locations there are approximately 15 staff in all: typically just under half of this number are core staff (on the WWF, Forest Department or National Parks Department payroll) and just

over half are community/field level workers (variously termed community mobilisers or rangers, and on annual contracts –although many are long serving). In the Western Terai (for example) there are 10 field workers, one allocated to each corridor or bottleneck and serving 10 or more Community Forest Coordination Committees (the umbrella bodies) and up to 100 user groups which may comprise 5,000 households. Field project staff agree that this is a very large workload for individual community level workers. However a suggestion coherently made by the staff members concerned is that this becomes possible because of the high level of community participation which results from the user groups and the group / committee structure, the relative ease with which Project staff can engage with community members through this structure, and the responsibility for promoting change which (as visits to villages and meetings with CBO members indicated) is undertaken by community members themselves.

Effectiveness

Field visits, briefings from project staff and M&E data indicate clearly that change is taking place as a result of Project interventions. On a case-by-case basis, it has been easy to observe landscape improvement in the TAL as a result of creating community forests, reduced use of firewood through investment in biogas, and significant livelihood improvements as a result of Project-supported income generating activities. The extent to which these are leading to programme goals is covered further in the section 'Results' below. At this stage in the life of the current PPA, much of the achievement to be seen on the ground is the result of activities initiated under the previous PPA from 2008 onwards, rather than being attributable entirely to the current project. However (to take examples from field observations), established new plantings can already be seen in community forests registered within the lifetime of this PPA, IGAs initiated within the past 12 months are bringing benefits to participants, and the youth and schools programmes are active via ecoclubs .

Beyond this, the following are highlighted as cases of institutional innovations (one from TAL, one from SHL) which have enhanced the Project's effectiveness in engaging with and impacting on beneficiaries' livelihoods as well as on the achievement of conservation objectives:

Microfinance through coops
The UNDP-funded 'Parks and People project 1995-2005 featured the establishment of Buffer Zone User Committees: within these, savings and credit groups were facilitated following a model developed by the Aga Khan foundation in Pakistan. Some of these (the more successful, with sizeable funds) registered as cooperatives. In the early stage of the TAL programme (early 2000s), a saving and credit provision linked to the Community Forest and Buffer Zone User *Committees* (the umbrella organisations of User Groups) was planned, envisaged as a means of promoting investment in income generating activities. The programme was prepared to fund this, but it was recognised that the User Committees were not constitutionally suited (or indeed empowered legally) to operate as lenders. PPA therefore now makes payments into a user Committee's local coop to establish a revolving fund for agreed purposes (typically a payment dedicated to lending for biogas investment and another for other IGAs – amounts vary but typically range from Rs 100,000 -500,000 for IGAs to around 500,000 for biogas – not undertaken in all UCs). Access to funds (at interest of 8% for biogas, 12% for other IGAs) is of course dependent on borrowers becoming members/shareholders of the coop (typically at Rs 100 per share), and many also become savers (of amounts from Rs 40 per month upwards).

There are now 16 coops in all, in 6 District of TAL. Member ship has grown over past 6 yrs from less than 1,000 to 14,500 currently (58% men 42% women). Total share capital is Rs 8,539,000 and savings Rs 34,932,000. (See charts below). However one coop (operating in a single VDC) has only 25 members.

Growth in membership and share capital of 16 cooperatives in TAL[1] 2006-7 to 2011-12[2]

Share membership by gender
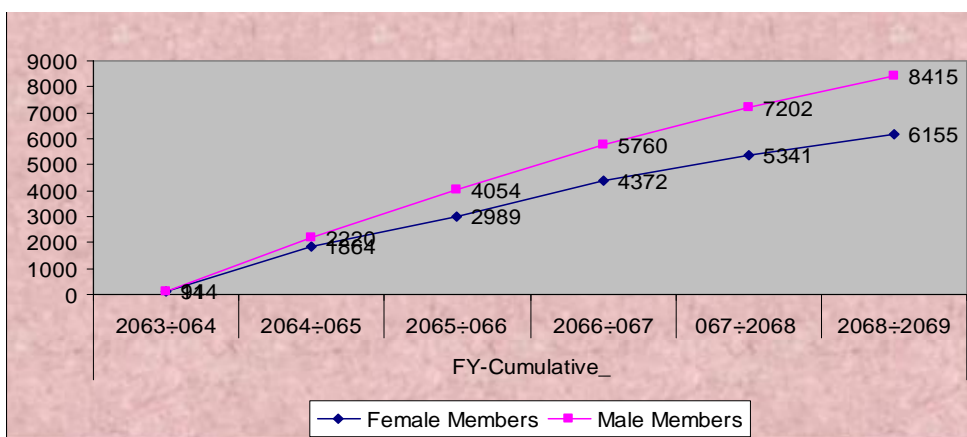
Share capital and savings amounts
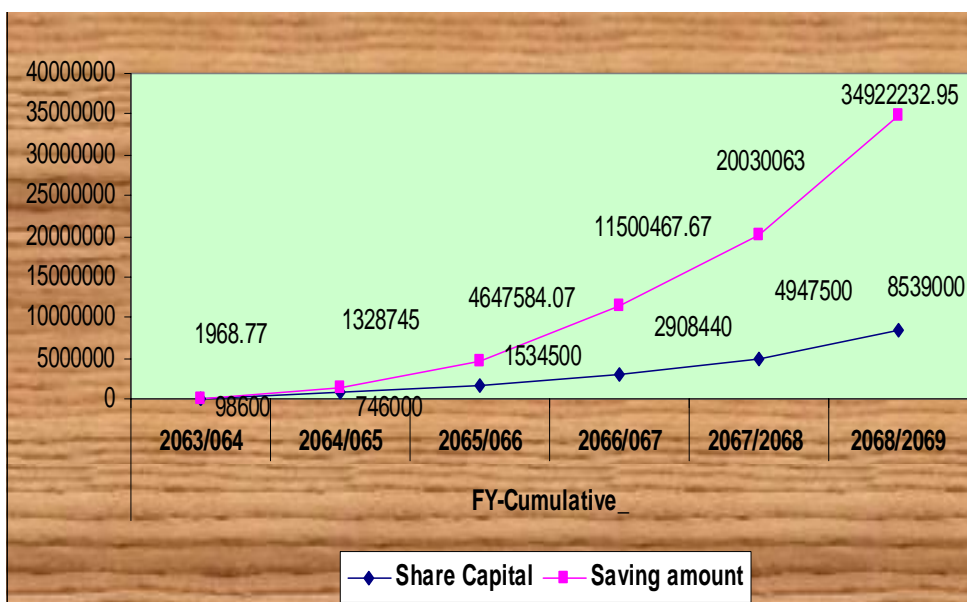
[1] Palpa, Dang, Banke, Bardia, Kailali and Kanchpur Districts
[2] Source: Powerpoint by Vaskar Choudhury, Microfinance Associate, TAL Dhangadi.

Community-level climate climate change adaptation

The main focus of PIPAL's climate change adaptation activities has to date been Langtang NP and Buffer Zone. This has built on work done in PPA3, during which a vulnerability assessment was carried out and the decision taken to adopt the national strategy of implementing *Local Adaptation Plans of Action* (LAPAs)[100]. LAPAs were seen as having the potential to serve as a focus for awareness-raising on climate change, and the Village Development Committee (VDC) i.e. the smallest administrative unit, as the appropriate planning unit. Now 4 LAPAs have now been carried out in Langtang. A participatory process within the community leads to production of a sizeable document covering: history of the village, a current situation analysis, ward-by-ward hazard mapping and hazard ranking, proposed adaptation strategies, ranking of strategies and a summary adaptation plan. This is published in a glossy-covered 20-page book carrying an introduction signed by the Project Managers (NP Warden as Project Coordinator, and WWF Project Manager) and with endorsements by the Chairs of the VDC and DDC. The cost of a LAPA up to publication of the document is approximately USD 1.000.

Activating the LAPAs in Langtang has been another case in which the working modality between WWF and Government proved its effectiveness. The Project worked to achieve endorsement of the concept of a VDC-level plan by local government (the District Development Committee - DDC) and achieved this via making the case that the Project was ready to fund an activity which DDC could embrace as consistent with national policy. The success of institutionalising the LAPA means that there is now available a model which can be widely scaled and PIPAL plans to introduce the LAPA into other project areas in SHL and also – importantly - into TAL. It is also important to note that this process was started with the climate vulnerability assessment in the previous PPA (in 2009) and is another case of institutional development taking time to achieve.

Results

This section is based on a review of the TPR of April 2012 which reports progress against logframe indicators up to that date, but which is currently being updated to July 2012. The report includes projections for the full FY 2012 which are noted below.

Impact indicators

Indicator IM1 Number of poor women & poor men directly benefiting from initiatives that have improved ecosystem and ecosystem services in priority landscapes

> WWF report: Project initiatives have directly benefited 51,107 individuals in TAL and 14,449 in SHL (proportions of women are TAL 73%, SHL 51%). Initiatives in TAL were: preparation of forest operation plans (FOPs) and handover of community forests, biogas installation, improved cooking stoves installation, solar lamp, agro-based income generating activities (IGA), off-farm IGA, cooperative membership, non-formal conservation based education and skill based trainings. Initiatives in SHL were: preparation of FOPs and handing over of community forests, livestock insurance scheme (LIS), integrated pest management (IPM) and organic farming, conservation ponds, biogas installation, solar home systems, spring source conservation, water collection tank, restoring spring sources, skill based trainings. When added to the FY2011 baseline for number of beneficiaries (i.e. 51,107 in TAL, 14,449 in SHL) the above figures meet the 2012 Milestone by 101%.

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[100] See Learning Hub / DFID / IDS Sussex (2012) Linking National and Local Adaptation Planning: Lessons from Nepal. Case Sudy 03. 4pp at http://www.ids.ac.uk/files/dmfile/LHcasestudy03-NepalLAPA.pdf

Notes: An issue affecting the assessment of impact is that there is no universal indicator of poverty status for the numbers reported. The current practice is that a participatory well-being ranking is conducted by the community forest user group (facilitated by the Community Motivator). However the ranking categories (very poor, poor, better off etc.) and the criteria defining these are determined by participatory process in each group. Thus these data are not comparable across the population.

Indicator IM2: Number of hectares under improved management regimes and/or with reduced threats as a result of improvements in policies and practices

WWF report: Actual Achievement FY 12 (Jul to Mar): 12,635 km^2. Projected achievement for full FY12: 12,635 km$^{2.}$. FY 12 overall milestone achieved.

Notes: considerable detail in April 2012 Programme Progress Report indicates qualitative achievement as well as quantitative achievement in excess of milestone.

Indicator IM3: Number of policies and practices adopted and/or strengthened to incorporate concepts of environmental sustainability, poverty reduction, and/or climate smart

WWF report: Milestone 1 target for FY12: 2 policies/practices adopted at the national level. Actual Achievement: 1. National Climate Change Policy (2067) endorsed (2011) and National Land Use Policy- 2068 endorsed (2012).

Notes: This represents a considerable achievement of the policy targets. It was expected that Land Use Policy might take up to 3 years to reach endorsement level due to current political uncertainty. But no delays in process were encountered and it was remarkable that by the end of March that the National Land Use Policy had been approved by the legislature and final endorsement achieved by April 18[th]2012. A National REDD strategy is prepared and endorsement is targeted in FY 13.

Outcome indicators

[Outcome 1 'Communities are safeguarding the ecosystems and ecosystem services upon which they and others depend in an equitable and adaptive manner'].

Indicator OTC1.1: Number of CSOs/CBOs, and other multi-stakeholder management regimes with strengthened capacity to sustainably use/manage natural resources.

WWF report: Baseline (FY11): 578 in total (in TAL and SHL). Milestone 1 target for FY 12: 30 new CSOs/CBOs in TAL and 10 new in SHL. Actual Achievement (Jul – June): 27 in TAL and 13 in SHL. Estimated Achievement (Jul – Jun): 21 in TAL and 9 in SHL. This will be a 10% shortfall of the FY12 milestone in TAL and 30% overachievement in SHL.

Notes: The importance of ensuring capacity of existing CBOs / CSOs is prioritised. The CSO capacity tool will be an important aid to this. When added to the FY 2011 baseline for number of CBOs (27 in TAL and 13 in SHL) the planned milestone (618) is met.

Indicator OTC1.2: Number of effective natural resource management plans implemented and enforced.

WWF report: Baseline (FY11): 3 PA management plans in TAL and SHL. Milestone 1 Target (FY12): 8 Protected Area management plans in TAL and SHL. This is on target with 8 plans are all being

undertaken, by the relevant DNPW Officials with financial support and technical inputs – which includes facilitation of community consultation processes - from WWF.

Notes: This is a major initiative to revise management plans across most of the NPs and CAs in TAL and SHL. Mentioned during the Aug/Sep 2012 Field visit as being largely on track. All 8 are in process, drafted or awaiting government endorsement . Expected completion within Q1or2 of Fy13.

Indicator OTC1.3: Number of local and national policies and plans with allocated resources that support improved regimes for the community, collective or co-management of natural resources, as a result of WWF engagement.

WWF report: Baseline (FY11): 8 LAPAs in total. Milestone 1 (Target for FY12): 10 LAPAs in total. Actual Achievement (Jul – Jun): 10 Adaptation Plans prepared using CVCA tool in KCA. Estimated Achievement (Jun – Mar): 10 i.e. Implementation of the newly developed local level Adaptation Plans. In this regards four agreements were signed with Buffer Zone User Groups (Bhorley, Laharepauwa, Ramche and Syafrubesi) to carry out range of activities as recommended by the LAPA (Local Adaptation Plan of Actions) prepared in fiscal year 2011 in Langtang .

Notes: this is the start of the roll-out of the LAPA (Local Adaptation Plan of Action), to establish a modality for which is seen as an important achievement (see under effectiveness above).

Outcome 2: 'Policy frameworks and Practices relating to adaptation, REDD+ and low carbon development are climate-smart, environmentally sustainable and designed to secure and/or improve the well-being of men and women living in poverty'

Indicator OTC2.1: Level of engagement of civil society groups with key decision makers (Government and other) to advocate for policy frameworks and practices related to adaptation, REDD+ and LCD, that are climate smart, environmentally sustainable designed to secure/improve the well-being of women and men living in poverty.

WWF report: Milestone 1 (Target for FY12): Level 4 to be achieved for the 3 policy areas in the indicator, i.e. Adaptation, REDD+ and Low Carbon Development. Actual Achievement (Jul – Jun 2012): Level 4 – Adaptation, Level 3 – REDD+, Level 3 – Low carbon development. Estimated Achievement (Jun – Jul 2012): as above.

Basis of assessment: Level 3 is 'Influencing and lobbying'; level 4 is 'Endorsement'.

Notes: the endorsement by local government of Adaptation in the form of the LAPAs is mentioned above (under 'Effectiveness') and is a major achievement.

Indicator OTC2.2: Levels of commitment and action by Government/other key decision makers towards policy frameworks and practices related to adaptation, REDD+ and LCD are climate smart, environmentally sustainable and designed to secure/improve the well-being of women and men living in poverty.

WWF report: Actual Achievement (Jul – Mar): The LAPA framework for adaptation is in place and is endorsed by GoN, so is at Level 3 (High). REDD+ remains on Level – 2 (Medium) as the National REDD+ Strategy is initiated. Low carbon development remains on Level – 2 (Medium) or slightly lower.

Basis of assessment: Level 1 is 'Basic' (Engaging and exploring good practice); Level 2 is 'Medium' (Policies, procedures, guidelines are developing); Level 3 is 'High' (Policies, procedures, guidelines in place)

Notes: see above re endorsement of the LAPA framework. Overall this indicator is achieved.

Note on assessment via scoring: Achieving 'engagement'(indicator OTC2.1) or ' commitment' (indicator OTC 2.2) are *processes* which it is a challenge to assess in order that they may be used as logframe indicators. Ordinal scoring is an appropriate approach to this, which has, within the WWF-PPA, probably been achieved most successfully in Brazil (see Case Study below). Here a 7-point scale, with detailed descriptors, has been introduced to be applied throughout the project's outcomes, rather than the 3-point and 5-point scale used (variously) here.

Outcome 3 – 'Government and private sector policies, practices and priorities relating to investment in infrastructure and natural resource extraction/use are climate-smart, environmentally sustainable, designed to secure and/or improve the well-being of women and men living in poverty'

Indicator OTC3.2: Levels of commitment and action by Governments to ensure that social, environmental, and climate smart standards are integrated into development planning, trade and investment strategies.

WWF report: Actual achievement (Jul – Jun): Level 3 – Land Use Policy, Level 2 – Large scale infrastructure (hydropower) development.

Notes: A Parliamentary report on sustainable hydropower was submitted Sept 2011 by the Parliamentary Committee on Natural Resource and Means. The report identified hydro-electricity as an important component for national development. WWF-Nepal is a member in the technical committee since Jul 2009 and has been providing technical input. Constructive engagement to address environmental concerns on development of large infrastructures including hydropower has 2 components- position paper and stakeholder consultation. This indicator is achieved.

Output Indicators / report on activities

Output 1 – 'Communities have received WWF training and/or have participated in processes for the equitable and adaptive safe-guarding of ecosystems'

Indicator OP1.1: Number of initiatives established that are enhancing and/or diversifying peoples' livelihoods.

WWF report: Milestone 1 (Target for FY12): 99 in TAL and 55 in SHL. Actual Achievement (Jul – Mar): 99 in TAL and 60 in SHL. Estimated Achievement (Jul – Jun): 99 in TAL and 60 in SHL. Initiatives concerned are:

In TAL: construction of seed storage facilities, turmeric enterprise, bamboo enterprise (both of which are traditional activities for which improved methods, materials and marketing processes have been supported), forest fire management support, community seed collection centre, bio-engineering support, and endowment fund support to four CBAPO Units in CNPBZ(aiming at retaining youth in CBAPO and its sustainability in the long run.)

In SHL: forest fire management support, spring source protection, landslide protection, establishment of tourism product/services based mirco-enterprises and support to water-smart technology.

Notes: opening opportunities to User Groups (including training) to adopt farm and non-farm IGAs is an essential part of maintaining the vigour and enhancing the capacity of the Groups. This indicator (achieved against target as stated) is a key monitor of this process. The indicator is achieved.

Indicator OP1.2: Number of trainings conducted and/or facilitated with CBOs/ CSOs, collaborative or joint management regimes on adaptive ecosystem (or climate change) management with equitable distribution of costs and benefits.

WWF report: Milestone 1 (Target for FY12): 350 trainings in TAL (12,159 participants); 15 trainings in SHL (248 parts).
Actual Achievement (Jul – Jun): 409 events in TAL (13,205 participants); 53 events in SHL (1,212 participants).
Themes of training included: (For TAL): reporting and database management refresher training, account keeping training, entrepreneurship business plan development training, IEE/EIA, forest fire training, group management training for ward-level mother's groups, orientation on PHPA to LRPs, orientation to forest watchmen and forest inventory training

(For SHL): book keeping, orientation on community forest constitution and operational plan, forest-fire training, interaction training and networking for rangeland/pastureland management committees, group management and leadership development training, photographic training, workshop and training on snow leopard conservation, vulnerability assessment and mapping, forest-based micro-enterprise development, book-keeping and finance management, forest fire management training,interaction workshop on climate change, training on kitchen-gardening, office and financial management training, orientation training on conservation and workshop on biodiversity and security coordination

Notes: as for OP1.1 above: records are available (hard copy and digital) of all the events and the participants with gender-wise segregation. They are also included in the technical and financial progress reports from the field offices. None were consulted for this review (nor was any training session observed).

Indicator OP1.3: number of CBOs/CSOs trained and facilitated to engage in advocacy and/or watchdog functions relating to environmental sustainability

WWF report: Milestone 1 (Target for FY12): 20 in TAL and 5 in SHL. Actual Achievement (Jul – Jun): 23 in TAL and 4 in SHL.

These events were largely mounted by partner organisations and supported by PIPAL. Partners included Biodiversity Conservation Forum (BCF) (an umbrella organization of CFCCs, BZMCs and other natural resource management organizations in TAL); SENSE Nepal (a network of youth eco clubs); FECOFUN (District Chapter – Kailali (supported in implementing the local curriculum including environment-related issues.in primary schools). Other partners include, Buffer Zone Management Committee Banke National Park (4 Buffer Zone User Groups), Agriculture Environment Development Organisation (AEDO) and Chure Conservation Network (CCN),

Kanchanpur. In SHL partners are Community Forests Supporters Network (COFSUN) (District Chapter – Taplejung supported to conduct sensitization/capacity building programme to CFUGs)

Notes: A shortfall of 1 event in SHL, but overall this-milestone was achieved

Output 2 – 'Policy frameworks and practices relating to adaptation, REDD+ and low carbon development that are climate-smart, environmentally sustainable and pro-poor, are identified, advocated and/or supported by WWF/partners'

Indicator OP2.1: amount of information (quantitative and qualitative) shared, and/or approaches, lessons and tools developed and promoted

WWF report: Milestone 1 (Target for FY12): 4 items in TAL and 3 items in SHL. Actual Achievement (Jul – Mar): 4 in TAL and 5 in SHL; estimated Achievement (Jul – Jun): 5 in TAL and 5 in SHL.

Individual items are:

Booklet entitled 'Terai Arc Reloaded' which highlights the 'big-wins' in the last 10 years and the way forward for TAL. http://wwfnepal.org/media_information/publications/?204417/TAL-Reloaded. Published 2012.

Video documentary on TAL, detailing the major achievements in the last 10 years in biodiversity conservation, sustainable livelihoods and policy and advocacy, and capacity building. (Nepali & English, now in preparation, due for release July 2012. Hello mark to go home

Documentary on Langtang Area and Biodiversity Conservation aired on Nepal Television in Jan 2012. PIPAL provided financial and technical support.

'Prativa Punja' (write-ups and information related to biodiversity conservation and environment) published by Langtang Area Eco Club Network with PIPAL support. The network is also involved in street drama, campaigns, conservation rallies, clean-up events etc. all aimed at local communities.

Draft report of vulnerability assessment of the Tamor sub-basin in Kangchenjunga Complex, carried out using 'Flowing Forward' methodology in August 2011. Draft report is prepared.

Vulnerability assessment of 6 priority sites within 4 corridors within the TAL, carried out by an independent consultant. Report prepared and due for release July 2012.

Notes: Not all the 10 items specified in the summary of the indicator in the APR are detailed in the report. In general WWF-Nepal's communication products (in all media) are high quality and the (small) communications unit is adept at engaging with national media.

Indicator OP2.2: number of civil society groups and other influential people and bodies in adaptation, REDD+ and low carbon development decision-making processes (WWF and partners and engaging with)

WWF report: Milestone 1 (Target for FY12): 9 in TAL and 17 in SHL Actual Achievement (Jul – Mar): 9 in TAL and 20 in SHL. Estimated Achievement (Jul – Jun); 9 in TAL and 20 in SHL.

Organisations supported include:

Regional Directorates, Department of Forests in their workshops in TAL, in review and planning meeting, in the joint-monitoring of activities in their jurisdiction, and to provide training to technicians from the district offices .

Nepal Forest Fire Management Chapter (NFMC) to develop the community-based fire management in TAL. Forest fire is identified as one of the drivers in REDD.

Langtang Eco Club Network in their week-long campaign on forest fire in 8 clusters, reaching nearly 1000 people observed the campaign. No fire is recorded to date in Langtang this year.

Nepal Federation of Journalists – Taplejung Chapter to conduct media trip and prepare advocacy plan in 5 different community groups of 5 VDCs and then identify prevailing issues of governance, biodiversity conservation, equitable benefit sharing and local livelihoods.

Local FM radio, Taplejung in Kangchenjunga to disseminate the message related to forest fire, poaching and wildlife crime control, and biodiversity conservation issues/news/topics on daily basis (rather than bi-weekly).

Notes: A count of the organisations mentioned in the narrative of the APR (summarised above) yields a figure below that of the numbers provided by the APR against the indicator. This way of presenting the report is a bit cumbersome for a reviewer: it's neither presenting numbers which are readily verifiable (without going to the primary data) nor a concise background narrative. In general this Milestone appears to have been achieved.

Output 3 – 'Climate-smart, socially and environmentally sustainable policies and practices for public/private actors investing in infrastructure and natural resources extraction/use, are identified, advocated and/or supported by WWF & partners'

Indicator OP3.1: Amount (quantitative and qualitative) of information and lessons shared, and tools and approaches developed and promoted

WWF report: Milestone 1 (Target for FY12): 3 in Nepal. Actual Achievement (Jul –Jun): 3 in Nepal

Parliamentary report on sustainable hydropower is prepared and published. WWF-Nepal is a technical member of the Parliamentary Committee on Natural Resource and Means.

National Land Use Policy: a questionnaire survey was conducted in 15 districts from four ecozones and Kathmandu in order to support the process of drafting the Land Use policy. The statistical analysis of the survey was completed and was presented in a high-level Ministerial meeting held on 12-13 November 2011. WWF-Nepal is a member in Steering committee and Executive committee. The analysis of the questionnaire survey was carried out by Senior Planning and Monitoring Officer, WWF-Nepal. The result of analysis was used in preparing the National Land Use Policy.

Notes: The TPR identifies 2 discrete policies (sustainable hydropower and National Land Use Policy), rather than 3: but engagement with the latter in particular has been very comprehensive and influential. Thus achievement under this indicator is considerable.

Indicator OP3.2: number of influential people and/or key decision-making bodies (WWF and partners are engaging with)

WWF report: Milestone 1 (Target for FY12): 10 in Nepal Actual Achievement (Jul – Mar): 10 in Nepal Estimated Achievement (Jul – Jun); 10 in Nepal

Details: WWF-Nepal fostered partnerships with new government line agencies and constituencies. They are Ministry of Forests and Soil Conservation (renewed Scope of Cooperation signed on Jun 2011), Ministry of Environment (MoU signed on Jun 2007), Ministry of Energy/Water and Energy Commission Secretariat (Project Agreement signed on May 2010), Ministry of Agriculture and Cooperative (Minutes of meeting on Dec 2011) and Federation of Community Forests Users, Nepal (minutes of meeting on Dec 2010).
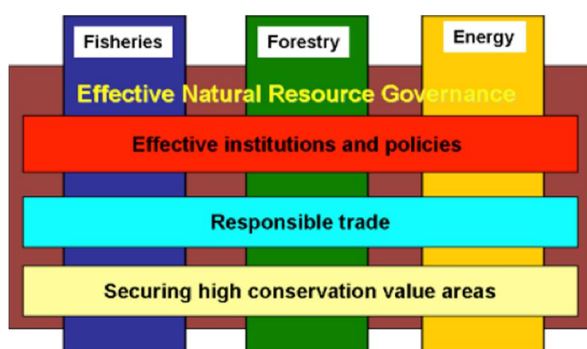
Notes: again the figure 10 does not readily emerge from the supporting para ('Details') above, extracted from the APR (see also notes under indicator OP2.2).

Rumaki and Coastal East Africa (CEA)

Case study based on documentation provided by WWF-UK and WWF-Tz, interviews with WWF-TZ/WWF-UK team, discussions with stakeholders[101], August and September 2012

The main focus of this case study is on Rumaki as this is the major recipient of PPA funds[102] within Coastal East Africa (CEA). CEA falls under WWF's Global Initiative (GI) programme. The GI has two main components: i) thematic and ii) place based. Under the former, PPA is providing funds to a) China Africa (see separate case study), b) certification work on fish, and shrimp, c) timber trade, d) regional governance. Thus main components focus on three main resource sectors of fisheries, forestry, and energy and three main goals are seen in each sectors, see figure.

Schematic overview of the natural resource sectors and strategic components covered by the CEA

Rumaki falls under the place-based component of the GI[103]. PPA support to Bono-Dodori in northern Kenya also falls under the place-based component. Rumaki is implemented from the Dar es Salaam WWF office which reports to the WWF East and Southern Africa programme office in Nairobi. The Dar es Salaam WWF Office also reports to the GI under the WWF International Office.

Rumaki has received funds from a number of donors including Barclays, M&S, and private donors. Until early 2012 substantial funding came from the EU. Currently there is a submission for funding with the EU, which if successful is expected to be just under 3 million Euro. Rumaki is said to currently report to three different LFs. As such Rumaki sits within a complex reporting and contractual web.

The focus of this brief case study is on those aspects funded under this PPA. As areas funded by PPA obviously contribute to the wider programme, aspects of the wider programme as relevant, are also included below.

Relevance

Rumaki has developed into a CBNRM approach to marine conservation thus representing a shift in approach from a reliance on marine parks as the main model to protect areas of conservation significance. Tanzanian policy supports the creation of Beach Management Units as the vehicle by which marine (and freshwater) fishing grounds can be co-managed with the Government of Tanzania. Thus

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[101] Representatives of Beach Management Units, Mafia Island and members of VICOBA savings and credit groups Mafia Island and Rufiji; District Fisheries Officers, Mafia and Utete; Mariculture groups, Mafia Island; District Commissioner and District Executive Director, Mafia Island and others, see Annex D.
[102] £200,000 under the current PPA
[103] Rumaki is one of nine place-based areas under the GI

WWF has worked to develop and support the formation of Beach Management Units – management units for areas of the sea and coast under the surveillance and co-management of local communities.

The Rumaki programme uses PPA funds in five main initiatives to engage with local communities:

1. Support to village savings and credit groups (VICOBA) (Contributes at the Output level of the PPA logframe)
2. Strengthening of BMUs (contributes to PPA Outcome 1, Indicators 1 & 3)
3. The development of collaborative structures (CFMAs) in which BMUs work together (Outcome 1, indicator 2)
4. Support to mariculture projects (Contributes at the Output level of the PPA logframe)
5. Climate change adaptation and vulnerability (not supported by PPA funds and not included in this case study)
6. In addition PPA funds contribute to data collection relating to fish catch and abundance monitoring. PPA funds, together with other sources of funding, currently contribute to a part of data collection activities and EU funds support feedback to communities.

Other initiatives that are part of the Rumaki programme include:

- The integration into the Coastal East Africa Global Initiative Climate Change Adaptation programme (not funded by the current PPA and not included in this case study) which includes a very small scale vulnerability assessment and plans to scale up in the future
- Protection of critical threats to habitats and species (not funded by PP4 and not included in this case study).

Support to village savings and credit groups (VICOBA)

Although not the main thrust of the programme, VICOBA have provided a successful entry point for WWF working in coastal communities. Initial seed money of up to 10 million T Sh (around $600) is provided by WWF together with funds for training and follow on visits to each group. The model adopted has proved successful elsewhere in Tanzania[104] and in Africa, and the use of tried and tested model has contributed to their success[105] in coastal villages. WWF would not necessarily be expected to have skills in design of business training and credit and savings management and the use of tried and tested model is a valuable lesson.

A number of aspects of the VICOBAs are open to question. Although several members of VICOBAS during the current review insisted that they had been among the poorer strata of society before joining the VICOBA this was impossible to assess. A socio-economic study was commissioned and completed in December 2011 but was unavailable to the reviewer[106].

Few of the business ventures were related to marine products. Programme staff perhaps hoped that loans would be used to improve fishing gear and replace illegal nets. Although this has not happened,

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[104] See, for example, "VICOBA [Village Community Banks: A TOOL FOR COMMUNITY EMANINCIPATION FROM POVERTY" SOCIAL AND ECONOMIC DEVELOPMENT INITIATIVES OF TANZANIAP. O. BOX 110062, DAR ES SALAAM, TANZANIA.
[105] During visits to coastal communities, there were 4 or more requests for further support to start new VICOBAs.
[106] The report was said to require considerable revision and by September 2012, comments had not been fed back to the consultants responsible. In this case, WWF have been let down by the consultancy companies involved.

the VICOBA has served as a valuable and appreciated first contact point with fishing communities. In Kilwa in particular, BMUs are undeveloped[107]. However VICOBAs have been successfully established.

As noted by WWF staff themselves, particularly in the more remote areas of Rufiji, many of the businesses circulate money within the village, rather than bring in income from outside. WWF are looking at ways in which this could be reversed.

Strengthening of BMUs

Beach management units have been supported by WWF as the appropriate structure for protecting marine resources at the local level, and are supported by national policy. Beach management units were developed as a form of co-management of fisheries grounds in Lake Victoria ten or more years ago and have since been enshrined in national policy. Fisheries co-management approaches have been widely adopted internationally in response to inability of governments to prevent decline in fish stocks and other marine products.

Rumaki BMUs have received support from WWF, together with District Fisheries officers, in terms of initial sensitisation, on-going training in "leadership", conflict resolution, surveillance, revenue and data collection, shared (with other BMUs) motorised boats, etc.

Mafia Island Authority now commits 10% of its annual fisheries budget to support Mafia Island BMUs. Rufiji and Kilwa have pledged 5% of their annual fisheries budget to support BMUs.

There is some debate in the literature[108] as to whether co-management and co-governance are the same. Bene and Neiland[109] differentiate between the two aspects as is illustrated in the following:

> *Management is about action, governance is about politics. Management is about implementation – in a technocratic sense – of decisions and actions in accordance to rules … Governance is about shared responsibility and power; it is about setting the policy agenda and objectives and about the processes of implementing management actions.*

Thus key aspects of co-governance from the perspective of BMUs is about their ability to contribute to policy and adapt to changing circumstances. Currently the model of BMU that applies in Rumaki can be described as co-management. WWF have suggested the inclusion of BMU or CFMA representatives as stakeholders in decision-making fora at District level but with little progress to date[110], except in isolated instances.

The development of collaborative structures (CFMAs) in which BMUs work together

In order to increase the scale of operation, many collaborative management systems worldwide include nested structures to ensure that neighbouring BMUs carry out similar actions and carry out joint

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[107] Said to be due to local fears of the establishment of a marine park and political interference.

[108] See for example, Nunan, F. Governance and Fisheries Co-management on Lake Victoria: Challenges to the Adaptive Governance Approach. MAST 2010, 9(1) pp103-125

[109] Bene and Neiland, 2006. From Participation to Governance. WorldFish center Studies and Reviews, quoted by Nunan.

[110] Meaningful engagement at national level is said also to have been difficult - engagement at national level has been poorer than might have been hoped for (Government tends to have less interest in artisanal fishing and more in export-orientated fishing of, eg, tuna)

surveillance. Without such structures in place, and where revenue rates for, for example, the landing of fish differ, there is a danger of BMUs being set up in competion rather than in cooperation. In a competitive situation, fishers will tend to land their fish where costs are lowest or carry out illegal fishing where by-laws are more lenient. Therefore there is a clear rationale for collaborative structures. However at the CFMA level, even more than the BMU level, there are a number of challenges that need to be overcome. At a practical level these include developing trust between BMUs or communities, the resources required to attend joint meetings and good communication with members.

However CFMAs do provide a structure for greater engagement at District and National level. As such they have the potential to be representative structures that can allow a movement from co-management to co-governance. WWF has supported the establishment of six CFMAs and greater engagement of CFMUs with District and National government is an area that WWF will explore with their partners in the next Phase of the programme.

Support to mariculture projects

WWF with their District Fisheries partners support a number community groups in mariculture. These include milk fish farming, pearl cultivation and crab fattening farms. They are seen as a fairly minor part of the work conducted by Rumaki, mainly because the numbers of community members involved are small. As part of this review, two milk fish farms were visited on Mafia Island. Table 1 below summarises the returns as provided by the more successful of the two groups. The second group gave similar figures. The groups had experienced a number of problems: birds eating the fish, wall collapse, flooding. However key among these problems were difficulties in transportation of fingerlings and distance from the village. In a further group, when asked whether it was easier to catch from the sea or farm fish, it was clear that fishing was the easier option.

Fig. 1: Returns provided by milk fish mariculture group

Contributions from WWF, 2010 (group 2)	1 million T sh (approximately $600)	Pipes, spades, boots, etc
Ist harvest (group 2)	36,000 T sh ($22)	Misc.
2nd harvest (group 2)	28,000 T sh ($18)	Misc.
3rd harvest	101,000 T sh ($64)	Misc.
Members in 2010		

[Source: discussions with group members]

The intervention is described as an experiment[111]. However it is believed that the problems of fingerling acquisition (and distance/time) from the village could have been predicted. The team did consult a number of research papers and consulted technical speicialists in milk fish farming but site-specific aspects would appear to have been missed. Crab fattening and pearl cultivation were said to be more successful due to the availability of young crabs and other inputs in the locality. However no examples of the latter were visited as part of case study development.

Data collection

Data collection is carried out by 10 BMUs on behalf of the District. District officers input the data and analysis is completed by WWF. BMUs for data collection are chosen to ensure every CFMA is included

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[111] By WWF Rumaki field staff

and the data is collected to "test the assumptions made when setting up the management plan"[112]. It is planned that data is collected by two BMU members for 10 days each month. Data collected includes gear type, origin (local or elsewhere), fishing ground, whether fishing occurred in the last 3 days, species of fish. Data is taken to Fisheries office on Mafia Island or District Fisheries officers may collect the data for input in District Fisheries office. The District Fisheries officers have been trained in data analysis but the majority is carried out by WWF to assure quality. Data analysis includes catch per unit of effort.

PPA funds contribute (with EC and other funds) to a target collection of at least 36 records of data collected per month for each gear in each CFMA. In the last year 60% of this target was said to have been achieved. The target was to enter all data into a database designed for this purpose (using PPA, EC and other funds) – 50% of this target was said to have been achieved. Appendix D of this case study provides an example of data collected and its presentation.

Although inevitably there are challenges with community collection of data there has been contiuous collection of fisheries data for four out the five years (2006 – 2011) and data collection is continuing in 2012. The data should be highly relevant to District Fisheries departments, to communities and to WWF.

The actual logistics of data transfer are cumbersome and some delays in production of results occur. Where there is mobile reception (much but not all of the area) innovative use of available phone survey recording[113] would reduce costs and time delays in processing data.

Efficiency

As noted above Rumaki is part of a Global Initiative managed by WWF International. As PPA funds are a relatively minor contribution at GI level, influence at this level is regarded as low. At the landscape level, i.e. within Coastal East Africa, influence is said to be considerably higher. At this level PPA funds are said to have contributed to ensuring socio-ecological and socio-economic aspects are recognised and measured although the overall PPA percentage for financial year 2012 remains relatively small at 13%.

As noted above, Rumaki also receives funding from a number of sources, the largest source being that from the EU. However Phase I of EU funding, after a short extension, finished in early 2012 and although it is hoped there will be a Phase 2 of funding starting at the end of 2012 this is yet to be finalised. PPA funds although small in comparison are said to have been extremely valuable in maintaining momentum between phases. PPA funding has also be used to match EU funding, together with other donor funds, and has therefore contributed to the potential leverage of further funding[114].

One area where greater efficiency might be possible is noted with regards to data transfer and input, see above.

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[112] Rumaki Seascape report: Ecological Monitoring July 2011-June 2012
[113] For example Device Magic which allows input into a suitable phone and transfer to a computer spreadsheet without the need for manual spreadsheet/database input
[114] Hope to be just under 3 million Euro

Effectiveness

VICOBAs

By adopting a model of village savings and credit that has proved successful elsewhere, individual incomes and savings, entrepreneurial skills have increased and groups visited as part of this review expressed a number of non-monetary gains, see Box below.

> I had nothing before, now I have 3 tailoring machines and am helping my relatives also to make clothes (male, Mafia Island VICOBA)
>
> From the three cows a purchased through a VICOBA loan, I sell milk and gain income. The income is used for school fees and the love from my husband has increased (Female, Mafia Island VICOBA)
>
> I have gained confidence to talk to people, contribute to my family and am no longer suppressed by my husband (Female, Mafia Island VICOBA)
>
> Before joining the VICOBA, even finding 100 T sh was a problem. He thought he could not join such a group but his relatives and friends persuaded him to join. When he got his first loan of 20,000 T sh he trembled but now he has a telephone and a good floor in his house (Male VICOBA member, Rufiji)

An area of innovation demonstrated in Mafia was the introduction of community trainers for VICOBA groups. As capacity within the District office and within WWF was insufficient to fullfil all training requests, community trainers now provide training to new groups for a fee of 5000 T sh per day. It is a reflection of the ongoing demand that groups are willing to pay this fee.

In a further group in Rufiji, members have also used their business training to start individual businesses outside of the VICOBA while still remaining a VICOBA member. Details were provided from a merchant who had developed a business selling honey and who has seen his profit grow over three years: from approximately 600,000 T sh in 2010 to 1,475,000 T Sh in 2012.

Although WWF may not have added value in terms of innovation in the case of the VICOBAs, in this case, they should be congratulated on identifying a model that appears to work and implementing it successfully.

Over 50% of VICOBA members are women. However VICOBA groups are self-selecting and currently there is little evidence as to which strata, VICOBAs are having most success in serving. However the default position is often that the better connected are the first to join and the poorer strata may miss out. Therefore it is recommended that there is greater understanding of who the VICOBAs are serving and if poorer groups are missing out, to identify constraints and opportunities for poorer groups[115] particularly if these groups are those involved in illegal fishing[116].

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[115] Interview with WWF staff, 2010

[116] It is possible that VICOBAs meet the needs of poor people by international standards but that these are not the poorest in target communities. However to meet the CEA goal of equity, greater inclusion may be needed.

BMUs

The BMU model has the potential to successfully co-manage extensive areas of the Tanzanian coast and WWF has been highly successful in supporting the establishment of 26 BMUs. In those areas visited as part of the review, members believed that BMU establishment responded to a felt need, they demonstrated strong ownership referring to fishing areas as "their farm – an area that needed to be tended and looked after". Approximately 25% of those who voluntarily attended review meetings were women.

BMUs are at different stages of their development[117] depending on local characteristics, length of engagement with WWF, and it is said support or otherwise of local politicians. Progress in initiating BMUs in Kilwa district is said to be slow and a contributing factor is fear among local communities of the establishment of a Marine Park – a fear that is stoked by a local politician. Similarly one island community located off the coast in Mafia who lost much of their fishing area to the Marine Park have resolutely rejected offers of engagement[118].

It is also worth noting that WWF support in establishing BMUs has had a far greater degree of success than a previous government-run, World Bank funded programme, the Marine and Coastal Environment Management Programme (MACEMP), as assessed by District fisheries officer in Utete (Rufiji). Further details provided by an individual with more than 10 years experience in marine conservation in Tanzania, described some of the reasons for failure. These include an unrealistic time span of six years for the $60 million budget and complexity of intervention. The size of the budget did not match implementation capacity within the Fisheries Division at a number of levels and the lack of a full-time World Bank member of staff based in country. This was said to be accentuated by an extreme reluctance on the part of the Ministry/Fisheries Division to channel funds through non-governmental partners, despite this being part of the original design and the receipt of proposals from IUCN and Sea Sense. Actions to tackle these have been built into Rumaki's approach, for example, a focus on a number of priority thematic areas, a willingness to partnership with others, a long-term time frame and sharing of responsibilities with the Fisheries Division that more closely matches their capacity.

BMUs to be fully effective in reducing illegal fishing need to co-manage with District Fisheries and Natural Resource Officers. District Office support is critical in a number of aspects including: return of a percentage of revenue collected by BMUs to the BMUs to allow BMUs to carry on surveillance and other activities; back-up for arrest, fines and patrol especially if levels of violence were to escalate. To date income of BMUs overall has increased, and relationships with District fisheries departments has markedly improved[119]. In terms of returned revenue from Districts, Districts have yet to institutionalise mechanisms within District plans although in Mafia the District office is returning 10% of revenue.

In terms of backup from the District to enact fines and arrests, this will continue to be difficult in the delta area of Rufiji where access is difficult, often by boat and the District is lacking in resources[120]. Management of marine resources, as assessed by a range of stakeholders, is considerably higher than before the formation of BMUs. However in such remote locations, to be sustainable, BMUs will need to take on increasing levels of responsibility and a co-governance rather than co-management model is

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[117] As also has been demonstrated with tools developed as part of PPA
[118] This provides a lesson in terms of the sometimes negative consequences on conservation of establishing conservation areas
[119] From discussions with 5 BMUs as part of this review
[120] In Mafia distances are shorter and the terrain easier.

likely to be more appropriate, particularly in remote and inaccessible areas, if sustainability is to be achieved.

Until District mechanisms are widely in place for revenue sharing, legal backup and data collection, and despite good ownership of the process on the part of BMU committees, sustainability cannot be assured. WWF continues to work with Districts to try and ensure these mechanisms are in place. Progress has been made and 10% of fisheries funds in Mafia are paid to BMUs, and 5% in each of Kilwa and Rufiji District funds have been committed.

On Mafia, a further NGO, CARE have been involved in community activities and although there is communication between WWF and CARE there has been little formal collaboration. This might be an area to be explored though the already complex funding arrangements may mean that there is little room for additional transaction costs.

To assess effectiveness in terms of increased numbers of fish[121], fish size or fish caught per unit of effort data collected by communities, District fisheries office and WWF is yet to be fully analysed. Perceptions of Mafia fish sellers and of BMUs visited as part of this review indicated that the health of fish stocks were improving. Size of fish caught and fish prices were said to be improving[122].

In terms of i) knowledge, understanding and practises, and ii) socio-economic well-being, three surveys[123] undertaken in December 2011, were not available to the reviewer. There is no evidence that findings from these surveys have led to changes in implementation. To assess progress and adjust actions as necessary such data needs to be available.

Short discussions with a very small number of people (1 man, 3 women) chosen at random in one Rufiji community indicated considerable support for VICOBAs but little knowledge of BMUs. BMU formulation was introduced and approved through general village meetings – a forum that may not be appropriate for all. To widen knowledge and ownership, as well as general meetings, preparatory meetings with potentially marginalised groups, would be likely to extend understanding and ownership, depending on survey findings.

CFMAs

To be fully effective in protecting fishing grounds and in collecting revenue, BMUs and their neighbouring BMUs need to be effective – a critical mass has to be reached. If a single BMU is successfully collecting revenue while a neighbouring community is neither collecting revenue nor protecting their fishing grounds, fish will be landed where there are few costs incurred. This may be happening, for example, between the the village of Dongo which neighbours the main town on Mafia, Kilondoni. While the BMU in Dongo is assessed to be effective by both the BMU itself and WWF, Kilondoni is not. As a result those spoken to in Dongo see the majority of fish from that part of the coast being landed in Kilondoni and their potential revenue is consequently reduced. The collaborative unit (CFMA) if developed may go some way to counter this problem but between two villages visited in Rufiji, there was considerable mistrust between two BMUs within the CFMA, while in Mafia an example of the benefits of collaborative management were clearly expressed by a BMU visited.

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[121] Or other marine products
[122] A more robust assessment is expected when data collected by BMUs, input by the Districts and analysed by WWF is fully analysed
[123] The member of staff was reluctant to share them as quality of surveys was poor. They were subsequently made available but too late to incorporate into this review.

Support to mariculture projects

The two milk fish farms visited were described as "experiments" and it is appreciated that visits were arranged to these farms as part of this review. However as indicated by group members, fish farming was not effective in terms of improved livelihoods or empowerment of group members. Greater analysis of constraints (day-to-day labour requirements, restocking sources, markets) is required before embarking on an "experiment" which has potentially considerable cost in terms of time and morale on behalf of members. If milk fish farming were extended to further groups in further locations, without learning the lessons from the early experiments, considerable concern would be expressed.

The WWF proposal document (2005) for the Rumaki Seascape Programme summarises mariculture activities as follows:

> "*One of the economic opportunities identified for the project area during Rumaki I was mariculture. Over ten demonstration fish ponds were constructed in various locations within the programme area, and a number of crab fattening trials were conducted in different communities. The initial efforts to introduce mariculture activities in the programme area faced a number of technical impediments, and the programme eventually employed a dedicated mariculture extension officer to address these challenges. The mariculture technologies introduced in the programme area, through Rumaki I, are adapted to local needs and have assisted in enhancing the way in which women are able to work together in dealing with their livelihood vulnerabilities. It is suggested that the initial gains made in the mariculture activities are built upon in Rumaki II. However, lessons learned need to be assessed and criteria for identifying suitable individuals and groups for inclusion in the mariculture programme need to be carefully assessed. Priority should perhaps be given to those with the capacity to adopt the new activity, rather than basing choices only on need.*"

Therefore an intention to fully analyse these projects is provided but had not been seen by the reviewer.

Data collection

Although data collection has been on-going, often in difficult circumstances, lessons from the data are yet to be fully collated and shared. Feedback is provided to communities (with EU money) and communities expressed appreciation of seeing fishing grounds in map form.

At fund level, PPA funds are said to maintain an emphasis on measuring social outcomes from interventions.

Results

Rumaki has been supported by a number of donors since 2005 and was supported under the previous PPA. Therefore although not attributable only to the current PPA, some evidence against impacts would be expected.

Key results - Performance against PPA LF: What progress is there towards intended Impact and Outcomes?

Impact: Improved polices and practices, sustain or restore ecosystem services, and tackle climate change to secure and/or improve the wellbeing of women and men living in poverty.

Indicator 1: Number of poor women and poor men directly benefiting from initiatives that have improved ecosystems and ecosystem services in WWF's priority landscapes.

The TPR estimates at least 2,800 adults have benefited from VICOBAs (14,000 people if household members were also included). Within the TPR this is not disaggregated by gender for VICOBAs although it is accepted that a considerable percentage of members of women. It should be relatively straightforward to give numbers of women and men from VICOBA records and this disaggregation should be included in the TPR and APR. Membership numbers are unlikely to translate directly into numbers of people who have benefited from the VICOBA. However in the case of VICOBAs where benefits include training as well as raised socio-economic well-being, this assumption may be close. However it is more questionable whether all these members are i) poor, or ii) have benefited from improved ecosystems and ecosystem services.

The TPR (April 2011) estimates the number of direct beneficiaries as 75%[124] of villages in 22 established BMUs to be 13,800 people in the Rumaki area. However a number of assumptions appear to be made – the most critical being that being a member, active or otherwise, of a BMU brings benefits. The evidence for this assumption is probably not robust at the present time. Hence it is recommended that socio-economic analysis is completed and made available as a matter of urgency.

Similarly for mariculture groups, 420 adults are said to have directly benefited. However at least in the farms visited in the review, those members involved appeared to have few benefits and have forfeited considerable time and effort on the project.

Impact indicator 2: Number of hectares under improved management regimes and/or with reduced threats as a result of improvements in policies and practices.

The TPR assesses that six Collaborative Fishery Management Areas are covering 2,498 km^2 within the Rumaki Seascape. This is a remarkable achievement and should be commended. This coverage is assessed by records of boundary demarcation[125], official registration of BMUs, increased numbers of BMUs collecting revenue[126], and a 19% overall increase in revenue for BMUs. It is probably likely that there has been some improvement in management in these areas though greater definition of what is meant by improvement (and to whom) would be helpful

Impact indicator 3: Number of policies and practices adopted and/or strengthened to incorporate concepts of environmental sustainability, poverty reduction, and/or climate smart as a result of WWF's engagement

By combining policies and practices, a number of achievements have been made against this indicator for example, registration of BMUs (22) at national level, regulation of fishing grounds has increased (practices). However less progress has been made on policy discussions either at District or National[127] level. This is said to be an area of increased importance if current funding applications are successful. The division between policy and practice is seen as important in the light of the difference between management and governance – see above.

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[124] Tanzanian law stipulates that BMUs should include 75% of the village. Average village population said to be 2,700 people
[125] Figures missing in PPTPR
[126] Figures missing in PPTPR
[127] And as pointed out by staff, interest at the national level is mainly associated with large-scale commercial fisheries, rather than artisanal fishing

Outcome 1: Communities are safeguarding the ecosystems and ecosystem service upon which they depend in an equitable and adaptive manner

Indicator 1: Numbers of CSOs, CBOs, collective and joint management regimes with strengthened capacity to sustainably use/manage natural resources

25 BMUs continue to receive on-going support and the Capacity Assessment tool has allowed an assessment of various aspects of CBO capacity. What is missing in the evidence provided, is a measure of adaptability to changing and unforeseen circumstances which is seen as important in a move to co-governance.

Indicator 2: Number of effective natural resource umber of effective natural management plans implemented and enforced.

Six CFMA plans developed and being enforced to varying degrees. A review has been carried out and recommendations are said to being followed up.

Indicator 3: Number of local and national policies and plans with allocated resources that support improved regimes for the community, collective or co-management of natural resources, as a result of WWF engagement.

22 Rumaki BMUs have been registered but progress on integrating revenue mechanisms into District plans has been slower, despite on-going discussions.

Overall, assessment against quantitative indicators is assessed as on target with the possible exception of Indicator 3 above. However as yet, there is less evidence against the qualitative aspects of indicators, for example in terms of the definition of benefits, adaptiveness, equity and well-being[128].

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[128] Much of this gap in the data can be attributed to WWF being let down by the consultants for collecting this data.

Appendix A: Results Chain for Rumaki Seascape Programme Phase II {source: proposal for Rumaki Phase II, Feb. 2012. WWF}

Management Systems, guidelines/improvement/establi

Awareness Raising

Scaling up micro finance Schemes

Institutional Capac building

Strategy

Key

Conduct training on col. fisheries manag. for BMUs, districts, CMS team, CBOs

All dist. experts knowledgeable of prg activities

Conduct feedback w/shops for district experts

Revise BMU guidelines

Raise awareness on prg objectives

CBOs capacity to raise com awareness streng-thened

Establish more VICOBAs

More opportunities to more ple

Raised com. awareness on BMU

Clear BMU guidelines

VG fear of power loss reduced

District skills to implement col fish manag strengthened

Effective implementation of fisheries regulations

Revise CFMA plans

Conduct dialogue with politicians

Strengthened BMU skills. to perform duties

Train BMUs in revenue collection, etc

BMUs integrated into DPs

Lobby with districts for intg. Of BMUs in their plans

Integration of BMUs in DPs

Party politics reduced

Effective BMUs/CCCs

Increased funding for BMU/CFMA

Stronger support to BMU by district

Reduced conflict btn BMUs & VG

Improved CFMA MPs

Increased com. participation in BMU

Destructive fishing gears decreased

Improve mari group formation & tech

Successful mari grps

Establish BMUs in nearby villages

Facilitate market infor flow

Outputs of RMK II

Resource management system in .

Envir. Ed. & climate change . .

Habitats and species protected

Improved livelihood & reduced poverty

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Appendix B: Results Chain – Coastal East Africa

DRAFT Results Chain – CEA NI Field Conservation Strategy

134
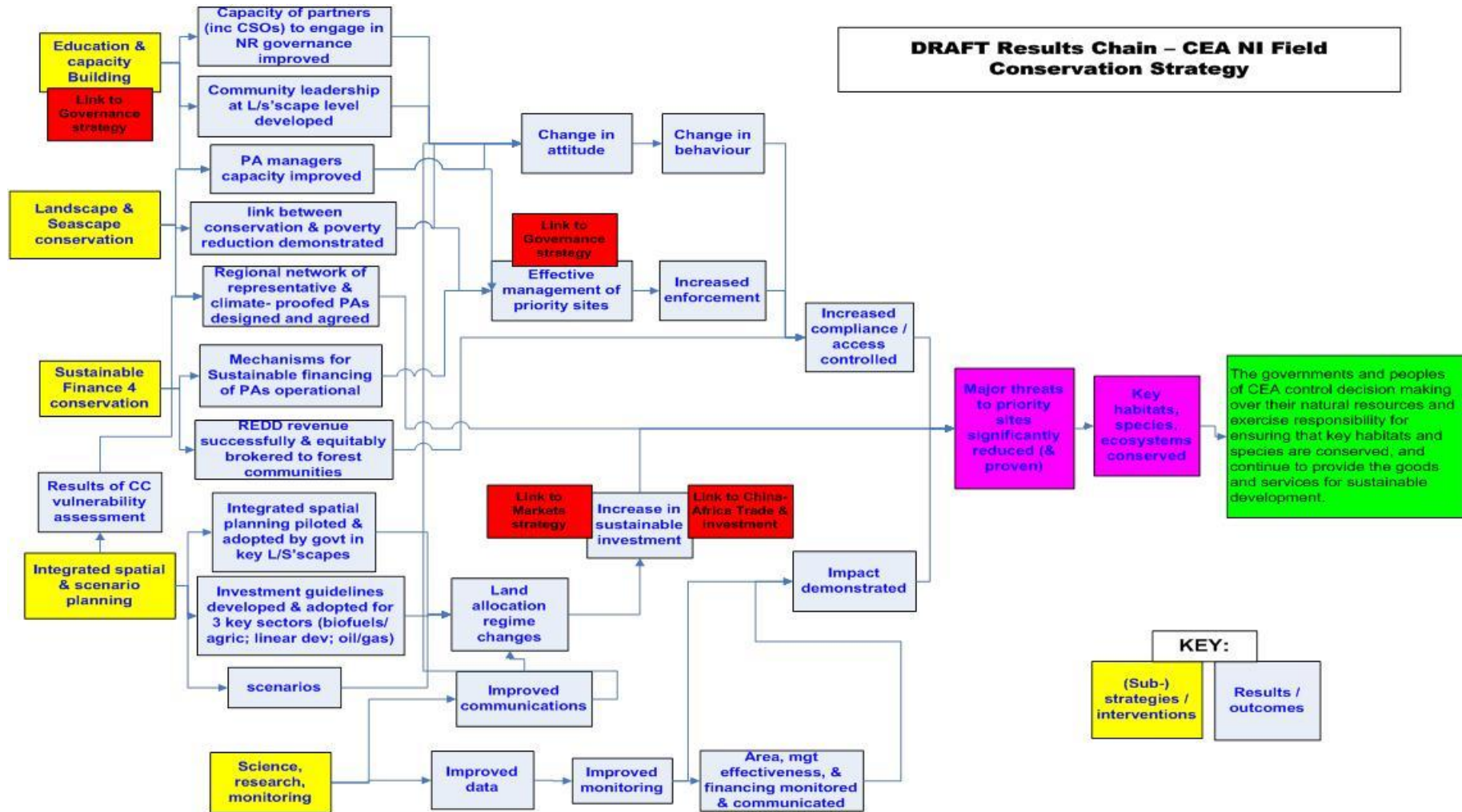
Appendix C: May 2012 VICOBA STATUS

No	Groups	Goups	Members		Total	Total Savings	Total loans	Number of loans to		Total	Average loan size	Repayment due	Loans Paid	Repayment Rate
			M	W			Tshs	M	W					
EU SUPPORTED VILLAGES														
1	Rufiji	6	80	67	147	102,681,700	202,945,400	112	128	240	845,606	102,147,000	102,147,000	100%
2	Kilwa	12	147	197	344	139,876,600	301,828,300	171	237	408	739,775	209,952,300	199,412,300	95%
3	Mafia	7	79	104	183	68,240,500	94,850,000	97	141	238	398,529	51,685,000	51,685,000	100%
	Sub Total	25	306	368	674	310,798,800	599,623,700	380	506	886	676,776	363,784,300	353,244,300	100%
GROUPS OUTSIDE EU SUPPORTED VILLAGES														
1	Rufiji	16	161	218	379	78,011,200	107,116,600	103	172	275	389,515	58,247,000	36,870,000	63%
2	Kilwa	15	120	246	366	105,130,700	166,146,800	94	161	255		119,968,800	119,315,800	99%
3	Mafia	19	263	266	526	206,492,170	232,678,400	257	250	507	458,932	176,804,700	174,169,500	99%
	Sub Total	50	544	730	1,274	389,634,070	505,941,800	454	583	1,037	487,890	355,020,500	330,355,300	93%
COMMUNITY REPLICATED														
1	Rufiji	3	43	33	76	11,577,250	11,586,000	26	24	50	231,720	711,000	711,000	100%
2	Kilwa	7	59	133	192	47,572,160	86,840,000	27	119	146	594,795	31,760,600	31,760,600	100%
3	Mafia	28	165	584	749	205,479,600	289,442,000	60	334	394	586,752	96,521,400	96,521,400	97%
	Sub Total	38	267	750	1,017	264,629,010	387,868,000	113	477	590	657,403	128,993,000	128,993,000	100%
		113	1,117	1,848	2,965	965,061,880	1,493,433,500	947	1,566	2,513	594,283	847,797,800	812,592,600	96%

£165,393   £242,418

Map 5-C Trends in number of Gill nets 2.5" per boat

Map Drawn by H. Machano: Data collected by MIMP & BMUs - RUMAKI

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Appendix D. Example of on-going
fish catch monitoring data

Case study based on documentation provided by WWF-UK and WWF-Tz, interviews with WWF-Tz/WWF-UK team, discussions with Water User Association representatives, regional and district government staff, Rufiji Basin Water Board staff, workshop attendees and visits to the programme area, Aug. 2012.

The Ruaha Water Programme began with a three month inception phase in July 2011. It is therefore at an early stage of implementation. It has also experienced some delays in day-to-day funding approval due to reorganisations in the WWF-Tz office. Despite this considerable headway has been achieved.

Relevance

Phase II builds on a previous phase to address perceived short-comings of integrated water resources management (IWRM) across a large and important catchment in Tanzania. Under the current PPA, together with the Rufiji Basin Water Office (RBWO), WWF has focused on bringing together a diversity of key stakeholders with relevance to one sub-catchment – the Ndembera, see Appendix A – and laying sound foundations for a multi-stakeholder process that will work towards enhanced all-round flows in the Great Ruaha river.

The great Ruaha River is a major tributary of the Rufiji River Basin contributing almost half (47%) of the Rufiji's total flow[129]. Reduced flows particularly in the dry season have impacted on two downstream dams[130] which currently supply over half of Tanzania's electricity, see Appendix B; has been associated with wildlife mortality in the Ruaha National Park[131]; water shortages for down stream villages and increased conflict between different water users.

There has been a considerable amount of evidence collected. The following research has been carried out over the last 15 or more years.

- 1996 – 2003: River Basin Management and smallholder irrigation improvements project
- 1998-2001: SMUWC – Sustainable management of the Usangu wetland and its catchment (with DFID funding)
- 1998 – 2003: REMP – Rufiji Environmental Management Project (with WB funding)
- 2002 – 2005: RIPAPWIN – Raising irrigation productivity and releasing water for intersectoral needs
- 2003 – 2011: Ruaha Water Programme, Phase I.

The number of studies and interventions reflect the importance of the river, not only for local stakeholders but for the country as a whole. Despite this, with the exception of 2009, dry season river flows have shown little sign of increase.

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[129] Leaflet on the Mbarali and Ndembera sub-catchments, undated, WWF
[130] Mtera and Kidatu dams
[131] Concept Note: Ministers visit across the Great Ruauha River Catchment, April 2012, WWF

Under Phase I, WWF with its main partners the Rufiji Basin Water Office have built up a goodwill through support to community-based Water Users Associations and their by-laws, working with farmers for more efficient water management and promotion of IWRM across the catchment. Under Phase II, a considerable amount of work has been done to understanding who the main stakeholders are and to develop an approach aimed at bringing them together to understand the causes of reduced flows in the upper, middle and lower catchment sections of the river.

The approach taken under Phase II focuses on facilitating multiple stakeholders to work together to identify ways to use water more efficiently. It is seen as a process approach, appropriate to the complexity of the river basin. As such it is a new and innovative way of working for WWF. It is also innovative in the context of Tanzania.

The scope of Phase II is limited to two sub-catchments and although WWF will be under pressure to extend their coverage. A lesson from Phase I is that logistically, and in terms of developing a thorough understanding of the area and its people, coverage of the whole catchment is unrealistic. It is the evaluators' opinion that working in depth in a smaller area is likely to demonstrate greater impact. Selection of which sub-catchments to engage with builds upon previous good relations developed over Phase I and the proposed construction of a sizable dam in one of the catchments[132]

In identifying stakeholders, a stakeholder analysis has been conducted and documented. This together with an early situational analysis identifies a number of groups who fall among the poorest and most marginalised, including "tail enders" – users of irrigation water at the end of the irrigation chain, valley bottom cultivators and pastoralists. Women are said have a particular stake in valley bottom cultivation[133] These groups will present a challenge for engagement but efforts were made for their inclusion at the first multi-stakeholder workshop held in May 2012.

Therefore as a new approach, there is considerable risk attached. However if solutions or partial solutions can be identified and agreed among multiple stakeholder there is the potential for considerable impact at a national level (in terms of reliable electricity flows), at a local level and in terms of conservation value.

Efficiency

It is premature to fully assess efficiency. However a number of areas indicate additionality

1. PPA funds will be used to support the programme for three years. A further two years will be funded by private sector funds. Although it cannot be said that PPA funds have leveraged the private sector funds, achievements under PPA3 will have contributed to this allocation.
2. WWF's continued interest and support to initiatives in the Rufiji Water Basin have attracted the cooperation of a range of well-respected partners which include: Wageningen University and Research Centre (Centre for Development Innovation),

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[132] An early situational analysis conducted by consultants questions whether there are valid reasons for sub-catchment selection. However building on previous good will seems combined with logistical efficiency do seem appropriate for embarking on an intervention that is new to WWF, their partners and stakeholder groups.
[133] Conducting Situation and stakeholder analysis with a focus on selected subcatchment area of the Great Ruaha Cathchment. Wema Consult, Dar es Salaam with PEM Consult

Universities of Bradford (UK), East Anglia (UK), Dar es Salaam (Tanzania), Sokoine University (Tanzania) and the International Water and Sanitation Centre (IRC, The Netherlands).

3. There has been initial dialogue with Tanesco, the parastatal electricity company of Tanzania who have showed "some interest" in payment for environmental services to sustain water supplies for all-season electricity generation

4. A private donor has made a donation of £70,000 after visiting the programme. This donation supports a WWF Freshwater manager and thus contributes indirectly at a more strategic level.

Effectiveness

PPA funding has enabled WWF to move away from a projectised approach to one that is responsive to stakeholders and their interests. To date this has resulted in a highly effective workshop that has energised a number of stakeholder groups as evidenced through activities carried out post-workshop by at least some Water User Associations and through verbal support from those who attended including, for example, the vice-chair of the Rufiji River Basin Steering Committee[134].

The PPA funding has supported strong team building from the outset of Phase II. The incorporation of an inception phase has allowed staff from both Tanzania and the UK (Freshwater Programme and Design and Impact team) to be fully involved in development. As stated by a team member in Tanzania: *"We now feel even more like a team with WWF-UK".* This has been encouraged by the *"learning together approach and facilitated by the communication platform basecamp".* The team is also extended beyond WWF to include a range of organisations listed under Efficiency above. This is provides a strong example of WWF willing to learn with and from other organisations including those in the developmental arena. This has been encouraged by the remit and flexibility of PPA funding.

The PPA funding has also allowed WWF-Tanzania to pilot a new approach and the identification of a strategy to guide the period of PPA funding. Training has been conducted in this for WWF staff and the Rufiji Basin Water Office by Wageningen University and is well understood by key WWF and Rufiji Basin Water Office staff. At this point in time, there is a challenge in explaining the approach to some other WWF staff and some stakeholders. This will take time to overcome for a number of reasons: there has been rapid turnover of staff within the Tanzanian country office meaning that there has had to be repeated explanation; the approach is new in the context of Tanzania and beyond; many WWF staff come from a scientific background to whom the concept of multiple stakeholder process is particularly new. As a process project and one that is described as a pilot, it will be essential to thoroughly document what has been undertaken to build confidence among WWF managers and others that the process is on track. One area that may require a response in terms of approach from WWF is that many stakeholders with whom WWF has interacted with over almost a decade are familiar with Phase I. Unless the division between the two phases is made very clear, this may create expectations and pressure on field staff that are unrealistic under a more

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[134] From discussions with a range of stakeholders undertaken as part of this review – WUAs members, District Design team member, Rufiji Water Board Office, Regional Irrigation Officer, Vice Chair of Rufiji Basin Steering Committee

facilitatory role as envisaged[135]. An in-depth analysis of lessons learned and concluding document for Phase I might have made the transition to Phase II clearer.

The PPA funding has enabled a learning culture to be embedded within the Ruaha team. This involves learning from stakeholders within the sub-catchment and from the network of supporting institutions. This is supported by a well-used electronic platform "basecamp" that is used for communication and for storing relevant documents. It is too early to say whether this will be maintained over the course of the programme but is seen as a significant achievement within an institutional culture, that has in the past, encouraged practicality over reflective learning. This is being supported by investment in M&E through employment of a Ruaha M&E officer, supported by an external consultant[136]. The challenges of M&E in the context of the programme are well documented in a June report. As stated in this report " *Overall the team has worked hard in defining and articulating the programme objectives*" and "*the completion of the M&E capacity assessment matrix with the team has highlighted the various team members' clear sense of ownership and shared understanding of those objectives*". The report highlights "*the inherent tension in trying to develop a logframe … as a programme which is working by means of a more participatory, demand-led approach in response to evolving needs and priorities of its multiple stakeholders*".

During an early workshop[137] an initial ToC has been developed, see Appendix B. During the current review a map of change[138] was developed to facilitate discussion among WWF team members. Developing an agreed and owned ToC is seen as particularly important in a programme of this nature.

A number of challenges remain. Some basic data is missing, for example population data for the focal catchments. Without such data it will be difficult to assess the extent of impact. Currently the baseline data is incomplete. There are plans to tackle both issues in the next quarter. Population data will be collected from villages and although accuracy cannot be entirely assured, will give an approximate number of people and households living in the catchment. Baseline data requirements will be defined during the October visit of the M&E external consultant. An M&E officer has also been recruited, starting September 2012, to join the Ruaha team. A meeting with stakeholder "champions" is planned for the end of September, by which point the programme will have made good progress.

A further challenge is engagement with the private sector, particularly decision makers of private rice, flower and other farms located in the catchment. Workshops lasting a day or more are unlikely to attract such stakeholders. A clear methodology of how to engage with private sector stakeholders needs to be developed[139].

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[135] From discussions with a range of stakeholders undertaken as part of this review – WUAs members, District Design team member, Rufiji Water Board Office, Regional Irrigation Officer, Vice Chair of Rufiji Basin Steering Committee

[136] Sarah Gillingham who has been supporting the programme to date and is due to conduct further training to develop baseline data in the coming month

[137] The role of Social Learning in IWRM, 2-5 April 2012, Wageningen, the Netherlands

[138] Called a Map of Change to indicate its unfinished nature.

[139] Facilitated one stakeholder group to stakeholder group meetings may be more appropriate but more investigation as to the methods that best suit private stakeholder groups is needed.

As well as initiatives within the catchment area, there a number of significant plans that will also affect water flows in the Great Ruaha river. These include national plans under the Tanzanian national strategy of "Kilimo Kwanza"[140] to develop a southern corridor for agricultural expansion. This, if implemented would have serious implications for use of water and downstream water availability. To date, attempts by WWF to arrange a meeting with the secretariat have proved unsuccessful[141]. At National level, Tanesco[142] (electricity parastatal) and TANAPA (Tanzania National Parks Authority) have indicated a willingness to work with WWF. A number of activities are planned at national level and others may develop in response to stakeholder needs. However strategic plans for engagement at this level are less well developed to date. Human resources at the national level are constrained and may need consultancy support.

A dam in the Ndembera sub-catchment (the initial focus of the WWF programme) is currently undergoing feasibility assessment. The aim of this dam is said to be unclear at the current time – irrigation, electricity generation and/or management of river flows. It would seem important that WWF Ruaha pro-actively ensures that they are consulted as part of the planned Environmental Impact Assessment.

Results

The programme ToC is still evolving and as yet it is too early to directly measure Outcomes. The Programme LF has 5 objectives which are seen as appropriate to achieving the stated Goal. As yet indicators are not quantified but this is planned for the coming quarter. Objective 4 includes an emphasis on poor and marginalised groups "*Human well-being: By 2014, water resource needs of poor and marginalised groups identified and addressed through their increasing participation in decision-making for integrated water management*" and proposed indicators are disaggregated by wealth and gender. A means of verification is the use of community score cards which is an appropriate innovative method of monitoring in the context of WWF-Tanzania. The LF gives emphasis to the importance of M&E by including as Objective 5: M&E and lesson sharing. This is seen as positive though the programme has yet to develop a communications strategy.

A number of achievements are seen to date. These include the building of a team both within and beyond WWF, identification and documentation of a shared methodology, creating a learning atmosphere, as described above. The main achievement against LF Objectives is the conducting of a multistakeholder workshop which through conversations with varied stakeholders carried out as part of this review[143] was clearly a success in bringing stakeholder groups together for fruitful discussion. The workshop was clearly designed to give voice to potentially marginalised group by starting with a day for their attendance only, by the use of tools that encouraged their expression and through expert facilitation. The challenge for the team is now to build on this success without loss of momentum and there is some concern that there has been insufficient follow up to date. This is planned for the coming quarter. In the longer term the challenge will be to maintain interest

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[140] Kiswahili for Agriculture First reflecting the Governments strategy of development through agricultural development
[141] If attempts continue to be unsuccessful, it is said an alternative route through parliamentarians will be explored (from discussions in Dar es Salaam)
[142] TANESCO representatives also have access to the electronic platform "Basecamp" and attended the May Multistakeholder workshop
[143] and in the workshop evaluation at the end of the workshop

among a very varied group of stakeholders. Initiatives[144] that bring rewards in the short term as well as the longer term are likely to be needed. To reduce conflict and sustain achievements into the longer term, support from key stakeholders – the private sector and parastatals as well as those already engaged will be required.

Therefore in conclusion the APR presents a fair picture of achievements to date although more might have been included under the "challenges" sections. As yet it is too early to assess Outcomes or Impact and although innovative and thus carrying a degree of risk, the approach so far has been successful. To sustain innovation and a process approach over the period of the PPA, the Ruaha staff are likely to require on-going social analysis and other support as provided by WWF-UK at the current time due to the newness of the approach to WWF.

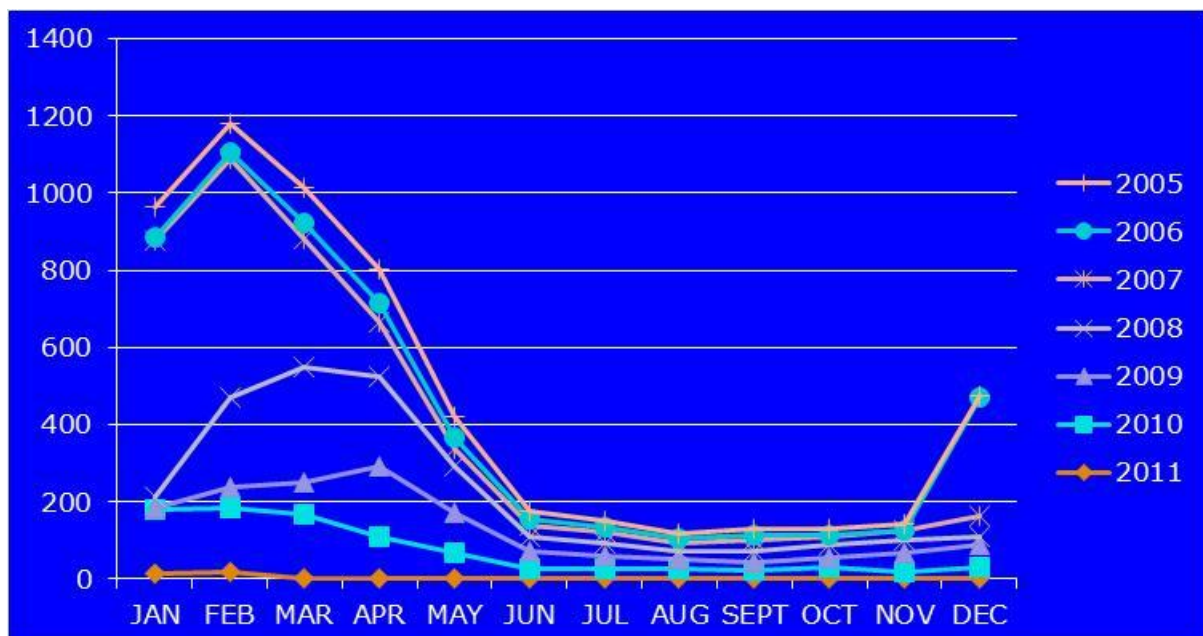[144] Whether fora that respond to people's needs or more concrete interventions

Appendix A: Map of catchment areas
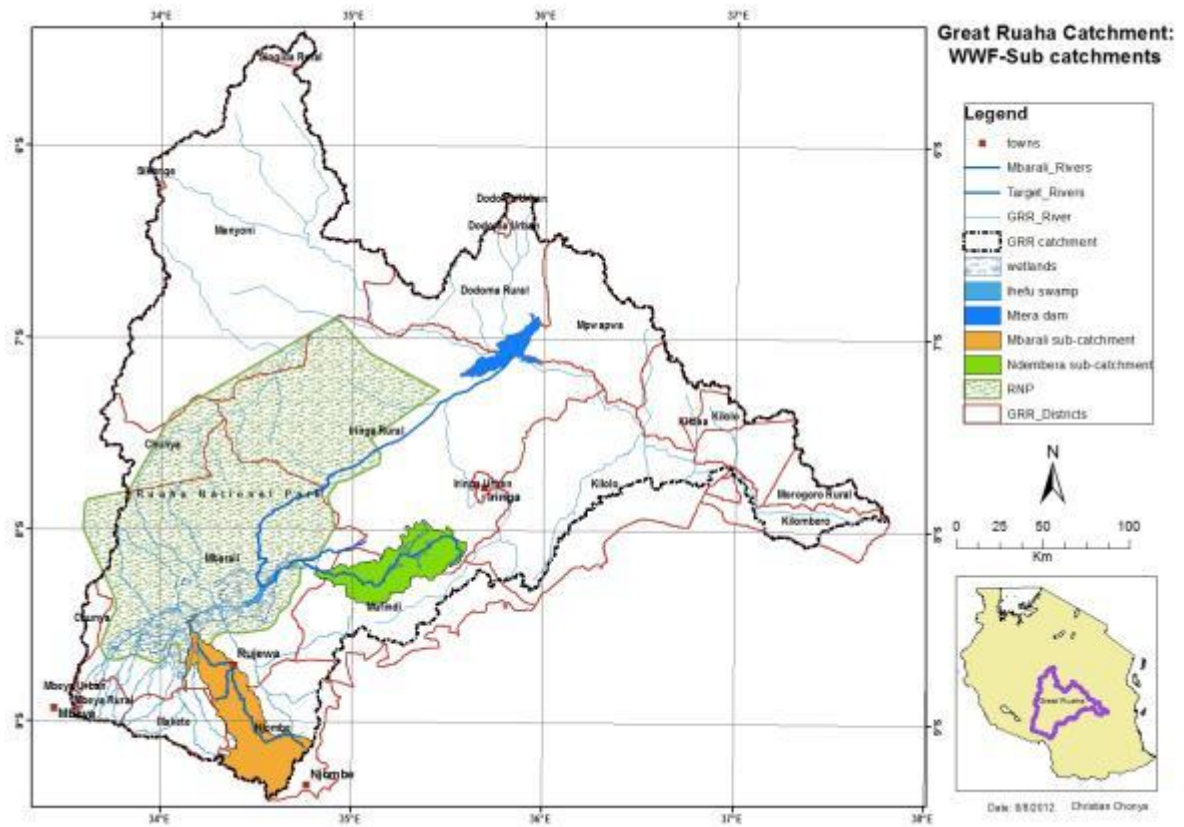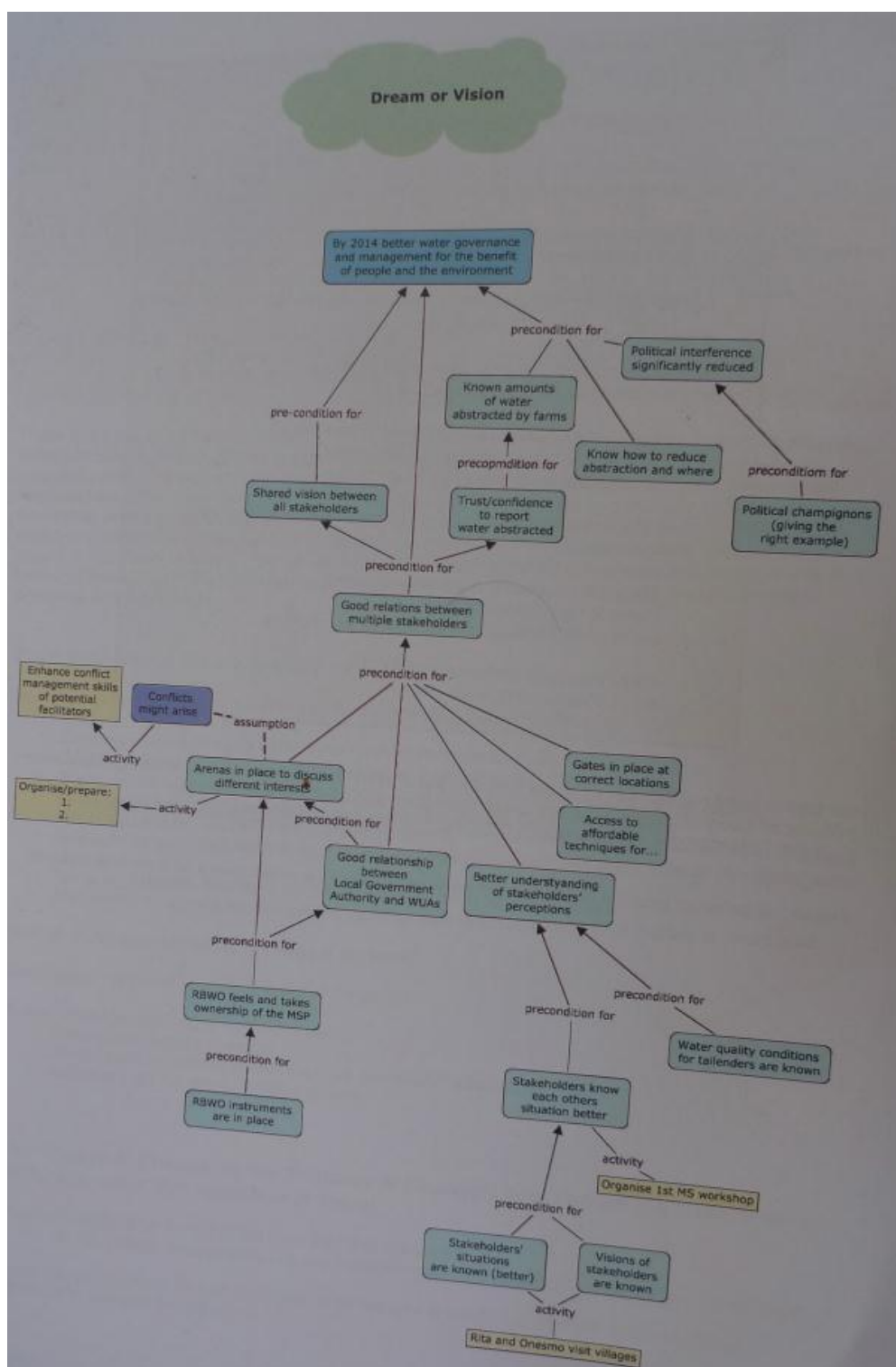
Appendix B: Great Ruaha River Flows
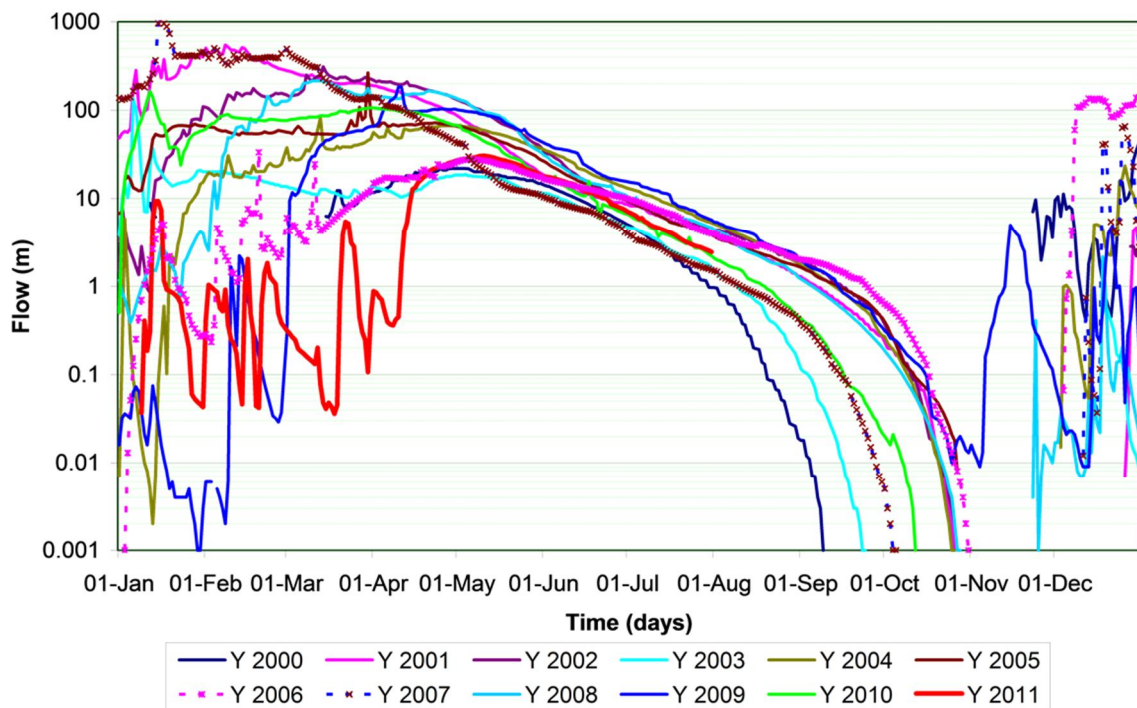
A graph showing water flow trend for the GRR between 2000 and 2011 (source: In Concept note, April 2012, WWF)
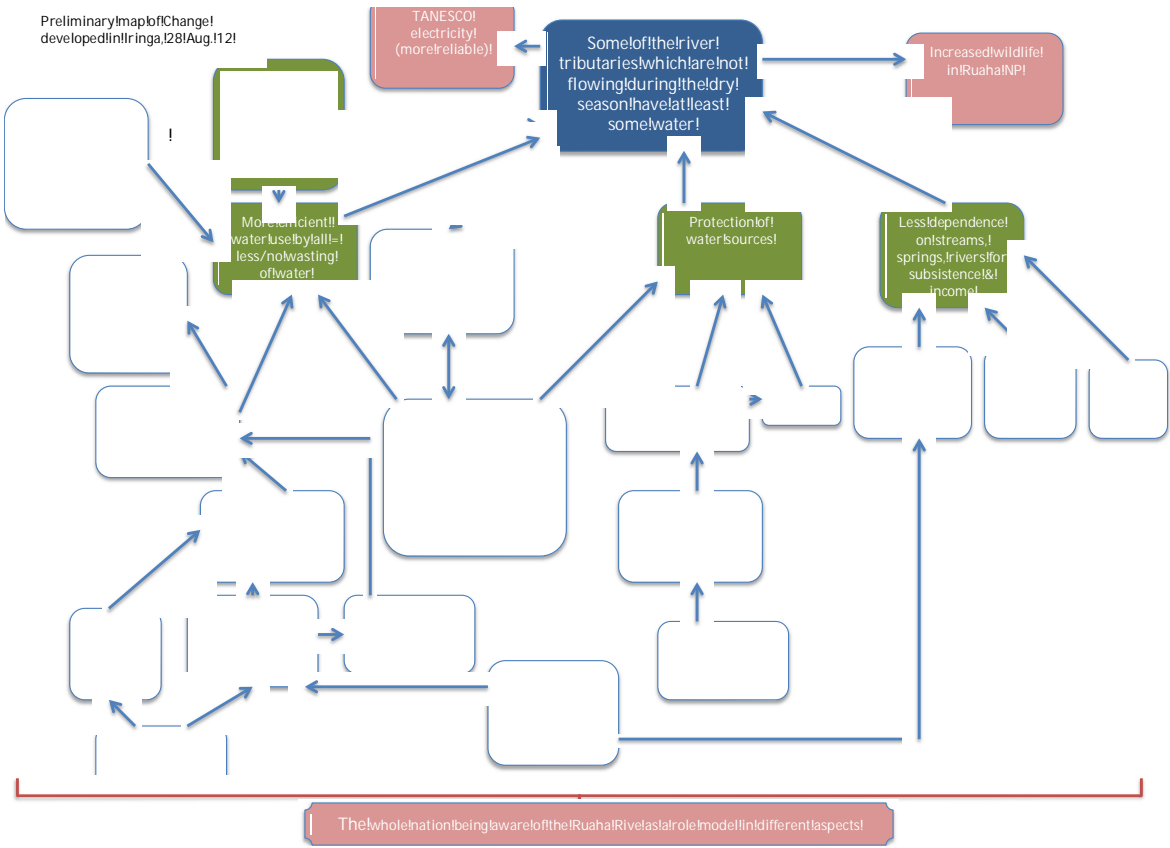

In flows in Mtera Dam m³/s (Source TANESC0)

Appendix C: ToC developed during workshop: The role of social learning in IWRM, 2-5 April, 2012, Wageningen and the Hague.

Preliminary!map!of!Change!
developed!in!Iringa,!28!Aug.!12!

!

TANESCO!
electricity!
(more!reliable)!

Some!of!the!river!
tributaries!which!are!not!
flowing!during!the!dry!
season!have!at!least!
some!water!

Increased!wildlife!
in!Ruaha!NP!

More!efficient!!
water!use!by!all!=!
less/no!wasting!
of!water!

Protection!of!
water!sources!

Less!dependence!
on!streams,!
springs,!rivers!for!
subsistence!&!
income!

The!whole!nation!being!aware!of!the!Ruaha!River!as!a!role!model!in!different!aspects!

Case study based on documentation provided by WWF-UK and WWF-Tz and interviews with WWF-TZ/WWF-UK team, August and September 2012

Relevance

China for a Global Shift (CFGS) is a WWF initiative to promote development, within China and as associated with Chinese activities overseas, to ensure that they are sustainable, well managed and have minimal ecological footprint. Africa has been identified as the priority region for the CFGS' attentions. A sub programme has therefore been established to address the Africa - China dimensions of the initiative[145]. The Goal of the China-Africa sub-programme is "Increased commitment and action by key Chinese and African public and private sector actors leads to the integration of sustainability principles into the policies and practices governing China and Africa's trade and investment in the natural resource sector". In Africa, the China-Africa sub-programme is managed by the large and complex Coastal East Africa Programme. However some activities, such as those related to FOCAC and extractive industries reach beyond Coastal East Africa.

At the start of this PPA a scoping study[146] was commissioned to identify the main players, their interests and institutions, and areas where WWF had opportunities to influence African engagement with China. The Scoping study provides a valuable overview of Chinese influence in Africa.

The possible areas of engagement are potentially vast. As such it is imperative that WWF focuses on areas where impact is likely to be felt. The China-Africa proposal highlights this as follows: "The scale and diversity of Chinese activities in Africa dictates the need for a strategic approach if engagement is to be efficient and effective. Our approach has been and will continue to be to promote and engage in initiatives that work on building improved natural resources governance systems." Discussions held with team members identified boundary definition as i) geographic and ii) thematic. Geographic boundaries for China-Africa focus on East Africa. Although East Africa is not high in terms of Chinese investment received as compared with other African countries or globally, the original concept of collecting evidence from a limited geographical area seems sensible. It should also be noted that activities such as those related to FOCAC and the extractive industries reach well beyond East Africa. Thematic areas were described as those where "WWF can have most influence" and in East Africa this is seen as within the extractive industries. As with geographical focus, the extractive industries currently are not the area of maximum Chinese engagement, in for example, Tanzania[147]. However, again, it is sensible to focus on a limited number of sectors.

A number of pressures continue to exert themselves on what is a small team and budget. Pressures include expectations of what can be done in terms of influence within what is seen as a sensitive area, expectations of other WWF offices in Africa for assistance and the need to balance reaction to opportunities as they

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[145] Enhancing WWF's Role in Managing Opportunities and Challenges of Chines Trade and Investment Activities in Africa. WWF Strategy Scoping Exercise by Frontier Advisory, Resource Consulting Services and Adam Smith International, June 2011.

[146] Enhancing WWF's Role in Managing Opportunities and Challenges of Chines Trade and Investment Activities in Africa. WWF Strategy Scoping Exercise by Frontier Advisory, Resource Consulting Services and Adam Smith International, June 2011.

[147] Said to be infrastructure development, Tanzanian Chamber of Minerals and Energy and Scoping Document, June 2011

arise with a pro-active focus. Therefore there is a continued need for WWF to reiterate their areas of focus and revisit their ToC within a fast moving environment. In particular where areas have not been followed up or reasons for changes of direction need to be made clear within internal documents to maximize learning. For example, under the previous PPA, greater emphasis is given to multi-stakeholder engagement and an early Output under was "Scenario planning for sustainable trade and investment: Multi-stakeholder groups explore and develop mutually beneficial 2020 policy strategies for pro-poor and sustainable natural resource-based growth, trade and investment", while under the current PPA, multi-stakeholder groups appear to have less explicit emphasis. WWF is continuing to engage with multiple decision makers but not in a group format. Civil Society engagement is also an area of less focus under the current as compared to the previous PPA.

In Beijing, the WWF China Africa Team have worked in a sensitive political environment to build up trust and credibility with both government and financial institutions. WWF feels that it has now become a 'natural partner of choice 'among International NGOs for China government agencies. Its position here is strengthened in that WWF network k is seen as a means of facilitating Chinese access to an international development community. As importantly, access by the international development community to Chinese agencies is also being facilitated.

However informal networks are as important as formal, and some of WWF's work in Beijing needs to be carried out on a 'deniable' (or at least an 'incognito') basis since it is internally sensitive (an example is advice given to the National Development & Reform Commission – at the Commission's request - on draft best practice mining guidelines based on international standards (see Results *Objective 1, Indicator 2 below*: however the Commission would not immediately formalise a request to WWF to undertake this work to avoid its being known widely in government, or at all in the industry, that this was being undertaken at all). This can cause conflict between donors' desire for attribution and what is expedient in achieving results. A number of pressures continue to exert themselves on what is a small team and budget. Pressures include expectations of what can be done in terms of influence within what is seen as a sensitive area, expectations of other WWF offices in Africa for assistance and the need to balance reaction to opportunities as they arise with a pro-active focus. Therefore there is a continued need for WWF to reiterate their areas of focus and revisit their ToC within a fast moving environment. In particular where areas have not been followed up or reasons for changes of direction need to be made clear within internal documents to maximize learning. For example, under the previous PPA, greater emphasis is given to multi-stakeholder engagement and an early Output under was "Scenario planning for sustainable trade and investment: Multi-stakeholder groups explore and develop mutually beneficial 2020 policy strategies for pro-poor and sustainable natural resource-based growth, trade and investment", while under the current PPA, multi-stakeholder groups appear to have less explicit emphasis. WWF is continuing to engage with multiple decision makers but not in a group format. Civil Society engagement is also an area of less focus under the current as compared to the previous PPA.

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This achievement has been made within a context in which NGOs and CSOs are (unlike in many other countries) generally not admitted to Government forums. The establishment of informal networks by the

PPA China-Africa team in Beijing has been crucial, and the extent to which it has been able to impact on the Declaration and Action Plan of the 2012 FOCAC Ministerial Meeting represents a major success of the WWF-China Team's advocacy work, in cooperation with WWF offices in Africa. A programme of work which started 12 month ahead of the FOCAC Meeting produced an Advocacy Plan (in February 2012)[148] that sets out key messages to be promoted, primary and secondary target audiences, the broad goal that 'decisions at FOCAC include sound environmental commitments, and the range of tactics to be adopted: Political engagement, Public outreach, Civil society engagement, Demonstration (of successful implementation WWF proposals and research.

An evaluation of the Declaration and Action Plan[149] to emerge from the FOCAC meeting identifies in detail those recommendations of WWF that were taken account of in the Declaration and concludes that "from a WWF perspective, the results are good given that a number of WWF recommendations were taken into account. On the other hand, the scale of the challenge has increased significantly, with a package of environmentally-sensitive investments much bigger than three years ago and signs of resistance to fully embrace a green development agenda." It goes on to identify some key tasks for the future, highlighting the importance of continuity in the advocacy process, the need to build contacts with agencies that 'are key to environment and development but are traditionally outside the scope of WWF work (such as foreign affairs and economic development), and the need for partnership working.

Earlier advocacy successes have been the wide adoption of Green Credit Guidelines in the Chinese banking sector and the publication of Best Practice Mining Guidelines based in international standards (see 'Results' section below: *Objective 1, Indicator 2*. Both these cases provide an example of the way in which work with government agencies often has to be carried out. It needed to be entirely informal, since the agencies concerned were not able to let the role of WWF be known outside their organisation.

In the APR[150], it is said that attention has been given to testing and analyzing the assumptions within the programme theory of change, particularly the assumption that the proper implementation of internationally accepted performance standards can have enormous mitigating and positive impacts on poor people. A number of assumptions are made in the sub-project proposal but measurement of assumptions to date has not been seen.

The initiative can be seen as providing an enabling environment in which appropriate environmental and social standards are understood and applied. The ToC however would benefit from the inclusion of assumptions in its schematic and as part of this review a number of assumptions were added to the current schematic[151], see Appendix A. However to date, despite the team recognizing the importance of underlying assumptions[152], and the project proposal (February 2012) outlines assumptions, monitoring and evaluation systems have further to go in capturing and testing of assumptions that have taken place.

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[148] WWF-China Advocacy Plan for the China-Africa Ministerial Conference of July 2012
Beijing (INTERNAL WWF DOCUMENT NOT FOR DISTRIBUTION) Februaru 2012
[149] Evaluation of the FOCAC Declaration and Action Plan 2012 (INTERNAL DOCUMENT NOT FOR DISTRIBUTION OUTSIDE WWF) October 2012
[150] Long Additionality Report, China Africa, 26 July 2012
[151] Through discussions with Jon Hobbs in Tanzania
[152] An example of an assumption identified by the team was that FSC certification would actually improve markets and returns. Although this may hold true for European markets, it is unlikely to hold true, at this point in time for Chinese markets

The China-Africa logical framework and supporting monitoring and evaluation framework adequately summarises the objectives of the project though at times, greater definition in the indicators would enhance M&E , for example:

Objective 1: Key Chinese public and private sector actors apply internationally accepted environmental and social standards to their trade, aid and investment agreements with Africa.

Obj. 1 Indicator 1: "Levels of commitment and action by banks and multilateral financial institutions to incorporate climate smart, social and environmental best practices into their policies"[153].

Objectives and indicators have been commendably tightened up since previous versions of logframes but the logframe needs to quantify numbers of banks and multilateral institutions [154]. WWF's own Good Practice Project Management Self-Assessment Tool for China-Africa highlight that Goal and Objective statements "are not fully smart". Although the work requires flexibility to respond to opportunities as they arise, rather than maintaining this flexibility through, at times, lack of definition in the LF, it is recommended that both the ToC and LF are seen as living documents and are revised in response to changing circumstances. As noted above, capturing and sharing the reasons for change, at least internally, would enhance lesson learning.

This evidence suggests that PPA funding for this programme is highly relevant in terms of contributing to Objective 3 of the PPA LF: *Government and private sector policies, practices and priorities relating to investment in infrastructure and natural resource extraction/use are climate-smart, environmentally sustainable, designed to secure and/or improve the well-being of women and men living in poverty.* Evidence of achievements against this Objective are provided in the Results section below.

The China-Africa sub-programme is however a complex programme that has been in operation for approximately four years. WWF-UK are aware that there has been no evaluation of the sub-programme. Such an evaluation would need to look comprehensively at achievements in Africa and in China, across a range of sectors and as such would be demanding in the skills required. The team themselves emphasised that the focus should be on learning but differed in suggestions about the most appropriate timing. To maximise learning and make use of available skills, a possible evaluation could use a "peer type" review – with members of the evaluation team in Africa including team members based in China. Toward the end of the current round of funding would seem an appropriate time for evaluation, i.e. 2014[155]

Efficiency

China-Africa is receives much of its funding support through the PPA though China-Shift core funding contributes to work with FOCAC[156]. At the time of the review visit to Tanzania, other sources of potential funding have been approached but Tanzanian staff during discussions as part of this review were not aware of any further firm funding commitments. However as of 1 October 2012, funds from a DFID China will be available[157].

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[153] TPR China-Africa FY12 vs 2, June 2012
[154] Although not necessarily clear from the logframe, a commitment tool developed by WWF-UK is used to measure progress against this milestone, and is said to have helped the team measure their progress.
[155] Although an opinion was expressed that such an evaluation should be after at least 2 years to be able to measure outcome.
[156] It is estimated that PPA funding provided 21% of total funding dedicated to FOCAC work and 51% of the funding for the finance and banking work – See Lisa Howes, Feb 2012. Annex A Additional PPA Annual Review Questions -
[157] In the region of £1.1 million over 3 years

The evaluation of PPA3 noted that it was "*worth considering if consulting key informants from outside the network early ... would have save time and effort*". The scoping report conducted early in the previous PPA responds to this concern and provides a useful grounding for the current phase. This is despite some difficulties with one of the three consultants concerned who refused to fully divulge contacts made.

The counter-factual described in PPA3 of China Shift is to speed up the adoption of green lending policies by target institutions. Described as "an educated guess" this is estimated as a two year delay although the value of better quality environmental guidance, a major thrust of the current China-Africa work is not captured.

The amounts of money invested by China in Africa continue to rise, with total trade flows between Africa and China surpassed US$123bn in 2010, making China Africa's largest trade partner and African nations as a whole, China's 7th largest trade partner. The sum of WWF's priority partner countries of Tanzania, Kenya, Mozambique and Cameroon as a share of Africa's total trade (exports and imports) with China in 2009 is relatively small at 4.2% but growing[158]. China-Africa also responds flexibly to requests from other WWF offices, depending on the relevance and significance of the request and according to WWF capacity.

Policy work that manages to address key causes of environmental degradation (from and in whatever country) has the potential to achieve very high value for money. However the achievements in such work are frequently uncertain, long-term and value for money can only be calculated meaningfully retrospectively. It is recommended that an evaluation proposed for the end of this PPA would include an estimate of value for money.

Effectiveness

Much has been achieved during the current phase of China-Africa, see results section below. A key question with regards to effectiveness is whether the achievements will add up to a coherent whole.

WWF brings an awareness of and a focus on environmental issues which it is well placed to do. In doing this a number of international guidelines are seen as laying the foundations for standards to be achieved. It was emphasised during discussions in Tanzania that, for example, IFC standards for environmental impact assessment include an assessment of social and environmental issues. The use of international standards by the WWF team as a benchmark for assessing quality would seem a sensible approach even where it is believed that Chinese companies and government institutions are likely to wish to develop their own standards.

WWF, through its network, and in this case through the China Shift programme has a presence and experience of attitudes in African countries and in China. Shared learning between China and Africa has been most effective at joint meetings, either internal to WWF or during international fora. An example of such was a recent mining conference held in Johannesburg.

The organisational structure in Africa to engage with teams in China still requires development. Regular skype calls have been started, stopped and are now continuing, an electronic platform for the sharing of information has been developed but is not seen as particularly helpful by the team in Tanzania. Six monthly newsletters of the China Shift programme and briefing notes are produced, for example, in the run up to a three yearly FOCAC meeting. Such documents are well produced and capture achievements and some

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[158] Enhancing WWF's Role in Managing Opportunities and Challenges of Chines Trade and Investment Activities in Africa. WWF Strategy Scoping Exercise by Frontier Advisory, Resource Consulting Services and Adam Smith International, June 2011.

learning. Such documents are valuable to summarise the programme, and are available to those within and beyond WWF. A small number of staff asked within the Tanzanian Office from beyond the China-Africa team were unable to provide details of the programme but within the resources available, China-Africa staff have responded on an ad hoc basis to requests for information on how to engage with Chinese actors from WWF offices across Africa[159]. It would however appear that no systematic evaluation of the documents has been carried out to date. If WWF is to hold its place within an increasingly crowded arena, links between China and Africa will need to be reinforced. A number of suggestions were made which include the need for an African citizen to lead the China-Africa sub-programme and the inclusion in the team of personnel with high Chinese language skills and higher knowledge of Chinese company culture and attitudes. The required capacity for a complex and sensitive project is difficult to fill but it is said that the DfID China project will go some way to addressing this issue.

WWF's impact with both East African Governments and their Chinese partners is likely to be enhanced by working strategically in coalitions. To date the China-Africa team have developed some useful partnerships in the mining sector, for example with the Tanzanian Chamber of Minerals and Energy. Coalition partners would need to be chosen with care as Chinese delegations are said to be sensitive to any hint of Western imposition. WWF's moving carefully in this area is thus seen as sensible.

A number of gaps do remain. A gap highlighted in the China-Africa proposal[160] is the standards currently applied by Chinese banks. A number of studies are planned including "A benchmark Study of the Chinese banking sector". If WWF is to continue engagement with the banking sector and build on achievements of PPA3, it would seem important that this was undertaken relatively early in China-Africa's funding cycle.

The PPA has undoubtedly allowed a hard-to-fund area of policy and influence work to go ahead. By its nature PPA funding has encouraged a structured approach through its emphasis on monitoring and evaluation and, more recently, through Theories of Change which are beginning to show China-Africa work as a coherent whole rather than a collection of loosely connected interventions. At the same time, the PPA has provided a flexibility which is also essential within a sensitive and fast moving environment.

Results

Although now in its fourth year, China-Africa remains a relatively new way of working for WWF. WWF is more accustomed to projectised initiatives. The programme ToC is still evolving. Programme staff can articulate a very clear set of interventions and stakeholders that are required to transform activities into programme goals although these have not yet been thoroughly documented. The need to make assumptions more explicit in the results chain is recognised by the team and should be actualised.

Key results - Performance against PPA LF: What progress is there towards intended Outcomes?

Objective 1:

Government and private sector policies, practices and priorities relating to investment in infrastructure and natural resource extraction/use are climate-smart, environmentally sustainable, designed to secure and/or improve the well-being of women and men living in poverty.

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[159] It should also be noted that DFID supports WWF's China Shift work in China through two sources: PPA and their Beijing Office. However there is said to be little internal DFID communication from China to DFID offices in Africa. WWF, as reported by WWF, has played a role in keeping African offices informed.

[160] WWF Project Proposal, PPA. Africa-China: Seizing the opportunity for sustainable development, Final Version February 2012

Objective 1, Indicator 1:

Levels of commitment and action by banks and multilateral financial institutions to incorporate climate smart, social and environmental best practices into their policies.

A major achievement is the issuing of green credit guidelines[161] on the use of credit within China and overseas by the China Banking Regulatory Commission. An indicator of WWF's (China) importance in the process is that the first training on green credit guidelines will be jointly organised by the China Banking Regulatory Commission and WWF and request by two further banks to WWF for support in capacity building on green credit. The significance of the green credit guidelines is that they acknowledge the essential role of the banking sector in promoting a green and sustainable economy, as well as the risks presented by activities that are detrimental to the environment and local communities. Given the influence of CBRC in the Chinese banking sector, these guidelines will both boost green credit lending and set standards for most green credits. The counterfactual case is made strongly in the PPA Annual Review of February 2012 that the green credit guidelines would not have been issued, would have been issued later or adoption would have been slower in the absence of PPA funding[162]

The team found the "Commitment and Action towards Change tool" developed as part of PPA a useful checklist for assessing their progress against Outcomes. This tool has been used in the Annual Progress Report to self-assess their achievements.

Two banks are assessed as having reached "medium", one "low" and the China Banking Regulatory Commission to have reached "very high".

Assessed as exceeding targets.

Objective 1, Indicator 2:

Levels of commitment and action by Governments to ensure that social, environmental, and climate smart standards are integrated into development planning, trade and investment strategies.

WWF (China) has been requested by the National Development and Reform Commission (NDRC) to develop guidelines for sustainable investment by Chinese mining companies operating overseas. NRDC has overall responsibility for China's economic planning.

Two pilot Strategic Environmental Assessments have been undertaken. In Kenya, has subsequently undertaken a full SEA on the Tana River. WWF had hoped that the full SEA would be undertaken by the Government of Kenya thus building greater ownership at the national level and avoid SEA being a donor-driven exercise. However, the SEA has been driven by government who have involved numerous separate ministries to develop the full SEA. The SEA, for example, for the Tana River Delta and Lamu Archipeligo, includes social considerations and environmental-social interfaces. The importance of, for example, gender is considered though with little analysis within the SEA.

Findings from the SEA have been presented most recently at an International Association for Impact Assessment as part of a WWF/World Bank panel discussion in South Africa. It is hoped to mobilise Chinese

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[161] In February 2012
[162] Howes, Lisa 2012 - Additional PPA Annual Review Questions PPA China – Africa. Annex A to PPA Annual Review. Feb 2012

expertise to assist in SEAs. However at time of writing it is not totally clear how this will be done or by whom. However Chinese participation in a regional conference has been secured.

The Forum on China Africa Cooperation, an inter-governmental forum, that meets every three years included references to environmental sustainability and clean energy principles at their last meeting[163]. Although attribution to WWF is not possible (and probably undesirable), this may provide opportunities for WWF to engage with the Chinese Ministries of Foreign Affairs and Commerce and has resulted in dialogue with Ambassadors from Madagascar and DRC. Engagement directly with FOCAC is not open to Civil Society organisations and future success will depend on building relationships with attendees.

Assessed as on target.

Objective 1, Indicator 3:

Levels of commitment and action by local and international companies to incorporate climate smart, social and environmental best practices into their policies and practices

Guidance in the form of a document by Tanzanian Chamber of Mines and WWF (and developed by Africa Practice consultants) has been completed and is due to be launched in September 2012. Although said to have been developed in a three-way partnership between Government of Tanzania, Chamber of Minerals and Energy and WWF, buy-in by the Government of Tanzania is yet to be determined[164]. The document draws on international best practice and Tanzanian policy and although the emphasis is on environmental considerations, these are linked to social considerations as represented by a quote included in the introduction:

Africa Mining Vision 2050[165]

"A sustainable and well-governed mining sector that effectively garners and deploys resource rents and that is safe, healthy, gender and ethnically inclusive, environmentally friendly, socially responsible and appreciated by surrounding communities"
African Union, 2009

It should perhaps be noted that currently Chinese interests in Tanzanian mining industries are lower than in other sectors. However there is a possibility of Chinese interests in Tanzania's gold mining increasing dramatically in the coming year through the purchase of an existing gold mining company.

The milestones against indicator 3 are somewhat vague. Although self-assessed as on target (Achievement rating – good), the use of terminology such as "several companies" under the milestone and achievement make it difficult to give an independent assessment.

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[163] Held July 2012

[164] and GoT is not included as an author or on the documents cover

[165] WWF staff are clear that when they refer to "environment" in the context of SEA, social and economic considerations are explicit. However where social considerations are considered particularly relevant, a particular skill set is required and social (and economic assessment). "Understanding IFC's Environmental and Social Due Diligence Process" see the need to include both aspects in their title. Where social is not included, there can be a tendency for Assessments to give emphasis to environmental aspects while social aspects are given somewhat less consideration. Hence the inclusion of the quote to retain this emphasis.
Also see OECD documents - http://www.oecd-ilibrary.org/development/strategic-environmental-assessment-in-development-practice/sierra-leone-strategic-environmental-and-social-assessment-of-the-mining-sector_9789264166745-13-en and other sources for Strategic Environmental and Social Assessments (SESA).

WWF recognises that it has been challenging illustrating the impact of its work and although considerable progress has been made in developing guidelines in a difficult and challenging sector. However until such guidance can be demonstrated as being applied, impacts will not be significant. Application depends on a number of assumptions and although team members provided the assumptions included as Appendix A and the assumptions are valid, they are poorly assessed (using international experience) or documented. In revising and further developing Theories of Change to support China-Africa initiatives, these assumptions should be made explicit and key assumptions tested against WWF's own and others' experience.

Impact and longer term sustainability depends on how documents and the guidelines are actually used. This is largely unknown at time of writing. However it will be importance to build associated assumptions into programme logic models and to gather evidence to demonstrate use. Currently the programme monitoring plan is rather weak in this respect. The indicators need tightening up capture "use" of guidelines more explicitly and "Methods / source of data" is likely to require more than the guidelines themselves. In the future to demonstrate the value of the guidelines, it is likely that there will be the need for evidence of its implementation on the ground and in practice.

Appendix: Map of Change[166] Figure 3. Adapted Results Chain: China – Africa Project.

Although superseded by the table of assumptions provided below, it was a useful tool to discuss assumptions during the review.

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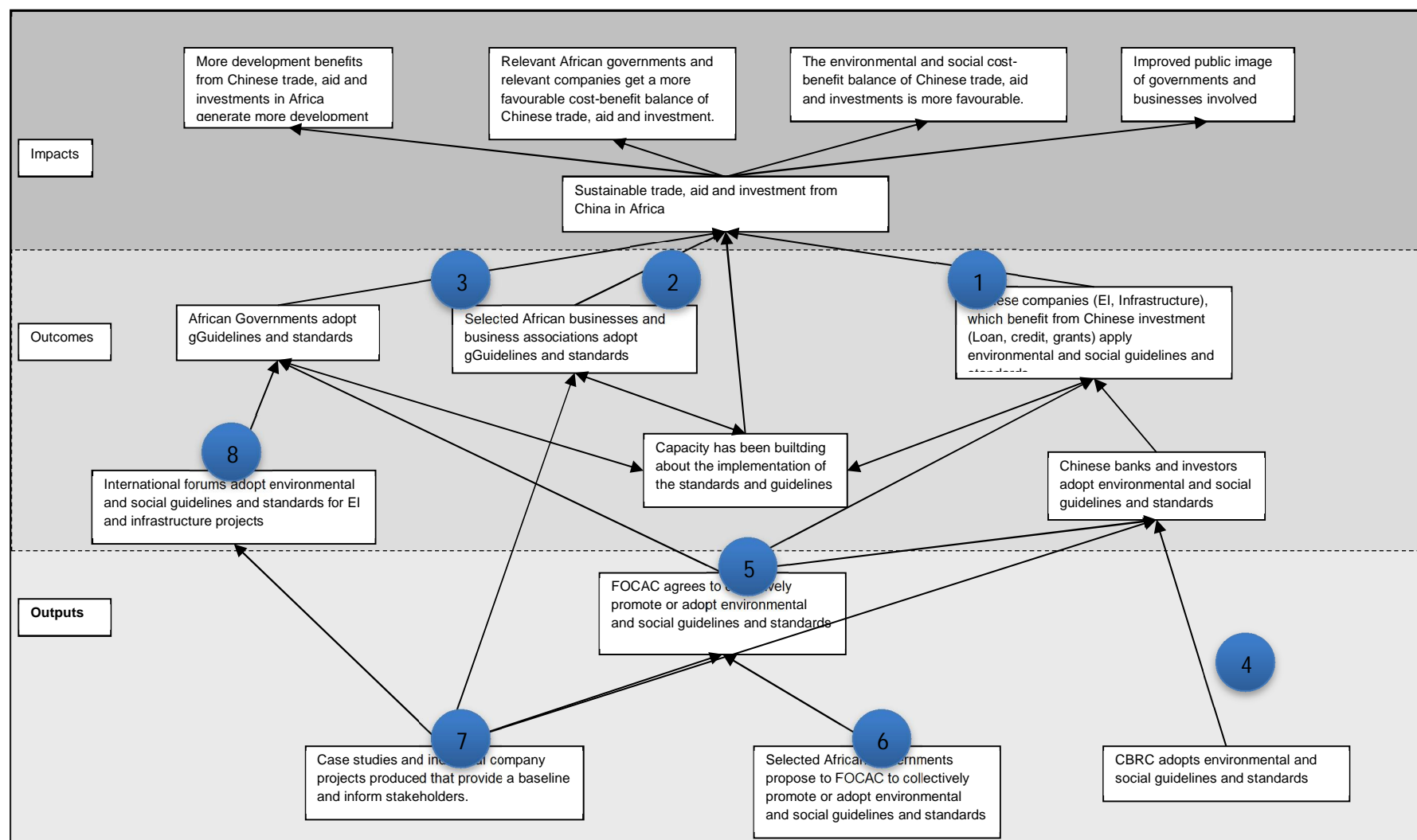
[166] Originally developed by Guido Broekhoven and expanded by Jon Hobbs and Catherine Butcher during the review. As it is still under developed and may not follow WWF's current of future Theory of Change, it has been called a Map of Change

Suggested changes:

- African Governments adopt guidelines and standard changed to: African governments promote and adhere to guidelines and standard
- Selected African Governments propose to FOCAC to collectively promote or adopt environmental and social guidance and standards to: Selected African Governments propose to FOCAC to promote or adopt environmental and social guidelines and standards
- Most of the activities above need to be represented as an iteration
- Many of the routes to achievement are unlikely to be direct or linear

Assumptions:

1. (see Fig. 1 above)

- -Chinese (and other companies) actually implement and follow up what has been agreed
- Chinese companies have the capacity to implement
- That there is a common understanding of what is included in guidance
- African host countries have the interest to hold Chinese companies to account

2. (see Fig. 1 above)

- That appropriate business associations exist (there are chambers of mining, etc. in each country)
- That business associations are representative of their members and of their sector
- There is sufficient reach within their sector to include, eg. Artisans
- That when adopted there is consistency and continuity in application
- There is sufficient capacity to implement

3. (see Fig. 1 above)

- That government care sufficiently to ensure quality of standards
- That individual gain does not override gains for the country
- Short-term development imperatives do not overide environmental imperatives

4. (see Fig. 1 above)

- Environmental and social standards are of sufficient quality to be better than the default position
- That CBRC do have the extent of influence believed
- There is a common interpretation of standards and that such interpretation is sufficiently rigourous to lead to environmental and social mitigation and gains
- That the Chinese private sector continues to respond to centrally issued guidance

5. (see Fig. 1 above)

- That if FOCAC adopt individual members will follow suit
- That progress can be made without all 48 countries agreeing, as chances of obtaining agreement across 48 countries is unlikely
- That FOCAC are the appropriate and influencial body to agree with (there are other such fora, e.g. Europe/China/Africa Forum)
- That FOCAC has an influence on bilateral agreements reached

6. (see Fig. 1 above)

- That FOCAC has an influence on bilateral agreements reached
- That standards agreed are sufficiently rigourous to bring environmental and social gains

7. (see Fig. 1 above)

- That Chinese companies are less environmental than others
- That community relations improve
- That companies and governments respond to peer pressure

8. (see Fig.1 above)

- Standards are of sufficient quality to bring about improvements
- Chinese academics and others are aware of and can influence government and the private sector

Results Chain for China Africa (from WWF Project Proposal, PPA 4: Africa – China: Seizing the opportunity for sustainable development Final version – February 2012, Internal Document) providing details of assumptions.

Results chain	Assumptions
Goal: Increased commitment and action by key Chinese and African public and private sector actors leads to the integration of sustainability principles into the policies and practices governing China and Africa's trade and investment in the natural resource sector.	The integration of sustainability principles into the policies and practices governing China and Africa's trade and investment in the natural resource sector will have positive impacts on poverty reduction and sustainable use of natural resources.
Objective 1: Key Chinese public and private sector actors apply internationally accepted environmental and social standards to their trade, aid and investment agreements with Africa by 2014.	WWF is recognised as an independent, trustful and professional partner with whom governments want to work with. WWF's due diligence review allows us to work with ICBC[167] Key Chinese public and private sector actors are prepared to apply internationally accepted environmental and social standards to their trade, aid and investment agreements with Africa. These standards could e.g. be: Internationally accepted environmental and social standards to their overseas investments of 2 Chinese banks (output 1.1) A regulatory frameworks on environmental and social standards adopted by CBRC (output 1.2)
Objective 2: At least two African governments ensure the application of internationally accepted environmental and social standards to their trade and investment policies and agreements and their implementation by 2014.	At least two African governments (out of several that have obtained relevant knowledge, capacity and information through the project) are prepared to ensure the application of internationally accepted environmental and social standards to their trade and investment policies and agreements and their implementation. These standards could e.g. be: Guidance for Investors that indicates the environmental sensitivities, procedures, contracts, issues etc considered to be important for inward investors to know in order to make environmentally informed decisions, or similar forest related guidance (output 2.1) Investment screening criteria that evaluate the environmental sustainability and climate change implications of investors and investments (output 2.2) FOCAC decisions on environmental and social standards for aid, trade and investment between China and Africa (output 2.3) SEA as a tool in policy development and appraisal (output 2.4) WWF is recognised as an independent, trustful and professional partner with whom governments want to work with.

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[167] Completion of the Due Diligence has been delayed due to lengthy procedures in ICBC. It is due to be completed in FY13.

Results chain	Assumptions
Output 1.1 At least 2 Chinese banks, including ICBC, have the technical knowledge and capacity to apply internationally accepted environmental and social standards to their overseas investments by mid 2014.	At least 2 Chinese banks, including ICBC, are interested to acquire the technical knowledge and capacity to apply internationally accepted environmental and social standards to their overseas investments.
Output 1.2 CBRC demonstrates sufficient technical knowledge and capacity to develop new regulatory frameworks on environmental and social standards for Chinese banks operating overseas by mid 2014.	CBRC is prepared to obtain the technical knowledge and capacity to develop new regulatory frameworks on environmental and social standards for Chinese banks operating overseas.
Output 2.1 Three African countries have the knowledge, capacity and information available to put in place Guidance for Investors that indicates the environmental sensitivities, procedures, contracts, issues etc considered to be important for inward investors to know in order to make environmentally informed decisions by mid 2014.	Three African countries are prepared and interested to increase their knowledge, capacity and information available to put in place Guidance for Investors that indicates the environmental sensitivities, procedures, contracts, issues etc considered to be important for inward investors to know in order to make environmentally informed decisions.
Output 2.2 Three African governments have the knowledge, capacity and information available to put in place and actively apply investment screening criteria that evaluate the environmental sustainability and climate change implications of investors and investments by mid 2014.	Three African governments are prepared and interested to increase their knowledge, capacity and information available to put in place and actively apply investment screening criteria that evaluate the environmental sustainability and climate change implications of investors and investments.
Output 2.3 Selected government departments in Africa and China have the knowledge, capacity and information available to formulate and propose recommendations on environmental and social standards for aid, trade and investment between China and Africa in international fora including FOCAC by mid 2014.	Selected government departments in Africa and China are prepared and interested to increase the knowledge, capacity and information available to formulate and propose recommendations on environmental and social standards for aid, trade and investment between China and Africa in international fora including FOCAC. FOCAC will adopt and implement decisions on environmental and social standards for aid, trade and investment between China and Africa.
Output 2.4 At least two African countries have the knowledge, capacity and information available to use SEA as a tool in policy development and appraisal by mid 2014.	At least two African countries are prepared and interested to increase the knowledge, capacity and information required to use SEA as a tool in policy development and appraisal.
Output 2.5 Three investments in Africa with Chinese interests demonstrate sufficient technical knowledge and capacity to apply internationally accepted environmental performance standards by mid 2014.	WWF is able to identify three investments in Africa with Chinese interests that are prepared to work with us to increase knowledge and capacity to apply internationally accepted environmental performance standards.

Brazil: Promoting Climate Smart Low Carbon Development

Case study based on documentation provided by WWF-UK and WWF-Brazil, interviews with WWF-UK Project Manager and WWF-Brazil teams (via Skype) August / September 2012.

Relevance

WWF-Brazil's Climate Change & Energy Team is long-standing, and received support from DFID for 6 years before the commencement of the current PPA. This funding was incorporated into PPA on the programme's inception in July 2011. In calendar year 2012, PPA is the largest single contributor to the Climate Change and Energy Team, although it accounts in total for less than 40% of the Team's funding.

Funding source	Amount (R$)	Amount (£)	% of total
DFID (PPA)	522,875	193,657	36.12%
Sea Change	300,000	111,111	20.72%
Oak	192,987	71,477	13.33%
GCEI	130,800	48,444	9.04%
HSBC	25,100	9,296	1.73%
NORAD	275,785	102,143	19.05%
	1,447,547	536,129	100.00%

The team consists of only 4.5 members (including half-time dedication of a senior staff person based in São Paulo and responsible for the international policies component of the WWF network´s Global Change and Energy Initiative (GCEI), in a national WWF Office of almost 100 staff. The proposal describes the 4 Brasilia-based staff persons as the 'core team', identifying an expanded team of advisors both in Brazil and in WWF-UK[168] (see Annex 1).

The team's particular remit is policy engagement, spearheading WWF-Brazil's input to government consultation as an organisation widely- and well-recognised by a large number of government departments & agencies. In addition to this it has assumed the task of carrying over from the previous to the current PPA the dissemination of the findings of a study of the REDD+ policy of Acre State, and of promoting a national REDD+ policy informed by the experience in Acre ('scaling-up REDD+ from State to National level').

A particular challenge felt by the team is that of having to 'squeeze' the planning, monitoring and evaluation of policy/advocacy work into a 'project' format (based on a 3-year term and a logframe). Characteristics of policy/advocacy are:

- Long-term objectives are clear but it is hard to fix objectives for as long as a year ahead since the policy environment/agenda changes (often along with headline news &/or major events such as Rio+20) & it is necessary to respond to this,
- A lot of 'thinking on the feet' is done and not much written down. But evidence collection in a fast-moving policy context is key to further evidence-based adaptive planning and reporting, and

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[168] None of the expanded team receives PPA funding as part of this support role

hopefully modern technology ('Evernote' software + smart phones) will useful to the team in helping with this.

- Strategic planning requires situational, context and stakeholder analysis.

A revision of the Project's M&E framework has recently been undertaken by the Team (see 'Results' below) which it is hoped may make the task of reporting against logframe indicators less cumbersome for the team.

In February 2012, a strategy for the Project in 4 areas was firmed up (having been under discussion by the Team through the second half or 2011):

1. International policy over agreement on carbon budget
2. Reducing emissions from deforestation (REDD+)
3. Addressing the energy sector and other key emitting sectors
4. Climate change adaptation -a crucial counterpart to climate change mitigation particularly for vulnerable people and ecosystems.

Notes in elaboration or each of these are:

1. *International policy over carbon budget.* Brazil is a regional power and a highly influential global player, increasing its influence on global issues. Faced with growing concern over climate change, and identified as one of the top world greenhouses gas emitters, Brazil has adopted a reduction target approaching 40% below its projected emissions by 2020. The country is developing sectoral mitigation plans composed of actions necessary to achieve its targets (e.g., deforestation reduction in the Amazon region, agriculture, energy and green charcoal for the steel industry), and it aims to start discussions on further actions in different sectors (e.g., transport, industry, construction, health). However conservative sectors of Brazilian society (e.g., Agribusiness, electricity intensive industries) are actively working to undermine low carbon development goals, while institutional weaknesses within the Brazilian government may hinder the ambition of and coordination among different mitigation plans.

2. *Reducing emissions (REDD+):* WWF-Brazil's involvement (under PPA3) with the development of a REDD+ policy for Acre State puts it in a useful position to engage with the process (which has been underway since 2009) to establish a national REDD+ regime for Brazil – a complex process involving both State and Federal legislation. A further issue on this agenda has been a campaign in Congress to diminish the effectiveness of the National forest Code, which potentially is of key importance for low carbon development given the prominence of deforestation in Brazil's emissions profile[169]. The CC&E team lobbied against the proposals and supported opposition by other groups. However a bill emerged from Congress in September 2012 for Presidential signature which represents a significant weakening of environmental legislation protecting forests on private properties. Current WWF strategy is to stop lobbying for changes in the legislation, and instead push for improved application of the environmental provisions that remain. Brazil has made significant advances in this area through improved enforcement (e.g., through real-time satellite imagery) and enhanced incentives to conserve forests (by facilitating access to agricultural credit to property owners in compliance with the law).

It is not clear whether WWF-Brazil would intervene in this area. However the C&E team is well-placed to do so given its network of contacts, and the issue is central to achieving the REDD+ objective.

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[169] Legislation passed the House of Representatives in 2011 with a substantial majority and is currently in the Senate.

3. *The energy sector:* Although Brazil´s energy matrix is 'cleaner' than the world´s average (with some 45% of energy from renewable resources), the share of fossil energy sources (currently 55%) is *increasing* due to the start of exploitation of large deep-sea oil reserves. At the same time large investments are planned for the construction of new, hydropower plants in the Amazon region which will have a high environmental impact (and an impact on the livelihoods of poor people). Thus energy expansion plans developed by the Brazilian government do not include ambitious or even coherent goals for developing renewables or for energy efficiency.

4. *Climate change adaptation:* Brazil appears vulnerable to climate change. In the past seven to eight years, a series of extreme weather events resulted in hundreds of deaths and significant economic losses. These include a hurricane in the South (in 2004), droughts in the South in many following years, droughts in the Amazon (in 2005 and 2010), and floods in the Southeast, Northeast and Amazon region.

Efficiency

There is no doubt that the C&E Team is 'lean', with just 4.5 core members. It is equally clear that the D&E team has high visibility and high impact. Recent examples of this are:

- the Rio +20 conference (June 2012), where Team leader Carlos Rittl led the WWF-Brazil delegation & engaged in detail with Brazilian Government representatives, most notably over getting the network priority of zero net deforestation by 2020 on the agenda. He also took the opportunity of the attention given by national and international media to the conference to give a large number of press interviews.

- the Durban summit (December 2011), where WWF brought discussion on the potentially highly damaging revision of the Brazil Forest Code to attention of international media via a press conference.

In general the Project has achieved a high level of engagement with government, and also with other actors (universities and research institutions, NGOs, and fora which provide the opportunity for networking).[170] This positions the team well for ambitious tasks outlined under 'relevance' above relating to national policies on carbon, REDD+ sustainable energy, climate change adaptation.

The Project successes noted above have been achieved at modest cost, given the PPA contribution to the Project budget is less than £200K of the total of £536K – which contribution has leveraged more than 100% from other donors.

Effectiveness

WWF holds a very potent position vis-a-vis GoB as a 'trusted adviser'. This is largely due to the CC&E Team and to its PPA-funded work. The Team is also is in touch, as noted above, with a large network of other organisations (NGO/CSO, research & academic – although the private sector is less well-represented in the Project's stakeholder matrix – see Annex 2).

The CC&E team is a strong formal and informal (indeed opportunistic) *communicator*, using media in high-profile events (again, as noted in the above section). It has also commissioned substantial studies (including peer-reviewed academic papers, but also policy-focused material): important are the sectoral mitigation studies (re. low carbon / renewables – Objective 2), and also the Key Lessons analysis of

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[170] See Annex 2 for the Project's 'stakeholder mapping' (stakeholder matrix) from the Project Proposal (pp 10-12)

REDD+ in Acre State (Objective 3). The study of Acre State's REDD+ policy received funding from Sky TV in addition to a PPA funding and had full participation of the Acre government. Communication of lessons learned in Acre State is an important case: WWF has taken the process of developing the policy draft close to the Ministry of Environment (see correspondence appended to April 2012 TPR) and is thus engaged in the development of policy on the basis of this study.

Success of some poverty-focused interventions was an important lesson from the Acre State experience. A stipend was provided to families in the state that rely on forests and forest resources for their livelihoods (to be paid to married women and female heads of households as the primary family caretakers) in return for commitments not to cut down primary forest and to reducing burning in agriculture. Initially, over 2,500 families received the stipend the target being 30,000 households, largely indigenous peoples and forest-based populations, particularly in key landscapes where threats from deforestation are highest. The policy is also designed to provide the same families with technical assistance, improved access to credit and strategies for commercialising their products[171].

In the energy sector, rapid dam construction in the Amazon basin in order to meet projected demand for electricity also has poverty implications. Hydro-electric dams have major impacts on local populations, leading to their resettlement and loss of land-based livelihoods. Numbers of people affected in dams that have been planned have not been well estimated: for the Belo Monte dam, (which would be the world's third-largest hydroelectric project) official figures for numbers of people (largely indigenous groups) to be relocated are 20,000. But this figure does not include people whose livelihoods will be indirectly affected by dam construction. A slowing down in the expansion of construction of hydro-electric dams is one of WWF policy 'asks' of the Brazilian Government. The lack of documented impacts (on both biodiversity and on the livelihoods of peoples who rely on such biodiversity) will also need to be addressed in policy dialogues.

WWF-Brazil has recently aimed (with input from an external consultant) to develop an understanding of the impacts of its policies on poverty and welfare and to identify strategic ways to expand government policy discourse and awareness on poverty. A poverty monitoring tool was developed as part of this work and has now been integrated into the project monitoring and evaluation system (see the 'Results' section below). In this context the Project has networked with a small number of organizations and individuals working on poverty and social justice issues in Brazil, and with a climate change perspective to explore ways of working together and learning on poverty awareness[172].

In this context, the most recent TPR notes that an important lesson of the CC&E team's experience is the extent to which working in networks can 'magnify impacts'. This has been learned particularly through the Team's involvement with coalitions notably the Climate Observatory and the REDD Observatory[173]. Such coalitions generate greater impact on policy because they represent a wide range of interests and add legitimacy to what has been produced by individual members. Coalitions are thus crucial to policy influencing, but considerable time and investment is needed in developing relationships within coalitions, so these relationships should be strategically aligned with policy priorities.

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[171] See (http://www.edf.org/sites/default/files/Acre_Ready_for_REDD_EDF.pdf)
[172] These are International Rivers, Action Aid, CARE international, OXFAM, and the International Policy centre on Inclusive Growth (IPC- IG), all organisations that bring expertise in poverty and social development.
[173] See 'Stakeholder Mapping' in Annex 2

Results

The TPR submitted in April 2012 pre-dated the re-formulation of the project's M&E strategy, and adopts a narrative approach, setting out 'achievements' against logframe Impacts and outcomes for the reporting period in vigorous narrative form, and then moving to an outcome-by-outcome assessment against milestones. These results are summarised in a Monitoring Report Chart which assesses achievement/progress against goals ordinally, using a scoring system of 0-3 (where 3 is high). This is not easy to review, particularly where goals and outcomes are set in a timescale of the whole project lifetime[174].

The revised TPR for the full FY 2012 (dated 2 August) was prepared in light of a new M&E plan for the project (completed in early August and the design of which was led by Team member Anthony Anderson - REDD specialist and responsible for M&E/DFID liaison). This is more tightly structured, and features a M&E matrix based on a logframe which underwent two rounds of revision in August. The new M&E system includes a refined system of scoring achievements against logframe inicators (below).

Descriptor	Rating
The planned intermediate result for the current FY has been entirely met (or with an insignificant shortcoming), or the objective has been achieved entirely (final FY)	7 / 6 / 5 / 4
There were moderate shortcomings in the achievement of the planned intermediate result for the current FY, or there were moderate shortcomings in the achievement of the objective (final FY)	3 / 2
The achievement of the planned intermediate result for the current FY is very low, or the objective resulted in a very weak or no result (final FY)	1
There was no planned intermediate result for the current FY, therefore it was Not Rated.	NR

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[174] The WWF-UK project manager mentioned at an early stage of the IPR the 'challenge of having to squeeze into a project format (based on a 3-year term and a logframe) what is essentially policy/advocacy work, which has clear long-term objectives but for which it's hard to set measurable objectives for 6-12 months ahead since the policy environment/agenda changes rapidly (often along with headline news &/or major events such as Rio+20). This revised M&E plan hopefully goes a long way towards meeting the difficulty which the project feels it has had with the conventional M&E tools.

The Monitoring Report is attached as Appendix 3, with achievement ratings and justifications for the ratings in the two final columns of the matrix. The following notes are offered on this.

Objective 1 *By 2014, Brazil has accepted at least 3 WWF asks within the negotiations for a Climate Deal.*

Although Brazil has played an important role in UN Climate negotiations (including hosting the Rio 20+ conference), many influential sectors in Brazil (including shipping interests) are 'vehemently opposed to a global market-based mechanism'[175]. However, the Programme feels it did achieve a success in securing informal signs of increased openness from the Ministry of Foreign Affairs to a MBM (which may have been associated with the key role the CC&E Team played in the Rio+20 conference in networking with and supporting the Brazilian Government representatives).

Reported achievement ratings (on the above scale) against outcome and output indicators are:

Outcome Indicator : *Number of WWF asks accepted by Brazilian government within UNFCC process poor.* FY 201.

Rating: Level [0] with note: 'Brazil is currently ´receptive´ but does not publicly support global mechanisms for climate finance. The shift from a low to medium level of commitment has therefore not yet been achieved but if WWF continues to work in the same way w/ the government, this is likely to be achieved during FY 2013.

Output indicator 2.2 . *Number of CSOs/other influential actors in decision making processes related to a Climate Deal engaged with/by WWF* FY 2012
Rating: Level [4] with note: WWF-Brazil works closely w/ CSOs/other influential actors on issues related to Climate Deal, although more actors could be included.

Observation: Good progress has been made (building on WWF-Brazil's history of policy engagement) with achieving the output of establishing/consolidating links with both Government and CSO, and with achieving for WWF the status of a 'trustworthy and effective partner'. However this has yet to translate into outcomes. The team's rating of Level [4] for indicator 2.2 is probably realistically optimistic. The rating of Level [1] for indicator 2.1 seems to reflect a degree of frustration, which however is – as a CC&E Team member put it - mitigated in that 'we feel we are respected, and have created space for engaging with government etc. to do good work[176].'

Objective 2: *By 2014, the Brazilian government creates opportunities to incorporate WWF asks by engaging with multiple stakeholders in the planning of at least two high emitting sectors (Transport & Energy).*

Government sectoral plans promulgated 2010-12 include forest conservation (targeting an 80% reduction in deforestation of the Amazon), agriculture, energy (including charcoal and firewood, still a major energy source), transport, mining, processing industries and health. There is a major tension between a low carbon objective and the prospect of large exploitation of offshore oil reserves; and at the same time expansion is planned of large-scale hydroelectric dams in the Amazon, which are likely to impact quite severely on biodiversity as well as on the environment on which many poor forest dwellers depend for livelihood. The C&E Team notes that the government's energy planners have shown 'high

[175] Project / Priority Programme Technical Report 2 August 2012, p1.
[176] Skype interview with team members on 24 August 2012.

resistance' to engaging civil society organisations in dialogue about 'alternative energy pathways that would generate lower environmental impacts'.

The Project aims to promote a more integrated approach that has some possibility of resulting in a low carbon economy, in particular moving planners towards renewable alternatives and away from fossil fuels and large scale hydropower. It has played an active role in discussions around the agriculture and transport sectoral plans, and produced background research materials relating to e.g. charcoal and firewood which are often harvested illegally.

Reported achievement ratings against outcome and output indicators are:

Outcome indicator 2.1 *Levels of engagement of CSOs w/ key decision makers to advocate for policy frameworks & practices aimed at achieving a low carbon economy.*
Ratings: Energy [NR] with note '...no effort yet by WWF-Brazil to engage with sector'. Transport Level [5] with note: 'WWF-Brazil works closely w/ CSOs/other influential actors in sectoral issues, although more actors could be included'.

Outcome indicator 2.2 *Number of WWF asks incorporated into at least 2 sectoral planning documents*
Ratings: Energy [NR] with note as above. Sectoral Plans Level [5] with note: 'WWF-Brazil actively involved in dialogue with govt.'

Output Indicator 2.1. *Amount (quantitative & qualitative) of information shared, &/or approaches, lessons & tools developed & promoted.*
.Rating: Level [4] with note: 'Milestone only partially fulfilled'. The 'planned intermediate result' for FY 2012 (the milestone) details a 'high-level launch event' of the sectoral mitigation studies with study coordinators, government representatives, private sector, NGOs, journalists.

Observation: the task of 'addressing the energy sector and other key emitting sectors' (see under 'Relevance' above) has not yet started; the plan for 2013 (see Appendix 3) refers to implementing a 'joint strategy for engaging the sector' and only in 2014 is 'medium mobilization' of key CSOs, NGOs and research centres envisaged. On the other hand the CC&E Team has strengthened its position vis-a-vis government (importantly by its contribution to 4 sectoral studies). The effective engagement with the energy sector (including important private sector interests as well as some government agencies) it sees as depending on development of a strategy not envisaged as yielding returns for a further 2 years.

Objective 3: *By 2014, Brazil has a national REDD+ strategy in place that incorporates WWF-Brazil asks.*

PPA 3 funding supported the design of a REDD+ policy for the Acre State, which was carried out using a participatory methodology giving it wide degree of legitimacy and acceptability. An important feature of the policy was payments of a stipend to households that rely on forest resources for their livelihood in return for a commitment not to cut down primary forest. Thus a direct impact was achieved on poor people who are also provided with technical assistance and access to credit.

The CC&E Programme is now engaging (as a member of a Governmental working group) with the task developing a national REDD+ strategy. A draft by the Ministry of Environment is now under consideration with a series of stakeholder meetings planned for August-October 2012. A study made by

WWF-Brazil in collaboration with the Acre State Government of the lessons learned from the Acre REDD+ policy is due for publication by end of 2012.

Reported achievement ratings against outcome and output indicators are:

Outcome Indicator 2.1. *Levels of engagement of CSOs w/ key decision makers to advocate for a national REDD+ strategy.*
Rating: Level [5] with note: 'WWF actively involved; shortcomings in results due to factors beyond WWF's control'.

Output Indicator 2.2. *Number of CSOs/other influential actors in decision making processes related to a national REDD+ strategy engaged with/by WWF.*
Rating: Level [5] with note: 'WWF actively involved; shortcomings in results due to factors beyond WWF's control'. The 'planned intermediate result' for FY 2012 against this Indicator is the same as that against output indicator 2.1

Observations: Interpretation of the above is that the Project feels it has captured the lessons of the Acre State experience (the 'poverty indicator' and output indicator 2), that it is ready now to build on this in working with government and other agencies in developing the national REDD+ strategy, but that the partners are not fully engaged in the process. For the Project however this represents a good level of achievement.

Objective 4: Objective 4: By 2015, the Brazilian government engages multiple stakeholders in developing a national strategy for adaptation to the adverse effects of climate change.

Although ambitious, this objective was included in the strategy in June 2011, in response to a recognised need of the Brazilian Govt to start engaging on Adaptation. The C&E team is engaging with the Govt on the adaptation issue, but the best strategy for this engagement is still evolving.

No activity was carried out during this FY 2011. By end FY 2012, the CC&E programme plans to define a strategy for its work in adaptation, based on in-depth internal consultations within WWF-Brazil and external consultations with key organizations in this sector, especially those involved on the impacts of adaptation on people living in poverty.

Reported achievement ratings against outcome and output indicators are:

Outcome Indicator 2.1. *Levels of engagement of CSOs w/ key decision makers to advocate for a national strategy for adaptation, including CSO networks that represent people living in poverty.*
Rating: [NR]

Output Indicator 2.2 Number of CSOs/other influential actors in decision making processes related to a national strategy on adaptation engaged with/by WWF.
Rating: [NR]

Observation: The outcome noted under 'poverty indicator' in the monitoring report has been fully achieved, namely a tool conceptualised for addressing the objective and engaging in policy dialogue. Thus it is given an achievement rating of [7]; the other indicators are shown as NR (not reported).

Objective 5 *By 2012, WWF-Brazil´s Climate & Energy team is using a M&E system for adaptive management & to generate & disseminate strategic lessons on best policies & practices to form a programme-wide M&E system.*

This objective did not form part of the project proposal but has been used by the CC&E programme 'to emphasize our commitment to monitoring and evaluation'. There is one indicator:

Outcome indicator: *i) Number of team members using the tools to gather, store & report evidence. (ii) Number of reports delivered on time. (iii) Number of recommendations from team meetings/reflections registered & acted upon. (iv) Number of strategic lessons generated & disseminated.*

This is given a rating of level[6] and the note: 'Except for one minor item, milestone completely achieved'. The 'planned intermediate result (milestone) refers to the CC&E team being fully staffed by FY12, to the M&E system being 'defined & validated' and the FY2013 work plan being defined.

Observation: The revised and refined M&E system introduced in August 2012 has greatly eased the task of reviewing this project remotely! More importantly it provides a rigorous basis for future M&E of the Project and hopefully goes a considerable way to resolving the issues which have to date been current in the CC&E team around the notion that M&E tools are designed for projects, and that policy / advocacy work which is different in nature is not well-served by them. The Team now appears to have a rigorous M&E system which gives scope for mixing qualitative and quantitative reporting and introduces an effecive scoring method for summarising results drawing on both these approaches.

Appendix 1 Brazil Team Members

The core team is formed by the members of technical team of WWF-Brazil´s Climate Change and Energy Programme. The core team:

- Carlos Rittl, PhD, the Programme Coordinator, who will serve as Project Manager
- Anthony Anderson, PhD has a senior post with focus on technical and scientific aspects of forest and climate related issues, with emphasis on REDD+ (Reducing Emissions from Deforestation and Forest Degradation), and will assume responsibility for the project M&E component.
- André Nahur, M.A, expert on climate policy frameworks at national and international levels
- Ligia Pitta, M.A., junior staff member with broader focus on climate and energy-related issues
- Mark Lutes, M.A., senior expert on climate change policy frameworks at national and international levels (half-time dedication).

The expanded team (Advisors) consists of the core team plus:

- Glauco Kimura, specialist on climate adaptation, Coordinator of WWF-Brazil´s Freshwater Programme
- A communication officer at WWF-Brazil Climate and Energy Programme (to be hired)
- Rogerio Barbosa, Coordinator, Programme Design and Impact, WWF-Brazil
- Jon Taylor, Climate Change Programme Manager, WWF-UK
- Karen Lawrence, M&E Officer, WWF-UK
- Support staff at WWF-Brazil (secretarial, logistical, financial)
- WWF Network Global Initiatives (GCEI, FCI, LAI)

(Source: Project Proposal July 2011, with updates)

Appendix 2 Stakeholder mapping

Stakeholder	Interest in or relationship to project	Resources available	Potential role or involvement
Ministry of Environment (MMA)	Plays a leading role on climate policy making to address mitigation (including REDD+) and adaptation.	Coordinates the Executive Group of Ministries in charge of implementation of national climate policy. Coordinates key climate policy making processes (e.g., REDD+, mitigation plans to reduce emissions from deforestation in the Amazon and Cerrado regions) Coordinates National Climate Fund committed	Needs direct engagement
Coordination of Presidential Cabinet ("Casa Civil")	Coordinates overall policy making, including climate and energy.	Coordinates the Inter-Ministerial Committee in charge of overall climate policy (as well as all major national policies).	Needs direct engagement
Ministry of Foreign Affairs (MRE)	Leads Brazilian foreign policy, including negotiations at UNFCCC; influences climate policy making process.	Coordinates Brazilian work at multi-lateral fora (e.g., UNFCCC, G20). Engages in climate policy making processes in the country.	Needs direct engagement
Ministry of Agriculture (MAPA)	Leads implementation of sectoral mitigation plan on agriculture, develops annual plans for agriculture production; advocates in favour of changes in the Brazilian Forest Code.	Sets policies, measures, programmes for the advance of agriculture production Coordinates the implementation of sectoral mitigation plan on agriculture	Needs to be influenced
Ministry of Mines and Energy (MME)	Develops and implements energy policy.	Sets highly conservative energy policies/plans/targets	Needs to be influenced
Brazilian Energy Research Company (EPE)	Develops studies and plans for electricity generation expansion.	Provides critical inputs for energy policies/plans	Needs to be influenced
Ministry of Science, Technology and Innovation (MCT)	Leads science, technology and innovation policy making processes, provide support for climate policy making processes, join the Brazilian climate negotiation delegation.	Sets science, technology and innovation policies/plans; helps define Brazilian position on critical issues at UNFCCC negotiations (e.g., REDD+)	Needs direct engagement
Ministry of Development, Industry and Trade (MDIC)	Leads the development of mitigation plans for Brazilian industries.	Sets policies/plans for the improvement of industries competitiveness	Needs direct engagement

Ministry of Transport (MT)	Leads the development of mitigation plans for transport of passengers and cargo.	Sets policies/plans for transport and transport infrastructure	Needs direct engagement
Ministry of Finance (MF)	Engages in overall policy making processes defining economic guidelines; supports design of finance mechanisms (e.g., National Climate Fund); leads discussion on a national emissions reduction market.	Sets policies on taxes, contributes to Brazil´s position on multilateral fora regarding global finance (including climate)	Needs to be influenced
National Congress	Formulates, discusses, approves and changes legislation; discusses, approves and changes law proposals sent by Federal Government	Proposed, discusses, approves policies on climate and related issues Discusses changes in Brazilian forest law	Needs direct engagement
Acre State Government	Develops and implements state-level policies on sustainable development and conservation; develops and implements state-level system of payment for ecosystem services	Sets positive policies which can influence national policy making process and inform other State and subnational policies in other countries	Needs direct engagement
Climate Observatory (OC)	Major network of NGOs working on climate agenda, engages in policy making processes and climate debate.	Engages in key climate policy making processes and dialogues Develops analysis, studies on climate related issues Builds capacity among civilian society on climate related issues	Partner
Semi-Arid Coalition (Articulação do Sem-Árido - ASA)	Major network of local organizations working on climate adaptation in poorest and climate vulnerable areas in the Northeast region of Brazil.	Implements on-the-ground projects addressing climate adaptation and poverty alleviation in semi-arid region Engages in policy making processes/dialogue on issues related to water management and desertification	Partner
Brazilian Confederation of Agribusiness (CNA)	Leads advocacy for changes in Brazilian Forest Code; can engage in implementation of sectoral mitigation plan on agriculture.	Provides funds and substantial inputs for conservative sectors in National Congress to influence policy making Pushes for deconstruction of environmental policies	Needs to be neutralized/ influenced
Amazon Working Group (GTA)	Major network of local organizations in the Amazon region.	Builds capacity among local organisations in the Amazon region	Partner/repre-sentative of affected groups

REDD Observatory (OR)	Network of NGOs and social movements following REDD debate in Brazil.	Promotes debate on REDD+ issues in the country Develops analysis and studies providing subsidies for dialogue on REDD+ Engages in national REDD+ strategy development processes	Partner/repre-sentative of affected groups
Energy and Environment Institute (IEMA)	Think tank NGO working on energy policy issues	Develop studies and advocates for progress on energy agenda in Brazil,	Partner
Labour Unions	Interested in impacts of climate change and climate policies on jobs	Gatherworkers around labour-related issues, lobby for improved labour conditions	Partners/repre-sentative of affected groups
Universities and Research Institutions	Produce science-based information which provides subsidy for climate policy making debate	Produces commissioned studies providing critical analysis for WWF positioning on specific climate related issues	Partners
GCEI	WWF NI leading global climate and energy work	Coordinates WWF network global climate and energy work, mobilises funds, brings offices in key countries together on climate issues	WWF
FCI	WWF NI leading work on climate and forest related issues	Disseminates best practices on forest/climate related issues	WWF
LANI	WWF NI working on Amazon region	Focuses on Amazon conservation, gathers different offices in the region around REDD	WWF
Greenpeace Brazil	NGO with relevant work on climate and energy issues, close to WWF positions	Develops studies and advocates for progress on energy and climate agenda in Brazil	Partner
WRI	Setting a national hub, aims at generating capacity-building for MRV policies and analysing various policy processes	Is developing a platform for evaluation of performance of climate policy implementation in the country	Partner

Appendix 3. Monitoring Report (including Conservation Achievement KPI), with updates incorporated from August 30 version of project logframe.

Goals/Objectives	Indicator	Baseline (June 30, 2011)	Planned Intermediate Result			Current status end FY12 *(all results measured at least every 6 months)*	Planned Final Result (June 30, 2014)	FY12 Achievement Rating	Justification for rating
			End-FY 2012	End-FY 2013	End-FY 2014				
Goal 1: By 2015, Brazil has agreed to an ambitious Climate Deal that includes key WWF asks.	(i) Calculated Gigaton gap for Brazil (i.e., Brazil commitments are on track to fit within its share of a global carbon budget that will lead to global climate change below 2° C by 2050); (ii) Number of WWF asks incorporated into the Climate Deal.	(i) Brazil has a national reduction target that translates to absolute reductions below 2005 levels by 2020, based on very large reductions from deforestation, & despite large increases in fossil fuel emissions. (ii) Brazil's positions on many aspects of the 2015 deal are unknown & perhaps still undefined, but in some areas have been identified (e.g., MBMs for int'l transport) & the position needs to be shifted.	(i) Principals & methodologies defined by WWF for effort-sharing & global carbon budget. (ii) More of Brazil´s positions (to the extent that they are formed) are identified & understood, & strategies developed for improving them. Study of economic impacts of MBMs for shipping commissioned, & engagement with government intensified.	(i) Some parameters for carbon budget allocation defined, as basis for assessing Brazil's target. If necessary, need identified for strengthening target & making public case for it, with a view to strengthening pre-2020 target by CoP 19. (ii) Brazil´s reduces opposition to WWF ask on global shipping & aviation MBMs, & sets realistic conditions for acceptance.	Status of Indicators (i) Brazil demonstrates acceptance & support for our principles and parameters for carbon budget allocation pre- & post-2020, & has strengthened pre-2020 target if necessary. (ii) Brazil accepts agreement for global MBM for shipping & aviation, & indicates support or acceptance of at least two of WWF's other asks in UNFCCC negotiations. (Note that deal won't be agreed until December 2015.)		See Planned IR for FY 2014.		

Goals/Objectives	Indicator	Baseline (June 30, 2011)	Planned Intermediate Result			Current status end FY12 *(all results measured at least every 6 months)*	Planned Final Result (June 30, 2014)	FY12 Achievement Rating	Justification for rating
			End-FY 2012	End-FY 2013	End-FY 2014				
Goal 2: By 2017, Brazil has adopted a robust national climate policy framework that includes key WWF asks.	(i) Brazil´s annual emissions from Amazon deforestation & other emissions indicator TBD; (ii) Stakeholder opinion on the robustness of the national climate policy framework; (iii) Number of WWF asks incorporated in the national framework.	(i) In 2010, deforestation in the Brazilian Amazon national reduction was estimated at 7,000 km^2. To achieve target of 3,900 km^2 by 2020 (and assuming a linear decrease), deforestation should decrease by at least 310 km^2 per year. (ii) First assessment of stakeholder opinion on robustness of climate policy framework to be carried out in FY 2013. (iii) WWF asks in mitigation & adaptation undefined.	(i) Target: In 2011, Amazon deforestation under 6,690 km^2. Actual: In 2011, Amazon deforestation was 6,418 km^2. (ii) As previous. (iii) WWF asks in mitigation defined & Brazil´s fulfilment of those asks determined.	(i) Target: In 2012, Amazon deforestation under 6,380 km^2. (ii) Assessment of stakeholder opinion on robustness of climate policy framework. (iii) WWF asks in mitigation defined & Brazil´s fulfilment of those asks determined.	(i) Target: In 2013, Amazon deforestation under 6,070 km^2. (ii) As previous. (iii) WWF asks in mitigation & adaptation defined & Brazil´s fulfilment of those asks determined.	(i) Target exceeded as noted; (ii) SH assessment to be carried out during FY 2013; (iii) WWF asks in mitigation and adaptation under definition.	See Planned IR for FY 2014.		
Objective 1: By 2014, Brazil has accepted at least 3 WWF asks [Note 3] within the negotiations for a Climate Deal.	Outcome Indicator. Number of WWF asks accepted by Brazilian government within UNFCCC process.	0 - Brazil's position on most of our asks is not clear, & its public positioning on many not reflect what it is actually willing to do, given the desire to preserve negotiating room; framework & work plan for negotiations is not defined yet, which could have implications for asks.	0 - Brazil begins to present its positions on the post-2020 regime. WWF assesses sufficiency of pre-2020 targets, in light of global carbon budget. Intensive engagement with government and improved understanding of potential to change positions on market-based mechanisms for shipping & aviation that reduce emissions & generate financing for climate action in developing countries.	0.5 - Brazil´s opposition 1 WWF ask (MBMs for global shipping & aviation) reduced, and government has set realistic conditions for acceptance.	3 - Brazil has accepted at least 3 WWF asks..	Brazil is currently ´receptive´ but does not publicly support global mechanisms for climate finance. The shift from a low to medium level of commitment has therefore not yet been achieved but if WWF continues to work in the same way w/ the government, this is likely to be achieved during FY 2013.	See Planned IR for FY 2014.	1	The anticipated IR was low as expected.

Goals/Objectives	Indicator	Baseline (June 30, 2011)	Planned Intermediate Result			Current status end FY12 *(all results measured at least every 6 months)*	Planned Final Result (June 30, 2014)	FY12 Achievement Rating	Justification for rating
			End-FY 2012	End-FY 2013	End-FY 2014				
Objective 1 (cont.)	Output Indicator 2.2. Number of CSOs/other influential actors in decision making processes related to a Climate Deal engaged with/by WWF.	4 - Engagement w/ Climate Observatory on UNFCCC issues & w/ 3 Govt ministries (Foreign Relations, Environment & Sci/Tech & Innovation.	4 - As previous.	5 - As previous plus Brazilian Panel on Climate Change.	6 - Including at least one network encompassing organizations dedicated to poverty alleviation.	No change in IR, as anticipated.	See Planned IR for FY 2014.	5	WWF-Brazil works closely w/ CSOs/other influential actors on issues related to Climate Deal, although more actors could be included.

Goals/Objectives	Indicator	Baseline (June 30, 2011)	Planned Intermediate Result			Current status end FY12	Planned Final Result (June 30, 2014)	FY12 Achievement Rating	Justification for rating
			End-FY 2012	End-FY 2013	End-FY 2014				
Objective 2 By 2014, the Brazilian government creates opportunities to incorporate WWF asks by engaging with multiple stakeholders in the planning of at least two high emitting sectors (Transport & Energy).	Outcome Indicator 2.2. Number of WWF asks incorporated into at least 2 sectoral planning documents.	Transport: 2 - Medium. Sectoral mitigation planning advanced, including participation of multiple stakeholders, yet only 2 NGOs including WWF. Energy: 0 - Passive. Few CSOs focused on energy sector as a whole, only on segments (such as hydroelectric dams); Dialogue between civil society & key ministries (e.g., Mines & Energy, Planning, Presidency) non-existent; Strong focus of current administration on large-scale, centrally-planned infrastructure development with reduced measuring & mitigation of environmental & social impacts.	Transport: 2 - Medium. Public consultation of sectoral plan underway. Energy: 0 - Passive. As previous.	Transport: 2 - Medium. Sectoral plan concluded. Energy: 1 - Low. Participatory appraisal of energy sector with key CSOs. Development of joint communication strategy for engaging sector & raise visibility of sector issues.	Transport: 2 - Medium. Sectoral plan under implementation. Energy: 2 - Medium. Implementation of joint strategy for engaging sector. Mobilization of key CSOs, including relevant NGOs & research centers; Communication strategy to raise visibility of key sector issues; Dialogue initiated with responsible government agencies.	Energy: No change in IR, as anticipated. Transport: Development of plan proceeding as planned w/ WWF-Brazil input.	See Planned IR for FY 2014 under Objective 2.	Energy: NR

Sectoral Plans: 5 | Energy: The anticipated IR was low as expected; no effort yet by WWF-Brazil to engage w/ sector.

Transport: WWF-Brazil actively involved in dialogue w/ gov´t. |
| | Outcome Indicator 2.1. Levels of engagement of CSOs w/ key decision makers to advocate for policy frameworks & practices aimed at achieving a low carbon | Transport: 2 - Medium. Sectoral mitigation planning advanced, including participation of multiple stakeholders, yet only 2 NGOs including WWF. Energy: 0 - Passive. Few CSOs focused on energy sector as | Transport: 2 - Medium. Public consultation of sectoral plan underway. Energy: 0 - Passive. As previous. | Transport: 2 - Medium. Sectoral plan concluded. Energy: 1 - Low. Participatory appraisal of energy sector with key CSOs. Development of joint communication strategy for | Transport: 2 - Medium. Sectoral plan under implementation. Energy: 2 - Medium. Implementation of joint strategy for engaging sector. Mobilization of key CSOs, including relevant NGOs & research centers; Communication strategy to raise visibility of key | No change in IR, as anticipated. | See Planned IR for FY 2014. | Energy: NR

Transport: 5 | Energy: The anticipated IR was low as expected; no effort yet by WWF-Brazil to engage w/ sector.

Transport: WWF-Brazil works closely w/ CSOs/other influential actors |

economy.	a whole, only on segments (such as hydroelectric dams); Dialogue between civil society & key ministries (e.g., Mines & Energy, Planning, Presidency) non-existent; Strong focus of current administration on large-scale, centrally-planned infrastructure development with reduced measuring & mitigation of environmental & social impacts.		engaging sector & raise visibility of sector issues.	sector issues; Dialogue initiated with responsible government agencies.				in sectoral issues, although more actors could be included.
Objective 2 (cont.)	Output Indicator 2.1. Amount (quantitative & qualitative) of information shared, &/or approaches, lessons & tools developed & promoted.	0 - Many tools promoted by PPA under development.	1 - Sectoral mitigation studies: High-level launch event w/ study coordinators, GOB representatives, experts, private sector, NGOs, journalists.	2 – Previous plus Roadmap for moving to a more climate-smart energy sector is finalised & published.	3 - Previous plus Analysis on sugarcane biomass is shared w/ key CSOs.	WWF-Brazil contributions to 4 sectoral studies completed; high-level launch planned for second half of 2012.	See Planned IR for FY 2014.	4	Milestone only partially fulfilled.
Objective 2 (cont.)	Output Indicator. Number of CSOs/other influential actors in decision making processes related to emergy sector planning engaged with/by WWF.	Transport: 0 - Sectoral planning had not begun. Energy: 0 - Level believed to be zero but requires sector assessment.	Transport: 2 - CSOs (WWF & IEMA) participating in sectoral planning. Energy: 0 - As previous.	Transport - 2. Sectoral planning concluded. Energy: 0 - Sector assessment completed & target CSOs identified for engagement with/by WWF, including at least one network encompassing organizations dedicated to poverty alleviation.	Transport - As previous. Energy: 3 - New institutions involved in energy sector planning engaged with/by WWF, including at least one network encompassing organizations dedicated to poverty alleviation.	Transport: WWF participated and contributed to sectoral discussions, although policy impact awaiting distribution of sectoral plan by government. Energy: No movement as anticipated.	See Planned IR for FY 2014	3	Milestone only partially achieved in transport; no movement in energy.

Goals/Objectives	Indicator	Baseline (June 30, 2011)	Planned Intermediate Result			Current status end FY12	Planned Final Result (June 30, 2014)	FY12 Achievement Rating	Justification for rating
			End-FY 2012	End-FY 2013	End-FY 2014				
Objective 3: Objective 3: By 2014, Brazil has a national REDD+ strategy in place that incorporates WWF-Brazil asks.	Outcome Indicator 2.2. Levels of commitment & action by Governments to defining & implementing a national REDD+ strategy.	2 - Medium. In 2011, Ministry of Environment - MMA (& other ministries as well) carried out consultations w/ wide range of CSOs to define a national REDD+ strategy.	2 - Medium. In FY 2012, MMA made little progress in defining a REDD+ strategy, other than meetings w/ selected CSOs (including WWF-Brazil) & conclusion of background analyses. Policy makers have expressed commitment to concluding process initiated in 2011, but steps & timetable uncertain. Objective-specific Strategy is defined.	3 - High. REDD+ strategy defined through a highly consultative process, in line w/ WWF principles, targets & indicators (including equitable & efficient mechanisms for distribution of benefits).	3 - High. National REDD+ strategy under implementation, probably initially focusing on priority areas, w/ adequate & long-term financing.	Gov´t actions unfolded as anticipated. Objective-specific Strategy defined.	See Planned IR for FY 2014.	5	WWF actively involved; shortcomings in results due to factors beyond WWF´s control.
	Outcome Indicator 2.1.Levels of engagement of CSOs w/ key decision makers to advocate for a national REDD+ strategy, including CSO networks that represent people up up up up up up up up up up up living in poverty.	2 - Medium. Numerous CSOs involved in discussions on national REDD+ strategy, but CSOs dedicated to people living in poverty are under-represented, in particular from regions outside the Amazon; WWF considered by lead governmental agency (Ministry of Environment) as one of a handful of trustworthy & effective partners..	2 - Medium. As previous.	3 - High. Increased mobilization & articulation of key CSOs around national REDD+ strategy, including at least one network dedicated to people living in poverty outisde of the Amazon region with WWF support; Communication strategy to raise visibility of key issues; Dialogue intensified with responsible government ministries..	3 – High. As previous.	Situation unchanged as anticipated.	See Planned IR for FY 2014.	5	WWF actively involved; shortcomings in results due to factors beyond WWF´s control.

Goals/Objectives	Indicator	Baseline (June 30, 2011)	Planned Intermediate Result			Current status end FY12	Planned Final Result (June 30, 2014)	FY12 Achievement Rating	Justification for rating
			End-FY 2012	End-FY 2013	End-FY 2014				
Objective 4: By 2015, the Brazilian government engages multiple stakeholders in developing a national strategy for adaptation to the adverse effects of climate change.	Outcome Indicator 2.1.Levels of engagement of CSOs w/ key decision makers to advocate for a national strategy for adaptation, including CSO networks that represent people living in poverty.	0 - Passive. Few CSOs focused on adaptation issues as a whole; Dialogue between civil society & key ministries (e.g., Regional Development, Environment, Planning) non-existent, & governmental planning w/ little coordination at regional or national levels.	0 - Passive. Participatory appraisal of adaptation sector w/ key CSOs.	1 - Low. Based on participatory appraisal, Development of joint communication strategy for engaging sector & raising visibility of sector issues. Objective-specific Strategy defined in Results Framework.	2 - Medium. Mobilization of key CSOs, including networks dedicated to people living in poverty; Communication strategy to raise visibility of key sector issues; Dialogue w/ responsible government agencies.	Situation unchanged as anticipated.	See Planned IR for FY 2014.	NR	The anticipated IR was low as expected; no effort yet by WWF-Brazil to engage w/ sector.
Objective 4 (cont.)	Output Indicator 2.2. Number of CSOs/other influential actors in decision making processes related to a national strategy on adaptation engaged with/by WWF.	0	0	1 - At least 1 CSO network dedicated to poverty alleviation identified by WWF for participation in policy dialogues on adaptation.	2 - At least 2 CSO networks dedicated to poverty alleviation engaged in policy dialogues on adaptation with WWF support.	Situation unchanged as anticipated.	See Planned IR for FY 2014.	NR	The anticipated IR was low as expected; no effort yet by WWF-Brazil to engage w/ sector.

Goals/Objectives	Indicator	Baseline (June 30, 2011)	Planned Intermediate Result			Current status end FY12	Planned Final Result (June 30, 2014)	FY12 Achievement Rating	Justification for rating
			End-FY 2012	End-FY 2013	End-FY 2014				
Objective 5: By 2012, WWF-Brazil´s Climate & Energy Programme is using a M&E system for adaptive management & to generate & disseminate strategic lessons on best policies & practices to form a programme-wide M&E system.	(i) Number of team members using the tools to gather, store & report evidence. (ii) Number of reports delivered on time. (iii) Number of recommendations from team meetings/reflections registered & acted upon. (iv) Number of strategic lessons generated & disseminated.	1. Programme team unstaffed (down to 2 people). 2. No work plan. 3. Programme procedures not operational (e.g., team communication, team functions, data storage, etc.)	1. Programme team staffed (4.5 people). 2. M&E system defined & validated. 3. FY 2013 work plan defined. 4. Database established for key programme documents.	1. Evidence Gathering procedures defined & implemented. 2. M&E system generating evidence for reports.	1. M&E system supports generation of key information & lessons for communication & advocacy, & permits rapid adjustments to change. 2. Monitoring activities are assessed & revised by the team to ensure they are relevant & useful & being done.	All aspects of milestone achieved except validation of M&E system, which will take place in early FY 2013.	See Planned IR for FY 2014.	6	Except for one minor item, milestone completely achieved.
Overall Conservation Achievement Rating (based on long-term objectives)									3.82[177]

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[177] Constitutes average of ratings for indicators. Outcome indicators weighted twice as much as output indicators; NR has no value but halves weight of outcome indicator when it is associated with another value.

ANNEX **H**   Details of the Evaluation Team

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ANNEX **I**   PPA Organisation's Management Response To Report's
        Findings (Post-Submission)

ANNEX **J** Evaluation Manager's Response to Report's Findings (Post-Submission)