

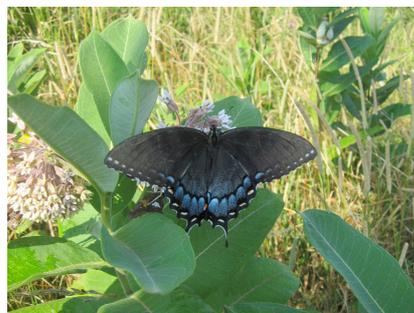


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# Applied Environment and Natural Resources Management (ENRM) Programming Course

## Participant Workbook

April 22-26, 2013  
Bangkok, Thailand



Presented by USAID's Bureau for Economic Growth, Education and Environment





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# APPLIED ENRM PROGRAMMING COURSE PARTICIPANT AGENDA

## COURSE OBJECTIVES

By the end of this course participants will be able to:

- Operationalize key Environment and Natural Resource Management concepts and approaches (integration, systems and sustainability) throughout the USAID program cycle, including: Assessment, Design, Implementation and Monitoring and Evaluation.
- Apply and integrate good practices in key Environment and Natural Resources Management sectors into USAID environmental programming

## AGENDA

Day 1	
<b>Getting Started and Technical Area Discussions</b> <ul style="list-style-type: none"> <li>• Building a Learning Community</li> <li>• Setting the Context</li> <li>• Global Climate Change</li> <li>• Biodiversity and Forestry</li> </ul>	<b>8:30 Start of the Day</b>
	<b>Welcome and Start-Up Activity: Objectives, Agenda, Guidelines</b> Introduction and overview of the course
	<b>Setting the Context</b> Presentation and discussion of the current state of programming at USAID
	<b>Global Climate Change</b> Presentation, discussion and activities
	<b>Lunch</b>
	<b>Global Climate Change (continued)</b> Presentation, discussion and activities
	<b>Biodiversity and Forestry</b> Presentation, discussion and activities
	<b>Introduction to the Simulation</b> Overview and working group meetings
	<b>Journal and feedback</b>
	<b>End of the Day</b>
Day 2	
<b>Technical Area Discussions and Programming Phases</b> <ul style="list-style-type: none"> <li>• Freshwater, Coastal and Marine Resources Management</li> <li>• Food Security and Sustainable Agriculture</li> <li>• Assessment</li> </ul>	<b>8:30 Start of the Day</b>
	<b>Start-Up Activity</b>
	<b>Freshwater, Coastal and Marine Resources Management</b> Presentation, discussion and activities
	<b>Food Security and Sustainable Agriculture</b> Presentation, discussion and activities
	<b>Lunch</b>
	<b>Assessment</b> Presentation, discussion and simulation activity
	<b>Journal and Feedback</b>
	<b>End of the Day</b>

Day 3	
<b>Programming Phases</b> <ul style="list-style-type: none"> <li>• Design</li> <li>• Monitoring &amp; Evaluation</li> </ul>	<b>8:30 Start of the Day</b>
	<b>Start-Up Activity</b>
	<b>Design</b> Presentation, discussion and simulation activity
	<b>Lunch</b>
	<b>Monitoring &amp; Evaluation</b> Presentation, discussion and simulation activity
	<b>Field Trip Preparation</b> Overview of the field trip
	<b>Journal and Feedback</b>  <b>End of the Day</b>
Day 4	
<b>Field Trip</b>	<b>7:30 Start of the Day</b>
	<b>Field Trip</b> Site visit to a current environmental program to see how they are applying knowledge of different technical sectors to programming.
	<b>End of the Day</b>
Day 5	
<b>Bringing It All Together</b> <ul style="list-style-type: none"> <li>• Adaptive Management &amp; Implementation</li> <li>• Course Review and Application Planning</li> </ul>	<b>8:30 Start of the Day</b>
	<b>Field Trip Debrief</b> Discussion of observations and lessons learned from the field trip.
	<b>Adaptive Management &amp; Implementation</b> Presentation, discussion and simulation activity
	<b>Lunch</b>
	<b>Learning Application—Review of Course Concepts</b> Summary of the key learnings from the course and strategic thinking and networking on current challenges in ENRM programming
	<b>Feedback / Training Evaluation / Closing</b>  <b>End of the Course</b>



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## APPLIED ENRM PROGRAMMING COURSE

# TRAINER BIOS

**Andre Mershon** is a Climate Change Program Specialist working on training, communications, and outreach for USAID's Global Climate Change Office. Prior to joining USAID, Andre worked as an international development and climate change consultant for clients including Land O'Lakes International Development, Oxfam America, and the United Nations Development Programme, where he managed UNDP's Community-Based Adaptation Programme. Andre also worked for three years as a project manager at Chemonics International, a USAID contractor, and served as a Natural Resources Management Peace Corps Volunteer in Mali. He speaks fluent French and has extensive experience in West Africa. Andre has a Master of Environmental Management degree from the Yale School of Forestry and Environmental Studies with a specialization in climate change science and policy and B.A. in International Studies from American University.

**Helen Petrozzola** is an organizational development and training specialist with 15 years of experience in international development. She has held leadership positions at the US Peace Corps Headquarters and as Peace Corps Deputy Director in two field posts, and the United Nations Development Program as a program manager of HIV, gender and governance programs. Her field postings have included Ukraine, Moldova, Cambodia and the Eastern Caribbean with extended assistance provided to PEPFAR programs in Eastern and Southern Africa. Her areas of interest and expertise are in program design and management, institutional strengthening, workplace learning and monitoring and evaluation. Helen brings to the CK2C team knowledge and experience with adult experiential learning and competency-based training methodologies.

**Diane Russell** joined the E3/ Biodiversity-Forestry Office in August 2005. Her academic credentials include a B.A. (Barnard College/Columbia University), M.A., and Ph.D. (Boston University) in anthropology and a master's degree in environmental management (Yale School of Forestry & Environmental Studies). She worked for six years as a scientist within the Consultative Group for International Agricultural Research: two years as post-doc at the International Institute for Tropical Agriculture's Humid Forest Station in Cameroon and four years as a program leader for markets and conservation-development linkages at the World Agroforestry Centre (ICRAF) based in Nairobi, Kenya. In her current position, Diane is Cognizant Technical Officer for the Business and Biodiversity Offsets Program and assists missions and USAID/Washington with design, assessment, and communications relating to biodiversity with an emphasis on economic, social, and cultural dimensions.

Diane has visited numerous field sites, supervised several students in their work, and published a book in 2003 with Camilla Harshbarger: *Groundwork for Community-Based Conservation: Strategies for Social Research* (Altamira Press). In 2006, she was elected to the Anthropology Seat and Chair of the Conservation Committee of the Social Science Working Group of the Society for Conservation Biology. She speaks French, Lingala, and Swahili and understands Spanish.

**Richard Volk** joined USAID in 1998 and provides technical and managerial support for a variety of river basin and coastal resources management activities. During his 30+ years in natural resources management he has worked in over 50 countries, providing technical assistance on numerous water and coastal resources management, fisheries, climate change, biodiversity conservation, and environmental planning programs. Before joining USAID, Richard was executive director of the Corpus Christi Bay National Estuary Program, a five-year scientific assessment and consensus-building effort to develop a comprehensive conservation and management plan for three of the seven major estuaries on the Texas coast in the U.S. He now provides technical assistance to USAID Missions on the design and implementation of integrated natural resources management initiatives worldwide; with particular focus on the water-climate-food nexus related to river basins and their coastal/marine ecosystems. Richard holds a BSc degree in Biology and an MPA in Development Management.

**Sarah Schmidt** is the Assistant Program Manager for USAID's CK2C project. She manages bilingual web content, communications, and partner outreach for [www.framework.org](http://www.framework.org), a collaboration and knowledge-sharing tool for approximately 2,000 NRM practitioners around the world. Her role with CK2C draws on her previous experience as DAI's Knowledge Management Specialist, where her work supported DAI's thought leadership and new business initiatives. Sarah's eleven years of professional activity in Latin America, the Middle East, and Washington, D.C., have given her solid experience working in multiple sectors of development with national governments, nongovernmental organizations, and communities, including in conflict areas. Before coming to DAI, she worked for the International Monetary Fund performing research and analysis and for Peace Corps Panama as both a volunteer and a staff member. Sarah holds an M.A. in international relations from the University of St. Andrews, Scotland, with a concentration in Middle East conflict. In addition to her native English, she is fluent in Spanish.



APPLIED ENRM PROGRAMMING COURSE

PARTICIPANTS LIST

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Tab Title: Day 1





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## APPLIED ENRM PROGRAMMING COURSE DAY ONE AGENDA

Day 1	
<b>Getting Started and Technical Area Discussions</b> <ul style="list-style-type: none"><li>• Building a Learning Community</li><li>• Setting the Context</li><li>• Global Climate Change</li><li>• Biodiversity and Forestry</li></ul>	<b>8:30 Start of the Day</b>
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	<b>End of the Day</b>





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## Setting the Context

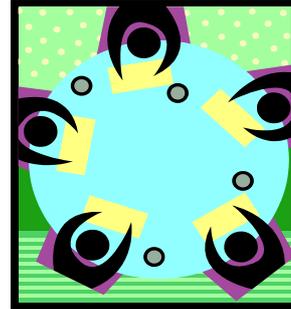
### Session learning objectives

By the end of this session you will be able to:

- Articulate the role of ENRM in USAID strategic planning processes
- Identify key strategic planning principles and approaches
- Understand the components and flow of the program cycle

## Why does USAID develop strategic plans?

- To assess needs and make decisions
- To negotiate programmatic agreements with country govt.
- Through the strategic planning process stakeholders:
  - Explore alternatives at a high level
  - Define, discuss and negotiate long-term goals
  - Determine the allocation of resources broadly

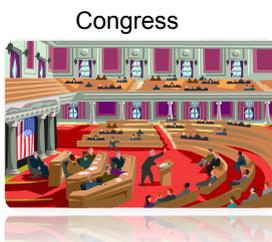


## Major USAID strategic planning processes

	High Level Initiatives	<ul style="list-style-type: none"><li>• Feed the Future</li><li>• Climate Change</li><li>• Global Health</li></ul>
	Sector	<ul style="list-style-type: none"><li>• Water</li><li>• Biodiversity</li></ul>
	Country Development Cooperation Strategies	

## How does USAID use strategic plans?

- The strategic planning process and documentation:
  - Communicates decisions over time
  - Supports the coordination of activities
  - Drives the achievement of specific goals
- Who cares???



## Role of ENRM in country strategies

- Global leadership in environmental safeguards
- **Sustainable results across sectors**



## Strategic planning principles

Don't get caught up in making it perfect

Use **root cause analysis** to identify underlying structural problems

Make it **relevant**

Get **management buy-in**

Seek **broad stakeholder involvement** and support

**Integrate M&E from the outset**

## Strategic planning for ENRM programs

A **program** incorporates a set of activities to achieve an objective



## ENRM program planning principles

Integrated

Systems  
Approach

Empowering

At Scale

Adaptive

Sustainable

Long term

## USAID parameters, constraints and challenges

### Bureaucratic:

- Initiatives
- Congressional earmarks
- Centrally determined priorities
- Indicators by sector
- Short timeframes
- Sectoral office structures
- Lack of staff skills
- Limited resources



### Technical:

- Scarcity of data
- Evolving science
- Host country technical capacity



### Interpersonal:

- Interests and technical background
- Emotional and cultural intelligence
- Hierarchies and power relationships

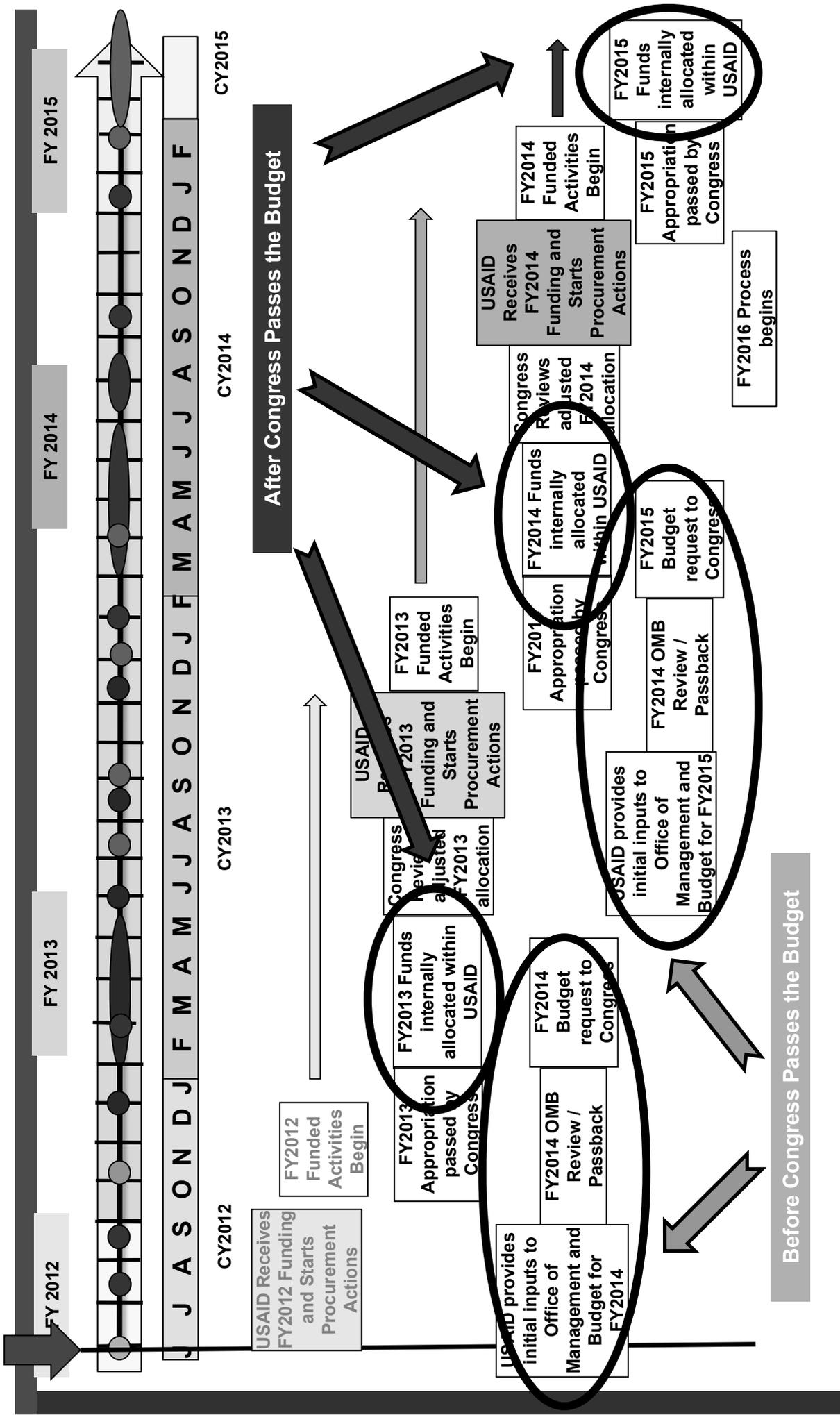


### Overall context:

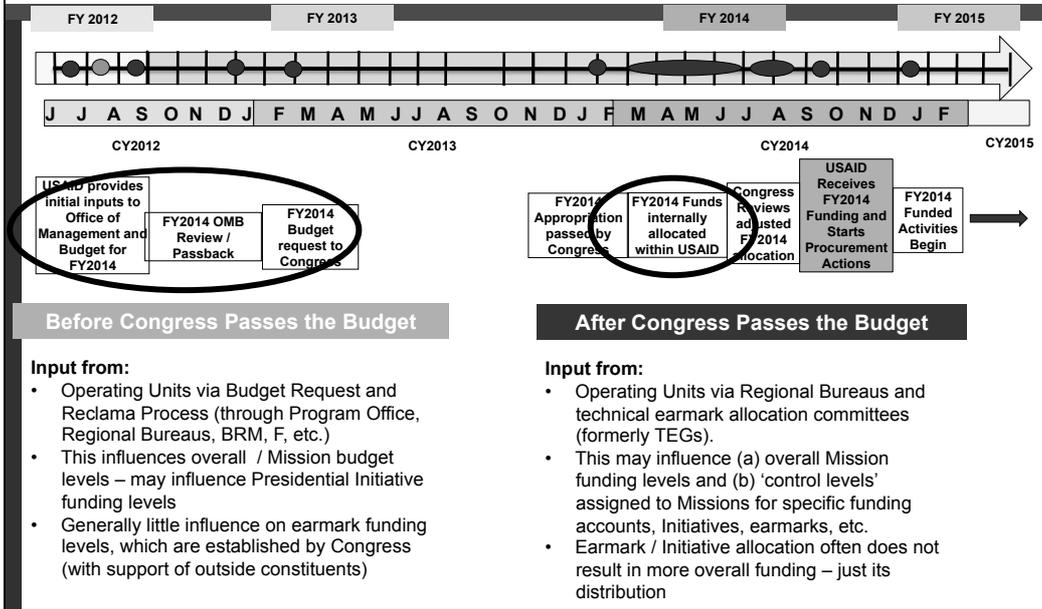
- Civil Unrest
- Natural disasters
- Health



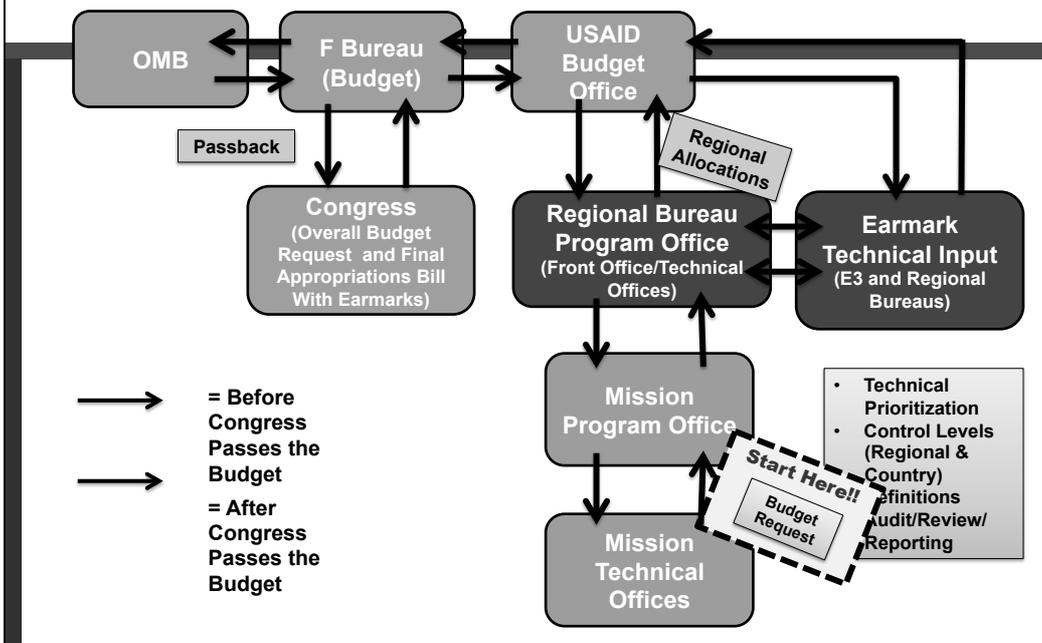
# The USAID Budget Process/Cycle



## Where you can intervene



## USAID's Internal Budget Process in Detail

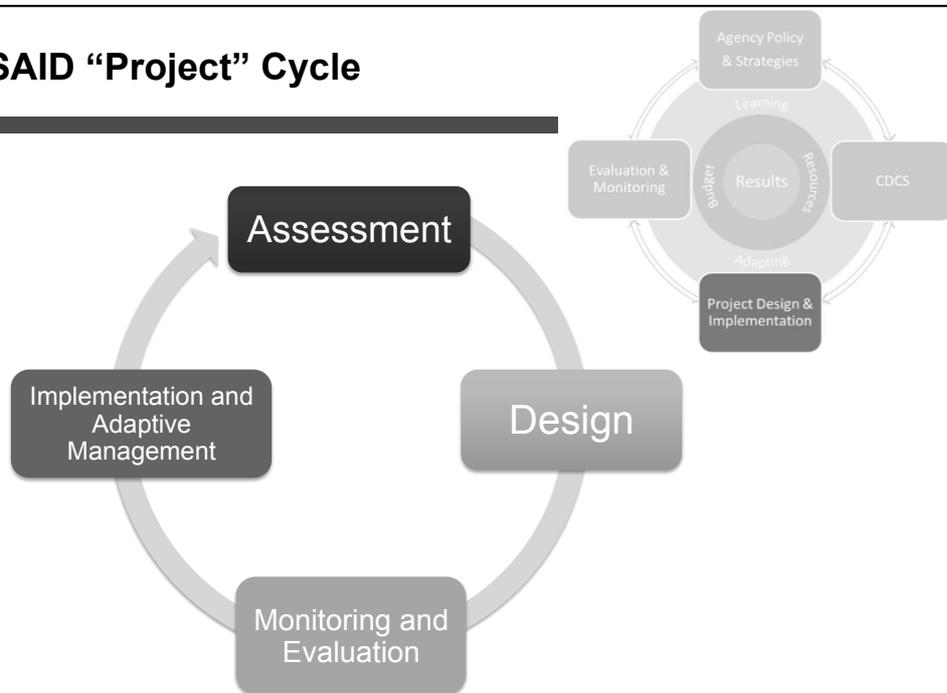


## ADS 201, 204 and CDCS

Guidance for CDCS:

- Bureau, Mission and Office-level level planning
- Preparing a Development Objective and Results Framework
- Required analyses (118/119, Gender, Sustainability)
- What the CDCS should contain

## USAID “Project” Cycle



## Summary

Strategic ENRM planning:

- guides program development
- outlines the development vision, goals and objectives
- links environment to other sectors
- incorporates key principles

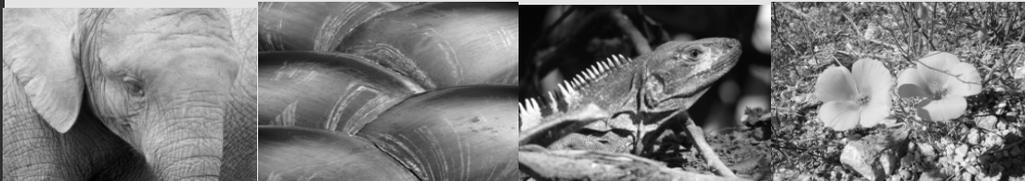






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## **Biodiversity & Forestry: Their relevance to development and USAID approaches**



### **Outline**

- Biodiversity and Forestry: the Basics
- The Biodiversity Policy
- Conservation in Priority Places
- Conservation and Development Intersections
- USAID approaches
- Next steps

## Biodiversity is

- The variety of life on earth
- Organized into trophic levels
- More than the sum of its parts
- Dynamic and changing
- Driven by non-linear change
- Limited by ecological thresholds
- Susceptible to irreversible changes



Photo credits: J. Ervin

## Tropical Forest and Biodiversity Analyses (FAA 118 &119)

All USAID Missions are required to conduct a periodic country analysis of the conservation and sustainable use of tropical forests and biological diversity. Specifically, The Foreign Assistance Act requires that all country plans include:

- an analysis of the actions necessary in that country to achieve conservation and sustainable management of tropical forests (FAA 118) and conserve biological diversity (FAA 119); and
- the extent to which current or proposed USAID actions meet those needs

**If your Mission is planning a CDACS – do these now**

## How USAID programs biodiversity funds

1. The program must have an explicit biodiversity objective
2. Activities must be identified based on an analysis of threats to biodiversity
3. The program must monitor associated indicators for biodiversity conservation
4. Site-based programs must have the intent to positively impact biodiversity in biologically significant areas

## Sustainable forest management in USAID

- Forestry has played a continuous but varied and evolving role within USAID
- In the past decade, USAID forestry efforts mainly focused on sustainable natural forests where the Agency also supports biodiversity conservation
- The focus on forests in climate change mitigation and adaptation is relatively recent

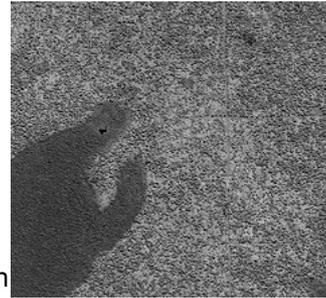


## Emerging issues in forestry

### Industrial scale logging in FY12 Appropriations bill

*...“That funds appropriated under title III of this Act for tropical forest programs shall be used for purposes including to implement and enforce section 8204 of Public Law 110-246, shall not be used to support or promote the expansion of industrial scale logging into primary tropical forests...”*

**The Tropical Forest Alliance 2020 (TFA 2020)** is a public-private partnership with the goal of reducing the tropical deforestation associated with key global commodities, such as soy, beef, palm oil, and pulp and paper. The Alliance was born out of discussions between the US Government and the Consumer Goods Forum before, and during, the Rio + 20 Conference.



Logging in Congo - NASA

## Funding

	FY10 Millions	FY11 (control) Millions	FY12 (Est) Millions
Biodiversity	\$205	\$184	\$184
Sustainable Landscapes	\$74.5	\$159	\$136.5

## Flavor of money

### Biodiversity

1. Use of BD or other funds
2. Explicit BD objective
3. Use threats analysis
4. Targeted to areas of biological significance
5. Monitor BD

### Sustainable Landscapes

1. Use of SL funds
2. Explicit GCC objective
3. Use of GCC indicator (CO<sub>2</sub>)
4. Addresses priorities
  - GCC national strategic plans
  - Emissions inventories
  - Carbon market readiness
  - Targeted field demonstration
5. Outcome- reduce GHG emissions and enhance carbon sequestration

## Biodiversity funded forestry program

### Biodiversity Conserved

1. Ha under improved mgt in biological significant area
2. Reduced level of threat to BD

Improved capacity for forest mgt

Improved mgt and conservation of key species

Increased income from forest products

## Sustainable landscapes funded forestry program

Deforestation and Forest Degradation  
Reduced

1. Ha under improved mgt
2. Reduced level of GHG emissions

Improved  
capacity for  
forest mgt

Carbon financing  
linked from local  
to national levels

Increased  
income from  
forest products

## BD & Sustainable landscapes funded forestry program

Biodiversity Conserved through Reduced Deforestation and Forest  
Degradation

1. Ha under improved mgt in areas of biological significance
2. Reduced level of GHG emissions

IR1. Improved mgt of  
forests in biologically  
significant areas

IR 2. Reduced  
deforestation

Improved  
capacity for  
forest mgt

Increased  
income from  
forest products

Carbon  
financing  
linked from  
national to  
local level

Improved  
MRV system  
for carbon  
reporting



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## [Draft] Biodiversity Policy



### Why a Biodiversity Policy?

1. Shape strategic use of resources and improve planning
2. Help balance dual mandate of conserving biodiversity as a global public good and sustainable use for development
3. Accrue and utilize evidence that integrating biodiversity can improve the impact & sustainability of development outcomes
4. Create conditions for integration of biodiversity/development
5. Consolidate and mobilize years of USAID experience and leadership to support achieving global conservation results

## **Biodiversity Policy Goal**

*Advance biodiversity conservation as an essential component for human development*

### **Outcomes**

- Biodiversity conserved in priority places
- Improved development outcomes from integrating biodiversity and development
- Enhanced global biodiversity conservation practice through USAID leadership

## **Outcomes**

**Outcome 1:** Biodiversity conserved in priority places

### **Results**

- Priority threats to biodiversity reduced
- Enabling conditions in place for sustained biodiversity conservation

## Outcomes

**Outcome 2:** Improved development outcomes from integrating biodiversity and development

### Results

- Strengthen evidence base for biodiversity conservation and development integration
- Improved systems, processes and capability within USAID to effectively integrate biodiversity and development

## Outcomes

**Outcome 3:** Enhanced global biodiversity conservation practice through USAID leadership

### Results

- Key policy influenced in support of biodiversity conservation
- Promote learning to improve biodiversity conservation and development outcomes

## Key changes resulting from the Policy

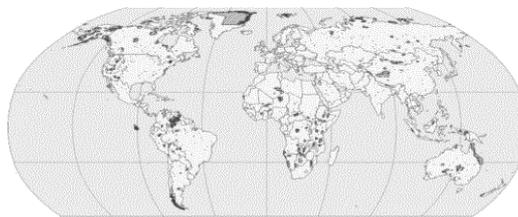
- Selective, focused and strategic use of resources
- Geographic prioritization and focus of portfolio
- Adjustments to existing policy, analytical, and programmatic tools/processes in support of integration
- Emphasis on knowledge management, evaluation, research and international policy engagement
- Limited Agency Biodiversity Code revisions

## Outcome 1: Conserving Priority Places

### Conservation through protected areas

#### Protected areas

- Are an important strategies for conserving biodiversity
- Are defined as areas of land or water managed through legal means to conserve biodiversity
- Cover nearly 14% of the world (1% of marine) in over 130,000 areas;
- Now have a global targets for 17% terrestrial and 10% marine by 2020



Map of the world's protected areas, WCMC

## Protected Areas are diverse



Private game reserve  
in S. Africa



Indigenous community  
conserved area



World Heritage Site  
in Ecuador



National Park in  
Bhutan



Privately owned  
forest



Provincial/State  
park



World's largest marine  
protected area



Community reserve

## Importance of diverse landscape-level approaches

- Protected areas are necessary but not sufficient
- No single approach to conservation is sufficient at a landscape scale
- Planners need to choose from a variety of complementary approaches



Diverse landscape-level approaches to biodiversity conservation, Photo credit: J. Ervin

## Importance of landscape-level connectivity

- Connectivity is degree to which natural processes, such as migration, can occur at large scales.
- A key practice to ensure connectivity is to create corridors between conserved areas.
- These corridors allow species to move and utilize greater portions of the landscape.
- Corridors are critically important in degraded and fragmented landscapes.
- Corridors are created through protected areas, sustainable use areas, integrating key sectors and other means.
- Climate change creates increased need and new challenges to connectivity.



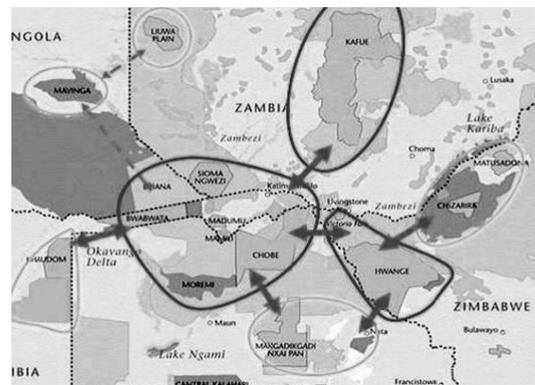
Nairobi National Park, Photo: J. Ervin



Bhutan's protected area network, WWF

## Example of landscape-level connectivity

- The Kavango-Zambezi Transfrontier Conservation Area spans 5 countries in Southern Africa.
- Area includes a suite of different types of protected areas, including national parks and community conserved areas.
- Focus on maintaining connectivity to enable maintaining migration processes.
- Connectivity is particularly important under climate change scenarios.



Kavango-Zambezi Transfrontier Conservation Area, Conservation International

## Outcome 2: Improved development outcomes

### Biodiversity and Good Governance



### Biodiversity and Rural Development



### Biodiversity and Health



### Biodiversity and Food Security

### Climate Adaptation and Mitigation



Photos: UN Library and J.Ervin

## Conservation through sustainable use

“Sustainable use means the use of the components of biological diversity in a way and at a rate that does not lead to the long-term decline of biological diversity, thereby maintaining its potential to meet the needs and aspirations of present and future generations.” *Convention on Biological Diversity*

- These elements of biodiversity and their lands and waters may be owned and managed by public, private and community groups but **often linked to Community Based Natural Resource Management (CBNRM)**.
- Devolution of land tenure/property rights is key to increasing benefits to the local level.
- The main focus may be production, but within sustainable levels, and with an eye to conservation of targeted resource.

## Sustainable use: standards and certification

- **Forestry**
  - Forests certified under the Forest Stewardship Council's program
- **Fisheries**
  - Commercial fish stocks certified by the Marine Stewardship Council
- **Grasslands**
  - Wildlife Friendly Enterprise (WFE) certification
- **Agriculture**
  - Agricultural lands certified as organic under IFOAM standards
- **Medicinal plants**
  - Areas where medicinal plants are harvested using "Fair Wild" standards



Wood certified under the Forest Stewardship Council



Certified organic farm

## Sustainable Use Case Studies

### Nepal Forest User Groups

- 2004 - 35,227 small scale producers ~ US \$1,480,000 in direct economic benefit
- National Level FECOFUN (now about 8.5 million people) awarded Forest Stewardship Council Certification for Sustainable Forest Management



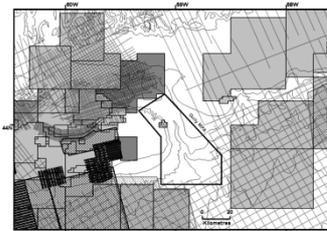
### Guatemala Community Tourism Alliance

- Turkey hunting \$34,000/ 5yr

- Full compliance management master-plans of community forest concessions and national legislation
- Low-impact trails - no big trees cut, forest canopy is not opened
- All hunting clients hold CONAP sport hunting licenses and CITES export permits
- Annual inventories and annual operation plans for each harvest submitted to CONAP.

## Conservation through sectoral integration

- Sectoral coordination groups in which all sectors that might be stakeholders in the issues are able to participate. **Improves governance!**
- Examples of members of a multi-sectoral working group include:
  - Energy sectors
  - Wildlife protection agencies
  - Agriculture agencies
  - Landuse planning agencies
  - Health agencies
  - Business sectors
  - Environmental protection



"The Gully" marine protected area, surrounded by hydrocarbon licenses



A group of Eastern European planners. Photo: J. Ervin

## Outcome 3: Enhanced biodiversity practice

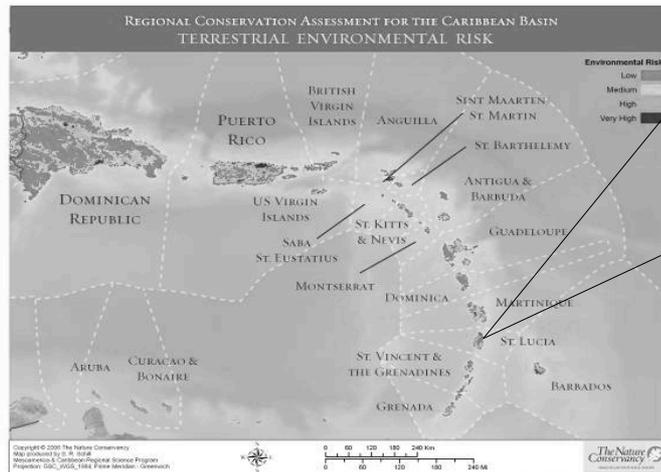
### Importance of programming for threats to biodiversity

- Threats include any [human] activities that impair the health and viability of biodiversity
- There are a variety of threats, including, for example:
  - Habitat loss and destruction
  - Over-harvesting
  - Invasive alien species
  - Alteration of natural processes
  - Pollution
- Direct threats are tied to **stressors** (e.g., climate change) and enabling conditions (e.g. markets and policies)

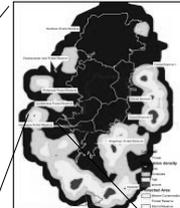


Variety of threats to biodiversity

## Importance of scale in understanding threats



Threats to biodiversity at a regional level



Threats to biodiversity at a national level



Threats at site level

## Importance of an enabling policy environment

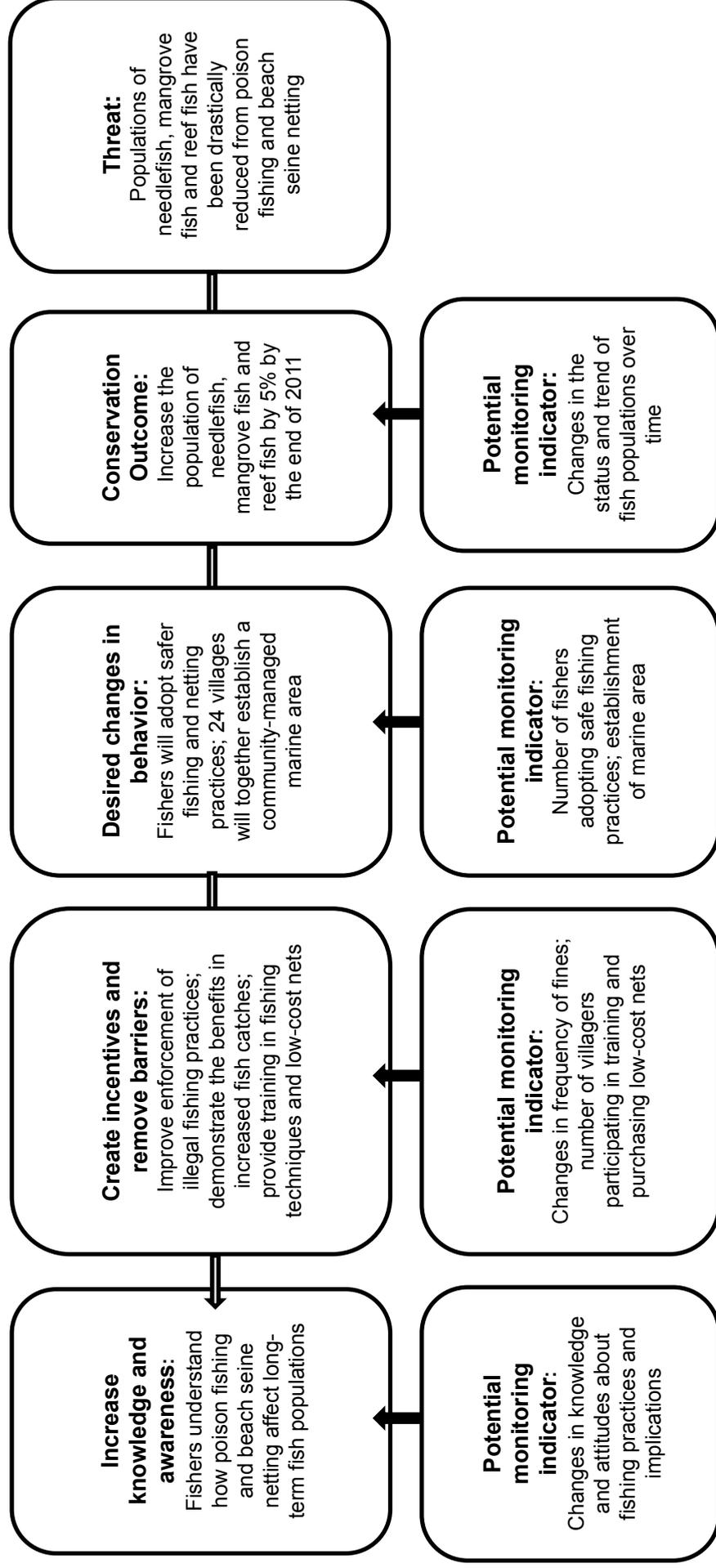
- An enabling policy environment is defined as an environment where the various policy actors, agencies and regulations all enable targeted action
- Having an enabling environment is critical to ensuring the long-term success of targeted policy change
  - Effective leadership
  - Clearly aligned policies
  - Appropriate rules, regulations, policies
  - Appropriate incentives
  - Adequate financing
  - Strong safeguards



Result of land-use planning regulations, Photo, TNC

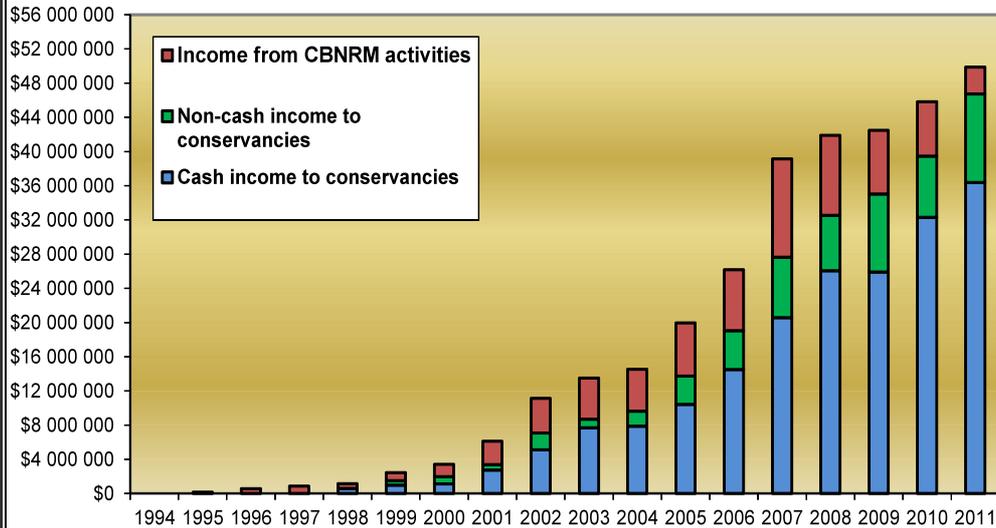
# Importance of a clear Theory Of Change

**Overall Goal:** Improve fish populations and food security in the Southwest coast of Madagascar



**The right enabling environment *enables* positive results**

**Namibia Conservancies and CBNRM Benefits: 1994-2011**



**Namibia Conservancy game population trends**



**Elephant**

- 1995: 14,000
- 2012: 20,000



**Black Rhino**

- 1980: Near extinct
- 2012: Largest free-roaming population in world

## Next steps

- Compiling and disseminating the evidence:
  - Biodiversity research agenda
  - Biodiversity Handbook—compendium of approaches and best practices
- Wildlife Tech Challenge
- Evaluation of SCAPES and other programs
- Forestry research and action on deforestation



Chameleon in Madagascar, a country that recently had a debt-for-nature swap, Photo: J. Ervin





# APPLIED ENRM PROGRAMMING COURSE

# DAILY RESOURCES

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# ENRM PROGRAMMING PRINCIPLES

The value of these principles is not unique to ENRM programming. In an ideal world, programming in all sectors would be:

- Integrated strategically to address key factors in a problem or solution;
- Employing a systems approach;
- Empowering for host country stakeholders;
- Understanding and starting at scale (rather than scaling up from pilots);
- Adaptive;
- Sustainable over the four key dimensions of sustainability; and
- Long-term or at least considering long term impacts.

ENRM is about complex, integrated, dynamic natural systems that humans are able to exploit and alter, but ultimately not control. Ecosystems are integrated across landscapes, and positive change comes slowly. Their sustainability is threatened across the globe. While changes in behavior up and down institutional and social categories are required, decisions made by the members of empowered local communities dependent upon natural resources are necessary to stem degradation and improved management.

#### FOUR KEY DIMENSIONS OF SUSTAINABILITY (FROM ENRM 101)

- **Environmental**
- **Economic**
- **Social**
- **Governance**

We'll expand on each of these programming principles:

## INTEGRATED

Take an integrated, cross-sectoral systems approach that considers environmental, economic, governance, and social interactions. Unlike a stove-piped, sectorally-focused approach, a systems approach takes a holistic view of a problem or situation and allows for interactions to be mapped. An integrated approach does not mean that you have to do everything all the time. Work with issues, assets and stakeholders to focus on **drivers** and identify **leverage points** of key development problems (e.g. poverty, environmental degradation/biodiversity loss). In addition to crossing sectors, integrated systems approaches look across spatial and institutional levels.

A nested landscape systems approach seeks to understand the interactions among different land uses and management systems within the broader ecological, governance, and economic context.

## **SYSTEMS APPROACH**

The bottom line is that no development problem is simple. Problems and solutions can seem obvious but they virtually never are. Problems can't be addressed by a one-size-fits-all solution—it takes work to trace out the connections among factors that shaped a given problem and this up front work has to be done before solutions are devised. Seeing a problem as part of a system is the first step.

In ENRM programs we take a systems approach because it presents the big picture and helps put individual pieces in perspective. It helps manage for the long term, and is useful in identifying multiple complementary leverage points for interventions. Trade-offs can be recognized, and evaluated in the larger context when we see the whole dynamic picture. A systems approach also helps identify all the potential stakeholders relevant to an issue.

## **EMPOWERING**

To be sustainable, development interventions must build local capacity, ownership and social capital. To effectively foster meaningful inclusion of stakeholders at all levels, create a joint vision that validates their roles in the process, and recognizes and supports their potential for undertaking constructive action. Involving stakeholders in the decision-making processes has a greater chance of enduring success and building local capacity than an approach in which stakeholders are asked to jump on a bandwagon designed by USAID or its contractors. A participatory approach also supports social networking and facilitates collective action. When a strategic planning process taps into the collaborative energy of stakeholders, it can significantly scale up impact and achieve positive and lasting change.

## **AT SCALE**

Pilot projects rarely reach the scale necessary to achieve enduring national change. While lessons can be learned from pilot activities, experience shows that to reach scale it is necessary to start at the scale you want to achieve. If you need to reform vocational training, work with the Ministry and the school system, not one school. To improve water quality, the watershed scale has to be considered. Work with the forest, not a tree, or better yet, with the policy framework that sets conditions for forest management.

The systems ENRM programs are working with often exist at geographic and temporal scales beyond those of the program. Watersheds and water bodies cross national boundaries. Human and animal communities migrate. Species take decades to repopulate; economies take decades to rebound. Climate change is a global phenomenon. For USAID ENRM programming to add value, these questions of scale must be recognized, and managed. Missions address these challenges throughout the programming cycle: assessments work to identify drivers of environmental change, and program design determines the leverage points within Missions' manageable interests. The design of programs and activities should target the most effective combination of geographic and temporal scales to work at, while monitoring and evaluation efforts draw upon a wide range of sources—from remote sensing and indigenous knowledge—to collect data on indicators that transcend these scales.

## **ADAPTIVE**

The ENRM sector requires us to be adaptive at every phase of the programming cycle, not only because ENRM programs take place in a constantly changing context, but because they are necessarily implemented with incomplete knowledge. An adaptive approach enables us to manage this change and these gaps in knowledge productively. Rather than doggedly plowing forward, we revise programs to take into account new circumstances, and make programs stronger based on new information. An adaptive approach means identifying limits in information at the assessment phase, building that recognition into monitoring and evaluation systems, and taking a flexible approach to implementation so that higher level results are not sacrificed to the achievement of short-term outcomes.

## **SUSTAINABLE**

Achieving sustainability requires understanding the intersections between economic prosperity, democratic governance, environmental quality and social equity. It means managing natural, economic, and social capital for the welfare of the current and future generations. Sustained benefits help a community, country or region move by reducing stress on the population, conserving the environment, and increasing productivity over the long term.

## **LONG TERM**

Plan for the long term when changing people's relationship to their environment. Policy change takes a long time, and solutions are not always known at the outset, nor are they static through a program's life. When trying to change complex integrated systems, quick wins are rare. Significant, lasting change in ENRM often requires policy change – working with a government to research and develop new policies and regulation, then undergo the institutional changes to promulgate and enforce the changes. In dynamic, integrated systems with multiple actors (of different species!) with different motivations, solutions are usually not known at the outset and not always stable once achieved. Not only do we need to take these long timeframes into account when determining the length of ENRM programs, they need to be incorporated into design. Planning for the long term highlights the importance of collaboration with other partners, working with donors with timeframes different from USAID's, and building the capacity of the host country institutions who will remain after the program has terminated





# GLOBAL CLIMATE CHANGE AND CLEAN ENERGY APPROPRIATIONS

## BACKGROUND ON GCC APPROPRIATIONS LEVELS

- The “Global Climate Change (GCC) and Clean Energy (CE) Earmark” has existed for many years at USAID. This earmark is guidance from Congress, which has directed USAID’s climate change and clean energy activities on an annual basis since about 1990. Since 1997, GCC has been labeled as a Presidential Initiative.
- In FY08, the GCC Earmark was a hard earmark, which included a directive outlining CE funding level and activities. The FY08 Earmark for GCC equaled \$195 million, of which \$125 million had to be used for clean energy.
- In FY09, Congress did not include a specific earmark for global climate change, but did include one for clean energy. The FY09 Earmark for CE equaled \$100 million, with the expressed intent of reducing global warming.
- In FY10, Congress, responding to the President’s request for additional climate change funding, passed the FY10 Appropriations bill, which made \$1.2 billion *available* for programs and activities to: (1) reduce, mitigate, and sequester greenhouse gases that contribute to global climate change; (2) support climate change adaptation; (3) protect forests and other critical landscapes; and (4) protect biodiversity. There was no specific earmark for climate change or clean energy, but there were earmarks for microenterprise and biodiversity, among others in the bill.
- The FY11 Appropriation was a full-year Continuing Resolution, rather than a new appropriation, and therefore did not include the same level of detail as a typical appropriation. Overall, much of the language in FY11 was amended to “should” from the FY10 language of “shall,” making the appropriation less legally binding. *Shall* is often used with the meaning of obligation and *should* with the meaning of desire or intention.
- Global Climate Change is still considered a Presidential Initiative and an Administration priority, and therefore, despite not being an earmark or directive in FY11 and FY12, GCC is still as important at USAID.

## FY12 Appropriation

The FY12 Appropriation was signed into law on December 23, 2011 as the Consolidated Appropriations Act, 2012 (PL 112-74) to fund USAID for FY12. USAID’s total climate change funding for FY12, based on initial 632(a) levels is \$348 million, allocated under three pillars:

Adaptation- \$142 million

Clean Energy- \$91.5 million

## Definitions and Guidance

EGAT's GCC Team has compiled the GCC-related excerpts of updated F guidance for FY12 from multiple sources into one [Consolidated GCC Guidance document](#). The guidance was developed collaboratively by F, State/OES, and USAID's BRM, PPL, EGAT and Regional Bureau climate change specialists – it all comes directly from official F guidance.

The guidance is especially important as we prepare for the FY12 USG Fast Start Finance Report. USAID's contribution is crucial to the success of this report, as our programs comprise the bulk of the report's substance. With the international spotlight on U.S. climate finance, the report provides highly demanded information to the press, NGOs, foreign government officials, and the general public on how the U.S. is fulfilling its pledge to provide its share of \$30 billion in Fast Start climate financing between FY10 and FY12 pledged at COP-15 in Copenhagen in December 2009.

As in FY11, the FY12 Fast Start report will be prepared using activity information that you provide in your FY12 OP Implementing Mechanism narratives, as part of the streamlining effort and to minimize future ad hoc data calls. Please review the consolidated FY12 guidance below and follow the OP implementing mechanism narrative guidelines, along with the "[Style Tips](#)," to facilitate your Washington colleagues' efforts to compile the report and ensure the most complete and informative final product possible.

The supplemental guidance will answer many FY12 GCC related questions and provide information on pillar definitions, useful tips, resources and tools. It can be downloaded on the GCC Intranet website:

[http://inside.usaid.gov/EGAT/offices/enviro\\_sci/climate/publications/upload/FY12\\_OP\\_Guidance\\_and\\_Annex-GCC\\_Excerpts.pdf](http://inside.usaid.gov/EGAT/offices/enviro_sci/climate/publications/upload/FY12_OP_Guidance_and_Annex-GCC_Excerpts.pdf)

**Adaptation** - Adaptation investments must have the explicit objective of assisting developing countries to reduce the vulnerability of human or natural systems to the impacts of climate change and climate-related risks. Activities that support adaptation programs should be built upon climate vulnerability and adaptation analyses. In some communities and countries, useful analyses may exist; where they do not, eligible activities also include conducting and building capacity for vulnerability and adaptation analyses.

Requirements: The goal of adaptation programming is to reduce the vulnerability of people, places, and livelihoods to climate change by integrating effective adaptive strategies into key development sectors, including agriculture and food security, infrastructure, health, water, disaster preparedness, and conflict prevention. A GCC adaptation program, whether funded with direct or indirect funds, must meet three requirements. Within each requirement, standards for direct and indirect GCC funding may differ.

**Clean Energy** - Clean energy programs and activities work to address global climate change by promoting the sustainable use of renewable energy technologies, energy

efficient end-use technologies, carbon sequestration, and carbon accounting. A primary objective of these programs must be to reduce, mitigate, and/or sequester emissions of greenhouse gases. In almost all situations, expenditures on nuclear power and fossil fuels (gas, coal and oil) for production, direct use, or electricity generation do not qualify as direct GCC clean energy activities. There may be a very limited number of exceptional cases of fossil fuel generation that can be classified as direct clean energy due to exceptional greenhouse gas reduction results. The expenditures that would qualify are limited to those associated with electricity generation and gas transmission infrastructure using gas that would otherwise be flared or vented.

Requirements: The goal is to enable countries to accelerate their transition to climate resilient, low emission, sustainable economic development through investments in clean, low- emission energy systems in energy, industry, transportation, and buildings. OUs must identify the specific Clean Energy sectors of Congressional interest below within their Implementing Mechanism narratives where applicable. A GCC clean energy program, whether funded with direct or indirect funds, must meet four required criteria. Within each requirement, standards for direct and indirect GCC funding may differ.

**Sustainable Landscapes-** Sustainable landscapes investments are meant to contribute to moving a country into a low greenhouse gas emissions, high carbon sequestration development pathway in the land use sector. This means that our investments should be strategic and transformative and as far as possible contribute to national strategic processes addressing climate change in our partner countries. Many of our partner countries are engaged with the World Bank Forest Carbon Partnership Facility, UN-REDD, or other similar bilateral or national initiatives. Our investments should give priority to contributing to those efforts where they exist and where it would be useful. Where national processes do not exist, our investments should be laying the groundwork for transformation of forest and forest-related sectors to low emissions pathways. Key aspects of early action will include institutional and human capacity building, as well as creating enabling environments through policy actions.

Requirements: The goal of sustainable landscapes programming in FY 2012 is to slow, halt and reverse emissions from deforestation as outlined in the U.S. Reducing Emissions from Deforestation and Degradation of Forests (REDD+) strategy. Sustainable landscapes programs, whether funded with direct or indirect funds, must meet five requirements. Within each requirement, standards for direct and indirect GCC funding may differ. Note that these requirements reflect the full scope and strategic focus of the U.S. REDD+ Strategy.

## Reporting

For the purposes of the OP, GCC is not a Key Issue in itself; but rather, three Sub-Key Issues (Adaptation, Clean Energy, and Sustainable Landscapes) that are treated as a Key Issues package.

Global Climate Change (GCC) data supports the Presidential Initiative and provides the required information for the FY 2012 U.S. Fast Start Climate Financing Report (the FY 2011 report is at: <http://www.state.gov/faststartfinance>), and Congressional Clean Energy reports.

Fully reporting all applicable funding and providing concise, non-technical, and up-to-date program descriptions in the Implementing Mechanisms (see Implementing Mechanism guidance) and Key Issue narratives will avoid future ad hoc data calls for these priority reports. Implementing Mechanism narratives are required for all GCC funding.

OUs receiving GCC funding have control levels for Direct (Initiative) GCC funding under the Sub-Key Issues (Adaptation, Clean Energy, and Sustainable Landscapes). Directly-funded programs must have an explicit primary GCC objective. Indirectly funded programming (Co-benefits) can attribute funds from any other non-GCC programs (Feed the Future, Biodiversity, Water, etc.) to a GCC Sub-Key Issue as appropriate. Indirect attributed programs must also have a GCC or a reduced emissions goal or objective, though it may not be the primary objective of the program. **Any program funds that can reasonably qualify for indirect attribution must be attributed to GCC.**

GCC programs should address the Administration's goal of helping developing countries achieve climate-resilient and low emissions development by supporting one or more of the priority types of activities. USAID OUs are encouraged to consult USAID's Climate Change and Development strategy.

## Funding Accounts

Funds allocated or otherwise attributed to climate change and clean energy can come from all USAID accounts (e.g. ESF, DA, etc).

## USAID Technical Contacts

If you have any questions or require assistance, please contact the appropriate persons listed below:

### Global Climate Change

[climatechange@usaid.gov](mailto:climatechange@usaid.gov)

### Clean Energy

Jeff Haeni  
[jhaeni@usaid.gov](mailto:jhaeni@usaid.gov)

or

Kristin Madler  
[kmadler@usaid.gov](mailto:kmadler@usaid.gov)

*For more GCC information/guidance, visit:*

[http://inside.usaid.gov/EGAT/offices/enviro\\_sci/climate/resources/programming\\_funds.cfm](http://inside.usaid.gov/EGAT/offices/enviro_sci/climate/resources/programming_funds.cfm)

*Last updated 3/26/12*



# BIODIVERSITY EARMARK FACT SHEET

## EARMARK LEVELS

- In 1987 the Agency programmed \$5 million for biodiversity. Since then there has been a steady increase in funding levels with, first, a directive, then a soft earmark, and eventually a hard earmark. In FY12 it is a soft earmark once again.
- The funding level of the earmark set by Congress in FY07 was \$165.5 million, by FY10 it was \$205 million. For FY12 the soft earmark is set at \$200 million.

## Earmark Definition

The Agency's "Biodiversity Code" guides the Agency in determining what programs are included in the accounting toward the biodiversity earmark. This code was developed through discussions and negotiations between USAID experts and the U.S. Congress. There is a big difference between compliance with the biodiversity code and best practice in the field of biodiversity conservation. The biodiversity code is the minimum standard to meet in order to attribute funds/programs to the biodiversity earmark. Just meeting the standards of the code does not ensure that activities employ the best practices in the sector.

The code is composed of four criteria, all of which must be met for activities and funds to be attributed to the biodiversity earmark:

1. The program must have an explicit biodiversity objective; it is not enough to have biodiversity conservation result as a positive externality from another program. For example, if there happen to be positive benefits to biodiversity from a program but the program does not have an explicit objective to conserve biodiversity, the code criteria are not met.
2. Activities must be identified based on an analysis of threats to biodiversity. For example, a threats analysis may identify illegal and unsustainable logging as an important threat to a local forest ecosystem, or artisanal gold mining as an important threat to critical freshwater habitat and endangered aquatic species. Program interventions should then be designed to address the identified threats to these biologically significant ecosystems/areas.
3. The program must monitor associated indicators for biodiversity conservation. These could be anything from activity-level impact indicators to proxy indicators measuring threat reduction to the standard indicators under the biodiversity/NRM element.
4. Site-based programs must have the intent to positively affect biodiversity in biologically significant areas. The intervention must be designed to address threats and have a positive impact on areas of high biodiversity or biological significance. The activity itself

does not have to be implemented in an area of high biodiversity if it has the intent to affect areas of biological significance—biodiversity policy programs for instance, or activities in degraded park buffer zones that intend to take pressure off of park ecosystems. An area of biological significance is an area that has been deemed a biodiversity priority at the international, regional, national, or local level. Documentation should be provided regarding the biological significance of the target area. It is not enough to say that anywhere in a country is biologically significant because there are areas of every country that are of higher biodiversity value.

## **Funding Accounts**

As of FY09 funds that support or may be attributed to this earmark may come from all funding accounts (including DA, ESP, ACI, etc.) with the following stipulations:

- The biodiversity earmark in the past has been a “hard earmark,” (“shall”) which means that the Agency is legally obligated through annual legislation to meet set levels for investment in biodiversity conservation worldwide. As of FY12 the earmark is now a “soft earmark” (“should”) set at \$200 million.
- The FY12 legislation specified that ‘all spigots’ of funding be used to meet the earmark—in other words, all funding accounts can count towards the earmark.
- Only New Obligating Authority (NOA) funds for the fiscal year on which we are reporting should be attributed and reported on for that year, as opposed to the level of the funds spent by partners/contractors during that fiscal year, which could be a mix of past years’ funds.

Tab Title: Day 2





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## APPLIED ENRM PROGRAMMING COURSE DAY TWO AGENDA

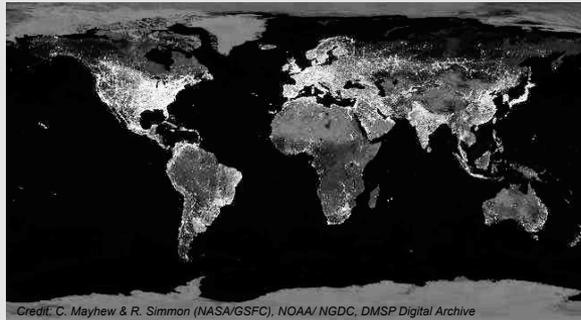
Day 2	
<b>Technical Area</b> <b>Discussions and Programming Phases</b> <ul style="list-style-type: none"><li>• Freshwater, Coastal and Marine Resources Management</li><li>• Food Security and Sustainable Agriculture</li><li>• Assessment</li></ul>	<b>8:30 Start of the Day</b>
	<b>Freshwater, Coastal and Marine Resources Management</b> Presentation, discussion and activities
	<b>Food Security and Sustainable Agriculture</b> Presentation, discussion and activities
	<b>Lunch</b>
	<b>Assessment</b> Presentation, discussion and simulation activity
	<b>Journal and Feedback</b>
	<b>End of the Day</b>





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## From Ridge to Reef: Freshwater, Coastal and Marine Resources Management

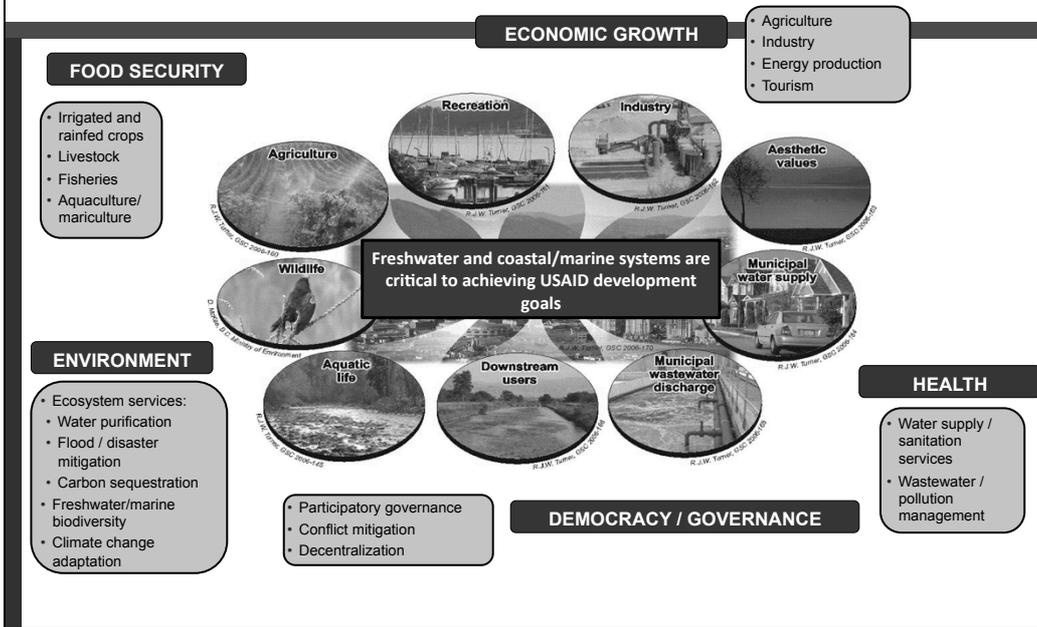


Credit: C. Mayhew & R. Simmon (NASA/GSFC), NOAA/NGDC, DMSP Digital Archive

### Presentation outline

- Linkages of Freshwater/Coastal Issues to USAID Development Goals
- Overview of Challenges and Approaches
- USAID Legal/Institutional Context for Water/Coastal/Marine Programming
- Thailand case study (video)

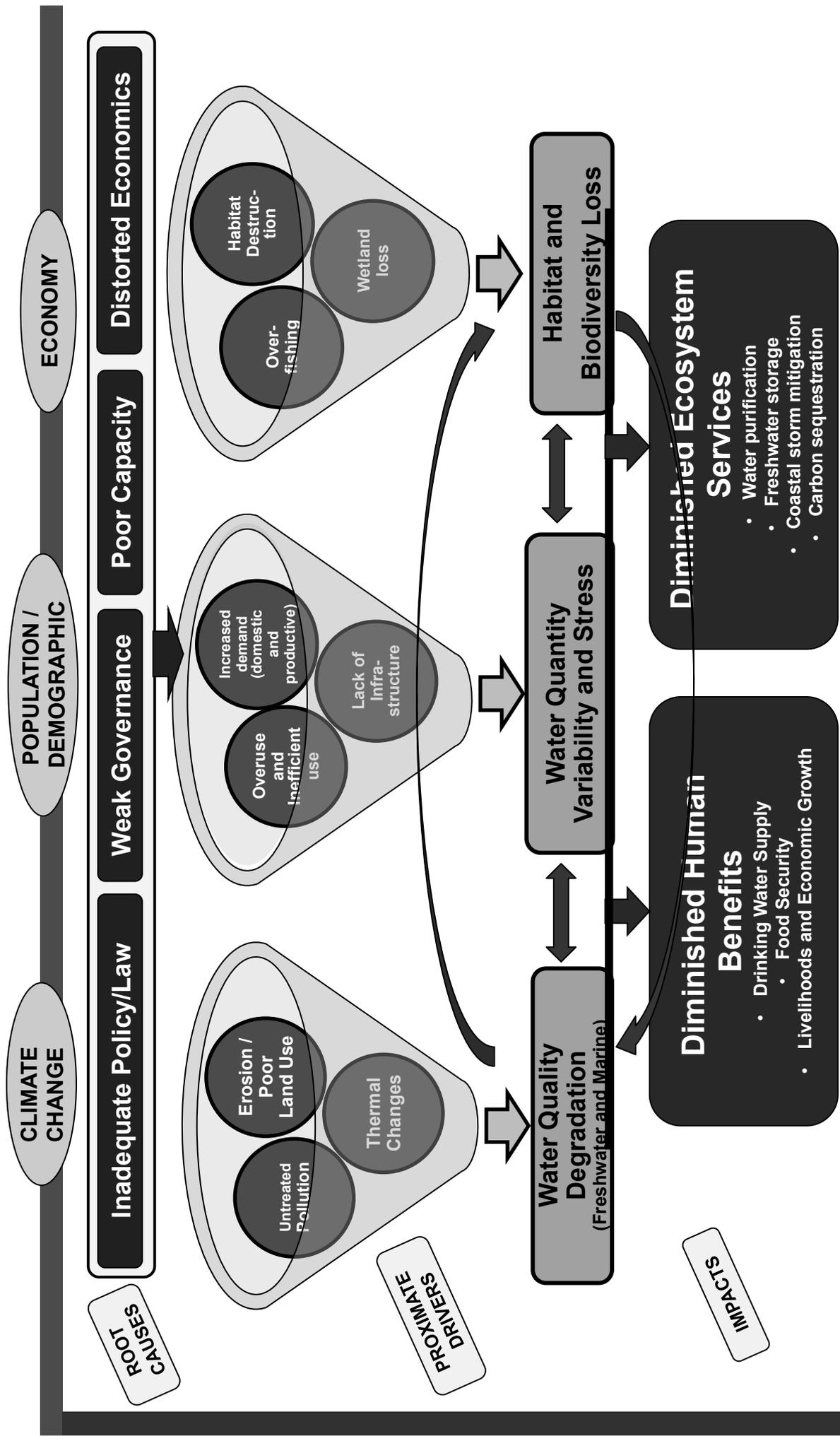
## Linkages to USAID Development Goals



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## Freshwater and Coastal Challenges and Approaches

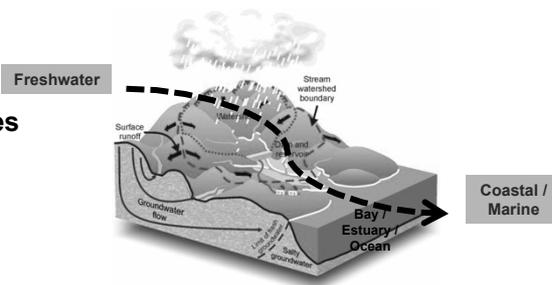
# Causal analysis of challenges



## The strategic response

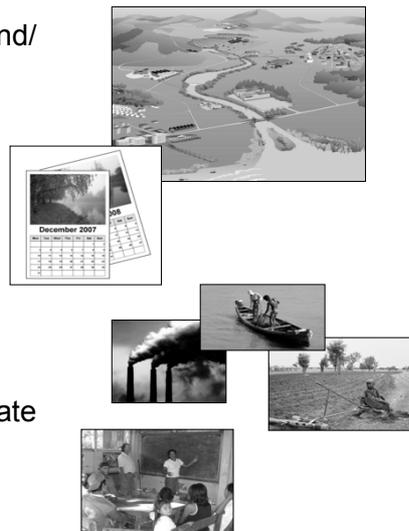
**Complex coastal/marine resources challenges demand holistic management responses:**

- **Integrated Water Resources Management (IWRM)**
- **Integrated Coastal Management (ICM)**



## What's integrated about IWRM / ICM?

- **Geographic Scale** (basin/ecosystem, land/water, upstream/downstream, surface/groundwater, freshwater/coastal/marine)
- **Time** (long-term sustainability, intergenerational equity)
- **Resource Use Sectors** (agriculture, domestic, industry, tourism, fisheries, ecosystems)
- **Society / Institutions** (government, private sector, NGOs/civil society)



## Good governance

- Transparent **decision-making**
- Multi-stakeholder **participation**
- **Gender** inclusive programming
- **Sound science** and information management



- **Decentralized, “nested”** governance
- Effective **policy and legal** frameworks
- Strong **institutions**

## Environmental sustainability



- Impacts considered **upstream and downstream**
- **Resiliency** in planning resource use
- Balanced **supply side and demand side** approaches
- Recognition of **ecosystems** as a legitimate ‘user’

## Economic viability

- Water is an **economic good**
- **Users** and **polluters** must pay
- Sustainable financing for:
  - **infrastructure** -- capital & operations/mainten  
-- and
  - **water resources / watershed / coastal reso**  
**management**
- Water/coastal sustainability considered in **val**  
**chain** analysis and planning
- Flexible models of **public-private partnership**



## Using IWRM / ICM approaches “smartly”



- Applying IWRM / ICM does not imply  
“**doing everything**”!
- Water used as an **integrating force**  
across USAID portfolio --- green and  
brown, upstream and downstream, land  
and water, freshwater and coastal, health  
and environment, food security and  
livelihoods, etc.
- Seen as a **lens and a perspective**  
applied even to activities within a single  
development sector



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## USAID Legal and Institutional Context for Water/Coastal/Marine Programming

**The bad news.....**



*It's (a bit) complicated!!!*

**The good news.....**



*Opportunities for integrated water and coastal programming do still exist!!!*

## The bottom line

- High level **political support** exists for holistic and integrated approaches to water and coastal/marine management

### **BUT....**

- Budgetary support less clear – water/coastal/ marine are ***not*** “Initiatives”
- Missions need to be creative -- successful integrated water/coastal or marine programming in USAID requires **mixing and matching** sources of funding and programmatic objectives
- Linkages to **Initiatives** are key!!! (GHI, FTF, GCC)



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## The USAID Water and Development Strategy

## **Major Goal and Objectives**

Goal: To save lives and advance development through improvements in WASH, and through sound management and use of water for food security.

SO1: Improve health outcomes through the provision of sustainable WASH

SO2: Manage water in agriculture sustainably and more productively to enhance food security

## **SO1: WASH**

IR1: Increase first time access to, and improve the quality of, sustainable water supply services

IR2: Increase first time sustainable access to improved sanitation

IR3: Increase adoption of key hygiene behaviors

### Measures of success:

- 10 million persons with improved water supply
- 6 million persons with improved sanitation
- Increased key hygiene behaviors

## **SO2: Water for Food Security**

IR1: Improve the efficiency and sustainability of food production in rain-fed agricultural systems

IR2: Improve the efficiency and sustainability of food production from irrigated agricultural systems

### Measures of success:

- Increase water use productivity in rain-fed areas
- Increase water use productivity in irrigated systems

## **Implementing the Strategy**

Focus resources in fewer countries

Greater emphasis to sanitation

Integrate water programs with other sectors

Align with and promote Presidential initiatives

Focus on sustainability

USAID Forward principles

Priority countries

- SO1: Transformative; Leverage; Strategic Priority
- SO2: Align with FtF priority countries

### **Water Earmark (required criteria)**

- 1) An activity must state as a primary or secondary objective increased access to drinking water supply or sanitation services, better quality of those services, and/or hygiene promotion. The objective may correspond to either direct or indirect support as defined in water management, water productivity, or water security, but it must make explicit the linkage to drinking water supply, sanitation, or hygiene outcomes

### **Water Earmark (required criteria)**

- 2) Activities must identify objectively verifiable indicators and targets that track progress towards the identified drinking water supply, sanitation, and/or hygiene objective. To the extent possible, the use of standard FACTS indicators is encouraged. For those interventions that do not lend themselves to the standard FACTS indicators, activity managers may also develop customized indicators to track progress.

## Water Earmark (required criteria)

- 3) In programs that include both earmark eligible and non-eligible activities, funding may be attributed to the earmark only in proportion to the activity's support of the earmark definitions provided here.

## Resources

- Water Team website:  
[http://www.usaid.gov/our\\_work/environment/water/index.html](http://www.usaid.gov/our_work/environment/water/index.html)
  - Technical resources / guidance / tools for IWRM and ICM
  - Training information (also linked to ENRM-LI portal)
  - GDA information
- GLOBAL WATERS newsletter
- E3 Water Office staff!
- Water Point (coming)





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## **Case study of WRM on the Upper Ping River of Thailand**





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## **Sustainable agricultural intensification, conservation and food security**

### **Presentation and discussion outline**

- What is sustainable intensification and why do we care?
- What is food security in the context of integrated NRM?
- USAID's experience in and approach to sustainable agriculture and food security
- Entry points for integrated programming
- What does it mean for my country?

## Definitions

- Sustainable agricultural intensification
- Climate smart agriculture
- Evergreen agriculture



Photo: Maize growing under a full canopy of *Faidherbia albida* in southern Tanzania (World Agroforestry Centre)

## Gallery Walk



Agroforestry



Improved Crop Varieties



Perennials



Sahel Regreening



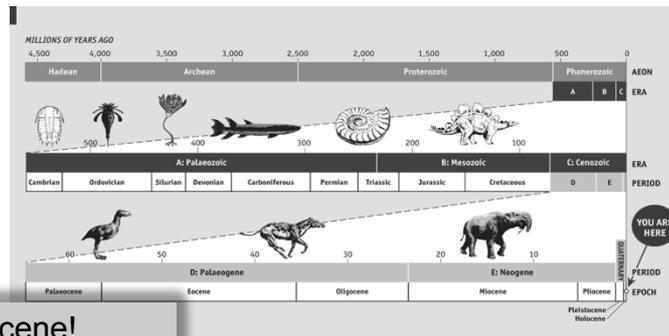
Integrated  
Pest  
Management



Conservation  
Agriculture

## Sustainable ag addresses today's realities

- Agriculture is the major land use in most landscapes
- Major source of GHG emissions
- Climate change impacts on land and natural resources
- Pressures on natural areas and natural resources (water, soils, pollinators)



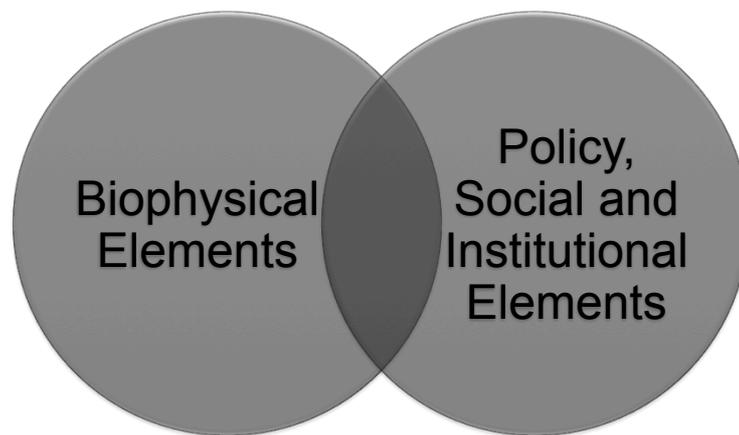
We are in the anthropocene!

## It's not just about technology

- Crop and farm diversification
- Income diversity and risk mitigation
- Economic growth pathways for men, women, households, communities
- Adaptation to climate change and land use change



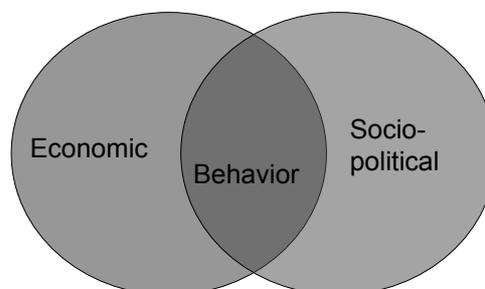
## Coupled biosocial system



## Enabling environment: incentives

<sup>8</sup>

- Need economic incentives
- Not *just* economic incentives
  - Importance of risk mitigation
  - Short- or long-term horizons
- **Enabling environment** drives incentives



## Enabling environment: Nature, Wealth & Power

- Clear and equitable land tenure and property rights systems
- Policy reforms to improve governance
- Investment in rural areas
- Market reforms
- Harmonization of conservation and agricultural development



## Conservation landscape intersections



## What is USAID's approach?

### FTF

- Reinforce selected **value chains** for food security and rural development
- Improve nutrition
- Support agricultural research and strengthen local research capacity

### NRM & Ag Offices Legacy

- Facilitate policy change to strengthen NRM
- Improve markets for sustainably produced and natural products
- Strengthen and clarify tenure systems
- Maintain habitats to support wildlife and conserve biodiversity
- Improve soil quality, while reducing erosion, salinization and other forms of degradation
- Minimize the use of pesticides and herbicides by applying integrated pest management, crop rotation and crop diversification

### Reg 216

- Employ environmental management systems to ensure proper treatment of solid waste, manure and waste water
- Ensure the safe storage, application and disposal of agricultural chemicals

## Discussion

- What are the benefits of sustainable intensification?
- What are potential risks or downsides to these approaches?
- How can it support a conservation objective?



FTF workshop on sustainable intensification in Ethiopia

## Food Security

- Feed the Future and NRM
- ENRM Intersections

## FTF resources and examples

- Climate smart agriculture working group
- Livestock, fisheries, and high value horticulture value chains
- CAADP training (Africa)
- Feed the Future Research Strategy\*

### **\*Climate Change: New Insights on Adaptation and Mitigation**

Climate change models agree that the developing world, including some of the most food insecure areas, will face rapid and largely negative impacts. With agriculture being a main source of employment, climate change threatens both food production and the most important source of income for the poor. Fortunately, new science is opening channels for tackling some of the most challenging problems facing farmers—drought, heat, salinity and new pests and diseases. The United States is uniquely positioned to work with countries around the world in facing these threats.

New research shows that **agricultural intensification has actually reduced greenhouse gas emissions** compared to what would have been generated using traditional production practices. Despite increased emission levels associated with fertilizer use, up to 161 gigatons of Carbon were not released during the last 50 years due to sustainable intensification of agricultural production. For each dollar invested in agricultural productivity, an estimated 68kg less carbon has been released. This compares favorably with other proposed mitigation strategies.

# Feed the Future Results Framework

Goal: Sustainably Reduce Global Poverty and Hunger

**NATIONAL IMPACT INDICATORS: Prevalence of poverty and prevalence of underweight children**

**Inclusive agriculture sector growth**

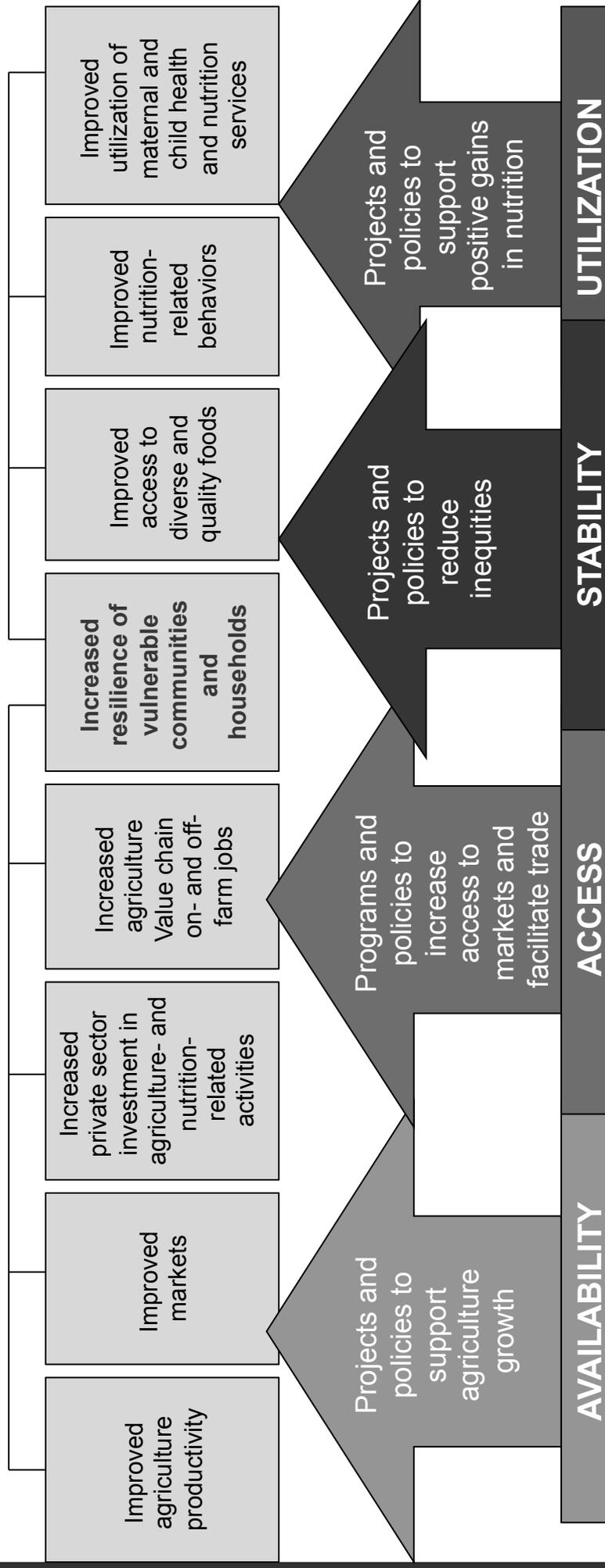
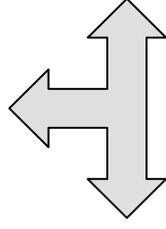
**NATIONAL IMPACT INDICATORS:**

- Agriculture value added per person
- Incomes of rural households disaggregated by sex and income quintile

**Improved nutritional status especially of women and children**

**NATIONAL IMPACT INDICATORS:**

- Prevalence of stunted children
- Prevalence of wasted children
- Prevalence of underweight women

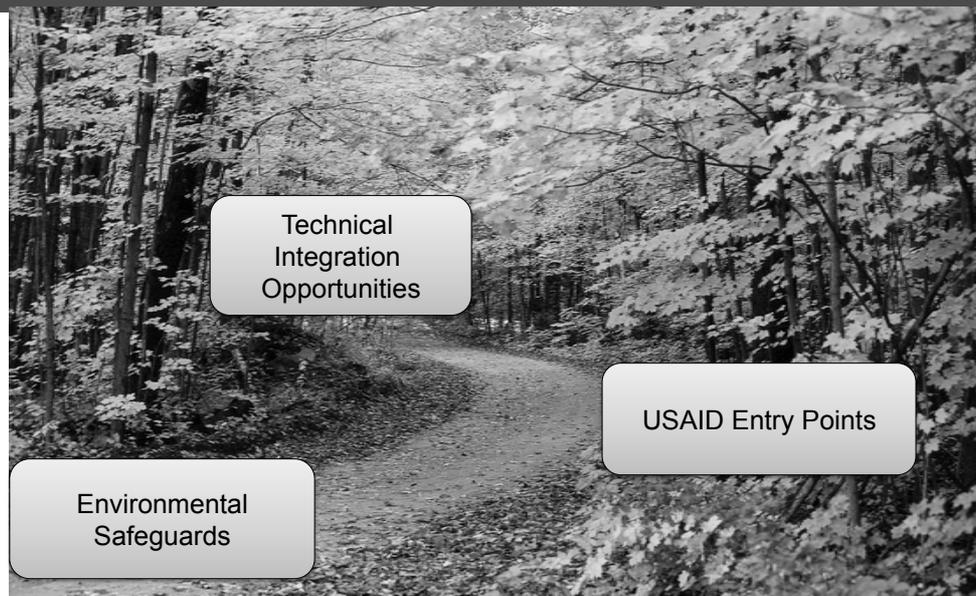


## ENRM components of food security

- Food and revenue sources
  - Animals (domesticated and wild)
  - Capture fisheries (marine and freshwater)
  - Forests, trees, NTFPs and tree products
  - Eco and agro tourism
- Resources for production, health and nutrition
  - Water resources
  - Wild crops and diversity of genetic resources



## Pathways for USAID programs



## Integration opportunities



- Ecological
  - Adaptation
  - Payments for Ecosystem Services
  - Biodiversity services (pollination, wild relatives)
  - Integrated Water Management and other Common Property Natural Resource Management (CPNRM) systems
- Economic and social
  - Value chains and enterprise development
  - Land tenure and property rights (including natural resource rights)
  - Farmer Field Schools

## USAID entry points



- Vulnerability analysis
- Resilience policy
- Gender analysis
- Conflict analysis
- Land Tenure and Property Rights framework and resources
  - [http://usaidlandtenure.net/sites/default/files/USAID\\_Land\\_Tenure\\_Food\\_Security\\_and\\_Tenure\\_Issue\\_Brief.pdf](http://usaidlandtenure.net/sites/default/files/USAID_Land_Tenure_Food_Security_and_Tenure_Issue_Brief.pdf)

## USAID environment safeguards

- FAA 118-119/Environmental Threats and Opportunities Analysis (ETOA)
- FAA 217: Reg 216
  - PERSUAP
  - Social considerations in Reg 216



*What are the implications for food security strategies?*

## Table task: Bringing it Home

At your tables discuss:

1. the situation of food security in your country and
2. the possible roles of sustainable agriculture and ENRM in FS strategies

Be prepare to report back on commonalities and differences



## Summary

- USAID has considerable experience and expertise in sustainable agricultural intensification (SIA)
- SA comprises biophysical and socioeconomic/policy dimensions (NWP)
- SA can be a key component of Food Security (FS)
- FS comprises other natural resources and ecosystems beyond agriculture
- There are numerous pathways to integrate sustainability into your ag and FS portfolio



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## Assessment



### Session learning objectives

By the end of this session you will be able to:

- Articulate the role of assessment in USAID ENRM programming
- Learn about different types of assessments and when they are appropriate
- Describe how assessments fit into the knowledge cycle

## How do we define assessment?

- Assessment, analysis, evaluation or research?
- Is there an “the assessment phase”?



## Assessment at USAID

- Legacy of research for/in development
- Four analyses now required but many optional
- Guidance in ADS and DEC
- Guidance being revised, experiences shared (e.g., adaptation in 118-119s)



## Required analyses

- FAA 118-119 (CDCS level)
- Initial Environmental Examination (IEE): 22 CFR 216 (PAD)
- Gender analysis (all levels)
- Sustainability analysis (PAD referencing CDCS)

*Benefits of these analyses for the country or Development Objective strategy and planning are numerous*

## Why do assessments?

- Fulfill a requirement
- Inform strategic decisions
- (Re)define DOs and program descriptions
- Identify and clarify issues and options
- Get diverse stakeholder input and buy-in
- Be good stewards of USG investments



## When do we conduct assessments?



And how long do they take?

## An assessment timeframe also depends on

- Issue or problem being considered
- Available information
- Where the Mission is in the program cycle. Does a DO exist?
- Pragmatic factors: resources and time
- Anything else?



## Program-level assessments

- DO, not project or activity level – Mission's highest level objectives
- Factors in national strategies and other donor programs
- Takes a longer time-horizon
- Considers a range of factors and their connections

## Defining the scope

- Purpose of assessment
- Audience
- Nature of assessment
- Key issues and questions → ***Assessment Objectives***



## First steps

- Consider internal and external parameters
- Conduct *key informant* interviews
- Form internal assessment team
- Agree on the problem(s) and opportunities to be addressed
- Review existing analyses and strategies
- Determine gaps in existing information



## A World of Knowledge



## Who will conduct the assessment?

Mission and/or EGAT  
or Bureau Staff

International or Local  
Consultant or Partner

External Experts

### *Depends on...*

- Scope of the activity
- Urgency and priority
- The availability of expertise

## Best practice

- Use existing SOWs as guides NOT templates
- Assemble a mixed team (gender, nationality, expertise)
- Target the message
- Know your science and methods
- Don't waste people's time—add value!



Build capacity

## Quick and dirty

- Commission a desk study
- Synthesize existing reports such as:
  - National Biodiversity Strategies and Action Plans (NBSAPs)
  - National Environmental Action Plans (NEAPS)
  - Supplemental Environmental Assessments (SEAs)
  - National Adaptation Programs for Action (NAPAs)
- Incorporate assessment and/or analysis (and baseline!) into the SOW for an activity
- Buy into ongoing research of an international agricultural or NRM research center, local university or other institution

## Research... It's back!!!

Considerations in using and commissioning research:

- Existing
  - Quality
  - Precision
  - Methods
  - Timeframe
- Commissioned
  - Applied
  - “Basic”



## Challenges



- Lack of research analysis capacity
- Data poor environments
- Timing—CDCS before 118-119
- *What else?*

## Completing the cycle

- Assessment
  - Data
  - Viewpoints
- **Analysis/Synthesis**
  - Prioritizing
  - Cleaning
  - Reconciling
- **Interpretation and Communication**
  - Editing
  - Highlighting
  - Knowledge management



Capacity building!

## Analysis, Interpretation and Knowledge Management

- Spatial
- Economic and Demographic
- Stakeholder/ Participatory
- Conceptual



## Summary

- Required assessments are minimum
- Multiple types of assessment available
- Many ways to commission and carry out
- Options for using existing data
- Build capacity!
- Add value!





# APPLIED ENRM PROGRAMMING COURSE

# DAILY RESOURCES

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# WATER EARMARK FACT SHEET

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## EARMARK LEVELS

- “Water supply and related activities” earmark first imposed in FY2003– at a level of \$100 million
- Increased to \$200 million in FY2005, with \$50 million targeted to sub-Saharan Africa
- Increased to \$300 million in FY2008 and FY2009, with \$125 million targeted to sub-Saharan Africa
- Increased to \$315 million for FY2010-12, with \$125 million targeted to sub-Saharan Africa

## Earmark Definition

- **FY2003-FY2007:** “Water supply and related” activities included domestic (drinking) water supply and sanitation services (hardware and software), and hygiene promotion only. Wastewater treatment was not eligible. Water resources management was not eligible. Water for productive uses (e.g., agriculture, industry) was not eligible.
- **FY2008:** The earmark definition remained focused on drinking water supply, sanitation, and hygiene (WSH). Also eligible were those activities related to water resources management and water productivity that have a demonstrable impact on WSH outcomes. These latter activities are virtually always only partially attributable to the earmark. Specifically, activities eligible for allocation or attribution to the FY2008 earmark have to meet all of the following conditions:
  - An activity must state as a primary or secondary objective increased access to drinking water supply or sanitation services, better quality of those services, and/or hygiene promotion. The objective may correspond to either direct or indirect support as defined in water management, water productivity or water security, but it must make explicit the linkage to drinking water supply, sanitation or hygiene outcomes.
  - Activities must identify objectively verifiable indicators and targets that track progress towards the identified drinking water supply, sanitation, and/or hygiene objective. To the extent possible, the use of common FACTS indicators is encouraged. For those interventions that do not lend themselves to the standardized FACTS indicators, activity managers may also develop customized indicators to track progress.
  - In programs that include both earmark eligible and non-eligible activities, funding may be attributed to the earmark only in proportion to the activity’s support of the earmark definitions provided here.

- **FY2009-2011:** The earmark definition remained the same as FY2008, and Congress continued to make clear that it is primarily focused on drinking water supply, sanitation, and hygiene. Slightly modified appropriations language did permit a very small amount of flexibility to do non-WASH related activities at the level of the entire USAID water portfolio, however exemptions were negotiated in advance and received approval by the water Technical Earmark Group (TEG) and Regional Bureaus. No further earmark definition flexibility was available this year.
- **FY2012:** Consistent with the new USAID Water Strategy under development, the earmark definition is shifting back to the more conservative definition of FY2008. Because of increased streams of funding that could be applied to water resources management (WRM) or water productivity (WP) activities (e.g., from Global Climate Change-Adaptation or Feed the Future), the expectation is that the water earmark will be focused on WASH activities. Partial attribution for WRM or WP activities that have a direct impact on WASH outcomes is possible according to this definition, but not the more flexible attribution of FY2009-2011.

## Funding Accounts

Funds that support or may be attributed to this earmark may come from the Development Assistance (DA), Global Health and Child Survival (GHCS), Economic Support Funds (ESF), Andean Counterdrug Initiative (ACI), Support for East European Democracy (SEED), Freedom Support Act (FSA), International Disaster Assistance (IDA), or Transition Initiative (TI) accounts, with the following stipulations:

- Report language indicates that of the entire earmark, not less than \$150 million should be from the DA account.
- While there is no directive for the use of IDA and/or TI account funds, when activities implemented with these funds meet the above requirements for eligibility and are substantially similar to development-oriented WASH activities they will be counted towards the earmark. These funds cannot be used for planning purposes and will only be attributed towards the earmark retrospectively.
- Any separate or additional guidelines on the use of GHCS funds for water-related activities should be consulted.
- No funds may be attributed towards this earmark from either the PL-480/Title II account or any supplemental appropriation.



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# WORLD OF KNOWLEDGE MATRIX

REQUIRED AND USEFUL ANALYSES FOR INTEGRATED PROGRAMMING		
Analysis * = Required	Description	Resources
<p><b>*Tropical Forestry &amp; Biodiversity (FAA 118-119)</b></p>	<p>The biodiversity and related tropical forestry planning requirement comes from the following two FAA provisions:</p> <p>I. 118(e) "Country Analysis Requirements.--Each country development strategy statement or other country plan prepared by the Agency for International Development shall include an analysis of-- (1) the actions necessary in that country to achieve conservation and sustainable management of tropical forests, and (2) the extent to which the actions proposed for support by the Agency meet the needs thus identified."</p> <p>II. 119(d) "Country Analysis Requirements.--Each country development strategy statement or other country plan prepared by the Agency for International Development shall include an analysis of-- (1) the actions necessary in that country to conserve biological diversity, and (2) the extent to which the actions proposed for support by the Agency meet the needs thus identified."</p>	<p><a href="http://www.usaid.gov/policy/ads/200/200saj.pdf">http://www.usaid.gov/policy/ads/200/200saj.pdf</a></p> <p><a href="http://www.usaid.gov/our_work/environment/biodiversity/118_119_analyses.html">http://www.usaid.gov/our_work/environment/biodiversity/118_119_analyses.html</a></p>

<p><b>Environmental Threats and Opportunities Analysis (ETOA)</b></p>	<p>An ETOA goes beyond, yet incorporates, a 118-119 analysis. An ETOA describes the range of environmental impacts from human activities across the spectrum of sectors: green (forests, agricultural systems), brown (urban, industrial systems) and blue (marine and freshwater systems).</p>	<p>ENCAP Africa houses numerous ETOAs: <a href="http://www.encapafrika.org/documents/">www.encapafrika.org/documents/</a></p>
<p><b>*Environmental Impact Analysis</b></p>	<p>Is required if issues identified through Initial Environmental Examination (IEE) and per Section 117 of the FAA “Environment and Natural Resources.” It is mandatory for operating units to implement their programs with an aim to maintain (and restore) natural resources upon which economic growth depends, and to consider the impact of their activities on the environment. The legal requirements of the FAA are reflected in USAID’s ADS Chapter 204 “Environmental Procedures,” which provides essential procedures and policy on the application of 22 CFR Part 216. This regulation codifies the Agency’s procedures “to ensure that environmental factors and values are integrated into the A.I.D. decision making process.” Thus, USAID conducts assessments that help to ensure that its environmental priorities are incorporated into program planning, implementation and monitoring. The best opportunity to ensure that such issues are considered is at the planning stage.</p>	<p><a href="http://www.usaid.gov/our_work/environment/compliance/regulations.html">http://www.usaid.gov/our_work/environment/compliance/regulations.html</a></p>
<p><b>Biodiversity threats assessment</b></p>	<p>An analysis of threats to biodiversity helps planners to be more strategic about biodiversity investments. It hypothesizes that identifying and addressing both direct and indirect threats to specific biodiversity conservation targets will lead to more concrete and measurable results. A biodiversity threats assessment is a site-specific analysis that identifies both direct and indirect threats to biodiversity including major stresses; trends and actors impacting targeted ecosystems and species. It is not the same as a Tropical Forestry and Biodiversity (FAA 118-119) Analysis, which is undertaken at the</p>	<p>USAID Tanzania Assessment: <a href="http://pdf.usaid.gov/pdf_docs/PNADK665.pdf">http://pdf.usaid.gov/pdf_docs/PNADK665.pdf</a></p> <p>Protected Area Threats Assessment Methodology: <a href="http://conserveonline.org/workspaces/patools/pathreats">http://conserveonline.org/workspaces/patools/pathreats</a></p> <p>Standard Lexicon of Biodiversity Threats: <a href="http://www.iucnredlist.org/documents/Salafsky_et_al_2008_Uniformed_Classifications_of_Threats_and_Action_s.pdf">http://www.iucnredlist.org/documents/Salafsky et al. 2008 Uniformed Classifications of Threats and Action s.pdf</a></p>

	<p>country level as part of a country strategy plan. A biodiversity threats assessment may build on the 118-119 analysis but should go into much greater depth on the type, location, severity and causes of threats to a specific ecosystem, location or species, and may also seek to draw out causal connections among the threats and to wider trends and conditions in the country or landscape. A threats assessment can range in intensity from a desk study overview to a scientific investigation of specific threats to a species. Typically threats assessments for USAID activities involve literature reviews, field visits and interviews. They should be carried out at the beginning of any USAID funded biodiversity activity per the Biodiversity Code, which governs use of earmarked funds.</p>	
<p><b>Climate change vulnerability analysis</b></p>	<p><b>Activities that support USAID-funded adaptation programs should be built upon climate vulnerability and adaptation analyses.</b> In some communities and countries, useful analyses may exist. Some resources for obtaining existing analyses are listed at right. Where vulnerability and adaptation analyses do not exist, conducting these analyses as well as building capacity are eligible activities under adaptation funding. Several commonly-used methodologies for conducting these analyses are noted at right. USAID is developing its own vulnerability assessment methodology.</p>	<p><b>Existing sources of information on vulnerability analyses:</b> Country profiles <a href="http://www.adaptationlearning.net">www.adaptationlearning.net</a> (including National Adaptation Plans of Action and National Communications)  Adaptation project appraisals: <a href="http://www.gefonline.org/">http://www.gefonline.org/</a> (Funding sources: SCCF and LDCF)  <b>Methodologies for conducting vulnerability analyses:</b>  USAID's Adaptation Guidance Manual: <a href="http://pdf.usaid.gov/pdf_docs/PNADJ990.pdf">http://pdf.usaid.gov/pdf_docs/PNADJ990.pdf</a> (to be updated in 2011)  CARE's Climate Vulnerability and Capacity Analysis Handbook: <a href="http://www.careclimatechange.org/cvca/CVCA_CVCA_Handbook.pdf">http://www.careclimatechange.org/cvca/CVCA_CVCA_Handbook.pdf</a>  Community-based Risk Screening Tool – Adaptation and Livelihoods (CRISTAL) tool and manual: <a href="http://www.cristaltool.org/content/download.aspx">http://www.cristaltool.org/content/download.aspx</a></p>

		<p>Tearfund's (Climate Change and Environmental Degradation Risk and Adaptation assessment) CEDRA tool:  <a href="http://tilz.tearfund.org/Topics/Environmental+Sustainability/CEDRA.htm">http://tilz.tearfund.org/Topics/Environmental+Sustainability/CEDRA.htm</a>  <a href="http://inside.usaid.gov/EGAT/offices/enviro_sci/climate/overview/leds.cfm">http://inside.usaid.gov/EGAT/offices/enviro_sci/climate/overview/leds.cfm</a></p>
<p><b>Other climate analyses</b></p>	<p>Low Emission Development Strategy (LEDS): A strategic framework that articulates concrete actions, policies, programs and implementation plans to advance economic growth, improve environmental management, and meet development objectives. This framework provides a foundation for achieving long-term, measurable greenhouse gas emission reductions from both the energy and landscapes sectors as compared to a business-as-usual development pathway.</p>	
<p><b>Water balance analysis</b></p>	<p>NOTE: this is a technical analysis that would be contracted out by a Mission. In hydrology, a <b>water balance</b> equation can be used to describe the flow of water <i>in</i> and <i>out</i> of a system. A <i>system</i> can be one of several hydrological domains, such as a column of soil or a drainage basin. The <u>water balance</u> components can be grouped into components corresponding to zones in a vertical cross-section in the soil forming reservoirs with inflow, outflow and storage of water <sup>[2]</sup>.</p> <ol style="list-style-type: none"> <li>1. the surface reservoir (S)</li> <li>2. the root zone or unsaturated (<u>vadose zone</u>) (R) with mainly vertical flows</li> <li>3. the <u>aquifer</u> (Q) with mainly horizontal flows</li> <li>4. a transition zone (T) in which vertical and horizontal flows are converted</li> </ol> <p>The general water balance reads:</p> <ul style="list-style-type: none"> <li>• inflow = outflow + change of storage and it is applicable to each of the reservoirs or a combination thereof.</li> </ul> <p>(Source: Wikipedia)</p>	<p>Example of water balance analyses from US Army Corps of Engineers (USACE):  <a href="http://pdf.usaid.gov/pdf_docs/PNADR878.pdf">http://pdf.usaid.gov/pdf_docs/PNADR878.pdf</a>          And from USGS:  <a href="http://pdf.usaid.gov/pdf_docs/PNADK149.pdf">http://pdf.usaid.gov/pdf_docs/PNADK149.pdf</a></p>
<p><b>*Gender Analysis</b></p>	<p>Gender Integration entails the identification and subsequent treatment of gender differences and</p>	<p><a href="http://www.usaid.gov/policy/ads/200/201sab.pdf">http://www.usaid.gov/policy/ads/200/201sab.pdf</a>          “Gender issues are central to the achievement of</p>

	<p>inequalities during program/project design, implementation, monitoring, and evaluation. Taking gender into account usually, but not always, involves a focus on women since women most often occupy a subordinate position in society or are the most marginalized in their communities. As women have traditionally held lower status than men in most countries around the world, USAID has developed and executed equalizing strategies that promote increased access to resources and opportunities for women.</p>	<p>strategic plans and Assistance Objectives (AO), and USAID strives to promote gender equality, in which both men and women have equal opportunity to benefit from and contribute to economic, social, cultural and political development; enjoy socially valued resources and rewards; and realize their human rights.” (ADS 201.3.9.3)  <a href="http://blog.usaid.gov/2012/03/translating-words-into-action-usaids-gender-equality-and-female-empowerment-policy/">http://blog.usaid.gov/2012/03/translating-words-into-action-usaids-gender-equality-and-female-empowerment-policy/</a>  <a href="http://www.usaid.gov/policy/ads/200/2026s7.pdf">http://www.usaid.gov/policy/ads/200/2026s7.pdf</a></p>
<p><b>Social soundness analysis (non-mandatory)</b></p>	<p>Social Soundness Analysis has three distinct but related aspects: (1) the compatibility of the activity with the sociocultural environment in which it is to be introduced (its sociocultural-feasibility); (2) the likelihood that the new practices or institutions introduced among the initial activity target population will be diffused among other groups (i.e., the spread effect); and (3) the social impact or distribution of benefits and burdens among different groups, both within the initial activity population and beyond.</p>	
<p><b>Stakeholder analysis &amp; mapping</b></p>	<p>Stakeholder analysis is a term that refers to the action of analyzing the attitudes of stakeholders towards something (most frequently a project). It is frequently used during the preparation phase of a project to assess the attitudes of the stakeholders regarding the potential changes. Stakeholder analysis can be done once or on a regular basis to track changes in stakeholder attitudes over time.</p> <p>A <u>stakeholder</u> is any <u>person</u> or <u>organization</u>, who can be positively or negatively impacted by, or cause an impact on the actions of a company, government, or organization. Types of stakeholders are:</p> <ul style="list-style-type: none"> <li>• <b>Primary stakeholders</b> are those ultimately affected, either positively or negatively by an organization's</li> </ul>	<p><a href="http://www1.worldbank.org/publicsector/anticorrupt/PoiticalEconomy/PDFversion.pdf">http://www1.worldbank.org/publicsector/anticorrupt/PoiticalEconomy/PDFversion.pdf</a>  <a href="http://en.wikipedia.org/wiki/Stakeholder_analysis">http://en.wikipedia.org/wiki/Stakeholder_analysis</a></p>

	<p>actions.</p> <ul style="list-style-type: none"> <li>• <b>Secondary stakeholders</b> are the “intermediaries.” that is, persons or organizations who are indirectly affected by an organization’s actions.</li> <li>• Key stakeholders (who can also belong to the first two groups) have significant influence upon or importance within an organization.</li> </ul> <p>Therefore, stakeholder analysis has the goal of developing cooperation between the stakeholder and the <a href="#">project team</a> and, ultimately, assuring successful outcomes for the project. Stakeholder analysis is performed when there is a need to clarify the consequences of envisaged changes, or at the start of new projects and in connection with organizational changes generally. It is important to identify all stakeholders for the purpose of identifying their success criteria and turning these into quality goals.</p>	
<p><b>SCALE analysis</b></p>	<p>The analysis starts with conceptualizing the system that supports or impacts a development result or target. This analysis could have a spatial dimension (stakeholder impacting an ecosystem or watershed), a market dimension (stakeholders in a value chain) or a policy/governance dimension (stakeholders impacting the development or implementation of a policy or law. A “Whole System in the Room” tool is used to bring stakeholders together to assess their connections and how they can work together to achieve results.</p>	<p>SCALE resources on the RM Portal:  <a href="http://www.rmportal.net/library/content/usaaid-scale-collection/?searchterm=None">http://www.rmportal.net/library/content/usaaid-scale-collection/?searchterm=None</a></p>
<p><b>Financial analysis</b></p>	<p>Financial analysis is one of the six major types of analyses commonly used to assess activity feasibility. It is used both as a tool during activity development and as a test of a completed activity design. Its principal purposes are: to determine the adequacy of the funds to be provided for financing all activity resources; to ascertain whether monetary benefits to be derived from the activity are larger or smaller than the activity’s costs;</p>	<p><a href="http://www.usaid.gov/policy/ads/200/2026s5.pdf">http://www.usaid.gov/policy/ads/200/2026s5.pdf</a></p>

	<p>to judge whether results would be produced at the lowest practical cost and whether the unit cost of results is reasonable; and whether the proposed cash flow likely to make the activity financially viable during the activity operating period.</p>	
<p><b>Economic analysis</b></p>	<p>The purpose of economic analysis is to determine whether an activity is a worthwhile investment for the country, i.e., whether the results from an activity are sufficiently valuable as to warrant the expenditure of scarce resources.</p> <p>Economic analysis also allows activity designers to select the least-cost design from among alternative options, as well as to choose among different activities in the same sector or in different sectors. Economic analysis is an indispensable tool in the Strategic Objective Identification and design process. Where results are easily evaluated in monetary terms, the economic analysis provides one measure by which to evaluate and compare possible interventions. Where results are quantifiable but not easily reduced to monetary values, economic analysis allows the designer to determine the real resource cost per unit output, which is indispensable in making judgments concerning an activity's value. Where outputs are non-quantifiable, economic analysis enables choice between competing designs on a least-cost basis.</p>	<p><a href="http://www.usaid.gov/policy/ads/200/2026s6.pdf">http://www.usaid.gov/policy/ads/200/2026s6.pdf</a></p>
<p><b>Legal and policy analysis</b></p>	<p>Typically carried out in the strategic plan process, the country team will assess the country legal, regulatory and policy environment to assess the enabling environment for USAID investments, prospects for change, entry points and barriers. It may also recognize both government and NGO actors in the policy sector including Ministries, political parties and civil society groups.</p>	<p>Lessons learned in policy implementation:  <a href="http://www.usaid.gov/our_work/democracy_and_governance/publications/pdfs/pnach306.pdf">http://www.usaid.gov/our_work/democracy_and_governance/publications/pdfs/pnach306.pdf</a></p>
<p><b>LTPR analysis</b></p>	<p>This analysis can take many forms from analysis of country level systems to analysis of specific localities or</p>	<p><a href="http://www.rmportal.net/library/content/tools/land-tenure-and-property-rights-tools/ltpa-assessment-">http://www.rmportal.net/library/content/tools/land-tenure-and-property-rights-tools/ltpa-assessment-</a></p>

	problems within a country. It may be an overall profile of the system or a strategy analysis to identify issues and localities for USAID investment.	<a href="http://tools/volume-4-land-tenure-and-property-rights-assessment-tool/view?searchterm=LTPR">tools/volume-4-land-tenure-and-property-rights-assessment-tool/view?searchterm=LTPR</a>
<b>Conflict analysis</b>	As part of preparing a new USAID country strategy, operating units are asked to: 1) prepare an appropriate vulnerability analysis that address the potential for conflict, 2) summarize the findings of such analyses in the strategy document, and 3) specifically indicate when and how these findings affect the proposed strategy.	CMM guidance paper: <a href="http://inside.usaid.gov/DCHA/CMM/conflictassessments/conductingCAs.html">http://inside.usaid.gov/DCHA/CMM/conflictassessments/conductingCAs.html</a> ADS guidance: <a href="http://www.usaid.gov/policy/ads/200/200sav.pdf">http://www.usaid.gov/policy/ads/200/200sav.pdf</a>
<b>Private sector assessment</b>	Used by the Global Development Alliance office to assess private sector partners.	<a href="http://exdevelopment.usaid.gov/our_work/global_partnerships/gda/assessment_framework.html">http://exdevelopment.usaid.gov/our_work/global_partnerships/gda/assessment_framework.html</a>
<b>EG Office Analyses: BizCLIR, AgCLIR, MEASURE</b>	MEASURE was designed as a diagnostic tool that would specifically address the need for baseline information on enterprises within a country. MEASURE is used both for program planning and design as well as to provide baseline data to measure the success of enterprise development programs through periodic updates of the survey and relevant indicators.	<a href="http://www.bizclir.com/">http://www.bizclir.com/</a>
<b>Market/value chain assessment</b>	A market chain or value chain analysis first maps out the links from producers (or the natural resource base for the raw material(s)) through to the consumer, noting economic returns to different layers in the chain and often how policy intersects with the chain. The analysis shows where there are inefficiencies and weaknesses in the chain that USAID can improve, as “a chain is only as durable as its weakest link.” Natural products value chain assessments and programs must typically be complemented with guidance on sustainable use of the natural resource(s) involved and how working on the value chain will contribute to biodiversity conservation. Often these products are supplementary to major revenue streams in agriculture but may also be highly important to local revenue or to marginalized groups.	Resources on natural products value chain analyses: <a href="http://www.rmportal.net/library/content/frame/?searchterm=None">http://www.rmportal.net/library/content/frame/?searchterm=None</a> Reducing Poverty Through Natural Resource-Based Enterprises: Learning from Natural Product Value Chains <a href="http://www.rmportal.net/library/content/frame/nps-synthesis-report.pdf/view?searchterm=natural%20products">http://www.rmportal.net/library/content/frame/nps-synthesis-report.pdf/view?searchterm=natural%20products</a> Financial assessment of value chains: <a href="http://inside.usaid.gov/EGAT/offices/eco_growth/publications/upload/VCF_Diag_Cklist.pdf">http://inside.usaid.gov/EGAT/offices/eco_growth/publications/upload/VCF_Diag_Cklist.pdf</a> The conservation market equation: <a href="http://www.enterpriseworks.org/display.cfm?id=5&amp;sub">http://www.enterpriseworks.org/display.cfm?id=5&amp;sub</a>

<p><b>*Sustainability analysis</b></p>	<p>The Agency's Project Design Guidance requires a new mandatory Sustainability Analysis. Project Design Teams must: work with host country partners to define the degree of sustainability that is considered essential for the success of the project; reference the sustainability objectives of the project or project components (with the understanding that not all projects aim to be fully sustainable at their conclusion); and indicate how the project intends to meet these objectives. The sustainability analysis should reference appropriate sustainability issues raised in the Country Development Cooperation Strategy (CDCS) and should highlight other projects designed under a Development Objective (DO) and Intermediate Results if these project results are considered key to the sustainability objectives of the immediate project being designed.</p> <p>The analysis should then develop a plan for project activities that are necessary and sufficient to bring these institutions up to the level of performance or engagement as partners appropriate for their roles in the project's implementation and their eligibility for direct USAID funding.</p> <p>The plan should include an appropriate sustainability strategy to ensure that the institution(s) will remain administratively and financially sustainable by the end of the project and equipped to continue to play their roles in local development.</p>	<p>=23&amp;cont=46  <a href="http://inside.usaid.gov/PPL/offices/spp/upload/Sustainability_Analysis_Final.pdf">http://inside.usaid.gov/PPL/offices/spp/upload/Sustainability_Analysis_Final.pdf</a></p>
<p><b>Institutional analysis</b></p>	<p>Developing local capacity is a core policy objective of the USAID Forward reforms. Such an analysis would require in-depth assessment of the local institutions and systems most critical to the implementation of the project's</p>	

<p><b>Institutional analysis</b></p>	<p>Developing local capacity is a core policy objective of the USAID Forward reforms. Such an analysis would require in-depth assessment of the local institutions and systems most critical to the implementation of the project's development interventions, including an assessment of the quality of their leadership, structure and staff, and identification of their administrative and financial management strengths and weaknesses. The institutional values, culture, and decision-making processes (their governance) should also be considered as these directly affect performance and relationships with USAID and other public, private sector and civil society actors.</p>	
<p><b>Political Economy Analysis (PEA)</b></p>	<p>PEA is an emerging approach that attempts to address the interrelated political and economic interests that underlie governance challenges and that either stand in the way or facilitate good development performance and successful achievement of the project purpose. PEA approaches are tools for examining the dynamic relationship between political, economic and societal forces supporting and inhibiting sustainable change,</p>	

Tab Title: Day 3





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## APPLIED ENRM PROGRAMMING COURSE DAY THREE AGENDA

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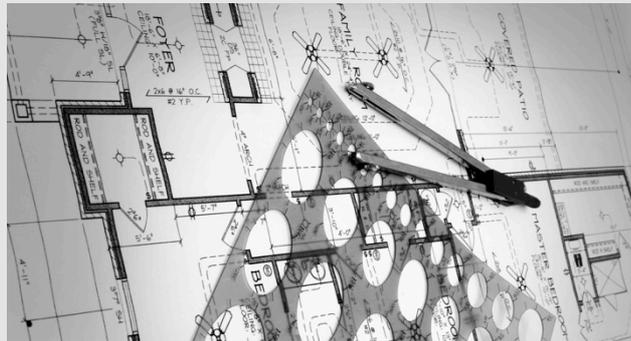
Day 3	
<b>Programming Phases</b> <ul style="list-style-type: none"><li>• Design</li><li>• Monitoring &amp; Evaluation</li></ul>	<b>8:30 Start of the Day</b>
	<b>Design</b> Presentation, discussion and simulation activity
	<b>Lunch</b>
	<b>Monitoring &amp; Evaluation</b> Presentation, discussion and simulation activity
	<b>Field Trip Preparation</b> Overview of the field trip
	<b>End of the Day</b>





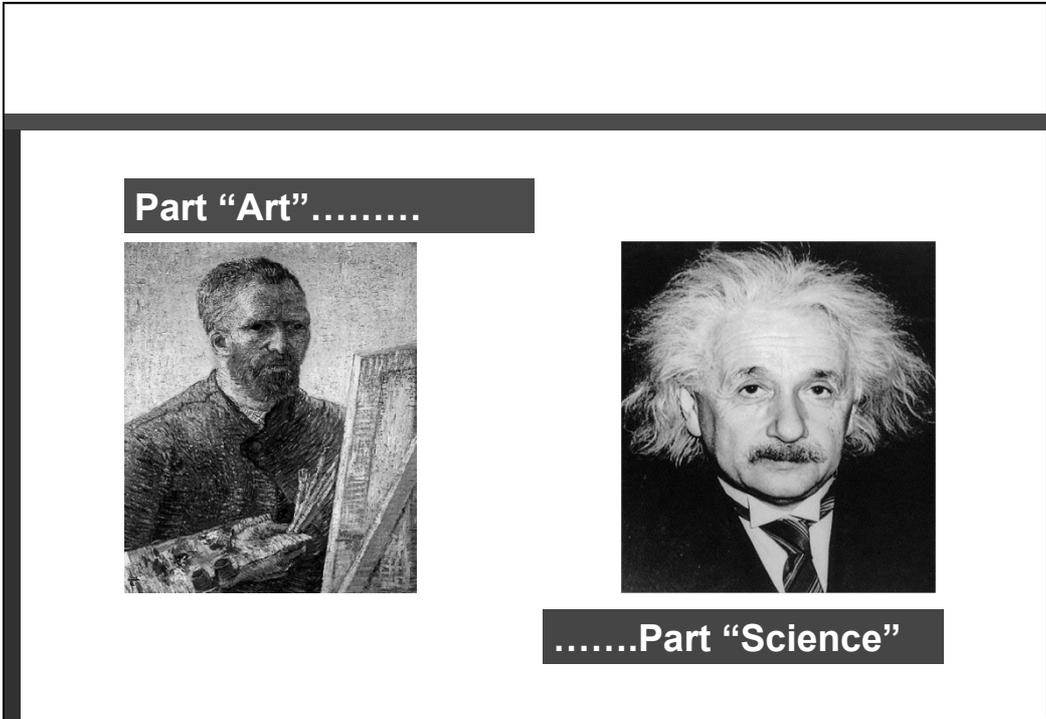
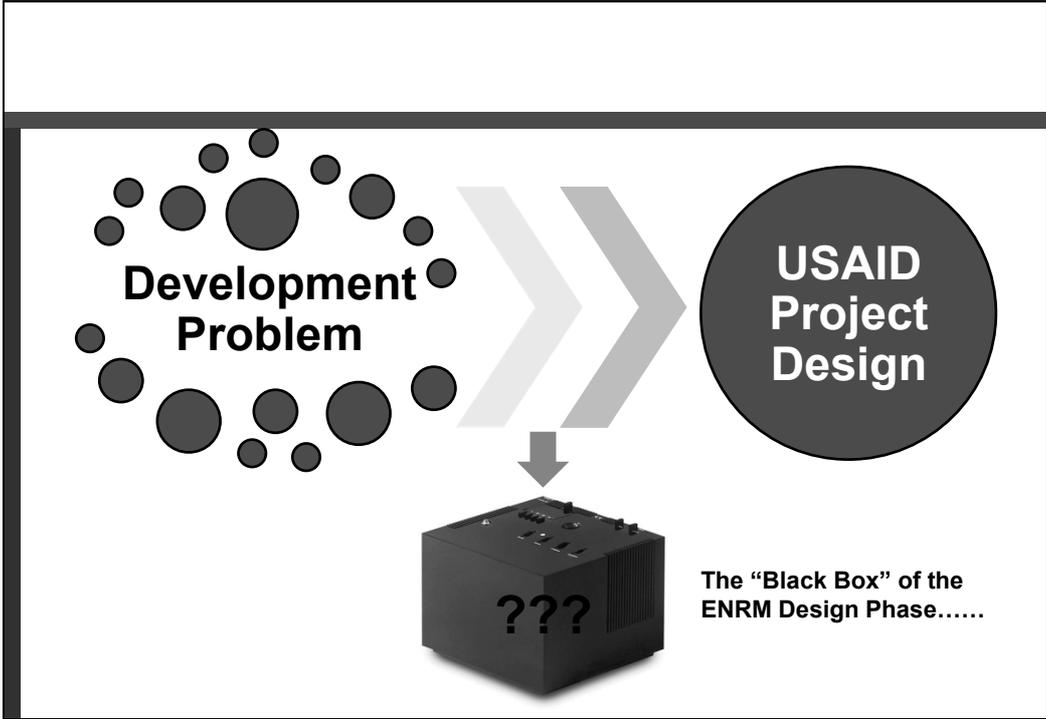
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## Design

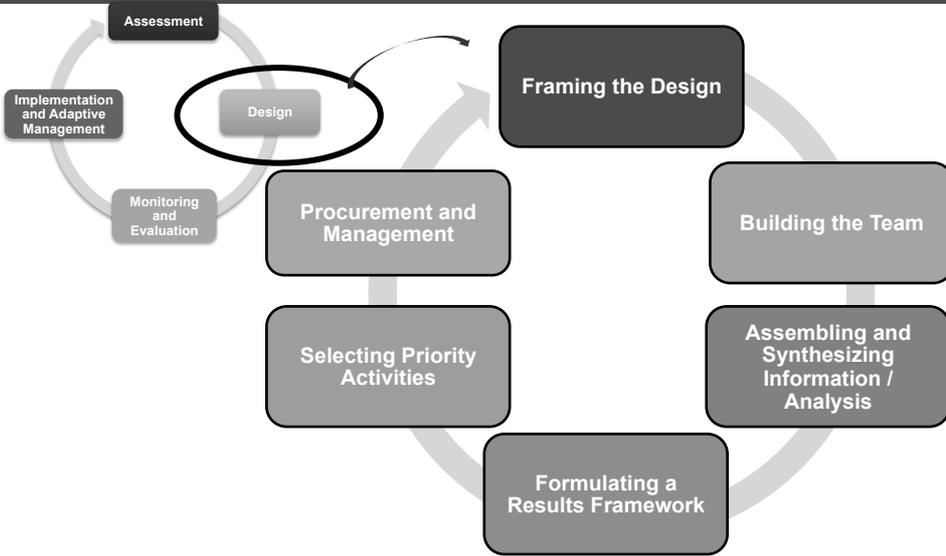


### Presentation outline

- The “project” design cycle – step by step
- Tools and approaches
- Integrated Programming: a special case



## The USAID “Project Design” Cycle



## Framing the Design

External  
Parameters



Internal  
Parameters

## Building the Team

- USAID and/or external experts
- Mission and/or Washington TDY personnel



### *The "ideal":*

- Technical expertise in diverse sectors
- Biophysical and social science expertise
- Multiple weeks in the field

### *The "reality":*

**Limits of budget, time frame, and personnel availability often define what is possible**

## Assembling and Synthesizing Information / Analysis

**USAID Internal / External Parameters**



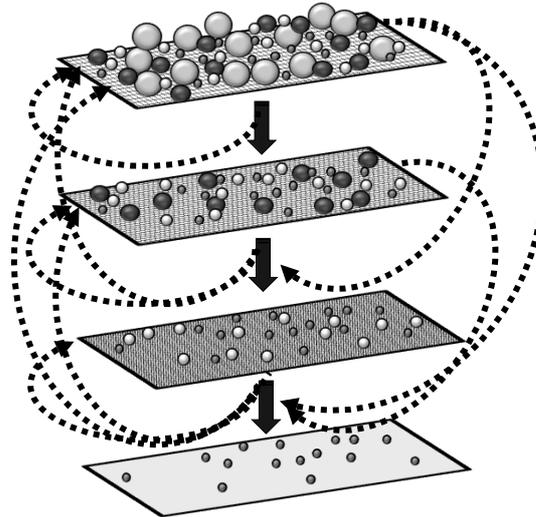
### **Assessment Data**

- Status and Trends
- In-Depth Geographic Analysis
- Mapping of Other Actors



## Getting from Analysis to Design

- USAID Internal / External Parameters
- Assessment Data
  - Status and Trends
  - In-Depth Geographic Analysis
  - Mapping of Other Actors
- Causal Diagram
- ENRM Sustainability Factors
- Development Hypothesis
- Strategic Results Framework
- Program Components

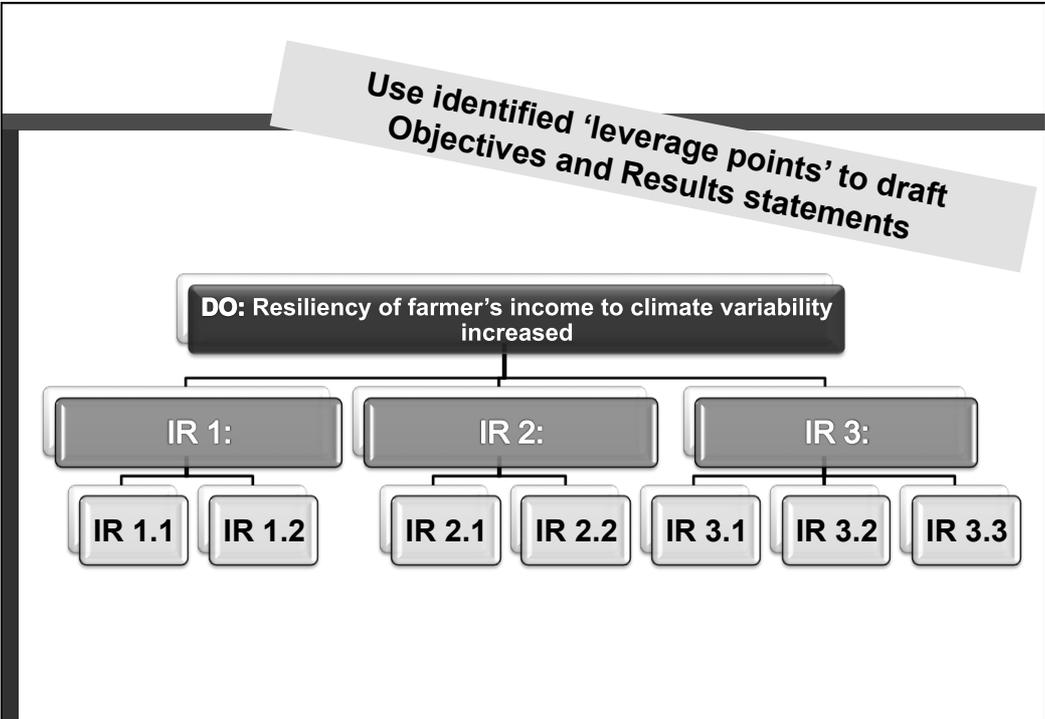
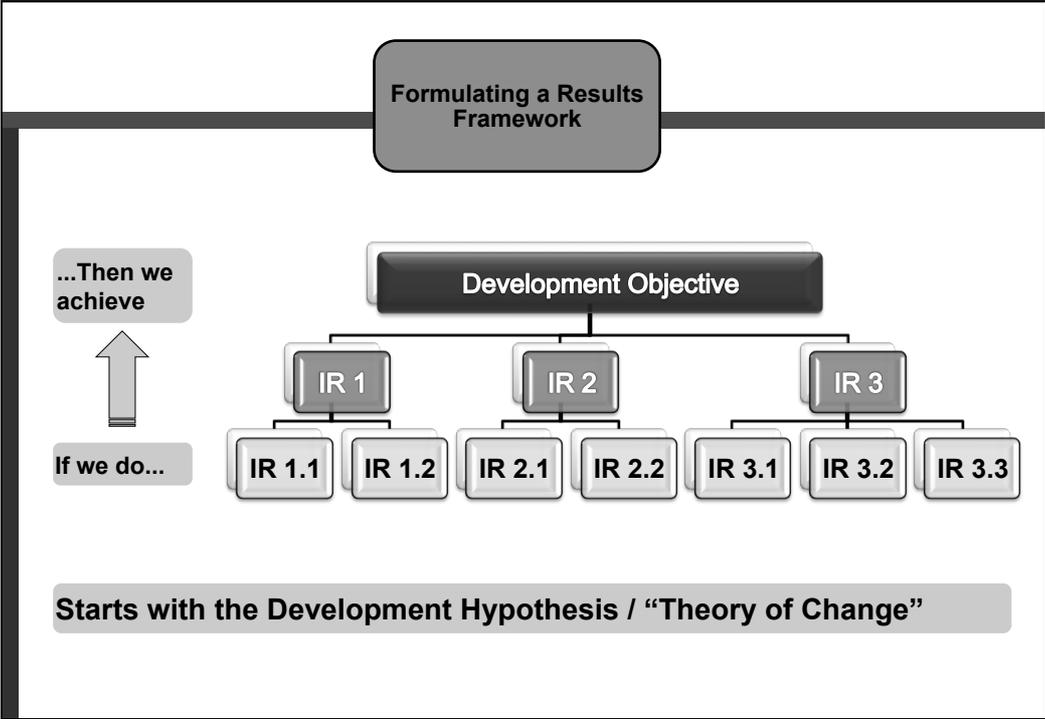


## Sometimes information gaps are a challenge.....



In your project designs:  
**how have you handled missing data  
and information / uncertainty?**





## Selecting Priority Activities

**Help narrow down the list of options by 'scoring' potential activities according to various criteria**

PROPOSAL	CRITERIA	USAID Internal Factors				External Factors		Opportunities to Catalyze Innovation and Structural Reform	TOTAL SCORE
		USAID Technical Comparative Advantage	Results within Budget and Program Planning Period	USAID/USG Programmatic and Geographic Synergy	Minimal Management Burden	Ability to Target NRM Sector Needs / Pro-Poor Focus	Alignment with Government NRM Sector Development Program		
IR 1 Policy a									
IR 2 Decenti									
orm Implemented									
IR 3 Alternative Natural Resource-Based Livelihoods Expanded									

## Procurement and Management

### Consider:

#### *Procurement*

- Existing local capability
- Geographic presence
- Integrated program expertise in multiple sectors

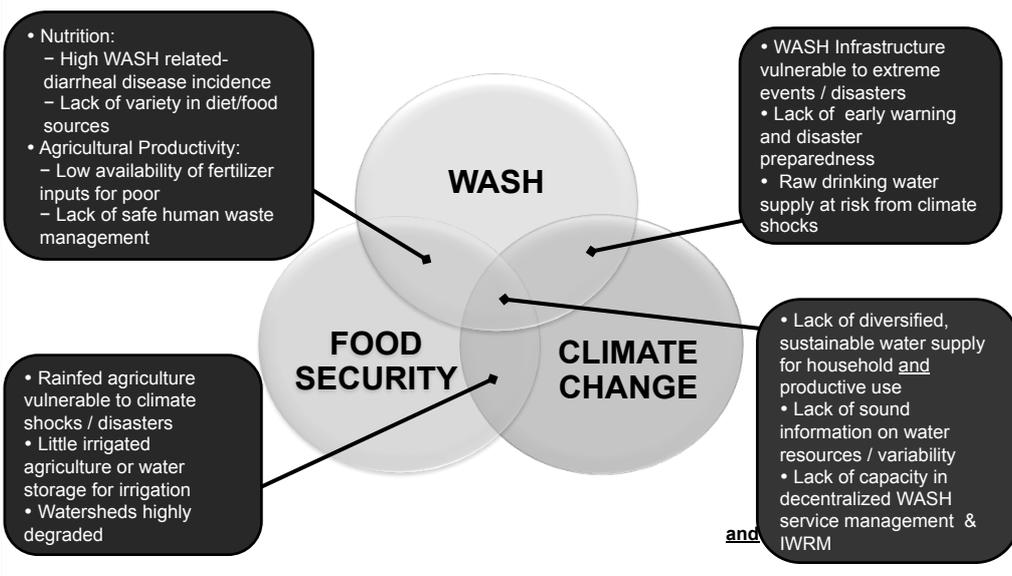
#### *Management*

- Internal Mission management structure
- Staffing

## Integrated / Cross-sectoral programs: a special case

- Start the process **early** – retrofitting is hard!
- Get **Mission leadership** buy-in
- Don't try to integrate everything – be **strategic**
- Spatially integrate:
  - **Co-locate** activities
  - Take a **landscape-scale** approach
- Pool different “**colors of money**”
- Conduct **integrated problem analysis** at intersection of different sectors
- Identify ‘**win-win**’ outcomes for multiple sectors
- Get the right **implementing partners** – integrated teams!!

## Cross-sectoral problem analysis: example



**Finally.....**

### Checklist of ENRM Program Planning Principles

- *Integrated*
- *Systems Approach*
- *Empowering*
- *At Scale*
- *Adaptive*
- *Sustainable*
- *Long-Term*





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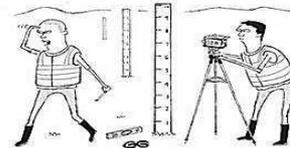
## Monitoring & Evaluation

### **M&E is becoming more challenging...but also more interesting**

- Integrating into design
- Testing development hypotheses, linking with research
- Using and sustaining technologies
- Improving utility and adaptive management
- Developing more sophisticated measures
- Carrying out impact evaluations

## Monitoring in the ENRM context

- Earmark compliance—deficits in standard indicators
- Environmental and social safeguards
- Timeframe for results and impact
- Complexity of interactions
- Multisectoral programming
- Weak economic and livelihood me



## ENRM indicators need special attention

- Temporal scales
- Spatial scales
- System complexity
- Attribution
- Chains of causality
- Level of impact
- Program integration



## Evaluation



## Evaluation: What

- Key element of learning and adaptive management
- A management tool
- Formal evaluation per USAID guidance (2011)
  - Program (expected results, before/after)
  - Impact (counterfactual or treatment group)



## Evaluation: Why

- Document lessons, results and impacts
- Test hypotheses and theories of change
- Monitor compliance
- Design project or program
- Build capacity of staff and partners
- Is it a good investment?



## Evaluation: Who

- Expertise
- Participation
- Buy-in
- Diversity
- Capacity building



## Evaluation: How

- Be clear on objectives and key questions
- Use diverse data collection approaches and sources to “triangulate” information
- Make concrete, specific and actionable recommendations

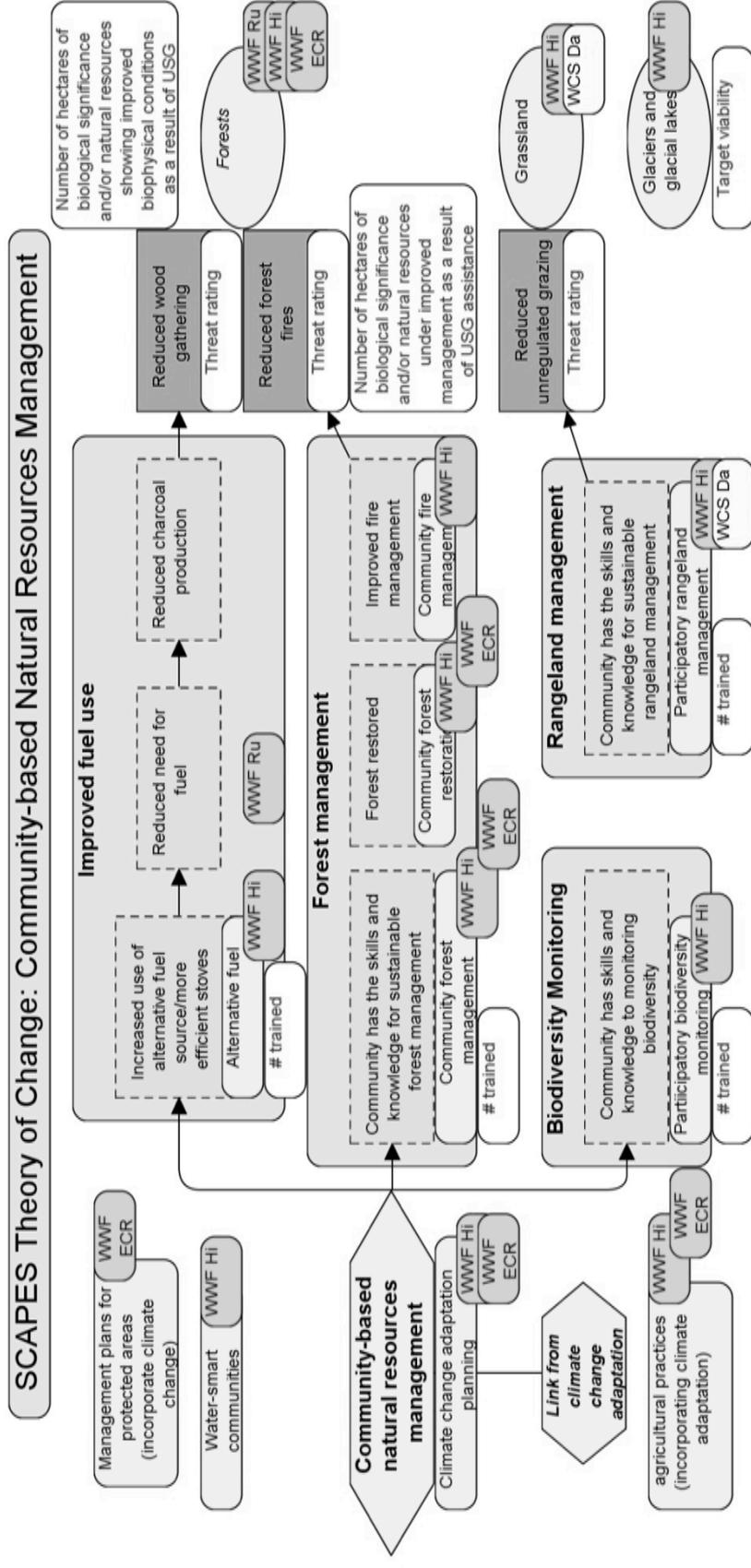
**Case example:** Designing an impact evaluation for a complex multi-partner, multisite landscape scale conservation program (SCAPES)

## Other evaluation tools

- Stocktaking
- Social Impact Assessment
- “In-house” assessment
- Mini-evaluations and spot-checks
- Applied research
- Meta analysis (what’s working and not working)



# Linking M&E to Adaptive Management



## **New FAB Resource: Measuring Impact**

- New program in FAB Office to strengthen the culture of adaptive management
- Task include:
  - Field support to missions
  - Selected evaluations and support in evaluation design
  - Biodiversity and forestry research agenda
  - Knowledge management

## **Summary**

- Plan for M&E from the beginning
- Link M&E to management
- Build capacity for adaptive management
- Use evaluation to learn and contribute to body of evidence

## Additional Resources

- USAID Intranet evaluation site  
<http://www.usaid.gov/evaluation/>
- USAID's learning lab
- LinkedIn environmental evaluators group
- Climate eval group; InfoSylva eval group
- J-PAL institute web site on impact evaluations





# APPLIED ENRM PROGRAMMING COURSE

# DAILY RESOURCES

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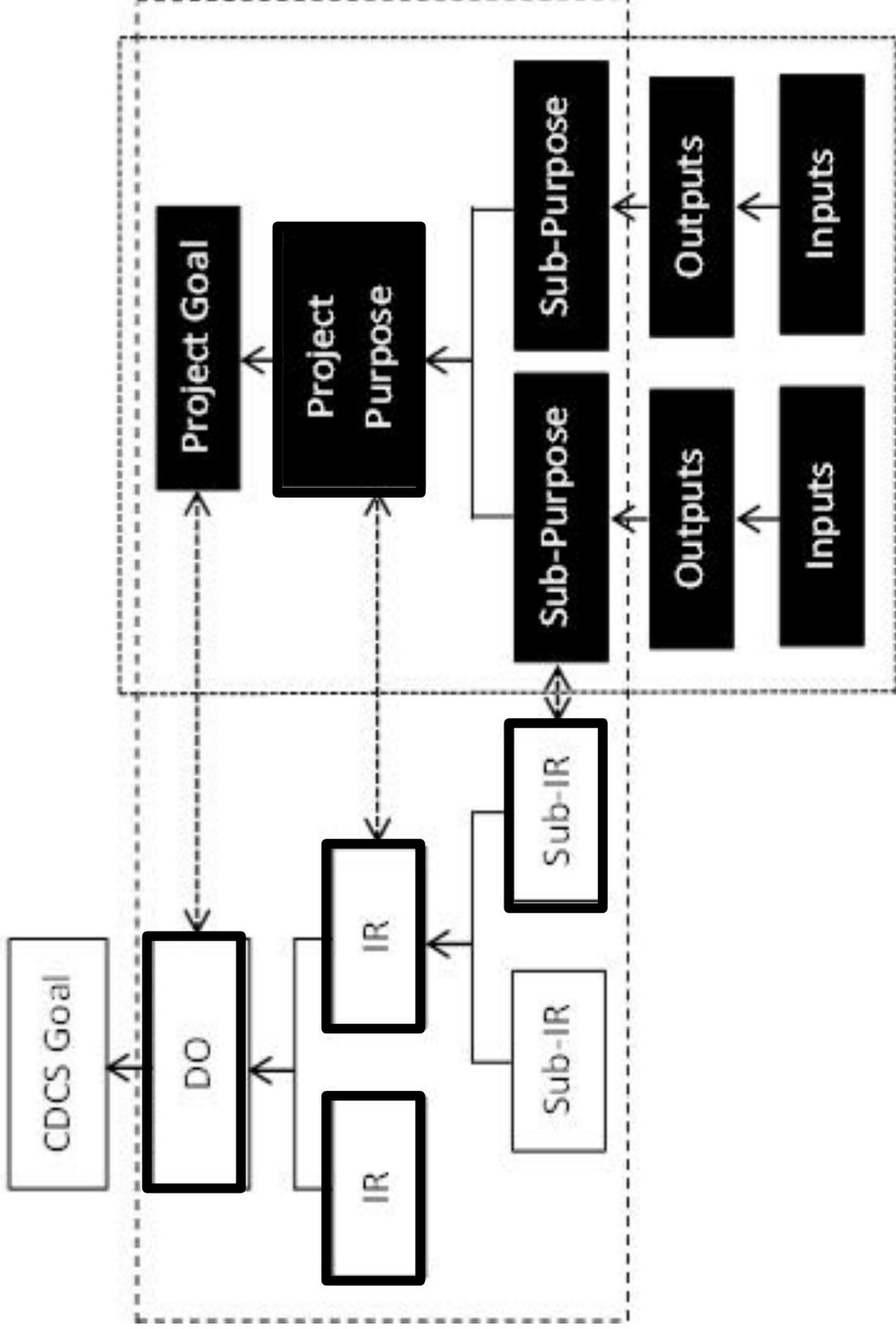




# Strategic Links for Projects

WHY  
Results Framework

HOW  
Logical Framework







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## APPLIED ENRM PROGRAMMING COURSE E3 ENVIRONMENT INDICATORS

Program Area	Program Element	Indicator	Outcome or output	Level
4.8 Environment		Diversification and reduced volatility of income due to USG assistance	outcome	project
4.8 Environment	4.8.1 Natural Resources and Biodiversity	Number of hectares of natural resources showing improved biophysical conditions as a result of USG assistance	outcome	project
4.8 Environment	4.8.1 Natural Resources and Biodiversity	Number of people with increased economic benefits derived from sustainable natural resource management and conservation as a result of USG assistance.	outcome	project
4.8 Environment	4.8.1 Natural Resources and Biodiversity	<b>Number of hectares of biological significance and natural resources under improved natural resource management as a result of USG</b>	outcome	project
4.8 Environment	4.8.1 Natural Resources and Biodiversity	Number of people receiving USG supported training in natural resources management and/or biodiversity conservation.	output	project
4.8 Environment	4.8.1 Natural Resources and Biodiversity	Number of days of USG funded technical assistance in natural resources management and biodiversity provided to counterparts or stakeholders	output	project
4.8 Environment	4.8.2 Clean Productive Environment	Number of institutions with improved capacity to address climate change issues as a result of USG assistance	output	project
4.8 Environment	4.8.2 Clean Productive Environment	Amount of investment leveraged in U.S. dollars, from private and public sources, for climate change as a result of USG assistance	outcome	project
4.8 Environment	4.8.2 Clean Productive Environment	Number of laws, policies, strategies, plans, agreements, or regulations addressing climate change formally proposed, adopted, or implemented as a result of USG assistance	output	project
4.8 Environment	4.8.2 Clean Productive Environment	Number of stakeholders with increased capacity to adapt to the impacts of climate variability and change as a result of USG assistance	output	project
4.8 Environment	4.8.2 Clean Productive Environment	Number of people receiving USG supported training in climate change	output	project

3.1.8 Water Supply and Sanitation			Percent of population using an improved drinking water source	Outcome
3.1.8 Water Supply and Sanitation			Percent of population using an improved sanitation facility	Outcome
3.1.8 Water Supply and Sanitation			Percentage of children under age five who had diarrhea in the prior two weeks	Outcome
3.1.8 Water Supply and Sanitation	3.1.8.1 Safe Water Access		Percent of households using an improved drinking water source	Outcome
3.1.8 Water Supply and Sanitation	3.1.8.1 Safe Water Access		Number of people gaining access to improved water source	Output
3.1.8 Water Supply and Sanitation	3.1.8.1 Safe Water Access		Number of people receiving improved service quality from existing improved drinking water sources	Output
3.1.8 Water Supply and Sanitation	3.1.8.2 Basic Sanitation		Percent of households using an improved sanitation facility	Outcome
3.1.8 Water Supply and Sanitation	3.1.8.2 Basic Sanitation		Number of people gaining access to an improved sanitation facility	Output
3.1.8 Water Supply and Sanitation	3.1.8.2 Basic Sanitation		Number of improved toilets provided in institutional settings	Output
3.1.8 Water Supply and Sanitation	3.1.8.3 Water and Sanitation Policy and Governance		Number of policies, laws, agreements, regulations, or investment agreements (public or private) that promote access to improved water supply and sanitation	Output
3.1.8 Water Supply and Sanitation	3.1.8.4 Sustainable Financing for Water and Sanitation Services		Public sector expenditures on drinking water and sanitation as a percentage of national budget	Outcome
3.1.8 Water Supply and Sanitation	3.1.8.5 Water Resources Productivity		Percent of a drinking water utility's supply that is non-revenue	Outcome

Tab Title: Day 5





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## APPLIED ENRM PROGRAMMING COURSE DAY FIVE AGENDA

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Day 5	
<b>Bringing It All Together</b> <ul style="list-style-type: none"><li>• Adaptive Management &amp; Implementation</li><li>• Course Review and Application Planning</li></ul>	<b>8:30 Start of the Day</b>
	<b>Field Trip Debrief</b> Discussion of observations and lessons learned from the field trip.
	<b>Adaptive Management &amp; Implementation</b> Presentation, discussion and simulation activity
	<b>Lunch</b>
	<b>Learning Application—Review of Course Concepts</b> Summary of the key learning from the course and strategic thinking and networking on current challenges in ENRM programming
	<b>Feedback / Training Evaluation / Closing</b>
	<b>End of the Course</b>





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## Adaptive Management and Implementation

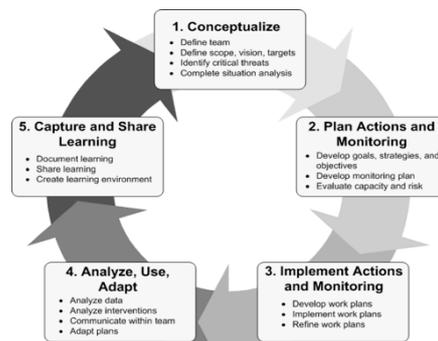
©Cartoonbank.com



*"My question is: Are we making an impact?"*

## What is Adaptive Management?

**Adaptive management** is a structured, iterative process of optimal decision making in the face of uncertainty, with an aim to reducing uncertainty over time via system monitoring.



*From the ENRM Overview Course Adaptive Management Tools Session*

## Why take an Adaptive Management approach

- ENRM programs take place in complex systems
- The world is a constantly and unpredictably changing place
- Other actors changing and adapting practices
- Immediate Action is required
- There is no such thing as complete information

## ENRM projects take place in complex systems

ENRM programs and activities are implemented in extremely complex systems that are influenced by a wide range of factors:

- *Geophysical*
- *Ecological*
- *Social*
- *Political*
- *Economic*
- *Institutional*
- *Random*



## Changing and unpredictable

### The world is a constantly and unpredictably changing place

Changes in everything from:

- Market fluctuations
- Volcanoes, floods, disease outbreaks, etc
- Political coups



## Threats change

### Other actors change tactics to adapt to changing conditions, such as:

- Poachers use new traps
- Logging entities change target species/habitats
- Elite interests lobby legislatures
- Commercial land developers expand inhabited space
- Big business influences public opinion through advertising



## Immediate action is required

- Missions implement ENRM programs where economic and environmental issues are at a critical stage and, usually, worsening.
- All the while, pressure on the environment continues.
  - Land Use Changes
  - Increasing pressure for agricultural land, water
  - Overharvesting
  - Logging
  - Increasing consumption
  - Increasing climatic variation

## No such thing as complete information

- Full understanding of ecological and socio-political variables is never possible.
- USAID DO teams do not have the luxury to wait.
- Important gaps in knowledge must be identified and addressed early in order to make the best decisions throughout the life of the program.

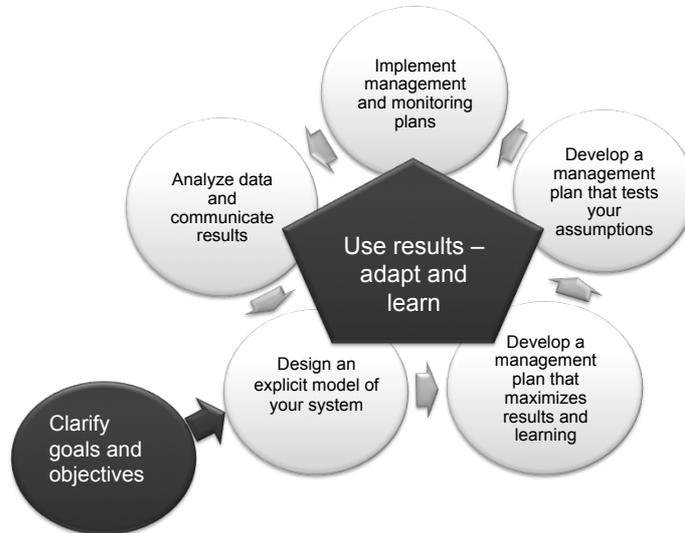


## Table Task

**At your tables discuss:  
Where have you needed to use adaptive  
management?**



## The Seven Steps of Adaptive Management



### 1. Establish a clear and common purpose

The objective(s) of the program should be:

- Clear,
- Known, and
- Shared by stakeholders in the program or activity.



## 2. Design an explicit model of your system

- Programming documents describe:
  - Description of the development context,
  - Existing enabling conditions and areas of concern
  - The systems in which the Mission intervenes, and
  - The outcomes expected from specific outputs.
- Results Framework expresses your development hypothesis.
- Logical frameworks, activity descriptions, and work plans also describe assumptions.

## 3. Develop a Management Plan that maximizes results and learning



- Your model is tested through the implementation of your project.
- Work plans focused on results, but executed in a way welcomes learning.
- Partner information is used and feedback is timely.

#### 4. Develop a Monitoring Plan to test your assumptions

- The PMP provides the data to prove or disprove your development hypotheses.
  - Indicators in the PMP may focus on any level of the RF, as well as elements of program activities.
- Additional data should be gathered as needed to augment USAID indicators
- Use additional information available – site visits, discussions with stakeholders.

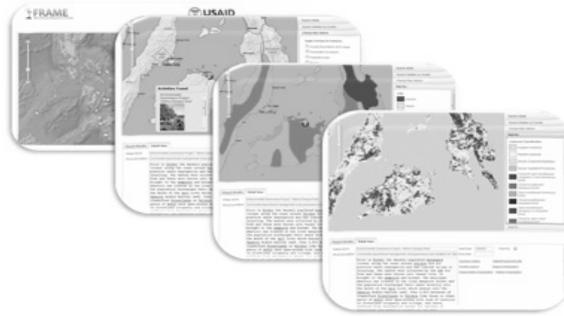
#### 5. Implement your Management and Monitoring Plans

- Stay engaged and observant along the program management cycle. Examine the relationship between management and monitoring plans
- What are some of the best practices you have used to monitor progress in the field?



## 6. Analyze data, adapt and learn

- Is the data providing information that allows you to evaluate progress towards your original objectives?
- How do you break from the existing plan to get where you need to go?
- Learn from success and challenges, share lessons

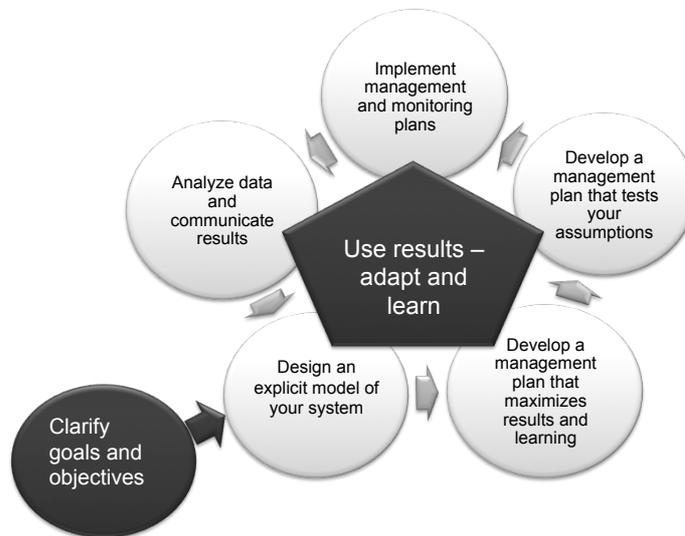


## 7. Use results to adapt and learn

- Adapt in current work and future plans
- Don't leave people behind when you change direction.
- Identify your key audiences to sharing directional changes and when discussing learning.
- Tailor the message to different audiences.

Use results –  
adapt and  
learn

## The Seven Steps of Adaptive Management



## How to Operationalize Adaptive Management at USAID

- Planning
  - Use past project evaluations
  - What conditions (ecological, socio-political) have changed
- Programming Tools
  - Procure what you want and need
  - Budget for M&E, Learning
- Implementation
  - Collect diverse information
  - Monitor, evaluate, refigure
  - Share outcomes, lessons
- Planning – play it forward!



## Summary

- Pay attention
- Track what is happening
- Be flexible adjust when necessary
- Capture the lessons





Tab Title: Journal





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## APPLIED ENRM PROGRAMMING COURSE

# DAILY JOURNAL AND APPLICATION PLAN

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These daily reflections and application plan are for your personal use during the course. You will have time at the end of each day to capture your thoughts from the day's sessions and to discuss your ideas and perceptions with other participants. You will also be asked to consider a current or future challenge you will face in ENRM programming as part of your reflections.

On the last day of the course, you will use your notes to identify linkages and applications from the course to your current and future work as well as to your specific ENRM programming challenge situation.

## Day One

### Topics of the Day:

- Setting the Context
- Global Climate Change
- Water



### Your Challenge:

Think about an ENRM programming challenge you are facing, or anticipate you will face. As you go throughout the course we will encourage you to think about what you have learned and how it applies to your real life situation.

- What is the ENRM programming challenge you are facing?
  - What is the context?
  - Who are the key players?
  
- What is your objective? What would you like to achieve?

### Daily Reflection

- What are two key learnings are you taking away from our discussions today that apply to this challenge or other aspects of your work?
  - Setting the Context
  
  - Global Climate Change
  
  - Biodiversity & Forestry

### Topics of the Day:

- Biodiversity & Forestry
- Food Security & Sustainable Agriculture
- Assessment



## Day Two

### Reflections:

- What are your two key learnings from the discussions, presentations and simulation group work today?
  - Water
  - Food Security & Sustainable Agriculture
  - Assessment

### Your Challenge:

- How can these learnings be applied to your current challenge or other aspects of your work?

## Day Three

### Topics of the Day:

- Design
- Monitoring & Evaluation



### Reflections:

- What are your two key learnings from the discussions, presentations and simulation group work today?
  - Design
  - Monitoring & Evaluation

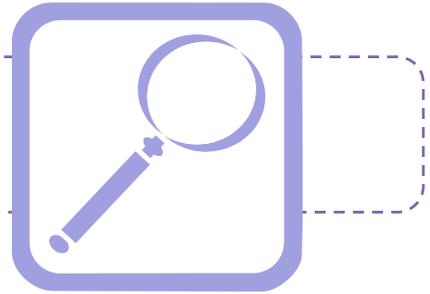
### Your Challenge:

- How can these learnings be applied to your current challenge or other aspects of your work?

## Day Four

### Topics of the Day:

- Field Trip



### Reflections:

- What are your two key learnings from the field trip?
  
  
  
  
  
  
  
  
  
  
- How do these learning relate to our course discussions and simulation work?

### Your Challenge:

- How can these learnings be applied to your current challenge or other aspects of your work?

## Day Five

### Topics of the Day:

- Adaptive Management and Implementation
- Bring it all Together



### Your Challenge – Peer Coaching Preparation:

- Review your reflection pages and note the major take aways from this course.

- How will these take away inform your current work?

- What is a major question that still remains?

**Discussion Notes:**

Use the space below to capture any notes your pair/trio discussions.