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FINAL REPORT:

FINAL EVALUATION OF THE SUSTAINABLE CONSERVATION APPROACHES IN PRIORITY ECOSYSTEMS PROGRAM (SCAPES)

April 2015

Rock formations dot the Ustyurt Plateau of western Kazakhstan, one of few places where populations of saiga antelope can be found. *Photo: Matthew Erdman*

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Front Cover Photo: A Nepalese woman tends a cabbage field started from a loan set up through SCAPES. *Photo: Matthew Erdman*

Back Cover Photo: Sunrise over Lake Chukh, Mongolia, an important wildlife area. *Photo: Matthew Erdman*

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A community scout surveys the landscape from Kittenden Outpost, Kenya. *Photo: Matthew Erdman*

1.0 SUMMARY OVERVIEW

This final evaluation of the Sustainable Conservation Approaches in Priority Ecosystems (SCAPES) program assesses conservation strategies used by four implementing partners to address priority threats and strengthen local capacity to conserve biodiversity. The assessment examines seven strategies based on four Key Principles, gender considerations, and learning opportunities to identify enabling conditions and limiting factors that affected program activity outcomes.

SCAPES has the widest geographic range of all active United States Agency for International Development (USAID) conservation initiatives. It covers nine transboundary landscape-scale programs in parts of 19 countries, listed in Table 1. The program activities were implemented by four partners: African Wildlife Foundation (AWF), Wildlife Conservation Society (WCS), and World Wildlife Fund (WWF), plus the Pact Consortium, which is headed by Pact and includes Fauna and Flora International (FFI), BirdLife International, and ACDI/VOCA.

FOUR KEY PRINCIPLES IN SCAPES PROGRAM

1. Take a threats-based approach to address conservation issues.
2. Aim to achieve financial, social, and ecological sustainability for interventions.
3. Apply adaptive management and be responsive to changing situations, information, and enabling conditions.
4. Scale-up knowledge and impact to increase conservation success at sites, across the partnership, and among the global conservation community.

Table 1: SCAPES implementing partners, landscapes, and countries

Implementing Partner	Landscape	Landscape Area Countries
African Wildlife Foundation (AWF)	1. Kilimanjaro Heartland	Kenya, Tanzania
	2. Kazungula Heartland	Botswana, Namibia, Zambia
Pact Consortium	3. Ustyurt Plateau	Kazakhstan, Uzbekistan
Wildlife Conservation Society (WCS)	4. Madidi-Tambopata Landscape	Bolivia, Peru
	5. Kavango-Zambezi Transfrontier, Beyond Fences	Angola, Botswana, Namibia, Zambia, Zimbabwe
	6. Daurian Steppe	China, Mongolia, Russia
World Wildlife Fund (WWF)	7. Eastern Cordillera Real Landscape	Colombia, Ecuador, Peru
	8. Ruvuma Landscape	Mozambique, Tanzania
	9. Sacred Himalayan Landscape	India, Nepal

Maasai women with seeds used in an improved rangeland management project. *Photo: Matthew Erdman*

The Office of Forestry and Biodiversity (FAB) in the United States Agency for International Development's (USAID) Bureau for Economic Growth, Education, and Environment (E3) managed SCAPES. The SCAPES Program, launched in 2009, followed 20 years of global programs managed by USAID, each designed to improve the design and implementation of conservation programs in the context of international development.

Under the management of USAID E3/FAB in Washington, DC, the SCAPES program, a Leader with Associates (LWA) mechanism, had a life-of-project (October 2009 to September 2014) funding level of approximately $15 million. As an LWA mechanism, numerous Associate Awards granted under SCAPES facilitated the development of additional conservation work funded and managed by USAID Missions and Regional offices; however, these additional activities are not included in this evaluation.

This evaluation report is organized by two main evaluation objectives, addressed through four evaluation questions.

EVALUATION OBJECTIVES

This evaluation has two key objectives:

Objective 1: Assess how partners applied the SCAPES key principles and gender considerations in the design and implementation of conservation strategies. Objective 1 sought insight into the relative merit of the key principles themselves and their influence on partners in the design and implementation of the most relevant strategies:

- Take a **threats-based approach** to address conservation issues.
- Aim to achieve financial, social, and ecological **sustainability** for interventions.
- Apply **adaptive management** and be responsive to changing situations, information, and enabling conditions.
- **Scale-up** knowledge and impact to increase conservation success at sites, across the partnership, and among the global conservation community.

Objective 2: Assess the outcomes of the most relevant strategies that partners implemented compared to intended results and identify key enabling conditions and limiting factors that affected outcomes.

To address the objectives of this final evaluation, Measuring Impact, which conducted the evaluation, selected, with USAID approval, seven conservation strategies used in SCAPES landscape portfolio implementations and then assessed evidence for conservation strategy effectiveness and the conditions where they were likely to achieve conservation outcomes. Using this evidence, Measuring Impact derived theories-of-change models that could be compared across multiple projects to identify the main enabling conditions, barriers to achieving outcomes, and lessons learned in the SCAPES program.

Following is a list of seven key strategies USAID, Measuring Impact, and SCAPES implementing partners selected for deeper examination:

- Land protection
- Community-based natural resource management
- Law enforcement to reduce poaching
- Human-wildlife conflict mitigation
- Transboundary coordination
- Climate change adaptation
- Sustainable enterprises

According to the Evaluation Scope of Work, "the Key Principles of the program and the specific conservation strategies implemented by the partners are found throughout USAID's biodiversity portfolio and are commonly used by SCAPES implementing partners and the broader conservation community." This evaluation is designed to assess "the use and effectiveness of the Key Principles and conservation strategies…to inform future management decisions of USAID, its implementing partners, and the conservation community as a whole. In addition to the two evaluation objectives, this report also includes an assessment of gender considerations in program design and implementation and the outcomes associated with a limiting factors analysis (LFA).

Evaluation Question #1: *To what extent were the SCAPES key principles applied in the design and implementation of SCAPES, and what evidence exists that they contributed to conservation successes?*

Evaluation Question #2: *To what extent were gender considerations taken into account in the design and implementation of SCAPES activities, and how did they affect outcomes?*

Evaluation Question #3: *To what extent has SCAPES achieved success in overcoming the limiting factors identified through the LFA? Has the LFA been a useful tool for understanding project progress and improving project management?*

Evaluation Question #4: *What evidence exists that the implementation of key SCAPES strategies has led to successful conservation outcomes?*

WCS SCAPES Director David Wilkie talks with program staff on the Daurian Steppe in Mongolia. *Photo: Matthew Erdman*

This evaluation report contains one additional component, the learning program assessment. SCAPES provided funding for a series of learning activities that the implementing partners carried out, and this assessment evaluates the outcomes and lessons learned from SCAPES learning investments and activities over the life of the projects. It also aids in understanding the success of a criterion in SCAPES Core Objective 1 to "scale-up knowledge and impact to increase conservation success at sites, across the partnership, and among the global conservation community." Although a separate evaluator, an adult learning specialist, conducted this learning program assessment, it is included in this report to add an understanding of SCAPES impacts, which will be particularly relevant in planning future USAID and partners' programs and strategies.

EVALUATION METHODOLOGY

The two-person evaluation team, which comprised a Senior Evaluation Specialist and a Technical Specialist, used the following methodology. Descriptions of methods specific to individual sections appear in the relevant report sections.

Performed desk studies. Reviewed available project documentation.

Prepared questionnaire and interview guides. An online questionnaire (survey) was prepared using Google Forms. The questionnaire was emailed to 20 USAID and 35 implementing partner key informants. Responses were received from 27 implementing partner key informants, but none from USAID. Interview guides were tailored to specific-focus audiences, such as USAID headquarters staff, field staff, beneficiaries, and USAID Mission staff. Subsequently, 99 interviews and focus groups were used to gather information from 232 informants, which added depth and breadth to the questionnaire responses.

Conducted site visits in four landscapes. The Technical Specialist conducted field visits of approximately two weeks each to four landscapes (Sacred Himalayas, Kilimanjaro, Daurian Steppe, and Ustyurt Plateau). During these trips, the Technical Specialist visited field sites, some very remote, and conducted interviews with individuals and focus groups.

Conducted phone and Skype interviews in five landscapes. The Senior Evaluation Specialist conducted one- to two-hour interviews with key informants from the remaining five landscapes (Eastern Cordillera, Kazakhstan-Uzbekistan, Kazungula, Madidi-Tambopata, and Ruvuma) by phone or Skype.

Collated, summarized, and analyzed information. Information gathered from questionnaire responses and interviews was collated, summarized, and analyzed by landscape, Key Principle, gender considerations, and theory of change.

Analyzed limiting factors. The Technical Specialist distributed the fourth annual LFA survey to the implementing partners' Chiefs of Party and analyzed the results.

Presented conclusions. During the fourth SCAPES Annual Meeting on June 25, 2014, implementing partner representatives and USAID officers heard a presentation of 22 sets of conclusions (four Key Principles, one gender, seven theories of change, nine landscapes, plus results of the LFA) in a day-long, interactive session.

Provided feedback and prepared draft evaluation report. The draft evaluation report submitted to USAID on August 8 included comments provided during the annual meeting and later by email.

Used feedback to provide final evaluation report. Preparation of the final evaluation report incorporated comments from implementing partners and USAID (12 sets) on the draft evaluation report.

Acacia tree in Kenya. *Photo: Matthew Erdman*

METHODOLOGY LIMITATIONS

This evaluation is not a traditional performance evaluation; evaluators were not asked to evaluate the overall impact of SCAPES or individual landscapes. Evaluation limitations stem from the original SCAPES design. As stated in the Evaluation Scope of Work, "The SCAPES program was not originally designed to facilitate an impact evaluation in accordance with the definition in the subsequently released USAID Evaluation Policy. Even a strict performance evaluation of SCAPES would be limited by the fact that the original design of SCAPES did not identify performance indicators based on an explicit program-wide results framework and underlying theory of change. This evaluation, therefore, combines a theory-based approach with elements of a traditional performance evaluation to examine overall SCAPES outcomes and progress toward specific landscape conservation goals. In the process of applying a theory-based approach, the evaluation tests a framework for learning across a portfolio of activities undertaken by different partners in different geographic areas." The scope of work also notes that many findings in the evaluation report are self-reported and, therefore, may be subject to various biases. The four Evaluation report sections discuss any additional applicable limitations associated with the methods used.

Nepalese porters haul Chiraita*, a valuable non-timber forest product that reduces human-wildlife conflict.* *Photo: Matthew Erdman*

SCAPES EVALUATION CONCLUSIONS AND RECOMMENDATIONS

Overall Program

Overall program conclusions indicate the landscape sites were well chosen for their conservation value, often based on previous implementing partner experience. Although this report is not a traditional performance evaluation, a broad-brush review of the nine SCAPES landscapes indicates that a majority of the projects performed well in meeting the stated objectives and were successful in moving toward achieving stated conservation goals. A major concern was the lack of progress in achieving financial sustainability and that, at the end of SCAPES, continuation of conservation activities in all of these landscapes remains heavily dependent on donor funding.

The SCAPES program activity Request for Applications (RFA) indicated a preference for proposals that included a transboundary conservation component, but without an indication of a model or hypothesis for testing transboundary conservation activities, which focused implementing partners' attention on issues that most donors and partners had not addressed, such as law enforcement and reduced poaching across borders. In some landscapes, transboundary conservation efforts ran into historical enmities and political roadblocks that might have been foreseen by a political-economic analysis during project design. The SCAPES RFA did not require proposals to include a specific conceptual model (logical framework, results framework), and most proposals lacked hard quantitative targets that limited USAID Acquisition Officer Representatives' and evaluators' ability to measure progress and change. The five-year SCAPES timeframe, as in many USAID conservation projects, is generally insufficient to show measurable landscape-level conservation changes unless the project is part of a consistent longer-term implementing partner program of 15-20 years duration.

With only two exceptions, implementing partners used SCAPES funds to continue some activities in specific regions of a larger landscape that they had supported for years, with USAID funds complementing funding from other donors. Unfortunately, USAID has not found a way to encourage expanded project reporting to include these broader landscape efforts, which would provide a landscape-wide view of threats abatement (especially for mega-threats) and landscape-wide successes or failures.

Almost without exception, E3/FAB project managers were described positively, and implementing partners appreciated and supported the project focus on learning. Most complaints related to perceived slowness in USAID approval of workplans and annual funding. USAID country Missions were not involved in SCAPES project design, and Missions where SCAPES projects were located were not invited to annual meetings, unlike implementing partner field directors. During project implementation, Mission personnel were helpful in commenting on annual workplans and resolving partner implementation issues, when requested, and during evaluation field visits; however, they seem to have been overlooked as targets for the learning that SCAPES hoped to achieve. The learning generated by SCAPES within USAID appears to have been limited mostly to E3/FAB staff.

Evaluation Question 1, Key Principles

The evaluators were asked to respond to the following question: *To what extent were the SCAPES key principles applied in the design and implementation of SCAPES, and what evidence exists that they contributed to conservation successes?*

The four key principles were already well integrated into the standard procedures of almost all major conservation-based implementing partners, but SCAPES annual meetings and other learning activities have helped develop and refine these concepts.

The use of a threats-based approach (TBA) as a major component in implementing partner project design helped focus SCAPES; however, TBA has been cumbersome and costly to use as a monitoring and reporting tool, with questions about the frequency of carrying out time-consuming analyses of threats and the usefulness of threat ranking. The Major Contributions

section discusses SCAPES effectiveness in reducing threats.

The evaluation shows that the Key Principle on sustainability, and especially financial sustainability, is the area where implementing partners and USAID have demonstrated the least progress, and conservation programs as a whole need to catch up with other development sectors such as agriculture and health that are moving toward local management and financing. None of the SCAPES landscapes was financially sustainable at the close of the program, although some progress was made in securing modest funding from host governments, conservation-related revenue transfers from fees and licenses, and profit-making community-run enterprises. While some implementing partner conservation managers stated that host governments will never be able to finance conservation of regions that have global importance, USAID and the implementing partners should move beyond this shibboleth and, according to one partner leader, "carefully discuss and consider what sustainability reasonably looks like for various types of conversation activities, given the host of conditions under which implementing partners, communities, and governments are operating." USAID should also require new environment officers to attend courses that teach recurrent cost analysis, cost-benefit analysis, and financial analyses for conservation projects.

The evaluation found that adaptive management, in practice, is hard for field personnel to distinguish from standard project monitoring and periodic course corrections, and one of the recommendations is that salient features of adaptive management to support systematic, evidence-based learning be differentiated from present USAID monitoring and evaluation (M&E) practices. Many staff considered any program change as being adaptive management, even if it did not stem from testing assumptions, evaluating results, and learning from them. Often the examples cited were reactions to changing circumstances rather than to adaptations from initial plans to improve project results.

The evaluation found that the Key Principle of scaling-up is only marginally valuable in a relatively short five-year program, and it is more appropriate for longer-term programs. Another recommendation is that USAID should require, in addition to consideration of all Key Principles in project design, annual progress reports on meeting Key Principle objectives.

Evaluation Question 2, Gender

The SCAPES program was designed during a period in USAID management when gender considerations did not have the prominence that they have today. The SCAPES RFA does request that applicants include a discussion of gender issues in addressing how the program design and implementation will support marginalized people, but the required USAID gender analysis was only two pages long, and implementing partner reports only needed to address gender in sex-disaggregated targets in their Performance Management Plans. Nevertheless, most partners, especially WWF, went beyond these minimal requirements, and their projects provide numerous examples of gender-related success. For example, the Eastern Cordillera workplan includes gender analyses, and WWF developed training modules on climate change vulnerability, with adaptation needs identified by men and women. A notable gender-related outcome is the representation of women in farm development plans (20 percent of the first 15 farm development plans were owned and managed by women; by the next year, 2012, 28 percent of the 116 plan beneficiaries were women).

To their credit, when projects reported gender activities, USAID managers aggressively helped address issues and encouraged greater attention. While positive actions were taken in various landscapes, overall the gender work lacked a coherent or deliberate strategy. An evaluation recommendation is that E3/FAB develop gender guidance specific to the biodiversity context, drawing on the guidance and tools recently developed by USAID's Feed the Future program.

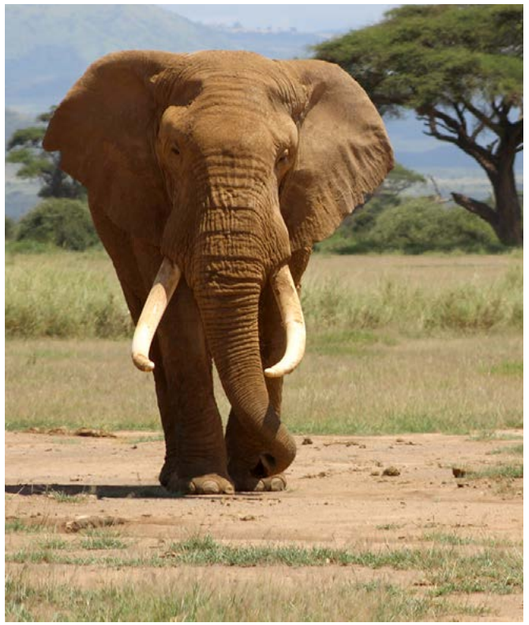
Evaluation Question 3, Limiting Factors Analysis

Evaluators conducted and analyzed the fourth LFA carried out during SCAPES. The LFA asked implementing partner managers to assess the importance of eight limiting factors in achieving project outcomes. The report discusses the LFA's significant methodological issues, which evoked surprise from the implementing partners during the SCAPES annual meeting. The results indicate that the majority of limiting factors have become more limiting over the project course instead of less limiting. Compliance and enforcement and conservation finance remain the two most serious barriers to implementing conservation activities in SCAPES program sites, similar to the LFA findings of global conservation programs. It is hard to draw insights from this analysis due to the inconsistent response rate to the request for detailed descriptions of trends.

The evaluation report details several significant LFA methodological weaknesses, including its bluntness and subjectivity. A baseline comparison of clear, measurable metrics relevant to the original project goals taken across project sites might serve as a better monitoring tool to allow USAID to gauge progress. The evaluation report recommends that USAID survey other approaches used by nongovernmental organizations (NGOs), international organizations, and donors to gather and analyze information across a portfolio of landscape projects, and then, working with USAID Missions, determine which tools would be most appropriate for future use.

Evaluation Question 4, Evidence of Successful Conservation Outcomes

Each theory of change identified common actions, intermediate results, threats, and biodiversity targets across SCAPES and provided a framework evaluators used to assess outcomes of seven major conservation strategies, such as land protection, law enforcement, and climate change. Although these theories of change were developed retrospectively in SCAPES Year Four to support learning in this evaluation, they did not precisely mirror the individual project strategies. The theory of change approach helped evaluators compare project approaches and results and promoted better understanding of political, social, and economic contexts and the enabling conditions and barriers to success for the common strategies. The objective was to identify these factors, along with the relevant project design considerations, to provide useful insight into better design and implementation of new landscape projects that address one or more of the conservation strategies examined.



The elephant: icon of the Kilimanjaro landscape and severely imperiled by illegal trade.
Photo: Matthew Erdman

Although this evaluation, unlike a performance evaluation, did not rigorously evaluate individual landscape results in comparison to planned targets, it did find that, in general, the implementation of SCAPES strategies has led to the achievement of outcomes, although with wide variation among the landscapes and with some projects clearly achieving more than others with particular strategies.

The evaluation found that two of the most effective strategies were (1) land protection, where at least 9.5 million hectares (larger than the state of Indiana) of biologically significant land and natural resources were placed under improved management, and (2) community-based natural resource management (CBNRM) with at least 9,000 people trained in natural resource management or biodiversity conservation and strong community management models operating in four of the landscapes. The evaluation conclusion is probably not surprising because these two strategies have been the bedrock of NGOs' work in international conservation over several decades.

All of the SCAPES landscapes were encouraged to include transboundary coordination in their programs, and this relatively unusual program addition generated mixed results. Transboundary coordination approaches were very successful along the India-Nepal and Kenya-Tanzania borders where community-led cooperation among similar ethnic groups on both sides of the border encouraged cooperation between national government law enforcement and aerial wildlife monitoring programs. Suspicions and historic disputes that were not adequately assessed during project design, however, seriously hampered implementing partners' efforts at the sites on the Bolivia-Peru, Tanzania-Mozambique, and Kazakhstan-Uzbekistan borders. Overall, transboundary coordination successes have come slowly. The greatest progress was made where implementing partners have been working for years and are trusted on both sides of a border. While USAID should be lauded for encouraging the transboundary coordination, and much has been learned, partners have found it particularly difficult to locate national government and donor funds to sustain these initiatives.

Climate change adaptation, a relatively new landscape strategy, was addressed in five landscapes. WWF took the most rigorous approach, especially in its Eastern Cordillera Real landscape. Overall, the climate change adaptation strategy results included numerous vulnerability assessments conducted and local adaptation plans developed and piloted, increased adaptation capacity in more than 1,300 people, identified climate refugia in one landscape using an innovative Integrated Valuation of Ecosystem Services and Tradeoffs (InVEST) tool, introduced climate-smart agriculture, and adapted plans in two countries that were influenced by SCAPES initiatives.

Wildlife poaching, especially by heavily armed, professional international poachers in East and Southern Africa, has increased rapidly during the SCAPES lifetime. While activities to build capacity for law enforcement to reduce poaching were included, in some measure, in six landscape designs, they proved largely inadequate in Africa, and implementing partners turned to other donors or used their own non-USAID funds to augment antipoaching efforts. Nevertheless, SCAPES has been successful in strengthening the community's role in law enforcement efforts, improving ranger capacity, and, especially in Asian landscapes, working with national government programs. One highlight is the establishment of the world's first dog unit that specializes in saiga horn detection at Kazakhstan border-crossing points.

SCAPES activities on sustainable enterprises have led to AWF establishment of community-based tourism operations, which, in one case, is beginning to share profits to finance community conservation activities. Although some failures occurred in pilot activities, SCAPES landscapes have led to positive results from livestock initiatives, cardamom cooperatives, and caiman harvesting associations, with at least 2,200 people now having increased economic benefits derived from sustainable natural resource use.

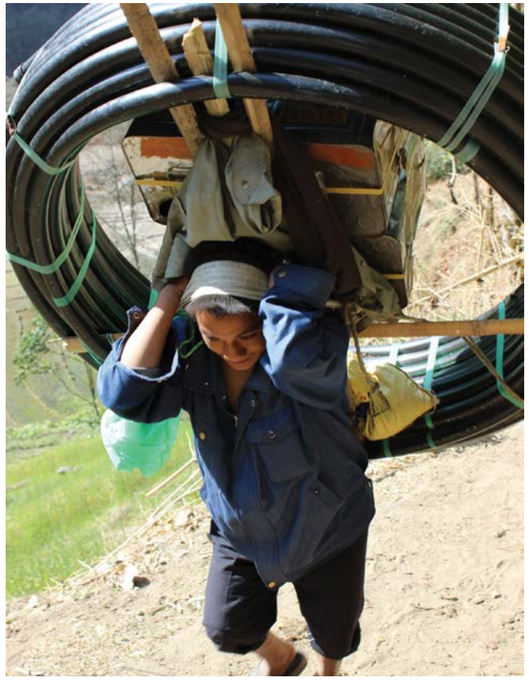
A strategy for mitigation of human-wildlife conflict activities was used to establish successful programs to compensate for loss of livestock and minimize retaliatory killings of predators and encourage use of a variety of crop-loss prevention methods. WCS's Beyond Fences innovative initiative in Southern Africa, which was SCAPES' only policy-focused project, has made impressive strides in gaining regional and international agreement on non-fencing approaches to protect livestock from wildlife-borne diseases. Unfortunately, funds to sustain this lengthy process post-SCAPES have not been found.

Camels on the Ustyurt Plateau journey to a water source in Kazakhstan. *Photo: Matthew Erdman*

Learning Component Assessment

One of the SCAPES core objectives was to scale-up knowledge and impact to increase conservation success at sites throughout the partnership and among the global conservation community. A SCAPES hallmark was the intentional focus on partner-driven learning throughout the life of the program. From the beginning, SCAPES set aside dedicated time and resources for learning activities, such as four annual meetings, two partner-driven learning programs on governance and climate change adaptation, and implementation of an LFA applied across the life of the project. Three learning documents were written, pilot tested, and released publically:

- *Guidelines for Assessing the Strengths and Weaknesses of Natural Resource Governance in Landscapes and Seascapes, June 2013*
- *SCAPES Partners: A Review of Field-Based Common Ground on Adaptation, October 2012*
- *Climate Change Adaptation Tool*



A man carries plastic tubing for an irrigation project to support climate change adaptation in Nepal. *Photo: Matthew Erdman*

The Environmental Communication, Learning and Outreach project evaluation survey for the learning component included three sets of key questions:

1. Learning Experience: *Overall, what was the partners' experience in SCAPES learning activities? (a) What worked well? (b) What could have been improved? (c) Was it worth it? Why or why not?*

The evaluation showed that the SCAPES learning annual meeting and partner-driven learning activities were seen as very useful across SCAPES audiences. Partner organizations expressed a strong desire to apply and continue to build on the learning done through SCAPES and cross-institutionally beyond the life of the project. The opportunity to learn about other landscapes and discuss experiences and activities with a variety of partners was most often cited as the greatest benefit by all audiences. For partner members that were involved in predecessor programs, the Global Conservation Program, USAID, and NGO partners indicated that lessons learned about the Global Conservation Program learning experience were applied in the implementation of SCAPES learning activities. In addition, interviewees and focus group participants cited a number of ways the learning process could have been enhanced, including follow-up after events, connecting regional partners and field staff, and dedicating more resources to learning overall.

2. Impacts and Fostering Ongoing Learning: *What impacts did the SCAPES learning component have on partner organizations' practices?*

Throughout the learning assessment process, respondents expressed a strong desire for cross-institutional learning. Specifically, in the 2014 meeting discussion on the learning assessment, multiple groups highlighted an interest in site-based annual meetings and other site exchange-visit opportunities to support field-to-field cross-institutional learning. Throughout SCAPES, the only cross-site visit that was mentioned took place at the field level; most cross-institutional learning happened among the IPs' and USAID's headquarters representatives during quarterly SCAPES meetings and the implementation of the partner-driven learning initiatives. Partner organization headquarters representatives noted that cross-institutional learning opportunities and platforms beyond annual meetings were not supported in SCAPES design or implementation. One participant noted, *"In the future, it would be better to work cross-institutional learning into the design so it is structurally supported and does not have to include [headquarters]."* Following is a list of implementing partners' suggestions for post-SCAPES cross-institutional learning:

- Support communication, knowledge management, and learning across SCAPES organizations.
- Gather, distill, and disseminate lessons learned, reports, and tools to USAID Missions, government agencies, and the broader development community.
- Continue to connect through meetings, such as at International Union for Conservation of Nature-sponsored or other global conservation conventions and meetings.
- Develop and share strong close-out reports.
- Link to other initiatives for continued program support.
- Support learning in the field.

3. Embodiment of Learning Network Best Practices: *To what extent did SCAPES learning embody the characteristics and use the practices of successful USAID Learning Networks?*

In 2013, USAID's Office of Policy, Policy, Planning, and Learning (PPL) published a set of best practices for learning networks, "Practices of Successful Learning Networks: Documenting Learning from the Growing Organizational Value ChainExcellence (GROOVE) Learning Network," for Agency-wide use. This document was reviewed and compared to data and background documents on SCAPES learning to assess the extent that SCAPES used these best practices. While the review found that SCAPES had indeed used many of the recommended best practices, the learning assessment noted some important exceptions:

- **Apply an integrated approach to the knowledge cycle:** Attention was paid to knowledge generation and sharing from the beginning of the learning topic identification, but to a lesser extent to knowledge dissemination and application.
- **Focus intentionally on specifying desired outcomes:** To a certain extent, SCAPES defined learning expectations, explained how they would work together, shared previous experiences, created an inventory of learning issues and questions, and developed flexible workplans. Some elements that SCAPES did not put into practice or that were undocumented include helping members understand what a learning network is, defining goals and approaches, and being intentional about reviewing the learning process. SCAPES also did not use adaptive management of learning activities.
- **Be attentive to the evolution of the network over time:** SCAPES learning activities and participants evolved and helped refocus efforts. Some topics such as gender did arise toward the end of the agreements, but they were not addressed because of limited time and resources. Overall, SCAPES paid attention to the flow and energy of partner organizations and USAID to continue learning over the life of the project.
- **Make conscious choices about use of collective time:** SCAPES was intentional in the development of regular meeting structures like quarterly and annual meetings. Collaboration on annual meeting agendas among USAID and partner headquarter organizations was high; however, communication and meeting planning on field staff needs appears to have been a missed opportunity.

MAJOR CONTRIBUTIONS OF THE SCAPES PROGRAM

Transboundary Cooperation

The SCAPES program preference for all landscapes to include a transboundary cooperation component has led to extensive experience in how this cooperation can be successful or not. In the border areas of India-Nepal and Kenya-Tanzania, transboundary cooperation began at the village level with the same ethnic group living on both sides of the border and gradually, with national government support, expanding along those borders. The India-Nepal cooperation now extends along most of the border.

In Kenya-Tanzania, AWF has facilitated expanded transboundary cooperation to ease bureaucratic impediments to cross-border aerial surveillance, wildlife herd tracking, and wildlife census. The two governments also have allowed rangers to pursue across borders under certain circumstances.

The Beyond Fences and Animal Health for Environment and Development (AHEAD) initiative by WCS in Southern Africa, while not completed, has greatly increased the likelihood that non-fence alternatives to protecting cattle from wildlife diseases will be accepted soon by key international organizations. The approach may be tested in Southern Africa and perhaps Mongolia, reopening traditional transhumance and migration routes to wildlife.

Less successful transboundary cooperation activities have shown that historical border disputes and political issues between governments can block or delay implementing partner efforts to encourage joint planning among rangers and conservation officials across borders. A political-economic review of these issues should be part of project design. SCAPES transboundary cooperation also has worked best where an implementing partner is already present, experienced, and trusted on both sides of the border. Unfortunately, SCAPES experience has shown that most donors still find it difficult to finance these transborder activities; funding to continue transboundary conservation activities has not been secured for several landscapes.

Threats

All of the SCAPES implementing partners took a threats-based approach in designing their landscape projects. Little evidence exists, however, to demonstrate that during the relatively short five-year life of SCAPES, these threats were substantially alleviated, in part due to the insensitivity of the measurement tools available. The difficulty in addressing and measuring threats under SCAPES is compounded by the relatively small size and limited duration of the SCAPES-funded activities. Also implementing partners' reporting to USAID under SCAPES does not take into account partner landscape activities funded by other donors or implementing partners-financed activities, which was particularly evident when partners used other donor funding to address international poaching in East and Southern Africa.

SCAPES did a reasonable job of addressing some threats in the landscapes, such as unsustainable use of soils, water, and forests; misuse of fire protection, industrial or plantation agriculture, and resource extraction; and illegal activities such as local poaching, logging, and polluting water sources. Little evidence of success emerged to indicate emerging mega-threats were addressed, such as international poaching in East and Southern Africa, gold mining in Peru, oil and gas extraction, and new infrastructure and commercial investments that threatened landscape biodiversity and conservation goals. (USAID managers noted that SCAPES had some successes in addressing international poaching in Kazakhstan, Mongolia, Nepal, and Kilimanjaro; no elephants were poached in Enduimet.) Little effort was made to address the international demand side of these threats, especially for saiga and rhino horn, elephant tusks, and wolf pelts. Experience in SCAPES projects also demonstrated how quickly these threats can arise. For example, large-scale international poaching and wildcat mining were not significant threats when SCAPES projects were being designed.

Climate Change Adaptation

The SCAPES RFA encouraged, but did not require, implementing partners to include a climate change adaptation component in their proposals. Among the five landscapes that did include this relatively new component, the three WWF landscapes and particularly Eastern Cordillera Real, addressed the issue with substantial attention and funding. The major climate change adaptation activities in Eastern Cordillera Real, which provide an excellent model for future projects, are summarized in the next paragraph.

Climate change adaptation for biodiversity conservation was the primary lens for WWF's objectives in Eastern Cordillera Real, including reducing vulnerability through land protection and managing ecosystem services, building local knowledge and capacity, developing policies to address drivers of environmental change, and orienting economic development for climate resilience. To reduce vulnerability, WWF conducted climate change vulnerability analyses (CCVAs) and valuation and modeling using the InVEST tool.

This tool helped identify areas vulnerable to landslides, and thus guided reforestation and restoration efforts and helped identify and delimit new conservation areas that could serve as refugia where species threatened by climate variation could move or find safe corridors in their search for suitable habitats. Matching funds were used to model climate niches for 54 bird species and 27 mammals. The project encouraged protected areas and the national protected area systems to include CCVAs and adaptation plans in their management planning process. To increase local knowledge and capacity, the project disseminated CCVA results to communities; conducted workshops to build capacity to develop adaptation measures, such as climate-friendly agriculture and climate-tolerant coffee; and developed awareness-raising materials. WWF also worked to integrate adaptation and conservation strategies in national policy agendas, including the Colombia Decade Environmental Plan, the Ecuadorian climate change strategy, and national Intergovernmental Panel on Climate Change communications.

An endangered grey crowned crane, Amboseli National Park, Kenya.
Photo: Matthew Erdman

Theory of Change Framework Applied to Support Learning

The E3/FAB office decided in SCAPES Year Four to include an evidence and learning approach to the final program evaluation. USAID requested that its Measuring Impact mechanism work with implementing partners to retroactively develop theories of change to describe seven key conservation interventions that were taking place in numerous SCAPES landscapes as a basis for learning across multiple sites, countries, and implementing partners. While this approach raised concerns with one implementing partner, other partners said they had faith in the approach and felt that using this scenario as part of the end-of-project evaluation could bring useful insight into which interventions were working best and why.

With implementing partners' input during the annual and quarterly meetings, theory-of-change models were developed for seven commonly used interventions to provide an activity-by-activity results model. With the results model, assumptions can be clarified about the intermediate results that will be achieved in reducing threats and reaching major conservation targets. The seven results models were then used to derive the comparative framework for the evidence-based learning section of the evaluation.

Evaluators gave implementing partners a questionnaire to assess project outcomes and assumptions using the framework, and then later asked follow-up questions during field visits and telephone interviews. In each case, evaluators found that the realities of field implementation were much more complex and nuanced than the original theory-of-change models, and they recommended modifications. Evaluators also identified key issues to be addressed in future program designs based on the theory of change. The theory-of-change model, best used as a project design tool similar to a logical or results framework, can be expanded by adding an expected timeline to achieve outcomes, such as six months. Adding activity budget projections based on implementing partners' experiences, which were unavailable for this SCAPES evaluation, could help support evidence-based adaptive management.

Although it was difficult to compare project objectives, implementation activities, and results across a nine-landscape portfolio, it became clear that some strategies were more effective than others at achieving desired outcomes. These are, not surprisingly, land protection and community-based natural resource management interventions where partners have worked for decades and honed successful practices applied in SCAPES activities. The least effective strategy, with several AWF exceptions, was sustainable enterprises; the strategy with the least implementing partner attention and effectiveness was climate change adaptation, with WWF exceptions. The enabling conditions for effective strategies were often previous implementing partner experience, community buy-in and participation, trust developed between the implementing partners and communities, the presence of a legal framework to support the intervention, and government capacity and willingness to support partner efforts. The most common barriers to success included lack of financial and trained human resources, unstable community networks, legal frameworks not in place, inadequate government support, security issues, and unresolved resource conflicts.

IMPLICATIONS FOR FUTURE USAID LANDSCAPE PROGRAMS

This SCAPES evaluation reviews only a small percentage of the growing number of USAID-funded landscape programs funded with biodiversity funds and, more recently, global climate change funds. Nevertheless, this evaluation reveals design considerations for future landscape programs by USAID Missions and Regional offices:

- In light of threats and opportunities, establish a reasonably sized landscape for support. Landscape boundaries—physical, governmental, biodiversity, ethnic—should be defined by funding limitations.
- Ascertain if a transboundary cooperation component is needed to address some threats.
- Set a reasonable duration for USAID support. Despite typical USAID procurement limits of five years or less, several USAID projects have been authorized for additional extensions, such as the four five-year phases of the Initiative for Conservation of the Andean Amazon and the Central Africa Regional Program for the Environment programs.
- Prioritize a few problems to address, considering USAID and partners' comparative advantages.
- Discuss how best to partner with non-USAID funded organizations working in the landscape and reduce duplicate reporting requirements by multiple donors.
- Determine if legal and other prerequisites are in place or if a landscape project should be preceded by a policy or human-capacity development project.
- Consider the value of non-conservation interventions. Several SCAPES projects reported gaining community trust and participation by using fast-acting non-conservation activities, such as building schools, providing health care, constructing small bridges, or improving paths to markets to build community trust and support while waiting for results from longer-term conservation and livelihood activities.
- Study how to partner to address mega-threats.
- Determine the steps needed to localize project management and financial sustainability.
- Include a learning component in USAID, implementing partners', and host country activities and their conservation communities.

Cardamom, a sustainable cash crop, grows on hillsides in Nepal. *Photo: Matthew Erdman*

2.0 EVALUATION METHODOLOGY

The two-person evaluation team that comprised a Senior Evaluation Specialist and a Technical Specialist (see Annex E, "Evaluation Team"), used the following methodology to conduct the evaluation. Specific methodologies for individual sections are described in the relevant sections.

- Performed desk studies. (See Annex B, Documents Reviewed.) Reviewed available project documentation.

- Prepared questionnaire and interview guides. (See Annex C, Questionnaire and Interview Guide and Annex D, List of Key Informants). The team used Google Forms to prepare an online questionnaire (survey) that was emailed to 20 USAID and 35 implementing partner key informants. The team received 27 responses, all from implementing partners and none from USAID. Interview guides, which were tailored to specific-focus audiences such as USAID headquarters staff, field staff, beneficiaries, and USAID Mission staff, were used to gather information from 232 informants in 99 interviews and focus groups to provide depth and breadth to responses.

- Conducted site visits to four landscapes. The Technical Specialist visited four landscapes, (1) Sacred Himalayas, (2) Kilimanjaro, (3) Daurian Steppe, and (4) Ustyurt Plateau, for approximately two weeks each. During these trips to field sites, some very remote, the technical specialist interviewed individuals and held focus groups.

- Conducted phone and Skype interviews in five landscapes. The Senior Evaluation Specialist conducted one- to two-hour phone or Skype interviews with key informants in the remaining five landscapes, (1) Ruvuma, (2) Kazungula, (3) Kazakhstan-Uzbekistan, (4) Eastern Cordillera, and (5) Madidi-Tambopata.

- Collated, summarized, and analyzed information. The team collated, summarized, and analyzed by landscape, Key Principle, gender considerations, and theory of change the information that was gathered from questionnaire responses and interviews.

- Conducted limiting factors analysis. The Technical Specialist distributed the fourth annual LFA survey to the implementing partner Chiefs of Party and analyzed the results.

- Presented conclusions. The team prepared and presented 22 sets of conclusions (four Key Principles, gender, seven theories of change, nine landscapes, and the LFA) to implementing partner representatives and USAID officers at the 4th SCAPES Annual Meeting June 25, 2014 in a day-long, interactive session.

- Provided feedback and prepared draft evaluation report. The team used comments made during the annual meeting presentation and those received later by email to prepare a draft evaluation report submitted to USAID August 8.

- Used feedback and prepared final evaluation report. The team used USAID and implementing partner comments (12 sets) on the draft report to prepare a final evaluation report.

METHODOLOGY LIMITATIONS

This evaluation is not a traditional performance evaluation; the evaluators were not asked to evaluate the overall impact of SCAPES or individual landscapes. Limitations to this evaluation stem from the original SCAPES program design. As stated in the Evaluation Scope of Work (Annex A), "The SCAPES program was not originally designed to facilitate an impact evaluation in accordance with the definition in the subsequently-released USAID Evaluation Policy. Even a strict performance evaluation of SCAPES would be limited by the fact that the original design of SCAPES did not identify performance indicators based on an explicit program-wide results framework and underlying theory of change." This evaluation, therefore, combines a theory-based approach with elements of a traditional performance evaluation to examine overall SCAPES outcomes and progress made toward specific landscape conservation goals. In the process of applying a theory-based approach, the evaluation tests a framework for learning across a portfolio of activities undertaken by different partners in different geographic areas. Also noteworthy is that many of the findings in this evaluation report are self-reported, and therefore, they may be subject to various biases. Particular sections discuss additional limitations in the methods used.

Ann Edwards, Country Director for Wildlife Conservation Society in Mongolia, and Peter Zahler, Deputy Director for WCS's Asia Program discuss the Daurian Steppe project in the field. *Photo: Matthew Erdman*

3.0 SCAPES EVALUATION CONCLUSIONS AND RECOMMENDATIONS

OVERALL PROGRAM

SCAPES, designed and implemented by USAID/Washington's E3/FAB in 2009, followed 20 years of global programs managed by that office, each of which was designed to improve knowledge on how to best design and implement conservation programs in the context of international development. This section covers overall program conclusions; specific conclusions on the four key questions in the evaluation scope of work are covered in later sections.

Although this was not a traditional performance evaluation, a broad-brush view of the nine SCAPES landscapes indicates that most projects performed well to meet their stated objectives and achieve or make significant progress toward the stated conservation goals. The landscape sites were well chosen for their conservation value, often based on previous implementing partner experience. A major concern was the lack of progress toward financial sustainability, which means that at the end of the SCAPES program, continuation of conservation activities in all landscapes depends heavily on donor funding.

The RFA indicated a preference for proposals that included a transboundary conservation component, but it did not indicate a model or hypothesis to test transboundary conservation activities. The transboundary conservation component focused implementing partner attention on previously unaddressed issues, such as law enforcement and reduced poaching across borders, often with successful results. In other landscapes, however, transboundary conservation efforts ran into historical enmities and political roadblocks that might have been foreseen by a political-economic analysis during project design.

The SCAPES RFA did not require proposals to include a specific conceptual model (logical or results framework) and most proposals lacked hard quantitative targets that limited the ability of USAID Agreement Officer's Representatives (AORs) (and evaluators) to measure progress and change. The five-year SCAPES timeframe, as in many USAID conservation projects, is generally insufficient to show measurable landscape-level conservation changes, unless the project is part of a consistent longer-term implementing partner program of 15–20 years.

With only two exceptions, implementing partners used SCAPES funds to continue some activities in specific regions of a larger landscape that they had supported for years, with USAID funds complementing funding from other donors. Unfortunately, USAID has not found a way to encourage expanded project reporting to include these broader landscape efforts, which would provide a landscape-wide view of threats abatement, especially for mega-threats, and landscape-wide successes or failures.

Almost without exception implementing partners expressed appreciation and support for E3/FAB program managers and described them very positively and praised the program focus on learning. Most complaints related to perceived slowness in USAID approval of workplans and annual funding. USAID country Missions were not involved in SCAPES program design, and Mission personnel in SCAPES program areas were not invited to annual meetings, unlike implementing partner field directors. During program implementation, Mission personnel were helpful in commenting on annual workplans and resolving partner issues with implementation when requested and they were helpful during evaluation field visits; however, it seems as if they were not included as targets for the intended SCAPES learning opportunities, which were limited instead to mostly E3/FAB staff.

The next part of this section discusses the evaluation questions overall. Later sections discuss specific questions in more detail.

QUESTION 1: KEY PRINCIPLES

To what extent were the SCAPES Key Principles applied in the design and implementation of SCAPES and what evidence exists that they contributed to conservation successes?

The four Key Principles were already well integrated into the standard procedures of almost all major conservation-based implementing partners, but SCAPES annual meetings and other learning activities have helped develop and refine these concepts.

The use of TBA as a major component in implementing partner project design helped focus the SCAPES program; however, TBA has been cumbersome and costly to use as a monitoring and reporting tool, with some partners questioning the frequency of carrying out time-consuming analyses of threats and the usefulness of threat ranking. The Major Contributions heading discusses the effectiveness of SCAPES in reducing threats.

Sustainability, and especially financial sustainability, is the Key Principle where implementing partners and USAID have demonstrated the least progress and where conservation programs as a whole need to catch up with other development sectors such as agriculture and health that are moving toward local management and financing. None of the SCAPES landscapes was financially sustainable at the program close, although some progress was made in securing modest funding from host governments, conservation-related revenue transfers from fees and licenses, and profit-making community-run enterprises. While some implementing partner conservation managers indicated that host governments will never be able to finance conservation of global importance of their regions, USAID and implementing partners should move beyond this shibboleth and, according to one implementing partner leader, "carefully discuss and consider what sustainability reasonably looks like for various types of conversation activities, given the host of conditions under which implementing partners, communities, and governments are operating." Some partner staff suggested that USAID should also require new environment officers to attend courses that teach recurrent cost analysis, cost-benefit analysis and financial analyses for conservation projects.

The evaluation found that adaptive management in practice, is hard for field personnel to distinguish from standard project monitoring and periodic course corrections and recommends differentiating salient features of adaptive management to support systematic, evidence-based learning from present USAID M&E practices. Many staff considered any change in the program as adaptive management, even if it did not stem from testing assumptions, evaluating results, and learning from them. Often, examples cited were reactions to changing circumstances, rather than adaptations of initial plans to improve project results.

The evaluation found that the scaling-up key principle is only marginally valuable in a relatively short five-year program span and more appropriate for longer-term programs. The evaluation recommends, based on its conclusions, that USAID's insistence on being included in considerations of project design be matched by also requiring annual reporting of progress toward key principle objectives.

QUESTION 2: GENDER

SCAPES was designed during a period in USAID management when gender considerations did not have the prominence they have today. The SCAPES RFA requests that applicants include a discussion of gender issues to address how marginalized people will be supported by program design and implementation, but the required USAID gender analysis was only two pages, and implementing partner reports needed to address gender in their Performance Management Plans (PMPs) only in terms of sex-disaggregated targets. Most implementing partners, especially WWF, went beyond these minimal requirements and their projects provide numerous examples of gender-related success. For example, the Eastern Cordillera workplan includes gender analyses, and WWF developed training modules on climate change vulnerability, with adaptation needs identified by men and women. A notable gender-related outcome is the representation of women in farm development plans. Twenty percent of the first 15 farm development plans were owned and managed by women; by the next year, 2012, 28 percent of the 116 plan beneficiaries were women.

To their credit, when projects reported gender activities, USAID managers aggressively helped address issues and encouraged greater attention. While positive actions were taken in various landscapes, overall, the gender work lacked a coherent or deliberate strategy. This evaluation report recommends that E3/FAB develop gender guidance specific to the biodiversity context, drawing on the impressive set of guidance and tools recently developed by USAID's Feed the Future program.

QUESTION 3: LIMITING FACTORS ANALYSIS

The evaluators conducted and analyzed the fourth LFA during SCAPES. The LFA asked implementing partner managers to assess the importance of eight limiting factors that affect achievement of project outcomes. As discussed in this report, the LFA has significant methodological issues and the results were received with surprise by implementing partners during the SCAPES annual meeting in June 2014. The results indicate that most of the limiting factors have become more limiting over the course of SCAPES instead of less limiting. Compliance and enforcement and conservation finance remain the two most serious barriers to implementing conservation activities in SCAPES project sites, similar to the LFA findings of the Global Conservation Program (GCP). The inconsistent response rate to the evaluators' request for detailed trends descriptions made it difficult to gain insights from this analysis.

The evaluation report details several significant methodological LFA weaknesses, including its bluntness and subjectivity. A baseline comparison of clear, measurable metrics relevant to the original project goals taken across project sites might serve as a better monitoring tool to allow USAID to gauge progress. USAID should survey other approaches used by NGOs, international organizations, and donors to gather and analyze information across a portfolio of landscape projects, and then, working with USAID Missions, determine which tools would be most appropriate for future use.

QUESTION 4: EVIDENCE OF SUCCESSFUL CONSERVATION OUTCOMES

Each theory of change identified common actions, intermediate results, threats and biodiversity targets across SCAPES and provided a framework evaluators used to assess outcomes of each of seven major conservation strategies, such as land protection, law enforcement, and climate change. Although these theories of change were developed retrospectively in Year 4 of SCAPES to support learning in this evaluation and thus did not precisely mirror the individual project strategies, use of the theory of change approach allowed the evaluators to compare project approaches and results to better understand political, social, and economic contexts and the enabling conditions and barriers to success of the common strategies. The identification of these factors, along with the relevant project design considerations, could provide useful insights into better design and implementation of new landscape projects that address one or more of the conservation strategies examined.

Although this evaluation did not rigorously evaluate individual landscape results in comparison to planned targets, unlike a performance evaluation, it did find that, generally speaking, the implementation of SCAPES strategies has led to the achievement of outcomes, although with wide variation among the landscapes and with some projects clearly achieving more than others with particular strategies.

Two of the most effective strategies were land protection, where at least 9.5 million hectares of biologically significant land and natural resources were placed under improved management (more than the state of Indiana); and CBNRM, with at least 9,000 people trained in natural resource management or biodiversity conservation and strong community management models operating in four of the landscapes. This conclusion probably is not surprising because these

two strategies have been the bedrock work of international conservation NGOs over several decades.

All SCAPES landscape projects were encouraged to include a transboundary component, and this relatively unusual program addition had mixed results. Transboundary component approaches were very successful along the India-Nepal and Kenya-Tanzania borders where community-led cooperation among similar ethnic groups on both sides of the border encouraged cooperation between national government law enforcement and aerial wildlife monitoring programs. In other border landscape sites, suspicions and historic disputes that were inadequately assessed during project design seriously hampered implementing partner efforts, such as the Bolivia-Peru, Mozambique-Tanzania, and Kazakhstan-Uzbekistan sites. Overall, transboundary conservation successes have come slowly. The greatest progress was made where implementing partners have been working for years and are trusted on both side of a border. While USAID should be lauded for encouraging the transboundary component, and much has been learned, it has been particularly difficult for implementing partners to locate national government and donor funds to sustain these transboundary component initiatives.

Climate change adaptation, a relatively new landscape strategy, was addressed in five landscapes, with WWF taking the most rigorous approach, especially in its Eastern Cordillera Real landscape. The climate change adaption strategy resulted in numerous vulnerability assessments conducted and local adaptation plans developed and piloted, more than 1,300 people now have increased adaption capacity, a climate refugia was identified in one landscape with the InVEST tool, climate-smart agriculture was introduced, and national adaptation plans were influenced in two countries.

Wildlife poaching, especially by heavily armed, professional international poachers in East and Southern Africa, has rapidly increased during the SCAPES lifetime. While activities to build capacity for law enforcement to reduce poaching were included to some degree in six landscape designs, they proved largely inadequate in Africa; implementing partners turned to other donors or used their own non-USAID funds to augment antipoaching efforts. Nevertheless, SCAPES has been successful in strengthening the community's role in law enforcement efforts, improving ranger capacity, and working with national government programs, especially in Asian landscapes. One highlight is the establishment of the world's first dog unit specializing in saiga horn detection at border crossing points in Kazakhstan.

SCAPES projects' sustainable enterprise activities have led to AWF's establishment of community-based tourism operations, which in one case is beginning to share profits to finance community conservation activities. Although some pilot activities have experienced failure, SCAPES landscapes have led to positive results from livestock initiatives, cardamom cooperatives, and caiman harvesting associations, with at least 2,200 people now having increased economic benefits derived from sustainable natural resource use.

SCAPES projects' mitigation of human-wildlife conflict activities established successful programs to compensate for loss of livestock and minimize retaliatory killings of predators and encouraged use of various crop-loss prevention methods. WCS's Beyond Fences innovative initiative in Southern Africa, which is a SCAPES only policy-focused project, has made impressive strides in gaining regional and international agreement on non-fencing approaches to protect livestock from wildlife-borne diseases. Unfortunately, funds to sustain this lengthy process post-SCAPES have not yet been found.

LEARNING COMPONENT

One of the core SCAPES objectives was to scale-up knowledge and impact to increase conservation success at sites, across the partnership, and among the global conservation community. A SCAPES hallmark was the intentional focus on partner-driven learning throughout the program life. From the beginning, SCAPES set aside dedicated time and resources for learning activities, including four annual meetings, two partner-driven learning programs on governance and climate change adaptation, and the implementation of an LFA applied across the life of the project. Three learning documents were written, pilot tested, and publically released:

- *Guidelines for Assessing the Strengths and Weaknesses of Natural Resource Governance in Landscapes and Seascapes, June 2013*
- *SCAPES Partners: A Review of Field-Based Common Ground on Adaptation, October 2012*
- *Climate Change Adaptation Tool*

The Environmental Communication, Learning, and Outreach evaluation of the learning component included the following three sets of questions:

1. Learning Experience: *Overall, what was the partners' experience of SCAPES learning activities? What worked well? What could have been improved? What is worth it? Why or why not?*

SCAPES participants reported the learning annual meeting and partner-driven learning activities were useful, and they expressed a strong desire to apply and continue to build on the learning beyond the life of the program. The opportunity to learn about other landscapes and discuss experiences and activities with various partners was most often cited by all audiences as the greatest benefit. For partner members who had been involved in the predecessor program, the GCP, USAID and NGO partners said GCP lessons learned in the learning experience were applied in the implementation of SCAPES learning activities. In addition, interviewees and focus group participants cited a number of ways the learning process could have been enhanced through initiating specific follow-up events, connecting regional partners and field staff, and dedicating more resources to learning overall.

2. Impacts and Fostering Ongoing Learning: *What impacts did the SCAPES learning component have on partner organizations' practices?*

Throughout the learning assessment process, participants expressed a strong desire for cross-institutional learning. Specifically, in the 2014 meeting discussion on the learning assessment, multiple groups highlighted an interest in site-based annual meetings and other site exchange visit opportunities to support field-to-field cross-institutional learning. Throughout SCAPES the only cross-site visit that was mentioned took place at the field level. Most cross-institutional learning happened between headquarters representatives at quarterly SCAPES meetings and the implementation of partner-driven learning initiatives. Partner organization headquarters representatives noted that cross-institutional learning opportunities and platforms beyond annual meetings were not supported in SCAPES design or implementation. One participant said, *"In the future, it would be better to work cross-institutional learning into the design so it is structurally supported and does not have to include headquarters."* Here are some example suggestions from implementing partners for post-SCAPES cross-institutional learning:

- Provide support for communication, knowledge management, and learning across SCAPES organizations.
- Gather, distill, and disseminate lesson learned, reports, and tools to USAID Missions, government agencies, and the broader development community.
- Continue to connect through meetings, such as at International Union for Conservation of Nature-(IUCN-) sponsored or other global conservation conventions and meetings.
- Develop and share strong close-out reports.
- Link to other initiatives for continued program support.
- Support learning in the field.

3. Embodiment of Learning Network Best Practices: *To what extent did SCAPES learning embody the characteristics and use the practices of successful USAID learning networks?*

In 2013, USAID's Bureau for Policy, Planning and Learning published a set of best practices for learning networks to be used Agency-wide. A review of this document, "Practices of Successful Learning Networks: Documenting Learning from the GROOVE Learning Network," was conducted and compared to data and background documents shared on SCAPES learning to assess the extent to which SCAPES embodied these best practices. While the review found that SCAPES had indeed embodied many of the recommended best practices, here are a few important exceptions:

- **Integrated approach to the knowledge cycle:** *"Attention was paid to knowledge generation and sharing*

to a great extent from the beginning of the learning topic identification. Attention to knowledge dissemination and application at the three levels was done but to a lesser extent."

- **Focus intentionally on specifying desired outcomes:** *"To a certain extent, SCAPES did go through the process of defining learning expectations, how they would work together, sharing previous experiences, creating an inventory of learning issues and questions, and developing flexible workplans. Some elements that SCAPES did not put into practice or that were not documented include helping members to understand what a learning network is, goals and approaches and being intentional about reviewing the learning process and adaptive management of learning activities."*
- **Be attentive to the evolution of the network over time:** *"SCAPES learning activities and participants did evolve over time and help to refocus efforts. While intentional, some topics, like gender and others did arise toward the end of the agreements but were not addressed because of time and resource issues. Overall SCAPES did pay attention to the flow and energy of partner organizations and USAID to continue learning over the life of the project."*
- **Make conscious choices about use of collective time:** *"SCAPES was very intentional in developing regular meeting structures like quarterly and annual meetings. Collaboration on annual meeting agendas between USAID and headquarters partner organization representatives was high. However, it was noted that communication and meeting planning around field staff needs may have been a missed opportunity."*

MAJOR CONTRIBUTIONS OF THE SCAPES PROGRAM

Addressing Transboundary Cooperation

SCAPES preference that all of its landscapes include a transboundary cooperation component has led to much learning on how transboundary conservation cooperation can be successful or unsuccessful.

On both the India-Nepal and Kenya-Tanzania borders, transboundary cooperation began at the village level with the same ethnic group living on both sides and then gradually, with national government support, expanded along those borders. The India-Nepal cooperation now extends along most of the border.

In Kenya and Tanzania, AWF has facilitated expanded transboundary cooperation to ease bureaucratic impediments to conducting cross-border aerial surveillance, tracking wildlife herds, and conducting wildlife censuses. The two governments also have allowed hot pursuit by rangers across borders under certain circumstances.

The Beyond Fences and AHEAD initiatives by WCS in Southern Africa, while not yet completed, have greatly increased the likelihood that non-fence alternatives to protect cattle from wildlife diseases will soon be accepted by leading international organizations. The approach may soon be tested in Southern Africa and Mongolia, which will reopen traditional transhumance and migration routes to wildlife.

Less successful transboundary cooperation activities have taught us that historical border disputes and political issues between governments can block or delay implementing partner efforts to encourage joint planning between rangers and conservation officials across borders. A political-economic review of these issues should be part of project design. SCAPES has also demonstrated that transboundary cooperation works best where an implementing partner is already present, experienced, and trusted on both sides of the border. The SCAPES experience has has also been a reminder that most donors find it difficult to finance transbordary activities, and funding for transboundary cooperation activities still is not available in several landscapes.

Addressing Threats

All SCAPES implementing partners used a threats-based approach to design their landscape projects; however, the relatively short five-year SCAPES duration produced little evidence to show that these threats were substantially alleviated, in part due to the insensitivity of the threats measurement tools available. The difficulty in addressing and measuring threats under SCAPES is compounded by the relatively small size and limited duration of SCAPES-funded activities. Implementing partners' reporting to USAID under SCAPES does not take into account implementing partner landscape activities funded by other donors or the implementing partner itself. This was particularly evident when implementing partners used other donor funding to address international poaching in East and Southern Africa.

While SCAPES did a reasonable job of addressing some threats in the landscapes, such as unsustainable use of soils, water and forests, fire protection, industrial or plantation agriculture and resource extraction, local poaching, illegal logging, and water pollution, little evidence of success was indicated in the outcomes of addressing emerging mega threats, such as international poaching in East and Southern Africa, gold mining in Peru, oil and gas extraction, and new infrastructure and commercial investments that threatened landscape biodiversity and conservation goals. Little effort was made to address the international demand side of these threats, especially saiga and rhino horn, elephant tusks, and wolf pelts. SCAPES experience also demonstrates how quickly these threats can arise; neither the large-scale international poaching nor wildcat mining were significant threats when SCAPES projects were designed.

Climate Change Adaptation

The SCAPES RFA encouraged, but did not require, implementing partners to include a climate change adaptation component in their proposals. Among the five landscapes that did include this relatively new component, the three WWF landscapes and particularly Eastern Cordillera Real, addressed the issue with substantial attention and funding. The major climate change adaptation activities in Eastern Cordillera Real provide an excellent model for future projects.

Climate change adaptation for biodiversity conservation was the primary lens for WWF's objectives in Eastern Cordillera Real, including reducing vulnerability by protecting land and managing ecosystem services, building local knowledge and capacity, developing policies to address drivers of environmental change, and orienting economic development toward climate resilience. To reduce vulnerability, WWF conducted CCVAs and valuation and modeling using the InVEST tool, which helped identify areas vulnerable to landslides, guided reforestation and restoration efforts, and helped identify and delimit new conservation areas that could serve as refugia where species threatened by climate variation could move or pass through in their search for suitable habitats. Matching funds were used to model climate niches for 54 species of birds and 27 mammals. The project encouraged protected areas and the national protected area systems to include CCVAs and adaptation plans in their management planning process. To increase local knowledge and capacity, the project disseminated CCVA results to communities; conducted workshops to build capacity to develop adaptation measures, such as climate-friendly agriculture and climate-tolerant coffee; and developed awareness-raising materials. WWF also worked to integrate adaptation and conservation strategies into national policy agendas, including the Colombia Decade Environmental Plan, the Ecuadorian Climate Change strategy, and national Intergovernmental Panel on Climate Change communications.

Applying a Theory of Change Framework to Support Learning

The E3/FAB office decided in Year 4 of the SCAPES program to include an evidence and learning-based approach to the final evaluation. To serve as a basis for learning across multiple sites, countries, and implementing partners, USAID requested that its Measuring Impact mechanism work with implementing partners to retroactively develop theories of change to describe seven conservation interventions that were taking place across numerous SCAPES landscapes. While this approach raised concerns with one implementing partner, other implementing partners indicated that they felt that using this scenario as part of the end-of-project evaluation could bring useful insights into which interventions were working best and why.

Theory of change models were developed for seven interventions with implementing partner inputs during the annual and quarterly meetings. These models provide an activity-by-activity results model that clarifies assumptions about the intermediate results that will be achieved in support of reducing threats and reaching major conservation targets. The seven theories of change developed with implementing partners to model commonly used interventions across the SCAPES portfolio served as the comparative framework to support evidence-based learning in this evaluation.

The evaluators asked implementing partners to assess project outcomes and assumptions using these theories of change as part of an initial questionnaire and then asked follow-up questions during field visits and telephone interviews. In each case, the evaluators found that the realities of field implementation were much more complex and nuanced than the original theory of change models. They recommended some modifications in each theory of change model and identified issues to be addressed during future project designs that would use the theory of change. The theory of change model is best used as a project design tool, similar to using a logical framework or results framework. A theory of change model could be expanded by adding an expected timeline to achieve outcomes (e.g., six months to achieve a desired outcome in the chain) or by adding an expected budget for each activity based on implementing partner experience. These data were not available for the SCAPES evaluation, but expanding the theory of change model to support evidence-based adaptive management is an interesting possibility.

Although it was difficult to compare project objectives, implementation activities and results across a nine-landscape portfolio, it became clear that some strategies were more effective than others at achieving desired outcomes. Not surprising, the successful initiatives involved implementing partners that used interventions such as land protection and CBNRM where they have worked for decades and honed successful practices. The least effective strategy at achieving desired results, with several AWF exceptions, was sustainable enterprises and the strategy with the least implementing partner attention and effectiveness was climate change adaptation, with WWF exceptions.

The enabling conditions for effective strategies often were the same: previous implementing partner experience, community buy-in and participation, trust developed between implementing partners and communities, the presence of a legal framework to support the intervention, and government capacity and willingness to support implementing partner efforts. The most common barriers to success included lack of financial and trained human resources, unstable community networks, legal frameworks not in place, inadequate government support, security issues, and unresolved resource conflicts.

IMPLICATIONS FOR FUTURE USAID LANDSCAPE PROGRAMS

The SCAPES evaluation reviews only a small percentage of the growing number of USAID-funded landscape programs that are funded with biodiversity funds and, more recently, global climate change funds. USAID Missions and Regional offices might consider future landscape program design features that stand out in this evaluation, such as the following examples:

- Establish a reasonably sized landscape to support in light of threats and opportunities; the boundaries of the landscape (physical, governmental, biodiversity, ethnic) should be defined in the context of funding limitations.
- Ascertain if a transboundary cooperation component is needed to effectively address certain threats.
- Set a reasonable duration for USAID support. Despite typical USAID procurement limits of five years or less, several USAID programs have been authorized for longer periods, such as 20 years for both Integrated Conservation of the Andean Amazon and the Central Africa Regional Program for the Environment in with five-year phases.
- Prioritize a limited number of problems to address in the context of the comparative advantages of USAID and its implementing partners.
- Carefully discuss how best to partner with other non–USAID-funded organizations working in the landscape and reduce duplicate multiple-donor reporting requirements.
- Determine if legal and other prerequisites are in place or consider if a landscape program should be preceded by a policy or human capacity development program.
- Look at the value of non-conservation interventions. Several SCAPES projects reported gaining community trust and participation by using fast-acting non-conservation activities, such as building schools, providing health care, constructing small bridges, or improving paths to markets to build community trust and support while waiting for results from longer-term conservation and livelihood activities.
- Study how to partner to address mega-threats.
- Determine the steps needed to move toward localization of project management and financial sustainability.
- Include a learning component for USAID, implementing partners, and the host country and its conservation community.

Members of the Sienna women's group gather to discuss their livestock project in Kenya. *Photo: Matthew Erdman*

A Nepalese man participates in a discussion on natural resource management issues. *Photo: Matthew Erdman*

4.0 TECHNICAL ANALYSIS: KEY PRINCIPLES

Evaluation Question 1: ***To what extent were the SCAPES Key Principles applied in the design and implementation of SCAPES, and what evidence exists that they contributed to conservation successes?***

The evaluation provides insight into Key Principle influences on project design, implementation, and conservation outcomes, noting that the Key Principles encourage project designs to these actions:

- Take a TBA to address conservation issues.
- Aim to achieve financial, social, and ecological sustainability for interventions.
- Apply adaptive management and be responsive to changing situations, information, and enabling conditions.
- Scale-up knowledge and impact to increase conservation success at sites, across the partnership, and among the global conservation community.

Implementing partners and the broader conservation community used these Key Principles, found throughout USAID's biodiversity portfolio, in their SCAPES projects, and therefore, an evaluation of their merit, influence, and effectiveness will help inform future USAID, implementing partner, and conservation community management decisions.

Question 1: Evaluation Method

The USAID SCAPES RFA, released in January 2009, required all successful applicants to address four critical elements, Key Principles, and provided detailed guidance on how to do so. This section of the evaluation report addresses the RFA requirements for each of the Key Principles, the approach suggested by USAID, and the approaches that were described in implementing partner SCAPES proposals to address each element.

To assess how Key Principles were applied in project design and implementation and determine Key Principle contributions to outcomes, evaluators reviewed implementing partner reports, distributed questionnaires, and conducted interviews. The interviews and questionnaires yielded only limited information and quantitative data. Quantitative results could not be measured against target metrics because the proposals provided none; the RFA did not ask for quantitative Key Principle targets. Final project reports, which have not been submitted, should include more detailed information that will reduce some of these limitations.

4.1 THREATS-BASED APPROACH

Key Principle 1: Take a threats-based approach to address conservation issues.

BACKGROUND

According to the SCAPES RFA, a TBA "addresses the main threats to biodiversity, their drivers, and enabling conditions." To demonstrate TBA, the RFA required proposals to state any threats identified by recent assessments, describe the need for additional assessments, and explain how threats will be abated and the abatement measured over time. The RFA referred to the Open Standards for the Practice of Conservation (Open Standards)[1] for guidance on identifying critical threats, including threat classification and prioritization using rating and ranking tools.

Each implementing partner identified major landscape threats in their proposals, although only WWF provided threat rankings, specifically for Eastern Cordillera Real and Sacred Himalayas. Although implementing partner proposals did not provide quantitative targets for

1 The Open Standards were developed by a consortium of international conservation organizations, the Conservation Measures Partnership, to provide guidance and best practices in adaptive and results-based management, bringing together common concepts, approaches, and terminology in conservation project design, management, and monitoring to help practitioners improve conservation practice.

threat reduction by the end of SCAPES,[2] implementing partners were required to report on threat reduction progress in their PMPs as part of the Miradi Threat Rating custom measure.

FINDINGS

According to implementing partner's PMPs, overall threat ratings in SCAPES landscapes have changed only slightly in most cases; however, some highlights of threat reduction were reported, such as reduced poaching of snow leopards in Sacred Himalayas and general poaching reduction reported in Kilimanjaro. Reductions in illegal off-take of wildlife, increased confiscation of illegally traded wildlife, and increased enforcement of poaching were cited in a number of landscapes, including Kazungula, Daurian Steppe, Ustyurt Plateau, and Ruvuma.

Reduced threats to forests were also reported in Kazungula, Madidi-Tambopata, and Eastern Cordillera, including reductions in deforestation, fire incidences, and overexploitation of forest resources. Specifically, in Madidi-Tambopata, a 2011 analysis showed that between 2005 and 2008, rates of deforestation within five kilometers of a main road were 400 percent lower than in corresponding areas outside of the Takana-managed lands. Several landscapes reported reduced threats to habitat from land conversion generally (Kazungula, Kilimanjaro, and Eastern Cordillera), or from changes to agricultural or grazing practices, specifically, as in Ruvuma, Eastern Cordillera, and Sacred Himalayas.

A few examples were also given of successfully changing the attitudes or plans of government officials in ways that would ultimately reduce threats to wildlife. In Kilimanjaro, project implementers worked with Amboseli Ecosystem Trust to help reroute a planned road that would have cut through Amboseli National Park and to reduce the new road's impact on wildlife dispersal areas. Project implementers also supported the trust in a successful lobbying effort to encourage the government to abandon plans to establish a 100,000-person city next to the park. Kavango-Zambezi reported changes in attitudes by leading officials and agencies and a change of perspective in southern African media. Three Kavango-Zambezi countries (Zimbabwe, Namibia, and Angola) are now piloting implementation of activities aimed at changing the international Terrestrial Animal Health Code and ultimately reducing the threat to wildlife movement that disease-control fences pose.

CONCLUSIONS

TBA is widely accepted and used; all SCAPES proposals identified major threats, with most realistically choosing to address one or two of those threats in their projects. All SCAPES implementing partners, except for Pact, reported using TBA before SCAPES. SCAPES opened new opportunities to partners to apply TBA to address transboundary issues. Achievements include reduced poaching as a result of improved transboundary law enforcement and data collection, and progress toward a policy shift to reduce disease-control game fencing and increase biological connectivity, which eventually could provide a major southern Africa-wide policy success. An analysis of these strategies is provided in the Transboundary Coordination (Section 6.5).

Given the limited project budget and timeframe, SCAPES was rarely able to impact mega-threats, such as international poaching, oil and gas extraction, and gold and other mining operations.[3] Road construction and infrastructure development, such as in Kilimanjaro, Madidi-Tambopata, Eastern Cordillera, Daurian Steppe, and Ustyurt Plateau, met with limited success. SCAPES generally concentrated on local and immediate threats in the landscape; main threats with root causes that occurred far away from the landscape were seldom addressed with SCAPES funding; however, a local immediate threat cannot be addressed effectively over the long term if an external root cause continues to influence the local threat.[4] One example is saiga horn trade in Ustyurt Plateau, where domestic demand for it was significantly reduced in Kazakhstan, but the international market still created demand for the product. International demand for saiga and rhino horn, elephant tusks, and wolf pelts typically originate from China or Chinese ethnic groups elsewhere in Asia.

Assessing threat reduction presented some issues because of the infrequent updating of the PMP threat-ranking reporting. Some implementing partners said the ranking process duplicated larger scale threats analyses. Some respondents found the analyses to be too time-consuming[5] and the threat-ranking scale and dashboard to be "complicated and difficult for partners to learn."[6] Especially for modest-sized projects such as SCAPES, use of existing region-wide or landscape-wide TBAs, along with supplemental analyses of micro-region threats would likely be more efficient than using this independent ranking system.

Most landscapes could only gauge threat reduction through before-and-after comparisons because they were not required to define counterfactuals.[7] Two uses of counterfactuals were used to quantify examples of success. In Kazungula, the deforestation rate in the control area was four times that of the project's Sekute Community Conservation Area. In Madidi-Tambopata, an analysis of deforestation showed that between 2005 and 2008, the rates of deforestation within 5 km of the San Buenaventura and Ixiamas road were almost 400 percent lower than in corresponding areas outside Takana-managed indigenous lands.

Relative Merit of the Key Principle

TBA has clearly been accepted by SCAPES implementing partners as a useful approach to project design. It has been less useful, however, in assessing project effectiveness in reducing threats, possibly because of cost, the timeframe needed for observing measurable changes as compared to the lifespan of the project, lack of counterfactuals, or limitations in threat-ranking systems.

RECOMMENDATIONS

- E3/FAB should request that USAID's Bureau for Policy, Planning and Learning develop an addendum to the Project Design Guidance encouraging the use of the Open Standards TBA in the design of new conservation projects.
- USAID and the implementing partners should consider simplifying the TBA rating and ranking tools to make them more useful for periodic monitoring and reporting and link this process to adaptive management guidance.
- The international demand side of threats should be included in problem analysis and project design of future landscape projects, with encouragement to link project activities to other efforts and organizations focused on addressing root causes at a larger scale.

2 Implementing partners used various tools to monitor and measure the reduction of threats to biodiversity. The World Wildlife Fund uses its Program and Project Management Standards system, African Wildlife Foundation uses its Program Impact and Assessment monitoring and evaluation system, Wildlife Conservation Society implements conservation activities using a threats-based Miradi approach, and Pact added the threats-based approach to its standard project design and monitoring and evaluation system.

3 In Daurian Steppe and Ustyurt, implementing partners met with oil and gas companies to discuss their potential support for conservation measures, but no consequences of that meeting have been reported.

4 USAID comment: One of the main tenets of the landscape approach is to go beyond addressing only proximate or immediate threats and instead to use the landscape as a heuristic for understanding what is driving biodiversity loss in the landscape to inform design of interventions at a larger scale in order to have a sustained impact on biodiversity targets within the landscape. This should be a really important finding of the evaluation. As worded, the report implies that because this was a landscape program, it concentrated on immediate threats: this is contrary to USAID's expectation that a good landscape approach would address the larger context of threats and drivers. It should also be noted that international mega-threats are at a scale well beyond what conservation organizations operating at even that larger landscape scale can effectively address or act upon.

5 One implementing partner said in its Performance Management Plan that a "threat ranking was conducted…in June 2010…and the next rating/analysis is scheduled to be done at the end of the Project." An informant said, "Frequency for updated rankings [was] determined based on availability of data, cost, and usefulness for adaptive management."

6 Implementing partner comment: SCAPES was in many instances one of several project-level investments in a larger program at the site. SCAPES reporting did not have a streamlined way to demonstrate results across the program; it only focused on those strategies and actions that USAID invested in. So reports informing this evaluation likely give a limited view of threats abatement or activities across a region.

7 Only after USAID Evaluation Policy was released in 2011 did the Agency take an active interest in counterfactuals. As one implementing partner informant commented, the SCAPES "program budget and timeframe did not lend itself toward broad investment in impact evaluation." Another informant said that "counterfactuals are often hard to find at landscape spatial scale."

4.2 SUSTAINABILITY

Key Principle 2: Aim to achieve financial, social, and ecological sustainability for interventions.

BACKGROUND

The RFA required applicants to demonstrate that the proposed programs would be implemented to achieve financial, social, and ecological sustainability, and articulate clear and attainable sustainability goals. Following are the three RFA sustainability requirements:

- Ecological sustainability should be articulated in the proposed project's conservation objectives, but also should be addressed in any proposed use of natural resources. Applicants are also instructed to include any planned analyses or actions related to climate change adaptation or resiliency.
- Social sustainability strategies should outline specific social sustainability methodologies and demonstrate an understanding of "social dynamics at sites, relevant stakeholders, consortium and organizational experience, and global best practices." Applicants are also encouraged to discuss "how marginalized people and gender issues will be supported" by the program.
- Financial sustainability was not defined, but the RFA encouraged applicants to address financial sustainability explicitly, with a clear explanation of financial resources needed for priority actions and a timeframe for achieving results. Applicants are also instructed to include analyses of a projected balance of external support and self-supporting financing for priority conservation actions.

Ecological and social sustainability were addressed in very general terms in the implementing partner proposals. Many of the implementing partners did, however, clearly describe the tools they planned to use to assess ecological sustainability, such as area management plans and non-timber forest products (NTFP) harvesting guidelines (WWF); biodiversity action plans, climate risk and adaptation analysis, and CBNRM planning processes (Pact); and landscape species approach (WCS) and social sustainability, such as socioeconomic surveys and participatory well-being and governance assessments (WWF), stakeholder assessments (AWF), and local governance barometer and organizational capacity assessments (Pact). Financial sustainability was not addressed satisfactorily in the SCAPES proposals, which provided little analysis and almost no measurable targets on project financial sustainability,[8] enterprise feasibility and sustainability,[9] or the link between enterprise sustainability and long-term financing of other project activities.[10]

FINDINGS

The following paragraphs give examples of sustainability success across landscapes, organized by the aspects of sustainability described in the RFA.

Ecological

Several approaches to achieving ecological sustainability were implemented through SCAPES, including compensation schemes to offset development impacts (Eastern Cordillera, Daurian Steppe); use of regional organization influence to encourage regional policy harmonization and adoption of best practices,[11] program institutionalization with participation and clear responsibilities of government entities and NGOs, backed by strong community support (Sacred Himalayas); strengthening of protected area management (all but Kavango-Zambezi and Ustyurt Plateau); and use of cost-effective monitoring systems (Ruvuma, Madidi-Tambopata). The preceding TBA captures some ecological sustainability successes in reducing threats to conservation targets.[12]

8 Project financial sustainability: Apart from donor funding, which the RFA explicitly said did not qualify as sustainable financing, who will finance the operating or running costs of activities post-SCAPES? Recurrent cost analyses can provide an understanding of how much funding will be required (e.g., patrols, salaries) to support ongoing costs. Implementing partners may have conducted recurrent cost analyses, but the results were not reported. The evaluation team is aware of one example: the Sacred Himalayas/Nepal KCA project's $200,000 a year budget.

9 Enterprise sustainability: Cost-benefit or breakeven analyses are used to estimate when an enterprise will be able to cover its operational costs and provide funds to continue other project activities, such as law enforcement and community-based natural resource management. This information was available for AWF lodges and fishing camps, but no further details were provided in implementing partner proposals or reports.

10 Analyses should estimate when and how much funding from enterprises could be provided to finance activities such as law enforcement and community-based natural resource management.

11 SCAPES project examples include working with the East African Community, Southern Africa Development Community, and South Asian Wildlife Enforcement Network.

Social

Social sustainability successes related to the institutionalization of community-based governance systems are described in the CBNRM theory of change (Section 6.2). Examples include gaining legal authority, receiving approval of community-based organization (CBO) constitutions, establishing functioning boards of trustees and assemblies, and establishing transparent financial management systems in Kazungula (Sekute Community Trust, Chobe Enclave Trust and Sikunga Conservancy), Ruvuma (Chipanjue Chetu), Madidi-Tambopata (the Takana indigenous region in Bolivia), Sacred Himalayas (the Kangchenjunga Conservation Area in Nepal), and the three focal areas of Eastern Cordillera.

Functioning management committees have also been established for fisheries along the Zambezi River in Kazungula. Conflict resolution systems have been successfully established with the Predator Consolation Funds (Kilimanjaro and Sacred Himalayas) and Amboseli Ecosystem Trust (Kilimanjaro) as strong models. Community and stakeholder involvement and buy-in have been essential and typically successful for each landscape program, with Sacred Himalayas as an excellent example.[13]

Village community banks, revolving funds, livestock insurance schemes, predator consolation funds, and girls' education scholarships funded through endowments have all helped build buy-in to the various conservation efforts, thus increasing their social sustainability. It is much more difficult to determine if sustained behavioral change, another element of social sustainability, has occurred, but qualitative evidence indicated successful behavioral change in Kazungula[14] on the use of sustainable natural resources.

Financial

Several innovative approaches to generating financial resources for conservation were implemented across SCAPES landscapes. Examples include local fundraising through cooperatives (Sacred Himalayas, Madidi-Tambopata, Daurian Steppe, Kilimanjaro), trophy hunting licenses (Kilimanjaro, Ruvuma, pending in Sacred Himalayas), community-based tourism enterprises (Kazungula and Kilimanjaro), and potentially the recently established Mobile Environmental Resource Center (MERC)[15] (Ustyurt Plateau). In Madidi-Tambopata, funds from sustainable natural resource enterprises such as caiman harvesting contribute to the management costs CIPTA, the representative body of the Takana Indigenous Community in Madidi-Tambopata, incurred to govern the Takana indigenous reserve in Bolivia. Several lodges are now operating, but they are not yet financially sustainable, such as Tawi Lodge in Kilimanjaro.

Only two examples of direct host government support are available: (1) the Mongolia Natural Resource Use Fee, with funds provided by mining operations that are distributed by the central government to affected communities; and (2) Kenya Wildlife Service's contribution to the land lease program and the Predator Consolation Fund.

CONCLUSIONS

According to implementing partner respondents, the implementing partners had been focusing on sustainability in the design and implementation of conservation strategies before SCAPES; however, SCAPES provided new opportunities to learn about sustainability and improve sustainability approaches. Several respondents indicated that they had learned

12 USAID comment: "Environmental sustainability should have been defined more precisely."

13 In Sacred Himalayas, over 100 local community-based organizations, such as user groups and mother groups, have been formed, legalized, and strengthened, and are now initiating conservation work and livelihood improvements. World Wildlife Fund uses local resource persons local people interested in receiving training and in turn training other community members to foster social sustainability. After they are trained, local resource persons and social mobilizers are given periodic refresher courses in the use of various governance tools.

14 Implementing partner comment: "There was a general acceptance by the community on the need for sustainable natural resource use while at the same time ensuring that their livelihoods were sustained. Their participation in natural resource management, and establishment of conservation enterprises was key to achieving balance between livelihood aspiration and natural resource management."

15 The newly operational Mobile Environmental Resource Center in Kazakhstan provides loans and job opportunities, plus environmental information and training. Loan interest is expected to cover the costs of its operations.

about sustainability in the first SCAPES annual meeting. It is expected that in the future design of USAID conservation projects the concept of localization will be emphasized in sustainability approaches, consistent with new Agency guidance on local systems.[16]

Ecological

SCAPES helped to varying degrees further ecological sustainability in the landscapes by selecting conservation targets, identifying their respective threats, and addressing those threats strategically. As evidenced from the variety of approaches taken by SCAPES implementing partners, ecological sustainability requires a diverse array of activities focused on all levels of intervention, from local to global and field-based to policy-oriented.

Social

SCAPES has sought to improve social sustainability by addressing critical needs (e.g., improved livelihoods), providing tangible benefits to communities (e.g., predator consolation funds, livestock insurance schemes, and rotating funds), and by doing so in a framework of local ownership. Significant successes have been achieved at institutionalizing conservation efforts through the development and support of numerous community-based organizations, with a focus on building capacity, increasing transparency, and fostering good governance. Policy work at local, district, national, and regional levels has also helped institutionalize conservation efforts. Some informants said community buy-in and support for conservation activities was bolstered by non-conservation benefits, such as educational scholarships, new school buildings, improved medical care and assistance, and improved access to clean water.

Financial

Donors will provide almost all follow-on funding for SCAPES landscapes. Assumptions that long-term financial mechanisms, such as CIPTA, the representative body of the Takana Indigenous Community in Madidi-Tambopata, incurred Reducing Emissions from Deforestation and Forest Degradation (REDD+), payments for ecosystem services, and carbon markets, would be available by project end proved too optimistic; no landscape has received funds from these sources.[17] Direct host government funding is available only in rare cases and for a few, but not all, project activities. Several positive examples exist of government support using conservation-related revenue transfers to communities (e.g., fines, fees, licenses, entry fees, and lodge and safari lease payments), but the proportion of project costs covered is generally small and long delays are not out of the ordinary, such as up to two years in Kilimanjaro-Tanzania). Transfers from profit-making enterprises are anticipated but available in only a few cases. Donor support continues to be needed to sustain most SCAPES activities. Except for Kavango-Zambezi and Ustyurt Plateau, implementing partners report that other donor funding has been located for the highest priority activities. As defined in the RFA, this is not considered sustainable financing, although it will give implementing partners additional time to seek or develop more financially sustainable options.

Relative Merit of the Key Principle

Ecological and social sustainability have merit for conservation projects, but could benefit from clearer definitions and metrics. Financial sustainability, however, appears to be the Key Principle with the least progress achieved by implementing partners, who often indicated that host country institutions would never provide adequate financing for the global conservation priority regions within their borders. This perception contrasts sharply with increasing calls for localization and sustainability in other development sectors. Long-term financial mechanisms remain promising but have been difficult to establish. Primary analytical tools used in other development sectors (e.g., recurrent cost analysis, economic and financial feasibility analysis, and business plans) were largely absent in the design and implementation of SCAPES.[18]

16 *Local Systems: A Framework for Supporting Sustained Development* (USAID, April 2014).

17 Of the six landscapes that explored reducing emissions from deforestation and forest degradation (REDD+) options, four are waiting for host governments to approve national REDD+ strategies (KZU, Kilimanjaro, Ruvuma, Eastern Cordillera Real), one host government is strongly against the market-based mechanisms of REDD+ (MT/Bolivia), and one is not eligible because the landscape is grasslands, not forest (Ustyurt Plateau).

18 These analyses were not explicitly required for implementing partners and little evidence of them exists in project reporting; however, they may have taken place.

RECOMMENDATIONS

- USAID and the implementing partner community should determine how to define sustainability for various types of conservation activities, considering the range of conditions under which implementing partners, communities, and governments are operating.
- USAID should consider funding additional integrated approaches to conservation and development, such as Population, Health and Environment programs, which USAID historically supports through the Bureau for Global Health and a number of Missions, as a way to increase buy-in and support for conservation activities.
- USAID and implementing partners should put additional effort into making the case to governments that it is worth investing in conservation. Training and education about the importance of conservation and natural resource management is imperative to build governments' capacity to promote financial sustainability in this sector.
- USAID Environment Officers should be required to attend the highly regarded USAID cost-benefit training course.
- USAID and the implementing partner community should adapt and make readily available, through USAID internal guidance and the Open Standards, a set of examples of recurrent cost analyses for projects and financial analyses for conservation enterprises, such as the Conservation Marketing Equation, developed by EnterpriseWorks/VITA with USAID funding. This could facilitate implementing partners' planning for the sustainability of their endeavors by helping them make financial decisions:
  - Determine initial startup costs (e.g., training and infrastructure).
  - Calculate how much recurrent cost funding would be needed annually to sustain the activity post-project funding (e.g., salaries and maintenance).
  - Identify possible options to cover recurrent costs, such as through local endowments, government funds, or dedicated accounts for resource revenues, such as fees, fines, and royalties.

4.3 ADAPTIVE MANAGEMENT

Key Principle 3: ***Apply adaptive management and be responsive to changing situations, information, and enabling conditions.***

BACKGROUND

The adaptive management concept in conservation and development programming is a focal area for USAID. The Agency's Project Design Guidance lists "incorporating continuous learning from adaptive management" as an Additional Principle of Project Design, stating that "the analytical basis for projects continuously needs to be updated, tested and upgraded in the course of project implementation […] project design should, therefore, incorporate plans to reflect on the evidence underlying project design, assess the implications of any likely divergence between anticipated and unanticipated outcomes, and facilitate reflection, additional analytic work, and course correction during project implementation." The Open Standards defines adaptive management as, "the incorporation of a formal learning process into conservation action…the integration of project design, management, and monitoring, to provide a framework to systematically test assumptions, promote learning, and supply timely information for management decisions."

The RFA requires all applicants to describe "…adaptive management processes that will be used to assess progress and use data collected to improve decision-making and program implementation and management. This adaptive management framework should include, but not be limited to, a robust and specific M&E protocol with associated results-oriented indicators for assessing progress toward goals over the life of the program."

Each implementing partner proposal described that implementing partner's institutionalized project monitoring system.[19] All of these systems track short-, medium- and long-term indicators on the status of

19 African Wildlife Foundation's Program Impact Assessment system; Pact's Monitoring, Evaluation, Feedback, and Learning plan; World Wildlife Fund's standards-based measuring and evaluation plans; Wildlife Conservation Society's "we follow Open Standards guidelines."

threats, biodiversity targets, socioeconomic factors, and strategies. These systems also gather and analyze information at the site, landscape, and biome or eco-region levels, with participation of project beneficiaries, field offices and country offices.

FINDINGS

The following paragraphs give examples of successful adaptive management across landscapes, organized into monitoring and adapting sections.

Monitoring

Monitoring approaches highlights implemented in SCAPES include the transfer and adaptation of the Management Oriented Monitoring System (MOMS) to Ruvuma, the introduction of a simplified monitoring system for national parks in Madidi-Tambopata using presence-absence analysis for mammals, and the establishment of a cross-border steering committee in Kilimanjaro that engages in project M&E, annual planning, and project decision-making.

Adapting

Highlights associated with "adapting" in SCAPES include examples from Daurian Steppe, Kilimanjaro and Ustyurt Plateau, ranging from identifying gaps in strategy, to shifting project focus due to political influences.

- In Daurian Steppe, project staff worked with a multi-agency team to develop a theory of change for a multi-agency approach to address poaching and illegal transboundary wildlife trade. Through this process, the team identified the need to strengthen enforcement in order to impact the behavior of violators and reduce poaching.
- In Kilimanjaro, an adaptive management decision was made to create a joint management and operational plan for three conservancies (Osupuko, Kilitome, an Nailepu) to function as a single structural unit, rather than developing separate management plans, which would have been a significant expense. Adaptive management was also used in Kilimanjaro, when AWF decided to modify planned activities in Kenya and shift focus to Tanzania during 2012 Kenyan elections, to avoid potential politicization of project work.
- In Ustyurt Plateau, law enforcement measures in Uzbekistan and the resulting distrust in villages toward the project needed a response. The project strategy was shifted to engage communities more positively in saiga conservation by raising awareness and developing project activities in close collaboration with communities, particularly the alternative livelihood and education components.

CONCLUSIONS

Eighty-five percent of implementing partner respondents said that they were already using adaptive management before SCAPES but that SCAPES helped them to further develop the concept. While adaptive management seems well accepted among SCAPES implementing partners, field staff do not clearly distinguish it from basic M&E,or from simply being flexible or opportunistic. For instance, almost all field staff interviewed equated adaptive management with project monitoring and work planning[20] and the adaptive management section of annual reports typically described changes in workplans or other adjustments to improve project performance. Many staff considered any change in program as being "adaptive management, even if it did not stem from testing assumptions, evaluating results, and learning from them. Often, examples cited were reactive to circumstances, as opposed to reflective on results.

Adaptive management in SCAPES could have been improved by explicitly identifying the central hypotheses, processes, and assumptions to track with the M&E plan, and by conducting mid-term evaluations.[21] SCAPES could have better incorporated existing monitoring data collected and analyzed by government or other projects and donors,[22] rather than duplicating efforts. Only a handful of sites[23] incorporated monitoring data in host government institutions at the landscape, sub-national, or national levels, or used these institutions to carry out adaptive management functions.

While adaptive management was typically valued by implementing partners as adding a dynamic, action-oriented feature to the more static concept of M&E, implementing partners also expressed a desire to make adaptive management more efficient and effective, and less costly. Furthermore, adaptive management is limited by USAID agreement constraints on increasing funds, moving funds between budget line-items, and what USAID funds can be used for; also, delays can occur while waiting for approval of changes to the original agreement or contract.

Relative Merit of the Key Principle

For most field staff, adaptive management has yet to distinguish itself from traditional project monitoring and periodic course corrections. More focus on adaptive management as a tool for testing assumptions, evaluating results, and adapting activities would strengthen application of this Key Principle.

RECOMMENDATIONS

E3/FAB should carefully define adaptive management's salient features, differentiating it from present USAID M&E systems and practices and emphasizing adaptive management as a total learning approach that draws data and insights from multiple sources and uses multiple adaptive mechanisms to respond, from small-scale assessments to more flexible contract mechanisms. E3/FAB should also compile examples of how these unique features of adaptive management have been successfully used in recent conservation projects.

20 One implementing partner reviewer noted that use of the term "adaptive management" in the evaluation survey and interviews may have been differently interpreted by respondents. They also noted that "Field staff was included in yearly annual workshops for reporting, work planning, and revisiting the results chains and program logic, and learning and sharing meetings, all components of adaptive management."

21 Mid-term evaluations are recommended but not required by USAID Project Design guidance.

22 Implementing partner comment: "Perhaps greater emphasis should be placed on adapting monitoring systems and AM functions to the needs and capacities of host government institutions, rather than the other way around. If the system works well for them and it meets their needs, then they are more likely to adopt it."

23 Implementing partners noted that in Madidi-Tambotata, WCS technical support focused on building cost-effective monitoring into the management practices of protected area authorities. In the three WWF landscapes, monitoring data is in the process of transition to government institutions or already is in their hands, specifically: the climate change monitoring system established in Eastern Cordillera Real; the fact that M&E data collected and owned by KCAMC in Nepal; and, in Ruvuma, Management-Oriented Monitoring System data are owned by communities.

4.4 SCALING-UP

Key Principle # 4: *Scale-up knowledge and impact to increase conservation success at sites, across the partnership, and among the global conservation community.*

BACKGROUND

Based on limited funding and widespread need for conservation, the RFA calls for interventions that foster broad-scale change with more people and partnerships, innovative approaches, and communities of practice to share knowledge. The RFA splits scaling-up requirements into two components: *impact and knowledge*.[24] According to the RFA, scaling-up impact depends on determining why success occurs as a first step in replicating and increasing impacts. This may include an assessment of the enabling environment or using best practices for social change methodologies. For the knowledge component, applicants were encouraged to provide "a framework to scale-up knowledge and learning from the landscape or seascape to the regional and global conservation and development community through the production of global public goods." The RFA also required potential partners to indicate how they planned to leverage financial resources from other donors to expand the ambit of their landscape program.

Implementing partners generally chose to expand work in landscapes where they had previously worked, stating that they already had plans for scaling-up in those landscapes, sometimes to the national and regional, multicountry levels. Implementing partner scaling-up frameworks typically referred to their continuing work in most countries in several locations and at multiple levels (site, landscape, sub-national, and national), and their organizational capacity to share successful programs in and among continents.

24 *Scaling-up impact:* "Determining why success occurs is key to replicating and increasing programmatic impact. Approaches may include examining issues holistically…as well as using best practices for social change methodologies to scale-up impact." *Scaling-up knowledge:* "After learning has occurred at the landscape and seascape level, scaling-up should foster learning across site-based activities, institutions, and sectoral practitioners."

FINDINGS

Successful examples of scaling-up across landscapes include the transfer of MOMS from Namibia to Mozambique (Ruvuma), the expansion of the transboundary cooperation model from a few border communities to full use along the frontier between India and Nepal (Sacred Himalayas), the Colombian protected area system adoption of a CCVA tool that was first used in landscape protected areas (Eastern Cordillera), and the scaling-up of the threats monitoring approach developed by WCS and implemented by the Bolivian parks authority, to three national parks in Peru.

Various plans to scale-up activities or strategies are in place in the different landscapes, including the replication of the Mongolian multi-agency task force model in the southern Gobi (Daurian Steppe), the beyond-fences approach to transboundary animal disease from Kazungula to Mongolia, and the Eastern Cordillera climate change adaptation activities to additional WWF programs. AWF plans to use successful models from Kazungula in its Heartland program. AWF also plans to expand models of land leases and easements for conservation, enterprise development, and transboundary coordination from Kilimanjaro and Kazungula to other landscapes. The Peruvian parks authority plans to implement the threats monitoring approach WCS developed beyond the initial three national parks to all protected areas in Peru.

CONCLUSIONS

SCAPES appears to have engendered limited direct scaling-up learning among implementing partners. The concept of scaling-up was well known and accepted by all implementing partners. Their participation in SCAPES did not significantly increase or change their broader institutional approaches to scaling-up.

Of the scaling-up examples, implementing partners generally chose to expand work in landscapes where they had worked previously, stating that they already had plans for scaling-up in those landscapes and sometimes for scaling-up successes to the national and regional levels; however, scaling-up in a SCAPES landscape has proven difficult due to time and funding constraints, which is particularly true for newer sites. Several implementing partners reported that after funds were identified for each landscape, they had to scale-down their original proposed projects; others who did not scale-down, said that they wished they had. Some implementing partners were able to access funds from other donors to support their projects. Several implementing partners reported that the five-year project term was insufficient time to scale-up successes to new communities.[25] In later annual reports, most implementing partners reported a focus on consolidating and closing out existing activities, rather than on scaling-up.

Implementing partner proposals, interviews, and reports do little to illuminate or add to the standard development scaling-up concept or the existing pathways on how scaling-up can occur. Successful pathways from development programs include (a) community focused-projects that have sequenced[26] their activities from an initial set of communities to a second or third set of communities over a five-year period while honing best practices and (b) projects that encourage the direct peer-to-peer transfer of successful models between local farmers, women's groups, mayors, park wardens, and even between other development organizations.

Although labor-intensive, some SCAPES projects worked simultaneously at multiple scales. Kavango-Zambezi has encouraged policy dialog in specific countries, at the Southern Africa Development Community (SADC) regional level, and even at the global level through engagement with the Food and Agriculture Organization of the United Nations of the United Nations (FAO) and the World Organization for Animal Health (OIE) colleagues. Simultaneously, it has supported testing of the non-geographic foot-and-mouth disease management model in Namibia, with Zimbabwe and Angola based on policy guidance the project has helped develop. Eastern Cordillera has carried out community and farmer-level climate change adaptation activities while also encouraging related policy changes at the sub-national and national levels.

Relative Merit of the Key Principle

Scaling-up appears to have more value for a multi-stage program-level approach than for a project-level approach. Hence, it is probably most useful for implementing partners with long-term commitments to a conservation region or with multiple projects in an ecosystem.

RECOMMENDATIONS

- E3/FAB should establish a definition for scaling-up so implementing partners can be clear on what is required and how it will be measured. This has been done by both the USAID Bureau for Global Health and Bureau for Food Security.
- E3/FAB and Missions should consider exploring scale-up pathways in more depth by analyzing successful examples of scaling-up across the USAID conservation portfolio.

CONCLUSIONS ON KEY PRINCIPLES

The four Key Principles were well integrated into the standard procedures of almost all implementing partners, but SCAPES fora and learning activities have helped develop and refine these concepts. The role of the four Key Principles in contributing to project outcomes is most apparent in the use of the TBA, which was a major component in implementing partner project design and helped focus SCAPES projects. The TBA, however, has been cumbersome and costly to use as a monitoring and reporting tool, and it was less effective in assessing threat-reduction performance. In the future, TBA could be improved by setting up counterfactuals and targets for threat reduction during project design, to improve performance assessments, by simplifying ranking and reporting tools and processes, and by ensuring that threat reduction activities are appropriately scaled to threat reduction targets.

Although sustainability was cited in project objectives, it is the Key Principle with the least demonstrated progress across SCAPES landscapes, particularly for financial sustainability. Potentially, this lack of progress could be part of a broader trend among conservation programs, which tend to lag behind other development sectors in achieving financial sustainability. For example, USAID agriculture and health projects have made strides toward local management and local financing of development projects. None of the SCAPES landscapes are now financially sustainable, although some progress has been made in securing modest funding from host governments, conservation-related revenue transfers, and profit-making community-run enterprises. It is recommended that USAID require new Environment Officers to attend courses that teach recurrent cost analysis, cost-benefit analysis and financial analysis for conservation projects so that they are equipped to manage projects in a financially sustainable way. To improve on the general lack of progress with sustainability, USAID and implementing partners should work to more clearly define sustainability for different conservation activities and project conditions, given different community, regional, and national contexts.

While the adaptive management Key Principle may have encouraged some implementing partners to spend more time and effort on establishing effective monitoring systems, such as in Madidi-Tambopata, overall, adaptive management in practice was not clearly distinguishable from standard project monitoring and periodic course corrections for field implementing partner personnel. USAID should work to clearly differentiate the salient features of adaptive management from present USAID M&E practices. Such a differentiation may focus on the process of hypothesizing, testing, and reviewing results through adaptive management, instead of merely implementing

25 Implementing partner comments: "A reduced geography would have better aligned with ongoing programs, allowing the SCAPES activities to augment and amplify our ongoing work in both countries," and "With hindsight, we certainly would revisit and redefine the scale (resources, capacity, and funding) for our SCAPES landscapes programs. With the large geographic scopes, target-based work on several major landscape targets, inclusion of time and effort-consuming policy-level transboundary work, and significant global drivers (wildlife crime and trafficking; transportation; and climate change), it would be prudent to keep the big picture in mind and be realistic in what approximately $1.7 million over five years (per landscape) can cover (even with match or leverage) and with additional global and local partners."

26 One implementing partner noted that sequencing is used in the landscapes funded through SCAPES, including: (1) Eastern Cordillera Real, with the incorporation of climate considerations in Colombia and Peru, then Ecuador; and building alliance in Colombia then Peru and Ecuador; (2) Ruvuma, where management-oriented monitoring system was piloted in initial WMAs and then moved to additional WMAs and into Mozambique; and (3) Sacred Himalayas where initial adaptation options were developed outside of landscape, moved to new areas within landscape, tested, and then scaled to new locations.

programmatic adjustments in reaction to changed circumstances.

Finally, although scaling-up was also included in project objectives, examples of scaling-up in SCAPES landscapes were limited. The evaluation found that the scaling-up Key Principle is only marginally valuable in a relatively short five-year project and is more appropriate for longer-term programs.

RECOMMENDATIONS FOR KEY PRINCIPLES

While the Key Principles conclusion summary makes specific recommendations on each of the Key Principles, the following recommendations apply to the Key Principles overall:

- USAID should reconsider which Key Principles are most useful to require of partners in future landscape projects based on the conclusions stated above. Some Key Principles may be more or less relevant, depending on the context and characteristics of the individual project.
- In future projects, USAID should ensure that the project design includes a requirement for M&E with periodic reporting for any Key Principle that implementing partners are expected to follow or implement. It is particularly important to implement this requirement to assess progress toward financial sustainability.

A man saddles his horse in the Ustyurt Plateau of Kazakhstan.
Photo: Matthew Erdman

5.0 TECHNICAL ANALYSIS: GENDER

Evaluation Question 2: ***To what extent were gender considerations taken into account in the design and implementation of SCAPES activities, and how did they affect outcomes?***

BACKGROUND

This section discusses USAID gender-related policies and requirements. Because some of these policies were promulgated after the SCAPES program was initiated, they do not apply to SCAPES but are provided for general context on how USAID approaches gender in conservation and other development programming. To distinguish clearly policies and requirements that apply to SCAPES, this section is divided into a general USAID section and a SCAPES-specific section.

SCAPES GENDER CONSIDERATIONS

The SCAPES RFA included only two references to gender. The first reference, in the Key Principles section on social sustainability, stated that "applications should specifically discuss how marginalized people and gender issues will be supported in program design and implementation." The second reference, in the reporting requirements section, stated that "Monitoring and Reporting Program Performance reports will include data on performance and impact indicators for each site or policy activity, including gender disaggregated statistical data on indicators." USAID prepared a two-page gender analysis in 2008 for internal use in putting together the SCAPES RFA.

Workplan guidance disseminated in September 2009 stated that gender considerations should be *strategically* integrated into workplan activities.[27]

27 USAID's guidance on gender in programming advanced significantly during the life of SCAPES, from basic guidance established a decade earlier. The Agency's Gender Equality and Female Empowerment Policy of March 2012 states that USAID investments aim to achieve three overarching outcomes: (1) Reduce gender disparities in access to, control over and benefit from resources, wealth, opportunities and services - economic, social, political, and cultural; (2) Reduce gender-based violence and mitigate its harmful effects on individuals; and (3) Increase capability of women and girls to realize their rights, determine their life outcomes, and influence decision-making in households, communities, and societies.

FINDINGS

Based on reviews of project documents, interviews, and field visits, the findings in this section highlight gender-related planned activities or strategies, implemented activities, and outcomes in the different landscapes, organized by implementing partner. Following these landscape findings, the text identifies some cross-landscape trends that inform gender conclusions and recommendations for gender consideration in future program design.

African Wildlife Foundation

AWF mentions gender in its proposal as part of livelihood improvements with both the Kazungula and Kilimanjaro workplans, mentioning gender to establish conservation-based enterprises with women's groups.

Positive gender engagement was demonstrated in both landscapes. In Kazungula, women were well-represented in project-associated trainings and employment. More than half of the Sekute community scouts trained in 2011 were female (6 out of 13), more than half of temporary and permanent employees at the Ngoma lodge were female, and more than a third of trainees on partnership and enterprise management skills were female (6 out of 15). It is not clear what specific activity or strategy led to these female participation results, but given that the project played a role in the trainings and lodge establishment, it seems that the engagement of women is at least partly attributable to the project.

In Kilimanjaro, an all-woman market access committee was developed to pilot a range rehabilitation project on 500 acres of land, including profit generation from grass seed sales, and increased income levels from participation in livestock development activities (105 women out of 206 in FY13). This notable result appears to be directly attributable to the conservation-based enterprise with women's group activities in the workplan.

Pact Consortium

The Pact consortium's proposal references gender in social and economic sustainability discussions, and the Ustyurt Plateau workplan mentioned the need to collect socioeconomic data to address gender dimensions and planned to provide livelihood alternatives to empower women. The project produced few gender results, however, which likely results from a switch in focus from Uzbekistan to Kazakhstan and the resulting delays in implementation activity.

Wildlife Conservation Society

The WCS proposal references gender only in the social sustainability discussion regarding women's roles in determining natural resource use. Few gender results were reported in Daurian Steppe or Kavango-Zambezi, with the exception of female participation in project trainings and workshops in Daurian Steppe (women made up 40 percent of participants for two trainings on wildlife monitoring and volunteer rangers and a herder community guidelines workshop) and a Global Environmental Politics meeting in Namibia on community-based conservation and gendered differences in natural resource access in Kenya-Tanzania.

In Madidi-Tambopata, WCS provided support to a Takana grassroots organization, CIPTA, in developing self-sufficiency strategies, funding proposals, and partnerships. CIPTA demonstrated progress in balancing male-female representation on their new board of directors and among other positions in the organization. One of the six secretariat positions on the board is a Secretariat of Gender, Tourism, and Culture. While WCS did work closely with CIPTA, it is not clear that WCS activities contributed to these gender-related outcomes.

World Wildlife Fund

The WWF proposal makes a number of references to gender and specifically mentions the planned use of Gender and Power and Underlying Cause of Poverty Analysis tools to map power relations in the control of natural resources and the environment at different levels, seeking opportunities for empowerment of women in local communities.

The Eastern Cordillera proposal mentions gender with sustainability, and the workplan includes gender analyses. WWF developed training modules on climate change vulnerability, with adaptation needs identified by men and women. To develop the capacity of the local implementation team to identify and address gender issues, WWF held staff 'Gender in Conservation' trainings. A notable gender-related outcome in the Eastern Cordillera is the representation of women in farm development plans, which aim to improve farm production while maintaining natural resources (20 percent of first 15 farm development plans were owned and managed by women; by the next year, 2012, 28 percent of the 116 plan beneficiaries were women).

Ruvuma also planned to analyze climate change vulnerability and adaptation strategies, with gender-sensitive analyses of proposed actions, and aimed to promote gender equity, with a focus on eliminating domestic violence. A gender outcome in Ruvuma was the development of a field visit tutorial by women of the Mpigamiti village that demonstrated human-elephant conflict mitigation techniques. While this outcome indicates that women were empowered to develop this tutorial and share their knowledge, it is not clear how this outcome relates to specific project activities or strategies.

Of all proposals, the Sacred Himalayas had the strongest gender component. The proposal provides detailed background on gender barriers in Nepal and describes CARE's work promoting gender equity in benefit sharing and access to natural resources and focus on empowerment and capacity building of women. WWF aimed to provide leadership training to potential leaders of traditionally excluded communities, and share "best practices on gender analysis, inclusion, equity, and good governance in biodiversity conservation and natural resource use […] across project staff and partners."

To address weak resource governance stemming from gender barriers in the Sacred Himalayas, WWF planned to train local resource persons, CBOs, project staff, government counterparts, and partners on power relations, gender issues, and good governance. Through use of a Wealth Being Ranking, which measures wealth relative to resource access and the decision-making, WWF planned to increase social inclusion and equitable benefit sharing. In developing adaptation strategies, WWF also planned to focus on women, and special trainings for female Community Forest User Group (CFUG) members on natural resources management were designed to reduce barriers to attendance, enable complete participation, and empower women in the CFUGs. WWF planned to support the Government of Bhutan to host a regional climate summit with gender as a cross-cutting issue.

Notable gender results in Sacred Himalayas include policy meetings and trainings on gender equity, social inclusion and capacity building, including:

- Several consultation meetings on equity and benefit sharing at the local level among Civil Society Offices (including the Women Development Office), service providers, and rights holders.
- Trainings on Gender and Social Inclusion for CFUG members, including equal benefit sharing mechanisms analysis, context mapping of social inclusion, strategies for mainstreaming gender into CFUGs, and preparation of joint action plans to apply gender and social inclusion provisions using Community Forest guidelines.
- Capacity building trainings on power relations analysis, gender and equity, and good governance for staff, partners, and government stakeholders.
- Several natural resources management trainings with a focus on female members of CFUGs to empower them to participate more fully in resource management, and one all-women's CFUG used revolving funds to provide loans for income-generating activities exclusively to poor, vulnerable, and socially excluded poor, vulnerable, and socially excluded households.

CROSS-LANDSCAPE FINDINGS

The following trends were found across the implementing partner landscapes and have relevance for evaluation conclusions and recommendations in the subsequent section.

Explicit Allocation of Budget and Resources

WWF was the only implementing partner to set budget and resources aside for gender-related activities; for instance, they "considered a differential approach to capacity building and the promotion of alternative agricultural systems related to gender," or gave priority to poor, vulnerable, and socially excluded families and groups in initiating livelihood opportunities, or in drafting constitutions for CBOs. Other implementers said that, while no specific budget or resources were set aside, gender was an important consideration during implementation of activities and selection of participants (e.g., training), and activity planning "implicitly accommodates for interventions specifically targeted to engage and benefit women."

Gender Integration Skills or Experience on Project Team

While most implementers said someone on the team had experience (either theoretical or practical), WWF was the only implementing partner to have their SCAPES program design reviewed by a gender advisor; they also consulted gender focal points for landscapes, and many staff (particularly in Eastern Cordillera Real) were given specific 'Gender in Conservation' training. The Pact project, however, did have a social scientist with specialist skills on gender issues who gave advice on community engagement and sustainable development components, and AWF's community development officers were experienced with gender issues, while WCS said gender was an integral part of all that it does.

Male and Female Staff Participation in Project Implementation

Questionnaire responses indicated that male and female staff participated equally in project implementation at all sites; it was also noted that several implementing partner field teams were led by women.

Targets Set for Women's Participation in Activities

PMPs had sex-disaggregated targets for several indicators: number of people trained in natural resources management and biodiversity conservation and hours

of training; number of individuals with increased economic benefits derived from sustainable natural resources management and conservation; and number of people with increased adaptive capacity to cope with impacts of climate variability and change. While AWF had equal targets for men and women, Pact targeted about five times more men than women, on average, for all indicators, except natural resources management training for men, which had only two times more. WCS and WWF targets were approximately one to two times more men for all indicators except receiving natural resources management training, where targets in a few landscapes were higher for women. In addition to PMP targets, according to laws in both Kenya and Nepal, CBOs must be one-third female and have one leadership position filled by a woman. Most landscapes sought active involvement of all community members while emphasizing the need for participation of women and vulnerable groups; others gave priority to poor, vulnerable, and socially excluded groups for capacity-building and livelihood opportunities.

Project Effect on Daily Lives of Men and Women

In Kilimanjaro, women who joined the lease project said they "felt financially empowered and that has changed their roles in some of the families as they became the sole bread winners in the families and they commanded a lot of respect among their male counterparts." Other AWF project activities, such as forest protection and water management, should have a positive long-term effect on women, who "carry the burden of most crop cultivation chores, water collection, and food preparation." In Mongolia, new SCAPES-supported rules and regulations may have affected men and women differently, with hunting rules impacting men more, and market regulations impacting females more. In Eastern Cordillera, many of the farmers WWF worked with on farm development plans were women, with Colombian households often "headed by women due to men leaving for employment elsewhere or being displaced as a result of civil conflict in the country." In Ustyurt Plateau, antipoaching measures probably had an increased negative impact on men, who are the traditional poachers, and on their household incomes. To compensate, the Pact consortium also focused on creating livelihood alternatives through its new resource center, MERC.

Community Participation in Project Decisions and Benefits by Gender

In most landscapes, men and women, for the most part, had relatively equal participation opportunities. Committees endeavored to have representatives from both sexes and meetings were conducted at times selected by the community to allow for the most participation. Participatory forums also were convened for people to share their views. Some activities were designed specifically to increase women's decision-making abilities (all women forest-user groups and mothers groups in Sacred Himalayas) or to increase women's financial independence (the women's association slaughterhouse in Kilimanjaro). However, due to strong cultures of the communities, women have always been marginalized when it comes to decision-making, and even with constant effort, participation of women in major decision positions is still low. Some roles continue to be male-dominated, including government, rangers, and customs agents, and female demand for equal participation in traditional male roles, such as caiman harvesting and marketing or herding, is low. At the schools, both girls and boys participate equally.

CONCLUSIONS ON GENDER

The gender considerations required of SCAPES were not significant or robust, particularly in light of new policy priorities and requirements of the Agency. The RFA made little mention of gender, the required USAID gender analysis at the time was only two pages long, and implementing partner reports only required sex-disaggregated targets in their PMPs, meaning that accountability for performance on gender was very limited. This lack of focus on gender in SCAPES requirements is likely attributable to the fact that SCAPES was designed before the USAID policies of 2012, 2013, and 2014 that called for stronger gender considerations in program design and management. Implementing partners considered gender to varying extents and with varying levels of success in both the design and implementation of SCAPES activities. Gender typically did not play a central role in most projects, but could have been underreported.[28] While there were some gender-related successes, overall, SCAPES gender work lacked a coherent or deliberate strategy.

An additional issue that could have led to less gender-related success and underreporting, is a lack of implementing partner understanding of the concept of "gender-related activities," as evidenced by some survey responses. Gender-related activities are more than just women-focused activities or activities where women participate; they are activities that actively empower women, reduce gender inequality, and strengthen women's ability to *genuinely* participate in conservation. Engaging men is a critical component of this process, as men are often in positions of power, and therefore needed as supporters of gender equality.

Despite minimal requirements, some implementing partners, particularly WWF, demonstrated clear gender-related success. These gender successes served to increase outcomes for strategies related to CBNRM, climate change adaptation, and sustainable enterprises as well, according to local informants.

RECOMMENDATIONS FOR GENDER CONSIDERATIONS

Given the new requirements of ADS 201 to conduct gender analyses and integrate results into project design, including performance monitoring indicators, evaluation plan, and reporting requirements, USAID should consider developing guidance related to budgeting for gender considerations and requirements. Budget advice could address the cost of gender analyses, level of effort for gender-focused staff, and cost of activities that may require additional funding to ensure equity (e.g., needing to hold separate-sex meetings, providing childcare during meetings, providing transportation to women without their own mode, or adapting resources and trainings for different literacy levels).

In cases where solicitations cover a broad geographic area, USAID should consider requiring the implementing partner to conduct a more detailed, site-specific gender analysis before or at an early stage of project implementation, which could be built into the proposal's budget. Once implementers have a strong understanding of who their stakeholders are, and the differences in how men and women interact with their environment, it is important to adapt project activities to attempt to bridge identified gender participation barriers, ensuring not just equal access, but equitable access and engagement.

E3/FAB should consider developing biodiversity-specific gender guidance, to share with partners as well.[29] This guidance could be adapted from the impressive set of gender guidance and tools recently developed by USAID's Feed the Future (FTF) program, and could build off the 2012 Gender Equity and Female Empowerment Policy, as well as the 2014 Biodiversity Policy. Feed the Future's guidance and tools include Guidance on Gender in the May 2010 Feed the Future Guidelines, Measuring Progress Toward Empowerment (May 2014), and Feed the Future's Women's Empowerment in Agriculture Index.

28 Implementing partner comment: "As gender was a specific component only in the PMP, an analysis of how gender was addressed explicitly by partners in implementation plans and annual reports is specious and risks readers misinterpreting the report to indicate that SCAPES partners are not concerned about empowerment of women in natural resource management decision-making, which is far from the truth."

29 USAID comment: Since completion of SCAPES activities, the E3/FAB Office has developed a comprehensive gender analysis to support development of the Biodiversity Policy (2014) and has initiated development of gender guidance for biodiversity programs in the forthcoming Biodiversity Handbook.

Community managed lands in Kenya provide critical grazing habitat for wildlife near Kilimanjaro. *Photo: Matthew Erdman*

6.0 TECHNICAL ANALYSIS: LIMITING FACTORS ANALYSIS

Evaluation Question 3: ***To what extent has SCAPES achieved success in overcoming the limiting factors identified through the Limiting Factors Analysis, and has the LFA been a useful tool for understanding project progress and improving project management?***

BACKGROUND

An LFA was conducted with landscape managers at several intervals throughout SCAPES, including a baseline in August 2010, led by E3/FAB; two midlines, November 2011 and February 2013, led by Pact; and an end line in June 2014, led by the evaluation team's Technical Specialist.

The LFAs had three objectives:

- To help USAID better understand factors that were limiting the ability of conservation to progress.
- To provide a measure USAID could use to compare limiting factors across a range of landscapes.
- To provide data points to track landscape manager perceptions about limiting factors.

LIMITING FACTORS ANALYSIS METHODS

For the 2010 baseline, each landscape manager was asked to rate the degree to which eight different factors limited conservation efforts at the overall landscape level and for each country in the landscape.

The 2011 LFA introduced categories based on the eight limiting factors, expanding information collected under each limiting factor to better understand the underlying rationale for ratings and ask questions about components of limiting factor categories.[30] This new methodology, which looked only at the landscape level, was used for all subsequent LFAs.

The original eight limiting factors in italics in the following list have arrows to indicate a change in category name, if applicable, and explanations of the potential limitations of each factor and category:

- Institutional Capacity. No management plans, insufficiently trained conservation managers, or inadequate infrastructure and equipment on part of government, NGOs, or other entities to conserve the landscape or seascape.
- Policy and Legislation. Governments did not support conservation and acted in ways that were destructive to conservation targets, such as promoting extractive industries in landscape or seascape, or no legal basis existed to protect conservation targets.
- Design → Scientific Knowledge. Insufficient understanding of the ecological needs of the conservation targets or inadequate understanding of the threats to the conservation targets and how to overcome them, including necessary spatial scale.
- Illegal Activities → Compliance and Enforcement. Compliance with laws that protect the conservation targets in the landscape or seascape were not monitored or violators were not prosecuted.
- Stakeholder Engagement → …and Support. Leading stakeholders, such as local communities, government, or even other NGOs, were not engaged and opposed or prevented conservation activities.
- Economic Context → Economic Activities in the Landscape. Economic activities in and around the landscape or seascape were not compatible with conservation.
- Financial Sustainability → Conservation Finance. Inadequate funding to support long-term conservation of the landscape or seascape.
- Management System → Adaptive Management. Conservation objectives not clearly identified, indicators or monitoring of indicators were inadequate, and processes to respond systematically to needs were lacking.

30 Acknowledgement is given to Paul Cowles, formerly of Pact, for his efforts in leading the LFA improvement process.

Respondents were asked to rate each factor in a category using a four-point scale:

- "Not Limiting," having no negative impact on conservation;
- "Manageable Problem," a definite issue but is being dealt with adequately;
- "Serious Barrier," requires more attention to forward conservation; and
- "Prevents Long-Term Conservation," a complete blockage to effective conservation.

Adaptive management was included in this analysis as a primary USAID interest, although it is not considered a limiting factor. As such, adaptive management is treated separately in this analysis and was evaluated using a different four-point scale: "Strongly Disagree," "Disagree," "Agree," and "Strongly Agree."

The LFA methodology was constrained by the following factors:

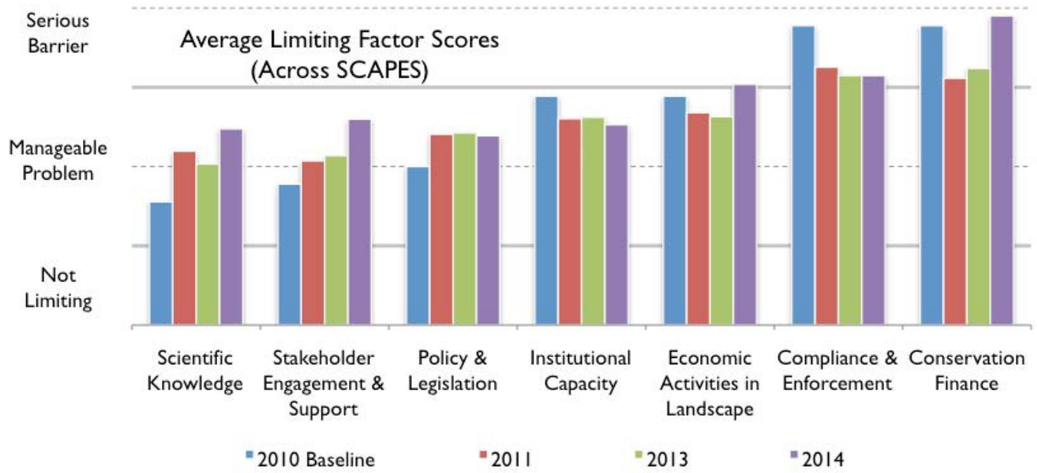
- Data are ordinal-level, but are treated as interval-level with mean (average) used as the measure of central tendency, which does not account for the potentially skewed data distribution.
- Data are based on perceptions of managers, and are, therefore, subjective because perceptions could vary with mood; also, some managers placed much more effort and thought into answering the survey than others did (e.g., providing comments).
- Year-over-year results are difficult to compare if managers change between surveys, due to differing perceptions; this was a factor in many landscapes.
- Most questions had an explanation area where respondents were asked to "describe specific trends or changes that may have had an impact on this factor over the past year." This was not mandatory, and, as such, many did not complete them. In one landscape, over the course of the last three surveys, only 5 out of a potential 129 descriptions were provided.
- Analysis looks at overall landscape without specifics about the countries in the landscape; for example, policies may be enabling in one country and limiting in another.
- Questions asked were not designed for a policy landscape and are biased toward site-based implementation.
- The four-point scale lacks sensitivity; a more-detailed Likert-type scale could provide a better picture and might overcome reticence about using the highest ranking.
- Comparing baseline data with data from subsequent analyses is not entirely feasible because of the differing methodologies and lack of detailed questions in the baseline survey.

FINDINGS

Figure 1 shows the average rankings for each of the limiting factors across landscapes, over the course of SCAPES. As of the 2010 baseline assessment, two factors ranked as serious barriers, compliance and enforcement and conservation finance, while the remaining five factors were ranked as manageable problems. Following are descriptions for the main trends for each factor and illustrated in Figure 1.

- **Scientific knowledge** and **stakeholder engagement and support** notably increased over the life of the project, although they maintained their ranking as manageable problems and remain some of the least limiting factors.
- **Policy and legislation** increased slightly after the baseline, but stayed relatively constant over the following three years, and also remains one of the least limiting factors.
- **Institutional capacity** is slightly less of a barrier now than at the beginning of SCAPES.
- **Economic activities in the landscape** only increased a small amount, but this increase tipped the factor ranking to a "serious barrier;" this change could be related to the new oil, gas, and mineral mining operations being implemented in places like Daurian Steppe and Ustyurt Plateau.
- **Compliance and enforcement** was notably reduced as a barrier after the baseline, but then remained steady throughout the rest of the project; it is on the cusp of moving into the manageable problem ranking.

Figure 1. Average Limiting Factor Scores (across SCAPES)

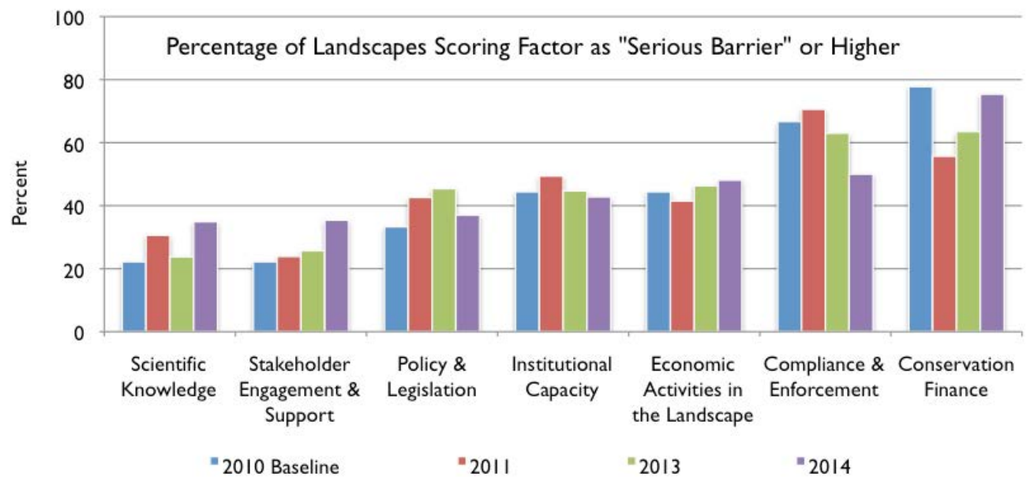


- **Conservation finance** continues to be the most limiting factor. It became less of a limiting factor between 2010 and 2011, but increased slightly past its original value at the endline survey

Figure 2 shows the percentage of sites that ranked each factor as "serious barrier" or "prevented conservation" over the course of SCAPES. This graph indicates that in the 2014 survey, the conservation finance limiting factor was a serious problem or prevented conservation at three-quarters of the SCAPES sites (75.4 percent). All other factors were serious problems or prevented conservation at between 35 and 50 percent of SCAPES sites, according to the 2014 survey.

Each of the limiting factors is evaluated regionally (Africa, Asia, and Latin America), and general regional summaries are provided, including factor trends that are becoming more or less limiting, and any significant changes.

Figure 2. Percentage of Landscapes Scoring Factor as "Serious Barrier" or Higher



Scientific Knowledge

Most changes in this limiting factor were minor across regions. In Africa and Latin America, most issues became slightly less limiting or stayed the same, and in Asia just one issue became slightly more limiting. The level of *knowledge of the economic value*s of the landscape became notably more limiting in both Asia and Latin America, and *stakeholder access to landscape management knowledge* became less limiting in Asia.

Stakeholder Engagement and Support

In Latin America, all issues except one became more limiting, and the following issues became significantly more limiting: active engagement of leading community, government, and private sector stakeholders in planning and decision-making processes for protected areas as well as the broader landscape; leading community and government stakeholders' support for the conservation of protected areas and the broader landscape; and leading private sector stakeholders' support for the conservation of the broader landscape.

While changes were mostly minor in both Asia and Africa, issues tended to become slightly more limiting or stayed the same in Africa, while issues became slightly less limiting in Asia. However, there were a few significant changes in Asia. Leading community and government stakeholders' support for the conservation of landscape protected areas became less limiting and active engagement of leading private sector stakeholders in planning and decision-making processes for protected areas in the landscape became more limiting.

Policy and Legislation

Changes across regions were mostly minor, with issues becoming slightly more limiting or staying the same in Africa and Latin America, and most issues becoming less limiting in Asia. There were some significant changes in Asia, however, with the following issues becoming significantly less limiting regarding the practice or implementation of: *national government policies respect the conservation of protected areas; transboundary policies respect the broader landscapes; international policies respect the broader landscapes; and local government policies respect the conservation of protected areas.*

One notable change in Latin America was that *existing national policies respect the conservation of the broader landscape* became less limiting.

Institutional Capacity

The changes across regions were variable. In Africa, changes were minor and typically became slightly more limiting, with the exception of *management plans for protected areas that are revised or updated regularly*, which became significantly more limiting. In Asia, almost all issues became less limiting, and several significant changes took place, including for protected areas, *with formal management plans that are revised or updated regularly; for Conservation Targets, formal management plans are used and updated regularly; and trained personnel (government, NGO, civil society, or community-based) are available to manage conservation targets* all becoming less limiting. Latin America had a mix of minor and significant changes, with most issues becoming more limiting or staying the same. Issues that became significantly more limiting included *for Conservation Targets, formal management plans exist, are used and updated regularly; trained personnel (community-based) are available to manage conservation targets; and collaboration between transboundary institutions.*

Economic Activities in the Landscape

Mostly minor changes occurred in Africa and Asia, with issues becoming slightly less limiting or staying the same in Africa, and issues becoming slightly more limiting or staying the same in Asia. One notable change in Asia was that *large-scale economic activities in the broader landscape* became more limiting. In Latin America, most issues became significantly more limiting or stayed the same, and the following issue became significantly more limiting: *medium-scale economic activities in the broader landscape*; and *large-scale economic activities in the protected areas and the broader landscape*.

Compliance and Enforcement

Changes were mostly minor in Africa and Asia, with most issues became slightly less limiting or stayed the same. One significant change in Asia was that *legal processes to enforce regulations are practicable in the protected areas in the landscape* became notably less limiting. In Latin America, however, most issues became more limiting, and some became significantly more limiting, including: *legal processes to enforce regulations are practicable in the broader landscape; and penalties for violations serve as a deterrent in both the protected areas and the broader landscape*.

Conservation Finance

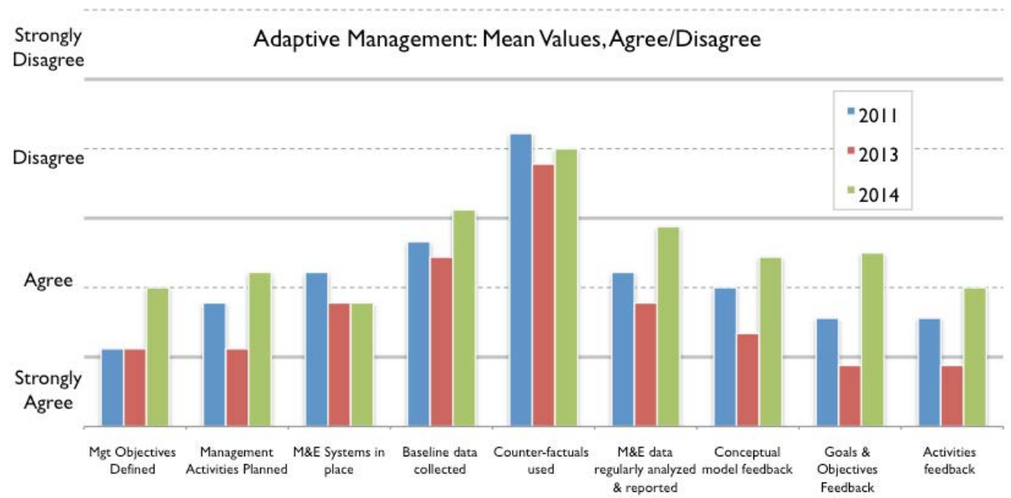
Changes were mostly minor in Africa and Asia, with all but one issue becoming slightly more limiting in Africa and most issues becoming slightly more limiting or staying the same in Asia. *Financial resources to implement conservation programs capable of addressing threats to protected areas in the landscape* did, however, become notably more limiting in Asia. In Latin America, most issues became significantly more limiting or stayed the same. *A long-term finance plan or strategy is in place for the protected areas as well as the broader landscape*; and *financing from multiple donors is coordinated for optimum allocation to needs* both became significantly more limiting.

Adaptive Management

The post-baseline adaptive management results are shown in Figure 3. These results indicate trends toward less agreement with each factor, although the majority of factors were agreed to on average, including management objectives being defined; management activities being defined and planned; M&E systems being developed; M&E data regularly analyzed and reported; and feedback mechanisms existing for conceptual models, goals and objectives, and activities. The majority of people disagreed that counterfactual data were collected, which is consistent with the fact that only Kazungula and Madidi-Tambopata reported the use of counterfactuals.

A slight majority of respondents disagreed that baseline data were collected before implementation of management actions. Out of the nine landscapes, four maintained the same answer as the previous year. Two "disagrees" switched to "agrees," which was balanced by two "agrees" switching to "disagrees." The response that flipped the average was one landscape, which changed their response from "strongly agree" (which it had been the two years previous), to "strongly disagree." This flip from one extreme to the other highlights one of the survey's limitations: the respondent was a different landscape field manager with a drastically different view than the one who completed the survey in previous years, making comparisons over time difficult. With only one response for each of the nine landscapes, one swing answer was enough to shift the average to an overall "disagree."

Figure 3. Adaptive Management: Mean Values, Agree or Disagree



One other potential issue for the adaptive management section could have stemmed from lack of question clarity. Based on several of the written-in comments, some people may have erroneously interpreted some of the questions to be referring to all implementing partners working in the landscape and common practices amongst them, instead of to their particular organization (Figure 3).

LIMITING FACTORS ANALYSIS CONCLUSIONS

Overall, SCAPES has not achieved much success in overcoming the limiting factors as demonstrated by the LFA. The results indicate that most of the changes in factors since the baseline were minor, but there was also a trend of factors becoming more limiting in Latin America, and these changes were significantly more limiting for five out of seven factors. Further, the LFA, in its current form, does not appear to be the most useful tool for understanding project progress and improving project management.

The LFA showed that compliance and enforcement and conservation finance are the two most serious barriers to implementing conservation activities in SCAPES project sites. Progress was made in reducing compliance and enforcement as a limiting factor; however, overall, the LFA suggests that most limiting factors have become *more* limiting over the course of SCAPES instead of less limiting. The reason is unclear; participants were asked to describe specific trends or changes that may have impacted factors, but responses were optional and limited information was provided.

Considering the method constraints, particularly the subjectivity of the day-to-day attitudes of a manager, and the lack of comparability of perceptions and assessments of different managers over the life of a project, the usefulness of an LFA is questionable. Feedback from the 2014 SCAPES Annual Meeting indicated this was a general sentiment among many implementing partner staff and some USAID staff. While not perfect, the result of E3/FAB's effort to develop a tool to gather and analyze information across a portfolio of landscape projects is commendable.

LIMITING FACTORS RECOMMENDATIONS

- An LFA may not be the most appropriate method to serve as a project-wide monitoring tool, given its bluntness and subjectivity. A baseline comparison of clear, measurable metrics relevant to the original project goals taken across project sites might serve as a better monitoring tool to allow USAID to gauge progress.
- If USAID chooses to continue using an LFA, the describing trend questions should be made mandatory, so that trends can be compared over time with more than just a number. Providing field managers with a copy of responses from their landscape from past years may help to normalize responses across years and managers.
- USAID should survey other approaches used by NGOs, international organizations, and donors to gather and analyze information across a portfolio of landscape projects and then, working with USAID Missions, determine which tools would be most appropriate for future use. If no useful tools are found, USAID may want to consider engaging the academic community to develop a more rigorous and non-biased analysis tool.

7.0 LEARNING FROM IMPLEMENTATION OF KEY STRATEGIES

Evaluation Question 4: ***What evidence exists that the implementation of SCAPES strategies[31] as led to successful conservation outcomes?***

During the life of SCAPES, USAID reinvigorated its commitment to evidence-based programming based on systematic learning. Important components of this reform, which are described in the 2011 USAID Evaluation Policy, include more widespread use of performance and impact evaluations, results frameworks and associated indicators, and systematic testing of assumptions and risks. Because SCAPES was well underway by the time the USAID Evaluation Policy was released, the project was not redesigned to meet the requirements of the Policy: it did not include experimental or quasi-experimental design with a counterfactual (which would facilitate impact evaluation) or performance indicators based on an explicit program-wide results framework and underlying theory of change (which would support a results-based performance evaluation). However, the Forestry and Biodiversity Office sought to use the SCAPES evaluation as an opportunity to inform future programming and support improved conservation practice by combining a theory-based approach with elements of a traditional performance evaluation to examine overall SCAPES outcomes and progress toward specific landscape conservation goals.

The conservation strategies implemented under SCAPES are found throughout USAID's biodiversity portfolio and are commonly used across the broader conservation community. Therefore, an assessment of the use and effectiveness of these strategies could inform future management decisions of USAID, implementing partners, and members of the conservation community. Specifically, the evaluation assesses actual outcomes in relation to intended results from implementation of strategies, and identifies associated enabling conditions and barriers to achieving desired conservation outcomes.

EVALUATION METHOD

In 2013, Measuring Impact worked closely with USAID and SCAPES partners to identify sets of common strategies being implemented by many of the implementing partners in the nine SCAPES landscapes and systematic approaches to understanding the effectiveness of those strategies as implemented under SCAPES. This process also involved a document review of work plans, annual reports, and PMPs of the nine projects. The seven sets of conservation strategies that were selected for assessment in the evaluation are listed in Table 2 with an indication of which implementing partners implemented each set of strategies, and in which regions and landscapes.

Measuring Impact then worked with USAID and the SCAPES implementing partners to develop a theory of change retrospectively to describe the sequence of outcomes that was expected resulting from the strategies.[32] A results chain was used as the tool to graphically depict causal linkages along each theory of change. Figure 4 defines the main components of a results chain. The evaluation team modified the initial theories of change after field visits and interviews with implementing partners.

Evaluators used key informant interviews and a survey to collect information on implementing partner strategies and outcomes on the theories of change, which were used as a framework for systematic learning

31 The term *strategies* is used in this evaluation report because it was used throughout the SCAPES design and implementation. More recently USAID's Bureau of Policy, Planning and Learning has recommended the term *strategic approaches* to align with Agency guidance and practice in the development of results and logic frameworks and other project design documents.

32 Weiss, C. H. 1995. *Nothing as practical as a good theory: exploring theory-based evaluation for comprehensive community initiatives for children and families*. Pages 65-92 in J.P. Connell, J. L. Aber, and G. Walker, editors. *New approaches to evaluating community initiatives: concepts methods, and context*. Aspen Institute, Washington, D.C., USA. http://www.theoryofchange.org

Table 2. Conservation Strategies by Region, Implementing Partner, and Landscape

Sets of Conservation Strategies	Region	AFRICA				ASIA		LATIN AMERICA		
	Implementing Partner	WCS	AWF	AWF	WCS	AWF	WWF	Pact	WWF	WCS
	Landscape	KAZA	KZU	KILI	RUV	DS	SHL	UST	ECR	MT
Governmental and Community Land Protection			X	X	X	X	X		X	X
Community-Based Natural Resource Management			X	X	X	X	X		X	X
Law Enforcement to Reduce Poaching			X	X	X	X	X	X		
Mitigation of Human-Wildlife Conflict		X[a]	X	X	X		X			
Transboundary Coordination		X[b]	X	X	X	X	X	X	X	X
Climate Change Adaptation		X			X	X	X	X	X	
Sustainable Enterprises			X	X	X	X	X	X	X	X

Legend: AWF = X, DS = X, ECR = X, KAZA = X, KILI = X, KZU = X, MT = X, RUV = X, SHL = X, UST = X, , WCS = X, WWF = X

Notes: (a) Mitigation of human-wildlife conflict was not assessed for Kazakhstan-Uzbekistan, although the Wildlife Conservation Society considers the issue of disease management at the livestock-wildlife interface to be a form of human-wildlife conflict mitigation; in addition, strategic realignment of fences is key to alleviating elephant populations from the current state of being bottled up, as in the NG13 section of northern Botswana, and it is thus an important mitigation strategy.

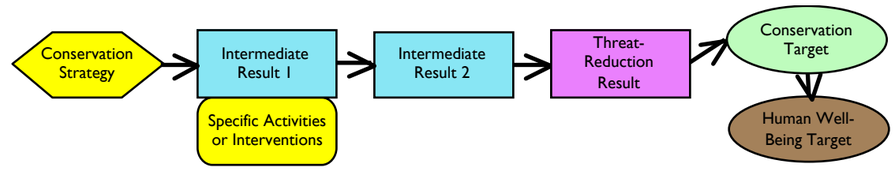
(b) Climate change adaptation was not assessed for Kazakhstan-Uzbekistan, although Wildlife Conservation Society considers fencing realignments to be among southern Africa's best hopes for climate change adaptation from both a development and conservation perspective; the ability of pastoralist communities, their livestock, and wildlife to adapt to the predicted ongoing drying trend depends on more north-south connectivity and corridor creation to allow for animal and human movements.

across a highly complex portfolio of sites, strategies, and contexts to help USAID and implementing partners identify lessons learned on the effectiveness of project approaches, including enabling conditions and barriers to achieving outcomes for common SCAPES strategies.

This approach has important limitations. SCAPES activities were not designed to test a specific development hypothesis prospectively, or a particular theory of change related to common strategies. Very limited baseline data were included in SCAPES proposals. As such, common indicators were not developed and monitoring data were not collected to enable a more rigorous assessment of the assumptions and the effectiveness of common strategies to achieving outcomes along the theories of change. The theories of change were therefore developed for the purpose of a retrospective assessment. The evidence collected regarding outcomes is qualitative and descriptive and causality among interventions and outcomes could not be more rigorously tested. The activities included in the evaluation are generalized across the landscape projects to find commonalities among them for learning purposes, and therefore do not necessarily reflect some particularities of the strategies used by individual implementing partners in their landscapes. Evaluating the outcomes of nine transboundary landscape-scale conservation projects on three continents is challenging given their biophysical, institutional and cultural complexities. In any given landscape where biodiversity has many influencing factors, it is difficult to attribute biophysical impacts as resulting from any specific conservation strategy. Because the focus was on cross-landscape assessment, some strategies that may have been important in a particular landscape may have not been assessed. The assessment, therefore, focused on cross-landscape learning for a set of common strategies rather than an evaluation of outcomes that are directly attributable to specific projects.

Figure 4. Guide to Understanding Results Chain

GUIDE TO UNDERSTANDING RESULTS CHAINS



	Conservation Strategy: A set of conservation activities undertaken by the project staff or partners to reach one or more objectives and ultimately reduce threats and improve the viability of the conservation target.
	Intermediate Result: A specific benchmark or milestone to mark progress a project is making toward accomplishing an objective or final goal through strategy implementation (e.g., rangers have improved knowledge, more effective law enforcement).
	Activities and Interventions: An activity is a specific action or set of tasks undertaken by project staff or partners to reach one or more intermediate results for a given strategy (e.g., train rangers).
	Threat-Reduction Result: A specific type of intermediate result that represents a reduction in a direct threat to the target (e.g., decrease in illegal hunting).
	Conservation Target: An element of biodiversity at a project site, which can be a species, habitat/ecological system, or ecological process that a project has chosen to focus on (e.g., elephants, forests).
	Human Wellbeing Target: In the context of a conservation project, human wellbeing targets focus on those components of human wellbeing affected by the status of conservation targets (e.g., livelihoods from ecotourism).

The conservation strategies are discussed in detail in subsequent sections, including a description of the strategies and corresponding theory of change, a results chain diagram, findings, conclusions, and recommendations for future strategy design.

7.1 GOVERNMENTAL AND COMMUNITY LAND PROTECTION

Strategies to facilitate land protection and management by government and community groups were implemented in seven landscapes, listed in Table 3. Figure 5 shows the results chain for this set of strategies, followed by a description of the theory of change. Findings are then discussed by landscape and across landscapes, followed by conclusions, which include enabling conditions, barriers to achieving outcomes and recommendations for strategy design.

GOVERNMENTAL AND COMMUNITY LAND PROTECTION THEORY OF CHANGE

Measuring Impact, with implementing partner input, initially developed the theory of change results chain shown in Figure 5, and then the evaluation team modified it after field visits and interviews with the implementing partners; however, implementing partners did not necessarily implement all activities or anticipate all results in the theory of change, but rather only those that applied in the context.

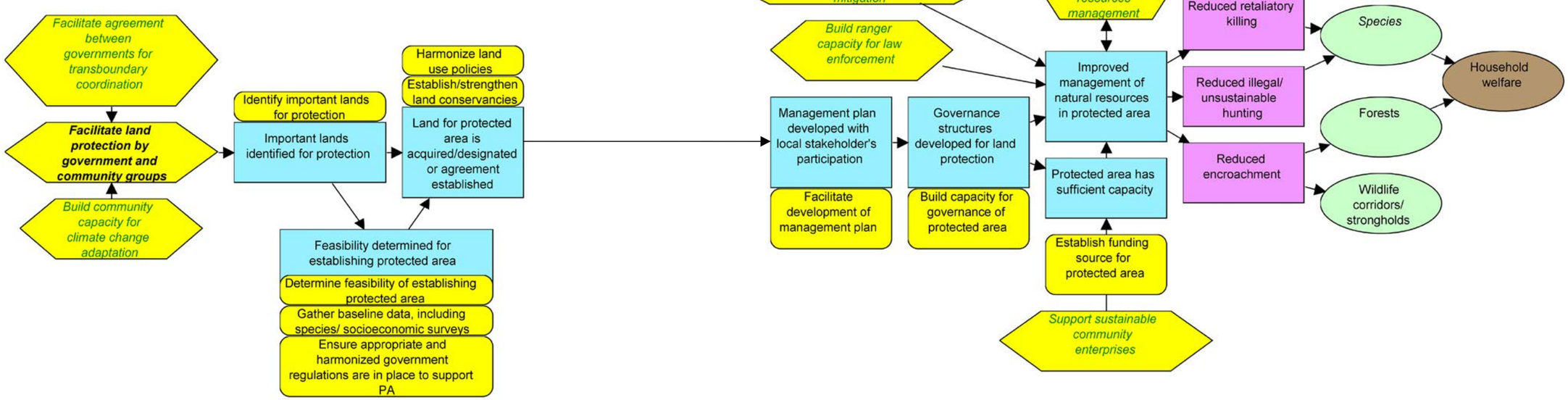
The first step for some implementing partners in facilitating land protection was identifying appropriate lands. In some instances, identifying lands for protection was supported by strategies related to climate adaptation and agreements between governments for transboundary coordination. Having lands identified for protection for some implementing partners led to understanding the feasibility of establishing a protected area, which was also supported by gathering baseline data, exploring options for financing the protected area, and ensuring that appropriate government regulations are in place to support the protected area. Determining the feasibility for establishment allowed for the land to be acquired or designated as a protected area. Building support with local communities, establishing local conservancies, and harmonizing land use policies

Table 3. Landscapes Implementing Governmental and Community Land Protection Theory of Change

AFRICA				ASIA			LATIN AMERICA	
KAZA (WCS)	KZU (AWF)	KILI (AWF)	RUV (WWF)	DS (WCS)	SHL (WWF)	UST (Pact)	ECR (WWF)	MT (WCS)
	X	X	X	X	X		X	X

Legend: AWF = African Wildlife Foundation, DS = Daurian Steppe, ECR = Eastern Cordillera Real, KAZA = Kenya-Tanzania, KILI = Kilimanjaro, KZU = Kazakhstan-Uzbekistan, MT = Madidi-Tambopata, RUV = Ruvuma, SHL = Sacred Himalayas Landscape, UST = Ustyurt Plateau, WCS = Wildlife Conservation Society, WWF = World Wildlife Fund

Figure 5. Results Chain for Governmental and Community Land Protection Theory of Change



were actions identified by implementing partners that facilitated the designation or acquisition of a protected area. Establishing the protected area was intended to result in improved management of natural resources, which was commonly supported by activities related to developing governance structures to oversee the protected area, developing a management plan, and ensuring that the protected area has sufficient capacity for ongoing management.

Implementing partners commonly worked to improve management of protected areas by implementing strategies to improve law enforcement to reduce poaching, mitigation of human-wildlife conflict, and CBNRM (which each have independent theories of change because they also relate to areas not in protected areas). Improved management of the protected area's natural resources over time is expected to reduce threats such as retaliatory killing and unsustainable hunting of wildlife, and reduced encroachment into forest and wildlife corridors and strongholds. One implementing partner identified that improving the condition of species and forest through land protection was expected to improve household welfare.

GOVERNMENTAL AND COMMUNITY LAND PROTECTION FINDINGS

The strategies implemented and outcomes achieved that relate to land protection are highlighted for the different landscapes below. The relevant objectives that were identified in the corresponding implementing partner proposals are provided as well. Following these individual landscape descriptions, cross-landscape findings are discussed, including the main assumptions that were found to underlie the theory of change.

LANDSCAPE FINDINGS

Kazungula

Proposal Objective: AWF intended to ensure access and sustainable management of wildlife habitat of both sides of the Zambezi River and across international borders and to establish and develop the Sekute Conservation Area in southwest Zambia.

Strategies:

- Acquire or designate land for the protected area.
- Build community support for land protection.
- Build ranger capacity for management plan implementation.

Outcomes:

- A 20,000-hectare portion of the corridor was secured under an easement, the Sekute Community Conservation Area.
- An application is pending with the Zambian Wildlife Authority to establish a wildlife breeding sanctuary on 5,000 hectares of this Conservation Area.
- A total of more than 40,000 hectares of land are under improved conservation management.
- An easement was facilitated through AWF's "Easements for Education" project, and they built a school for the community in return for the conservation easement agreement.
- Zambian Wildlife Authority rangers received supplies and equipment to help put a white rhino management plan in place for Mosi-oa-Tunya National Park.

Kilimanjaro

Proposal Objective: AWF planned to protect the Amboseli-West Chyulu Wildlife Corridor and the West-Kilimanjaro Ranch.

Strategies:

- Acquire or designate the protected area.
- Develop a management plan.
- Develop governance structures for land protection.
- Establish or strengthen land conservancies.

Outcomes:

- Four conservancies are established around the Motikanju and Kimana wetlands, and the Kimana Wetlands Association.
- Three other conservancies are established in the Amboseli-West Chyulu corridor, adding 4,905 hectares of protected land.
- The Kitenden corridor is partially protected with the creation of a conservancy, adding 3,072 hectares of protected land.
- In Tanzania, the Kismiri corridor is mapped, the Lake Natron Wildlife Management Area (WMA) is formally established, and a Resource Zonal Management Plan is in place for the new WMA.
- Progress has been made toward operationalizing the Enduimet WMA with the construction of a lodge in partnership with a private investor.
- In total, at least 473,852 hectares of land are now designated for protection through the lease projects in Kenya and the WMA processes in Tanzania.

Ruvuma

Proposal Objective: WWF planned to make three corridors operational through improved management.

Strategies:

- Acquire or designate land for protected area.
- Assist stakeholders along corridors in implementing the management techniques necessary to establish and maintain biodiversity corridors over time, while helping to improve food security.
- Facilitate development of management plans.
- Build capacity for governance of protected area.

Outcomes:

- In part due to major staff reductions in WWF/Tanzania due to corruption, this vastly pared down project is far from completing initial objectives. Three wildlife corridors have been identified and operationalized, management plans have been developed for two WMAs and a community-owned MOMS has been introduced in the corridors.
- In Tanzania, the east and west Niassa-Selous corridors are partially protected by two WMAs, totaling 370,900 hectares.
- In Mozambique, the Niassa-Lake Niassa corridor is partially protected by the 500,000 hectare Chipanje Chetu Community Conservation Area.
- A total of 870,900 hectares of land are under improved management, with either land use plans, resource zonal management plans, or management plans developed, management strengthened, and monitoring systems put in place.

Daurian Steppe

Proposal Objective: Under the objective, building transboundary support for conservation, objective, WCS planned to conduct a landscape species analysis to identify areas for ensuring transboundary connectivity and to set priorities for collaborative implementation of existing bilateral or multilateral agreements.

Strategies:

- Build capacity for governance of protected area by supporting a meeting of the Eastern Mongolia Protected Area Administration (EMPAA) to plan collaborative conservation projects for Mongolian gazelle and white-napped cranes, and funded an EMPAA official to participate in a Miradi-based management plan development training.
- Facilitate discussions for transboundary coordination. WCS facilitated an EMPAA visit to Russia's Daursky Biosphere Reserve for transboundary discussions on Dauria International Protected Area, and is working on expanding the grasslands under protection in the Russian portion of the Steppe.

Outcomes:

- The Steppes of the Dauria is officially nominated as a transboundary UNESCO World Heritage site.
- The patrolling, management, and wildlife monitoring capacity of the Dauria International Protected Area is strengthened.

Sacred Himalayas

Proposal Objective: WWF planned to mobilize communities for participatory resource management, including building capacity for management and developing management plans for critical areas.

Strategies:

- Acquire or designate land for protected area.
- Build capacity for governance of protected area.
- Facilitate development of management plans.
- Determine feasibility for establishing a transboundary protected area.
- Build community capacity in natural resource management.

Outcomes:

- Five forests totaling 1,001 hectares were handed over to communities for management by the CFUGs.
- Forest operational plan in place for the five forests referenced above, and seven other community forests, for a total of 29 forest operational plans.
- Pastureland management groups now have over 1,000 hectares of pasturelands under management, involving sustainable grazing regimes, restoration of water sources, removal of invasive species, and renovation of access trails.
- In total, 203,500 hectares are under improved management.
- Natural resource governance is strengthened in ten CFUGs and five Conservation Area User Committees through the use of Public Hearings and Public Audits.
- The potential for a binational peace park with Sikkim, India, has been identified, but establishment is delayed due to the need for policy decisions from both countries.

Eastern Cordillera Real

Proposal Objective: WWF intended to ensure protection and management of landscapes and ecosystem services to reduce vulnerability to climate change.

Strategies:

- Acquire or designate land for protected area
- Gather baseline data on species to inform establishment of protected area

Outcomes:

- 142,176 hectares are designated as protected areas, 40 hectares of connectivity corridors and 2 hectares of buffer zone are restored, and 42 farm plans in place for surrounding lands.
- Climate niches are modeled for 54 bird and 27 mammal species with restricted distribution or considered to be vulnerable or threatened by IUCN criteria, and seven climate refuges have been identified using modeling data.
- Several private conservation areas established with local farmers on 78 hectares around Alto Fragua–IndiWasi National Park.

Madidi-Tambopata

Proposal Objective: WCS intended to build adaptive management capacity to conserve biodiversity, improve livelihoods and maintain flows of ecosystems services in indigenous territories and transboundary protected areas.

Strategies:

- Build capacity through trainings and workshops for governance of protected areas.
- Facilitate development of management plans with protected area authorities.

Outcomes:

- An updated management plan is in place for one protected area in Peru (Bahuaja National Park), and monitoring and reporting capacity improved in two other Peruvian national parks (Manu and Tambopata).
- In Bolivia, integrated monitoring programs and environmental action plans are in place for three national protected areas (Apolobamba, Madidi, and Pilón Lajas).
- Integrated Land Management Plan (the Takana Life Plan) are in place for the Takana indigenous territories.

CROSS-LANDSCAPE FINDINGS

The following findings indicate trends that were observed across the SCAPES landscapes for strategies implemented and outcomes achieved, as applicable.

- The types of protected areas established with the support of USAID/SCAPES are diverse, including: indigenous territories, privately protected lands, and traditional national parks in South America; WMAs, block farms, conservancies, community trusts and community conservation areas, national parks, and national forests in Africa; and community forests and conservation areas in Asia.
- Building capacity for the governance of a protected area, facilitating the development of management plans, and building community capacity for natural resource management were frequently cited in relation to achieving improved management in protected areas. Less frequently mentioned were determining feasibility for establishing a protected area and ensuring that the protected area has sufficient capacity, including funding sources.
- All protected areas were dependent on external technical support for management and monitoring, with the exception of South American and South Asian landscapes.
- Based on experiences across SCAPES, the timeline for identifying an appropriate protected area location, designating it as a protected area, establishing a management structure, and building protected area management capacity takes a minimum of 15 years.
- Outcomes typically referred to hectares of land protected or conservancies established, and to improved management of land through new or updated management plans or monitoring systems. The implementing partners did not report reductions in threats or improved status of species or ecosystems as a result of land protection strategies. This may be a consequence of the long timeframe for achieving the outcomes described above, or possibly the lack of monitoring for these ultimate outcomes.

Assumptions

Following are some important assumptions identified by implementing partners that influenced the outcome achievements along the theory of change:

- Government support: Governments would stay the same and would continue to support protected area networks, enforce management plans, provide extension services, and be supportive of community conservation efforts.
- Legal support: A legal framework for land protection and community based conservation exists, is being implemented and legislation would remain stable.
- Community support: Communities would designate land for conservation (and not succumb to higher value offers), use natural resources management training information, implement management plans, and establish community enterprises.
- Efficacy of strategy: Establishment and management of protected areas (both national parks and community managed) would be sufficient to conserve landscapes and their biodiversity, and other land was available for other uses.

GOVERNMENTAL AND COMMUNITY LAND PROTECTION CONCLUSIONS

The establishment and support of government and community-managed protected areas is an area of vast experience and effort for the SCAPES implementing partners. The strategies to facilitate land protection by governments and communities, implemented in seven landscapes, saw implementing partners working with a variety of land protection mechanisms. These include indigenous territories and privately protected lands as well as traditional national parks in South America; WMAs, block farms, conservancies, community trusts and community conservation areas as well as national parks and national forests in Africa; and community forests and conservation areas in Asia. Building local capacity over time has been a significant factor in these successes. **At least 9.5 million hectares[33] of biologically significant land and natural resources are now under improved management as a result of SCAPES**.

Frequently cited landscape-level outcomes for land placed under protection included management plans implemented, improved community capacity, strengthened governance, and improved monitoring programs. Building local support and management capacity appeared to be particularly critical determinants in achieving improved management of natural resources in protected areas. It appears as if outcomes are achieved in three major phases (which may overlap in time): (1) establishment of the protected area; (2) policy alignment to support and sustain gazettement; and (3) capacity in place for improved management. Achieving meaningful results in each of these areas had significant impact on overall effectiveness of land protection strategies toward improved management of natural resources in protected areas.

33 The latest Performance Management Plan numbers were not available for Fiscal Year 2014 when this report was written.

ENABLING CONDITIONS FOR ACHIEVEMENT OF OUTCOMES

The following enabling conditions were found to support the achievement of outcomes as a result of implementation of strategies related to land protection.

- Good governance structures: A well-established community-based governance and development body, such as Zambia's Sekute Community Development Trust in Kazungula or CIPTA, the representative body of the Takana Indigenous Community in Madidi-Tambopata, can advocate for community ownership and management of natural resources as part of land protection.
- Appropriate legislation in place: Laws allowing for community participation in wildlife and fisheries management, as well as benefit sharing, can pave the way for establishment of community-based protected areas and management, which help to build local support for protected areas.
- Sufficient capacity: Educated community members can help to facilitate establishment and management of protected areas as well as having skilled employees at the public agencies charged with protected area management.
- Stakeholder buy-in: Establishment and management of protected areas can be enabled by the trust, goodwill, and cooperation of the following stakeholders:
  - *Community members*, such as in Daurian Steppe where herders are interested in management of traditional pasture lands and motivated to do more in partnership with local authorities, and in Kilimanjaro where seeing tangible benefits to conservation increased buy-in.
  - *Community leaders*, such as in Kazungula, where the Sekute chief was willing to cede land for conservation.
  - *Wildlife authorities and parks and fisheries departments*, such as in Kazungula, where they approved the establishment of a conservancy and facilitated the fisheries management planning process.
  - *Other government agencies,* such as in the Daurian Steppe where the Multi-Agency Taskforce collaborates on antipoaching efforts.
  - *Private sector,* such as in Kilimanjaro where investors contribute to the land lease project and support law enforcement.
- Collaboration with local NGOs: Collaboration allows organizations to focus on their areas of strength and expertise and partner with other organizations that complement their activities. In some cases, collaboration with local NGOs also allows organizations to take advantage of existing partnerships with communities.

BARRIERS TO ACHIEVEMENT OF OUTCOMES

The following factors were found to pose barriers to achievement of outcomes:

- **Government inefficiency:** Delays in getting relevant government field staff and extension staff to be available to facilitate processes, as well as government reorganizations and loss of institutional memory were barriers to building support and capacity for protected area establishment and management.
- **Differing community-based management policies and strategies:** Different government agencies have different regulations and frameworks governing community engagement in land protection and natural resource management and conservation, such as community-based pasture management, watershed management, and biodiversity management.
- **Limitations for protection:** Large spatial scales and insufficient ranger-to-range ratios, such as in the Daurian Steppe, make reliance on ground patrols in protected areas challenging, particularly when easy access from urban areas using 4x4s increases threats. Aircraft or unmanned aerial vehicles would enhance law enforcement effectiveness for improved management of protected areas.
- **Resource conflicts:** Questions over land ownership, such as with Sacred Himalayas' community forests, where some people still try to claim land rights and charge use fees under the now-obsolete traditional kipat system, plus the competing land use interests, such as in Kilimanjaro where land owners can be tempted by high demand to lease or sell land for crops or other incompatible development can greatly delay or complicate achieving formal legal gazettement of a protected area.
- **Security issues:** Conflict can impede improved management of protected area. An example is the guerilla presence in Colombia that forced WWF to scale-back on field work in Alto Fragua.

RECOMMENDATIONS FOR FUTURE DESIGN OF LAND PROTECTION STRATEGIES

Following are recommendations for the future design of land protection strategies based on the preceding conclusions:

- **Landscape definition:** To determine what can be addressed through a land protection strategy, consider the extent of the geographic area that can be reasonably protected and managed with the given resources constraints. In both Daurian Steppe and Kazungula, the very low ranger-to-range ratio made effective patrolling difficult.
- **Evidence base:** In the design of land protection strategies, identify the extent of the most important biological resources to be conserved before establishment of a protected area. This step requires data collection and analysis, which takes time and money, but can provide valuable insights.
- **Timeframe:** Determine the timeframe, phases, and significant results for each phase for a long-term land protection strategy. If beginning work in a new landscape with the first activity (identifying important lands for protection), the long-term project timeframe should be 15 to 20 years, and even longer for a transboundary protected area. For shorter projects (e.g., 5 years), land protection efforts should be focused on areas where implementing partners have a continuing long-term presence.
- **Legal framework:** Ensure the existence of functioning legal frameworks for establishing protected areas of the type desired. If the legal framework does not exist, consider a policy component for the project.
- **Government interest and capacity:** Analyze the interest and capacity of government entities with roles in planning and management of protected areas and assess the need for strengthening these entities.

7.2 COMMUNITY-BASED NATURAL RESOURCE MANAGEMENT

Strategies related to CBNRM were implemented in seven landscapes, as indicated in Table 4. Figure 6 illustrates the results chain for this set of strategies, followed by a description of the theory of change. Next are findings discussed by landscape and across landscapes, followed by conclusions, which include enabling conditions, barriers to achieving outcomes, and recommendations for strategy design.

COMMUNITY-BASED NATURAL RESOURCE MANAGEMENT THEORY OF CHANGE

The results chain in Figure 6 was initially developed by MI with implementing partner input, and then modified by the evaluation team after field visits and interviews with the implementing partners. Implementing partners did not necessarily implement all activities or anticipate all results in the theory of change, but rather only those that applied in context.

Sometimes the strategies for building local capacity for CBNRM was supported by strategies to build community capacity for climate change adaptation or facilitate land protection and management. The first step for some implementing partners in building capacity for

CBNRM was to establish the community's legal standing to manage its local natural resources. For some implementing partners, activities were implemented to ensure that communities had economic incentives to participate in CBNRM. Sometimes incentives resulted from the establishment of sustainable enterprises, which is a set of strategies with its own theory of change. Some implementing partners focused on improving the knowledge, skills, and equipment to monitor the status of biodiversity through monitoring training and establishing low-cost monitoring systems. Legal standing, incentives, and improved monitoring enabled communities to improve their knowledge, skills, equipment, and capital for improved forest and habitat management. Improved management was also supported by some implementing partners through providing alternative fuels, forest management trainings, and fire management equipment; facilitating rangeland management and climate-adapted agriculture training; and establishing forest fund and livelihood loans.

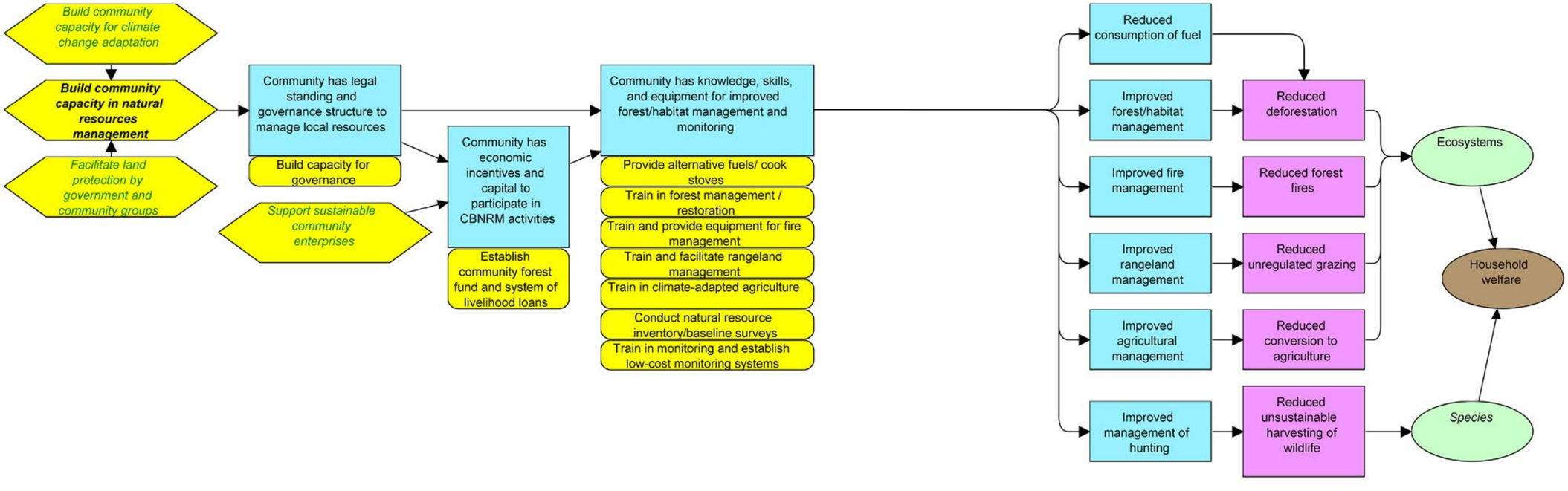
Expected results from improving communities' capacity for natural resources management are reduced consumption of fuel, improved forest and habitat management, improved fire management, improved rangeland management, improved agricultural management, and improved management of hunting. Consequently, threats from deforestation, forest fires, unregulated grazing, forest conversion to agriculture, and unsustainable harvesting of wildlife are expected to be reduced, and ecosystems and species conserved.

Table 4. Landscapes Implementing Community-Based Natural Resource Management Theory of Change

AFRICA				ASIA			LATIN AMERICA	
KAZA (WCS)	KZU (AWF)	KILI (AWF)	RUV (WWF)	DS (WCS)	SHL (WWF)	UST (Pact)	ECR (WWF)	MT (WCS)
	X	X	X	X	X		X	X

Legend: AWF = African Wildlife Foundation, DS = Daurian Steppe, ECR = Eastern Cordillera Real, KAZA = Kenya-Tanzania, KILI = Kilimanjaro, KZU = Kazakhstan-Uzbekistan, MT = Madidi-Tambopata, RUV = Ruvuma, SHL = Sacred Himalayas Landscape, UST = Ustyurt Plateau, WCS = Wildlife Conservation Society, WWF = World Wildlife Fund

Figure 6. Community-based Natural Resource Management Theory of Change Results Chain



COMMUNITY-BASED NATURAL RESOURCE MANAGEMENT FINDINGS

Next the CBNRM-related strategies implemented and outcomes achieved are highlighted for different landscapes, as well as the relevant objectives that were identified in the corresponding implementing partner proposals. A discussion of cross-landscape findings, including the main assumptions that were found to underlie the theory of change, follows the individual landscape descriptions.

LANDSCAPE FINDINGS

Kazungula

Proposal Objective: AWF intended to protect the Chobe-Zambezi-Kafue corridor and support biodiversity monitoring and community-based forest management. In FY12, AWF added a new sub-objective on managing fisheries.

Strategies:

- Establish bylaws, develop financial management skills, and build capacity for monitoring the wildlife and resource use activities with the Sekute Community Development Trust in the Chobe-Zambezi-Kafue corridor.
- Train scouts and provide equipment.
- Develop two lodges to finance community management efforts.
- Provide training on governance and best fishing practices.

Outcomes:

- Scouts trained, over 340 monitoring patrols conducted to collect wildlife and habitat data, and a database maintained to capture and analyze the data. No elephant poaching was recorded in the Sekute conservation area.
- Transboundary community organizations, the Sekute Community Development Trust of Zambia, the Sikunga and Mpalila Conservancies of Namibia, and Chobe Enclave Conservation Trust of Botswana, successfully held quarterly CBNRM meetings to discuss and share information on conservation and development issues.
- A fishing camp and lodge were established and operational. Fifteen village-level Fisheries Management Committees were formed. Boundaries and active fishing sites were mapped and fisheries surveyed. The first fish breeding sites were established on the upper Zambezi and four zonal fisheries management committees and 15 village fisheries management committees were formed, which led to the formation of an overarching Fisheries Management Committee as provided for by the Zambia Fisheries Act Number 22 of 2011.
- Community outreach trained and sensitized over 350 fisher folks in best practice fishing methods, and the related fisheries committees were trained in governance roles and responsibilities.

Kilimanjaro

Proposal Objective: AWF planned to support community-based management of resources in the Amboseli-West Chyulu Wildlife Corridor and the West-Kilimanjaro Ranch and monitor elephant seasonal movement patterns, population status and trends, and habitat usage.

Strategies:

- Provide scouts with monitoring equipment.
- Train and facilitate rangeland management.
- Identify ways to reduce fuel consumption by reviewing household clean energy technologies for lighting, charging, and cooking in Kenya, and by visiting a cook stove project in Tanzania.
- Establish the Amboseli Landowners Conservancies Association to promote conservation-related activities.
- Provide financial management training to conservancy leaders in the Kimana Wetlands Association.

Outcomes:

- Scouts conduct elephant monitoring and collect ecological data and record incidences of livestock depredation, which resulted in the development of a predator consolation fund.
- A hunting ban was instituted in one of the WMAs, and scouts enforce use restrictions on livestock grazers in the conservation areas.
- A range rehabilitation project has been initiated with a women's Market Access Committee from Imbirikani Group Ranch, where improved fodder species are planted and zero till and other rehabilitation techniques are applied.

Ruvuma

Proposal Objective: WWF planned to help stakeholders implement management techniques necessary to establish and maintain biodiversity corridors and help improve food security.

Strategies:

- Provide training on the technique of clustering farmland into defensible blocks.
- Pilot the MOMS approach that uses record books to track data in two WMAs Mbarang'andu and Tunduru, to help them adaptively manage and set appropriate hunting quotas.
- Implement an early burning training project to avoid large, intense fires and create new forage farther from village.
- Provide training on environmental financial management, funding requests, and mitigation for small-scale mining activities to help reduce freshwater mercury pollution.
- Provide input into Mozambique's REDD+ strategy to promote financing methods for conservation efforts.

Outcomes:

- Human and wildlife use zones were established in the corridors, clustering farmland into defensible blocks that have room for expansion into non-forested areas. Over 500 families in the landscape use the block approach, with more than 1,000 hectares in block farms at the end of FY13.
- Over 1,200 people received early burning training project presentations on control of wildfires and creation of fire breaks.
- Several CBOs have been registered and strengthened.
- Awareness of REDD+ was improved at village and district levels in Mozambique.

Daurian Steppe

WCS proposed to reinforce and scale up an effective community-based model for wildlife and livestock management.

Strategies:

- Strengthen community-based natural resource governance structures.
- Improve methods, skills, and capacity to effectively monitor wildlife.
- Build local support for conservation and pride in community efforts to protect nature by incorporating components of a rare pride campaign focused on the Mongolian gazelle.
- Provide governance trainings with herder groups to develop leadership skills, facilitate community participation in decision-making, and support community groups in the development of management plans and community protected area maps.
- Conduct an assessment and produce a report on the challenges and future opportunities for CBNRM on Mongolia's Eastern Steppe.
- Publish and distribute a booklet to describe new environmental laws and how to form successful herder community groups for improved management.
- Host the second national CBNRM Workshop to discuss best practices, plan collaborative activities with partners, and provide networking opportunities.

Outcomes:

- The network of community managed areas on the Eastern Steppe was expanded with the addition of four new Herder Group Communities, for a total of nine groups.
- Monitoring efforts resulted in better control and usage of pasture land by herder groups (less overgrazing), and an increased number of wildlife in community areas. A documented increase in marmot populations may lead to a lifting of a marmot hunting ban for community lands, which also would provide livelihood support. Scaling-up CBNRM in China and Russia was not feasible because funds were insufficient and USAID was asked to leave Russia.

Sacred Himalayas

Proposal Objective: WWF planned to mobilize communities for participatory resource management and ensure equitable benefit sharing and access to natural resources.

Strategies:

- Mobilize communities for participatory resource management.
- Establish CFUGs.
- Build community capacity in natural resources management.
- Provide training in monitoring, forest management and restoration, fire management, rangeland management, climate-adapted agriculture, and use of alternative fuels.
- Ensure equitable benefit sharing and access to natural resources.

Outcomes:

- Seven new CFUGs were formed and capacity for protection and sustainable management of forest resources was strengthened with 11 CFUGs by adding to the endowment fund.
- Community-based participatory biodiversity monitoring was conducted by ten CFUGs using simplified and more user-friendly guidelines.
- Increased to six functional firefighting groups for fire prevention and control, and over 1,000 hectares of pasturelands are now managed by promoting sustainable grazing practices.
- In FY13, 34,070 seedlings of timber, fodder, and NTFPs were produced in five community-managed nurseries and distributed for community and private plantation to restore degraded forests.

Eastern Cordillera Real

Proposal Objective: WWF sought to ensure protection and management of landscapes and ecosystem services.

Strategies:

- Implement ecological zoning and habitat restoration projects in protected area buffer zones.
- Train community leaders in three focal areas: basic issues on climate change, vulnerability, and adaptation.
- Install irrigation systems in Peru to serve as an adaptive measure for coffee growers.

Outcomes:

- Signed 40 conservation agreements with 52 families to restore nearly 113 hectares in the Alto Fragua-IndiWasi National Park buffer zone to ensure the protection of 206 hectares of mountain forest. These families use improved practices to reduce dependency on natural resources and protect water sources on 46 hectares, including 20 agroforestry plots.
- Construction of a greenhouse for production of 15,000 native seedlings has aided the buffer zone reforestation efforts.
- Irrigation systems were installed.
- Landscape forest cover experienced no net loss during SCAPES.

Madidi-Tambopata

Proposal Objective: WCS planned to establish management systems to help indigenous community natural product enterprises become ecologically and financially sustainable, including strengthening Takana institutions for indigenous territory management and managing and monitoring the impact of natural resource management projects in the Takana Indigenous Community Territory.

Strategies:

- Work with CIPTA, a Takana grassroots organization, to systematize all community data and draft an integrated land management plan, Takana Life Plan.
- Improve CIPTA's monitoring project to improve vigilance teams'[34] surveillance and patrolling of natural resource use and develop a control and vigilance plan.
- Support regular technical and council meetings and provide assistance with reporting and financial management.
- Work with CIPTA to develop a new spectacled caiman management plan for sustainable harvesting for managing and monitoring impacts and develop monitoring systems to improve decision-making on wildlife off-take and conservation.
- Work with schools to bring monitoring experiences and data into the curriculum.

Outcomes:[35]

- Institutions such as the Takana grassroots organization were strengthened.
- Caiman management plan for sustainable harvesting was recognized as a model system by the General Biodiversity and Protected Areas Directorate.
- Baseline and trend line databases were generated.

34 The monitoring system uses a presence-absence analysis for mammals, and the use of GPS and codes reduces indicators monitored by park guards from 90 to 5, with reviews every 5 years. Also, equipment park guards need to carry for monitoring has been reduced. Reportedly guards are now more motivated.

CROSS-LANDSCAPE FINDINGS

The following findings indicate SCAPES landscape trends observed in strategies implemented and outcomes achieved.

CBNRM activities implemented were related to establishing or improving financial management and monitoring systems. Trainings were conducted in at least three landscapes to improve or facilitate rangeland management and a few positive outcomes were reported in improved rangeland management, such as the widespread adoption of the defensible blocks approach to clustering farmland in Ruvuma, which benefits humans and wildlife. Improvements occurred in fire management, hunting management (e.g., a hunting ban instituted in Kilimanjaro), and forest and habitat management (e.g., an increase in monitoring efforts and data collection and analysis in Kazungula, Kilimanjaro, and the Sacred Himalayas).

Assumptions

Following are two important assumptions that implementing partners identified that influenced the achievement of outcomes along the theory of change:

- Government support: A legal framework for community participation in natural resource management exists, and both natural resource management and land use laws, plus the political situation, remains stable.
- Efficacy of strategy: CBNRM leads to threat reduction. For example, a change in attitudes could lead to improved energy consumption and fewer incursions into a park.

35 SCAPES-funded work in Bolivia was terminated in SCAPES Year 3 when USAID was asked by the government to terminate its programs in the country.

COMMUNITY-BASED NATURAL RESOURCE MANAGEMENT CONCLUSIONS

The strategy focus under improved community-based natural resource management focused on building community capacity to manage and monitor local resources, with at least 9,000 people trained in natural resource management or biodiversity conservation and the operation of strong models in four landscapes. CBNRM work in Daurian Steppe has been difficult because of the transient nature of the small, isolated communities in the area.

The timeframe for building community management systems and capacity appears to be two years of intensive work at a minimum, followed by at least two more years of less intensive support; however, the timeframe for building systems and capacity has been longer in new landscapes, where trust first needs to be established, or where capacity may be lower to begin with. The process depends greatly on existing human capital assets and the presence of governance structures. Some successful CBNRM programs have needed modest amounts of continued outside technical and financial support for as long as 15 years.

Finally, the presence of a legal framework that allows and encourages community management of commons (forests, fishing areas, grazing lands, and indigenous territories) has been essential for SCAPES CBNRM success.

Enabling Conditions

The following enabling conditions were found to support the achievement of outcomes as a result of implementation of strategies related to CBNRM.

- Community buy-in: Gained the trust, support, and interest of the local community, which was critical for

CBNRM, in particular, to have traditional leadership structures accept a leading role.

- Community capacity: Educated community members who were open to learn new concepts and adapt to new systems, such as the WMA system in Tanzania, and who could quickly learn new tools, such as in Ruvuma where community members began using MOMS to document incidents of poaching and human-wildlife conflict in record books.
- Organizational capacity: Provided internal technical capacity for developing the required CBNRM tools and financial support for project implementation.
- Adaptive management: Maintained flexibility in implementation strategy.
- Partner organizations: Fostered the ability to learn from other national and international research organizations and projects that were investigating or piloting and evaluating similar approaches.
- Government support: Used enabling regulations and existing national-level efforts to conserve natural resources.

Barriers To Achieving Outcomes

The following factors were found to pose barriers to achievement of CBNRM strategy outcomes:

Unstable community networks: Loosely associated communities with low population densities and nomadic cultures, such as in Daurian Steppe, where people move across the landscape and may not be present to manage the natural resources from year to year or season to season.

Spatial scale of natural resource: Communities in Daurian Steppe may not have jurisdiction at a scale that matches that of the threatened target species, such as the Mongolian gazelle.

Conflict: Insurgencies or other social unrest can make CBNRM efforts extremely difficult, such as in Colombia.

Insufficient community capacity and buy-in: Low capacity among community-based organizations can make project implementation difficult; a lack of economic incentives and understanding of logic behind a project can lead to non-acceptance and reluctance to implement a project.

High inputs: CBNRM can be labor intensive, expensive to do at scale, and require long time frames with ongoing monitoring to realize benefits; therefore, momentum can be difficult to sustain.

Legal frameworks not in place: In Kazungula, the Forest Act in Zambia does not yet allow communities to participate fully in forestry management; policies are under review to allow for community joint forestry management.

Inadequate government support: In Nepal, the government approved a technical staff position with the Kanchenjunga Conservation Management Committee, but no one was deployed. In Kazungula, project support from the Forestry Department is limited, particularly for fire management.

Natural calamities: Earthquakes and landslides in Nepal resulted in shifted community focus.

High natural resource demand: In Nepal, CBNRM is difficult because increased urbanization and purchasing power in neighboring China and India have driven up demand for natural resources, and the open border and lack of a government presence on the Nepal side make enforcement difficult.

RECOMMENDATIONS FOR FUTURE DESIGN OF LAND PROTECTION STRATEGIES

The following are recommendations for the future design of CBNRM strategies are based on the preceding conclusions:

- Policy analysis: Ensure the existence of an adequate legal framework for community management of natural resources. Are the community's rights recognized? What are the legal limits for CBNRM?
- Government capacity and interest: Understand the division of CBNRM responsibilities among national, sub-national, and local government entities and gauge interest at each level.
- Community capacity and interest: Assess the level of buy-in from the community and existing capacity. Is interest sufficient? What is necessary to generate additional support? Is capacity sufficient? What are the main focal areas where capacity building will be necessary?
- Social and cultural analysis: Identify participatory assessment existing community practices and customs and be aware of existing community political structures and decision-making and adjudication procedures.

7.3 LAW ENFORCEMENT TO REDUCE POACHING

Strategies related to law enforcement to reduce poaching were implemented in six landscapes, as indicated in Table 5. The results chain for this set of strategies is depicted in Figure 7, followed by a description of the theory of change. Findings are then discussed by landscape and across landscapes, followed by conclusions, which include enabling conditions, barriers to achieving outcomes, and recommendations for strategy design.

LAW ENFORCEMENT TO REDUCE POACHING THEORY OF CHANGE

MI with implementing partner input developed the results chain for law enforcement to reduce poaching theory of change shown in Figure 7, and then it was modified by the evaluation team after field visits and interviews with the implementing partners. Implementing partners did not necessarily implement all activities or anticipate all results in the theory of change, but rather only those that applied in context.

The theory includes two change pathways, one related to domestic enforcement of poaching and the other related to transboundary enforcement of trafficking. One pathway is related to building capacity for law enforcement to reduce poaching to ensure that rangers have the knowledge, skills, and equipment to carry out enforcement activities, which for some implementing partners involved developing surveillance networks and monitoring systems and providing training, equipment, and infrastructure. For some implementing partners, building ranger capacity in this way was expected to lead to increased ranger and management motivation and increased effectiveness of patrol efforts. Increased effectiveness of patrol efforts was intended to lead to increased detection of illegal hunting. Increased detection is supported by educating the community about the penalties for poaching, developing community informant networks, and creating incentives for reporting poaching. Finally, increased detection of illegal hunting is expected to result in increased arrests and prosecution for poaching, supported by activities to improve prosecution of poachers and develop interagency links. Over time increased arrests and prosecution for poaching are expected to result in reducing poaching of protected species.

In the other pathway, improved transboundary coordination of enforcement of trafficking is expected to lead to increased detection of trade through sniffer dogs and building the capacity of customs agency, as identified by some implementing partners. This requires the presence or development of program champions on both sides of the border. Increased detection leads to increased arrests and prosecution for trafficking, which, for some implementing partners, involved working with decision makers to enforce laws. Finally, the increased arrests and prosecutions are expected to result in reduced wildlife trade and the reduced threat of poaching over time.

LAW ENFORCEMENT TO REDUCE POACHING FINDINGS

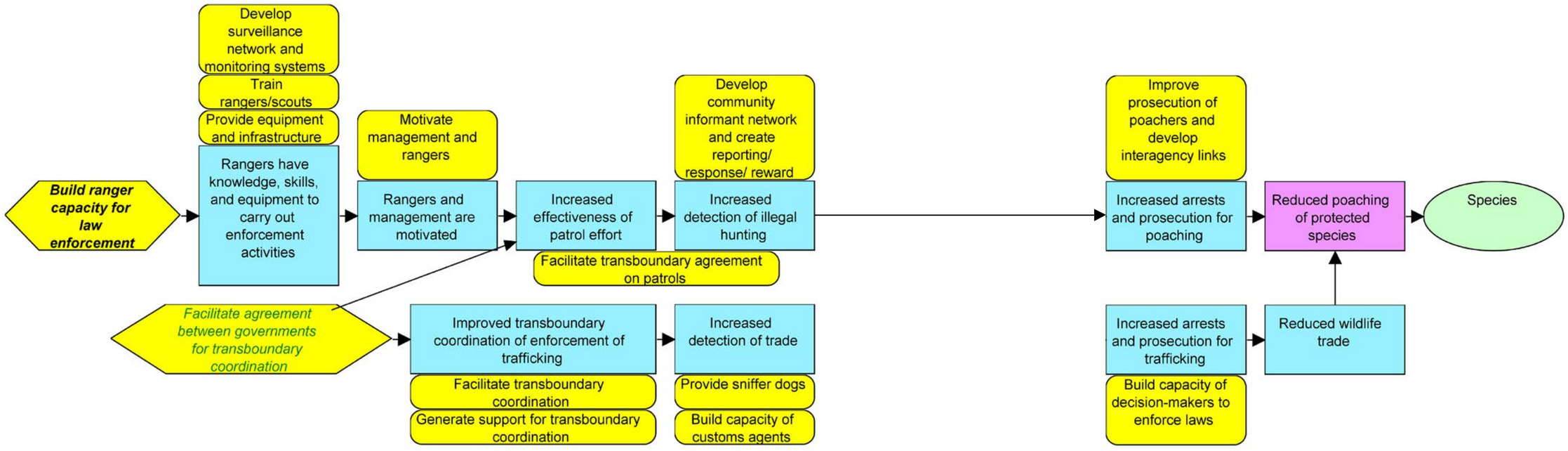
The strategies implemented and outcomes achieved that relate to law enforcement are highlighted for the different landscapes below. The relevant objectives that were identified in the corresponding implementing partner proposals are provided as well. Following these individual landscape descriptions, cross-landscape findings are discussed, including the main assumptions that were found to underlie the theory of change.

Table 5. Landscapes Implementing Law Enforcement to Reduce Poaching Theory of Change

AFRICA				ASIA			LATIN AMERICA	
KAZA (WCS)	KZU (AWF)	KILI (AWF)	RUV (WWF)	DS (WCS)	SHL (WWF)	UST (Pact)	ECR (WWF)	MT (WCS)
	X	X	X	X	X	X	X	X

Legend: AWF = African Wildlife Foundation, DS = Daurian Steppe, ECR = Eastern Cordillera Real, KAZA = Kenya-Tanzania, KILI = Kilimanjaro, KZU = Kazakhstan-Uzbekistan, MT = Madidi-Tambopata, RUV = Ruvuma, SHL = Sacred Himalayas Landscape, UST = Ustyurt Plateau, WCS = Wildlife Conservation Society, WWF = World Wildlife Fund

Figure 7. Results Chain for Law Enforcement to Reduce Poaching Theory of Change



LANDSCAPE FINDINGS

Kazungula

Proposal Objective: AWF intended to establish a local security network of game scouts in Sekute for monitoring and wildlife protection.

Strategies:

- Establish effective patrols in Sekute.
- Threat mitigation strategies implemented for white rhinos in Mosi-oa-Tunya National Park. Support enforcement activities.
- Provide equipment.

Outcomes:

- 340 monitoring patrols are conducted in the Sekute Community Conservation Area. On average, 16 elephants are sighted each month as opposed to ten in the previous year. Nine suspected poachers and illegal bush meat traders are apprehended and handed over to wildlife authorities, one of whom was successfully convicted in the courts; two await trial while the others are released with cautioned warnings.
- A simple user-friendly database is developed and used to host and graphically analyze data and information gathered during resource monitoring patrols by scouts.[36]

36 2013 AWF SCAPES Annual Report.

- The use of an inexpensive horn-embedded tracker for white rhinos is piloted. While white rhino poaching was reduced to zero in the Mosi-oa-Tunya National Park, this may not be associated with the project.

Daurian Steppe

Proposal Objective: WCS intended to (a) identify significant sites for wildlife protection and trade law enforcement, (b) train border guards in wildlife law enforcement, (c) encourage multi-agency cooperation in Mongolia to prevent poaching, and (d) promote collaborative wildlife protection along the borders to prevent poaching and illegal trade.

Strategies:

- Train border guards.
- Facilitate coordination among decision-makers.
- Facilitate transboundary coordination to increase detection of illegal trade.

Outcomes:

- Joint patrols and inspections are conducted, training courses are held, and a trilateral working group to address border issues is established.

Sacred Himalayas

Proposal Objective: Curb illegal wildlife trade and poaching.

Strategies:

- Strengthen and institutionalize a community-based habitat and population monitoring and antipoaching mechanism to ensure long-term survival of the red panda and snow leopard.[37]
- Sixteen community teams were established to curb poaching and illegal trade of wildlife and 21 antipoaching operations were established in risk-prone areas and transboundary regions.

Outcomes:

- The most recent report indicates illegal poaching and collecting has been reduced by 90 percent; while the snow leopard population increased from 18 to 24 (33 percent).
- Local enforcement networks were strengthened by mobilizing local informants who collect information from the strategic locations related to poaching and illegal wildlife trade.
- Support was provided for effective coordination between the Kangchenjunga Conservation Area Management Council and both the Department of National Parks and Wildlife Conservation and district-level enforcement agencies. WWF also supported Department of National Parks and Wildlife Conservation to strengthen coordination with stakeholders at the central level to curb poaching and the illegal trade of wildlife and NTFPs, as well as landscape-level conservation efforts.
- In India, 18 Himal Rakshaks and Development Committee members conducted 36 days of monitoring, covering 274 square kilometers of high altitude areas, and destroyed 31 traps. Monitoring of high altitude areas has been recognized as an important activity by Forest, Environment and Wildlife Management Department and the provision has been included in the management plan ensuring its continuity after WWF support ends. 74 personnel from border security forces were sensitized on illegal wildlife trade and the need for sterilization of feral dogs to minimize their predation on wildlife.

Ruvuma

Proposal Objective: Law Enforcement was not a major objective in the initial proposal but was added as elephant poaching accelerated in the region.

Strategy: Facilitate monitoring of illegal activities in the corridors for protection of critical elephant and wildlife habitat

Outcomes:

- WWF has used non-SCAPES funds (WILDaid) to support a Unified Command Board and Operational Command to gather information about illegal activities and conduct patrols in northern Mozambique; however Mozambican law does not criminalize poaching, so progress there has been slow.
- A more effective wildlife monitoring project has been adapted from Namibia, tested and is now in use in six WMAs.

Ustyurt Plateau

Proposal Objective: Pact intended to build technical and resource capacity of agencies responsible for antipoaching in the landscape.

Strategies:

- In one district in Kazakhstan, provide motorized equipment, tents, and camping supplies to rangers to facilitate field patrols and increase the likelihood of apprehending poachers.

Outcomes:

- Most of the planned law enforcement activities were thwarted when the Uzbek government terminated international NGO programs in that country.
- In Kazakhstan, the world's first dog unit specialized in saiga detection has been established in the Kazakh Customs Committee. According to results reported to date, three poachers were detected by the dog unit in the landscape (25 nationwide).

CROSS-LANDSCAPE FINDINGS

The following findings indicate trends that were observed across the SCAPES landscapes regarding actions, interventions and strategies implemented, and outcomes achieved and threats reduced, as applicable.

Strengthening government law enforcement capacity was included in SCAPES in a significant manner in only three landscapes: Kazungula, Daurian Steppe and Ustyurt Plateau. Sacred Himalayas also had a focus on creating a monitoring and antipoaching mechanism, but the emphasis was placed on strengthening community capacity rather than government capacity.

Activities involving building ranger enforcement capacity were implemented in Kazungula, Sacred Himalayas, and Ustyurt Plateau, which involved developing monitoring systems and providing equipment to rangers or scouts. In the Daurian Steppe landscape, more emphasis was placed on transboundary coordination, such as working with decision-makers and training border guards. Ustyurt Plateau and Kazungula both reported increased apprehensions of poachers as a result of providing basic equipment to patrols. Ustyurt Plateau established the world's first dog unit that specializes in saiga detection.

Following an increased community or scout monitoring capacity, the Sacred Himalayas reported a 90 percent reduction in illegal poaching and a 33 percent increase in the snow leopard population and Kazungula reported an increase in elephant sightings per month.

Assumptions

Important assumptions identified by implementing partners that influenced the achievement of outcomes along the theory of change are as follows:

- Government and communities are willing to work with the implementing partner and safeguard wildlife. This assumption has proven correct especially where community benefits have been evident and incentives provided.
- Governments are able to allocate at least basic resources for law enforcement. Only recently have African governments made law enforcement a larger funding priority.

37 Community managed red panda habitat projects will be piloted in two community forests known to be critical habitats for red panda outside the KCA within four VDCs. Also WWF planned to strengthen the existing seven Snow Leopard Conservation Committees and eight community-based antipoaching operations within the KCA and five *Himal Rakshaks* in India for participatory biodiversity/snow leopard monitoring and antipoaching operations. This initiative was to be expanded to four new sites in Nepal and India. Regular monitoring and patrolling will lead to a decrease in illegal activities, including poaching and cross border trade.

LAW ENFORCEMENT TO REDUCE POACHING CONCLUSIONS

The transboundary focus of SCAPES encouraged implementing partners to support community law enforcement and monitoring activities along borders, and government activities across borders, particularly in Kilimanjaro and Sacred Himalayas landscapes. Community scouts were found to play a valuable role in supporting law enforcement efforts and reducing poaching, especially when linked with local informant networks. Being from the local area (as opposed to rangers who often are from the cities and not as integrated into the community), scouts are often more alert to the arrival of unexpected outsiders, and can notify rangers of suspicious activities.

Poachers are now, more than ever, heavily armed, and professionalized with international links and support overwhelming local law enforcement and anti-poaching efforts. Both Ruvuma and Kilimanjaro chose to address increased international poaching and the need for expanded law enforcement with funding from other donors (all non-USAID) and partnerships with other organizations (e.g., TRAFFIC, WildAid, BigLife). Future USAID programs that focus on supporting CBNRM and include community-scouting and ranger projects must be procurement-flexible and should consider coordinating efforts with other partners, such as the US Fish and Wildlife Service, which typically supports wildlife protection activities, including improving capacity to carry out investigations and prosecutions of wildlife crime, and developing effective park law enforcement. This could help channel much-needed additional funds to law enforcement efforts and improve effectiveness through collaboration.

No example of SCAPES sustainable financing for community-based law enforcement efforts exists. Law enforcement activities in Ustyurt Plateau, pilot testing a dog unit specializing in saiga detection, and Daurian Steppe, training border guards and promoting multi-agency cooperation to reduce poaching, have strengthened national government enforcement efforts.[38] While training costs for the dog unit and border guards were covered by implementing partners, continuing activities will be government funded; the Multi-Agency Team has now been built into all agencies' Annual Plans, and should also receive state funds.

ENABLING CONDITIONS

The following enabling conditions were found to support the achievement of outcomes as a result of implementation of strategies related to law enforcement to reduce poaching.

- Community support, trust, and goodwill. Kilimanjaro rangers reported that they were initially distrusted by many community members until their efforts showed tangible results with clear benefits accruing to the community.
- Support of government entities at various levels and political will. A Daurian Steppe governor and local law enforcement agencies began to take poaching seriously only after the Silent Steppe report demonstrated the extent of poaching and illegal trade in their region.
- Appropriate legal frameworks in place, especially laws that allow community participation in law enforcement.
- Willingness to pilot new technologies, such as use of an inexpensive horn-embedded tracker for white rhinos in Kazungula.
- Flexibility in implementation strategy, especially flexible patrolling strategies that have found the most poachers in Kilimanjaro.
- Private sector willing to contribute to law enforcement activities. For example, as part of the land lease project in Kilimanjaro.

BARRIERS TO ACHIEVEMENT OF OUTCOMES

The following factors were found to pose barriers to achievement of outcomes as a result of the implementation of strategies related to law enforcement to reduce poaching.

- Lack of focus on international demand. For future landscape-level projects, linkages to efforts to reduce demand should be encouraged.
- The lack of qualified, effective and honest law enforcement officers and the necessary resources to enforce laws.
- Rangers poorly motivated because of low per diems, poor food rations, lack of water at outlying camps, absence of proper equipment and uniforms.
- Lack of arrest power and arms for community patrols. Only in Kenya are community patrols allowed to make an arrest; elsewhere they may detain but must then take the perpetrator to a government ranger or official who may formally make the arrest. No community patrols in SCAPES landscapes are allowed to carry arms. USAID funds to support community scouts were limited to monitoring equipment, vehicles, and rations
- Inefficient use of personnel. Rangers and community patrols are sometimes poorly deployed due in part to lack of data on where targeted animals are located.
- Insufficient resources. Capital equipment is lacking for many law enforcement efforts (cars, trucks, motorcycles, radio communication) and funding for patrolling operations has been very limited, without donor support. This is especially important in large landscapes where the ranger-to-range ratio can be high, in Ustyurt Plateau this is the equivalent of one ranger patrolling an area the size of the District of Colombia.
- Corruption and bribes. Bribes to high level government officials provided by well-organized poaching networks have been alleged by some interlocutors in Africa.
- Wildlife crime is increasing, and is often international and well-armed, especially in eastern and southern Africa.

RECOMMENDATIONS FOR FUTURE DESIGN OF LAW ENFORCEMENT STRATEGIES

Based on the conclusions above, the following are recommendations for the future design of strategies to build capacity for law enforcement to reduce poaching.

- **Policy Analysis:** A thorough review of the need for changes in legislation and operational policies is essential. This includes determining whether community involvement is encouraged in law enforcement activities. The policy analysis also should review whether existing laws and policies are being implemented and, if not, assess what assistance might be needed to lead to effective enforcement.[39]
- **Whether and how to address the demand issue:** SCAPES has been successful in reducing domestic demand in the landscapes (Sacred Himalayas, Ustyurt Plateau, Kilimanjaro) but has had no effect on international demand. New projects should consider partnering with larger organizations to have impact on international demand.
- **Appropriate role for USAID:** Assess the comparative advantage of USAID providing assistance in law enforcement versus other US government units, given perceived or actual legal restrictions, funding limits, and visibility.[40]

7.4 MITIGATION OF HUMAN-WILDLIFE CONFLICT

Strategies related to mitigating human-wildlife conflict were implemented in four landscapes, as indicated in Table 6. The results chain for this set of strategies is depicted in Figure 8, followed by a description of the theory of change. Findings are then discussed by landscape and across landscapes, followed by conclusions, which include enabling conditions, barriers to achieving outcomes, and recommendations for strategy design.

MITIGATION OF HUMAN-WILDLIFE CONFLICT THEORY OF CHANGE

The theory of change depicted in the results chain above was initially developed by MI with implementing partner input, then was modified by the evaluation team

after field visits and interviews with the implementing partners. Implementing partners did not necessarily implement all activities or anticipate all results in the

38 USAID comment: Also in Kazakhstan, the Association for the Conservation of Biodiversity in Kazakhstan (ACBK) is continuing to support efforts.

39 Recent legal changes in Kenya and Mozambique have toughened sanctions for poaching.

40 For Ruvuma, WWF chose not to use SCAPES funds for law enforcement and used larger amounts of funding from multi-lateral programs.

theory of change, but rather only those that applied in the context of their project.

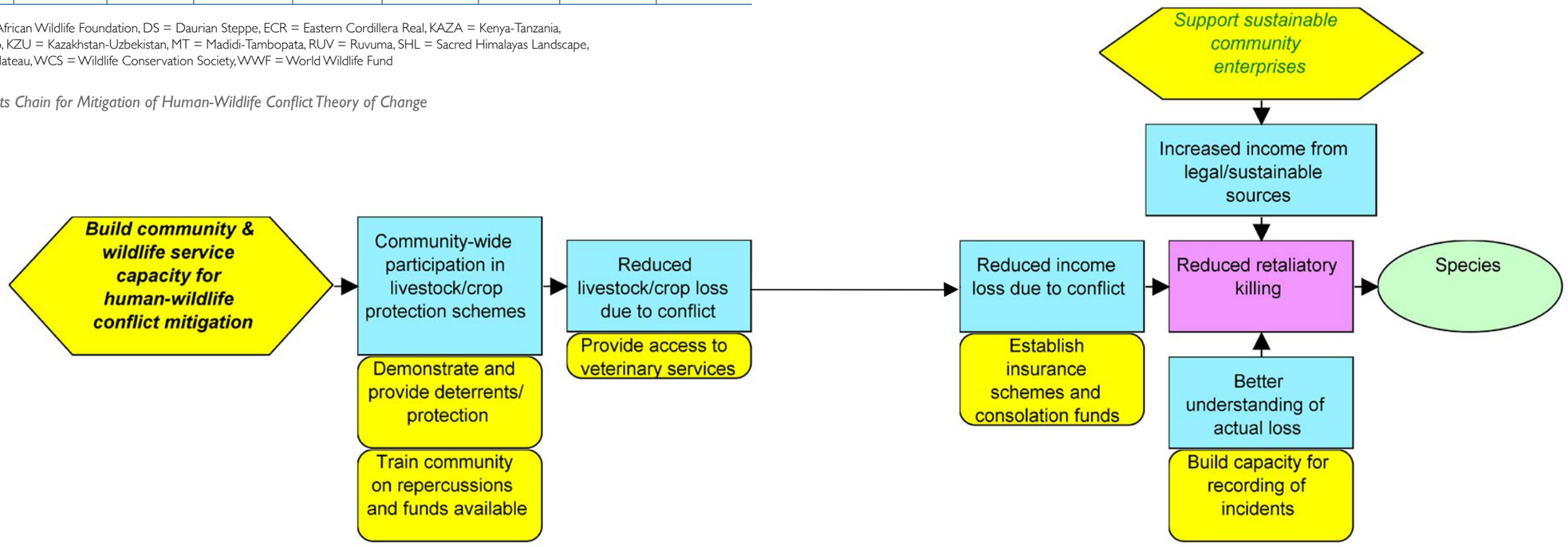
This theory of change is relatively simple: it focuses on building community capacity to mitigate human-wildlife conflict through education and by providing deterrents and protection, supplemented by efforts to increase community income from legal sources, such as sustainable enterprises. The ultimate objective is to reduce retaliatory killing of wildlife with the goal of conservation of the species. For some implementing partners, implementing strategies for building community and wildlife agency capacity for mitigating human-wildlife conflict were aimed at gaining community-wide participation in livestock and crop protection schemes, which was supported by activities to educate communities on repercussions associated with conflict and funds available for mitigating conflict.

Table 6. Landscapes Implementing Mitigation of Human-Wildlife Conflict Theory of Change

AFRICA				ASIA			LATIN AMERICA	
KAZA (WCS)	KZU (AWF)	KILI (AWF)	RUV (WWF)	DS (WCS)	SHL (WWF)	UST (Pact)	ECR (WWF)	MT (WCS)
	X	X	X		X			

Legend: AWF = African Wildlife Foundation, DS = Daurian Steppe, ECR = Eastern Cordillera Real, KAZA = Kenya-Tanzania, KILI = Kilimanjaro, KZU = Kazakhstan-Uzbekistan, MT = Madidi-Tambopata, RUV = Ruvuma, SHL = Sacred Himalayas Landscape, UST = Ustyurt Plateau, WCS = Wildlife Conservation Society, WWF = World Wildlife Fund

Figure 8. Results Chain for Mitigation of Human-Wildlife Conflict Theory of Change



In some examples community-wide participation in protection schemes was generated by providing deterrents or protection from wildlife, such as dogs, fences, fireworks, and block farming. Based on the African experience, there is a need to also build the capacity of the government wildlife service to support the activities in this theory of change.

For some implementing partners, community participation in protection schemes was intended to reduce livestock or crop loss due to conflict and reduce income loss from conflict, which was in some instances supported by the establishment of insurance schemes or consolation funds. Access to veterinary services has been demonstrated to be essential in reducing livestock loss. Reduced income loss from conflict and increased income from legal and sustainable sources (as supported by sustainable enterprises strategies) are expected to lead to a reduced threat of retaliatory killings. This threat reduction can also be supported by actions to better understand the actual loss from conflict. A reduction in retaliatory killings ultimately results in greater conservation of the species.

MITIGATION OF HUMAN-WILDLIFE CONFLICT FINDINGS

The strategies implemented and outcomes achieved that relate to mitigating human-wildlife conflict are highlighted for the different landscapes below. The relevant objectives that were identified in the corresponding implementing partner proposals are provided as well. Following these individual landscape descriptions, cross-landscape findings are discussed, including the assumptions that were found to underlie the theory of change.

LANDSCAPE FINDINGS

Kazungula

Proposal Objective: AWF planned in their proposal to introduce livestock herding dogs and predator proof *bomas* (also called fences or kraals) in Botswana.

Strategy: Provide deterrents or protection.

Outcomes:

- According to a review of the pilot, all farmer recipients use the livestock guarding and herding dogs, which integrate well with their goats.
- The two predator-proof *bomas* developed in the area are still used by the local farmers and some new farmers are adopting the technology; however, this sub-activity was discontinued due to a lack of man-power to conduct the work in Botswana.

Kilimanjaro

Proposal Objective: AWF proposed in their proposal to address the problem of human-wildlife conflict using a multipronged integrated wildlife and livestock land use strategy.

Strategies:

- Provide deterrents or protection.

Outcomes:

- According to the FY13 annual report, predator proof *bomas* has helped reduce predation by over 90 percent.[41]
- The number of livestock killed decreased from 1,751 to 1,232 between 2011 and 2013, no lions were killed in 2013, and there was decreased incidence of human-elephant conflict.

Ruvuma

Proposal Objective: WWF planned to establish and maintain biodiversity corridors, improve land use planning and encourage climate-smart agriculture. The zoning of cropland and the clearer definition of wildlife priority areas was anticipated to lead to less human-wildlife conflict. A second objective related to assisting stakeholders with maintaining biodiversity corridors to improve food security included human-elephant conflict mitigation projects using chili pepper and other techniques.

Strategies:

- Provide deterrents and protection.
- Establish MOMS system to track trends in livestock attacks and the number of livestock killings reported.

Outcomes:

- Due to a shift in workplan and staff losses, there was a reduced focus on human-wildlife conflict mitigation in Tanzania.
- In Mozambique, mitigation activities using firecrackers were discontinued due to uncertainty of supply from Swaziland and replaced with chili bricks and block-farming but there is no information available to date on results of human-wildlife conflict mitigation activities.

41 Implementing partner noted that livestock depredation remains a big challenge in the ecosystem since it involves loss of livelihoods and loss of predator species through retaliatory killings.

Sacred Himalayas

Proposal Objective: WWF intended to strengthen and institutionalize community-based human-wildlife conflict mitigation schemes.

Strategies:

- Set up or provide seed money for insurance schemes and consolation funds.
- Provide more sustainable enterprises.
- Hold a community consultation to identify and share best practices for human-wildlife conflict mitigation.
- Identify significant areas of conflict and develop mitigation plans to discuss at village planning meetings.
- Conduct training and exposure trips for learning about human-wildlife mitigation, including bio-fencing practices and sustainable farming practices specifically.
- Introduce alternate livelihoods to compensate loss from wildlife depredation.

Outcomes:

- Over $40,000 is provided for an endowment to provide consolation funds for mitigating human-wildlife conflict in Nepal. The revolving fund benefits over 1,200 households, providing low-interest loans for sustainable income generating activities and using the interest to provide relief in the event of human-wildlife conflict cases. Twenty households received relief in FY13 based on mitigation guidelines created in FY12.
- Thirty six consolation funds are established and are functioning to partially reimburse farmers for livestock losses.
- Livestock Insurance Schemes, which WWF/Nepal has funded with seed money, provide relief for human-snow leopard conflict. Herders must register their livestock and pay a small premium; these funds are lent to villagers similar to the consolation funds; and if a snow leopard kills a farmer's livestock, the Snow Leopard Conservation Committee verifies the claim and pays relief support from the fund. Improved forest and habitat conditions reportedly have resulted in increased wildlife and resulted in crop damage and livestock depredation by wildlife. Wild boar, barking deer, and monkeys damage crops and snow leopard, common leopard, and wild dogs depredate livestock. The project planned to address these issues in FY2014.

CROSS-LANDSCAPE FINDINGS

The following findings indicate trends that were observed across the SCAPES landscapes regarding actions, interventions and strategies implemented, and outcomes achieved and threats reduced, as applicable.

Interventions to provide deterrents or protections from wildlife were implemented in Kazungula, Kilimanjaro, and Ruvuma landscapes, which reportedly led to reduced predation in Kilimanjaro and a decrease in human-wildlife conflict. There were not clear reports of reduced predation in the other landscapes. In contrast, the Sacred Himalayas approach was focused on educating the community on best practices and conducting trainings related to human-wildlife conflict and establishing insurance schemes and consolation funds for human-wildlife conflict cases. Sacred Himalayas reported that consolation funds were fully functioning and households were receiving loans for income-generating activities and relief fund for human-wildlife losses.

Assumptions

Important assumptions identified by implementing partners that influenced the achievement of outcomes along the theory of change are as follows:

- Local farmers would adopt the conflict mitigation strategies proposed. Although identified by some informants as an assumption, this should be considered an outcome that should be assessed and addressed by the implementing partner and addressed if strategies are not effective.
- Government extension services would help supervise some of the work done with reinforced livestock *bomas* and use of herding and guarding dogs. These services have not been available often in Botswana and Zambia.
- The Predator Consolation Fund would incentivize pastoralists to avoid retaliatory killings. This assumption appears to be appropriate, although the greatest incentive may now be very high penalties imposed in recent legislation in Kenya and Mozambique.

MITIGATION OF HUMAN-WILDLIFE CONFLICT CONCLUSIONS

Human-wildlife conflict mitigation activities in each of the three African SCAPES landscapes are couched in a larger framework of addressing the competition for land between pastoralists, sedentary farmers, wildlife, and tourism and enterprise development. As such, land use planning, zoning, the establishment of corridors and protected wildlife areas of different types are the framework in which human-wildlife conflict can be reduced. The human-wildlife conflict mitigation activities carried out under SCAPES are needed in the absence of effective zoning and land use planning and also, hopefully less so, even when effective zoning exists but wildlife do not obey the zoning stop signs.

The most significant human-wildlife conflict mitigation activities in SCAPES have been implemented in Sacred Himalayas, Kilimanjaro, and Ruvuma with decent success reported. Consolation funds and livestock insurance schemes have proven their success in Sacred Himalayas and should be considered for new projects. Biofencing (also called living fences) show promise for use in regions of block farming. Most human-wildlife conflict mitigation activities are relatively simple and can be piloted and then scaled up over a two- to three-year period.

ENABLING CONDITIONS

The following enabling conditions were found to support the achievement of outcomes as a result of implementation of human-wildlife conflict strategies:

- The most commonly cited enabling condition is community support, trust, and acceptance, which includes shared investment in preventive measures, the willingness to try new methods such as *bomas*, guard dogs, and participation in consolation mechanisms.

- Other enabling conditions noted included the support of government, collaboration with other NGOs such as Born Free and Big Life, private sector involvement, and the financial support of implementing partners.

BARRIERS TO ACHIEVEMENT OF OUTCOMES

The following factors were found to pose barriers to achievement of outcomes as a result of the implementation of strategies related to human-wildlife conflict.

- Sacred Himalayas reports that, as poaching has decreased, animal numbers have increased, which has led to more human-wildlife conflict.
- There is not enough money in revolving funds to compensate fully for damages resulting from human-wildlife conflict, only consolation. Also there is insufficient government support for human-wildlife conflict damage compensation and consolation funds
- Poor dog husbandry has led to unhealthy and unfit guard dogs in Ruvuma and Kazungula. Also veterinary services have often been absent for both dogs and wounded animals.
- Use of non-local materials in building predator-proof fences and the scarcity of chili and used oil for deterring elephants can inhibit sustainability.

RECOMMENDATIONS FOR FUTURE DESIGN OF LAND PROTECTION STRATEGIES

Based on the conclusions above, the following are recommendations for the future design of human-wildlife conflict strategies.

- **Policy Analysis**. Review the need for a policy component. Approaches to mitigate human-wildlife conflict should be part of government wildlife policy to ensure sustainability. The Kenya-Tanzania policy project demonstrates the need for multi-sector policy agreement (animal health regulations, trade and industry regulations, even international trade modifications at highest level) to achieve project goals.
- **Feasibility Analysis.** Assess the feasibility (economic, cultural) of alternative mitigation strategies before rather than during the project. A surprising number of mitigation strategies failed to provide deterrence or were deemed unsustainable during the course of the Sacred Himalayas, Ruvuma, and Kilimanjaro projects.[42]
- **Problem Analysis.** Consider the prerequisite of establishing corridors for wildlife and mapping or zoning and improved range management of pastureland before deploying mitigation strategies.
- **Analyze and target problematic animals.** Understand the number and type of problematic animals.[43]
- **Conduct an impact evaluation** to measure the effect of the legislative changes in Mozambique and Kenya related to penalties for killing or injuring a predator.

7.5 TRANSBOUNDARY COORDINATION

As stipulated in RFA requirements, transboundary coordination strategies were implemented in all nine landscapes, as indicated in Table 7; however, Eastern Cordillera Real did not include field activities that were contiguous between countries, and Kazungula, a policy project, did not include field activities. Figure 9 illustrates the results chain for this set of strategies, followed by a description of the theory of change. A discussion of findings by landscape and across landscapes follows, followed by conclusions, which include enabling conditions, barriers to achieving outcomes, and recommendations for strategy design.

TRANSBOUNDARY COORDINATION THEORY OF CHANGE

The theory of change depicted in the results chain above was initially developed by MI with implementing partner input, then was modified by the evaluation team after field visits and interviews with the implementing partners. Implementing partners did not necessarily implement all activities or anticipate all results in the theory of change, but rather only those that applied in context.

For some implementing partners, strategies for facilitating transboundary coordination were aimed at achieving information sharing among experts and between governments on transboundary issues and possible solutions. This outcome was supported by facilitating information exchange and the development of cross-border community cooperation. In some cases, information sharing was intended to lead to agreement between governments on different issues, including (1) alternative options or outcomes for disease control, (2) the establishment of an international protected area, or (3) the coordination of law enforcement across international borders.

Government agreement on options for disease control was supported by the development of scientific evidence on disease control options, reaching consensus among decision makers on desirability of options, and the facilitated agreements on best management practices. This is expected to lead to new methods for control of animal disease and a reduced threat from fences to control animal disease.

Government agreement to coordinate law enforcement was, in some instances, facilitated by joint training courses, monitoring activities and wildlife census. This outcome, supported by the strategy to build ranger capacity for law enforcement with its own theory of change, is expected to lead to reduced poaching of wildlife and illegal trade.

Government agreement on the establishment of international protected areas, supported by the strategy to facilitate land protection and management with its own theory of change, is expected to lead to the reduction in multiple threats to protected areas. In Eastern Cordillera Real, the transboundary focus is on climate change and is therefore discussed as part of the climate change theory of change.

42 These included firecrackers, chili bricks, and lion–proof bomas (household and livestock enclosures).

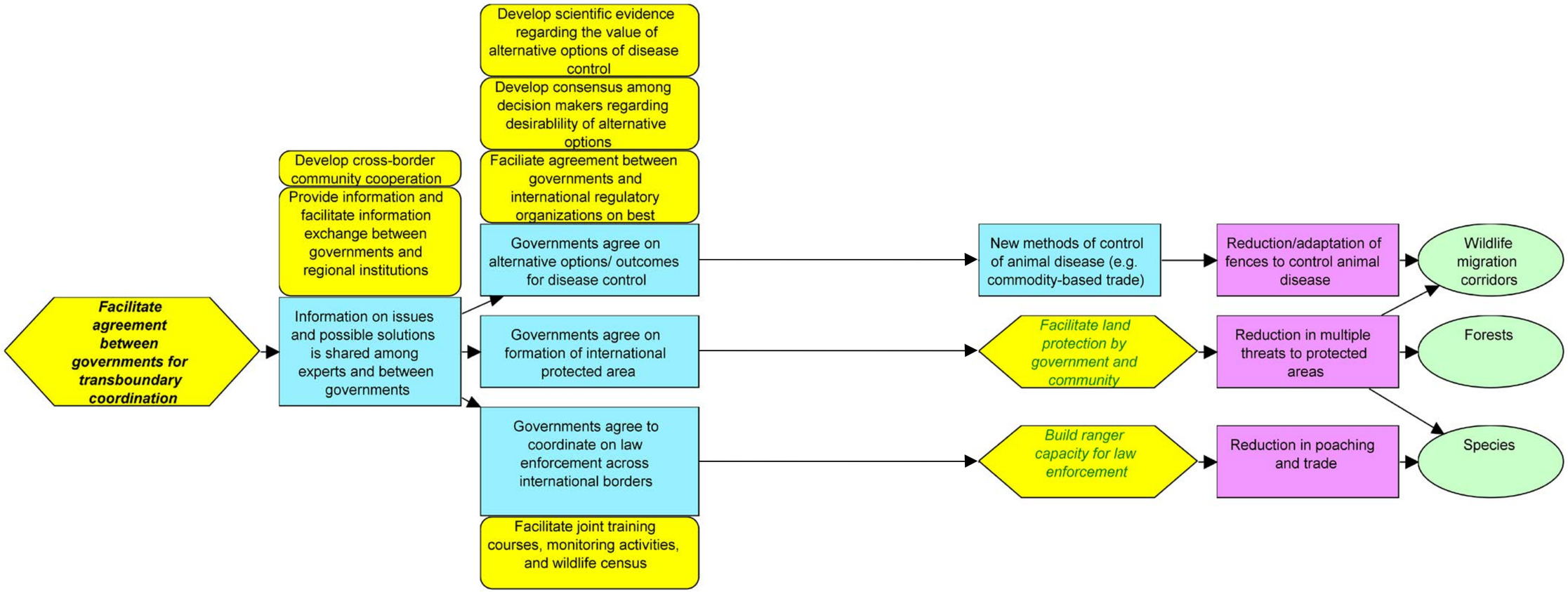
43 A good example from Sacred Himalayas: "Wild boar, Himalayan black bear, monkeys and porcupines are major problem animals in KCA. As population of blue sheep is increased, there is competition between livestock and blue sheep as they share the same pasturelands. Project has targeted snow leopard in the up-hills where a livestock insurance scheme has been implemented. But, in the lower hills, there is no target species and we try to reduce conflicts […] from all the problematic animals as mentioned."

Table 7. Landscapes Implementing Transboundary Coordination Theory of Change

AFRICA				ASIA			LATIN AMERICA	
KAZA (WCS)	KZU (AWF)	KILI (AWF)	RUV (WWF)	DS (WCS)	SHL (WWF)	UST (Pact)	ECR (WWF)	MT (WCS)
X	X	X	X	X	X	X	X	X

Legend: AWF = African Wildlife Foundation, DS = Daurian Steppe, ECR = Eastern Cordillera Real, KAZA = Kenya-Tanzania, KILI = Kilimanjaro, KZU = Kazakhstan-Uzbekistan, MT = Madidi-Tambopata, RUV = Ruvuma, SHL = Sacred Himalayas Landscape, UST = Ustyurt Plateau, WCS = Wildlife Conservation Society, WWF = World Wildlife Fund

Figure 9. Results Chain for Transboundary Coordination Theory of Change



TRANSBOUNDARY COORDINATION FINDINGS

The strategies implemented and outcomes achieved related to strategies to facilitate transboundary coordination are highlighted for the different landscapes below. The relevant objectives that were identified in the corresponding implementing partner proposals are provided as well. Following these individual landscape descriptions, cross-landscape findings are discussed, including the assumptions that were found to underlie the theory of change.

LANDSCAPE FINDINGS

Kavango-Zambezi

Proposal Objective: WCS aimed to develop new approaches for reconciling management of transboundary animal diseases, including identification of Transfrontier Conservation Area (TFCA) connectivity needs and recommendations for policy modifications developed in collaboration with TFCA partners.

Strategies:

- Help facilitate an enabling environment for enhanced cooperation among conservation, agriculture and human health experts and authorities (in and among participating countries), anchored through a series of informal and formal consultative meetings.
- Identify mechanisms for controlling transboundary animal diseases without complete reliance on current fencing approaches, using expert groups to analyze potential scenarios involving alternative tools and policies.
- Inform and influence cross-sectoral and transboundary policy responses which support both TFCAs and control of transboundary animal diseases.

Outcomes:

Several important outcomes were achieved toward gaining international approval for a fenceless approach to animal health.

- SADC Livestock Technical Committee adopted OIE Terrestrial Animal Health Code Article, allowing for commodity-based trade as a regional standard.
- SADC Secretariat formally requested FAO and OIE to provide guidance on application of non-geographic approaches to animal disease management.
- FAO and OIE developed Global Strategy for the Control of Foot and Mouth Disease recognizing unique ecological, wildlife conservation, and human development challenges faced by policy makers in southern Africa.
- FAO and OIE acknowledged non-geographic approaches such as compartmentalization and commodity-based trade as important potential strategies to manage transboundary animal diseases in southern Africa.
- The Great Limpopo Transfrontier Park tri-national Joint Management Board issued the first public position statement by a SADC transfrontier conservation area, formally recognizing the need for adoption of trade standards for commodities and products that are compatible with biodiversity conservation.

Kazungula

Proposal Objective: AWF planned to establish multi-stakeholder partnerships and support across the transboundary landscape focusing on two wildlife movement corridors as anchors. This included improvements to cross-border information management and dissemination, and promoting transboundary collaboration for the Kenya-Tanzania TFCA.

Strategies:

- Conduct policy analysis and joint planning workshops and harmonization of conservation policies.
- Share information on issues and possible solutions between governments, experts, and community organizations.

Outcomes:

- A study was launched by the Kenya-Tanzania TFCA secretariat on the harmonization of policies and legislation across the five countries, related to CBNRM and tourism, with AWF as a participating stakeholder.
- Quarterly meetings were held between transboundary community organizations in Namibia, Zambia and Botswana to discuss and share information on conservation and development issues, particularly in relation to poaching, wildlife trading and fishing. These meetings have resulted in increased monitoring of cross-border wildlife trade and fishing activities on the Zambezi River.

Kilimanjaro

Proposal Objective: AWF intended to promote improved management of shared resources.

Strategies

- Establish transboundary collaboration mechanisms.
- Form a transboundary natural resource management committee or forum.
- Conduct quarterly stakeholder meetings.
- Promote and coordinate joint cross-border patrolling and census taking by Kenyan- Tanzanian game scouts.
- Facilitate coordination between cross-border wildlife researchers.
- Train community leaders from Kenya and Tanzania in skills necessary to manage shared natural resources.
- Promote links with the regional bodies, such as East Africa Community and Lusaka Task Force, to leverage conservation.

Outcomes:

- Antipoaching teams from the WMA and Amboseli Tsavo Game Scouts Association hold quarterly meetings. Issues discussed include the ongoing collaboration during monthly cross-border patrols and sharing of wildlife security matters.
- Kenya and Tanzania collaborate in aerial and large carnivore censuses in the whole landscape.
- Kenya and Tanzania governments have agreed to the hot pursuit of poachers up to 14 kilometers into their territory by rangers of the other country. Procedures for overflight clearance for census and tracking poachers have been eased.

Ruvuma

Proposal Objective: WWF has aspired to promote a shared vision for the landscape, joint country programming and to foster a cross-border steering committee that would meet regularly and be involved in the project planning, approval of larger project decisions and M&E.

Strategy: Conduct visioning and planning workshops with private and non-profit organizations, governments, and local communities in 2012 and 2013.

Outcomes: Progress has been slow. Meetings of government officials took place in 2012 and 2014 to discuss joint and simultaneous patrolling and monitoring but Mozambican government officials withdrew at the last minute from the 2013 workshop. No joint country programming has yet occurred.

Daurian Steppe

Proposal Objective: WCS planned to build a transboundary political constituency for collaborative conservation and development planning and implementation across the DS, leading to greater harmonization of policies and initiatives across the DS and active implementation of transboundary conservation agreements.

Strategy: Conduct a steppe-wide landscape species analysis (LSA) of the Mongolian Gazelle, including Russia and China for the first time. The LSA would identify areas for ensuring transboundary connectivity and set priorities for collaborative implementation of existing agreements such as developing a wildlife law enforcement training project for border guards on the Eastern Steppe. Wildlife-livestock disease would be included in the LSA.

Outcomes:

- Progress on these plans was slowed by an outbreak of foot and mouth disease resulting in travel and meeting restrictions in the DS region.
- Russia has terminated all USAID projects.
- No evidence indicates that the LSA has been initiated in China.

Sacred Himalayas

Proposal Objective: WWF planned to enhance transboundary cooperation and learning through meetings and facilitating information exchange. Other anticipated activities included mobilizing communities and enforcement agencies in both countries to control illegal cross-border grazing, poaching and wildlife trade, and the formalized sharing of best practices. Finally the project aspired to gradually foster agreement on establishing a binational peace park in the Kangchenjunga region.

Strategies:

- Hold meetings, improve coordination, and facilitate information sharing between governments and enforcement agencies. Acknowledge the "Joint Monitoring at the Indo-Nepal Border in the Sacred Himalayas Landscape" report and implement its recommendations gradually.
- Take steps toward declaring a binational peace park in the transboundary area.
- Initiate collaborative research and monitoring on snow leopard and other flagship species.
- Improve awareness on biodiversity and wildlife crimes amongst enforcement agencies and other stakeholders.

Outcomes:

- Transboundary cooperation for patrolling, monitoring, and law enforcement is improved.

- A memorandum of understanding between Nepal and India for monitoring and patrolling cooperation that takes place along the full Nepal-India border.
- The three countries initiate collaborative research and monitoring on snow leopard and other species.
- Discussions continue slowly on the possible establishment of a binational Peace Park with no policy decisions yet made by India or Nepal.

Ustyurt Plateau

Proposal Objective: The Pact consortium planned to build on several past agreements between Uzbekistan and Kazakhstan to conserve the saiga.

Strategy: Planned activities were to facilitate cross-border cooperation in science and research and to build a case for establishing a transboundary protected area; and to develop joint training and patrol exercises.

Outcome: Project activities in Uzbekistan were suspended and then terminated in 2010, very early in the project. However, Uzbek counterparts reportedly participated in some training activities and both countries agreed to raise the lowest rung of fences to allow saigas to safely pass underneath.

Eastern Cordillera Real

Proposal Objective: WWF planned to work in three areas of Colombia, Ecuador, and Peru that were not transboundary or contiguous. The project would, however, target policy and institutional interventions at regional, national, and international scales to promote climate change considerations in national development policy frameworks. These actions would ensure that Eastern Cordillera site-specific actions have a broader impact and that lessons learned were applied in other priority regions, reinforced through policy action.

Strategies:

- Disseminate educational and communications materials to reflect CCVAs to organize local discussion groups, and to strengthen alliances with regional organizations.
- Orient economic development in the western arc of the Amazon toward the adoption of sound governance systems and the maintenance of ecosystem resilience to environmental change.

Outcomes:

- The project has urged inclusion of climate change considerations into regional development policy frameworks. This work has aimed at influencing land use planning processes at the municipal planning level, the National Payment for Environmental Services Strategy, and the Andean National Community's (CAN) Climate Change Regional Strategy and Action Plan and the Amazon Regional Action Plan of the Amazon Cooperation Treaty Organization. Progress is still limited, but existing databases on development projects will facilitate policy interventions.
- Strengthened alliances among regional organizations (e.g., CAN) to improve climate risk management.
- A virtual regional meeting on climate change adaptation, endorsed by CAN and the Consortium for the Sustainable Development of the Andean Ecoregion was used as a basis for national workshops in Colombia in 2013 and in Ecuador and Peru in 2014.

Madidi-Tambopata

Proposal Objective: WCS planned to address the following transboundary coordination topics: monitoring threats, key species, and habitats; joint control and vigilance activities, particularly along the Heath River, including protected area coordination and monitoring; and the design and implementation of an integrated approach to wildlife and threat monitoring.

Strategy: Conduct two binational courses for park guards to discuss the application of landscape monitoring of wildlife species and human activities with protected areas in Bolivia and Peru.

Outcome: Despite a very promising first meeting of park guards, very little transboundary coordination occurred before the Bolivian side of the project was terminated.

CROSS-LANDSCAPE FINDINGS

The following findings indicate trends that were observed across the SCAPES landscapes regarding strategies implemented and outcomes achieved, as applicable.

For strategies related to facilitating transboundary coordination, SCAPES focused primarily on transboundary law enforcement objectives, on harmonizing conservation policies between countries, or on transferring climate change lessons learned and experiences between neighboring countries. Efforts were made across Kavango-Zambezi, Kazungula, Kilimanjaro, and Sacred Himalayas to facilitate the exchange of information across borders by sharing guidance, conducting and sharing policy analyses, holding workshops, and facilitating meetings. In Kavango-Zambezi, outcomes were achieved toward a government agreement on alternative options for disease control through the SADC Livestock Technical Committee. Finally, activities were implemented across several landscapes to support cross-border collaboration on monitoring and collecting wildlife census data to improve coordination on law enforcement across international borders.

The SADC Livestock Technical Committee importantly promulgated a resolution that calls for the "adoption of commodity-based trade and other non-geographic approaches for foot and mouth disease management as additional regional standards for trade in animal products," however, outcomes were not reported regarding the actual adoption of new methods or the reduction of fences use to control animal disease. Therefore, it appears that the outcome of reducing threats to wildlife migration corridors has not been achieved. Similarly, while progress was made in discussing the binational Peace Park in Sacred Himalayas, negotiations are still underway with little progress reported during the SCAPES timeframe.[44]

Significant strides were made in improving law enforcement across international borders, as evidenced by the cross-boundary monitoring and wildlife census activities in several landscapes. While data collection and patrolling activities seem to have improved, implementing partners did not report that these outcomes lead to reduced poaching and illegal trade.

In several instances, SCAPES transboundary coordination efforts were thwarted by factors beyond the implementing partner's control, and therefore did not lead to the achievement of intended outcomes.

Assumptions

Important assumptions identified by implementing partners that influenced the achievement of outcomes along the theory of change are as follows:

- There is political interest and will to engage in transboundary conservation dialogue among neighboring counties and regional institutions and to harmonize policies that relate to natural resources.
- Local communities along borders are willing to work together, and have the authority, capacity, and power to do so.
- Continuing USAID presence throughout the project; institutional memory and government decision makers remain the same during the implementation period.
- The implementing partner is accepted by the governments of the countries as a neutral body and best placed to take on the facilitation of transboundary coordination.

TRANSBOUNDARY COORDINATION CONCLUSIONS

For most landscapes, with the exception of the Kazungula policy project, SCAPES-required transboundary coordination objectives were limited, and often were simply add-ons to the primary activities that implementing partners had already been doing in the landscape; however, in some cases, such as in Sacred Himalayas and Ruvuma, this transboundary work was pioneering, as there was little-to-no transboundary conservation coordination or communication before SCAPES.

Transboundary project activities in four landscapes were affected by factors out of implementing partners' control. In Ustyurt Plateau, the difficulties were in securing NGO registration, which led to activities closing in Uzbekistan; in Bolivia and Russia, the termination of USAID programs curtailed SCAPES funding for Madidi-Tambopata[45] and Daurian Steppe; and in in Eastern Cordillera, the pending termination of the USAID/Ecuador Mission means fewer

44 Although the Kazakhstan-Uzbekistan region is an official peace park, the Sustainable Conservation Approaches in Priority Ecosystems program did not attempt to influence the park structure or management.

45 WCS continued to work in Bolivia with other funds.

possible donors for the continuation of certain activities. Binational disputes have delayed transboundary ranger training and monitoring between Mozambique and Tanzania as well as Bolivia and Peru.

Achievement of transboundary coordination outcomes to date have come slowly. The greatest progress was made in: (a) transboundary law enforcement efforts in both Kilimanjaro and Sacred Himalayas, where implementing partners have been working for years and where the same ethnic groups straddle the border; and (b) climate change efforts in Eastern Cordillera, where policy and institutional interventions focused, in part, on an international scale. Community-led transboundary coordination activities in Kilimanjaro and Sacred Himalayas have expanded along respective borders and gradually received national government recognition and support for further expansion. Similar community-based transboundary coordination has been developed between fishing communities in Zambia and Namibia as part of the Kazungula program. A notable transboundary coordination approach has been Kavango-Zambezi, which, if eventually effective in gaining international agreement on non-fence approaches to controlling animal diseases, will re-open major wildlife migration corridors in southern Africa.

The timeframe for achieving significant transboundary coordination results is lengthy unless there is strong political support on both sides of the border. Locating donor financing for continuing transboundary coordination activities faces greater challenges than for non-transboundary single country activities.

ENABLING CONDITIONS

The following enabling conditions were found to support the achievement of outcomes as a result of implementation of strategies related to facilitating transboundary coordination:

- **Support of governments**, including support from local and national governments and enforcement agencies.
- **Role of implementing partner or NGOs** as an honest broker, which has been especially important for Kavango-Zambezi where the vested interests of multiple sectors of the economy and polity must be addressed. The conservationist must also be the biodiplomat.[46] This normally requires a field based team from the landscape countries with knowledge of activities and factors that affect implementation.
- **Community acceptance and participation**, which is facilitated when their common needs and threats are recognized across the borders.
- **The presence of similar ethnicities** on both sides of border has been an enabling condition in India-Nepal and Kenya-Tanzania.
- **Multiagency coordination and cooperation**. The willingness of a multi-agency task force to work collaboratively facilitates cross-border negotiations as demonstrated in Mongolia and Tanzania.

BARRIERS TO ACHIEVEMENT OF OUTCOMES

The following factors were found to pose barriers to achievement of outcomes as a result of the implementation of strategies related to facilitating transboundary coordination.

- Insufficient implementing partner and NGO staff resources for enormous policy efforts. Transboundary coordination activities have proven to be very labor intensive.
- Insufficient government and regional organization resources, as demonstrated by SADC and the Kavango-Zambezi Secretariat in support of the Kavango-Zambezi project.
- Limited funding sources, which is contrasted with a normally long timeline for completing transboundary coordination activities.
- Disharmonized government policies and slow approvals: Slow government approvals to attend transboundary coordination meetings have led to delays and cancellations of planned meetings.[47]
- Uncertainty of USAID presence as demonstrated in Bolivia, Ecuador, and Russia.

46 One IP noted that implementers need a strong understanding of the institutional dynamics of sectoral tensions among a range of stakeholders at various scales.

47 Also in the Daurian Steppe, the Government of Mongolia has been slow to formally allow herder communities to harvest and market wildlife sustainably managed on their land

RECOMMENDATIONS FOR FUTURE DESIGN OF TRANSBOUNDARY STRATEGIES

Designing a transboundary project component is a daunting task unless the organization has already been working with both sides of a landscape border. Working on a common problem with two or more governments adds a time-consuming, labor-intensive component to a project. SCAPES, unfortunately, was implemented during a five-year period when, for the first time, a number of recipient nations, Bolivia, Russia, and Ecuador, requested that the USAID programs in their countries be closed. In addition, difficulties securing NGO registration led to a closing of activities in Uzbekistan. This SCAPES experience leads to the following suggestions for how to design future strategies to facilitate transboundary coordination:

- Conduct Political-Economic or Constraints Analysis: This analysis, ideally carried out by experienced regional political and economic (e.g., non-conservation) specialists, would include at least the following components:
  - Assess the feasibility and options for facilitating agreement between governments,[48] for example, perhaps it would have been more efficient in Kavango-Zambezi for WCS to work initially with only two or three of the SADC countries, rather than all five member countries, since SADC processes have been very slow.
  - Include relevant regional institutions and international efforts such as TRAFFIC in the analysis,[49] some of the regional institutions identified in SCAPES proposals have been understaffed and underfunded and have not performed the duties hoped in the design.
  - Include a review of examples where the proposed transboundary countries have successfully worked together, even on non-conservation activities.[50]
  - Include a review of discordant policies that need to be harmonized.[51]
- Conduct a sociocultural analysis of border communities. SCAPES experience dramatically points out how transboundary coordination can start and expand from the bottom-up, especially when the same ethnic group occupies the landscape on both sides of the border. A sociocultural analysis would also identify community leaders and project champions and decision-making processes that could be useful in choosing where to focus the project.
- Determine whether and how to address international demand issues.[52] As noted in the discussion of threats-based assessment, an analysis of demand and trade in illegal wildlife products is often needed, at a minimum in, the transboundary countries.

48 Kazakhstan-Uzbekistan: five countries compared to two or three: Sacred Himalayas: two countries compared to three countries; Eastern Cordillera Real:: two countries compared to three.

49 SADC, TRAFFIC

50 This was done to build on successful attempts at cooperation and learn from unsuccessful ones.

51 Trophy hunting is illegal in Kenya but legal Tanzania.

7.6 CLIMATE CHANGE ADAPTATION

Strategies related to building community capacity for climate change adaptation were implemented in five landscapes, as indicated in Table 8. The results chain for this set of strategies is shown in Figure 10, followed by a description of the theory of change. Findings are then discussed by landscape and across landscapes, followed by conclusions, which include enabling conditions, barriers to achieving outcomes, and recommendations for strategy design.

CLIMATE CHANGE ADAPTATION THEORY OF CHANGE

The theory of change depicted in the results chain above was initially developed by MI with implementing partner input, then was modified by the evaluation team after field visits and interviews with the implementing partners. Implementing partners did not necessarily implement all activities or anticipate all results in the theory of change, but rather only those that applied in the context of their project.

Strategies to build community capacity for climate change adaptation were intended to inform the implementation of several other conservation strategies. Some implementing partners' strategies to build

52 Hunting conducted in China for saiga and rhino horns, elephant tusks, and wolf pelts

community capacity for climate change adaptation were aimed at communities having better climate data and climate change vulnerability information. This outcome was, for some implementing partners, achieved by gathering and analyzing national or regional data and tailoring the information to the community-level. Implementing partners anticipated that having better information would lead to communities having an improved understanding of climate variability, vulnerabilities, and risks, which in some instances was supported by conducting vulnerability assessments. Understanding vulnerability was intended improve community understanding of options for climate change adaptation, which was supported by actions to identify adaptation strategies with the community.

Improved understanding of options for climate change adaptation was intended to inform strategies in the following three areas:

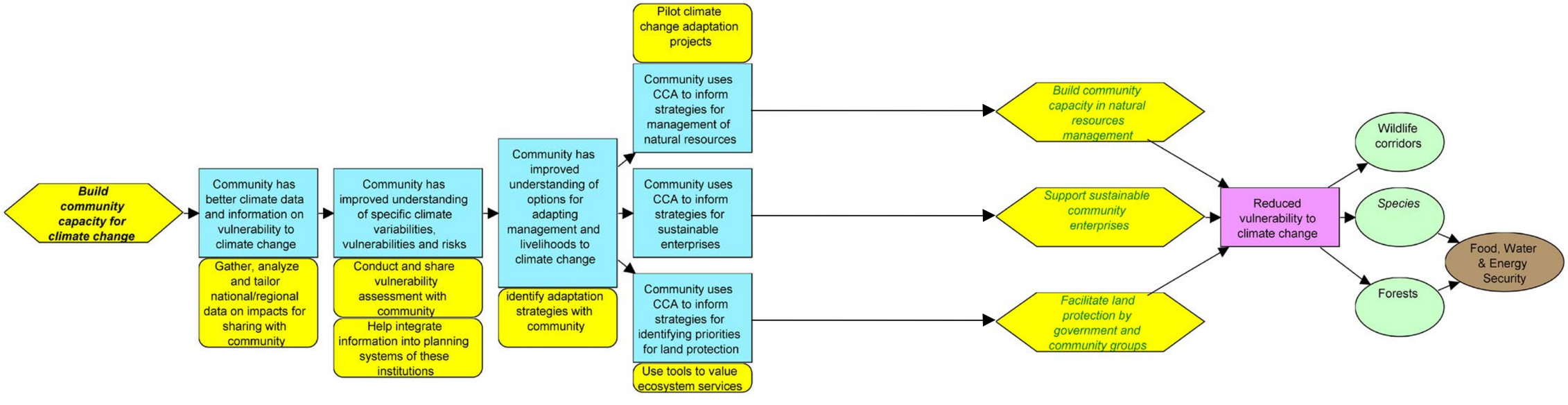
- **Management of natural resources:** As reflected in the CBNRM theory of change, understanding options for climate adaptation were intended to inform climate-smart strategies for management for habitat, fire, rangeland, agriculture, and hunting.
- **Sustainable enterprises:** As reflected in the sustainable enterprise theory of change, options for climate adaptation were intended to inform the promotion of climate-smart enterprises
- **Land protection:** As reflected in the land protection theory of change, understanding options for climate adaptation were intended to inform the identification of important climate refuges and corridors that allow for climate-induced migrations. This outcome, for some implementing partners, included the use of ecosystem service valuation tools (e.g., InVEST, Artificial Intelligence for Ecosystem Services).

Table 8. Landscapes Implementing Climate Change Adaptation Theory of Change

AFRICA				ASIA			LATIN AMERICA	
KAZA (WCS)	KZU (AWF)	KILI (AWF)	RUV (WWF)	DS (WCS)	SHL (WWF)	UST (Pact)	ECR (WWF)	MT (WCS)
			X	X	X	X	X	

Legend: AWF = African Wildlife Foundation, DS = Daurian Steppe, ECR = Eastern Cordillera Real, KAZA = Kenya-Tanzania, KILI = Kilimanjaro, KZU = Kazakhstan-Uzbekistan, MT = Madidi-Tambopata, RUV = Ruvuma, SHL = Sacred Himalayas Landscape, UST = Ustyurt Plateau, WCS = Wildlife Conservation Society, WWF = World Wildlife Fund

Figure 10. Results Chain for Climate Change Adaptation Climate Change Adaptation Theory of Change



CLIMATE CHANGE FINDINGS

The strategies implemented and outcomes achieved that relate to climate change adaptation are highlighted for the different landscapes below. The relevant objectives that were identified in the corresponding implementing partner proposals are provided as well. Following these individual landscape descriptions, cross-landscape findings are discussed, including the assumptions that were found to underlie the theory of change.

LANDSCAPE FINDINGS

Ruvuma

Proposal Objective: WWF planned to (1) help stakeholders understand opportunities, risks, and vulnerabilities due to climate change along corridor areas, and (2) help communities develop and implement climate change adaptation plans and strategies, and develop links to appropriate government structures through policy engagement at appropriate governance levels.

Strategies:

- Conduct landscape level vulnerability assessment and collect meteorological data from the last 30 years. A binational transboundary technical team was assembled by WWF and CARE to complete this assessment and data collection.
- Train provincial government, NGO partners, and staff on use of the Community-based Risk Screening Tool (Adaptation and Livelihoods) and Climate Vulnerability and Capacity Analyses (CVCAs). Feed resulting data into community-level analyses in 11 villages (eight in Mozambique, three in Tanzania).
- Set up Farmer Field Schools (FFSs) in ten districts and introduce drought tolerant crops and concepts such as intercropping and crop rotation to boost yields and address food security. FFSs also host field days to exchange best practices and encourage climate-friendly agriculture; however, the FFS work was dropped in Tanzania after a major workplan modification in FY12 to focus on monitoring systems.

Outcomes:

- Data were gathered and vulnerability assessment was conducted.
- Climate change vulnerability information was shared with communities.
- Climate change adaptation strategies such as agriculture techniques were introduced to communities.
- In Mozambique, eight farmer field schools were established to train farmers and extension agents.

Daurian Steppe

Proposal Objective: WCS only included climate change adaptation as part of a discussion on ecological sustainability in their proposal.

Strategies:

- Host a workshop for local communities to express observations of the impacts of climate change on pasture and wildlife distribution and abundance.
- Help the Mongolian Ministry of Environment and Green Development organize a workshop to engage the international community in a national-level dialogue in Mongolia around climate change mitigation and adaptation and to help coordinate donor support for activities outlined in the national action plan.

Outcome: The National Climate Committee established the Climate Change Coordination Office in Mongolian Ministry of Environment and Green Development , with the help of WCS and other stakeholders, which will be responsible for ongoing coordination of activities and assessment of progress toward the goals and objectives outlined in the National Action Program.

Sacred Himalayas

Proposal Objective: WWF planned to pilot community-based climate change adaptation projects, including strengthening adaptation practices and identifying adaptation activities based on vulnerability assessments. WWF worked with CARE to implement the first two strategies described below.

Strategies:

- Work with communities to assess vulnerability through a participatory approach using the CVCA tools and prepare community-based local adaptation plans based on the vulnerability assessment. Plans emphasize food, water, and energy security.
- Help communities implement integrated climate adaptation initiatives based on the local adaptation plans and help prepare local adaptation plans in additional vulnerable sites.
- Disseminate results from landscape vulnerability assessment to relevant stakeholders to help integrate ecosystem resilience into adaptation planning at multiple scales.
- Train local resource persons and partner organizations on climate change issues, particularly related to agriculture and natural resources.

Outcomes:

- Nine community adaptation plans were prepared and are being implemented.
- Communities have improved understanding of climate variability, vulnerabilities, and risks.

Ustyurt Plateau

Proposal Objective: Pact intended to do scenario planning for climate change.

Strategy: Conduct climate change workshops to discuss potential impacts on the Ustyurt Plateau (e.g., species, habitats, and local communities) and potential adaptation responses.

Outcomes: FY12 and FY13 workshops identified expected climate impacts, highlighting the likelihood of impacts on saiga distribution and migration from potential shifts in habitat zones and increased desertification in the southern Ustyurt.

Eastern Cordillera Real

Proposal Objective: Climate change adaptation for biodiversity conservation was the primary lens for WWF's objectives in Eastern Cordillera Real. WWF intended to reduce climate change vulnerability through land protection and management of ecosystem services, building knowledge and capacity, developing policies to address drivers of environmental change, and orienting economic development toward climate resilience.

Strategies:

- Conduct CCVAs in two of three project focal areas (Alto Fragua – Indi Wasi National Park and Sangay-Llanganates Biological Corridor) and conduct valuation and modeling using the InVEST tool.
- Using matching funds, model climate niches for 54 species of birds and 27 mammals.
- Collect climate data using a newly installed hydrometeorological station in Fragua Chorroso watershed, and encourage protected areas and the national protected area systems to include CCVAs and adaptation plans in their management planning process.
- Disseminate CCVA results to communities, conduct workshops to build capacity to develop adaptation measures, and develop awareness raising materials.

Outcomes:

- CCVAs conducted as planned using InVEST. The tool helps identify areas vulnerable to landslides, and thus guided reforestation and restoration efforts and helped identify and delimit new conservation areas that could serve as refuges for species threatened by climate variation.
- Modeled climate change niches for identified species, which helps delimit new conservation areas that could serve as refuges, into which species threatened by climate variation could move, or through which they could find safe corridors in their search for suitable habitats.
- 378 people trained on climate-friendly agriculture and introducing more tolerant coffee.
- Project work is shared with local governments, and is acknowledged to some extent in national working groups.
- Adaptation and conservation strategies are being integrated in national agendas including the Colombia Decade Environmental Plan, the Ecuadorian Climate Change strategy, and national Intergovernmental Panel on Climate Change communications.

CROSS-LANDSCAPE FINDINGS

The following findings indicate trends that were observed in the SCAPES landscapes on strategies implemented and outcomes achieved.

Activities were implemented across landscapes to achieve outcomes related to communities having better climate data and climate change vulnerability

information, and a better understanding of specific climate variability, vulnerabilities, and risks. For example, climate niche data for birds and mammals were collected in Eastern Cordillera Real, and meteorological data from the past 30 years were collected in Ruvuma. Vulnerability assessments, or workshops to discuss climate change impacts, were conducted in Ruvuma, Daurian Steppe, Sacred Himalayas, Ustyurt Plateau, and Eastern Cordillera. In a couple of landscapes, vulnerability assessment findings were disseminated to government entities, leading to the establishment of a National Climate Change Coordination Office in Daurian Steppe and climate adaptation strategies being integrated into national agendas in Eastern Cordillera Real.

Outcomes related to piloting adaptation strategies with communities was somewhat less prevalent, but climate-friendly agriculture related workshops and trainings were conducted in Ruvuma and Eastern Cordillera Real and implementing partners worked with communities to implement climate adaptation plans based on vulnerability assessments in Sacred Himalayas. With the exception of the use of InVEST in Eastern Cordillera to identify areas vulnerable to landslides, and thus guide reforestation and restoration efforts and the designation of new conservation areas, no concrete outcomes were reported in which a community used climate change adaptation to inform strategies for management of natural resources, sustainable enterprises, or identifying priorities for land protection. Implementing partners did not report outcomes related to reducing the climate change vulnerability of species or ecosystems, but this is likely due to the time and effort needed to transition from the community understanding vulnerability information and adaptation options to actually using that information to inform natural resource management and livelihood strategies.

Assumptions

Following are some important assumptions identified by implementing partners that influenced the achievement of outcomes along the theory of change:

- Political and legal stability: both governments and laws, such as natural resources management and land use laws, will remain stable.
- Government buy-in: governments will understand, be interested in, and have the will to engage in climate change adaptation.
- Community buy-in: communities would apply lessons learned from CCVAs and options for adaptation to natural resource management, to the establishment of sustainable enterprises, and to land protection and management activities.
- Accuracy of climate change projections: Adaptation strategies based on climate change projections made at national or regional scales will ultimately be effective in a particular area for reducing vulnerability of species and ecosystems.[53]

CLIMATE CHANGE ADAPTATION CONCLUSIONS

Only in Eastern Cordillera Real was climate change adaptation the major project objective. Eastern Cordillera Real climate change adaptation results have been impressive and include using InVEST when data are available to identify cost-effective microregions for conservation investments. Artificial Intelligence for Ecosystem Services can be used where data are not available.

The other two WWF landscapes, Ruvuma and Sacred Himalayas, and Ustyurt Plateau included climate change adaptation as one component of the overall project. Some common SCAPES components in community work were to (1) assess climate change vulnerability, (2) develop climate change adaptation plans, and (3) implementing pilot climate change adaptation activities, including practicing climate-smart agriculture. The first two components appear to have proceeded well in all locations; however, the results of alternative agriculture efforts were mixed. Implementing partners had success with cardamom in Sacred Himalayas and alternative coffee production systems in Colombia-Eastern Cordillera Real, but poultry and cattle activities were terminated in Ruvuma.

53 A USAID reviewer noted that a significant assumption not noted here (and central to the theory of change) is that climate change adaption activities are going to have biodiversity conservation results. It isn't clear from the theory of change or from SCAPES activities and projects that this is or will be the case.

ENABLING CONDITIONS

The following enabling conditions were found to support the achievement of outcomes as a result of implementation of strategies related to building community capacity for climate change adaptation:

- **Community acceptance:** Implementation of climate change adaptation strategies is facilitated by communities' understanding that climate change is an issue that will impact them.
- **Partner organizations:** Collaboration with other institutional stakeholders, NGOs, and CBOs provides additional resources and technical knowledge. In Nepal, WWF's partnering with CARE provided significant support for their climate change adaptation work.
- **Government support:** District and provincial governments often see the need for climate change adaptation more clearly and have greater interest in taking action; according to an Eastern Cordillera Real project member, these governments often have the authority and funding to do so also. One implementing partner reported that government commitment to producing deliverables for the National Communications on Climate Change to the United Nations Framework Convention on Climate Change encouraged and supported the work on this strategy.
- **CVCAs:** CVCAs proved to be useful to generate community buy-in and develop climate change adaptation strategies.
- **Adaptive management:** Flexibility in implementation strategy for this relatively new set of interventions helped.

BARRIERS TO ACHIEVEMENT OF OUTCOMES

The following factors were found to pose barriers to achievement of outcomes as a result of the implementation of strategies related to building community capacity for climate change adaptation:

- **Incomplete situational understanding.** Be sure to establish a sufficient understanding of the local context for the design and implementation of inappropriate adaptation strategies. To establish this understanding, conduct a thorough baseline study first can avoid this.
- **Limited NGO funding and field staff.** Insufficient funds and a lack of sufficient field staff can make implementing adaptation measures a challenge.
- **Lack of NGO coordination.** In one project, an NGO was offering household loans for biogas construction while another was offering cash subsidies for biogas construction, leading to confusion and community discouragement in adopting climate adaptation strategies.
- **Government instability.** In Colombia, political instability and social unrest were major issues.
- **Difficulty in coordinating with government.** In one site, climate change adaptation was being piloted on a small scale, and was, therefore, difficult to integrate with government activities; government policy was also in a formulation phase, limiting scale-up opportunities.
- **Community reluctance.** Reluctance to adopt new climate adaptation strategies often results from ignorance of the benefits.
- **Absence of localized weather data.** Without localized weather data as the basis for climate projections, it is difficult to model future climate change impacts and to predict vulnerabilities at a local scale.

RECOMMENDATIONS FOR FUTURE DESIGN OF CLIMATE CHANGE ADAPTATION STRATEGIES

The following recommendations for the future design of strategies to build community capacity for climate change adaptation are based on the preceding conclusions:

- Analysis of previous climate change work: Be cognizant of previous and ongoing CCVAs and adaptation strategies at national and regional levels to avoid duplication of efforts.
- Stakeholder analysis: Identify national and regional government champions who can facilitate support

from those levels and can scale-up results from the community level.

- Appropriate project scale: Determine a reasonable scale based on available budget and project timeline; this effort is labor intensive and requires multiple levels of interaction. According to one member of the Eastern Cordillera Real project, "5 years and SCAPES' limited funding wasn't enough to start work in a new landscape."

7.7 SUSTAINABLE ENTERPRISES

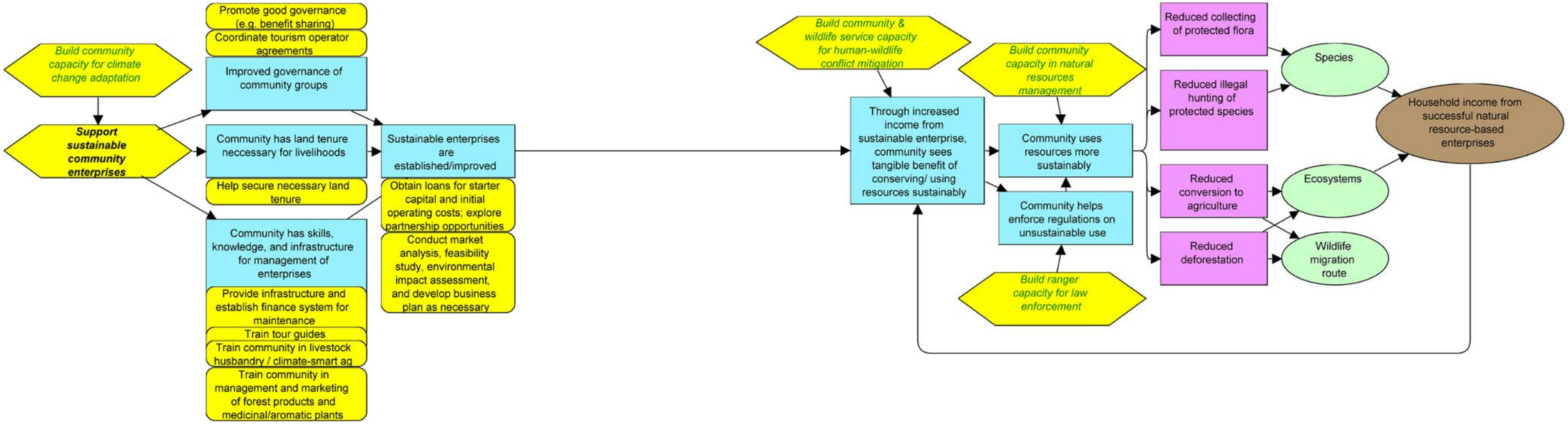
Strategies related to sustainable enterprises were implemented in seven landscapes, as indicated in Table 9. The results chain for this set of strategies is depicted in Figure 11, followed by a description of the theory of change. Findings are then discussed by landscape and across landscapes, followed by conclusions, which include enabling conditions, barriers to achieving outcomes, and recommendations for strategy design.

Table 9. Landscapes Implementing Sustainable Enterprises Theory of Change

AFRICA				ASIA			LATIN AMERICA	
KAZA (WCS)	KZU (AWF)	KILI (AWF)	RUV (WWF)	DS (WCS)	SHL (WWF)	UST (Pact)	ECR (WWF)	MT (WCS)
	X	X	X	X	X	X		X

Legend: AWF = African Wildlife Foundation, DS = Daurian Steppe, ECR = Eastern Cordillera Real, KAZA = Kenya-Tanzania, KILI = Kilimanjaro, KZU = Kazakhstan-Uzbekistan, MT = Madidi-Tambopata, RUV = Ruvuma, SHL = Sacred Himalayas Landscape, UST = Ustyurt Plateau, WCS = Wildlife Conservation Society, WWF = World Wildlife Fund

Figure 11. Refined Model for Sustainable Enterprises Theory of Change



SUSTAINABLE ENTERPRISES THEORY OF CHANGE

The theory of change depicted in the results chain below was initially developed by MI with implementing partner input, then was modified by the evaluation team after field visits and interviews with the implementing partners. Implementing partners did not necessarily implement all activities or anticipate all results in the theory of change, but rather only those that applied in the context of their project.

Strategies to support sustainable enterprises may be supported by strategies to build community capacity for climate change adaptation, which has its own theory of change to inform the establishment of climate-smart enterprises. Strategies to support sustainable enterprises were aimed at achieving results related to improved governance of community groups, community having the land tenure necessary for livelihoods, and communities having the skills, knowledge, and infrastructure necessary to manage enterprises.[54]

- **Improving governance of community groups** is supported through implementing partner actions to promote good governance and to coordinate tourism operator agreements.

54 One USAID reviewer noted that the theory of change implies that these are nature-based enterprises (e.g., they depend directly on intact ecosystems to be successful). That should be more clearly articulated since it is more than just "sustainable."

- **Establishing community land tenure** is enabled through implementing partner actions to help communities secure land tenure.
- **Ensuring community has skills, knowledge, and infrastructure** is supported by implementing partner actions to provide infrastructure and establishing finance systems, training tour guides, training in management and marketing of forest products, and training in livestock husbandry and climate-smart agriculture.

These outcomes are expected to lead to the establishment or improvement of sustainable enterprises. The establishment of enterprises is supported through implementing partner actions to obtain loans; create partnerships; and conduct market feasibility analyses and environmental impact assessments. The establishment or improvement of sustainable enterprises is intended to lead to increased income for communities, and then the community sees tangible benefits from conserving or using resources sustainably.[55] In some cases, increased benefits may be supported by strategies for mitigating human-wildlife conflict, which has its own theory of change. Increased benefits is expected to lead to decrease in unsustainable use of resources, which is supporting in some cases by strategies for building capacity for community management of natural resources and enforcing regulations, which both have their own theories of change. Implementing partners expect that, consequently, threats that include the collection of protected flora, illegal hunting of protected species, conversion of forests for agriculture, and deforestation, are reduced for species, ecosystems, and wildlife migration routes, and species and ecosystems the enterprise depends on are conserved. One implementing partner anticipated that increased household income from successful natural resource-based enterprises would result from species and ecosystem conservation

55 One USAID reviewer noted that the theory of change focuses on nature-based enterprises (e.g., they depend directly on intact ecosystems to be successful), and yet some of the enterprises supported by implementing partners, such as livestock improvements, may not be directly linked to the ecosystem. In those cases, communities may not be motivated by the enterprise activity to discontinue unsustainable use, and the new enterprise becomes an additional activity.

SUSTAINABLE ENTERPRISES FINDINGS

The strategies implemented and outcomes achieved that relate to support for sustainable enterprises are highlighted for the different landscapes below. The relevant objectives that were identified in the corresponding implementing partner proposals are provided as well. Following these individual landscape descriptions, cross-landscape findings are discussed, including the assumptions that were found to underlie the theory of change.

LANDSCAPE FINDINGS

Kazungula

Proposal Objective: Two of the six original primary objectives in the AWF proposal were focused on conservation enterprises, although these were later combined into one.

Strategies:

- Help secure land rights for and develop two enterprise ventures: the Machenje Fishing Camp in Sekute (Zambia), and the Ngoma Lodge (Botswana).
- Conduct a feasibility study and submit a plan to Zambian Wildlife Authority for approval to establish a wildlife breeding sanctuary and help solicit private sector and donor funding.

Outcomes:

- The Machenje Fishing Camp was completed in 2013 and serves as a model for community-private sector partnerships in Zambia.
- The Wildlife Breeding Sanctuary Feasibility Study was completed and findings indicate that the area is suitable for the breeding of high value game. A prospectus was developed for a proposed Sekute wildlife breeding sanctuary with funding being sought from the private sector and donors.
- In Chobe (Botswana), the newly completed Ngoma Lodge provides a benefit sharing of $8000 to the community for the first quarter of operations, with the bulk of revenue from hunting permits.
- Scoping for possible conservation enterprises was conducted in two community areas, the Khumaga Community on the west side of Makgadikgadi Pans National Park (MPNP) and the Gweta Community on the east of MPNP in Botswana.

Kilimanjaro

Proposal Objective: AWF aimed to establish conservation enterprises, such as livestock and ecotourism ventures.

Strategies:

- Help bring livestock owners together to form market access committees that could leverage markets by buying and selling in bulk to get better prices for their products.
- Train market access committees in animal husbandry and disease control.
- Help foster a partnership between the Kilitome Conservancy and Tawi Lodge, with the lodge providing a substantial financial contribution to the land lease project.
- Conduct a scoping study for ecotourism enterprise options and a socioeconomic assessment in Lake Natron WMA.
- Introduce greenhouse technology, improved agricultural techniques, and tree planting as livelihood opportunities at select sites throughout the landscape.

Outcomes:

- A livestock slaughterhouse in Imbirikani was set to open in FY14 to provide a significant value-added service for community members.
- In Tanzania, tourism operator agreements were transferred to the WMAs and a new ecolodge was to be constructed in the Enduimet WMA with a private-sector partner.
- Livestock owners were brought together to form market access committees that could leverage markets by buying and selling in bulk to get better prices for their products. Market access committee members also received training in animal husbandry and disease control.
- A partnership was formed between the Kilitome Conservancy and Tawi Lodge, which provided a substantial financial contribution to the land lease project.
- A scoping study for ecotourism enterprise options and a socioeconomic assessment were conducted in Lake Natron WMA.
- Greenhouse technology, improved agricultural techniques, and tree planting as livelihood opportunities were introduced at select sites throughout the landscape.

Ruvuma

Proposal Objective: WWF planned to develop and implement climate change adaptation plans.

Strategies:

- Develop REDD+ carbon pilot projects and, in the interim, develop safari hunting or community tourism projects.
- Build pisciculture ponds and help distribute goats as alternative protein sources.
- Help village community banks become autonomous.

Outcomes:

- Carbon projects were put on hold pending approval of national REDD+ strategies, and the hunting and tourism projects were dropped. WWF started and dropped two other sustainable enterprise projects as well: a livestock project in the Niassa-Quirimbas that was not accepted by the community, and a poultry vaccination campaign to protect ducks and chickens against Newcastle disease that was cut due to financial infeasibility
- Village community banks now run autonomously and support income-generating activities.
- Initially 123 goats were given to 41 households. Of those, 82 had surviving offspring, 42 were given away to 14 new households, and 90 more goats were pending distribution to an additional 30 households. With proper husbandry methods, the goats will provide an appropriate alternative source of protein and reduce dependency on bushmeat poaching.
- Four single-family pisciculture ponds were built, with two still operating.

Daurian Steppe

Proposal Objective: WCS planned to scale-up an effective community-based model for wildlife and livestock management.

Strategy: Explore the implementation of the AHEAD approach at the community level, linking herders' livestock health and productivity concerns with interventions to secure resources for wildlife and livestock in community protected and managed areas.

Outcomes:

- Helped coordinate the international response to a 2010 foot-and-mouth disease outbreak and facilitated outbreak information sharing between Russia, China, and Mongolia.
- Helped develop a national foot-and-mouth disease strategy, not yet in place. If Mongolia achieves foot-and-mouth disease free status, the potential export markets for livestock products will open up.
- Supported herder community groups to improve livestock and livestock milk products production, a livestock slaughterhouse, vegetable gardening, a garlic production trial, and an eco-tourism camp.

Sacred Himalayas

Proposal Objective: Mobilize communities for participatory resource management.

Strategies:

- WWF planned to develop sustainable harvesting guidelines for prized NTFPs and medicinal and aromatic plants, including training in sustainable management and marketing.
- Promote natural resource based enterprises.
- Support the establishment of tourism products and services microenterprises.

Outcomes:

- Worked with communities to encourage sustainable harvest of NTFPs and medicinal and aromatic plants, such as Chinese caterpillar fungus, snake wood, wild garlic, marsh orchids, and musk root; handmade paper enterprises; tea farming; essential oil production (e.g., juniper); incense stick production; and cardamom seeds.
- Helped establish ecotourism facilities by improving trails and bridges, campsites, and visitor centers; supporting handicrafts, souvenir shops, and teashops; and building capacity for a homestay project.

Ustyurt Plateau

Proposal Objective: Pact aimed to diversify income sources for people who depend on hunting and trade in wild products for income and food security.

Strategies:

- Promote alternative livelihoods.
- Conduct a socioeconomic baseline survey and participatory workshops to identify new project ideas to replace destructive activities and provide a profitable return to participants.
- Provide training on sustainable livelihoods enhancement and diversification.
- Launch the MERC to provide training, learning opportunities, and micro-credit loan assistance for community members to develop businesses. MERC will also provide information on environmental regulations and current programs on the environment.
- Conduct a corporate sector analysis for engaging with the extractive industry to mitigate the impact and potentially leverage funds.

Outcomes:

Many proposed activities were canceled after NGOs were forced to close their programs in Uzbekistan, but the strategies were implemented, with the exception of "promoting alternative livelihoods," that focused in Uzbekistan.

- MERC was launched in mid-2014 as a multipurpose learning and support center for community members.
- Surveys, workshops, and trainings were conducted with community members.

Madidi-Tambopata

Proposal Objective: WCS sought to implement systems for indigenous community natural product enterprises to become ecologically and financially sustainable in the Takana Indigenous Community Territory.

Strategies:

- Provide training and infrastructure to community initiatives for caiman harvest and skins production, plus forestry and production of cacao, honey, and artisanal crafts.
- Support two ecotourism initiatives.

Outcomes:

- Supported a paiche control and harvest project by bringing four post-graduate business school students to develop a business plan to identify appropriate markets and priority harvest areas.
- Supported sustainable enterprises with training and infrastructure for community initiatives to harvest caiman and produce skins and fostered forestry and production of cacao, honey, and artisanal crafts. Supported two ecotourism initiatives, including one award winning.
- Terminated support in Year 4 for proposed Bolivian activities when USAID was asked to close its program there. The activities may have continued with other donor funding, but no reports are available.

CROSS-LANDSCAPE FINDINGS

The following findings indicate trends that were observed across the SCAPES landscapes on strategies implemented and outcomes achieved.

The most commonly implemented interventions across landscapes were geared toward improving community skills, knowledge, and infrastructure for the management of sustainable enterprises. Such interventions included the introduction of new technologies and techniques, and specific trainings on harvesting particular products, livestock husbandry, or diversifying livelihood strategies, generally. Sacred Himalayas and Ustyurt Plateau implemented activities to support improvements to ecotourism facilities or mobile business plan centers, and Ruvuma and Ustyurt Plateau both supported financial system development, in the form of community banks and a micro-credit loan assistance project.

Another frequently implemented activity was conducting market analyses, baseline surveys or feasibility studies on sustainable enterprise opportunities. Kazungula, Kilimanjaro, Ustyurt Plateau, and Madidi-Tambopata all reported these types of analyses.

Outcomes related to the establishment or improvement of sustainable enterprises were reported in a few instances, including the planned opening of a livestock slaughterhouse in Kilimanjaro, a goat distribution project in Ruvuma, the adoption of cardamom production in Sacred Himalayas, and the establishment of fishing camp and lodge in Kazungula. As for the outcomes related to the community realizing benefits from sustainable enterprises, the lodge established in Kazungula is reportedly resulting in distribution of funds to the community and the paiche harvest project in Madidi-Tambopata is expected to provide income to families, but those results have not been realized yet. Perhaps because communities are not yet reportedly experiencing the benefits of sustainable enterprises, there is not yet evidence of more sustainable natural resource use or reduced threats to species or ecosystems from collecting protected flora, illegal hunting, conversion to agriculture, or deforestation.

Assumptions

Important assumptions identified by implementing partners that influenced the achievement of outcomes along the theory of change are as follows:

- **Political stability.** Governments will remain stable and there would not be social unrest, which is particularly important for the tourism industry.
- **Government and legal support.** Governments support enterprise development and laws will be enacted and implementation regulations put in place to allow communities to benefit from the sale of sustainably-managed natural resources on community lands, such as with marmots in Mongolia, and blue sheep in Nepal.
- **Private sector engagement.** The private sector is willing to engage in a conservation-related venture.
- **Steady demand.** Markets remain stable and can sufficiently sustain the enterprises.
- **Conservation logic holds.** Wildlife enterprise developments provide local communities with benefits that result in their willingness and ability to reduce threats and continue to conserve biodiversity.

- **Availability of capital.** Investment funds are accessible and amenable to supporting community enterprises.

SUSTAINABLE ENTERPRISES CONCLUSIONS

Outside of ecotourism, conservation organizations have typically had less expertise and experience with establishing sustainable enterprises, as focus has traditionally been on protected areas and biodiversity conservation. Few SCAPES proposals planned activities that included business plans, market chain analyses, or cost-benefit analyses.

Strategies for supporting sustainable enterprise under SCAPES can be divided into support for: (a) Large ventures (such as community-owned lodges in Kilimanjaro and Kazungula, a fishing camp in Kazungula, and an abattoir in Kilimanjaro) that appear to have been well analyzed, well established and are likely to provide benefits to communities; and (b) more modest enterprises (such as paper production and bio-briquettes in Sacred Himalayas; wild cacao, caiman harvesting, and artisanal crafts in Madidi-Tambopata; and goat, poultry, and cattle raising in Ruvuma) for which outcomes have been more limited. The small enterprises in Madidi-Tambopata are contributing to local families' livelihoods and management association costs, while the enterprises in Ruvuma were determined to be economically infeasible (poultry), or not accepted in the communities (livestock).

Strategies to support credit institutions appear to have been more effective in achieving outcomes, especially Village Cooperative Banks in Ruvuma, a variety of revolving funds in Sacred Himalayas, and the innovative MERC in Ustyurt Plateau that will provide low-interest loans for sustainable enterprises as well as conservation education.

ENABLING CONDITIONS

The following enabling conditions were found to support the achievement of outcomes as a result of implementation of strategies related to supporting sustainable enterprises.

- **Stakeholder buy-in and trust.** Communities see commercial value of existence of wildlife and biodiversity that can offer alternative livelihoods.
- **Enabling policy environment.** In Zambia and Botswana, policies enabling community-private enterprise partnerships facilitated the development of Machenje Fishing Camp.
- **Strong government support.** Government support for small and medium enterprises, such as from the Cottage and Small Industries Development Committee, the District Forest Office, and other district line agencies in Nepal.
- **Strong markets.** High demand for tourism and other products, such as in the Kenya-Tanzania TFCA which currently attract nearly 350,000 tourists annually, or the ability to increase market demand.
- **Access to financial credit** with affordable interest rates for private sector loans.
- **Adaptive management.** Flexibility in implementation strategy, especially in relation to market fluctuations.

BARRIERS TO ACHIEVEMENT OF OUTCOMES

The following factors were found to pose barriers to achievement of outcomes as a result of the implementation of strategies related to supporting sustainable enterprises.

- **Fluctuating markets/demand.** The tourism market is highly vulnerable to political turmoil and acts of terrorism.
- **Enterprise and market development.** Significant time and resources may be required to establish viable enterprises and develop markets.
- **Potential for financial leakage.** It is easy for money to get diverted resulting from corruption.
- **Limited implementing partner knowledge and capacity.** Few conservation organizations employ private sector business specialists, resulting in inadequate enterprise development capacity.
- **Weak conservation logic linkage.** Little evidence exists to show that developing sustainable enterprises will lead to increased support for conservation and a reduction in threats, although some AWF lodges in Kilimanjaro have provided health and education expenses that community members said increased their buy-in to conservation activities.

RECOMMENDATIONS FOR FUTURE DESIGN OF SUSTAINABLE ENTERPRISE STRATEGIES

The following recommendations for the future design of strategies to support sustainable enterprise based on the preceding conclusions.

- **Policy analysis.** Review government policies and regulations especially regarding both the establishment of community enterprises and licensing for private sector enterprises in protected areas.
- **Socioeconomic baseline study.** Identify possible enterprise activities and carry out initial market survey and market chain analysis.
- **Enterprise feasibility analyses.** Carry out feasibility and cost-benefit analyses before embarking on establishing enterprises and review technology needs and opportunities. For example, a simple technology fix in Senegal for dehulling fonio seeds greatly expanded market opportunities for the grain and reduced pressure on forest resources.
- **Ensure access to finance.** Determine possible sources of capital for enterprise start-up, such as corporate social responsibility funds in the private sector, foundation funds, payments for ecosystem services, or REDD+ schemes.

CONCLUSIONS ON LEARNING FROM SCAPES STRATEGIES

Evidence gathered over the course of the evaluation demonstrated that generally the implementation of SCAPES strategies has led to intermediate outcomes to reducing threats to biodiversity, although the landscapes vary widely, with some strategies clearly achieving more than others. Summaries of strategy results follow.

Land Protection. Land protection strategies resulted in at least 9.5 million hectares of biologically significant land and natural resources under improved management (larger than the state of Indiana).

Community-Based Natural Resource Management. Strategies resulted in at least 9,000 people trained in natural resource management or biodiversity conservation, with strong models for CBNRM operating in four of the landscapes.

Law Enforcement. Several landscapes reported a decrease in overall species poaching as a result of increased capacity for law enforcement. Wildlife poaching, especially by heavily armed, professional international poachers in East and Southern Africa, has rapidly increased during the lifetime of SCAPES. While strategies to build capacity for law enforcement to reduce poaching were included, in some measure, in the designs of six landscapes, they proved largely inadequate in Africa and implementing partners turned to other donors or used their own non-USAID funds to augment their antipoaching efforts. Nevertheless, implementing partners strengthened the community's role in law enforcement efforts, improved ranger capacity, and, especially in Asian landscapes, worked with national government programs. One highlight is the establishment of the world's first dog unit specializing in saiga horn detection at border crossing points in Kazakhstan.

Mitigation of Human-Wildlife Conflict. Under this set of strategies, outcomes include the establishment or expansion of crop-loss prevention methods, the introduction of programs to compensate loss of livestock to minimize retaliatory killings of predators, and strides to reduce transboundary animal diseases that may lead

to fence-free wildlife corridors. A reduction in human-wildlife-conflict related retaliatory killings has not yet been reported. WCS's "Beyond Fences" innovative initiative in Southern Africa, SCAPES only policy-focused project, has taken impressive strides in gaining regional and international agreement on non-fencing approaches to protecting livestock from wildlife-borne diseases. Unfortunately, funds to sustain this necessarily lengthy process after the end of SCAPES have not yet been found.

Transboundary Coordination. SCAPES transboundary coordination strategies led to mixed results. Transboundary coordination approaches were effective in achieving anticipated intermediate results along the India-Nepal and Kenya-Tanzania borders where community-led cooperation among similar ethnic groups on both sides of the border helped encourage cooperation between national government law enforcement and aerial wildlife monitoring projects. Suspicions and historic disputes, however, were not adequately assessed during project design and seriously hampered implementing partner efforts at the Bolivia-Peru and Mozambique-Tanzania sites. Transboundary coordination outcomes to date have come slowly. The greatest progress was made where implementing partners have been working for years and are trusted on both side of a border. While USAID should be lauded for requiring the transboundary coordination component and a great deal has been learned, it has been difficult for implementing partners to locate funds (national government and donor) to sustain these transboundary coordination initiatives.

Climate Change Adaptation. Building capacity for climate change adaptation, a relatively new landscape strategy, was addressed in five landscapes with WWF taking the most rigorous approach, especially in its Eastern Cordillera Real landscape. Outcomes include numerous vulnerability assessments conducted and local adaptation plans developed, over 1,300 people now having increased adaption capacity, climate refuges identified in one landscape using an innovative InVEST tool, and climate-smart agriculture introduced, and national adaptation plans influenced in two countries.

Sustainable Enterprises. SCAPES strategies related to supporting sustainable enterprises have led to the establishment of community-based tourism operations by AWF that, in one case, is beginning to share profits to finance community conservation activities. Although some failures in pilot activities occurred, SCAPES landscapes have led to the achievement of outcomes from livestock initiatives, cardamom cooperatives, and caiman and paiche harvesting associations with at least 2,200 people now having increased economic benefits derived from sustainable natural resource use. An increase in the willingness or ability to reduce unsustainable use of resources and a reduction in threats to species or ecosystems has not yet been reported.

This evaluation was a pilot test of the use of a theory of change methodology for a program-wide evaluation. The evaluators found that theories of change may be a beneficial tool to use in the future to evaluate both individual projects and larger programs if the theories of change are developed during the project design phase. The resultant highly targeted and strategic action plans, along with focused monitoring plans, can provide a strong foundation for understanding strategy effectiveness; however, a theory of change evaluation is not recommended unless the project or program was designed initially using theories of change. In most cases, SCAPES implementing partner project activities would be better evaluated based on their specific project objectives, which often comprised a multitude of activities that cross the lines among theories of change. The Senior Evaluation Specialist has used other methodologies for program-wide evaluations that compared and contrasted project designs and approaches to implementation; these received full implementing partner support and produced valuable conclusions and recommendations.

8.0 LEARNING PROGRAM ASSESSMENT

This assessment was not conducted as part of the original evaluation, which is structured around four evaluation questions. Unlike the other sections of this evaluation report, this assessment was conducted by Meredith Ferris, Adult Learning Specialist from the Environmental Learning, Communication and Outreach project. The purpose of this assessment was to understand the overall impact of SCAPES learning investments and gather lessons learned. Although conducted by a different evaluator, using different methods, this assessment is presented as part of this evaluation report to provide a more comprehensive and holistic understanding of SCAPES impacts, to inform other programs and strategies in USAID, among implementing partners, and across the conservation community.

BACKGROUND

One of the core objectives for SCAPES was to scale-up knowledge and impact to increase conservation success at sites, across the partnership, and among the global conservation community. The SCAPES focus on partner-driven learning was a hallmark of the program. From the beginning, SCAPES dedicated time and resources for learning activities including four annual meetings, two partner-driven learning programs (governance and climate change adaptation) and the implementation of an LFA applied across the life of the project. This assessment aimed to determine impacts and lessons learned were yielded by SCAPES learning investments.

The assessment addresses three sets of questions:

- **Learning Experience.** Overall, what was the partners' experience of SCAPES learning activities?
- **Impacts and Fostering Ongoing Learning.** What impacts did the SCAPES learning component have on partner organizations' practices? What are the best ways to foster post-SCAPES cross-institutional learning?
- **Embodiment of Learning Network Best Practices.** To what extent did SCAPES learning embody the characteristics and use the practices of successful USAID Learning Networks?

METHODS

The following process was used to collect the data for this assessment:[56]

- Identified specific-focus audiences for the assessment including E3/FAB staff and SCAPES AORs as well as SCAPES Implementing Partner representatives, including headquarter leads and field program staff.
- Developed a common protocol of the questions for qualitative data capture across interviews, focus groups, and meeting discussions in March 2014.
- Conducted one focus group with SCAPES NGO representatives in March 2014.
- Conducted four interviews with USAID SCAPES AORs in March–August 2014.
- Held a two-hour session on the learning assessment at the June 2014 SCAPES Annual Meeting to collect additional data from all SCAPES partners and share a brief overview of initial data themes.
- Reviewed the qualitative data inputs from steps three to five to identify common themes on questions in July–August 2014.

In addition to the data collection and analysis process, the evaluation included a review of SCAPES and the USAID Learning Networks Resource Center (http://usaidlearninglab.org/learning-networks) background documents.

56 See Annex A for the data collection protocol, Annex D for a summary of the learning assessment participants, and Annex B for a list of key documents.

FINDINGS

The assessment findings are organized in three parts, corresponding to questions listed in the Background section.

PART 1: LEARNING EXPERIENCE

Overall, the annual meeting and partner-driven learning activities in SCAPES were seen as very useful across SCAPES audiences. There was a strong desire to apply and continue to build on the learning done through SCAPES in partner organizations and cross-institutionally beyond the life of the project. The opportunity to learn about other landscapes and discuss experiences and activities with a variety of partners was most often cited as the greatest benefit in focus groups and interviews. According to USAID and partners who had been involved in the predecessor program, the GCP, lessons learned from the GCP learning experience were applied in the implementation of SCAPES learning activities. Despite general success, interviewees and focus group participants cited a number of ways the learning process could have been enhanced including: specific follow-up after events, connecting regional partners and field staff, and dedicating more contract resources to learning overall.

Annual Meetings

A core part of the SCAPES learning process was to hold annual meetings to bring together USAID and partner organization headquarters and field staff for learning and knowledge exchange. For each meeting a cross-cutting theme was identified and informed development of the meeting agenda and objectives. This was a collaborative process between USAID AORs and SCAPES partner organization representatives with opportunity for comments from field staff and support by USAID contractors for event logistics and facilitation. Each meeting was designed to be held for three to four days in duration at a U.S.-based location, within two hours of Washington, DC. Each meeting included approximate 35 participants including a mix of USAID AOTRs, select E3/FAB Office staff, partner organization lead representatives, select partner organization headquarters staff involved in SCAPES and up to two field representatives for each landscape or policy scape. In total, four meetings were held:

- November 30–December 1,2010; theme was sustainability
- December 5–9, 2011; theme was conservation and development
- March 18–22, 2013; theme was monitoring and evaluation
- June 24–26, 2014; theme was innovation and reflection

Of all the SCAPES learning activities, the annual meetings were viewed positively overall by field and US staff across USAID and the partner organizations. In post-event evaluations and data gathering from the focus groups, interviews and 2014 Annual Meeting session, participants appreciated the bringing together of individuals from across the world and from different organizations, learning about the other landscapes, sharing information, and discussing connections in a variety of topics. In terms of the format of the meeting, respondents appreciated the focused discussions on a few topics, instead of discussing several independent topics.

Based on the lessons of GCP, USAID AORs, and NGO partner leads the success of the annual meetings is attributed to a few critical factors (illustrative quotes from data collection among participants are included in italics):

- Collaboration between USAID and NGO Partners to develop each agenda.
- Identification of a specific topical focus for each meeting (e.g., sustainability, conservation, and development, M&E).
- Inclusion of staff from all landscapes across regions. "As always, the highlights of the SCAPES meeting is the coming together of so many partner organizations and sharing that happens."
- Being intentional to not develop list of follow-up actions post-meeting.

Learning assessment audiences made suggestions for improving the annual meetings. One focal area for improvement was the need to emphasize *learning* as opposed to just *information dissemination* and *knowledge sharing*. Meeting goals and objectives were not focused on learning, agendas did not build on learning from one meeting to the next and the lack of meeting follow-up was not supportive of learning beyond the annual meeting itself. The perception of the lack of learning through meetings is illustrated by the following comment, *"You would have a great topic and start on the edge of learning. We would get excited about it and there would be notes but no follow-up. The next agenda would start from scratch again and there were no learning outcomes or goals. I'm not sure they [the annual meetings] constitute learning but were more focused on information dissemination and sharing."*

An additional area identified for improvement of annual meetings was the need to better accommodate field staff, both by better soliciting or incorporating their input on the agenda and by including staff other than management, such as technical staff, who may not speak English. And therefore face a language barrier at these meetings.

Partner-Driven Learning Activities

At the beginning of SCAPES, USAID and the partner organizations collaboratively brainstormed a list of possible learning initiatives to be undertaken over the life of SCAPES. Based on the GCP learning experience, there was agreement that taking on fewer learning initiatives with identified champions would lead to more successful implementation. To select the partner-driven learning topics, partners completed an online survey. From this master list the topics of Governance and Climate Change Adaptation were identified as the two main learning topics:

Both activities included three steps: (1) review existing research and case studies on the topic, (2) document current work and lessons from SCAPES partners to date in that area, and (3) review existing frameworks and provide recommendations for harmonization or gaps.

SCAPES partner organizations recognized needed tools for the respective areas. With partner organization resources and USAID contract short-term technical assistance support the following documents and tools[57] were developed, pilot tested, and publically released:

- Guidelines for Assessing the Strengths and Weaknesses of Natural Resource Governance in Landscapes and Seascapes, June 2013
- SCAPES Partners: A Review of Field Based Common Ground on Adaptation, October 2012
- Climate Change Adaptation Tool, forthcoming

SCAPES Annual Meetings dedicated time to present updates or learnings on the initiatives. Specifically, in the 2011 SCAPES Annual Meeting, many participants directly mentioned the learning session on climate change adaptation as a highlight.

Partner-driven learning champions and group members attributed the success of these initiatives to the following factors:

- Working on a small number of learning initiatives
- Picking topics that were relevant to the partner organizations
- Identifying champions for each effort
- Developing trust between the partner organizations
- Having operational support to make the learning activities happen

Assessment participants made suggestions for how partner-driven learning initiatives could have been enhanced. Both USAID AORs and partner organization headquarters representatives agreed that these initiatives were mainly focused in Washington, DC and did not reach out to the field staff. While field staff were exposed to the initiatives during annual meetings, the data from this assessment are inconclusive as to how much field staff were consulted during the initiative processes and the extent to which they have used or plan to use the resulting documents and tools. An additional challenge cited was the limited funding and resources for learning activities. In particular partner organization headquarters representatives shared the difficulties of not being able to tap into the partner organizations expertise and having to use outside contractors for technical support.

57 These documents and tools are available at http://frameweb.org/CommunityBrowser.aspx?id=6151

As shared by participants, *"there is a structural issue that we don't have funding support to tap into our own expertise,"* and *"we would have been able to move faster on our own with the right expertise than hire a consultant without the right expertise."* In addition, it was noted that much of the learning initiative work *"went beyond what we had originally planned in terms of level of effort for learning."* Similarly, USAID staff stated, *"[learning] was just ten percent of the overall budget and contract support but still was not enough. Part of the challenge was not having enough paid staff time dedicated to it."*

Overall, SCAPES partners summarized their experiences with the partner-driven learning initiative process in the following ways, *"it was invaluable even though the process was painful sometimes to consult and clarify what we should focus on"* and *"it has been wonderful and worth it, but it has been a lot of work."*

Limiting Factors Analysis

Details on the SCAPES LFA appear in Section 5.0; this section focuses on LFA learning-related findings.

The LFA is a survey tool to collect demographic respondent and program data and information on the following questions:

- The degree to which the management of a conservation program uses elements, such as written management objectives and performance metrics and indicators.
- The degree to which certain factors limited the conservation of a landscape or seascape before receiving SCAPES funding (e.g., design, management systems, and stakeholder engagement).

As part of SCAPES, USAID and partner organizations further refined and used a tool to collect data for each site annually. Data were collected in the INSERT tool by one field representative from each landscape, and information on the tool and data were shared in the annual meetings. Overall, partner organization staff from headquarters and the field did not find the tool useful, although some acknowledged the potential for this tool. Many people were doubtful that the LFA results had any impact on programs because it was too challenging to design and implement and it was not well-integrated with other processes. These sentiments are reflected in the following comments:

- *"The LFA was a difficult thing to do. We are asking field staff to enumerate things that are difficult to enumerate in black and white answers. We ended up with a baseline that was not particularly defined and the change was unperceivable."*
- *"The tool is so subjective and there was not a lot of standardization with people filling it out."*
- *"If it was worked into annual workplans with clear action elements at the end of each analyses about what we learned it may have been useful. But it was just noise with no idea of what you learned."*
- *"It would have been better if there was a more strategic approach to adaptive management as a learning topic. We should have focused more on M&E as a learning mechanism and integrating the theories of change from the beginning."*

PART 2: IMPACTS AND FOSTERING ONGOING LEARNING

Post-Scapes Cross-Institutional Learning Support

Throughout the learning assessment process, participants expressed a strong desire for cross-institutional learning. In the 2014 annual meeting discussion on the learning assessment, multiple groups highlighted an interest in site-based annual meetings and other site exchange visit opportunities to support field-to-field cross-institutional learning. Throughout SCAPES only one field-level cross-site visit, between the Ustyert and the Daurian Steppe, was mentioned. Most cross-institutional learning occurred between headquarters representatives at quarterly SCAPES meetings and through the implementation of partner-driven learning initiatives. Partner organization headquarters representatives noted that SCAPES design or implementation of cross-institutional learning opportunities and platforms beyond annual meetings were not supported. One participant said, *"In the future, it would be better to work cross-institutional learning into the design so it is structurally supported and does not have to include headquarters."*

As part of the 2014 SCAPES Annual Meeting evaluation, participants were asked what needed to be done to best support cross-institutional learning after the SCAPES program. Participant responses were grouped into the following list of categories:

- **Provide support for communication, knowledge management, and learning across SCAPES organizations.** Specific responses included recommendations to create incentives for knowledge sharing; assignment of a staff member to facilitate communication; accessibility for partners to communication, knowledge, and learning tools and reports; allocation of budget to facilitate learning; establishment of a SCAPES alumni association to maintain networks; establishment of regular communication mechanisms among partners; and provision of a web-based platform to promote communication.
- **Gather, distill, and disseminate lessons learned, reports, and tools** to USAID Missions, government agencies, and the broader development community. Specific responses included recommendations to capture cross-boundary lessons, streamline approaches to lessons learned, provide videotapes or webcasts for USAID Missions, and initiate a series of learning events.
- **Continue to connect through meetings** and ensure safe environments for sharing at meetings.
- **Develop and share strong close-out reports.**
- **Support learning in the field**, including cross-site visits.
- **Link to other initiatives for continued program support**, including both USAID and State Department initiatives, regional USAID Missions, and informing new programs.

PART 3: EMBODIMENT OF LEARNING NETWORK BEST PRACTICES

In 2013, USAID's Office of Policy, Planning and Learning published a set of best practices for learning networks to be used Agency-wide. A review of the "Practices of Successful Learning Networks: Documenting Learning from the GROOVE Learning Network"[58] was conducted and compared to data and background documents shared on SCAPES learning to assess the extent to which SCAPES embodied these best practices. It is important to note, however, that SCAPES learning activities were designed and many of them implemented before the advent of this document.

To begin, an assessment of the SCAPES Learning Network was reviewed against the characteristics of USAID-sponsored learning networks, listed in Table 10.

58 Practices of Successful Learning Networks: Documenting Learning from the GROOVE Network, available at http://usaidlearninglab.org/sites/default/files/resource/files/practices_of_successful_learning_networks_aug2013.pdf

Table 10. Embodiment of USAID-sponsored Learning Networks Characteristics

Characteristics of USAID-sponsored Learning Networks	Did the SCAPES learning network embody this characteristic? Yes (Y), No (N), To Some Extent(S)	Notes
Defined and finite group	Y	SCAPES partners were clearly defined from the beginning of the program and interested individuals were able to join various partner learning initiative topics.
Shared learning agenda	Y	An open process was held to brainstorm and select learning activities that were relevant to partner organizations.
Specified timeline	Y	All learning network activities had specified timelines and all deliverables from the learning activities were set to coincide with the end of the program.
Three levels of focus (organization, network, and industry and larger development community)	Y	SCAPES did focus on the three levels for the partner driven learning activities.
Integrated approach to the knowledge cycle	S	Attention was paid to knowledge generation and sharing to a great extent from the beginning of the learning topic identification. Attention to knowledge dissemination and application at the three levels were done but to a lesser extent.
Dedicated resources	Y	Resources were dedicated from the start of the program to support learning.
Deliverable commitments	Y	Each organization working on SCAPES provided resources and were obligated to complete learning deliverables.

Table 11 reports the analysis of the eight successful practices compared to the approaches used during the SCAPES life of project.

Table 11. Successful Learning Network Practices

Practices of Successful Learning Networks	Did the SCAPES learning network embody this practice? Yes (Y), No (N), To Some Extent (S)	Notes
1. Take advantage of opportunities for strategic learning at organization, network, and industry levels.	Y	From the start of SCAPES learning there was an intentional focus on strategic learning for all three levels. This was embodied through process such as the topic identification and selection process, the review of research and identification of missing tools needed in the development community and ability for organization to focus on what was most relevant for their work.
2. Focus intentionally on specifying desired outcomes.	S	To a certain extent, SCAPES did go through the process of defining learning expectations, how they would work together, sharing previous experiences, creating an inventory of learning issues and questions and developing flexible workplans. Some elements that SCAPES did not put into practice (or that were not documented) include helping members to understand what a learning network is, goals and approaches and being intentional about reviewing the learning process and adaptive management of learning activities.
3. Be attentive to the evolution of the network over time.	S	SCAPES learning activities and participants did evolve over time and help to refocus efforts. While intentional, some topics, like gender and other did arise toward the end of the contract but were not addressed because of time and resource issues. Overall SCAPES did pay attention to the flow and energy of partner organizations and USAID to continue learning over the life of the program.

Table 11. Successful Learning Network Practices (continued)

Practices of Successful Learning Networks	Did the SCAPES learning network embody this practice? Yes (Y), No (N), To Some Extent (S)	Notes
4. Make conscious choices about use of collective time.	S	SCAPES was very intentional in developing regular meeting structures like quarterly and annual meetings. Collaboration on annual meeting agendas between USAID and headquarters partner organization representatives was high. However, it was noted that communication and meeting planning around field staff needs may have been a missed opportunity.
5. Recognize that members of the group will play different roles over time.	S	SCAPES learning activities and participants did evolve over time and help to refocus efforts in new directions. While some changes were more difficult (e.g., changes in champions), SCAPES partner-driven learning initiatives both were successful in moving from research to tool development organically and pulling in relevant people as needed. An area that may have required more attention would be to the field staff engagement and how learning may have needed to be adapted overtime for this audience (e.g., providing support for cross-site visits and hosting regional meetings).
6. Support and enable optimal group functioning through facilitation.	Y	Throughout the life of SCAPES, facilitation support was provided for all annual meeting and to help move forward the partner-driven learning initiatives.
7. Build a high level of trust among the members.	Y	Coming off a successful contract with GCP, many of the SCAPES partners as well as USAID had built a good foundation of trust that continued to grow throughout the life of SCAPES. It is clear in interactions that there is a high level of trust and complementarity seen between partner organizations. Annual and quarterly meetings were an essential part of this process.
8. Influence industry-level adaptation and practice.	Y,S	The governance and climate change adaptation initiatives both produced products that SCAPES partners felt strongly were needed in the broader development community. The governance tool has been shared and there are plans to continue to disseminate to the broader development community. At the time of this assessment, the climate change adaptation initiative has produced and shared a report and is hoping to share the tool publically in the winter of 2014.The annual meetings were not designed to influence industry-level adaptation or practice directly.

CONCLUSION

The thoughtful design and implementation of learning throughout SCAPES was overall viewed as a success across USAID and Partner Organizations. SCAPES actively applied lessons learned from the GCP program to enhance and support learning through the annual meetings and partner-driven learning initiatives. The challenge for SCAPES partners will be beyond the life of the program to find ways to continue to disseminate, apply, and adapt the learning knowledge and products developed and enhance cross-institutional learning, especially at the field level.

A new stone path (funded in part by SCAPES) connects villages within the Kangchenjunga Conservation Area of Nepal, facilitating trade, transport, and tourism. *Photo: Matthew Erdman*

ANNEXES

A. EVALUATION SCOPE OF WORK

I. BACKGROUND

Project: Sustainable Conservation Approaches in Priority Ecosystems (SCAPES)
Award Dates: 9/30/2009–9/29/2014

The Sustainable Conservation Approaches in Priority Ecosystems (SCAPES) is a Leader with Associates mechanism managed by USAID's Economic Growth, Education, and Environment Bureau, Forestry and Biodiversity (E3/FAB) Office in Washington, DC. SCAPES, USAID's largest global conservation initiative, focused on transboundary landscapes. Four implementing partners implemented nine projects in 19 countries, shown in the following table. The partners used diverse strategies to address priority threats and strengthen local capacity to conserve biodiversity.

Implementing Partner	Landscape	Landscape Area Countries
African Wildlife Foundation (AWF)	1. Kilimanjaro Heartland	Kenya, Tanzania
	2. Kazungula Heartland	Botswana, Namibia, Zambia
Pact Consortium	3. Ustyurt Plateau	Kazakhstan, Uzbekistan
Wildlife Conservation Society (WCS)	4. Madidi-Tambopata Landscape	Bolivia, Peru
	5. Kavango-Zambezi Transfrontier, Beyond Fences	Angola, Botswana, Namibia, Zambia, Zimbabwe
	6. Daurian Steppe	China, Mongolia, Russia
World Wildlife Fund (WWF)	7. Eastern Cordillera Real Landscape	Colombia, Ecuador, Peru
	8. Ruvuma Landscape	Mozambique, Tanzania
	9. Sacred Himalayan Landscape	India, Nepal

Over the life of SCAPES in fiscal years 2010–2014, all partners applied the following Key Principles to the design and implementation of their conservation strategies:

1. Take a **threats-based approach** to address conservation issues.
2. Aim to achieve financial, social, and ecological **sustainability** for interventions.
3. Apply **adaptive management** and be responsive to changing situations, information, and enabling conditions.
4. **Scale-up** knowledge and impact to increase conservation success at sites, across the partnership, and among the global conservation community.

This evaluation of SCAPES, designed by the Measuring Impact project, is the result of an effort to enhance the impact of biodiversity and forestry programs throughout USAID by improving knowledge of the USAID Program Cycle and strengthening the application of evidence-based

decision-making in USAID biodiversity programs. An important component of the Measuring Impact project is the enhancement of USAID's E3/FAB Office and selected USAID Missions to put the Evaluation Policy into operation, undertake monitoring and evaluation (M&E) to document results, and capture and disseminate lessons learned from select USAID forestry and biodiversity programs.

II. EVALUATION PURPOSE, OBJECTIVES, QUESTIONS, AND METHODS

(A) Evaluation Purpose

USAID's Evaluation Policy commits the Agency to measure and document project achievements and shortcomings so that the Agency's multiple stakeholders gain an understanding of the return on investment of development activities. The Policy states that evaluation at USAID has two primary purposes: (1) accountability to stakeholders and (2) learning to improve effectiveness. Because SCAPES is USAID's largest global conservation initiative, USAID E3/FAB identified this mechanism as a high priority for evaluation.

While no direct follow-on program is envisioned to replace SCAPES, the Key Principles of the program and the specific conservation strategies implemented by the partners can be found throughout USAID's biodiversity portfolio. The SCAPES implementing partners and the broader conservation community commonly use these principles, and therefore, the use and effectiveness of the Key Principles and conservation strategies could benefit from critical reflection to ensure the usefulness for future USAID management decisions and those of its implementing partners and the conservation community as a whole.

Evaluating the outcomes of landscape-scale conservation projects, especially transboundary projects, is challenging because of their increased biophysical and institutional complexity. For example, in a given landscape, such as any of the nine landscapes addressed by SCAPES projects where many influences affect biodiversity, it becomes challenging to attribute biophysical impacts, such as on ecosystems or species, as resulting from any specific conservation strategy, such as improving livelihoods. Drawing conclusions on the cumulative outcomes from various projects, landscapes, and implementing partners in a global mechanism like SCAPES presents even greater challenges.

The SCAPES project was not originally designed to facilitate an impact evaluation under the Evaluation Policy definition. Even a strict performance evaluation of SCAPES would be limited because the original design lacked performance indicators based on an explicit program-wide results framework and underlying theory of change. This evaluation, therefore, combines a theory-based approach with elements of a traditional performance evaluation to examine overall SCAPES program outcomes and progress toward specific landscape conservation goals. In the process of applying a theory-based approach, the evaluation will test a framework for learning across a portfolio of activities undertaken by different partners in different geographic areas.

(B) Evaluation Objectives

USAID had two main objectives for the SCAPES performance evaluation: (1) to assess the application of the Key Principles and gender considerations and (2) to assess outcomes of the most relevant strategies.

1. *Assess how the Key Principles of SCAPES and gender considerations were applied in the design and implementation of conservation strategies by partners.* This evaluation looked at the different approaches SCAPES implementing partners took to apply the Key Principles to the design and implementation of conservation strategies. This evaluation provides insight into the relative merit of the Key Principles themselves and their influence on the design and implementation of the most relevant strategies by the implementing partners. The evaluation also documents the extent implementing partners applied gender considerations in the design and implementation of conservation strategies.
2. *Assess the outcomes of the most relevant strategies implemented by partners toward intended results and identify key enabling conditions and limiting factors to achieving outcomes.* For the SCAPES evaluation, Measuring Impact developed a systematic approach to identify, test, and refine the theories of change for key conservation strategies. The evaluation results can help USAID understand what is working, what did not work, and why. The real value of the SCAPES evaluation, however, was greatly enhanced by putting in place a theory-based framework to guide questions and share results for similar conservation strategies that were implemented across many of the nine SCAPES projects.

The methodology for this evaluation began with selection of a group of conservation strategies SCAPES partners implemented and their associated theories of change. The evaluation then examined available evidence for the effectiveness of the conservation strategies and the conditions that led to the intended outcomes. By examining similar theories of change across multiple projects, the evaluation helped identify key enabling conditions, limiting factors, and lessons learned across all of the SCAPES projects.

Quantifying and attributing outcomes to specific strategies in SCAPES had some constraints, such as no performance indicators based on an explicit results framework or theory of change, insufficient baseline data, and no counterfactuals; however, because of the breadth and depth of the nine projects, many of the projects implemented similar strategies, provided opportunities to assess outcome achievements, and the enabling and limiting factors for relevant strategies.

(C) Evaluation Questions

Measuring Impact addressed four primary evaluation questions: (1) the extent that the Key Principles were applied in the projects, (2) the extent that gender considerations were applied in the activities and their effect on the outcomes, (3) the achieved success in overcoming the limiting factors and the usefulness of the limiting factors analysis (LFA), and (4) what evidence is available to demonstrate that the SCAPES strategies led to successful conservation outcomes.

1. To what extent were the SCAPES Key Principles applied in the design and implementation of SCAPES projects, and what evidence exists that they contributed to conservation successes?

All implementing partners sought to apply the Key Principles in the design and implementation of their conservation strategies:

A. Take a **threats-based approach** to address conservation issues.

B. Aim to achieve financial, social, and ecological **sustainability** for interventions.

C. Apply **adaptive management** and be responsive to changing situations, information, and enabling conditions.

D. **Scale-up** knowledge and impact to increase conservation success at sites, across the partnership, and among the global conservation community.

2. *To what extent were gender considerations taken into account in the design and implementation of SCAPES activities and how did they affect outcomes?*

The USAID gender policy addresses the different roles of women and men in natural resource use and biodiversity conservation and the effects of gender on outcomes, and states that the inclusion of gender considerations in project design and implementation has been shown to impact the success and sustainability of outcomes in conservation and development projects. This evaluation examined how SCAPES incorporated gender considerations into project design and implementation, and how incorporating gender impacted conservation outcomes.

3. *To what extent have SCAPES projects achieved success in overcoming the limiting factors identified through the LFA? Has the LFA been a useful tool for understanding project progress and improving project management?*

The evaluation summarizes the LFA results to understand the extent that SCAPES activities improved conservation enabling conditions and implementing partners' assessment of the LFA as a useful tool to complement other types of project monitoring.

4. *What evidence exists that the implementation of key SCAPES strategies led to successful conservation outcomes?*

Measuring Impact worked with USAID and SCAPES partners to identify the following common conservation strategies that were implemented among the partners in the nine SCAPES landscapes:

- Build community capacity for climate change adaptation.
- Facilitate agreement between governments for transboundary coordination.
- Facilitate establishment of protected areas and management.
- Build ranger capacity for law enforcement for poaching and trading of protected species.
- Build community capacity for human-wildlife conflict mitigation.
- Build community capacity in natural resource management.
- Build community capacity for sustainable enterprises.

For each of these strategies, Measuring Impact developed retrospective theories of change to construct the expected pathways between the implementation of the conservation strategies and their intended results toward the conservation of species and ecosystems. Evaluators used those theories of change as a framework to describe the evidence that SCAPES contributed to the reduction of threats and the conservation of conservation targets, and to describe the enabling conditions and limiting factors that were encountered along the way to achieving the outcomes.

B. DOCUMENTS REVIEWED

As part of its evaluation of the SCAPES program, Measuring Impact reviewed numerous documents.

Implementing Partner Reports:

- Annual, semi-annual, and midterm reports from fiscal years 2010–2013
- Annual workplans
- Performance Management Plan (PMP) reports
- Data Quality Assessments worksheets

USAID documents:

- SCAPES Request for Applications
- SCAPES gender analysis
- Cooperative agreements
- Agreement officer representative (AOR) site visit reports
- Comments on workplans
- Annual Partners Meeting agendas and reports
- Limiting Factors Surveys, 2011–2013
- USAID Evaluation Policy, January 2011
- ADS Sections 201, 202, 203, and 205
- USAID Project Design Guidance, December 2011
- Natural Resources Governance Guide
- USAID Biodiversity Policy, March 2014
- USAID Gender Equality and Female Empowerment Policy, March 2012

Measuring Impact documents provided:

- Design Alternative for Evaluating the Impact of Conservation Projects. Margoluis, Stem, Salafsky, Brown, InterScience, Summer 2009.
- Evaluation of the Packard Foundation Gulf of California Sub-Program: Summary Report, Foundations of Success, April 2011.
- Monitoring and Evaluation in Conservation: A Review of Trends and Approaches. Stem, Margoluis, Salafsky and Brown. Conservation Biology, April 2005.
- Forest, Climate and Communities Alliance Project Lessons Learned. Key Informant Interview Guide, Honduras FCCA Project, 2013.
- Lessons Learned from the Forest, Climate and Communities Alliance, Measuring Impact. Undated draft report.
- Results Chains: a Tool for Conservation Action Design, Management, and Evaluation. Margoluis, Stem, Swaminathan, Brown, Johnson, Placci, Salafsky and Tilders. Ecology and Society, 2013.

Others:

- Global Conservation Program Evaluation Report, May 2008
- Open Standards for the Practice of Conservation, April 2013
  http://www.conservationmeasures.org/wp-content/uploads/2013/05/CMP-OS-V3-0-Final.pdf

C. QUESTIONNAIRE AND INTERVIEW GUIDE

QUESTIONNAIRE

Thank you for participating in the SCAPES evaluation!

This evaluation of SCAPES is being designed and managed by the USAID-funded Measuring Impact (MI) project in an effort to enhance the impact of USAID's biodiversity and forestry programs by improving knowledge of and strengthening the application of the USAID Program Cycle and evidence-based decision-making in USAID's biodiversity programs.

The following survey has been designed by independent evaluators to gather information to help them prepare for a more focused, efficient interview with you in the next few months. Please answer these questions fully to the best of your abilities.

If you have any questions, please feel free to contact either of the independent evaluators: John Pielemeier (jpielemeie@aol.com) or Matthew Erdman (mnerdman@gmail.com).

Thank you!

Evaluation Purpose

USAID's Evaluation Policy commits the Agency to measure and document project achievements and shortcomings so that the Agency's multiple stakeholders gain an understanding of the return on investment for development activities.

While it is not envisioned that there will be a direct follow-on program to replace SCAPES, the Key Principles of the program and the specific conservation strategies implemented by the partners are found throughout USAID's biodiversity portfolio and commonly employed by SCAPES implementing partners and the broader conservation community. Therefore the use and effectiveness of the Key Principles and conservation strategies could benefit from critical reflection so that they may fully inform future management decisions by USAID, its implementing partners, and the conservation community as a whole.

This evaluation will combine a theory-based approach with elements of a traditional performance evaluation to examine overall SCAPES program outcomes and progress towards specific landscape conservation goals. In the process of applying a theory-based approach, the evaluation will test a framework for learning across a portfolio of activities undertaken by different partners in different geographic areas.

Evaluation Objectives

USAID has the following objectives for the SCAPES performance evaluation:

1. Assess how the Key Principles of SCAPES (using threats-based approaches to address conservation issues; aiming to achieve financial, social, and ecological sustainability; applying adaptive management; and scaling-up knowledge and impact to increase conservation success) and gender considerations were applied in the design and implementation of conservation strategies by partners.

2. Assess the outcomes of the most relevant strategies implemented by Partners toward intended results, and identify key enabling conditions and limiting factors to achieving outcomes.

Background Information

1. My name is: _____
2. My title is: _____
3. I work for: _____
    - o US Agency for International Development (USAID)
    - o ACDI/VOCA
    - o African Wildlife Foundation (AWF)
    - o BirdLife International
    - o CARE
    - o Fauna & Flora International
    - o Pact
    - o Wildlife Conservation Society (WCS)
    - o World Wildlife Fund (WWF)
    - o Other: _____
4. I am based in (city, country):_____
5. I work on the following landscapes (check all that apply):
    - o Kazungula Heartland
    - o Kilimanjaro Heartland
    - o Ustyurt Plateau
    - o Daurian Steppe
    - o Kavango-Zambezi Transfrontier
    - o Madidi-Tambopata
    - o Eastern Cordillera Real
    - o Ruvuma
    - o Sacred Himalaya

Key Principles: Threats-Based Approach

6. In the design of your conservation activities for your SCAPES project(s), did you apply a threats-based approach?
    - o Yes (Skip to Question 8)
    - o Somewhat (Skip to Question 8)
    - o No (Continue to Question 7)
7. Is there another similar principle you prefer to use to describe the way you design your conservation activities? If so, please describe it here briefly: _____

    _____
8. Could you attribute changes in the threat rankings (i.e., a reduction in the threat) to your conservation activities?
    - o Yes (Continue to Question 9)
    - o No (Skip to Question 14)
9. Please describe HOW you were able to attribute changes in threat rankings to your conservation activities: _____

10. Please describe briefly WHAT was achieved in terms of threat reduction: _____

    _____
11. Was implementing a threats-based approach an effective methodology?
    - o Yes, it was effective
    - o Yes, but too time consuming
    - o Yes, but too costly
    - o No, it was not effective
12. What factors contributed to your success with the methodology? _____

    _____
13. What factors made the approach difficult to implement? _____

    _____
14. To what degree did SCAPES stimulate the design and implementation of a threats-based approach in your organization as a whole (beyond SCAPES-funded activities)?
    - o We do not focus on a threats-based approach in the design or implementation of our conservation strategies
    - o We already used a threats-based approach and SCAPES had little influence
    - o We already were designing and implementing conservation strategies with a focus on a threats-based approach and SCAPES helped us to develop this concept even further
    - o SCAPES is responsible for our focus on a threats-based approach

Key Principles: Sustainability

15. The next question deals with the sustainability objectives of your project. In order to continue, please remind us which organization you work with:
    - o African Wildlife Foundation (Continue to Question 16)
    - o Pact (Skip to Question 20)
    - o Wildlife Conservation Society (Skip to Question 23)
    - o World Wildlife Fund (Skip to Question 30)

Key Principles: Sustainability (AWF)

The following questions are taken directly from the sustainability objectives described in the AWF SCAPES proposal.

16. Ecological: Did your work on corridors, key land parcels, enterprise, species research, capacity building, and linked policy work maintain or improve the status of your conservation targets? Please explain. _____
17. Social: Did you achieve your sustainability objective of enabling communities to articulate and achieve a balance between livelihood aspirations and the ability of their natural resources base to sustain them? Please explain. _____
18. Social: In areas where conflicts and trade-offs arose, were you able to promote constructive resolution so as to achieve the best possible outcome for sustainability? Please explain. _____
19. Financial: Did you achieve your sustainability objective of completing activities or making them self-financing? Please explain. When finished, skip to question 41. _____

    _____

Key Principles: Sustainability (Pact)

The following questions are taken directly from the sustainability objectives described in the Pact SCAPES proposal.

20. Ecological: Did you achieve your sustainability objective of ensuring that ecological processes within the landscape are functional and can support the long-term resilience and adaptability of the range of biodiversity found there? Please explain. _____

21. Social: Did you achieve your sustainability objective of ensuring that effective public and private entities promote and support conservation, community self-determination, access to quality services, and social, environmental, and economic justice? Please explain. _____

22. Financial: Did you achieve your sustainability objective of facilitating culturally appropriate, market-led economic activities that are compatible with achieving conservation at the landscape scale? Please explain. When finished, skip to question 41. _____

Key Principles: Sustainability (WCS)

The following questions are taken directly from the sustainability objectives described in the WCS SCAPES proposal.

23. Ecological: Were you able to integrate climate change adaptation into your Landscape Species Approach of Mongolian Gazelle into Russia and China? Please explain. _____

24. Ecological: Were you able to promote the adoption of policies and practices that create the enabling conditions for establishing natural product enterprises that are ecologically and financially sustainable? Please explain. _____

25. Social: Were you able to extend your conservation efforts to more herder groups in Mongolia as well as into Russia and China? Please explain. _____

26. Social: Were you able to strengthen indigenous community and government agency capacity to adaptively manage their resource management and conservation actions in Bolivia, and scale up these efforts across the border in Peru? Please explain. _____

27. Social: Were you able to extend durable networks motivated to effect conservation into new transfrontier conservation areas in southern Africa? Please explain. _____

28. Financial: Were you able to build on the experience of WCS and TransLinks partners to support start-up enterprises, and encourage government donors to promote biodiversity-friendly business policies? Please explain. _____

29. Financial: Were you able to establish cost-effective monitoring systems for indigenous community natural product enterprises in the Greater Madidi-Tambopata Landscape so that they can remain ecologically and financially sustainable? Please explain. When finished, skip to question 41. _____

Key Principles: Sustainability (WWF)

The following questions are taken directly from the sustainability objectives described in the WWF SCAPES proposal.

30. Ecological: Were you able to work with local communities to promote community resource management with community decision-making and control over local resources? Please explain. _____

31. Ecological: Were you able to develop livelihood alternatives to halt unsustainable resource use? Please explain. _____

32. Ecological: Were you able to strengthen community institutions and capacity of local support organizations to ensure continuity of efforts? Please explain. _____

33. Ecological: Were you able to encourage and support governments to create enabling policy environments, and undertake effective law enforcement? Please explain. _____

34. Ecological: Were you able to reduce outside threats by working at higher levels, including efforts to promote transformative change in major market drivers such as wildlife trade, agriculture, timber, fishing and water extraction? Please explain. _____

35. Social: How much progress did you make towards building and strengthening transparent and accountable natural resource governance structures to ensure they thrive over the long term? Please explain. _____

36. Social: Were you able to involve the private sector to help promote social responsibility (e.g., in logging, water management and infrastructure development practices)? Please explain. _____

37. Social: Were you able to resolve environmental conflicts, contributing to peaceful and sustainable development solutions that enhance security in the remote rural areas where you work? Please explain. _____

38. Social: Were you able to reduce community vulnerability to climate change? Please explain. _____

39. Financial: Were you able to develop ways for local communities to derive sustainable economic and financial benefits from their biodiversity? Please explain. _____

40. Financial: Were you able to make strategic partnerships to magnify the impact of USAID's investment? Please explain. When finished, continue on to question 41. _____

Key Principles: Sustainability (General)

41. What are the key intermediate results you are seeking or have achieved with SCAPES support to make your conservation outcomes more... ecologically sustainable?

    _____

42. …socially sustainable? _____

43. …financially sustainable? _____

44. To what extent did your participation in SCAPES inform your INITIAL DESIGN for achieving sustainable conservation outcomes? _____

    _____

45. To what extent did your participation in SCAPES inform your ACTUAL IMPLEMENTATION of conservation activities to achieve sustainable outcomes? _____

    _____

46. To what degree did your participation in SCAPES stimulate an approach to achieving sustainable conservation outcomes in the design and implementation of conservation activities in your organization as a whole (beyond SCAPES-funded activities)?
    - o We do not focus on the sustainability of outcomes in the design or implementation of our conservation strategies.
    - o We already focused on the sustainability of outcomes and SCAPES had little influence.
    - o We already were designing and implementing conservation strategies with a focus on the sustainability of outcomes and SCAPES helped us to develop this concept even further.
    - o SCAPES is responsible for our focus on the sustainability of outcomes.

Key Principles: Adaptive Management

47. In the implementation of your conservation strategies, to what extent are you applying adaptive management (using lessons learned to improve activities or management)?

	1	2	3	4	5	
Not at all	○	○	○	○	○	*Extensively*

48. In the implementation of your conservation strategies under what circumstances do you apply adaptive management, and how do you apply it – i.e. what is the process for applying it?

    _____

49. To what degree did SCAPES stimulate the application of adaptive management in your organization as a whole (beyond SCAPES-funded activities)?
    - o We do not focus on adaptive management in the design or implementation of our conservation strategies
    - o We already employed adaptive management and SCAPES had little influence
    - o We already were designing and implementing conservation strategies with a focus on adaptive management and SCAPES helped us to develop this concept even further
    - o SCAPES is responsible for our focus on (the key principle)

Key Principles: Scale Up

50. Given the budget you had, do you think that you made the right decisions regarding the scale of your conservation project under SCAPES?
    - o Yes
    - o No

51. Looking back, what – if anything – would you have done differently regarding scale?

    _____

52. To what extent did your participation in SCAPES inform your approach to scaling-up your conservation activities for the SCAPES project?_____

    _____

53. To what degree did your participation in SCAPES inform your approach to scaling-up conservation activities in your organization as a whole (beyond SCAPES-funded activities)?
    - o We do not focus on scaling-up our conservation activities in the design or implementation of our conservation strategies
    - o We already employed an approach to scaling-up conservation activities and SCAPES had little influence
    - o We already were designing and implementing conservation strategies with a focus on scaling-up conservation activities and SCAPES helped us to develop this concept even further
    - o SCAPES is responsible for our focus on scaling-up our conservation activities

Gender

54. Does the project explicitly allocate budget and resources for gender-related activities? If so, how? _____

    _____

55. Does anyone on the project team have experience with gender issues or have adequate gender integration skills? If so, please describe briefly. _____

    _____

56. Do both male and female STAFF participate in project implementation?
    - o Yes
    - o No

57. What targets, if any, are set for women's participation in activities? _____

    _____

58. How does the project affect the daily lives of men and women? Are there project components that could potentially make life harder for either gender (such as changing workloads)? Are any measures currently being taken to address those? _____

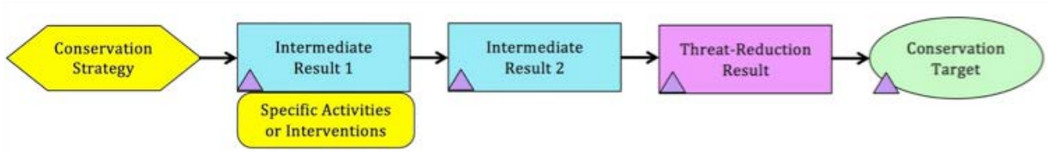
    _____

59. Are there equal opportunities for men and women to participate in the project decisions and benefits? _____

    _____

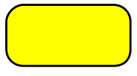
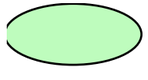
Success of SCAPES Conservation Strategies

In this last section of the survey, we would like to have you look back at the Theory of Change strategies being implemented at each of the landscapes you are affiliated with. We will then ask a series of questions on each strategy.



60. Are you familiar with the Theories of Change and able to answer questions about them?
    - o Yes (Continue to next question)
    - o No (Continue to Thank You message at end)

For each strategy being addressed, we will provide the latest diagram of the Theory of Change that Measuring Impact has developed for the SCAPES project, to which you should refer. As a reminder, below is a chart showing what each symbol in the diagrams represents.

Symbols:	Factor: definition
	***Strategy:*** A set of conservation activities undertaken by the project staff or partners to reach one or more objectives and ultimately reduce threats and improve the viability of the conservation target. (e.g., train rangers)
	***Intermediate Result:*** A specific benchmark or milestone to mark progress a project is making toward accomplishing an objective or final goal through strategy implementation (e.g., rangers have improved knowledge, more effective law enforcement).
	Each strategy has one or more specific activities or interventions identified underneath each strategy. An activity is a specific action or set of tasks undertaken by project staff and/or partners to reach one or more objectives for a given strategy.
	***Threat-Reduction Result:*** A specific type of intermediate result that represents a reduction in a direct threat to the target (e.g., decrease in illegal hunting).
	***Conservation Target:*** An element of biodiversity at a project site, which can be a species, habitat/ecological system, or ecological process that a project has chosen to focus on (e.g., elephants, forests).
	***Human Wellbeing Target:*** In the context of a conservation project, human wellbeing targets focus on those components of human wellbeing affected by the status of conservation targets (e.g., livelihoods from ecotourism).

The following questions were repeated for each Theory of Change: Climate Change Adaptation, Transboundary Coordination, Land Protection, Law Enforcement to Reduce Poaching, Mitigation of Human-Wildlife Conflict, Community-Based Natural Resource Management, and Sustainable Enterprises. To save space, the question set is listed only once with blanks representing the specific Theory of Change.

61. Is the _____ Theory of Change being implemented in any of the landscapes you are associated with?
    - o Yes (Continue on to next question)
    - o No (Continue on to next Theory of Change)
62. Please choose one landscape to complete the following questions about the _____ Theory of Change (if you work on _____ in multiple landscapes, you will be asked to repeat these questions for the additional landscapes on another page):
    - o (Only landscapes where a specific Theory of Change was implemented were listed)

Please take a closer look at the below Theory of Change and use it to answer the subsequent questions.

(For the diagrams used in the questionnaire and interviews, please see Annex D, "Original Theory of Change Diagrams.")

63. Does this Theory of Change describe your understanding of how activities under this s trategy lead to intermediate results and to achieving the desired outcomes? Is there anything you would change? _____
64. What were the major Assumptions – factors outside of the project's control, such as political instability or corruption – that influenced the design and implementation of the activities and outcomes within this strategy? _____
65. As a result of monitoring your progress indicators, did you adapt or refine any of your activities under this strategy to achieve improved results? _____
66. What are the key enabling conditions that have allowed this strategy to succeed? _____
67. Are there factors that have made it DIFFICULT to achieve success with this strategy? _____
68. Are there activities supported by other donors or implemented by other organizations in this landscape that played a role in the success of this strategy? _____
69. Are there activities supported by other donors or implemented by other organizations in this landscape that made it DIFFICULT to achieve success with this strategy? _____
70. Are there non-conservation activities (health, education, etc.) occurring in this landscape that played a role in the success of this strategy? _____
71. Are there non-conservation activities (health, education, etc.) occurring in this landscape that made it DIFFICULT to achieve success with this strategy? _____
72. Are there management issues that affected the achievement of outcomes within this strategy?
73. Are there significant budget or financial issues that affected the achievement of outcomes within this strategy? _____
74. Is the _____ Theory of Change being implemented in any of the other landscapes you are associated with (select "no" if you only work on one landscape)?
    - o Yes (Repeat question set for the same ToC but different landscape)
    - o No (Continue on to next ToC)

Thank You!
That's it! Please click on the Submit button below to complete the survey. Thanks again for participating in this SCAPES Evaluation survey -- we appreciate your time and effort, and look forward to further discussing your project with you in the near future either in person or by phone.

In the meantime, if you have any questions about the survey, or about the evaluation in general, please feel free to contact the independent evaluators: John Pielemeier (jpielemeie@aol.com) or Matthew Erdman (mnerdman@gmail.com).

Sincerely,
The Evaluators

INTERVIEW GUIDE

A. BACKGROUND:

The interviewer will build on basic information already provided from: a) the Desk Study data and analysis; b) the returned questionnaires and c) a thorough review of the implementing partner submissions on each theory of change for this landscape.

Ideally the interviewer will have provided the interviewee with (by email or in person): a) the schematic for the theories of change relevant to this landscape; and b) a copy of the implementing partner submission on each theory of change for this landscape.

The interviewer will introduce the reason for this interview, briefly discuss the evaluation rationale, and briefly describe the materials (previous paragraph) provided to the interviewee. He will ask the interviewee if he/she has questions about the evaluation and the interview and will answer them.

B. INTERVIEW FOCUS:

With this large amount of information already available to the evaluation team, the interview should focus on filling gaps in the information already provided, expanding the breadth of the information, and gathering the opinions of the interviewee, rather than gathering more facts.

C. PROCESS:

The interviewer will first try to fill gaps in the information provided; then will turn to the Key Questions detailed in section D.

D. QUESTIONS FOR USAID, IMPLEMENTING PARTNERS, AND SUB-AWARDEES:

Key Principles: Threats-Based Approach

1. (Follow up from survey) Did you use a threats-based approach in your SCAPES landscape? If so, what was your methodology and how did it influence your project design and monitoring?
2. What factors contributed to your success with the methodology?
3. (Follow up from survey) What factors impeded your success with the approach?
4. To what extent did your participation in SCAPES inform your threats-based approach in: a) the initial design and; b) actual implementation of the conservation activities in the landscape
5. Is the threats-based approach implemented by other players in the landscape different from your approach? How?
6. Are there any key lessons that have been learned in this landscape about a threats-based approach?

Key Principles: Sustainability

After refreshing them about their stated objectives for the sustainability of their conservation outcomes:

7. (Follow up from survey) Within the timeframe of the SCAPES project, did you achieve the stated objectives for the sustainability of your conservation outcomes in terms of ecological sustainability? Social sustainability? Financial sustainability?
8. How was the approach to achieving ecological sustainability designed in your SCAPES-funded activities? Social sustainability? Financial sustainability?
9. How was the approach to achieving ecological sustainability actually implemented in your SCAPES-funded activities? Social sustainability? Financial sustainability?
10. How is the approach to achieving ecological sustainability of conservation outcomes implemented in your organizations other (non-SCAPES-funded) activities? Social sustainability? Financial sustainability?
11. How is the approach to achieving ecological sustainability implemented by other players in the landscape aside from your organization? Social sustainability? Financial sustainability?
12. What are the key factors that have contributed to your ability to meet these outcomes?
13. What major impediments have limited your ability to meet these outcomes?
14. Were you able to overcome any of these impediments, and, if so, how?
15. Are there any other lessons that have been learned in this landscape about ecological, social, and financial sustainability?
16. (Follow up from survey) To what extent did your participation in SCAPES inform your approach to achieving sustainable conservation outcomes in: a) the initial design; and b) actual implementation of the conservation activities?

Key Principles: Adaptive Management

17. What, if any, were the significant obstacles (contractual, financial, field conditions, institutional, other) that you encountered in applying adaptive management in the implementation of your conservation strategies? Were you able to overcome these obstacles? How long did it take?
18. (Follow up from survey) To what degree did SCAPES stimulate the application of adaptive management in your organization as a whole (beyond SCAPES-funded activities)?
19. Are there any key lessons that have been learned in this landscape about adaptive management?

Key Principles: Scale-Up

19. (Follow up from survey) Do you think you made the right decision regarding the scale of your conservation activities – i.e., were you working at the correct scale for each of your activities? What would you have done differently?
20. (Follow up from survey) To what extent did your participation in SCAPES inform your approach to scaling-up your conservation activities for the SCAPES project in terms of the following: a) the initial design of your SCAPES-funded activities in the landscape; b) the actual implementation of the landscape activities?
21. Are there any key lessons that have been learned in this landscape about scaling-up?

Gender

22. What community members or key informants were consulted in the project design process and how were they involved?
23. (Follow up from survey) Do the project goals contribute to correcting gender imbalances through addressing the practical needs of men and women?
24. Did project activities involve both men and women? If so, how?
25. Were measures incorporated to ensure women's inclusion and participation in project planning and implementation (e.g., interviewing women separately from men, capacity building for women, etc.)?
26. (Follow up from survey) How does the project affect the daily lives of men and women? Are there project components that could potentially make life harder for either gender (such as changing workloads)? Are any measures currently being taken to address those?
27. (Follow up from survey) Are there equal opportunities for men and women to participate in the project decisions and benefits?
28. To the best of your knowledge, what do men and women do with any income they may receive from project activities?

Effectiveness of Key SCAPES Conservation Strategies

The following questions will be asked in the context of the information that each implementing partner provided to date and in project reports on a particular Key Strategy and its Theory of Change.

29. Does this Theory of Change describe your understanding of how your activities under this key strategy would lead to intermediate results and ultimate goals for ecosystems and or species (i.e., causal linkages), and if not, how would you change this Theory of Change?
30. What are the major Assumptions (influences outside of the project's control – e.g., political instability, corruption) that influenced the design and implementation of the activities and outcomes along this Theory of Change?
31. Did you adapt or refine your activities as a result of monitoring your progress indicators to achieve improved results along the Theory of Change)?
32. What are the key Enabling Conditions that have allowed the strategy to succeed? What enabling conditions have been absent?
33. Are there activities of Other Funders or Other Implementers in the landscape that are/were important to the achievement of outcomes along this Theory of Change? (Or that played an inhibiting role?)
34. Are there Non-Conservation activities (health, education, etc) that are also important to the achievement of outcomes along this Theory of Change? (Or that played an inhibiting role?)
35. Are there significant Management challenges that have affected the achievement of outcomes along this Theory of Change?
36. Are there significant Budget or Financial challenges that have affected the achievement of outcomes along this Theory of Change?

At this point, any additional specific questions necessary to complete the information in the landscape's Theory of Change analysis table will be asked.

General Questions about Project Success

After refreshing them about their stated anticipated results and reminding them that this is NOT a performance evaluation (these questions are more about WHY they did/didn't meet them):

37. Did your anticipated results materialize or is your project on course to achieve the expected results in the future?
38. Did USAID/Washington make decisions that had a positive or negative impact on the project's ability to achieve its stated expected results?
39. Did the local USAID Mission make decisions that had a positive or negative impact on the project's ability to achieve its stated expected results?
40. If you could design the project over again, what changes would you make in the project design?
41. Are there any key lessons that have been learned in this landscape that we haven't covered elsewhere in this interview?

E. QUESTIONS FOR OTHER PROJECT COLLABORATORS:

Key Principles: Threats-Based Approach

1. Are you familiar with threats-based approaches to conservation?
2. How do you feel this has been applied in the SCAPES project?
3. Are there any key lessons that have been learned in this landscape about a threats-based approach?

Key Principles: Sustainability

4. How ecologically sustainable do you feel the project is? Any recommendations for improvement?
5. How socially sustainable do you feel the project is? Any recommendations for improvement?
6. Are there any other lessons that have been learned in this landscape about ecological or social sustainability?

Key Principles: Adaptive Management

7. Are you familiar with adaptive management?
8. Are there any key lessons that have been learned in this landscape about adaptive management?

Key Principles: Scale-Up

9. Are you familiar with scale-up?
10. Are there any key lessons that have been learned in this landscape about scaling-up?

Gender

11. What community members or key informants were consulted in the project design process and how were they involved?
12. Do you feel that the project contributed to correcting gender imbalances through addressing the practical needs of men and women?
13. Did project activities involve both men and women? If so, how?
14. Were measures incorporated to ensure women's inclusion and participation in project planning and implementation (e.g., interviewing women separately from men, capacity building for women, etc.)?
15. How does the project affect the daily lives of men and women? Are there project components that might have made life harder for either gender (such as changing workloads)? Did the project do anything to address those?
16. Are there equal opportunities for men and women to participate in the project decisions and benefits?
17. To the best of your knowledge, what do men and women do with any income they may receive from project activities?

General Questions about Project Success

18. In your opinion, what were the major successes of the SCAPES project here in the [x] landscape?
19. In your opinion, what were the major challenges of the project?
20. What were the key Enabling Conditions that have allowed the project to succeed?
21. What were the key factors that have impeded the success of the project?
22. Are there important links to the activities of Other Funders or Other Implementers in the landscape that may have/could have played a role? If so, how?
23. Are there important links to Non-Conservation activities (health, education, etc) that may have/could have played a role? If so, how?
24. If you could have changed the project, what changes would you have made?
25. Are there any key lessons that have been learned in this landscape that we haven't covered elsewhere in this interview?
26. Any other thoughts about this project you would like to share with us?

D. LIST OF KEY INFORMANTS

#	Name	Organization	Title	Interview	Survey
SCAPES – GENERAL					
1	Hannah Fairbank (Formerly ECR, RUV, SHL)	USAID/W	Senior Biodiversity and Natural Resources Advisor	X	
2	Sara Carlson	USAID/W	AAAS Science and Technology Fellow	X	
AWF LANDSCAPES – GENERAL					
3	Mary Rowen	USAID/W	Senior Biodiversity Advisor	X	
4	Jimmiel Mandima	AWF/Headquarters	Director, Project Design and Partner Relations	X	X
5	David Williams	AWF/Headquarters	Conservation Geography		X
Kilimanjaro Heartland					
6	Abraham Loomuna	Amboseli Tsavo Game Scouts Association	Coordinator	X	
7	Alex Choya	Tanzania Wildlife Division	Program Officer	X	
8	Beatrice Wamalwa	USAID/Kenya	Program Management Specialist, Strategic Planning & Gender	X	
9	Ben Wandago	USAID/Kenya	Biodiversity and natural resources management Specialist	X	
10	Benson Leyian	Amboseli Ecosystem Trust	Manager	X	
11	Berdnard Opaa	National Environmental Management Authority	Program Officer, Wetlands Department	X	
12	David Manoa	Born Free Foundation	Project Officer	X	
13	Dickson Kaelo	Kenya Wildlife Conservancy Association	Executive Director	X	
14	Douglas Meritei	Amboseli Land Owners Conservancy Association	Secretary	X	
15	Enduimet Community Scouts focus group (6 participants)	Enduimet Scout Outpost	Community Scouts	X	
16	Enduimet WMA leader focus group (7 participants)	Enduimet WMA	WMA community leaders	X	
17	Eric Deche	National Environmental Management Authority	Principle Environmental Education and Information Officer	X	
18	Fiesta Warinwa	AWF/Kenya	Country Director	X	X
19	Francis Legei	Amboseli Tsavo Game Scouts Association	Security Commander	X	
20	Geoffrey Wahingu	National Environmental Management Authority	Director General	X	
21	Gladys Warigia	Kenya Wildlife Conservancy Association	Policy Coordinator	X	

#	Name	Organization	Title	Interview	Survey
Kilimanjaro Heartland					
22	Hamza Kija	Tanzania Wildlife Research Institute	Research Officer	X	
23	Honey Guide Foundation focus group (7 participants)	Honey Guide Foundation		X	
24	Honori Maliti	Tanzania Wildlife Research Institute	Assistant Director	X	
25	Irene Kamunge	National Environmental Management Authority	Principle Legal Officer	X	
26	James Nduati	District Veterinarian Office	District Veterinarian Officer	X	
27	John Kiringe	School for Field Studies	Deputy Director	X	
28	Judy (??)	Kenya Wildlife Service	Senior Warden-Amboseli National Park	X	
29	Julius Cheptei	Kenya Wildlife Service	Assistant Director for Southern Conservation Area	X	
30	Kimay Lendukay	AWF/Kenya	Community Development Officer	X	
31	Kittenden Community Scouts focus group (6 participants)	Kittenden Scout Outpost	Community Scouts	X	
32	Kolkai Olitiptip	Amboseli Ecosystem Trust	Coordinator	X	
33	Lekishon Kenana	Kenya Wildlife Service	Senior Scientist-Southern Conservation Area	X	
34	Michel-Van Winden	Royal Netherlands Embassy-Nairobi	First Secretary	X	
35	Moses Okello	School for Field Studies	Director	X	
36	Noah Sitati	AWF/Kenya	Program Manager, Klimanjaro Landscape	X	
37	Oyatsi Desterio	Tawi Lodge	Director	X	
38	Philip Lenaiyasa	AWF/Kenya	Senior Program Officer, Community Development	X	
39	Philip Muruthi	AWF/Kenya	Chief Scientist	X	X
40	Richard Bonham	BigLife Foundation	Executive Director	X	
41	Ron Guijs	Tawi Lodge	General Manager	X	
42	Samuel Kange	Amboseli Land Owners Conservancy Association	Treasurer	X	
43	Samwel Bakari	Tanzania Wildlife Research Institute	Program Officer	X	
44	Sianna Women's Group focus group (12 participants)	Sianna Women's Group		X	
45	Stephen Nindi	Tanzania Wildlife Research Institute	Principle Research Officer	X	
46	Timothy Oloo	Born Free Foundation	Program Manager	X	
47	Wilfred Ngonze	Elerai Conservancy	Warden	X	
48	Willness Minja	Tanzania Wildlife Division	Officer in charge of WMAs	X	
Kilimanjaro Heartland					
49	Nasson Tembo	AWF/Zambia	Kazungula Landscape Director	X	X

#	Name	Organization	Title	Interview	Survey
PACT CONSORTIUM LANDSCAPE					
Ustyurt Plateau					
50	Diane Russell	USAID/W	Senior Social Scientist	X	
51	Abay Myrkhin	Small and Medium Enterprise Development Association	Chairman	X	
52	Akimat	Aishuak/Begimbet Local Government	Akimat of Aishuak/Begimbet	X	
53	Aliya Abdigaparova	School #5, Shalkar	Director	X	
54	Anastasiya Islamgulova	Biodiversity Assessment Team (Institute of Botany)	Consultant	X	
55	Azamat Erkebaev	Socio-Economic Assessment Team	Consultant	X	
56	Bakitjan Anapin	Mobile Environmental Resource Center	Manager	X	
57	EcoClub Faculty Leaders (3 interview participants)	School #5, Shalkar	EcoClub Faculty Leaders	X	
58	EcoClub Student focus group (6 participants)	School #5, Shalkar	EcoClub Students	X	
59	Elvira Zakirova	USAID/Central Asian Republics	Program Management Assistant	X	
60	Gulmira Izimbergenova	Association for the Conservation of Biodiversity of Kazakhstan	Director	X	
61	Jahanav Jhancizavich	Begimet village	Community Member/Former Ranger	X	
62	Janibek Dzhubaniyzov	Okhotzooprom	Deputy Director	X	
63	Katherine Himes	USAID/Central Asian Republics	AAAS Science and Technology Fellow-Environment Officer and Science Adviser	X	
64	Khabit Makash	Fomerly with Okhotzooprom	Former Director of Aktobe region	X	
65	Khamal Bay	Community Member	Herder	X	
66	Kirk Olson	FFI/Kyrgyzstan	Saiga Conservation Program Manager	X	X
67	Kuanish Ayazov	Forest and Hunting Commission	Head of Territorial Forest and Hunting Commission Inspection	X	
68	Maria Karlstetter	Formerly with FFI	Saiga Conservation Program Manager		X
69	Nina Kavetskaya	USAID/Central Asian Republics	Mission Environmnetal Officer, Strategy and Program Office	X	
70	Olga Klimanova	Formerly with ACBK	Former Director	X	
71	Paul Cowles	Formerly with Pact	Former Ustyurt Project Director	X	
72	Paul Hotham	FFI/UK	Director, Eurasia Programme / Principal Advisor		X
73	Sergei Orlov	Okhotzooprom	Deputy Director	X	
74	Sergey Sklyarenko	Association for the Conservation of Biodiversity of Kazakhstan	Science Director	X	

#	Name	Organization	Title	Interview	Survey
Ustyurt Plateau					
75	Shari Bush	Pact	Ustyurt Project Director	X	X
76	Smakov Ryspek	Kazakhstan Customs Committee's Regional Dog Training Center	Chief	X	
77	Steffen Zuther	Association for the Conservation of Biodiversity of Kazakhstan	Conservation Director	X	
78	Svetlana Sidorova	Small and Medium Enterprise Development Association	Deputy Director	X	
79	Zhanbolat Zhidehanov	Shalkar Local Government	Deputiy Akimat of Shalkar	X	
WCS LANDSCAPES – GENERAL					
80	Marco Flores	USAID/W	Biodiversity and Natural Resources Specialist	X	
81	David Wilkie	WCS/Headquarters	Director, Conservation Support	X	X
Daurian Steppe Landscape					
82	Amanda Fine	Formerly with WCS/Mongolia	Former Director		X
83	Ann Edwards	WCS/Mongolia	Country Director	X	
84	Baatarmunkh Batjargal	Khukh Lake Ecolodge	Community Leader	X	
85	Baterdene Gombosuren	Eastern Mongolia Community Conservation Association	Manager	X	
86	Batkhuu	Eastern Mongolia Protected Area Authority	Protected Area Ranger	X	
87	Bolortsetseg Sangaa	WCS/Mongolia	Communication & Community Outreach Specialist	X	
88	Buuveibaatar Bayarbaatar	WCS/Mongolia	Lead for Conservation Science	X	
89	Dashdorj Khurelbaatar	Eastern Mongolia Protected Area Authority	Director	X	
90	Dorjderem Sukhragchaa	Oyu Tolgoi, LLC	Principle Advisor for Biodiversity	X	
91	Enkhtuvshin Shilegdamba	WCS/Mongolia	Deputy Directory	X	X
92	Ganbat Shagdar	EPA (Ministry of Environment & Green Development)	Director	X	
93	Mendsaihan Hasbaatar	USAID/Mongolia	Project Manager	X	
94	Multi-Agency Taskforce focus group (7 participants)	Multi-Agency Taskforce		X	
95	Narangerel Yansanjav	People Centered Conservation	Executive Director	X	
96	Ochirkhuyag Lkhamjav	WCS/Mongolia	Remote Sensing & GIS Specialist	X	
97	Odonchimeg Nyamtskren	WCS/Mongolia	Lead for Conservation Initiatives	X	
98	Onon Yondon	Ministry of Environment & Green Development	Officer, Department of Environment and Natural Resources	X	
99	Richard Chen	USAID/Mongolia	General Development Officer	X	
100	Urjinkhand Choijdayga	Khukh Lake Ecolodge	Previous Community Leader	X	
101	Urtnasan Munkhochir	Eastern Mongolia Protected Area Authority	Training Manager	X	

#	Name	Organization	Title	Interview	Survey
Kavango-Zambezi Transfrontier Conservation Area / "Beyond Fences"					
102	Steve Osofsky	WCS/Headquarters	Executive Director, Wildlife Health and Health Policy Program	X	Jointly Done
103	Shirley Atkinson	WCS/Headquarters	Assistant Director, Wildlife Health and Health Policy Program	X	
Madidi-Tambopata Landscape					
104	Alicia Kuroiwa	WCS/Peru	Mandidi-Tambopata Program Director	X	X
WWF LANDSCAPES – GENERAL					
105	Andrew Tobiason (formerly DS, KAZA and MT)	USAID/W	Biodiversity Advisor	X	
106	Kimberley Marchant	WWF/Headquarters	Director, Field Programs	X	X
107	Meg Symington	WWF/US	Managing Director, Amazon	X	X
Eastern Cordillera Real Landscape					
108	Cecilia Alvarez	WWF/Peru	Project Coordinator		X
109	Ilvia Nino	WWF/Colombia	Andean Amazon Piedmont Director	X	
110	Jorge Rivas	WWF/Ecuador	Senior Conservation Officer		X
111	Luis Germán Naranjo	WWF/Colombia	Conservation Director	X	X
Ruvuma Landscape					
112	Caroline Cook	WWF/Headquarters	Deputy Director, Coastal East Africa		X
113	Erica Rieder	WWF/Headquarters	Program Officer		X
114	George Makumbule	WWF/Tanzania	SCAPES Project Executant	X	X
115	Nick Dexter	CARE/Mozambique	Regional Coordinator Programmes (North)		X
Sacred Himalaya Landscape					
116	Ananta Bhandari	WWF/Nepal	Senior Program Officer	X	X
117	Anil Manandhar	WWF/Nepal	Country Representative Nepal	X	
118	Bronwyn Llewellyn	USAID/Nepal	Environment Officer	X	
119	Chiranjibi Adhivari	CARE/Nepal	Coordinator, Natural Resources Management	X	
120	Dhan Rai	WWF/Nepal	Program Coordinator	X	X
121	Durga Shrestha	Taplejung District Government	District Development Committee Chairman	X	
122	Gauri Shankar	Department of Forests	Deputy Director General	X	
123	Ghana Gurung	WWF/Nepal	Conservation Program Director	X	
124	Hemraj Acharya	Taplejung District Government	Warden/Conservation Officer	X	

#	Name	Organization	Title	Inter-view	Survey
Sacred Himalaya Landscape					
127	Krishna Prasad Ojha & 5 village representatives	Federation of Community Forestry Users Nepal and Village Representatives	Chairperson & Community Members	X	
128	Lelep village female leader focus group (18 participants)	Various Lelep village CBOs	Community Leaders	X	
129	Lelep village male leaders focus group (15 participants)	Various Lelep village CBOs	Community Leaders	X	
130	Netra Sapkota	USAID/Nepal	Natural Resources Management and GCC Programs Specialist	X	
131	Rahamat Hussain	CARE/Nepal	SCAPES Program Officer	X	
132	Shubash Lohani	WWF/US	Deputy Director, Eastern Himalaya Program	X	X
133	Sujeet Shrestha	WWF/Nepal	Field Program Officer-Kangchenjunga Conservation Area Projec	X	X
134	Tapethok village leader focus group (24 participants)	Various Tapethok village CBOs	Community Leaders	X	

E. EVALUATION TEAM

JOHN PIELEMEIER, SENIOR EVALUATION SPECIALIST

John Pielemeier has spent most of his career as an interdisciplinary international development specialist designing, evaluating, and managing international development programs. Educated at Georgetown University's School of Foreign Service and the University of Chicago and a former Peace Corps volunteer, Mr. Pielemeier served with USAID during his 22-year career with 12 years of overseas assignments in Brazil, Southern Africa (Botswana), and Liberia. He has served as USAID Mission director in Brazil, USAID/Washington office director for South Asia, and special assistant in the office of the USAID Administrator. Since his early retirement from USAID, Mr. Pielemeier has been a senior fellow at World Wildlife Fund, director of the TAACS program at CEDPA, a professional trainer, and a coach for new USAID NEPs and IDIs. As an independent consultant, he has worked for USAID, Global Environmental Facility, United Nations, Packard Foundation, and various private voluntary organizations.

He has been team leader for several program-level evaluations that include the global USAID-funded child health, HIV/AIDS, and tuberculosis programs; a participatory assessment of World Wildlife Fund's Latin America program; food security and agriculture projects in Africa; and UN capacity-building activities in Brazil. He has worked extensively with the design and evaluation of environmental trust funds globally and in Indonesia, Jamaica, Brazil, and the Philippines.

Mr. Pielemeier has designed and delivered training programs on project design, logical framework, strategic planning, and program evaluation, among other topics relevant to newly hired USAID staff. He has also been an adjunct professor at Georgetown University where he designed and taught a new master's degree course in Strategic Planning, Project Design and Implementation.

Mr. Pielemeier's strengths include his practical overseas experience on several continents, his language skills in French, Portuguese, and Spanish, and his proven ability to lead and manage teams of technical experts in various sectors and for cross-sectoral programs.

MATTHEW ERDMAN, TECHNICAL SPECIALIST

Mr. Erdman most recently worked as the Population-Health-Environment (PHE) Technical Advisor at USAID, where he helped manage the Bureau of Global Health's portfolio of PHE activities and provided technical advice and support to PHE projects. Before USAID, he worked in southwestern Madagascar as the PHE Program Manager for Blue Ventures, a marine conservation organization, where he led the family planning and community health activities and ensured they were integrated in Blue Ventures' environmental activities. He has also worked with Ya'axché Conservation Trust on forest management, World Wildlife Fund analyzing and mapping demographic trends in priority conservation zones, and the Sierra Club helping evaluate wetland conditions and prioritizing wetland conservation efforts. He earned a master's degree in Sustainable Development & Conservation Biology with a concentration in geographic information systems from the University of Maryland. Mr. Erdman served as a Peace Corps volunteer in southeast Madagascar, where he led reforestation and ecotourism projects. He has lived 14 years overseas in Madagascar, Belize, Algeria, Honduras, Israel, Portugal, and Yugoslavia and has traveled extensively in India, Southeast Asia, East and West Africa, and Central America. He speaks conversational Spanish, French, and Malagasy.

F. LEARNING PROGRAM ASSESSMENT

SCAPES PROGRAM OVERVIEW

The SCAPES program is a partnership between USAID and four nongovernmental organizations that seeks to conserve globally important biodiversity and provide leadership in developing, documenting, and sharing state-of-the-art conservation practices. Nine transboundary landscape and policy initiatives implemented by African Wildlife Foundation, Wildlife Conservation Society, World Wildlife Fund, and a consortium led by Pact, Inc. teamed with Fauna & Flora International, BirdLife International, and ACDI-VOCA, to apply innovative and tested methodologies to achieve conservation and development goals.

SCAPES applies a holistic, adaptive approach to address conservation challenges. Over the life of the program (2010–2014), all partner activities adopted the following approach in the program's Learning Program: (1) take a threats-based approach to address conservation issues; (2) aim to achieve financial, social, and ecological sustainability; (3) apply adaptive management and be responsive to changing situations, information, and enabling conditions; and (4) scale-up knowledge and impact to increase conservation success at sites, across the partnership, and among the global conservation community.

SCAPES is USAID's largest global conservation initiative, managed centrally from Washington, DC, to complement and inform the Agency's portfolio of national and regional biodiversity programs. The program is supported by a robust learning initiative that helps USAID and its partners analyze, communicate, and leverage results.

Additional information, including annual meeting notes and presentations, is available at www.frameweb.org/CommunityBrowser.aspx?id=6151

SCAPES LEARNING ASSESSMENT PROTOCOL

Question Set 1: Overall Impressions of SCAPES Learning (30 minutes)

- At the beginning of SCAPES the learning objective was to "scale-up knowledge and impact to increase conservation success at sites, across the partnership, and among the global conservation community".
  - How successful has SCAPES as a whole been in achieving this objective?
    - What contributed to success?
    - What hindered success?
  - *OPTIONAL:* Stepping back, was this goal valuable to your organization as part of your SCAPES work? Why or why not?
  - *OPTIONAL:* Did SCAPES learning effectively build on the lessons learned from the Global Conservation Program? Why or why not?

Question Set 2: Specific SCAPES Activities

Looking back at the activities you have been part of:

- Which content sessions did you find to be most valuable? Least valuable?
- What parts of the learning activity processes worked well? What could have been improved?
- Overall, did the learning activities and annual meeting sessions reflect the needs and interests of your organization? Why or why not?
  - Was there topic/activity that was missed in the SCAPES learning agenda which would have been valuable to your organization?
- Overall, was the SCAPES learning process across partners valuable to your organization? Why or why not?
- Question Set 3: Continuing Cross-Institutional Learning
- What are 1-2 most important actions USAID and/or partner organizations can take to support cross-institutional learning beyond SCAPES?

Question Set 3: Continuing Cross-Institutional Learning

Looking back at the activities you have been part of:

- What are 1-2 most important actions USAID and/or partner organizations can take to support cross-institutional learning beyond SCAPES?

SCAPES LEARNING ASSESSMENT PARTICIPANTS

Partner Organization Focus Group

- Shari Bush, Pact
- Jimmiel Mandima, African Wildlife Foundation
- Kimberly Marchant, World Wildlife Foundation
- Rob Rose, Wildlife Conservation Society
- David Wilkie, Wildlife Conservation Society

USAID AOR Interviews

- Hannah Fairbank, USAID/E3/Forestry and Biodiversity Office, SCAPES AOR
- Mary Rowen, USAID/E3/Forestry and Biodiversity Office, SCAPES AOR
- Diane Russell, USAID/E3/Forestry and Biodiversity Office, SCAPES AOR
- Andrew Tobiason, USAID/E3/Forestry and Biodiversity Office, SCAPES AOR

Additional Interviews:

- Shereen Abdelatty, Development Alternatives Inc., formerly with the CK2C Contract
- Paul Cowles, formerly with Pact

2014 SCAPES Annual Meeting Participants

First Name	Last Name	Organization	Landscape/Office
Shirley	Atkinson	WCS	KAZA Beyond Fences
Ananta	Bhandari	WWF	Sacred Himalaya
Shari	Bush	Pact	Pact Headquarters
Sarah	Carlson	USAID	E3/FAB
Hannah	Fairbank	USAID	E3/FAB
Nathan	Gregory	USAID	E3/FAB
Paul	Hotham	Pact	FFI Headquarters
Berdiyar	Jollibekov	Pact	Ustyurt
Philip	Lenaiyasa	AWF	Kilimanjaro
Jimmiel	Mandima	AWF	AWF Headquarters
Kimberley	Marchant	WWF	WWF Headquarters
Jones	Masonde	AWF	Kazungula
Mariana	Montoya	WCS	Madidi-Tambopata
Luis	Naranjo	WWF	Eastern Cordillera Real
Odno	Nyamtseren	WCS	Daurian Steppe
Kirk	Olsen	Pact	Ustyurt
Erica	Rieder	WWF	WWF Headquarters
Rob	Rose	WCS	WCS Headquarters
Mary	Rowen	USAID	E3/FAB
Diane	Russell	USAID	E3/FAB
Marco	Santiago- Flores	USAID	E3/FAB
Enkee	Shiilegdamba	WCS	Daurian Steppe
Priya	Shrestha	WWF	Sacred Himalaya
Hussein	Sosovele	WWF	Ruvuma
Meg	Symington	WWF	WWF Headquarters
Nasson	Tembo	AWF	Kazungula
Andrew	Tobiason	USAID	E3/FAB
Sandra	Valenzela	WWF	Eastern Cordillera Real
Mariana	Varese	WCS	Madidi-Tambopata
Fiesta	Warinwa	AWF	AWF Headquarters
Noah	Wasila	AWF	Kilimanjaro
Brooke	Whittenburg	USAID	E3/FAB (Intern)
David	Wilkie	WCS	WCS Headquarters
David	Williams	AWF	AWF Headquarters
Olaf	Zerbock	USAID	E3/FAB

LEARNING PROGRAM BACKGROUND DOCUMENTS

- SCAPES Learning Activities Proposal Master List
- SCAPES Annual Meeting Documents:
  - SCAPES 2010 Annual Meeting Agenda, Presentations, Notes, and Evaluation- Theme: Sustainability
  - SCAPES 2011 Annual Meeting Topics, Agenda, Presentations, Notes, and Evaluation- Theme: Conservation and Development
  - SCAPES 2013 Annual Meeting Agenda, Presentations, Notes, and Evaluation- Theme: Monitoring and Evaluation
  - SCAPES 2014 Annual Meeting Agenda, Presentations, Notes, and Evaluation- Theme: Innovation and Reflection
- SCAPES Limiting Factors Baseline Survey Report, 2010
- Guidelines for Assessing the Strengths and Weaknesses of Natural Resource Governance in Landscapes and Seascapes, June 2013
- SCAPES Partners: A Review of Field Based Common Ground on Adaptation, October 2012
- USAID Learning Lab – Practices of Successful Learning Networks: Documenting Lessons from the GROOVE Network, August 2013

G. ACRONYMS

AWF	African Wildlife Foundation
CAN	Andean National Community
CBNRM	Community-Based Natural Resources Management
CBO	Community-Based Organization
CCVA	Climate Change Vulnerability Analysis
CFUG	Community Forest User Group
CVCA	Climate Vulnerability and Capacity Analysis
E3/FAB	Economic Growth, Education, and Environment Bureau, Forestry and Biodiversity Office
EMPAA	Eastern Mongolia Protected Area Administration
FAO	Food and Agriculture Organization of the United Nations
FFS	Farmer Field Schools
GCP	Global Conservation Program
GROOVE	Growing Organizational Value Chain Excellence
InVEST	Integrated Valuation of Ecosystem Services and Tradeoffs
IUCN	International Union for Conservation of Nature
LFA	Limiting Factors Analysis
LSA	Landscape Species Analysis
LWA	Leader with Associates
M&E	Monitoring and Evaluation
MERC	Mobile Environmental Resource Center
MI	Measuring Impact Project
MOMS	Management Oriented Monitoring System
NGO	Nongovernmental Organization
NTFP	Non-Timber Forest Products
OIE	World Organization for Animal Health
Open Standards	Open Standards for the Practice of Conservation
PPL	Policy, Planning and Learning Bureau
REDD+	Reducing Emissions from Deforestation and Forest Degradation
RFA	Request for Applications
SADC	Southern Africa Development Community
SCAPES	Sustainable Conservation Approaches in Priority Ecosystems
TBA	Threats-Based approach
TFCA	Transfrontier Conservation Area
USAID	US Agency for International Development
USAID/W	USAID Washington
WCS	Wildlife Conservation Society
WMA	Wildlife Management Area
WWF	World Wildlife Fund

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