



WWF Introductory Course

PROJECT DESIGN in the context of PROJECT CYCLE MANAGEMENT

SOURCEBOOK

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SUMMARY

Good project design should ensure or facilitate:

- ✓ a broad basis of support among beneficiaries and stakeholders
- ✓ direct contribution to WWF's Mission, Target Driven Programmes, regional and subregional goals, and ecoregional conservation priorities
- ✓ accountability to project donors
- ✓ a sound basis for project monitoring (via baseline data + the establishment of monitoring protocols)
- ✓ a framework for periodic project evaluation
- ✓ constant review of progress and adaptation of the project to unforeseen issues
- ✓ learning, and mechanisms for feeding lessons back into the Network
- ✓ an effective communications strategy to magnify the project's impacts by reaching decision-makers and contributing to WWF campaigns.

This sourcebook aims to provide participants in the training course in *Project Design in the context of Project Cycle Management* with background materials for the course, and the essential tools with which to apply the techniques and approaches of Project Cycle Management to project design and implementation during the course of their work with WWF. Tools covered in this sourcebook include:

- a project planning glossary
- a strategic planning framework
- guidelines for project appraisal
- project formulation flow chart
- list of factors ensuring sustainability
- model table of contents for a project document
- the logical framework, and its strengths and weaknesses
- stakeholder analysis
- problem identification and analysis
- objectives analysis
- strategy analysis and scoping
- a decision matrix for selecting project strategies
- logic testing questions for the intervention logic
- an algorithm for determining whether an assumption should be included in the logframe
- generic indicators for pressure, state and response
- tips for setting indicators
- how to verify the logic of the logframe
- designing a monitoring and evaluation system
- project and programme monitoring matrices
- evaluation terms of reference
- evaluation matrix
- model table of contents for a project or programme evaluation report
- a results-based workplan and budget
- references and further resources.

This document examines the reasons for project failures and successes, and presents the key elements of project design in the context of the project cycle, tailored to the context of the WWF Network and the organization's global conservation priorities.



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- *Project Cycle Management Training Handbook*. 1999. ITAD, Ltd.
- *Guidelines for Monitoring and Evaluation for Biodiversity Projects*. 1998. World Bank.
- *Project Cycle Management*. 1993. Commission of the European Communities. Brussels.
- *IUCN Programme Management Handbook – Evaluation Section*. 2002. IUCN.

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LIST OF ACRONYMS AND ABBREVIATIONS

A/P	Asia / Pacific
AREAS	WWF Asian Rhinoceros and Elephant Action Strategy
ICDP	Integrated Conservation and Development Project
IUCN	The World Conservation Union
LFA	Logical Framework Analysis
M&E	Monitoring and Evaluation
MDG	Millennium Development Goals
NGO	Non-Governmental Organization
NO	WWF National Organization
OVI	Objectively Verifiable Indicator
PCM	Project Cycle Management
PO	WWF Programme Office
PRA	Participatory Rural Appraisal
PSR	Pressure-State-Response
SMART	Specific, Measurable, Ambitious yet achievable, Relevant and Timebound
SoV	Source of Verification
ToR	Terms of Reference
TDP	WWF Target Driven Programme



Project Design in the context of Project Cycle Management Sourcebook

INTRODUCTION

Designing a good project is easier said than done! In the development community, evaluations have identified the following primary causes of poor performance in projects:

- * poor project design, planning and preparation, where one or more of the essential factors for success are overlooked
- * projects not relevant to the beneficiaries
- * risks and assumptions insufficiently taken into account
- * factors affecting long-term sustainability ignored
- * inability to make the right decisions at the right time over the lifetime of the project (which is related to inadequate monitoring and feedback)
- * lessons from past experience not incorporated into new projects and practice (lack of evaluations, or inadequate use of them).

These problems can be avoided through more rigorous project formulation, and better project cycle management – in particular better monitoring and evaluation.

The key ingredients for project success are:

- ✓ proper and participatory planning
- ✓ addressing *real* problems that are priorities for the stakeholders
- ✓ a competent and motivated project team
- ✓ sufficient management and organizational support
- ✓ the different parties involved sticking to their commitments.

A successful project is the result not only of the accuracy of the technical solution, but also of the acceptance by all the parties involved of the need for, and the approach to implementing the project.

Skill in preparing top-notch project proposals comes largely from doing. For many people, learning to design a good conservation project takes years of experience. This training course is intended to help shorten that learning period by passing on some of the lessons learned about project design and successful project cycle management (PCM). Normally a PCM course is given over five days. This two-day course will provide an introduction to some of the key aspects of project design, in the context of the entire project cycle. The aim of the course is to provide tools for conceptualizing and implementing projects more effectively. A glossary of planning terms is given in Annex 1.

THE PROJECT CYCLE

Projects represent the backbone of WWF's global conservation work, and the source of much of its conservation achievement.

Typically the project cycle has a number of distinct components, beginning with conceptualization, a feasibility or cost-benefit analysis, proposal development and funding, project start-up and baseline



surveys, implementation, periodic reporting and evaluations, and close-out or development of a subsequent phase. The main phases of the project cycle are illustrated in Figure 1.

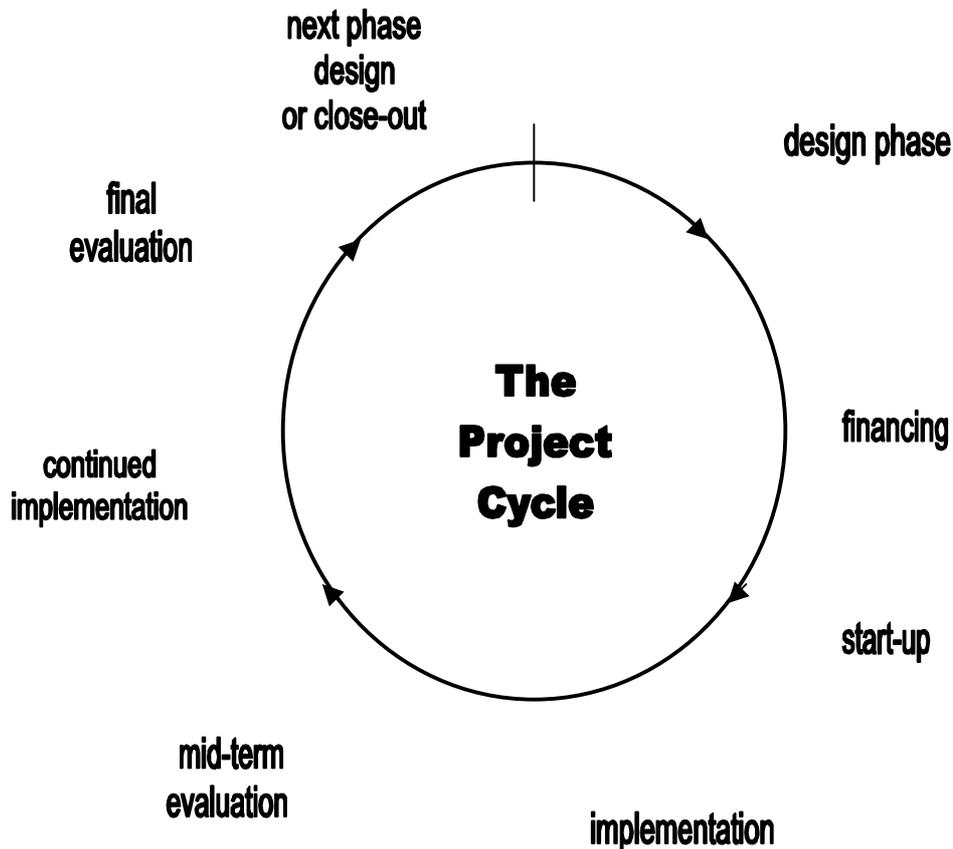


Figure 1. The principal phases of the project cycle.

The most important point in the project cycle is the design phase, and this aspect of the project cycle will be treated in the most depth in this course. It is at this initial juncture that the direction, objectives, tactics and scope of the project in relation to WWF's global priorities are defined.

The phases in the project cycle are progressive – each phase needs to be completed for the next one to be tackled with success. The project cycle draws heavily on monitoring and evaluation to learn from existing projects, and build this experience into the design of future programmes and projects.

Experience has shown that too many decisions concerning projects have been taken without sufficient consultation with beneficiaries and stakeholders, and without the necessary information. The key to good project cycle management is to ensure that the stakeholders have a voice in project decisions, and that project decisions are based on relevant and sufficient information.



Involving as broad a range of potential stakeholders and expected beneficiaries as possible in the project design phase is essential to ensure that the final project document is an accurate reflection of reality, a feasible project, and has the potential to become an effective conservation intervention.

Project Cycle Management obliges practitioners in project design to focus on the real needs of the beneficiaries by requiring a detailed assessment of the existing situation, and by applying the logical framework method. From the outset, aspects assuring sustainability and critical assumptions are incorporated into the project design.

PCM is designed to ensure relevance, feasibility and sustainability. The PCM system makes the project concept and context clear and visible, and thus enables better monitoring and evaluation. At each stage in the project cycle, these issues are examined, revised as necessary, and feedback is provided to improve project implementation. The monitoring, reporting, and evaluation components of the project cycle are essential for effective implementation.

ADAPTIVE MANAGEMENT

The project cycle as classically defined (Figure 1) is really a bit of a simplification. The “spaghetti diagram” of the key elements of the adaptive management cycle puts the project cycle in its wider context (Figure 2). Here the initial concept and project design phase begins with partnerships, and stakeholder analysis is an essential element of the initial partnerships phase.

The implementation phase includes monitoring and review, and feedback is used to improve the project.

Lessons learned from the monitoring and review process, as well as from external evaluations, are used to adapt the project management, but also as elements of communication to wider audiences. A hallmark of highly effective WWF projects is their ability to “magnify” their results, using WWF’s powerful communications machine to reach the wider public, and ultimately decision-makers.

Integrating mechanisms for learning such as monitoring and evaluation, and effective communications capabilities into the project design at the outset will enhance the project’s chances of making an impact not only within, but also beyond, the project scope. This is often called vertical integration, and implies creating and nurturing links between field projects, policy work, and communications.

INITIAL DESIGN PHASE

The design phase begins with an initial three-step process:

- Project Idea
- Project Concept
- Appraisal

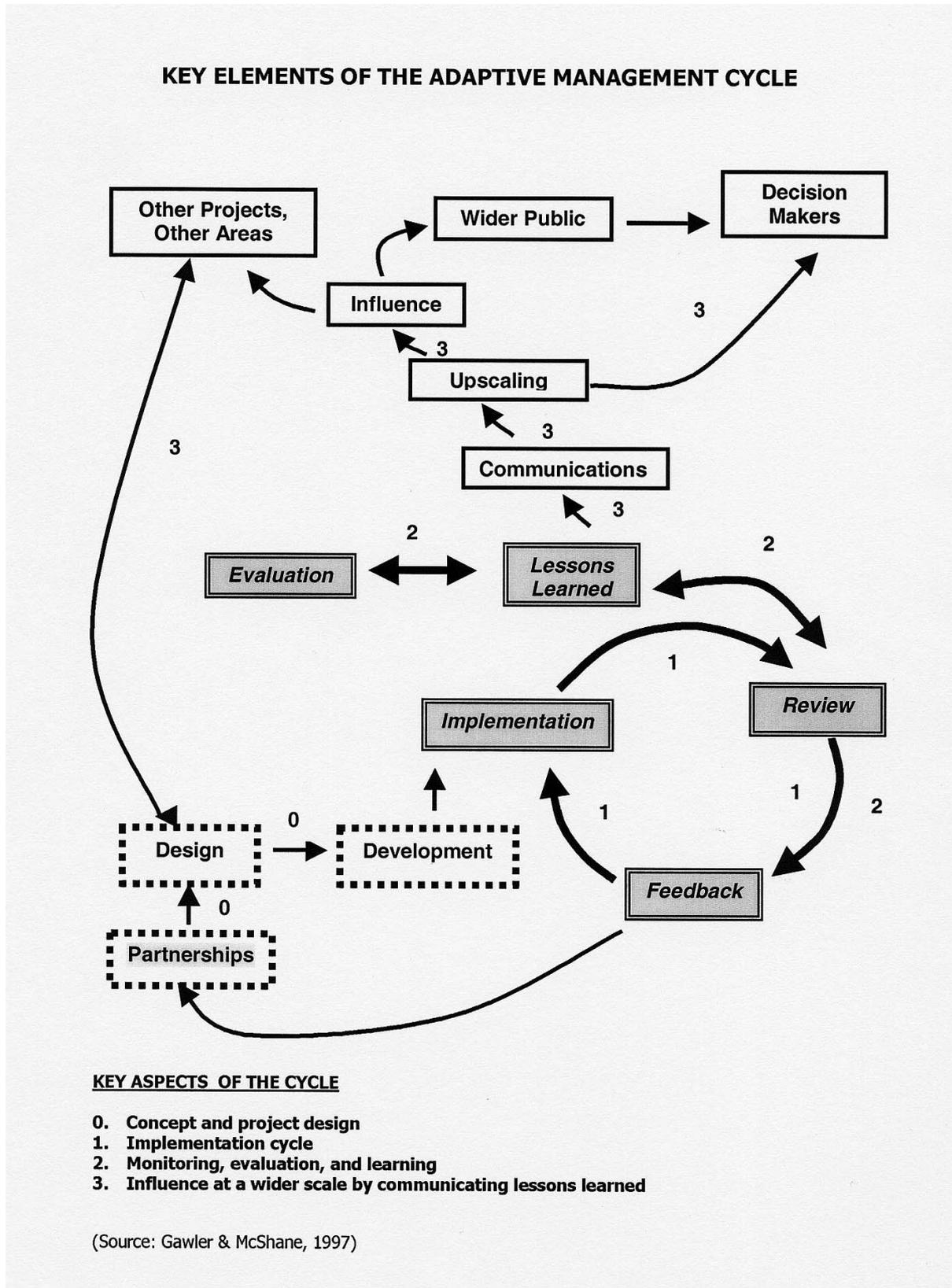


Figure 2. The adaptive management cycle.



Project Idea

This stage is the preliminary, informal conceptualization and vetting of a project idea among colleagues within, and perhaps also outside, the WWF Network.

Project Concept

Once a project idea has been agreed upon, a project concept paper should be developed in order to flesh out the idea, and enable those responsible for appraising the concept to determine whether the proposed undertaking is viable, fits with perceived conservation needs, and also within the WWF strategy (national, regional and global). A project concept paper is essentially a brief conceptualization of a project intervention prepared prior to a feasibility study and ultimately a full, participatory project design undertaking.

Developing a project concept involves the initial formulation of project goals, targets, outputs, and activities in summary form within the framework of the WWF Global Priorities. The project budget should be an informed estimate, which at this stage should aim for 80 per cent accuracy.

While it is not customary to conduct extensive workshops or interviews when preparing a concept paper, the strategy outlined should be based on a good understanding of the ecological, socio-economic, environmental, and political context of the country / ecoregion in question, as well as a good understanding of the needs of potential stakeholder groups.

The purpose of drafting a concept paper is to conceptualize potential WWF activities in a form that can be analysed and prioritized for internal review. The template for a WWF Project Concept is given in Annex 2.

The concept paper, typically four pages in length, is submitted to the appropriate WWF NO, PO, Country / Sub-regional Team, or TDP for appraisal.

Project Appraisal

The appraisal is an internal examination of the merits and feasibility of the project and its fit within WWF's strategic priorities and goals.

The concept paper should be screened internally by local senior staff, and a recommendation prepared for the appropriate review body. Once a concept paper has been prepared and submitted for approval, an examination is conducted with respect to the merits of the project and how it fits with WWF's strategic priorities.

On the basis of this examination a decision is taken on whether or not to seek funding for the project, and to proceed with an in-depth project formulation.

The box on the following page gives a series of questions that can serve as guidelines in the appraisal process.

Further questions that should be asked during the design phase are given below in the chapter on factors ensuring sustainability.



Box 1.

GUIDELINES FOR PROJECT APPRAISAL

Strategic Priority

1. Does the project contribute towards the achievement of the higher-level programme goals, namely WWF's Global Conservation Priorities, and the WWF Mission?

Sustainability of Results and Impact

2. To what extent will the project produce lasting conservation results? How does the project ensure that the conservation impacts continue beyond the period of intervention?
3. Who are the beneficiaries and stakeholders? To what extent will they be involved in project design and implementation? What are the expected impacts of the project on intended beneficiaries?

Design

4. Have the overall project goal and the proposed targets and outputs been clearly defined?
5. Have underlying assumptions and external factors that may affect progress been identified? Are these critical assumptions well thought out?
6. Have adequate costs for monitoring and evaluation been included in the budget?

Feasibility

7. What are the expected costs of the project, both through implementation as well as potential impact on stakeholders? What are the expected benefits of the project, local regional or global? Will the expected benefits outweigh the foreseeable costs?
8. To what extent does WWF have the capacity to implement this project? Are proper skills available? Is the necessary administrative, technical and supervisory support in place?
9. Is the political and socio-economic environment an enabling one?

Conclusion

10. What is the probability of success?
11. Should WWF endorse this concept, agree to seek funding for it, and develop it into a full project proposal?

Once the project concept is approved, fund-raising can start, and the project formulation phase can begin in earnest.



STRATEGIC FRAMEWORK

We have seen that the first question that is asked when appraising a project concept concerns its contribution WWF's higher level targets and goals.

"Upstream" from project design is the work that WWF has put into strategic planning over the last five to ten years. WWF has:

- a clear and enduring Mission
- a set of six Global Priorities for Target Driven Programmes: forests, freshwater ecosystems, oceans and coasts, flagship species, toxics, and climate change
- the Global 200 – priority ecoregions worldwide, and
- strategic plans at the country, sub-regional, and regional levels for most WWF NOs, POs, and Regional Programmes, and for many thematic programmes.

Project concepts must, first and foremost, demonstrate how the initiative would make a contribution to WWF's strategic priorities, whether it be a TDP (target driven programme), an ecoregional conservation plan, or the strategic plan(s) relevant to the WWF office originating the project idea.

WWF has found that strategic planning has been enormously beneficial in focusing its conservation programme in a more targeted fashion. This, as a result, has improved the organization's conservation effectiveness, in terms of both programme focus and cost/benefit ratio. Moreover, strategic planning has provided a vehicle for tracking WWF's continued conservation effectiveness over time. WWF has put a substantial effort into strategic planning, and this has been particularly relevant with the development of the Target Driven Programmes.

The planning pyramid below illustrates the strategic relationships among the different elements of the planning hierarchy, and the diagram on the following page (Figure 4) summarizes the relationships among strategic planning elements at various levels in WWF, using an example from the WWF Asian Rhinoceros and Elephant Action Strategy. The arrows in Figure 4 illustrate how activities starting at the project level contribute to successively higher layers of the WWF planning hierarchy, and ultimately to global targets.

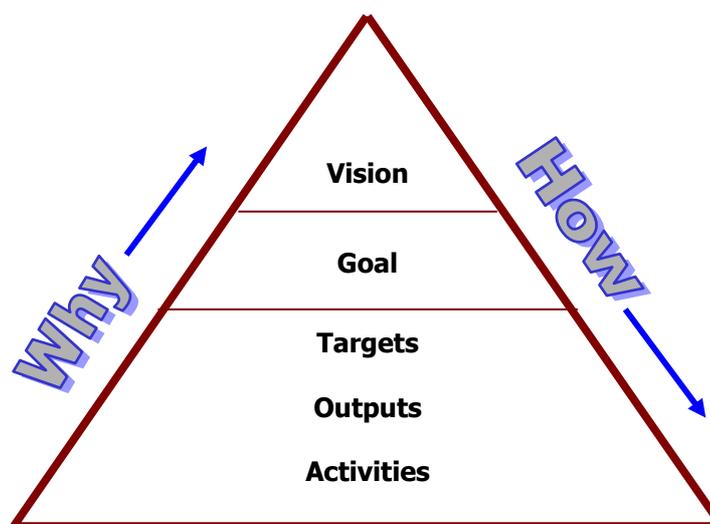


Figure 3. The planning pyramid.



STRATEGIC PLANNING FRAMEWORK FOR THE ASIAN RHINOCEROS AND ELEPHANT ACTION STRATEGY (AREAS)

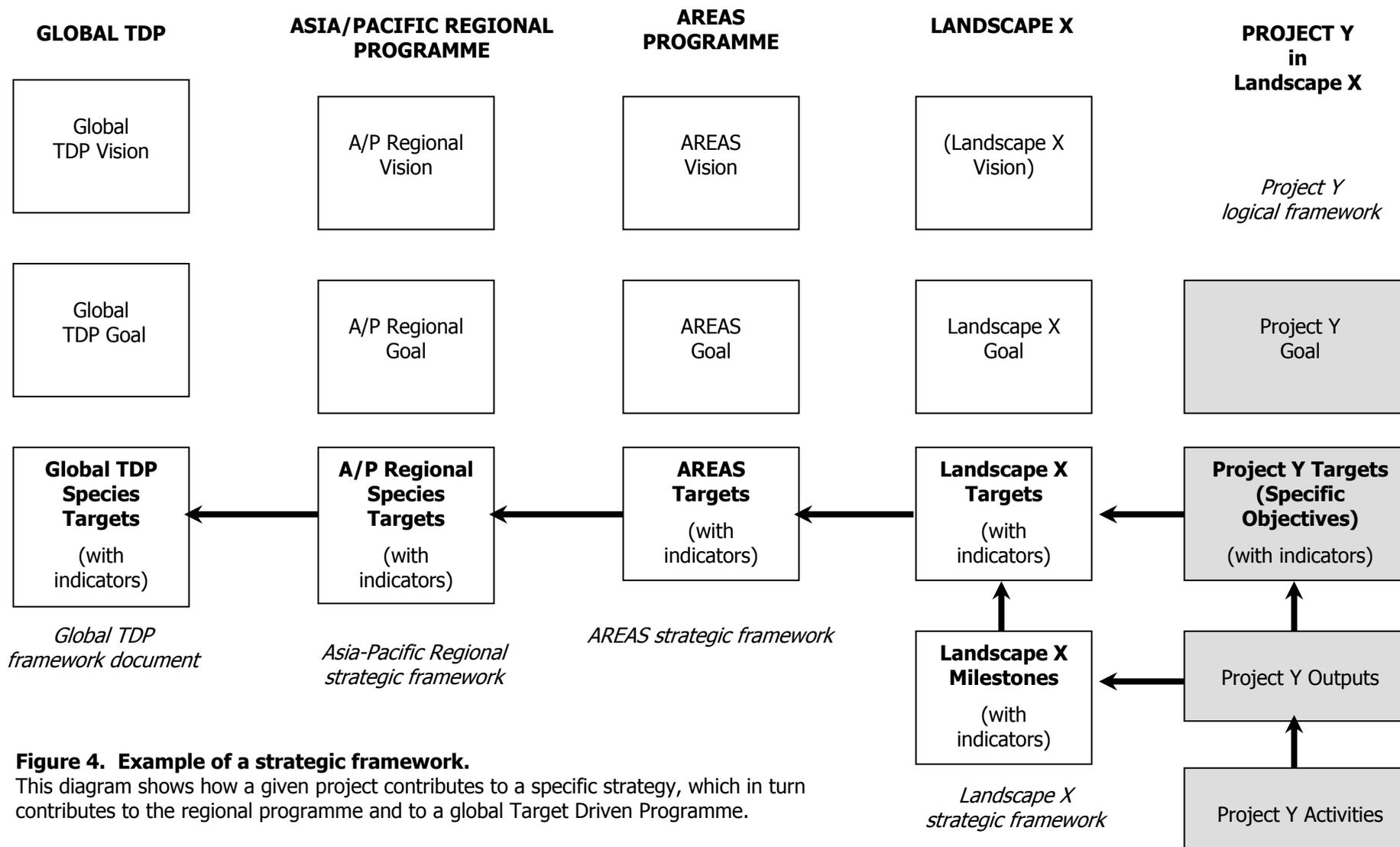


Figure 4. Example of a strategic framework.

This diagram shows how a given project contributes to a specific strategy, which in turn contributes to the regional programme and to a global Target Driven Programme.



PROJECT FORMULATION

If the concept is approved, a detailed project proposal involving all relevant stakeholders and potential beneficiaries is developed. Depending on the scale and timeframe of the intended project, this process can take months, and may require the assistance of outside experts. However, local capacity and expertise, both individually and institutionally, are crucial to good project design. Fundraising and initial contacts with donors are also likely to begin at this stage.

It must be emphasized that project design should be an interactive process encompassing all potential stakeholders (government, local communities, NGOs, the private sector, etc.). This is essential to ensure project viability and sustainability. The project formulation process can be time consuming and costly. At the same time, project sustainability (and thereby WWF's conservation impact) depends more on thorough initial planning and good stakeholder analysis than on any other factor.

A properly planned project addresses the real needs of its target groups. The existing situation must be interpreted in the light of the interests of the parties concerned, who often see it in completely different ways. For this reason, the analysis of problems, objectives, and choice of strategy must be done together with the various stakeholders involved. As mentioned earlier, a successful project is the result not only of the accuracy of the technical solution, but also of the acceptance by all the parties involved of the need for the project and of the project's approach to implementation.

Figure 5 illustrates the stages involved in formulating a full project document. The first step in project formulation is a thorough situation analysis and feasibility study.

The project design team leader will normally conduct or coordinate the following activities:

- background research on socio-economic and environmental issues relating to the project intervention
- interviews with local decision-makers or key individuals likely to be involved in project implementation
- rapid field assessment to ascertain environmental conditions and issues to be addressed
- participatory information gathering and priority setting workshops with local communities, voluntary groups, and key government agencies.

Good project design is a key factor in WWF's ability to conduct successful conservation projects. The design of projects should facilitate the effective progress of a project through the project cycle. A good design gives a project the maximum possible chance of achieving its goals, and should ensure or facilitate:

- ✓ a broad basis of support among beneficiaries and stakeholders
- ✓ direct contribution to WWF's Mission, Target Driven Programmes, regional and subregional goals, and ecoregional conservation priorities
- ✓ accountability to project donors
- ✓ a sound basis for project monitoring (via baseline data + the establishment of monitoring protocols)
- ✓ a framework for periodic project evaluation
- ✓ constant review of progress and adaptation of the project to unforeseen issues
- ✓ learning, and mechanisms for feeding lessons back into the Network
- ✓ an effective communications strategy to magnify the project's impacts by reaching decision-makers and contributing to WWF campaigns.

It is important that the project monitoring and evaluation plan is included as a component of the project design.

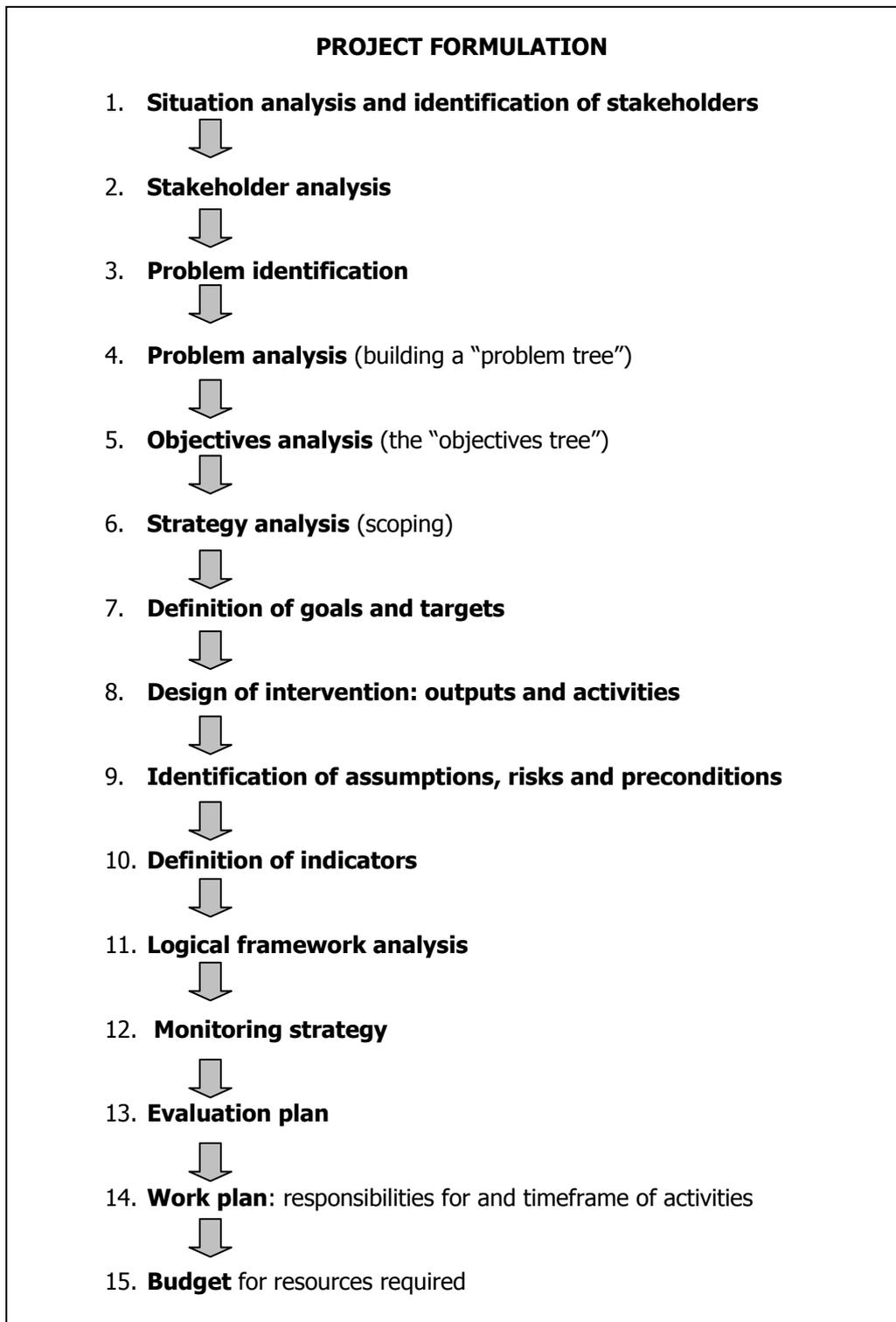


Figure 5. Project formulation flow chart.



A project proposal format (to be used largely for projects in the international programme funded from within the Network) is provided in Annex 3 of this sourcebook, and can be modified to suit local needs. For projects to be submitted to government aid agencies for funding, a full project document will be required. This document also acts as a reference point for implementation, monitoring, and evaluation through all the subsequent stages of the project cycle. Annex 4 provides a model Table of Contents for a full project document.

FACTORS ENSURING SUSTAINABILITY

One of the most important, yet sometimes forgotten, tasks of the design phase is to examine the factors that can ensure project sustainability, and develop these throughout the life of the project. If a subsequent phase of the project is not envisaged, an exit strategy is often needed, and the larger the project, the more important this will be. Thought should be given at the outset both to ensuring sustainability and to the project's exit strategy.

A project can be said to be sustainable when it continues to deliver benefits for an extended period, after the main part of external support has been completed.

There are a variety of factors that are crucial to ensuring that project achievements will be sustained after the end of the project period. The most important of these are outlined below, together with a series of questions that should be asked during the design phase.

Grounding in Local Reality

- Has a thorough situation analysis been carried out?
- Do we understand people's priorities and traditional knowledge, ecological systems, socio-economic forces, socio-cultural and gender issues, the policy environment, appropriate technologies, what is needed to ensure participation, the capacities of institutions and key individuals, the financial resources that will be needed during and after the project, and the project's exit strategy?
- Have we tested the project's logic model? Is it likely to work in this context?

People's Priorities and Traditional Knowledge

- Who are the stakeholders, and what are their priorities?
- Does the project strategy make use of traditional knowledge?

Biodiversity and Ecological Processes

- Will the project contribute to the goal of creating a world in which humans live in harmony with nature?
- How can this contribution be measured?
- What is the carrying capacity of the natural ecosystem? How resilient is it?
- Will it be possible to measure the impact of the project on the conservation of biodiversity beyond the end of the project cycle?

Socio-economic Forces

- What are the major socio-economic forces impinging on biodiversity and ecological processes?
- What is the impact of trade and market forces (local, national, international and global)?



Socio-cultural Issues and Gender

- Do the project activities, including any proposed changes to people's behaviour, take sufficiently into account cultural traditions, religious beliefs and social practices?
- Do they take into account the roles, needs and interests of both women and men?
- Are the data collected dis-aggregated by gender?
- Will sufficient ownership of the project activities by the local communities be assured?

Policy

- Is there sufficient policy support by the groups / institutions / authorities involved in the implementation of the project?
- Will this continue after the end of the project?
- Is supportive legislation in place?
- What activities can be done to ensure sufficient policy support?

Appropriate Technology and Methodologies

- Are the technologies and methods appropriate, given the technical, human and financial resources of the people who will use and maintain them?
- Can repairs be done, and spare parts obtained, easily and at reasonable cost?
- Do the project technologies maximize the use of local labour and materials?
- Will local staff and communities be able to use the methods, equipment and infrastructures, and maintain them themselves after the end of the project?

Equity

- Will those organizations and individuals involved in the project (or living in the project area) benefit fairly? It is crucial that stakeholders consider the project strategy to be equitable.

Participation

- What participatory processes are in place that will encourage involvement of different stakeholders in the project planning, implementation, monitoring, and evaluation?
- Is the project limiting itself to playing the role of a facilitator, and encouraging the major stakeholders to play the principal implementation roles?
- Is the project working with existing institutions? Are government agencies willing and able partners?
- What is the project's strategy for promoting ownership?
- What alliances have been made with civil society?

Institutional, Community and Individual Capacity

- Will the groups / institutions / authorities / communities involved in project implementation have the necessary capacity to manage activities post-project?
- What is the project doing to ensure that institutional and community capacity is developed and in place?
- Will the project ensure that the skill levels and capabilities of individuals are developed as required to undertake project activities, and to continue these after the lifetime of the project?

Financial Resources

- What essential operational costs will continue to be necessary after the end of the project?
- Will the financial resources needed to maintain the activities and outputs after the end of the project be available? (infrastructures, equipment, staffing, etc.)
- What types of sustainable financing mechanisms are being developed?



Exit Strategy

- What is the project's exit strategy?

These factors should be assessed in terms of their probability and significance. Some of them will be external factors (discussed below and illustrated in Figure 13), and the assumptions algorithm can be used. By applying the algorithm, these factors are either discarded as unimportant, or they are included as assumptions in the project logframe, or the project is redesigned to take them into account.

The above "sustainability" factors are the key to good project design, and not taking them into account can undermine both the feasibility and the long-term success of the project.

THE LOGICAL FRAMEWORK

The logical framework, developed in the 1970s, is used by most bilateral and multilateral donor agencies. It has been used by WWF for over ten years. WWF relies on the logical framework approach (also referred to as the "logframe" approach) as a standard project design and management tool.

The process of Logical Framework Analysis (LFA) allows a project to:

- systematically and logically set out the project or programme's objectives and the means-end relationships between them
- establish what assumptions outside the scope of the project may influence its success, and
- set indicators to check whether the objectives have been achieved.

The logical framework plays a role in each phase of the project cycle, from planning to implementation to evaluation. It is a master tool for creating other tools, such as the breakdown of responsibilities, the implementation timetable, the detailed budget, and the monitoring plan. It becomes an instrument for managing each stage of the project, and is updated regularly. As a tool, however, it must not be considered as an end in itself, and it is only as good as the analytical abilities of the people creating and using it.

Developing a project logframe without having effectively gone through the participatory planning exercises described above is the quickest way to develop a project that is unsustainable and does not adequately address real concerns among the stakeholders. One of the pitfalls of the logical framework is that it is quite possible to prepare highly structured projects which appear to meet the logical framework requirements, but which are neither well focused, nor needs oriented.

Once a participatory problem and objectives analysis is complete (as described in the sections below) and the strategy of the project selected, the logframe is used to order this information in a coherent fashion for initial appraisal and for subsequent project management, monitoring and evaluation.

An example format for a project logframe as used by WWF is provided in Figure 6 below.



WWF LOGICAL FRAMEWORK				
	Intervention Logic	Indicators	Sources of Verification	
High level strategic objectives				Assumptions and Risks
Project Goal				
Targets	1. 2.			
Outputs	1.1, 1.2, 1.3 ... 2.1, 2.2, 2.3 ...			
Activities	1.1.1, 1.1.2, etc.	Means	Costs	Preconditions

Figure 6. The project logical framework used by WWF.

The logframe provides a way to link the key intervention levels of the project in a logical hierarchy. Measurable indicators (most effectively identified at the output, target and goal levels) for tracking the attainment of the project objectives are required, together with the identification of their means of verification. The logframe also defines key assumptions necessary for the project to achieve its objectives. As the logframe requires the identification of measurable indicators for the attainment of objectives, it serves as a valuable tool for monitoring and evaluation.

Each of these elements of the logframe is discussed in more detail below.

Elements of the Logical Framework

There is a plethora of planning terminology around, which can be very confusing. Although different terms should be used when tailoring a project document to a particular aid agency, in general WWF uses the following terminology for the elements of a logical framework:

- Strategic Objectives: wider than those of the project (also called Overall Objectives).
- Project Goal: the main objective to be reached by implementing the project, usually on a 3-5 year time scale (called the Project Purpose in most PCM literature).
- Targets (also called Results), which are SMART: specific, measurable, ambitious yet achievable, relevant, and time-bound.
- Outputs: deliverable products, which together will achieve the relevant target.
- Activities: specific actions required to deliver the outputs and targets.



- **Indicators** that are objectively verifiable, and provide the measuring stick to determine whether the goal, targets, and outputs have been achieved. “SMART” targets have the indicators incorporated.
- **Sources of Verification**: the data sources that will be used to measure changes in the indicators; these must be defined simultaneously with the indicators.
- **Assumptions**: external factors or risks outside the direct control of the project, but important for the achievement of its objectives.
- **Means and Costs** that will be needed to carry out the activities and deliver the results.
- **Pre-conditions** that may be required before the project can begin (e.g., policy reform, resolution of civil strife, etc.).

In the planning phase, the purpose of the logframe is to define the project structure, test its internal logic, and formulate objectives in measurable terms.

The order in which the logical framework is developed is illustrated in the following diagram.

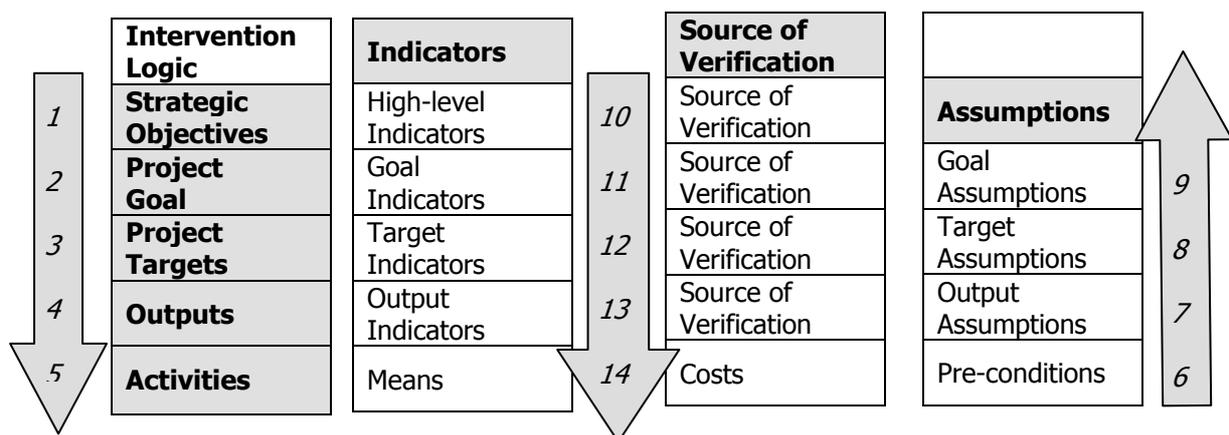


Figure 7. Development of the logical framework matrix.
(Numbers refer to the order in which the matrix is developed.)

Strengths of the LFA Approach

The logical framework approach provides a set of design tools that, when applied creatively, can be used for planning, designing, implementing, monitoring, and evaluating projects. Logframes give a structured, logical approach to setting priorities, and determining the intended purpose and results of a project. Used correctly, logframes can provide a sound mechanism for developing a project concept into a comprehensive project design. Logical frameworks also lay the basis for activity scheduling, budgeting, and later for evaluating the effectiveness, efficiency, and relevance of a project.

LFA-based project assessment, when properly carried out will:

- ✓ foster reflection within the project implementing institution
- ✓ generate early warnings before things go wrong, and allow for corrective decisions
- ✓ improve project reporting, and
- ✓ facilitate and improve project evaluation, both internal and external.



Weaknesses of the LFA Approach

The logical framework approach provides an excellent tool for project design, but it also has a number of potential weaknesses, e.g.:

- ✗ Logical framework analysis rarely produces good results if it has not been preceded by a thorough situation analysis in the field, followed by stakeholder analysis.
- ✗ While it has the potential to involve participants, LFA can easily set up an impractical or unrealistic problem / objective framework, depending on the representativeness (or not) of the participants.
- ✗ The problem analysis may produce poor results if this initial negative focus pervades the rest of the design process. Sometimes the problem analysis can take up so much energy, that participants have little left for the remainder of the exercise.
- ✗ Problem analysis can be difficult in cultures where it is inappropriate to discuss problems.
- ✗ The logical framework is based on a linear view of change, whereas change in the real world is complex, often involving different interacting parallel processes, as well as iterative and cyclic processes.
- ✗ The use of the logical framework in the later phases of project cycle management is often neglected, and the method used to monitor project implementation is not consistent with the LFA planning framework.
- ✗ Logframes do not readily enable monitoring of unintended consequences.
- ✗ LFA analysis is very time-consuming, and requires a substantial commitment from the project team and project partners.
- ✗ There is a danger that the process of developing a logical framework together with stakeholders can raise unrealistic expectations beyond what the project can actually deliver.
- ✗ In addition, because of the thoroughness of the problem analysis, the LFA approach can lead to idealistic over-planning if the project design team leader or facilitator does not sufficiently emphasize realism, and likely budgetary limits. This is probably the greatest danger of the logical framework approach.

An example of a logframe analysis for an ecoregion action plan is given in Annex 5, and the steps in building a logical framework are discussed in the following chapters.

SITUATION ANALYSIS AND IDENTIFICATION OF STAKEHOLDERS

Many of WWF's project failures have been due to an inadequate or incomplete identification and analysis of the range of threats to the biodiversity and ecological processes the project aims to conserve. The situation analysis seeks to understand the current situation and context in terms of:

- biological characteristics
- socio-economic, cultural, gender characteristics
- regulatory frameworks (policies, laws, customs) and how they are enforced
- the major actors and stakeholders (government, traditional authorities, community groups).

After identifying the major stakeholders, the next step is to analyse the whole range of threats, including their underlying causes. The procedures involved in a threat analysis will depend on the characteristics of the site concerned, but in general, the following main steps are included in a threat analysis:

1. Biological attributes that are of national and international conservation concern are identified.
2. Detailed preliminary studies or baseline surveys are conducted, if needed, to better understand certain threats.



3. Factors that negatively impact or limit each biological attribute are identified.
4. Underlying causes (or means-end chain) of these impacts and the level (local, district, provincial, national, international) from which the threat originates are identified.

The threat analysis is followed by examining opportunities (i.e., potential project interventions to counter threats), and finally selecting indicators to monitor progress. The collection of baseline data may be carried out as part of the situation analysis. Establishing robust baseline data is essential to effective project implementation, monitoring and evaluation.

Subsequent steps in formulating the project (stakeholder and problem analyses) will further inform the situation analysis.

STAKEHOLDER ANALYSIS

Stakeholders (and beneficiaries) are individuals or groups with a direct, significant and specific stake or interest in a given territory or set of natural resources and, thus, in a proposed project. A stakeholder analysis identifies all primary and secondary stakeholders who have a vested interest in the problems with which the project is concerned.

The goal of stakeholder analysis is to develop a strategic view of the human and institutional situation, and the relationship between the different stakeholders and the objectives identified. Stakeholder analysis is a continuing process that should engage different groups, as issues, activities, and agendas evolve.

The full participation of stakeholders in both the design and implementation of WWF projects is a key (but not a guarantee) to their success. Stakeholder participation:

- ✓ gives local people control over how project activities affect their lives
- ✓ is essential for sustainability
- ✓ generates a sense of ownership (if initiated early in the design process)
- ✓ provides opportunities for learning for both the project team and for the stakeholders themselves
- ✓ builds capacity and leads to responsibility.

It is important that stakeholder participation not be exclusive, or controlled by any one group. Once the project has found common ground, and has negotiated its goal with partners including local stakeholders, the stakeholder agreement should be recorded in writing. This may seem overly formal, but it has been shown time and again to provide clarity, and to help avoid (or resolve) conflict in the future.

The Stakeholder Analysis Process

Stakeholder analysis involves determining:

1. Primary or direct stakeholders – those who, because of power, authority, responsibilities or claims over the resources, are central to the conservation initiative. As the outcome of any action will affect them directly, their participation is critical. Primary stakeholders can include local community-level groups, private sector interests, and local and national government agencies. This category also includes powerful individuals or groups who control policies, laws or funding resources, and who have the capacity to influence outcomes. Failure to involve



primary stakeholders at the start can lead to subsequent difficulties in achieving conservation outcomes.

2. Secondary or indirect stakeholders – those with an indirect interest in the outcome. They may be consumers, donors, national government officials and private enterprises. Secondary stakeholders may need to be periodically involved, but need not be involved in all aspects of the initiative.
3. Opposition stakeholders – those who have the capacity to affect outcomes adversely through the resources and influence they command. It is crucial to engage them in open dialogue.
4. Marginalized stakeholders, such as women, indigenous peoples, and other impoverished or disenfranchised groups. They may be primary, secondary or opposition stakeholders, but they lack the recognition or capacity to participate in collaboration efforts on an equal basis. Particular effort must always be made to ensure their participation.
5. The nature and limits of each stakeholder's stake in the project – e.g., livelihoods, profit, lifestyles, cultural values, spiritual values.
6. The basis of the stake – e.g., customary rights, ownership, administrative or legal responsibilities, intellectual rights, social obligations.
7. Resources that each stakeholder has at her/his disposal and could bring to the project.
8. The potential role(s) in the project, if any, of each stakeholder.
9. Any capacity gaps that may need to be filled so that the stakeholder can fulfil her/his role. This will form the basis of the project's capacity-building strategy.

The stakeholder table on the following page is a useful tool for summarizing a stakeholder analysis.

An alternative way of doing stakeholder analysis is to identify all the parties, and then determine what each supplies or delivers to and receives from the others. This can also be presented in table form.

Determining who needs or wants to be involved, and when and how it can be achieved is the first step in any collaboration effort. It is fundamental that enough time be budgeted to explore stakeholder views, values and perspectives so that a clear understanding of the human and institutional landscape can be established. Once stakeholder views are understood, a decision can be made on whether to pursue collaboration.

It may be useful to profile stakeholder groups by gender, socio-economic status, political affiliation or profession. As real situations are dynamic, it will be important to validate and revalidate a stakeholder group profile over time.

The stakeholder assessment phase is also an appropriate time to explore whether or not gender will be a factor in the elaboration and implementation of future conservation efforts.

Gender analysis

It is well documented that discrimination by gender is likely to diminish the impact and effectiveness of projects. Furthermore, the inclusion of women as stakeholders has the potential to achieve both better management of the resource base and improved community welfare.

Gender analysis involves the assessment of:

- the distribution of tasks, activities, and rewards associated with the division of labour at a particular locality or across a region
- the relative positions of women and men in terms of representation and influence
- the benefits and disincentives associated with the allocation of tasks to women and men.



STAKEHOLDER ANALYSIS TABLE							
Stakeholder	Type ¹	Marg ²	Stake ³	Basis ⁴	Resources ⁵	Role ⁶	Capacity gaps ⁷

¹ Type = Primary (P) or Secondary (S) . Also note here if this group is an Opposition (O) stakeholder
² If the stakeholder is a marginalized group, put an "M" in this column; otherwise leave blank
³ The nature and limits of the stakeholder's stake in the project – e.g., livelihoods, profit, lifestyles, cultural values.
⁴ The basis of the stake – e.g., customary rights, ownership, administrative or legal responsibilities, intellectual rights, social obligations.
⁵ Resources that the stakeholder has at their disposal and could bring to the project
⁶ The potential role(s) in the project, if any, of the stakeholder
⁷ Any capacity gaps that may need to be filled so that the stakeholder can fulfil their role

Figure 8. Stakeholder analysis table.



Lessons in Stakeholder Collaboration

The importance of the process in planning and conducting successful collaborations cannot be overemphasized. Good-faith efforts are often derailed because the parties are not skilled in the collaboration process, and because insufficient attention is given to designing and managing it. Using an inclusive, transparent approach during the design phase of a conservation initiative will help build ownership and commitment. If it is not possible or realistic to have all key stakeholders involved from the outset, then a process for gradual involvement might be needed.

The increasing scope and ambition of conservation initiatives, such as ecoregional conservation, will require a commitment to dialogue and collaboration with a diverse range of stakeholders. Dialogue that is open and transparent is critical to long-term success. Through its field projects and ecoregion conservation work, WWF has learned a number of lessons in stakeholder collaboration, namely that:

- The goals of any collaboration venture must be clarified before engaging stakeholders. Goals help identify and target those interests that need to be represented in collaboration processes, and those that can be left out.
- All key stakeholders must be involved in project design and implementation if conservation is to be achieved.
- Deciding who is “inside” or “outside” a collaboration process will always be relevant to conservation outcomes and their sustainability.
- All stakeholders (including WWF) will come to the process with their own biases.
- Stakeholder collaboration is a process that requires the opportunity and space for participants to listen to and learn from one another. It is important that stakeholders have the occasion to come together to develop and share their vision and agendas.
- Monitoring and evaluation of the nature of *collaboration* is as important as measuring specific conservation outcomes.

Using the information gained by the stakeholder analysis, the project design team leader will be better able to plan the necessary research required prior to holding a participatory logical framework planning workshop.

PROBLEM IDENTIFICATION AND ANALYSIS

Following on from the threat analysis and stakeholder analysis, a problem analysis identifies all problems related to the main conservation issue and ranks them hierarchically. The analysis, usually a “brainstorm” exercise, identifies issues and problems that are of priority to the parties involved. As such, representatives of all local communities, formal and informal groups, concerned organizations, government, and the private sector should contribute to this analysis.

Problem analysis, objectives analysis, and the subsequent steps in project design are best carried out through participatory workshops with an experienced planner and facilitator.

Participatory Rural Appraisal

In a developing world context at the village level, Participatory Rural Appraisal (PRA) has proven to be an extremely effective method for promoting local participation in conservation projects, and for facilitating local ownership. PRA is a set of techniques for gathering community-based socio-economic information. The process involves semi-structured activities that are highly participatory, drawing on the knowledge and skills of local communities, and helping them to assess their environment and



resources, their use of resources, their needs and problems, and ideas for addressing those problems. The techniques in the PRA toolkit include, among others, unstructured or semi-structured group contact sessions, resource mapping, seasonal activity, resource use matrices, and resource inventory analysis.

WWF's approach to implementing its international conservation programme is that solutions must come from the grassroots up, and projects must be fundamentally participatory with respect to local needs. PRA techniques are a useful set of tools for ensuring this.

Problem Identification

Each stakeholder in the workshop is invited to identify problems that are of concern to them, to write these on a yellow card, and to pin their cards on a large board for everyone to see. The process of problem identification (as well as the rest of the steps in the project design process) has the important added benefit of fostering communication, understanding, and learning among the stakeholders, and building a sense of ownership with regard to the project.

Once the problems are identified and visible to everyone, the facilitator reads them all out one by one to:

1. make sure their meaning is clear to everyone, or reword for clarity (with the author's consent)
2. remove (with the group's consent) any duplicates.

Problem Analysis

Once problems and issues have been identified, cause-effect relationships are established between these issues to form a "problem tree" diagram for the project situation. This is illustrated below in a highly abbreviated form. Taking the raw information generated from the stakeholder-driven problem identification, the problems are ordered in an organized, hierarchical fashion flowing from causes (bottom) to effects (top). The above diagram is only a small subset of a real problem tree centred around declining populations of sea turtles. The actual problem tree would be much more complex for a real multi-stakeholder conservation project.

By designing a project based on real, existing problems of the parties involved, the project designers can avoid imposing their pre-conceptions about the desirable objectives of the project.

The two most common difficulties that arise during the problem analysis are inadequate problem specification, and the statement of "absent solutions". Inadequate problem specification occurs when the detail of the formulation is insufficient, so that it does not communicate the true nature of the problem. Overly general statements will need to be broken down. Obviously, getting the level of detail right is a matter of judgment on the part of the facilitator and the participants.

Absent solutions are problem statements that describe the absence of a desired situation (for example "Not enough park vehicles"), rather than accurately describing the actual problem (e.g., "Inadequate anti-poaching patrols"). The danger with absent solutions is that they risk biasing the intervention towards that solution. For each absent solution, the facilitator asks: "If this solution were delivered, what problem would be solved?" Absent solutions may not an issue at the very bottom of the problem tree, as they identify what means are needed to address the problem above.

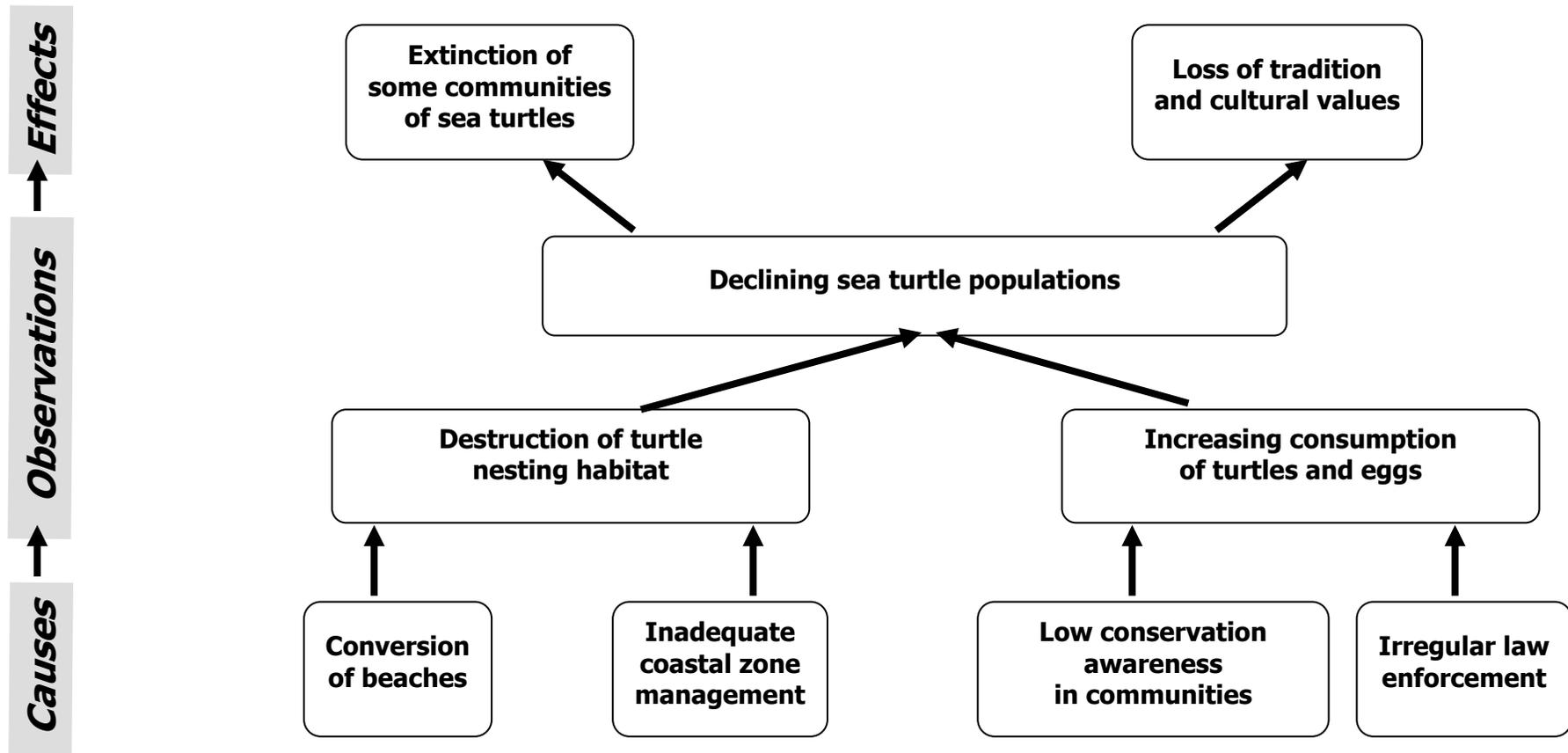


Figure 9. Simplified example of a problem tree.



To begin the problem analysis, the group checks the validity of the formulation of each problem, asking:

- Are the problems precisely worded, and their meaning understood by everyone in the group?
- Are they real?
- Worded as existing, negative states?
- Only one problem per card?
- No hidden or absent solutions?
- Are any information gaps marked?

To begin building the problem tree, the group selects one problem from the board that appears to have a number of causes and effects, and is close to the main conservation issue identified in the situation analysis. This becomes the starter problem around which the problem tree is built.

Then the tree is constructed by taking each problem one by one, and asking “Is this a cause or an effect of a problem on the board?” The card for this problem is then pinned on the board below or above the problem it is related to, depending on whether it is a cause of that problem or an effect. As more and more problems are added to the tree, different hierarchies of causes and effects begin to emerge. Some of the problems will be lower order causes, and some will be higher order effects.

As the tree is built, the group keeps asking questions about the logical, cause / effect relationships between different problems in the tree. When all of the problems have been added to the problem tree, the group checks the validity of the hierarchy, asking:

- Are the cause-effect relationships logical and complete?
- Have any intermediate steps been left out?

Then any necessary changes to the tree are made. When the group is satisfied with the relationships, the lines tracing these relationships are drawn as in the simplified example in Figure 9. This completes the problem analysis.

Note that problems identified should be continuously monitored during project implementation.

OBJECTIVES ANALYSIS

The objectives analysis follows from the problem analysis. It is the positive mirror image of the problem tree, and describes the *desired* situation following completion of the project, for example in five years time. It illustrates this desired situation as a hierarchy of means-to-end relationships in an objectives tree diagram, which is derived directly from the problem tree.

The objectives tree provides the basis for determining the project’s hierarchy of objectives, which will eventually be used to build the project’s logical framework. As with the problem analysis described above, the objectives analysis process should be conducted as a participatory exercise with all stakeholders concerned.

The process of analysing the objectives begins by simply converting the negative states of the problem tree diagram (i.e., the situation now) into positive states (i.e., the situation the group wants to see). To take an example from the problem tree illustrated above, “low conservation awareness in communities” is converted to “communities’ conservation awareness increased”, or “irregular law enforcement” is converted to “law enforcement improved”.

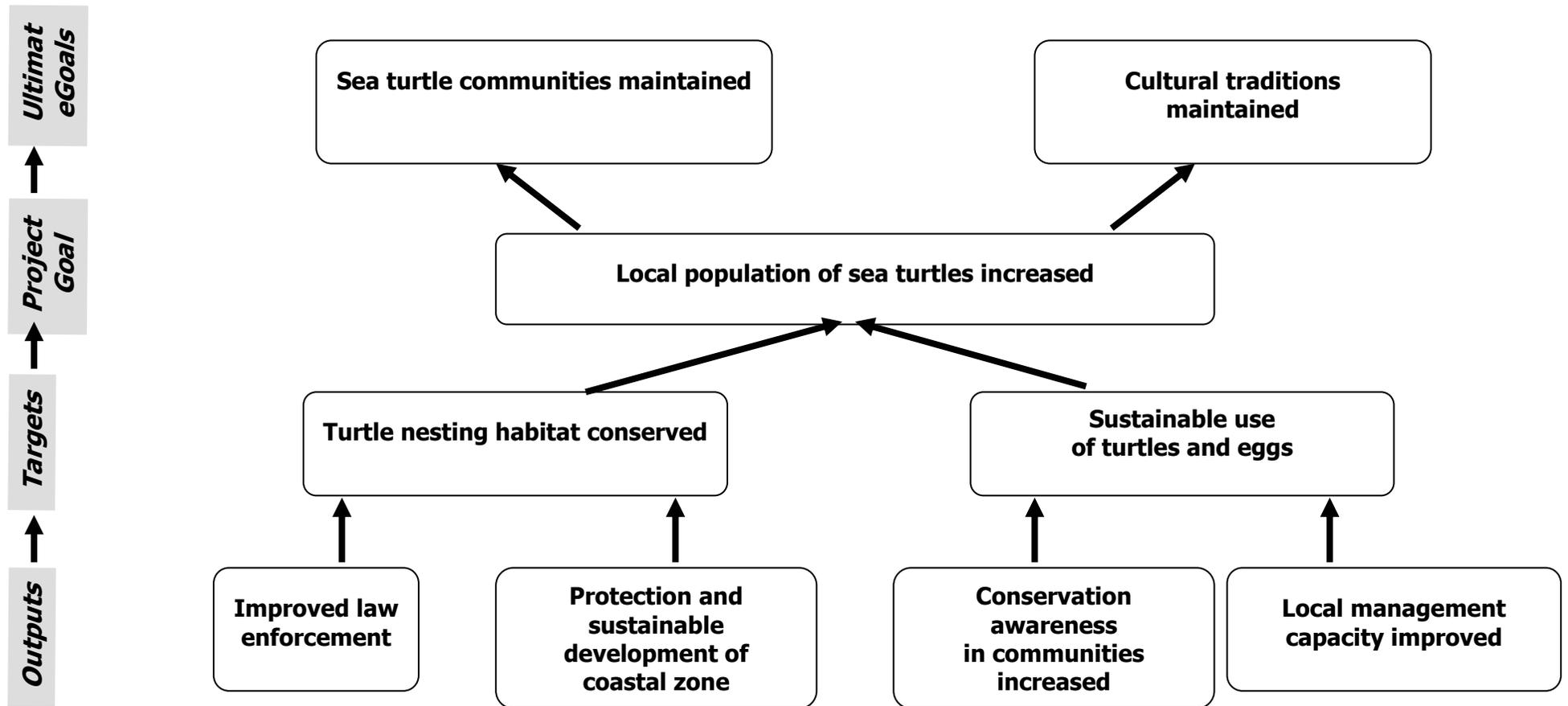


Figure 10. Simplified example of an objectives tree.

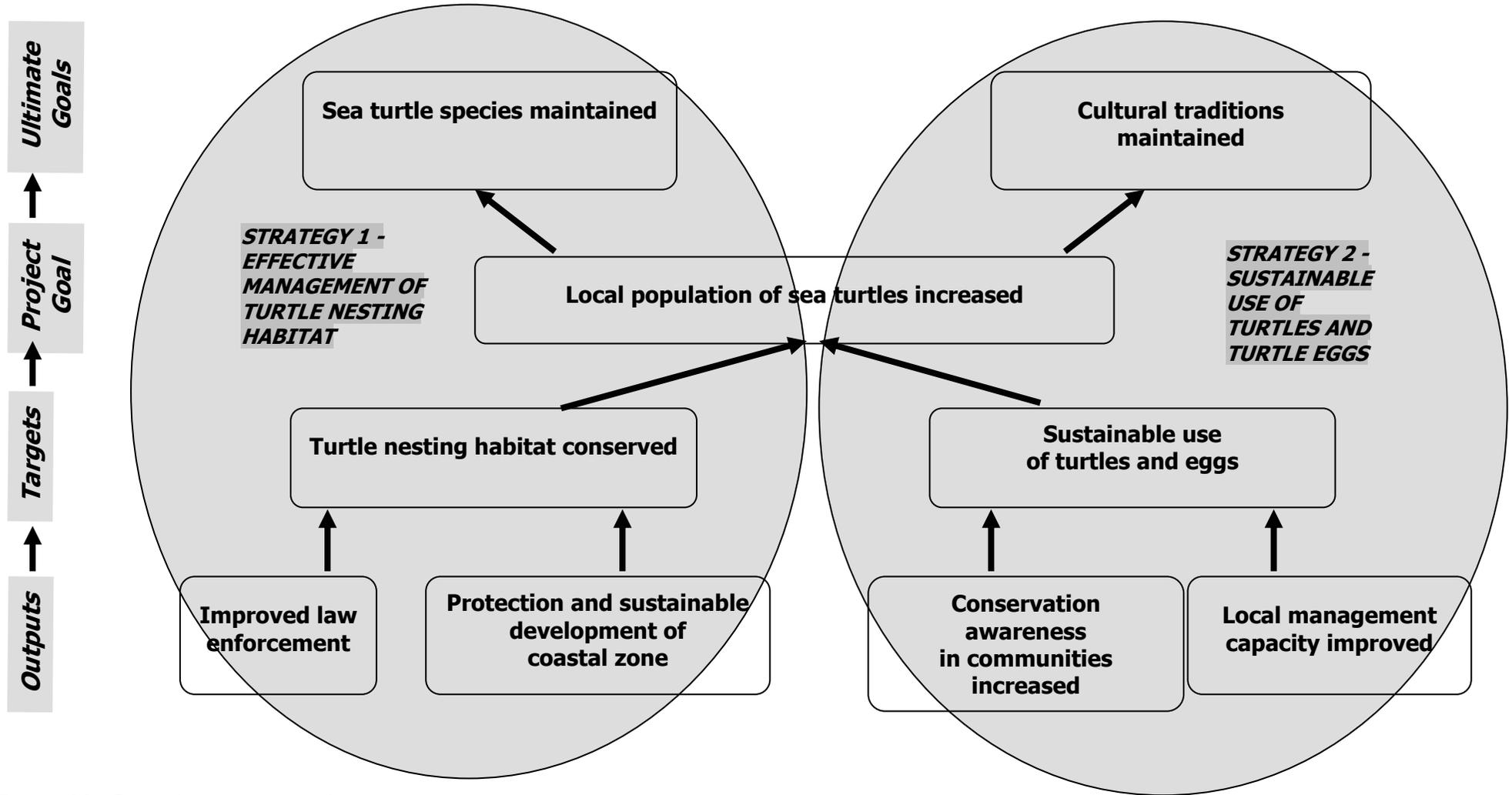


Figure 11. Simplified example of objectives clustered into strategies.



Essentially, this involves re-wording each of the individual problems identified into its “alter-ego” objective. The shape of the tree generally remains the same; only the grammar changes. The relationship between the issues identified is no longer one of cause-and-effect as in the problem tree, but rather means-to-end.

As was done for the problem tree, the group should again verify the hierarchy of objectives, asking if all the means-to-end relationships are logical and complete, and if there are any intermediate steps that should be added. It may be that there are gaps in the logic of the objective tree that were not apparent in the problem tree, in which case the means-ends linkages should be added or reviewed and re-organized as necessary.

A simplified example of an objectives tree, based on the problem tree above, is illustrated in Figure 10.

STRATEGY ANALYSIS – SCOPING

Once the objectives and their relationships have been identified, it is time to select where the project executants and stakeholders will be able to intervene. WWF cannot do everything. A selection must be made of which objectives (i.e., problems) will be addressed, based on a pragmatic assessment of the capacities of the organizations and groups involved. The aim of the scoping exercise is to determine what is IN and what is OUT of the project, among the many objectives that could possibly be addressed.

In the strategy analysis, those objectives identified in the objectives tree diagram (which will be much more complex than the one illustrated above) are clustered in terms of their commonality of purpose according to lower order objectives (which would become project activities and outputs) and higher order objectives (which would become project targets and goals). Some of these strategies (clusters) will fall within the capacities of the project stakeholders, and potentially may be included in the project. Others will clearly fall outside the capabilities of project stakeholders, and will thereby be outside the remit of the project.

The objectives outside the scope of the project will become the basis for defining the project assumptions or pre-conditions for project implementation.

Once the different possible strategies have been clustered, the group decides on one overall project goal – the central objective at the heart of the project. This is a key step in the strategy analysis. although the exact formulation of the goal may be revisited later, its essence should be clear at this point.

Scoping

In the process of scoping, different possible strategies contributing to a higher-level objective are identified, as illustrated schematically in Figure 11. The strategies defined in this clustering exercise may or may not evolve into project targets.

Of all the strategies identified in the objectives tree, at least one (and sometimes more) will be chosen as a strategy for the proposed intervention. The choice of one or more strategies should be made after the project goal or target has been decided. In choosing the project goal it is important to take into account the resources that will be available. A project goal high in the hierarchy of



objectives would necessitate a large, multi-component project, whereas a goal lower down in the hierarchy would call for a smaller project.

To select the project strategy (or strategies), the group collectively identifies possible criteria for including a given strategy or objective as part of the project intervention. Criteria may include: available budget, significance of the conservation issue, likelihood of success, period of time to be covered, capacity of WWF to achieve the objectives outlined, etc.

From this list of possible criteria, the group determines which of the criteria will actually be used in selecting a strategy or group of objectives for the project. The group may wish to give different weights to different criteria. Once the criteria to be used are agreed, they are applied to the various clusters on the board. A useful tool for applying the criteria is the decision matrix, illustrated below in Figure 12.

DECISION MATRIX				
Criterion ↓	Cluster 1	Cluster 2	Cluster 3	Cluster 4
NAME OF CLUSTER →				
Fits with strategic priorities				
Good likelihood of success				
Likely to be sustainable				
Will engage the support and interest of majority of stakeholders				
Likely to produce tangible, measurable results – good communications potential				
Meets host country policy				
Meets donor policy; funds likely to be available				
Contributes to other clusters				
Urgent				
Necessary expertise and institutions to implement available				
Executing agency has capacity to do this				
SCORE				
To apply the decision matrix, each cluster is ranked from 1 (highest priority) to n (lowest) for each of the criteria, and the number is written in the corresponding box from left to right. When the scores are added up vertically for each cluster of objectives, those with the lowest scores are the priority interventions for the project.				

Figure 12. Decision matrix with examples of criteria.



To summarize, the procedure for the strategy analysis is to:

1. Identify different possible strategies.
2. Decide on the project goal.
3. Collectively analyse possible criteria (e.g., available budget, conservation significance, priority for those concerned, likelihood of success, time span available, WWF capacity).
4. Determine together which criteria to use.
5. Chose one or more strategies for the intervention by applying the criteria.
6. Check the feasibility of different interventions.
7. Develop the hierarchy of the project objectives (= intervention logic of the logical framework).

Intervention Logic

The first step in filling in the logframe is formulating the project objectives (the intervention logic) from the priorities selected from the clusters of the objective tree. Within the selected cluster(s), the hierarchy of the objectives will determine their placement in the project logical framework. The lower-level objectives will usually be included as activities or outputs, and the higher-level objectives as the project target or ultimate goal or goal.

The strategic objectives are the higher-level goals of the relevant WWF Target Driven Programme, Ecoregion Conservation Plan, or country, sub-regional or regional strategy. Other projects and activities will also contribute to the achievement of the strategic objectives. This level of the logframe explains why the project is important, in terms of long-term benefits.

Developing the intervention logic then starts in earnest with the formulation of the project goal, which should address the core problem, and should be expressed as the impact the project will have on the beneficiaries (whether these are people or nature). There should be only one project goal – otherwise the project runs the risks of a design that is too complex and possible management problems. The project goal is (should be) likely to outlive the project – and sustainable benefits for target groups (including nature) are essential for this. The project goal should make a direct contribution to the higher-level strategic objectives. Agreement among the stakeholders of what should be the project goal is a crucial step, as this becomes the heart of the intervention.

Then the targets or results are formulated, drawing on the objectives prioritized in the strategy analysis. A limited number of sharp and focused targets are the key ingredients of state-of-the-art WWF projects. Together they should achieve the project goal.

Finally the outputs needed to achieve the targets, and the activities required to produce each output are determined.

The clusters in the objectives tree that were not selected as interventions for the project will be examined in terms of the critical assumptions for the successful realization of the project.

It usually takes several iterations to produce a coherent intervention logic. It is important to review, and if necessary restructure, the hierarchy of project objectives before moving on to formulating assumptions, indicators and sources of verification. A team can evaluate the internal logic of the project hierarchy by following the checklist below in Boxes 2a and 2b.



Box 2a.

LOGIC TESTING QUESTIONS

(adapted from Woodhill, Guijt & Hogueane, 2000)

High level strategic objective

- Does it express a future desired state, or higher order impact towards which the project is contributing?
- Does it help to place the project in a wider context that provides the rationale for the project?
- Is it narrow enough to be meaningful given the scope of the project? (Avoid overly general high level objectives)
- Is it something owned and shared by stakeholders?
- Is it expressed as a desired future state?
- Does it include any unnecessary means of achieving it?
- Is it expressed as plainly and succinctly as possible?
- Is it understandable to stakeholders?

Project Goal (project purpose)

- Is the project goal a succinct statement of what, overall, the project will achieve?
- Is it formulated as a future desired state?
- Is it realistic, given the resources, time span, and working context of the project?
- Is the project goal owned and shared by stakeholders?
- Does it include any unnecessary means of achieving it?
- Is it expressed as plainly and succinctly as possible?
- Is it understandable to stakeholders?

Targets (results)

- Are the targets the set of main achievements that must be realized for the project to achieve its goal? If the targets are achieved, will the project goal be achieved?
- Are they formulated as a future desired state?
- Do the targets reflect the highest level achievements that the project can be realistically held accountable for delivering?
- Are the targets realistic for the project to achieve during its lifetime?
- Are any of the targets unnecessary in terms of achieving the project goal?
- Is there a set of practical strategies and actions that can be carried out to achieve each target? (e.g., principles such as community participation or gender are principles of how the entire project will operate; they should be integrated into each target, rather than setting them as discrete targets – it is advised not to mix principles with targets)
- Are there no more than five targets?
- Do the targets lend themselves to being a clear and simple way of explaining what the project is all about?
- Do they include any unnecessary means of achieving them?
- Are they expressed as plainly and succinctly as possible?
- Are they understandable to stakeholders?



Box 2b.

LOGIC TESTING QUESTIONS, cont.

Outputs (sub-results)

- Are the outputs the set of main achievements that must be realized for the target to be achieved? If the outputs are achieved, will the target be achieved?
- Are any of the outputs unnecessary in terms of achieving the target, or that logically belong to another target?
- Are they realistic for the project to achieve during its lifetime?
- Is there a minimum of two and a maximum of five outputs for each target?
- Do the outputs include any unnecessary means of achieving them?
- Are they expressed as results, as plainly and succinctly as possible?
- Are they understandable to stakeholders?

Activities

- Do the set of activities for each output reflect the main actions that must occur for the output to be achieved?
- Are any of the activities unnecessary in terms of achieving the output, or that logically belong to another output?
- Are there any activities that need to be split up?
- Are the activities all roughly equivalent in their level of detail? Are some of them simply tasks within another activity? Or actually outputs?
- Is the list of activities of a reasonable length?
- Do the outputs include any unnecessary means of achieving them?
- Are they expressed as verbs, as plainly and succinctly as possible?
- Are they understandable to stakeholders?

ASSUMPTIONS

Many projects succeed in doing the activities they plan, but fail to make the impact they desire because of factors outside their influence. Assumptions are outside the scope of the project, yet their fulfilment is necessary for the successful achievement of each successive level in the intervention logic. Assumptions and risks are a pragmatic reflection of the environment within which the project is operating.

Often, many potential risks and assumptions at different levels in the project come to light during the problem identification stage. It is important to take risks and assumptions into account in project design, as they can significantly impact the outcome of a project. It may be possible to mitigate the potential impact of these assumptions or risks through specific project activities.

Since these outside factors constitute a risk to project success, they must be monitored throughout the lifetime of the project. If problems arise with certain assumptions, then the project strategy must be adjusted to try to influence those assumptions.

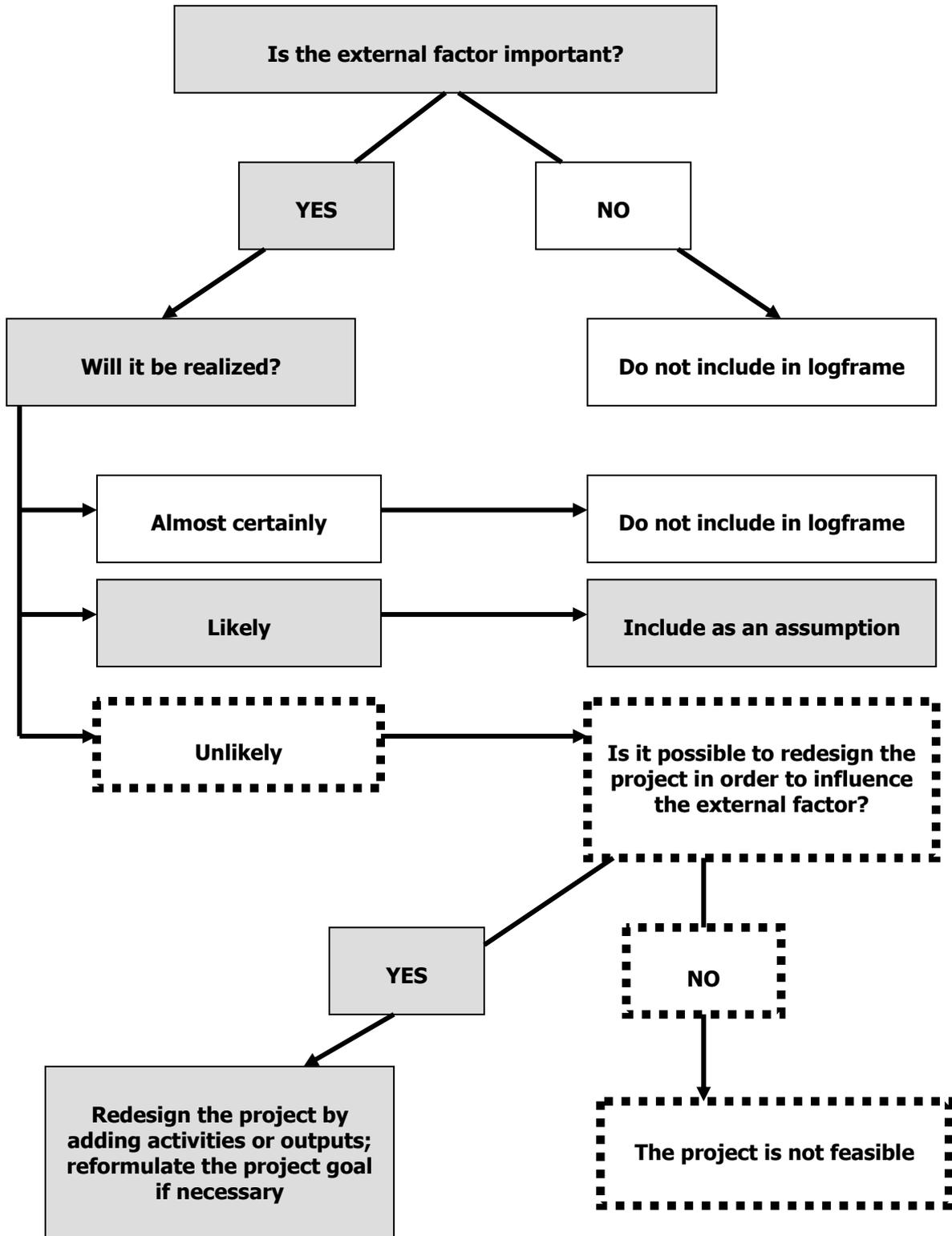


Figure 13. The assumption algorithm.



Major risks or assumptions may become “killer” assumptions, capable of completely derailing the project if they cannot be addressed. Killer assumptions are important assumptions that are likely to fail, and that cannot be brought under the control or influence of the project. Killer assumptions are red flags, indicating that the project may not be viable, and should be refocused or dropped.

The procedure for formulating assumptions is first to re-visit all of the objectives still remaining on the objective tree that have not been incorporated into the project intervention, and to determine if they should be included in the logframe as an assumption. Figure 13 provides the algorithm that is used to decide if a given assumption or risk should be included in the project logframe.

Then any additional assumptions are brainstormed at each level of the intervention logic, by asking, for example:

- If we realize these outputs, will we be sure to achieve this target?
- What other conditions must also be met to ensure that the target is achieved?

The zigzag logic of the assumptions column of the logframe is illustrated below in Figure 15.

Sometimes certain pre-conditions must be realized. These differ from assumptions in that they must be met before the project can begin.

INDICATORS

Indicators are the means by which one can regularly gauge the performance, success and impact of a project. They are the tools that make monitoring work. Indicators are factors that can be measured, recorded or described, and which illustrate either the difference between the current state of a system and the desired state of that system; the changes in pressures stressing the system; or the changes in responses to those pressures and/or to the state of the system.

Tracking indicators over time determines trends, telling us if we are moving closer to or further away from the desired state, if we are adding to or reducing the pressures on the system, or if we are increasing or decreasing our response to the situation.

To put indicators in context, following is a brief description of the pressure-state-response model.

The Pressure-State-Response Model

The Pressure-State-Response (PSR) cycle (below) illustrates key information components required to reliably gauge the “health” of a country, landscape unit or ecoregion.

The basic concept of the PSR model for monitoring and evaluation is to develop a set of carefully selected indicators that can track changes in:

1. human activities that affect the environment (the pressures or driving forces)
2. the condition of the environment (the state), and
3. how society, or some segment of society, is responding in a way that changes the pressure.

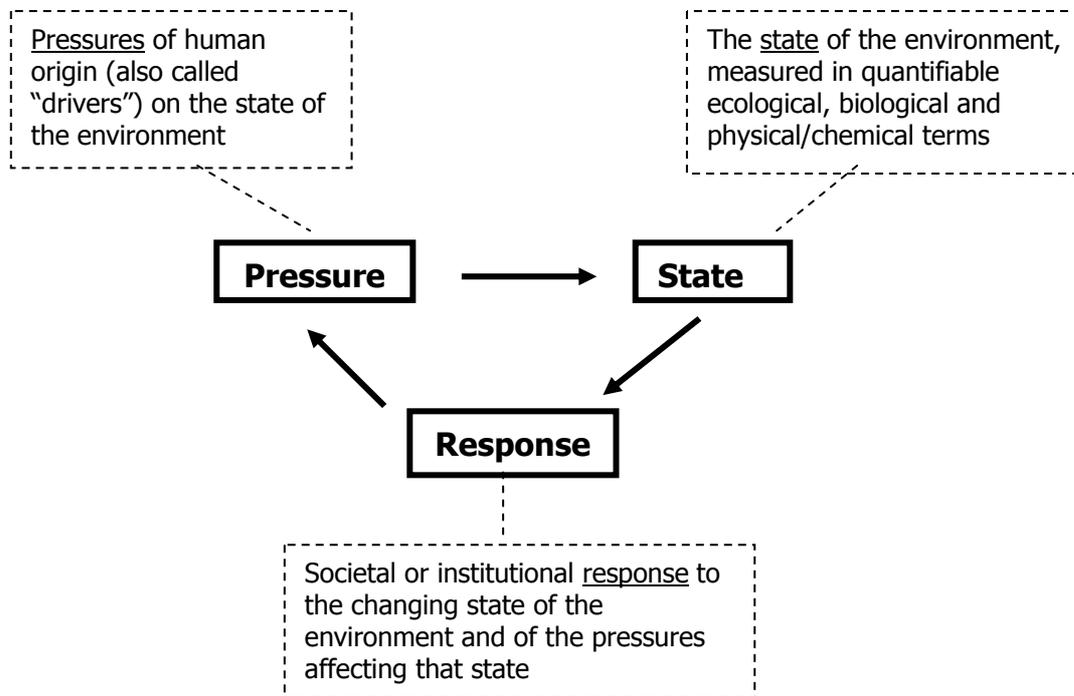


Figure 14. The "Pressure-State-Response" cycle.

For many conservation programmes, effective monitoring systems are in the early stages, and most of the data collected are related to the institutional response. One of the key features of a good monitoring system is a healthy balance among pressure indicators, state indicators, and response indicators. Some examples of pressure, state and response indicators are given in the box below.

To judge if, or to what extent, conservation efforts are making a difference, M&E ideally should be able to differentiate between changes in the pressures induced by the conservation efforts, and changes brought about by other factors. It is important to recognize that changes in the state and pressure indicators may give some indication of whether these responses have been effective, but there may not necessarily be a causal relationship between the two.

There are three types of indicators, depending on where in the pressure-state-response model they show trends or significant changes:

- impact indicators
- achievement indicators and
- response indicators.

Indicators of Impact

Impact indicators show trends or significant changes in the state (quality, health) of priority habitats, ecoregions, biomes and species, for example:

- change in extent or quality of habitat over time
- change in population and distribution of key indicator species over time.



Box 3.

Sample Generic Indicators for Pressure, State and Response

Indicators of Pressure / Drivers

- Human population density / distribution – changes over time
- Extent/rate of human induced change in habitats/landscapes
- Forest fires
- Pollution
- Poaching pressure
- Measures of economic activities with direct or indirect impact on species or habitats
- Change in size / distribution of resource extraction permits
- Population size / distribution of alien species
- Rate / distribution of illegal resource extraction activities
- Land encroachment
- Habitat fragmentation
- Effectively managed protected areas
- Climate change

Indicators of State / Condition – Impact Indicators

- Intactness of ecosystems
- Ecological processes and services
- Diversity of habitats
- Population size / distribution of key indicator species
- Number and distribution of endemic species
- Conservation status of key species
- Reproductive health of key species
- Security of taxa and habitats
- Genetic diversity

Indicators of Response / Action

- Capacity building
- Development of sustainable use management plans for renewable resource extraction
- Development of protected area management plans
- Production of environmental impact assessments for non-renewable resource extraction
- Government funding per square kilometre of protected areas
- Change in overall government resources committed to natural resource management
- Anti-poaching patrols
- Involvement of local groups, communities, stakeholders in conservation activities
- Existence / development of activities to promote sustainable livelihoods
- Ecosystem restoration activities
- Education and awareness activities
- Community-based resource management programmes; ICDPs
- Legislation and policy enacted / implemented.

Indicators of impact, in the context of WWF's strategic planning framework, are found in relation to priority biomes and ecoregions, and are measured only in ecological or biological terms. They are large scale and long term, with a minimum of five years likely to be required to detect significant biological change. Normally, impact indicators describe progress towards the WWF Mission, or to the higher-level strategic objectives or vision of the project or programme.



Indicators of Achievement

Achievement indicators track significant accomplishments or successes, which should reduce pressure on the environment, or improve legislation and policy favouring the conservation of priority ecoregions and biomes. They may also illustrate significant trends or changes towards a reduction of pressures. In terms of the PSR model, they may be pressure indicators, or high-level response indicators. Achievement indicators are often related to policy, legislation or socio-economics, for example:

- establishment of new protected areas
- sustainable management, or the development of management plans, for protected areas or important habitats / ecoregions
- enabling legislation
- sustainability and self-sufficiency of natural resource management authorities
- signature and ratification of international conservation conventions.

Indicators of achievement are found in all priority areas of WWF, for example in priority biomes and ecoregions, as well as in areas such as environmental education, capacity building, etc. Normally, achievement indicators define progress towards the overall objective outlining each conservation priority, and particularly the targets that flow from those objectives. These are medium-term indicators; once a target is established, it is not unreasonable to expect measurable change within three years.

Indicators of Project Performance

Performance indicators illustrate the completion of incremental outputs and activities, which contribute to significant conservation achievements (e.g., targets). Examples include:

- number of educational and training materials published and distributed
- awareness raising and capacity building workshops carried out
- number of conservation specialists (or community agroforesters) trained.

Indicators of performance provide the information necessary to define the achievement of individual outputs and activities leading to the conservation targets. Within the context of a project's annual workplan, successful completion of individual activities can be indicators of performance. Progress at the output / activity level should be measurable at a minimum on a six-monthly basis.

Setting Indicators

Since WWF is a biodiversity conservation organization, the strategic objectives of most projects should have indicators reflecting attributes of biodiversity at ecoregional, landscape, and species levels. Other indicators will illustrate changes in human and institutional aspects associated with the project. In all cases, the selection of indicators should be relevant to the project goal, targets and outputs. The formulation of indicators is not needed at the activity level.

At least some indicators should be chosen to be simple and straightforward enough to be monitored by stakeholders in the project who may not have scientific or other specialized training. Care should be taken in the selection of indicators with respect to budget, time, and the skill sets of project staff.

Objectively verifiable indicators (OVIs) describe the intervention logic in operationally measurable terms: quantity, quality, target group, time, place, etc. They should:

- give a precise picture of the situation
- be measurable in a consistent way



- be realistic to measure in terms of budget, time, capacity of project staff, and
- be “SMART”:
 - Specific
 - Measurable
 - Ambitious yet Achievable; Action-oriented
 - Relevant, and
 - Timebound.

Objectively verifiable means that in the same situation, different persons using the same indicator with the same methodology would find the same measurements. Wherever possible, and particularly in a quantitative sense, indicators should have concrete spatial, temporal, and/or physical attributes. Each indicator should specify the performance criteria expected. It is often useful to include more than one indicator if the single indicator does not provide a full picture of the change expected. At the same time, the cost of collecting data and measuring indicators should be taken into account, and project planners should avoid the trap of including too many indicators, or ones that will be too costly or difficult to measure.

As well as forming the basis for project monitoring, the specification of indicators also acts as a reality check for the viability of the intervention logic.

Sometimes additional information will be needed, and the exact specification of an indicator (e.g., the performance criteria) will be formulated during the initial stage of project implementation once the baseline surveys are completed.

Some tips for setting indicators are given in Box 4 below. For more information on indicators, see Gawler (in prep.): *Using Indicators for Monitoring Conservation Achievement: Some Examples of Best Practice*.

Box 4.

Tips for Setting Indicators

Most people find setting indicators to be the most difficult part of the planning process. One way is to begin by formulating some draft indicators, and then review them comprehensively by asking the following types of questions for each one:

- ❑ What is the essence of the output, target or objective that needs to be measured? What is this objective really trying to achieve?
- ❑ What do we really want to know about this? What evaluation questions might we ask?
- ❑ How will we know if the changes we are seeking have happened? What other indicators could be used to measure this?
- ❑ What are the standards of achievement for this indicator? How do we know if a measure is good or bad? (= performance criteria)
- ❑ How will the data be collected? Who is responsible for collecting the data? How often will data be collected and reported, and what sources or instruments will be used? (= sources of verification).

Performance Criteria for Indicators

Performance criteria set the standards for assessing progress with respect to a given indicator. They provide the signposts for interpreting measurements of indicators. For example, let's say the project



target = *Minimal stress from human uses in the Danube River*, and one indicator is the *number of fecal coliform bacteria per 100 ml of river water*. Then we could set performance criteria for this indicator as follows:

- 0-9 = *good: target achieved*
- 10-29 = *ok: target nearly achieved*
- 30-100 = *medium*
- 100-1000 = *poor*
- 1000-2000 = *bad*
- >2000 = *very bad.*

Unless there are clear national or international standards for an indicator, it is often necessary to carry out the baseline survey before performance criteria can be established.

Sources of Verification

When an indicator is formulated, its source of verification (SoV), i.e., the data source and means of collection, should be specified simultaneously. This will give a good idea of whether or not the indicator can be realistically measured. Just as formulating indicators provides a check on the intervention logic, specifying the sources of verification for each indicator not only clarifies where the data will be found, but also provides a reality check for the feasibility of that indicator.

The SoV should specify:

1. the format in which the information should be made available (e.g., project reports, official statistics, beneficiary interviews)
2. who should provide the information, or where it can be found
3. how regularly it should be provided (e.g., monthly, quarterly, annually).

The cost of data collection is directly related to the complexity of the source of verification. If data for an indicator are too complicated or costly to collect, a simpler, cheaper indicator should be chosen.

ANALYSIS OF THE LOGICAL FRAMEWORK

The logframe, like any tool, if applied mechanistically, can result in "garbage in, garbage out". It should not be used as a mechanical blueprint, but rather as an aid to thinking – a dynamic tool that should be re-assessed and revised as circumstances change over the lifetime of the project. When used in a participatory setting, the logical framework encourages people to analyse what their own expectations are, to appreciate the expectations of others, and to explore how these expectations might be achieved. The logframe does not guarantee project success, and it requires considerable training and experience to apply the approach successfully.

It is not unusual in the problem identification and subsequent objectives analysis to miss some activities or even outputs, the necessity of which becomes obvious during the development of the logframe. It is possible to fill in the gaps as the logframe is built.

The first step in the analysis of the logframe is to check the logic of the intervention strategy, by asking the following questions and making adjustments as necessary:

- Are the targets necessary and sufficient to achieve the project goal? Are they feasible?
- Are the outputs necessary and sufficient to achieve each target? Are they feasible?
- Are the activities necessary and sufficient to achieve each output? Are they feasible?



In order to begin a project, human, financial and material inputs will be necessary. These are the "means" at the lowest level of the logframe (see Figure 6).

In addition, there may be other issues, such as the passage of a law or the resolution of armed conflict that must be addressed or resolved before a project can start. These are called the "pre-conditions".

At the other end of the project timeframe, it is likely that some of the services provided during project implementation will also have to be provided beyond the lifetime of the project. To ensure sustainability, it is important to determine which services (benefits) will have to continue, and whether sufficient mechanisms have been incorporated into the project design to ensure their continuation.

Figure 15 below explains the logical role of the assumptions in the logframe. Expressed verbally, this diagram would read:

1. If certain preconditions are met, then project activities can commence.
2. If the project successfully undertakes the activities, and if parties outside the project ensure that important assumptions are met, then the outputs will be realized.
3. If the project succeeds in realizing the outputs, and if parties outside the project ensure that important assumptions are met, then the targets will be realized.
4. If the project achieves its targets, and if parties outside the project ensure that important assumptions are met, then the project goal will be achieved.
5. If the project goal is achieved by the end of the project, and important assumptions are also met (including the success of other related projects), then the high level strategic objectives will be achieved.

	Intervention Logic	Indicators + Sources of Verification	
High level strategic objectives			Assumptions and Risks
Project Goal			+ Assumptions
Targets			+ Assumptions
Outputs			+ Assumptions
Activities			+ Assumptions
			Preconditions

Figure 15. Assumptions and zigzag logic.



The vertical logic of the logical framework identifies what the project intends to do, clarifies the causal relationships, and specifies the important assumptions and uncertainties beyond the project's control. The horizontal logic relates to monitoring, i.e., the indicators to measure the effectiveness of the intervention, and the sources of verification for these measurements.

To save space in the logframe (if desired), the sources of verification can be indicated in parentheses in the same box as the indicator to which they refer. If this option is selected, care should be taken that each and every indicator has its corresponding SoV.

MONITORING

Monitoring and evaluation are the primary mechanisms to assess whether a project or programme is meeting its targets and objectives. Monitoring is an ongoing process that allows managers and supervisors to identify changes and trends over time so that they can assess whether project interventions are achieving their goals. Impact monitoring examines the impact of a project in terms of biodiversity goals. Performance monitoring provides a check on the *implementation* of the project, i.e., a review of progress against the workplan, the expected outputs, and the schedule for disbursements, staffing and equipment.

Project size, complexity and duration dictate the level of resources that must be invested in the baseline survey, and in establishing and maintaining a project monitoring system. In some cases, this investment will be substantial, and funds for M&E should always be planned for and included in the project budget. The investment made in establishing project monitoring systems will translate into a much more flexible and adaptive project. WWF recommends that:

5-10% of the budgets of all conservation projects and programmes should be devoted to monitoring and evaluation.

Project monitoring should be targeted to the project goal, targets, outputs, activities and assumptions.

It is very rare for any project to go exactly according to plan. Project monitoring is an integral part of day-to-day management, and can provide the information that management needs to identify and solve implementation problems, and assess progress in relation to what was originally planned.

Project monitoring systems should have the following components:

- baseline survey
- identification of key indicators, and performance criteria for these indicators
- monitoring protocols for key indicators
- monitoring timetable over the life of the project
- definition of feedback loops from monitoring results to project implementation
- standard report format, taking into account the needs of WWF, stakeholders, and the project donors.

The Baseline Survey

The baseline survey is the first step in the project monitoring strategy. During the project start-up, before implementation begins (or in the very early days of implementation), it is important to gather



baseline data and set up the monitoring protocols upon which subsequent project reporting and evaluations will be based. This phase, which can last six months or longer, also allows sufficient time for the hiring of project staff, establishing required infrastructure, and acquiring any necessary capital assets.

The baseline survey is the initial benchmark against which all other data collected during the life of the project are measured. The usefulness of ongoing project monitoring data depends on having a baseline against which one can assess project achievement. The survey should cover key biophysical, socio-economic and institutional attributes of importance to the project. It should begin at the outset of project implementation, generally prior to the initiation of project activities.

Designing a Monitoring and Evaluation Plan

There are five steps in the design and specification of a monitoring and evaluation system:

1. Make sure the project design is crystal clear – good monitoring depends on clearly stated objectives.
2. Determine information needs at different levels of the project implementation structure.
3. Ensure that every member of the project team has a good system for record keeping.
4. Design a monitoring report format for team members that will provide the project manager with access to relevant, timely information that facilitates analysis.
5. Prepare a project monitoring and evaluation plan (see Box 5 and Dickinson 2002):

The refinement of the M&E plan can be done as necessary during project implementation.

Box 5.

ELEMENTS OF A MONITORING AND EVALUATION PLAN

- Questions to be answered
- Spatial and temporal scales of monitoring activities
- Indicators, their definitions, and performance criteria
- Data sources
- Methods of data collection (units of measurement, categorization of data, sampling techniques, instruments)
- Frequency, schedule and responsibilities for monitoring, data collection and evaluation
- Plan for data analysis
- Presentation format
- Plan for communicating and using monitoring information, including intended audience(s)
- Staff and skills required
- Any training requirements
- Cost
- How information will feed back into management decisions
- Decision points at which action must be taken to address any negative trends
- Data and resources that may be required beyond the lifetime of the project.

Because the field of conservation deals with ecological processes, which are generally long term, changes from project interventions may be visible only beyond the lifetime of the project. In this case a monitoring framework designed to track conservation impact will need to extend beyond the project term, and this should be anticipated in the early days of project design and budgeting.



It may be possible to create partnerships to carry out this long-term monitoring in the context of a national monitoring system.

As the threats to biodiversity result essentially from human activities, which in turn depend on socio-economic factors, it is generally advisable that the M&E plan include indicators of the socio-economic, institutional and stakeholder collaboration situations, as well as indicators of biodiversity and ecological health.

To implement the M&E plan it will often be necessary to build incentives and capacity to collect, use and maintain data for monitoring and evaluation.

Using a Matrix for Monitoring Reporting

One of the most effective tools in use in WWF is the monitoring matrix (Figure 16). The exact format of the matrix varies from project to project and programme to programme according to its needs and the needs of the supervisor or oversight group. An example of a monitoring matrix used by the WWF Mongolia programme is given in Annex 6.

The monitoring matrix shows, at a glance, the achievements and difficulties of a project in relation to its objectives. When aggregated at the programme level, these matrices provide Steering Groups, Country Teams and Subcommittees with clear and concise information on programme achievements.

It is no secret that WWF project leaders and programme directors who

1. have set clear targets with sharp indicators
2. have invested in and implemented a regular monitoring system, and
3. can provide data showing clearly the specific results of their project or programme in relation to its targets

are among the most respected people in the organization.

One of the added benefits of the monitoring matrix is that the process of filling it out together with the project team, can be a powerful source of sharing, learning, team-building and motivation. Experience has shown that although project teams unfamiliar with the monitoring matrix may resist using this new tool in the beginning, they quickly find that it is a tremendous help in project management, and valuable to them in their own work – over and above its usefulness in communicating project results to wider audiences.

A recommended format for the monitoring matrix is included here in Figure 16. The project logframe provides the first three columns (targets, indicators, sources of verification, and assumptions). The status of each indicator and each assumption is then reported on a six-monthly or annual basis. Usually the monitoring matrix is focused on the higher-level project goal and targets, although outputs could also be included and reported on if so desired. The matrix is also used to record any problems that may have been encountered, and corrective actions taken. Thus any changes in project strategy in response to changing conditions can be recorded here as well. This version of the matrix is especially useful in promoting adaptive management.



MONITORING MATRIX					
Project or Programme:			Reporting period:		
Intervention Logic	Indicator(s)	Sources of Verification	STATUS	(Any problems encountered)	Action(s) taken
<i>Project Goal:</i>					
<i>Target 1:</i>					
<i>Assumptions for Target 1:</i>					
<i>Target 2:</i>					
<i>Assumptions for Target 2:</i>					
<i>Target 3:</i>					
<i>Assumptions for Target 3:</i>					

Figure 16. Recommended format for a project monitoring matrix.



Experience has shown that it is important to track the status of assumptions as well as the targets themselves, as inadequate attention to important underlying assumptions – either in planning a project or in monitoring it – is a classic cause of project failure.

The benefits of monitoring are summarized in the box below.

Box 6.

BENEFITS OF MONITORING

- ✓ Monitoring shows whether a particular undertaking has been successful in achieving its stated goals.
- ✓ Much of the information generated from monitoring activities can also be used effectively in WWF communications and fundraising work.
- ✓ The process of monitoring can provide an early warning system, giving vital and timely information, so that the project can adapt to changing conditions.
- ✓ The lessons learned may be of value to similar projects either within or outside of the WWF Network.
- ✓ Monitoring is an effective way of testing project hypotheses or assessing the effectiveness of a pilot activity.
- ✓ Regular monitoring provides the information needed for successful evaluations.
- ✓ Participatory monitoring can greatly enhance ownership of the project by stakeholder groups.

Other powerful tools also exist, in addition to the monitoring matrix, to enhance the impact of project and programme reporting. Visual or graphical presentations of changes over time are among the best ways of communicating WWF's successes. A few examples of visual reporting are included in Annex 7.

EVALUATION

Ongoing monitoring and periodic evaluations are integral elements of project implementation. If done properly and openly, the project is implemented in a context of learning. The continuous analysis of project results allows for remedial measures to be taken. This is adaptive management, which greatly enhances the probability of success for any project.

In addition to continuous monitoring by the project team, mid-term and final evaluations by objective third parties will provide further opportunities for learning, and may lead to the re-design of the project's continued implementation or of its next phase.

Evaluation attempts to determine as systematically and objectively as possible the worth or significance of an intervention or policy. For the evaluation process to be objective, it needs to



achieve a balanced analysis, to recognise bias, and to reconcile the perspectives of different stakeholders.

In general, evaluations should address five fundamental criteria:

1. Relevance – What is the value of the intervention in relation to stakeholders' needs, to national priorities, to partners' policies, and to global references such as the MDGs? To what extent are the objectives of the project/programme still valid?
2. Effectiveness – What target groups have been reached? To what extent has the project or programme achieved satisfactory results in relation to its stated objectives?
3. Efficiency – To what extent has the project/programme used its resources economically to achieve its objectives?
4. Impact – What are the wider social, economic, and environmental effects on communities and nature?
5. Sustainability – Are the activities and impacts likely to continue after external support is terminated? Will aspects of the project / programme be replicated elsewhere (perhaps with adaptations)?

Specifically, however, the Terms of Reference for an evaluation will articulate the scope and limitations of the evaluation. For example, it would be unusual for a mid-term evaluation, after two to three years of implementation, to look at impacts since this would likely be premature.

Evaluations are conducted with a view to:

- enhancing project impact
- developing recommendations for the guidance of similar projects in the future
- providing an analysis of accountability with respect to the use of project funds, and
- most importantly, drawing key lessons learned from the implementation process.

Normally an evaluation will be designed to address all of these issues. The WWF Programme Committee has made it clear that assessing the impact of WWF's work is key, and should be pursued at all levels. Although targets need not necessarily be expressed in terms of conservation impact, they must all be assessed periodically to see if the achievement of the target is having the desired conservation impact (see the previous chapter on indicators for the difference between indicators of impact and indicators of achievement).

In addition, evaluations should enhance WWF's credibility and transparency by improving the ways in which the organization communicates about areas requiring improvements. WWF has learned that greater openness about weaknesses as well as accomplishments can help to build trust and allay criticism.

Often evaluations tend to be under-budgeted, and it is very important to plan the evaluations during the design phase, and to anticipate the costs in the initial project budget and fundraising package. How evaluation results are disseminated should also be part of the evaluation plan that is drawn up during the project design phase.

Procedures for Conducting an Evaluation

The evaluation plan starts with "Why?" – looking at the balance of examining project management and operations, institutional learning and adaptation, accountability, and conservation impact. An initial analysis of project, goals, strategies, timeframe, scale and stakeholders will also assist in defining the parameters of the evaluation.



Then it identifies “For whom?” – a key element in designing the evaluation is establishing for whom the evaluation is intended, and who will benefit from the analysis that will be conducted. Essentially, this will determine the stakeholders in the evaluation. With the stakeholders of the evaluation in mind, one can tailor the evaluation issues and questions. It is critical that the evaluation questions are well defined, and agreed upon with the stakeholder groups in the evaluation.

The links between the purposes, stakeholders and key questions of an evaluation are shown in Figure 17 below. The illustrative evaluation questions presented in the table are generic, and in many cases self-evident. When framing evaluation questions, the following should be kept in mind:

- Prioritize and limit the number of questions you wish to address.
- Be clear and specific in terms of the information you would like.
- Try to frame questions in areas for which clear data or information already exist.

Purpose	Evaluation Paradigm	Stakeholders	Focus	Evaluation Questions
Accountability	Assessment of project performance to plan	Funders; local NGOs; Local community groups; Management hierarchy; Local Govt. groups	Achievement of goals, targets, outputs; Effectiveness of monitoring system; Cost/benefit; Relevance of assumptions	Has the project achieved its objectives? Has the project been catalytic? Were resources used efficiently?
Management	Improving project implementation	Project supervisors; P.O. Representatives; Programme Directors; Committees; Boards; All stakeholders noted above	Strategic plan and delivery mechanisms; Project organisation and staffing; Financial accountability; Decision making	How well is the project or programme being managed? Are delivery and management practices working?
Learning	Improving future projects and programmes	P.O. senior staff; H.O. regional programme staff; Committees.	Revising strategies and assumptions; Organisational response to emerging environmental issues; Adapting monitoring plans and indicators; Revising project interventions	What is being learned about the "object" of the evaluation? Was our initial planning adequate?
Impact	Assessment of conservation impacts of project	Funders; local NGOs; Local community groups; Management hierarchy; Local Govt. groups	Ecological systems; Socio-economic systems; Cultural / institutional systems; ecoregions	Is the project sustain - able? Will local groups continue/maintain project outputs or achievements beyond the life of the project?

Figure 17. Evaluation links: purpose, stakeholders, and key questions.



In most evaluations there will be a number of stakeholder groups, and therefore a variety of different, and sometimes conflicting, issues and key questions. These issues, and related questions, must be resolved before they can be incorporated into the terms of reference for the evaluation. In this respect it is important to understand, and reach agreement on, the priority of the various issues that have been identified. The final evaluation design can then be developed to reflect the issues of highest priority and the level of resources available to address them.

A number of evaluation methods and approaches, used individually or in conjunction with one another, might be used for WWF projects and programmes:

- Internal evaluation – initiated and undertaken by WWF, possibly with the assistance of an outside facilitator.
- External evaluation – carried out by one or more people not directly associated with the project. Used where objectivity of the exercise is given high priority. These evaluations should include local nationals as well as outside experts.
- Self-evaluation – the project executant or a group of project personnel work through a series of review questions in relation to their project, with a view to assessing progress towards objectives and making appropriate modifications to the project plan as new information becomes available.
- Participatory evaluation – project staff and/or evaluators consult with local communities or other intended beneficiaries about when and how to evaluate the project, what questions to ask, or particular aspects of the project. Participatory evaluation includes involving the beneficiaries in collecting, analysing, and/or compiling the information for the evaluation.
- Ongoing, participatory monitoring and evaluation – project stakeholders and participants are regularly involved in assessing achievements throughout the life of a project, making modifications to the project plan as required.
- Joint evaluation – undertaken by project / programme staff and outsiders (donor staff and/or external consultants) to arrive at a common understanding of objectives, methods, effectiveness, and impact.

For the results of an evaluation to be useful, there should be involvement of the end-users of the evaluation at every stage (in the formulation of questions, choosing the method, gathering data, analysis, interpretation, and reporting). The evaluator (or evaluation manager) should act as a facilitator and co-ordinator for the input of others into the evaluation, to foster involvement in the evaluation and optimize the usefulness of the evaluation.

Evaluation Terms of Reference

Good terms of reference (ToRs, also referred to as the scope of work) provide the basis for a good evaluation. They define the framework for the evaluation, and act as a point of reference throughout the process. They should be tight, explicit, and focused, and should avoid poorly defined terminology or vague objectives. The process for preparing the terms of reference should be consultative. The prospective leader of the evaluation team may assist in the development of the terms of reference, and should certainly have the opportunity to review and comment on them. The agreement of evaluation stakeholders on the final terms of reference should be obtained prior to the start of the evaluation.

Good ToRs provide a clear mandate for the evaluation team, specifically defining what is being evaluated and why, how the evaluation will be conducted, and the expected outputs. The Terms of Reference should, at a minimum, cover the elements listed in Box 7.



Box 7.

ELEMENTS OF TERMS OF REFERENCE FOR AN EVALUATION

1. Brief overview of the project and context
2. Clear definition of what is to be evaluated
3. Rationale for the evaluation
4. Methodology
5. List of data, information sources or reports to be consulted
6. List of individuals to be interviewed, or stakeholder groups to be consulted
7. Evaluation matrix of the principle issues, questions and data sources (Figure 18)
8. Use of the evaluation findings (i.e., ownership)
9. Evaluation team structure
10. Specific ToRs for team members if necessary
11. Expected outputs of the evaluation
12. Report format
13. Timetable and budget
14. Logistics and availability of project or organizational resources.

Figure 18 presents a suggested format for an evaluation matrix, which should form a key element of the evaluation ToRs. A classic set of key issues and questions involve: relevance, effectiveness, efficiency, impact, and sustainability. Specific sub-questions are then developed to provide a concrete orientation for each of these themes. Indicators give the evaluators something to measure, and make the sub-questions more tangible. Examples of data sources include: people (certain groups or individuals), specific documents or other resources, and direct observation.

Evaluation Matrix				
Issues	Key Questions	Sub-questions	Indicators	Data Sources (Tools)
Relevance	Do stakeholders care about the project and believe it makes sense?			
Effectiveness	Is the project achieving the intended results?			
Efficiency	Is the project achieving results at a reasonable cost?			
Impact	What effects has the project had on the broader context (stakeholder groups, organizations, communities, policies, ecoregions)?			
Sustainability	What evidence is there that the results or activities of the project will continue beyond the project lifetime?			

Figure 18. Suggested format for an evaluation matrix.



In general, WWF evaluations should address:

- The performance of the project with respect to its stated goals and targets (i.e., the project logframe) measured as quantifiably as possible. Project evaluations are usually about measuring how outputs have delivered targets, and how targets have led to goals.
- The identification of specific accomplishments and recommendations, as part of the iterative learning process within WWF and with the project or programme stakeholders.
- The identification and documentation of failures or shortcomings in the execution of the project or programme in question, with the emphasis on learning from experience.

As in all other aspects of project implementation, the preparation of evaluation ToRs should not take place in a vacuum. Once a draft has been prepared, it should be circulated as widely as possible among project and institutional staff members, stakeholders, donors, and others associated with the project, and particularly with the evaluation. It is advisable that a short workshop or meeting is held among these actors to discuss and finalize the content of the Terms of Reference.

WWF Evaluation Standards

WWF is committed to evaluation as a primary tool for institutional learning and staff development, and evaluation standards have been established at both the programme and project levels.

Programme Level Evaluation Standards:

- All programmes are to plan for, and carry out, programme evaluations at least every five years.
- Regional and Trans-regional Programme Directors should ensure that specific plans for programme evaluations are built into their strategic plans.
- Subcommittees and the Programme Committee must ensure that budget allocations are made to support periodic programme evaluation.

Project Level Evaluation Standards:

- Directors of Programmes and Project Supervisors must ensure that all projects have evaluation plans built into their work programme and budget at inception.
- Project plans must include evaluation criteria (objectively verifiable indicators). A summary of project evaluations should be included in the relevant text field in WWF's Project Database.
- Programme Office Representatives and project supervisors should ensure that all projects are evaluated on a timely basis. In the case of projects that have a planned duration of over three years, both a mid-term and final evaluation should be planned for.

A full evaluation report should be prepared for circulation. Suggested guidelines for the evaluation report format are provided in Annex 8.

A RESULTS-BASED WORKPLAN AND BUDGET

One of the great strengths of the logframe method, is that the operational aspects of the project – its workplan, management responsibilities, and budget – can be planned in detail based directly on the activities specified in the logical framework.



Because the activity schedule or workplan is derived from the logframe, it makes a direct link between project operations and the project targets and objectives. Figure 19 gives an example of an activity schedule that could be derived from one of the targets of a logical framework.

As shown in Box 8, the procedure for developing a results-based workplan from the logical framework is quite straightforward.

Once the detailed workplan is complete, the project budget can be prepared based on the list of activities and their timelines (person-months for each sub-activity), as well as equipment and materials that will be required.

Box 8.

**PROCEDURE FOR DEVELOPING A
RESULTS-BASED WORKPLAN**

1. Copy the activities from the logframe into an activity scheduling format, as shown in Figure 19.
2. Break the activities down into sub-activities or manageable tasks. Make them sufficiently simple so that they can be managed easily. Each task could be assigned to an individual.
3. Once the activities have been broken down into sufficient detail, check how they may relate to each other sequentially. Are any activities dependent on the start-up or completion of another?
4. Specify the timing for each sub-activity, making as realistic an estimate as possible. Realism can always be improved by consulting with the implementers!
5. Make an overall estimate of the start-up, duration and completion of each of the main activities.
6. Define milestones. These provide a basis for managing and monitoring project implementation. They are key events (or dates) that provide a measure of progress.
7. Define the expertise required for each activity. This is a good opportunity to check whether the workplan is feasible, given the human resources available.
8. Allocate responsibility for each activity to a given individual, and tasks among the team. With task allocation comes accountability and responsibility for achieving the milestones. Task allocation must take into account the capability, skills and experience of each member of the team.
9. Summarize this information in a graphic format, for example as illustrated in Figure 19. While the overall project schedule may specify activities on only a quarterly basis, an individual's quarterly workplan would be drawn up using a more detailed timeframe.



ACTIVITY SCHEDULE FOR PROTECTING THE BIODIVERSITY OF GUITING-GUITING (fictitious example)													
Target 1: To assist communities affected by the protected area in improving their social, political and economic conditions through: formation and strengthening of community organizations; tenure access and security; and equitable sharing of economic benefits.													
Activity	Exp Res	Year 1				Year 2				Year 3			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Activity 1.1: Conduct social, political and economic analysis of the 5 identified sectors in Sibuyan Island.	SE MR												
1.1.1 Situation analysis													
1.1.2 Research design													
1.1.3 Field studies													
1.1.4 Data analysis, report								◆					
Activity 1.2: Conduct social preparation activities such as community organizing and capability building.	OT CR												
1.2.1 Needs assessment													
1.2.2 Capacity building plan													
1.2.3 Implement plan													
1.2.4 Monitor & eval. results									◆				◆
Activity 1.3: Provide assistance to indigenous peoples in the application for land and resource tenure.	AN LE RT												
1.3.1 Select beneficiaries													
1.3.2 Land surveys													
1.3.3 Prepare applications													
1.3.4 Submit applications, and monitor approval process											◆		

Key: Exp = expertise (SE=socio-economist, OT=organizational trainer, AN=anthropologist, LE=legal expert). Resp = management responsibility (CR=Celso Roque, MR=Mon Romero, RT=Romeo Trono) ◆ = milestone

Figure 19. Example of an activity schedule derived from a logframe (partial).



MEANS AND COSTS

The means are the human, material and financial resources required to undertake the planned activities and implement and manage the project. In order to provide an accurate estimate of the means and costs required for a project, the planned activities and management support (including data collection and monitoring) must be specified in sufficient detail. This is done by translating the activities from the intervention logic of the logical framework into an activity schedule for the lifetime of the project, and then costing this out together with requirements for equipment and materials. The end product is a results-based project workplan and budget, as discussed above.

LESSONS FROM THE DGIS-WWF TROPICAL FOREST PORTFOLIO

In order to promote a learning culture within the organization, WWF, with funding from the Dutch development agency, DGIS, created a portfolio of integrated conservation and development projects (ICDPs) in 1996, specifically to understand what works and what does not in ICDPs in different tropical forests. To date, the four primary lessons are as follows (WWF 2001):

- **Learn from doing.**
Plan, monitor, learn, and adapt. Practice adaptive management.
- **Link field actions to policy advocacy.**
Supportive laws, policies and regulations must be in place if interventions are to be successful and sustainable. Projects must take a vertically integrated view – policy advocacy and change is as critical to project success as is infrastructure on the ground.
- **Leave something behind.**
Build institutional capacity to train and develop skills, and devolve management to institutions who will ultimately be responsible (communities, NGOs, government, etc.).
- **Tell the story.**
Communicate messages in an interesting and visual way. If projects and programmes are to have an impact beyond their area of operations, they must be able to capture the imagination of those who do not have a direct interest in the activities.

Further lessons on the operational, ICDP level include:

- Understanding linkages between scales (project, landscape, ecoregion) is critical to effective implementation.
- Think in terms of negotiating and brokering conservation actions that are realistic rather than ideal. Second-best solutions that are doable may be better than ideal solutions that have little possibility of being agreed to or implemented.
- Work in strategic partnerships; act as facilitators.
- ICDPs require long-term support, e.g.: partnerships and strategic alliances, a supportive policy environment, diversified and sustainable funding mechanisms, post-project support (fundraising assistance, technical advice, information, etc.).
- Build on what exists. Gain a thorough understanding of the ecological, socio-economic, institutional and historical contexts (baseline data). Engage communities in sincere and meaningful dialogue as full partners.
- Avoid subsidizing community development activities.
- Ensure that those who have authority over and receive benefits from resources bear the responsibility and costs for managing them.
- Generate economic benefits for local people, and incentives for conservation. Establish core capacity in resource economics.



- Efforts must be made very early to identify partners, both local and strategic. Partnerships are key for the design phases, and all partners must be involved.
- Capacity building and partnerships require specific attention (e.g. plans) to get translated into action and results.
- The implementers must be the designers – not the people in the head office.
- Beware of, but do not ignore, top-down ideas. Focus on bottom-up processes.
- Local capacity and expertise, both individually and institutionally, is more effective and has greater lasting power than expatriate project management. ICDPs with strong local institutional support are much more resilient.

In addition, the DGIS-WWF Tropical Forest Portfolio has identified some lessons at the level of managing the portfolio:

- For a collection of projects to operate as a programme, they must be involved in the development of the programme.
- Creating effective networks takes more time and effort than is generally expected.
- Virtual networks are not enough. Face-to-face workshops and seminars are essential for effective learning and for building networks.
- Identify and select an (independent) advisory committee early on.
- Encourage projects and partners to communicate in their own language – avoid domination by Anglophones.
- A coordination mechanism is necessary for a collection of projects to function as a programme, including a full-time “champion” (coordinator) with a global view, and a full-time administration-communications person.
- Disseminating lessons is not an end in itself. It is important to define the purpose of learning, and plan how the impact of disseminating lessons will be assessed.
- E-mail and website communications greatly enhance quick and regular contact among projects, and are critical for the development of integrated programmes.
- The institutional commitment and structures to develop a learning culture need to be in place to ensure that this can happen.



Annex 1.

GLOSSARY

Activities – the specific tasks to be undertaken during a project’s life in order to obtain results and produce outputs.

Activity schedule – a workplan in the form of a chart setting out the timing, sequence and duration of project activities. It can also be used for identifying milestones for monitoring progress, and to assign responsibility for achievement. The activity schedule provides the basis for the project budget.

Adaptive management – A process that integrates project design, monitoring and management to provide a framework for testing assumptions, for learning, and to supply timely information for management decisions.

Appraisal – Analysis of a proposed project to determine its merit and acceptability in accordance with established criteria.

Assumptions (also known as risks or constraints) – external factors or fundamental conditions under which the project is expected to function, which are necessary for the project to achieve its objectives, and over which the project has no direct control.

Attribution – the extent to which observed effects can be attributed to a specific intervention, or to the performance of partners, taking in to account other interventions, confounding factors (anticipated or unanticipated), or external shocks.

Baseline study – describes the state of the target ecosystem, ecoregion, landscape or species prior to or in the earliest stage of project implementation; it provides the benchmark against which management induced changes can be identified and measured.

Benchmarking – establishing a comparative goal in relation to past performance or to the performance of others.

Collaboration – a mutually beneficial relationship between two or more parties who work toward common goals by sharing responsibility, authority, and accountability for achieving results.

Conclusions – In an evaluation, the synthesis and analysis of the findings.

Conservation goals – Targets that encompass: (1) representation of all distinct natural communities; (2) maintenance of ecological and evolutionary processes; (3) maintenance of viable populations of species; and (4) resiliency in the face of large-scale periodic disturbances and long-term change. On a 50-year time frame.

Disaggregated data – statistics that separate out information or indicators (e.g., by gender, ethnic group, age group, geographic area).

Effectiveness – the extent to which the results of a project have or are likely to result in the achievement of the project goal or purpose.

Efficiency – the cost-effectiveness of converting resources (inputs) to outputs. Both direct costs and overheads (e.g. management time) should be considered.



Evaluation – periodic review of the relevance, effectiveness, efficiency, impact, and sustainability of a project or programme with respect to its stated objectives and timeline. Evaluation attempts to determine as systematically and objectively as possible the worth or significance of an intervention or policy.

Findings – In an evaluation, factual statements that include description and measurement.

Global Priorities – WWF's six global conservation priorities approved by Programme Committee (forests, freshwater, oceans & coasts, species, toxics, and climate change), and the Global 200 ecoregions.

Goal – what the project or programme specifically aims to achieve, as a step towards meeting WWF's global targets and mission. Goals are generally anchored to a three to five year timescale.

Hierarchy of objectives – Activities, outputs, targets, project goal, and high-level strategic objectives, as specified in the intervention logic.

Higher-level strategic objective – objective in the wider programmatic sense, to which the project is designed to contribute.

Impact – achievements in relation to a project's high-level strategic objectives or vision. In the case of WWF, impacts are measured in ecological or biological terms.

Indicators – qualitative and/or quantitative factors that provide a simple and reliable means to measure achievement and to reflect change connected to an intervention. When observed periodically, indicators demonstrate either the difference between the current state of a system and the desired state of that system; the changes in pressures stressing the system; or the changes in responses to those pressures and/or to the state of the system.

Integrated approach – the consistent examination of a project throughout all the phases of the project cycle, to ensure that issues of relevance, feasibility and sustainability remain in focus.

Intervention – Specific activity or action taken by the project to abate a specific indirect or direct threat.

Intervention logic – the strategy underlying the project; the narrative description of the hierarchy of objectives in the logframe.

Lessons learned – conclusions that can be generalised beyond the specific case, including conclusions about causal relations and about how an intervention should be carried out.

Logframe – the matrix in which a project's intervention logic, assumptions, objectively verifiable indicators and sources of verification are presented.

Logical framework approach (LFA) – a methodology for planning, managing, and evaluating projects and programmes, involving problem analysis, objectives analysis, strategy analysis, preparation of the logframe matrix and associated workplan and budget.

Means – the human, material and financial resources required to undertake the planned activities and implement and manage the project (personnel, equipment, materials, etc.).



Milestones - a time-based indicator for short-term objectives, which facilitate measurement of achievements throughout the project.

Mission – WWF’s purpose, or *raison d’être*, as an organization. It has a very long time horizon, of 50 years or more.

Monitoring – the continuous collection and analysis of information to measure trends over time in order to determine whether management interventions are having the desired result, or need to be changed.

Objective – the aim of a project or programme; in its generic sense it refers to outputs, targets, project goal, and the higher-level strategic objective.

Outcomes – see Results.

Outputs – deliverable products of the project or programme workplan, which together should add up to achieving the target / objective associated with those outputs.

Preconditions – any conditions that must be met before the project can begin, and may be attached to the release of funding.

Problem analysis – a structured investigation of the negative aspects of a situation in order to establish causes and their effects.

Programme – a set or aggregate of projects.

Project – a set of actions undertaken by any group – including managers, researchers, community members, and any other stakeholders – to achieve defined goals and objectives.

Project cycle – a structure for the life of a project to ensure that stakeholders are consulted, and that defines key decisions, information requirements and responsibilities at each phase so that informed decisions can be made at key phases; it draws on evaluation to build the lessons of experience into the design of future projects and programmes.

Project cycle management – a methodology for the preparation, implementation and evaluation of projects and programmes based on the integrated approach and logical framework analysis.

Project goal (also called project purpose) – the central objective of the project in terms of sustainable benefits to be delivered.

Proxy indicator – A substitute for an indicator that cannot be directly measured or assessed.

Recurrent costs – costs that are incurred for operation and maintenance that will continue to be incurred after the implementation period of the project.

Regional or local priorities – key regional, country / sub-regional, and project level conservation issues, which relate to and flow from the WWF Global Priorities above. These issues, however, are not necessarily identical to WWF’s Global Priorities, allowing for regionally and locally identified conservation priorities to be addressed. The Network is expected to apply the 80/20 rule whereby at least 80% of its resources are directed to the Global Priorities, with no more than 20% invested in other regional or local priorities.



Results (or Outcomes) – the tangible products of services delivered by the project; actual changes in the problem targeted by the project, i.e., what the project will have achieved by its completion.

Root causes - The factors that drive biodiversity loss – they may exist at a distance from the actual incidences of loss, in either space or time.

Sources of verification (SoV) – data sources; the means by which indicators or milestones will be recorded and made available to project management or to those evaluating project performance.

Stakeholder – any person, group, or institution that – positively or negatively – affects or is affected by a particular issue, goal, undertaking or outcome.

Strategy analysis – critical assessment of the alternative ways of achieving objectives, and selection of one or more for inclusion in the proposed project.

Sustainability – the ability to generate results and deliver benefits after the external support has been discontinued; a key requirement for project success.

Targets – specific, sustainable, and manageable objectives, which WWF projects and programmes are expected to achieve within a defined time horizon. The achievement of these targets should outlive the projects and programmes in question. Also, a target should be significant not only for WWF, but for the “rest of the world” as well. Targets must be SMART: specific, measurable, ambitious yet achievable, relevant, and timebound.

Terms of Reference (ToRs) - definition of the tasks required, including the project background and objectives, planned activities, expected inputs and outputs, budget, timetables and job descriptions.

Vision – long term aim to which WWF programmes will contribute, but will not necessarily achieve on their own.

Workplan – the schedule that sets out the activities and responsibilities necessary to achieve the project outputs, targets and goal.



Annex 2.



Project Concept Form

Project Name:			
Project Location:			
Originator of Concept:			
Proposed Supervisor:			
Proposed Start Date:			Expected End Date:
Global Priority Issues¹	%	Contributes to which milestone(s)?	
Forests		e.g. 50million ha new certified forest	
Freshwater Ecosystems			
Oceans and Coasts			
Species			
Toxics			
Climate Change			
Other			
Total	100		
Global 200 Ecoregion(s)²			
Part of an ecoregion action programme?	Yes		No
Project Background:			

Provide no more than one paragraph, if necessary, of background information to set the context for the project concept paper.

1. Indicate overall percentage of project relating to each of the six key issues
2. Indicate the ecoregion(s) in which the project has a conservation impact



Project Justification:

Why is this project being proposed? How will this project contribute to WWF's global priorities, i.e. the milestones of the Target Driven Programmes and the Ecoregion Action Programmes?

Project Target:

What do you plan to do or achieve? State in no more than one or two clear sentences.

Project Implementation:

How will the proposed intervention be carried out? What are the key components (outputs, activities) of the project which will lead to achieving the project target? Indicate expected key stakeholders or counterparts.

Assumptions:

What assumptions or external factors may affect progress? Is the political and socio-economic environment an enabling one?

Project Budget³:

How much will the project cost? What will be the cost of monitoring and evaluation? Provide a per year and life of project estimate.

3. Refer to the project budget guidelines provided in the 'Indicators of PO Performance' for assistance.



Annex 3.



Project Proposal Form

Project Name:	
Project Location:	

Originator of Concept:	
Supervisor:	

Proposed Start Date:	Expected End Date:
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Global Priority Issues ¹	%	Contributes to which milestone(s)?
Forests		e.g. 50million ha new certified forest
Freshwater Ecosystems		
Oceans and Coasts		
Species		
Toxics		
Climate Change		
Other		
Total	100	

Global 200 Ecoregion(s)²

Part of an ecoregion action programme?	Yes		No	
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Project Background:

Provide an executive summary, in no more than one page, briefly describing project background, goal, targets, outputs, activities and justification.

1. Indicate overall percentage of project relating to each of the six key issues
2. Indicate the ecoregion(s) in which the project has a conservation impact



Project Background:

Describe, in no more than one half page, conditions / issues leading to the development of this proposal. Outline relevant environmental, socio-economic, institutional, political or cultural issues.

Justification:

Why should this project be undertaken? How will this project contribute to WWF's global priorities, i.e. the milestones of the Target Driven Programmes and the Ecoregion Action Programmes?

Overall justification is a fundamental component of any project proposal. Therefore, this section should be succinct and well thought out. One paragraph to a maximum of one half page should be provided.

Project Goal:

What is the overall objective(s) or goal(s) of the project? What is the project expected to achieve? This should be stated clearly and succinctly, preferably in one sentence. There should only be one overall goal for the project. This is sometimes referred to as the "Overall Objective(s)".

For example: *The goal of this project is to safeguard the original and representative ecosystems of (protected area X), and maintain biodiversity in harmony with sustainable utilisation of resources.*



Project Purpose/Target:

In order to develop a strategy which is manageable, measurable and timebound so as to achieve the above stated long-term goal of the project a specific, clearly defined, project purpose or target is required. There is generally only one project purpose or target for a project, but there may be more than one in complex undertakings such as integrated conservation and development projects.

For example:

- ⇒ Establish efficient and equitable natural resource management systems by the end of project year 5.

Project Outputs:

The Purpose / Target above must be defined in the form of specific outputs (results), which form the basis of the project implementation strategy as well as for development of the project annual workplan. Ideally, these should be presented in point form. Examples for the target noted above are provided as follows:

1. Conduct baseline biological and socio-economic surveys of the protected area and bufferzone by the end of project year 1.
2. In conjunction with all stakeholders and beneficiaries, develop a zoning and management plan for the protected area, and ensure that the necessary regulatory structure is in place, by the end of project year 2.
3. Collaborate with local communities to identify and develop income generating alternatives to resource extraction within the reserve by the end of project year 5.
4. Identify training or capacity building requirements of project stakeholders by project year 0.5; fully address capacity building needs by project year 4.

Project Activities:

For each Output (result) above, it will be necessary to design and implement a specific activity, or more usually a series of specific activities, in order to achieve each of these. Again, these should be presented in point form. Examples of activities which relate to Output 2 above are as follows:

- 2.1 Develop a base map containing all relevant biological and socio-economic characteristics of the protected area and bufferzone.
- 2.2 Clearly survey and demarcate the protected area boundary.
- 2.3 Review and clarify legal status of protected area and bufferzone; recommend changes to current regulations as necessary.
- 2.4 In conjunction with local communities develop a zoning plan for the protected area and bufferzone, encompassing land uses spanning strict protection to multiple use.
- 2.5 In conjunction with local communities, develop guidelines for management and benefit sharing of the designated multiple use zones.



Sustainability Criteria (Outcomes):

How will the project outputs / results be sustained into the future beyond the life of the project? Please be specific, referring to identified outputs and the project purpose / target.

Assumptions:

Assumptions are expressions of fundamental “external conditions” under which it is expected that the project will function, and are generally expressed in terms of prevailing environmental, socio-economic, institutional and political circumstances prevalent at the beginning of the project cycle (and/or expected throughout the life of the project). In effect, defining assumptions establishes the “playing field” for the project. It is important to review fundamental project assumptions periodically throughout the life of the project in order to determine whether conditions have substantially changed, requiring an adjustment in project strategy. Assumptions should relate directly to project targets, and be presented in point form.

Project Implementation:

Referring to the targets, outputs and activities noted above, describe key project strategies and/or methodologies which must be put in place in order to achieve the project goal. Consider, for example, the project strategy in the context of relevant WWF regional or international strategies, institutional arrangements and partnerships, overall sustainability of outcomes, and proposed project management practices. Ideally, this section should be no more than one page in length.



Reporting and Monitoring:

Outline the life-of-project reporting schedule, types of reports, and consumers of these reports.

Define specific indicators of success and baseline data requirements (bio-geographic, socio-economic, institutional) required for effective monitoring of project results.

Briefly describe how the bio-geographic and socio-economic attributes noted above will be monitored throughout the project cycle.

Schedule and budget for a mid-term and final evaluation if necessary.

(Note: Please refer to the guidelines on monitoring and evaluation which are available on the WWF Intranet under Knowledge Area "Other Resources")

Resource Requirements:

The resource requirements for any project essentially comes down to funding. However, in addition to a budget this section should also indicate staff, equipment, logistical, and administrative support requirements to implement the project. Guidance for the development of a project budget may be found in "Indicators of Programme Office Performance" (1998).

Annexes:

The following additional information should be considered, where appropriate, in the annex to the proposal.

- Map, situating the project in the PO territory and/or eco-region
- Project logical activity framework
- Timeline of project activities
- Project organisational chart
- Job descriptions for key positions
- Reporting schedule
- Schedule of equipment and logistical requirements



Annex 4.

MODEL TABLE OF CONTENTS FOR A PROJECT DOCUMENT

Title page
Summary
List of Acronyms
Contents

1. Overview
 - 1.1 Introduction
 - 1.2 Mission / Ultimate Goal
 - 1.3 Regional / Ecoregional Goals and Priorities
 - 1.4 Context
 - 1.4.1 Ecological and bio-physical
 - 1.4.2 Socio-economic
 - 1.4.3 Institutional
 - 1.4.4 Current WWF Activities
 - 1.5 Conservation Problem
 - 1.5.1 Description
 - 1.5.2 Relationship to WWF Priorities
 - 1.5.3 Threats
 - 1.5.4 Justification for the Intervention
 - 1.5.5 Current Conservation Activities
 - 1.6 Overview of Project Strategy
 - 1.6.1 Main Areas of Intervention
 - 1.6.2 Approach
 - 1.7 Project Partners
 - 1.7.1 Potential Beneficiaries
 - 1.7.2 Stakeholders
 - 1.7.3 Counterparts
 - 1.8 Special Considerations
2. Project Description
 - 2.1 Project Goal
 - 2.2 Target(s)
 - 2.3 Outputs
 - 2.4 Activities
3. Assumptions
 - 3.1 Goal-level Assumptions
 - 3.2 Target-level Assumptions
 - 3.3 Output-level Assumptions
 - 3.4 Pre-conditions to Project Initiation
4. Strategies and Methodologies
 - 4.1 Overall Approach
 - 4.2 Project Strategies in relation to Overall WWF Strategies
 - 4.3 Specific Methodologies
 - 4.4 Factors Ensuring Sustainability
5. Monitoring and Evaluation
 - 5.1. Project Monitoring and Evaluation Plan
 - 5.2. Reporting
 - 5.3. Evaluation



6. Resource Requirements

- 6.1 Staffing
- 6.2 Training
- 6.3 Equipment
- 6.4 Budget

Annexes

- Project Logical Framework
- Workplan
- Schedule of Reports / Evaluations
- Job Descriptions
- Specific Equipment Requirements
- Partnerships / Stakeholder Collaboration Plan
- Organizational Plan
- Capacity-building Plan
- Counterpart Contribution and Support



Annex 5.

EXAMPLE OF A WWF LOGICAL FRAMEWORK

CAPE ACTION PLAN FOR THE ENVIRONMENT: LOGFRAME ANALYSIS

(Source: Younge, A. 2000. Cape Action Plan for the Environment: A biodiversity strategy and action plan for the Cape Floral Kingdom. WWF South Africa)

	Intervention Logic	Objectively Verifiable Indicators	Sources of Verification	Assumptions
<p>Overall Objective (=Programme Goal)</p>	<p>To secure the conservation of the biodiversity of the Cape Floral Kingdom and through this to deliver economic benefits.</p>	<ul style="list-style-type: none"> • Species and habitats are not lost • Reserve network expands to include priority areas for biodiversity conservation. • Productive capacity of terrestrial, freshwater and marine ecosystems does not decrease • Utilisation of natural resources benefits local communities and supports the maintenance of the resource base. 	<ul style="list-style-type: none"> • Report of the CAPE Coordinating Committee / Review Panel. • National State of the Environment reports. • State of biodiversity reports. • Statistics and reports from DEA&T. • Annual reports of the Western and Eastern Cape Provincial conservation authorities. 	<ul style="list-style-type: none"> • Conserving biodiversity of CFK contributes positively to local communities, the economy and the welfare of the people living in Western and Eastern Cape. • Government is committed to biodiversity conservation at high levels and line agencies are required to comply with directives to incorporate biodiversity into planning and to collaborate through the mechanisms established. • National biodiversity strategy supports CAPE. <p>Reporting</p> <ul style="list-style-type: none"> • State of biodiversity will be done by the provincial conservation agencies, based on information from scientific institutions and will include the indicators needed to assess implementation of the Plan. • The CAPE Coordinating Committee / Review Panel will produce annual reports detailing progress toward achieving the goal of CAPE.



	Intervention Logic	Objectively Verifiable Indicators	Sources of Verification	Assumptions
Specific Objectives (=Targets)	1. To expand the terrestrial and marine protected area networks to include all priority areas and to strengthen conservation outside the formal network.	<ul style="list-style-type: none"> Conservation targets set by the terrestrial, freshwater and marine modules of CAPE are achieved. 	<ul style="list-style-type: none"> State of Biodiversity reports which are based upon scientific monitoring reports from various sources. 	<ul style="list-style-type: none"> The potential impact of climate change can be planned for and ameliorated.
	2. To promote sustainable community-based utilisation of biodiversity which benefits both the people in the region and the conservation of biodiversity.	<ul style="list-style-type: none"> Sustainable levels of biodiversity use are established and mechanisms for their implementation are agreed upon and enforced. 	<ul style="list-style-type: none"> Guidelines for sustainable biodiversity use published by the relevant institutions. 	<ul style="list-style-type: none"> External factors are not having a significant impact on stock levels. Compliance of users is achieved.
	3. To enhance cooperative governance, promote community participation and to strengthen institutional capacity for management.	<ul style="list-style-type: none"> Implementing institutions and communities collaborate to plan and have the capacity to carry out the CAPE strategy. 	<ul style="list-style-type: none"> Annual report of the review panel; minutes of the CAPE coordinating committee. Annual reports of the relevant institutions 	<ul style="list-style-type: none"> Implementing agents continue to support the programme. Effective community participation is secured through incentives and information.
Results or Outputs	1.1 Areas of high priority for biodiversity conservation are effectively conserved both on and off reserves.	<ul style="list-style-type: none"> Small reserves to protect remnants, medium-sized reserves to protect viable ecosystems, mega-reserves and corridor reserves to protect landscape-scale processes are established Incentives developed and implemented Support to alien plant control programmes. 	<ul style="list-style-type: none"> State of Biodiversity report. Annual reports of executing agencies and the CAPE coordinating committee. 	<ul style="list-style-type: none"> The conservation priorities identified by CAPE are widely accepted by all stakeholders.
	1.2 The incorporation of sound biodiversity conservation principles into bioregional planning is mandatory and effectively implemented.	<ul style="list-style-type: none"> Priority areas for conservation identified by CAPE are organized in Integrated Development Frameworks and Integrated Development Plans and are afforded protection from development. A sound database and decision-support system, and appropriately trained staff, 	<ul style="list-style-type: none"> Integrated Development Frameworks and Integrated Development Plans. Outputs from database produced for executing agencies. Records of recent updating of database. Records of training courses. 	<ul style="list-style-type: none"> The provincial and local process of bioregional planning (IDP & IDF) is effectively implemented.



Intervention Logic	Objectively Verifiable Indicators	Sources of Verification	Assumptions
	<p>are in place for the implementation of the new bioregional planning approach.</p>		
<p>2.1 Integrated catchment management, which recognises the functional role of biodiversity and addresses the threat of alien organisms and over-extraction of water, is implemented.</p>	<ul style="list-style-type: none"> • Mandate and implementation record of catchment management agencies and conservation agencies. • Control of invasive alien organisms in priority catchments. 	<ul style="list-style-type: none"> • Reports of catchment management agencies and conservation agencies. 	<ul style="list-style-type: none"> • Catchment management agencies agree to expand their existing mandate.
<p>2.2 The biodiversity in the CFK is harvested on a sustainable basis so as to maintain stable populations and benefit both local communities and conservation of biodiversity.</p>	<ul style="list-style-type: none"> • Monitoring system of resource use. • Guidelines for sustainable yields for all important harvested species. • Management guidelines for marine resources are implemented including the establishment of reserves and cooperative governance structures. 	<ul style="list-style-type: none"> • State of biodiversity report, based upon scientific monitoring reports from various sources. • Mandate and implementation reports of catchment management agencies. • Guidelines for sustainable harvesting; Compliance reported in State of Biodiversity report. • Statute books for marine protected areas. 	<ul style="list-style-type: none"> • Quantitative, or at least qualitative, targets of resource use can be scientifically established and monitored.
<p>2.3 The potential of nature-based tourism to raise sustainable income for local communities and conservation is organized</p>	<ul style="list-style-type: none"> • Tourism strategy established and successful implemented in a number of pilot studies. 	<ul style="list-style-type: none"> • Tourism strategy. • Reports of pilot studies. 	<ul style="list-style-type: none"> • Tourism agencies and local implementers agree to collaborate in the development of a cohesive strategy.
<p>3.1 Strong institutional capacity for biodiversity conservation exists and is supported by an integrated legal and implementable policy framework enforced at provincial level.</p>	<ul style="list-style-type: none"> • Adequate budget and capacity of conservation organizations to meet the planned goals. • Number of staff trained, number of post-graduate degrees awarded. • Legislation exists to protect biodiversity 	<ul style="list-style-type: none"> • Annual reports of executing agencies • Annual report of the National Research Foundation • Statute books. 	<ul style="list-style-type: none"> • Adequate funding will be made available from realignment of internal funds and support of external donors.



Intervention Logic	Objectively Verifiable Indicators	Sources of Verification	Assumptions
<p>3.2 Participatory mechanisms established to ensure collaborative planning and implementation of the CAPE Strategy.</p>	<p>outside of formally protected areas.</p> <ul style="list-style-type: none"> The CAPE Coordinating Committee and Review Panel are in place and monitor the progress on achieving the goals of CAPE. Regular meetings resulting in the initiation and execution of CAPE Projects. 	<ul style="list-style-type: none"> Cabinet resolutions Signed Memorandum of Understanding (MoU) Minutes of the CAPE co-coordinating committee meetings. 	<ul style="list-style-type: none"> The Cabinets of the Western and Eastern Cape endorse the implementation structures and the MoU between executing agencies have been signed.
<p>3.3 Local communities are aware of the importance of biodiversity, benefit from the sustainable use of resources, and are committed to participation in the conservation of the CFK.</p>	<ul style="list-style-type: none"> Increased local businesses based on sustainable use of biodiversity. Number and type of educational materials produced. Number of community forums established. 	<ul style="list-style-type: none"> Annual reports of community forums. Regular surveys of distribution of benefits commissioned by the CAPE Coordinating Committee / Review Panel. Copies of educational materials. 	<ul style="list-style-type: none"> Material produced to inform communities is sufficient to motivate action Structures and incentives are in place which facilitate and encourage sustainable local use of biodiversity.



Annex 6.

EXAMPLE OF A WWF MONITORING MATRIX

WWF MONGOLIA PROGRAMME: CONSERVATION RESULTS FOR FY99 IN RELATION TO THE STRATEGIC REPORT

(source: WWF Europe / Middle East Programme, 2000)

Programme Objective	Indicator / Target (output level)	Subsidiary Indicator (activity level)	Means of verification (output level indicator)	Status
<p>Objective 1: Wetland</p> <p>Functions and values of internationally important Wetlands in two ecoregions are conserved.</p>	<p>Water resources in terms of hydrological and quality parameters in selected areas are maintained as of 1997.</p> <p>Internationally important species communities are maintained. No loss of international important wetlands.</p> <p>Protected area system for 2 WWF Ecoregions extended by 25 % by 2002.</p>	<p>1.1. Prevented all sources of pollution in catchment areas of 2 regions. (C)</p> <p>1.2. Effective implementation of the conservation action plan for selected indicator species and international important species.(B)</p> <p>1.3 Recommendations made for PA establishment from BAP in 2 Ecoregions and provided assistance in management of the new Khar Us Nuur PA. (A)</p>	<p>1. Status of survey and database of the catchment area.</p> <p>2. Status of survey, database, patrol reports, etc</p> <p>3. Approval of new PAs.</p>	<p>Designation as Ramsar Site</p> <ul style="list-style-type: none"> Two areas in Hyargas depression were designated as Ramsar site (13 April 1999) based on WWF's recommendation. <p>MN0008.01: Establishment of new protected areas in the Hyargas depression</p> <ul style="list-style-type: none"> Proposal for establishing new protected area in the "Hyargas and Airag lakes" is approved by the Government session (end of May 1999) and submitted to the Parliament. Final decision and approval is delayed due to political crises in Mongolia. <p>MN00011.01: Assistance in management of the Khar Us Nuur National Park</p> <ul style="list-style-type: none"> Khar Us Nuur NP administration is properly established and equipped. Park staff has increased capacity through participating in various training courses. Design of management plan is developed and data collection has started. The draft park management plan will be prepared by end Dec. 1999. <p>MN0010.01: Establishment of new protected area in Onon valley</p> <ul style="list-style-type: none"> Existing data was collected and data collection in the field has started to develop a new protected area in Onon valley <p>9E0605.01 Fresh Water Small Grant Project</p> <ul style="list-style-type: none"> Data collection and data input has started for the establishment of a GIS aided information database for the



Programme Objective	Indicator / Target (output level)	Subsidiary Indicator (activity level)	Means of verification (output level indicator)	Status
				catchment of Hyargas depression in Altai-Sayan Ecoregion. The activity will contribute for the management and assessment of the Eurasian freshwater ecoregions.
Objective 2: Steppe Network of large representative protected areas of major steppe ecosystems established and in their natural functions maintained.	1. Size of protected has doubled by the year 2002, 2. Sustainable use of Mongolian Gazelle is secured. 3. EIA established for all major development projects in steppe ecosystems by 1998 and selected areas of at least 4 million are managed sustainably by the year 2002.	2.1. Effective implementation of protected area system plan (A) 2.2. Proper implementation of comprehensive management plan for the Mongolian Gazelle (MG). (A) 2.3 Effective implementation of sustainable management plan for selected steppe area.(B)	1. Approval of new PAs 2. Status of survey, database and patrol 3. Status of survey and database on key natural resources in the ecoregions.	<ul style="list-style-type: none"> Based on the recommendation elaborated by WWF, proposals for three new protected area in the Daurian Steppe Ecoregion, with total size of 720 thousand hectares, was approved by the Parliament in 1996. With support and inputs from WWF, two projects were designed and are currently under operation in the Daurian Steppe Ecoregion: "Conservation Biodiversity and Sustainable Livelihood Options in the Grassland of Eastern Mongolia" supported by UNDP/GEF, and "Conservation and sustainable use of biodiversity of the steppe region in Eastern Mongolia" supported by GTZ Video News Release on "Oil and antelope: Mongolia's challenge" was produced by WWF International. In 1998, the Mongolian Parliament adopted the Law on Environmental Impact Assessment that mandates EIA to be carried out for all projects by the expense of developer.
Objective 3: Forest Large areas of primary forest are protected and sustainable management practices are established in selected areas.	1. Approx. 1 Mill. ha of protected areas established in two ecoregions by 2002. 2. Borders for "protected zone forest" determined in the 2 Ecoregions according to the Mongolian Law on Forest, and "protected zone	3.1. PAs established according to BAP in the 2 Ecoregions and supported implementation in 2 selected areas. 3.2. "Protected zone forest" determined and established in the Altai-Sayan region. 3.3. Project implemented for sustainable forest management in Khan	1. Approval of new Pas by the Parliament 2. Approval of Protected zone forest by the local parliament 3. Project developed and implemented at Khan Khokhii region	MN0008.01: Establishment of new protected areas in the Hyargas depression <ul style="list-style-type: none"> Proposal for establishment of new protected area in Khan Khokhii range was approved by the Government session and submitted to the parliaments. Final decision and approval is delayed due to political crises in Mongolia. Within framework of this project, following proposals for new protected areas were elaborated and all the proposals were approved by the Government session and submitted to the Parliament: 1) Sielkhem and Tsambagarav mountains in Altai rangen and 2) Tarvagatai range



Programme Objective	Indicator / Target (output level)	Subsidiary Indicator (activity level)	Means of verification (output level indicator)	Status
	<p>forests” established in at least 2 selected areas in the Altai-Sayan region by 2002</p> <p>3. At least one model forest managed according to FSC criteria by 2002</p>	<p>Khokhii region</p>		<p>RU 0074.01 Long Term Conservation of the Altai Sayan Ecoregion</p> <ul style="list-style-type: none"> • Management assistance to the Altai Tavan Bogd and Sielkhem PAs has started in the Altai sayan ecoregion. . • Project proposal for the development of Protected Area Network in the Altai Sayan Ecoregion was submitted to WWF International for funding. • Project proposal was reformulated and submitted to WWF-World Bank Alliance for Forest Certification and Sustainable Use of Forest.
<p>Objective 4: Capacity building</p> <p>Capacity in nature conservation & management is improved at non-governmental and governmental levels to promote and sustain WWF objectives</p>	<p>1. <u>Local government:</u> 70% of participants from aimag and somon administration have passed training course for sustainable resource use by 2002.</p> <p>2. <u>Central government:</u></p> <ol style="list-style-type: none"> 1) 90% of all National Park directors / managers have passed National Park management course. 2) 70% of park rangers have passed a ranger course by 2002. <p>3. <u>non-governmental:</u> series of seminars for NGO development conducted, NGOs initiated and one fully operational NGO established by 2002.</p>	<p>4.1.Seminar for administration staff conducted.</p> <p>4.2. Seminar for National Park Directors and Managers conducted</p> <p>4.3. Seminar for National Park rangers conducted</p> <p>4.4. Strengthened NGO network in Mongolia</p>	<p>Regular environmental NGO network meeting and training programs organized.</p>	<p>MN0009.01 Strengthening of NGO Network in Mongolia</p> <ul style="list-style-type: none"> • In February 1998, environmental NGO workshop was conducted to identify required support and coordinate activities of NGO's. • Environmental NGO Resource Center was established with following objectives:1) capacity building through training courses; 2) service for NGO's (e.g. video and book library and internet); and 3) networking • Small Grant Fund was established for NGOs and two grants were provided for the NGOs to gain experience in project implementation. • Improved NGO management capacity through the first training course conducted in spring 1999. <p>Ranger training:</p> <ul style="list-style-type: none"> • Under the Small Grant Fund for the NGO (above mentioned), the Society for Protected Area Network (a local NGO), has conducted survey on ranger's work and needs and collected information from more than 100 rangers nation wide. • Based on the survey, TOR and Curriculum for ranger training are currently under development. • The Trainer's training course for the rangers is planned on Dec. 1999. <p>Protected Area Office Director and staff:</p> <ul style="list-style-type: none"> • Under the different projects supported by WWF as well as



Programme Objective	Indicator / Target (output level)	Subsidiary Indicator (activity level)	Means of verification (output level indicator)	Status
				in cooperation with UNDP and GTZ supported conservation projects, the PA Director and staff have increased technical skills on PRA techniques, wildlife management, and others.
Objective 5: Wildlife Conservation and restoration of Mongolia's globally significant wildlife species.	<ol style="list-style-type: none"> 1. Mongolian Mazaalai (Gobi Brown Bear) population is increasing. 2. Sustainable utilization of the Altai argali population achieved by 2002. 3. Khan Khokhii snow leopard population is maintained on the level of 1998. 4. The population of Mongolian Saiga is stabilised by 2002. 	<ol style="list-style-type: none"> 5.1. Effective implementation of a species rescue plan for Mazaalai. 5.2. Effective implementation of recommendations by sustainable harvest of Argali. 5.3. Proper implementation of conservation plan for selected snow-leopard population in Western-Mongolia 5.4. Implement monitoring programme for not listed endangered species 5.5. Effective implementation of conservation plan for Saiga 	<ol style="list-style-type: none"> 1. Status on survey, database and patrol record of Mazaalai 2. Status on survey, database and patrol records on Argali 3. Status on survey, database and patrol records on snow leopard 4. Status on survey, database and patrol records on saiga 	<p>MN0004.01 Snow Leopard Conservation Project</p> <ul style="list-style-type: none"> • Mongolian wildlife biologists gained technical skills and methodologies on the Snow Leopard Information Management System (SLIMS), and also in data gathering and analysing. • Compiled and summarised all the snow leopard and its prey species survey results during October 1997 to June 1998, which will be the baseline data for the development of the snow leopard conservation plan. • A Community-Based Conservation Incentive Program (called Irbis Enterprises) was established in the buffer zones of protected areas in Uvs to reduce conflict between herders and snow leopard. • Awareness campaign was initiated including multi-media and printing materials to reduce poaching and illegal trades. <p>MN0012.01 Mongolian Saiga Conservation Project</p> <ul style="list-style-type: none"> • Important and critical habitats, seasonal pastures, water source, main threats, and new distribution ranges of Mongolian Saiga were identified. • Established ranger system in the main saiga range • Increased awareness and knowledge among the local population on saiga and its importance for conservation. • Outline for the saiga management plan was developed, which will lead to effective conservation of saigas <p>Argali Conservation</p> <ul style="list-style-type: none"> • Population status and range identification of argali in the Mongolian Altai-Sayan Mountains has started under the WWF regional project in the Altai-Sayan Ecoregion. <p>Large Herbivore Initiative</p> <ul style="list-style-type: none"> • Under the framework of the WWF Large Herbivore

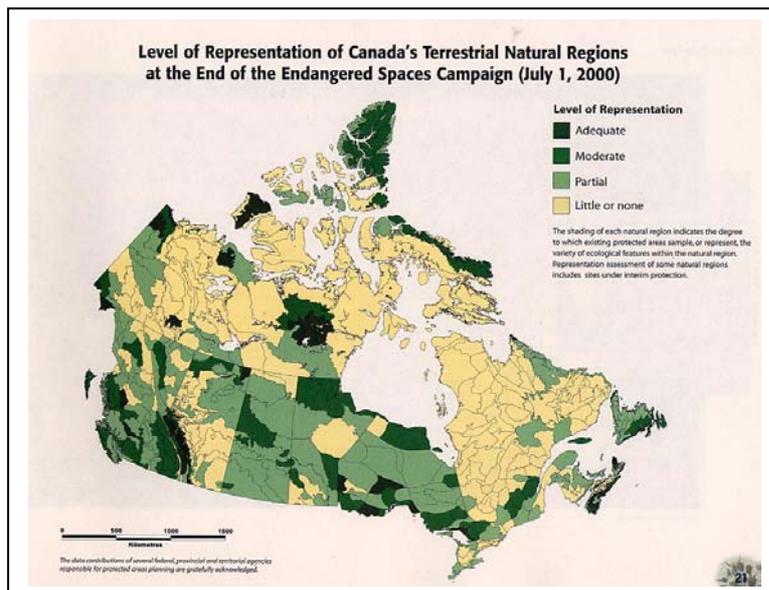
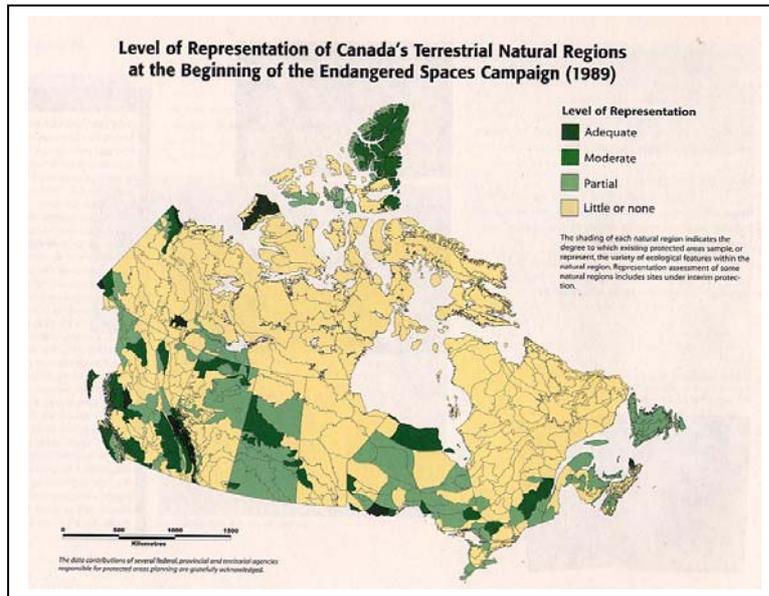


Programme Objective	Indicator / Target (output level)	Subsidiary Indicator (activity level)	Means of verification (output level indicator)	Status
				Initiative, workshops on “Wild Bactrian Camel (<i>Camelus bactrianus ferus</i>) and Mongolian Saiga Conservation and Recovery in Mongolia” were conducted and concept for strategic plan for conservation and recovery of Mongolian Saiga has been elaborated. Project document is reformulated according to the concept.
<p>Objective 6: Education & awareness</p> <p>Mobilize understanding and support in the Mongolian population for the conservation and sustainable use of nature.</p>	<p>1. Among children between 8 - 18 the level of understanding for the most urgent conservation issues in Mongolia has increased by 30% by 2002.</p> <p>2. Among the adult population the level of understanding for conservation and sustainable use issues has increased by 30% by 2002.</p> <p>3. 2000 Mongolian school children have participated in a competition on conducting environmental projects by 2002.</p>	<p>6.1. Extended and improved school curricula in terms of environmental and conservation components</p> <p>6.2. Effective implementation of a nation wide environmental conservation components</p> <p>6.3. Conservation education programme for multipliers implemented</p> <p>6.4. Implemented nation wide environmental awareness programme for adults.</p> <p>6.5. Established nation wide competition for the best environmental projects carried out by school children.</p>	<p>1. Revised school curricula, site visit, questionnaires</p> <p>2. Site visit, interview and questionnaires</p>	<p>MN0007.01 Environmental Awareness programme for Adults</p> <ul style="list-style-type: none"> • Conservation awareness needs survey was performed in Western and Eastern Mongolia and in Ulaanbaatar, involving about 400 individuals and the results were analysed. • Project goal and target group were changed based on recommendations of WWF International and NO. Project document was reformulated according to this recommendation. • An information centre at the Khar Us Nuur National Park was established and fully operational with office equipment, necessary environmental and legislation books and materials on National Park. The centre contributes to wider recognition of the importance of conservation activities and increase cooperation with the local people.



Annex 7.

EXAMPLES OF VISUAL REPORTING: WWF CANADA'S ENDANGERED SPACES CAMPAIGN, 1989 - 2000



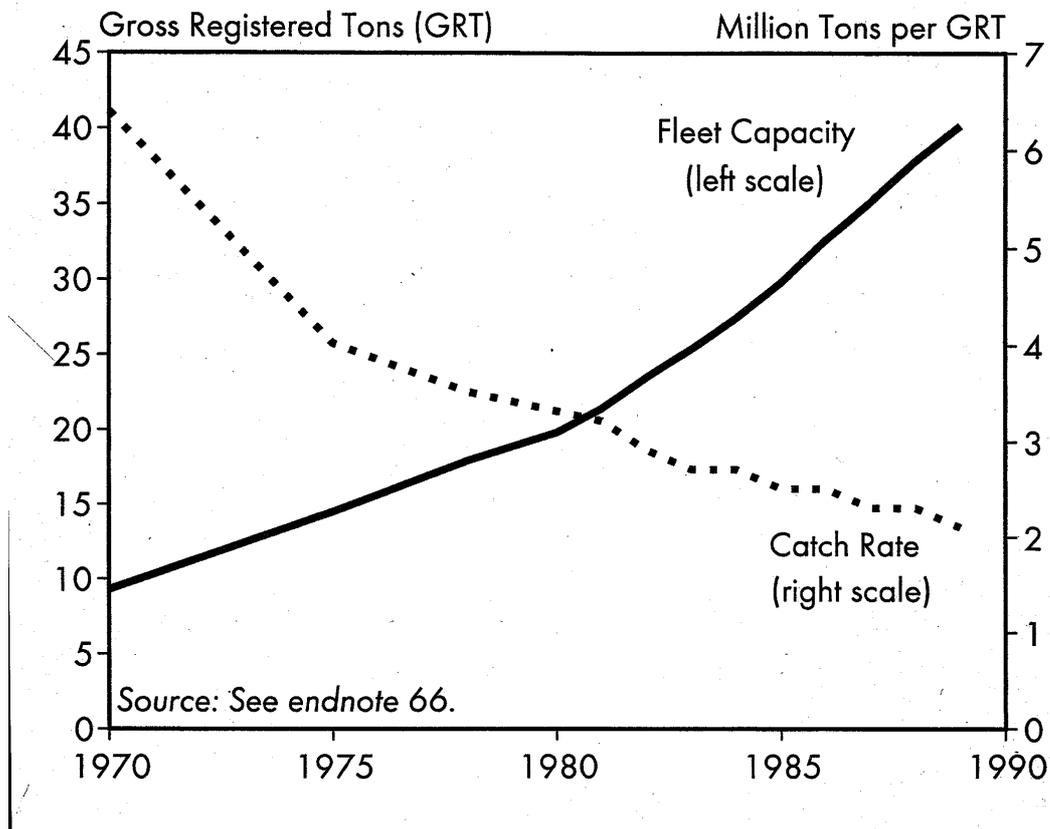
The goal of WWF Canada's Endangered Spaces Program was to protect an ecologically representative sample of each of Canada's natural regions. But measuring progress towards that goal was not simple! This involved defining Canada's distinct ecological or natural regions (the "enduring features" approach was used), measuring how well each enduring feature in a natural region was protected, and then measuring how well all the enduring features of the region were protected as a whole. With these maps, WWF Canada was able to show decision-makers and Canadians at large where the holes in representation were, and could help design new protected areas to fill them.

The shading of each natural region indicates the degree to which existing protected areas sample, or represent, the variety of ecological features within the natural region.



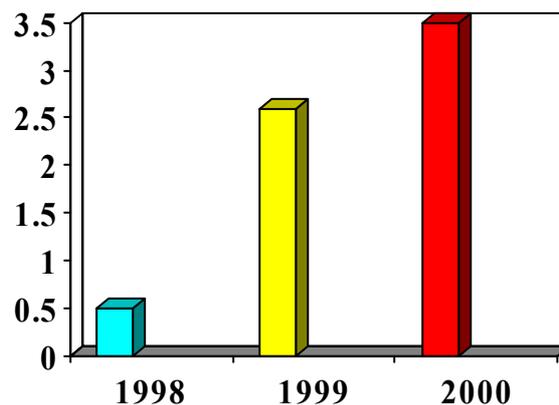
WWF ENDANGERED SEAS PROGRAMME

Global Fleet Capacity and Catch Rate, 1970–89



WWF EUROPE / MIDDLE EAST PROGRAMME

Successes in Relation to the Global Priorities - *Freshwater* (millions of hectares of freshwater ecosystems newly protected and/or restored)





Annex 8.

MODEL TABLE OF CONTENTS FOR A WWF PROJECT OR PROGRAMME EVALUATION REPORT

Title Page, including project title and number, date of report, authors

Executive Summary (1-4 pages):

- Purpose of the evaluation
- Summary of the evaluation methodology, including composition of the evaluation team
- Brief project description
- Principle findings, relating to project goals / targets
- Key recommendations
- Summary of lessons learned

Acknowledgements

Table of Contents

List of Acronyms and Abbreviations

Main Report (approximately 20-30 pages):

- Evaluation methodology
- Composition of the evaluation team, including any specific roles of team members
- Project description, including underlying rationale for project,
- Goals and targets
- Project stakeholders and beneficiaries
- Overview and concise analysis of project monitoring system
- Evaluation findings. e.g.:
 - relevance
 - conservation impact
 - progress towards goal and targets
 - capacity building
 - project design
 - management and operation
 - institutional and stakeholder issues
 - sustainability and replicability of project / programme impacts
 - any unexpected results, etc.
- Summary tables of progress towards outputs, targets, goals – referring directly to the indicators established for these in the project logframe
- Case studies (as appropriate)
- Discussion of changing project context (as required)
- Constraints, or problems encountered
- Recommendations
- Lessons learned

Annexes:

- Terms of Reference for the evaluation
- Evaluation matrix
- Timetable
- List of individuals interviewed and of stakeholder groups and/or communities consulted
- List of supporting documentation reviewed
- Questionnaire or interview guide(s), as appropriate
- Presentation of specific monitoring data, as appropriate
- Short biographies of the evaluators.



Annex 9.

REFERENCES AND FURTHER RESOURCES

WWF Network

You can get support in the design and development of project proposals from:

- the Programme Services and Evaluation Department at WWF International
- the regional programmes
- your regional network of individuals who focus on PCM.

References and Recommended Reading

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Useful Web Sites

ARTEMIS Services: For helpful links on project cycle management, go to the Downloads / Links page and see the section on Planning, Monitoring and Evaluation: <http://www.artemis-services.com>.

Action Research Resources: <http://www.scu.edu.au/schools/gcm/ar/arhome.html>.

AEA Online Evaluation Texts: <http://www.eval.org/EvaluationLinks/onlinehbt.txt>.



ALNAP Training Modules: <http://www.alnap.org/modules/training.html>. These are specifically for evaluation of humanitarian action, but there is a great deal to learn here about evaluation in general.

AusAid Guidelines: <http://www.ausaid.gov.au/ausguide/ausguidelines/index.cfm>.

CARE - Design, Monitoring & Evaluation Resources for Development Practitioners: <http://www.kcenter.com/care/dme/>.

CIDA Evaluation Guide: http://www.acdi-cida.gc.ca/cida_ind.nsf/49d9f10330ed2bb48525677e00735812/061a4e025fc6fe2785256c6b00155e2d?OpenDocument. In French or Spanish: http://www.acdi-cida.gc.ca/cida_ind.nsf/64ed77ed3f130279852567920070e756/ba1a2f9f85b8824385256c6b001366f6?OpenDocument

Collaborative, Participatory and Empowerment Evaluation: <http://www.stanford.edu/~davidf/empowermentevaluation.html>

Evaluation Center Support Services (checklists, glossaries, further web resources): <http://www.wmich.edu/evalctr/ess.html>.

Foundations of Success: <http://www.fosonline.org/>.

Go to the W. K. Kellogg Foundation web site to obtain a free copy of their "Logic Model Development Guide" and of their "Evaluation Handbook": <http://www.wkkf.org>, then search for "logic".

MandE News: <http://www.mande.co.uk>.

Participation Kiosk (GTZ): <http://www.gtz.de/participation/english/index.html>.

The Conservation Measures Partnership: <http://www.conservationmeasures.org/CMP/>.

The Participation Sourcebook: <http://www.worldbank.org/wbi/sourcebook/sbxp08.htm>.

Tips on project evaluation: http://www.dec.org/usaidd_eval/#004.

UNDP-GEF M&E Resource Kit: http://www.undp.org/gef/undp-gef_monitoring_evaluation/sub_me_policies_procedures.html.

USAID Center for Development Information and Evaluation: http://www.dec.org/usaidd_eval/ or http://www.info.usaid.gov/pubs/usaidd_eval/.

World Bank Operations Evaluation Dept.: <http://www.worldbank.org/oed/>.