



# USAID/Brazil SO1 Data Quality Assessment, Data Collection and Monitoring Analysis and Technical Reports Aggregation

## FINAL REPORT

*Prepared for:*

*USAID / Brazil*

*Campinas - December 2001*

State University of Campinas  
Geosciences Institute  
Department of Science and Technology Policy  
Study Group on the Organization of Research and Innovation

PO BOX: 6152 – 13083-970 Campinas – SP – Brazil  
Tels: +55 19 788 4597 Fax: +55 19 289 1562 / 289 1097  
E-mail: [geopi@ige.unicamp.br](mailto:geopi@ige.unicamp.br)



**UNICAMP**



# Final Report

## USAID/Brazil SO1 Data Quality Assessment, Data Collection and Monitoring Analysis and Technical Reports Aggregation

*Prepared by:*

Debora Luz de Mello (coord.)  
Sonia Regina Paulino  
Mauro Zackiewicz  
Marcia Gonçalves Rodrigues

*Prepared for:*

USAID / Brazil

December 2001

Study Group on the Organization of Research and Innovation  
Department of Science and Technology Policy  
Geosciences Institute  
State University of Campinas

## Table of Contents

Executive Summary.....	1
Summary.....	3
Introduction .....	8
Chapter 1 – Description and analysis of the SO1 Results Framework: environment .....	11
1.1. Background: origin of the conceptual framework.....	11
1.2. The SO1 Results Framework .....	14
1.3. The recent period.....	16
Chapter 2 – Data Quality Assessment .....	20
2.1. Guidelines for Indicator and Data Quality.....	20
2.2. Brief characterization of the organizations that provide data .....	21
2.3. Indicators of the Results Framework.....	25
IR1.1 Sustainable management systems adopted and validated .....	27
IR1.2 Conservation unit and buffer zone management plans developed and validated..	29
IR1.3 Low impact forest management systems developed and validated .....	31
IR2.1 Institutions strengthened.....	34
IR2.2 Number of persons trained .....	36
IR2.3 Number of persons trained who are now trainers or training/extensionist functions/roles.....	39
IR3.1 National and local policies which support biodiversity conservation and natural resources management implemented and/or policy implementation improved.....	41
IR4.1 Number of people (reached and amount of environmental materials disseminated.....	43
SO1.1 Number of forest sites that adopt sustainable forest management techniques in addition to target operations and the hectarage covered by such operations.....	47
SO1.2 Number of conservation units in which government or private owners adopt aspects of sustainable management systems in addition to target areas .....	49
SO1.3 Number of families outside target areas who have adopted improved sustainable management systems.....	51
2.4. Aggregation of technical semi-annual reports .....	53
Chapter 3 – Conclusions: Elements for quality assessment of the data regarding the performance monitoring system adopted by USAID .....	55
3.1. Data quality assessment: operational problems .....	55
3.2. Data quality assessment: consolidation of its link to the strategic objective .....	58
3.3. Data quality assessment: execution of governance.....	60
Documents Consulted.....	63
Appendix 1 – Scope of Work.....	66
Appendix 2 – Program Personnel Contacted by the Assessment Team .....	68

Appendix 3 – Summary of received semi-annual reports .....	69
Appendix 4 – SO1 and RI Indicators .....	85
Appendix 5 – Index of Results Tracking Tables .....	91

## Acronyms & Abbreviations

ADS - Automated Directives System

BDFFP - Biological Dynamics of Forest Fragments Project

BTA - beyond target areas

CI - Conservation International

CP - Congressional Presentation

FFT – Fundação Floresta Tropical

FVA - Amazon Victory Foundation

Flonas – national forests

FY - Fiscal Year

GCC - Global Climate Change

GDP - Gross Domestic Product

GIS – Information Management System

IBAMA - Brazilian Environment and Natural Resources Institute

IBGE - Brazilian Institute of Geography and Statistics

IESB- Institute for Social and Environmental Studies of Southern Bahia

IIEB - International Institute of Education in Brazil

IMAZON - Institute of the Local Inhabitant and the Environment of the Amazon region

INPA - National Research Institute of the Amazon region

IPAM - Institute of Environmental Research of the Amazon region

IR – intermediate result

MF-EIR - forest management with low-impact extraction

PESACRE - Agro-forestry Development Program for Small Producers in the State of Acre

PMP - Performance Monitoring Plan

PNUD - United Nations Development Program

PR - Portfolio Review

PPG7 – Pilot Program for the Protection of Tropical Rainforests in Brazil

Probio – Project for the Conservation and Sustainable Use of Biological Diversity

R4 - Results Review and Resource Request

RESEX – extractivist reserve

RF – Results Framework

RPPN – National Reserve under Permanent Protection

RTT - Results Tracking Table

SAR - Semi-Annual Report

SI - Smithsonian Institution

SO1 - Strategic Objective

SOS Amazônia - SOS Amazon region

SPVS - Society for Wildlife Research and Environmental Education

SUNY - State University of New York

TFF - Tropical Forest Foundation

TNC - The Nature Conservancy

UF - University of Florida

USAID - United States Agency for International Development

USDA/FS - United States Forest Service

WHRC - Woods Hole Research Center

WWF – World Wildlife Fund

## Executive Summary

In 1990, USAID established an environment program directed, initially, towards Global Climate Change (GCC) and, more specifically, dwelling on carbon sequestration. Different regions and countries were chosen to become beneficiaries. In Latin America, this process set off focusing on Brazil, Mexico and Central America. In 1996, Brazil's program was broadened to include bio-diversity as well as including the Atlantic forest, Cerrado and Pantanal biomes.

Despite a relatively limited financial resource base and the absence of a formal bilateral agreement, the USAID/Brazil Environment Program has influenced public policies and has laid the groundwork for significant progress in reducing the threat of bio-diversity loss and towards a more complete response to global climate change. At the same time, USAID/Brazil's unique and innovative use of partners has allowed these globally relevant achievements to be translated into on-the-ground efforts of economic value.

The assessment considered that the analysis of the quality of the indicators and data only makes sense if it is connected to the conceptual framework which supports these same indicators and data. The problems detected as to the quality of the data are viewed as an important gap in the overall measurement of success of the environment program. Such difficulties have a negative repercussion in the governance process of the program.

### **Data quality assessment: overall recommendations and comments**

- ✓ Neither the quantity of indicators nor the complexity of the indicators systems should be increased. Changes which may come to occur should take place in order to simplify the system;
- ✓ It is fundamental to make improvements, at all levels of the PMP, in the procedures of documentation regarding the methodology which provides the basis for the collection of data;
- ✓ It is necessary to make sure that training exists for preparing the semi-annual reports (SARs) and for filling out the RTTs and that those providing the information are charged with the responsibility of standardizing the data required and reporting it in complete form. The flexibility of USAID's program should not be mistaken as an opportunity to not comply with the reporting standards and does not waive the responsibility of documenting the data supplied;
- ✓ The Beyond Target Areas indicators need to be able to demonstrate the participation of USAID's program in results that are relevant to the environment, whether or not they are within the reach and scope of its grantees and sub-grantees. In order to do so, a feasible option would be to identify important success cases and to map out the participation of USAID's grantees and sub-grantees;
- ✓ The SO1 level indicators should provide feedback regarding the adoption of sustainable practices fostered by the existence of the program and signal the existence of contingencies which prevent a more extensive diffusion of these practices. This signaling should re-shape the activities of the grantees and sub-grantees and, in this case, needs to be reflected in an adjustment of the intermediary indicators, both in the re-definition of the steps of the indexes as well as in terms of variations in the emphasis placed on each of the four intermediate results;
- ✓ The PMP tool must be inserted in the planning of partner organizations. In the current context, the development of projects has been based many times on an implicit mutual

relationship of trust among the partners which, from the point of view of the coordination, is greatly insufficient to ensure governance;

✓ Important spin-offs from the program refer to impacts associated with the actions of some partners in the sense of influencing public policies as well in their actions related to training, providing capacities and diffusion. Hence the importance of drawing the partners into closer relationships, especially the sub-grantees, a measure which is essential in order to witness spin off.

## Summary

In 1990, USAID established an environment program directed, initially, towards Global Climate Change (GCC) and, more specifically, dwelling on carbon sequestration. Different regions and countries were chosen to become beneficiaries. In Latin America, this process set off focusing on Brazil, Mexico and Central America. In 1996, Brazil's program was broadened to include bio-diversity as well as including the Atlantic forest, Cerrado and Pantanal biomes.

Despite a relatively limited financial resource base and the absence of a formal bilateral agreement, the USAID/Brazil Environment Program has influenced public policies and has laid the groundwork for significant progress in reducing the threat of bio-diversity loss and towards a more complete response to global climate change. At the same time, USAID/Brazil's unique and innovative use of partners has allowed these globally relevant achievements to be translated into on-the-ground efforts of economic value.

Programs and projects implemented by a set of eight grantees in the scope of USAID's Environment Program have been taken into consideration. These grantees are: Conservation International (CI), The Smithsonian Institution (SI), the Tropical Forest Foundation (TFF), The Nature Conservancy (TNC), the University of Florida (UF), the United States Forest Service (USDA/FS), the Woods Hole Research Center (WHRC) and the World Wildlife Fund (WWF).

With regards to the grantees' actions, we have sought to map out the focal point of action of their respective local partners or sub-grantees: Fundação Vitória Amazônica (FVA) ('Amazon Victory Foundation'); Instituto de Estudos Sócio-Ambientais do Sul da Bahia (IESB) ('Institute for Social and Environmental Studies of Southern Bahia'); Instituto Internacional de Educação do Brasil (IIEB) ('International Institute of Education in Brazil'); Instituto do Homem e Meio Ambiente da Amazônia (Imazon) ('Institute of the Local Inhabitant and the Environment of the Amazon region'); Instituto Nacional de Pesquisas da Amazônia (INPA) ('National Research Institute of the Amazon region'); Instituto de Pesquisa Ambiental da Amazônia (IPAM) ('Institute of Environmental Research of the Amazon region'); Grupo de Pesquisa e Extensão em Sistemas Agroflorestais do Acre (Pesacre) (Agro-forestry Development Program for Small Producers in the State of Acre); SOS Amazônia ('SOS Amazon region'); and Sociedade de Pesquisa em Vida Selvagem e Educação Ambiental (SPVS) ('Society for Wildlife Research and Environmental Education').

The focal point of action of sub-grantees demonstrates the strengthening and broadening of a wide range of actions initially based on research and the diffusion of techniques and practices for the sustainable use of natural resources. This movement is particularly noticeable in initiatives linked to the development of economic alternatives for the sustainable use of natural resources. In addition, during recent years, it has been verified that many different organizations which had been set up based primarily on a locally-focused tradition have begun to carry out actions having broader effects, mainly while seeking to influence in the definition of public policies.

In order to identify the impacts of the integrated actions of the environment program, USAID relies on the Performance Monitoring Plan (PMP). One of the main elements of this system is concerned with the establishment of indicators based on a Results Framework. These indicators measure intermediary results (IRs) and the impacts beyond target areas (BTAs), that is, impacts that improve natural resource management beyond project boundaries.

The BTA impacts are precisely the basis on which the current Strategic Objective (SO1) of the environment program lies, which calls for "environmentally and socio-economically sustainable alternatives for sound land use adopted beyond target areas". For each SO,

USAID/Brazil's performance monitoring system follows an overall strategy structure or Results Framework.

The SO1 of the program in Brazil has been developed through a logical framework which has established cause-effect relationships which link the results of the actions at a micro-level to a macro-level. Thus, going from a micro to a macro level, the following logical steps have been assumed for setting the results of the program into action:

1. Systems for sound land use identified, promoted and adopted in target areas (IR.1);
2. Target institutions and local human capacity strengthened (IR.2);
3. Target policies to support environmentally sound land use adopted and/or implemented (IR.3);
4. Sound land use systems disseminated beyond target areas (IR.4);
5. Environmentally & socio-economically sustainable alternatives for sound land use adopted beyond target areas (SO1).

According to the current PMP, the indicators of the Strategic Objective SO1 are:

**Indicator SO1.1:** Number of forest sites that adopt sustainable forest management techniques in addition to target operations and the hectareage covered by such operations (i.e. hectares of forest harvested using sustainable forest management methods);

**Indicator SO1.2:** Number of conservation units in which government or private owners adopt aspects of sustainable management systems in addition to target areas;

**Indicator SO1.3:** Number of families outside target areas who have adopted improved sustainable management systems.

USAID itself has been seeking, through the use of these tools, to validate and perfect the means for accompanying the events that have unfolded from the actions receiving its support, following a course directed towards periodical re-assessment of the existing system.

Once this table of reference has been defined, the present study considers that the analysis of the quality of the indicators only makes sense if it is connected to the conceptual framework which supports them. As has been seen, the conceptual framework, that which is under analysis, is provided by a results framework, tied to the strategic objective of the Environment program, which guides the PMP. This constitutes an important tool for implementing USAID's strategy, through defining which results are expected in contrast to the financing of a determined set of activities carried out by its partners and sub-partners.

From the viewpoint of USAID, the current Strategic Objective (SO1) of the environment program that are outside of the scope of the partners, that is, beyond target areas, and it has never been reviewed. Some adjustments have been made to incorporate incremental improvements to the PMP, but its basic structure and its logical framework have remained exactly the same. These adjustments regard the intermediary results (especially in the index's steps) and comply to partners' needs which may have come to occur, so as to make the respective indicators more suitable to the characteristics of their activities, continuously subject to evolution.

The indicators which have been used in the current SO1 have played an important role in measuring the effectiveness of the program in the country, at a broader level than that of the local partners' participation.

The problems detected as to the quality of the data are viewed, by the agency itself, as an important gap in the overall measurement of success of the environment program. Therefore, this assessment starts off by acknowledging that difficulties exist in correctly reporting the data required for implementing the PMP; these difficulties bring drawbacks directly to the level to which the strategic objective (SO1) of USAID/Brazil's environment program can be rendered effective.

Such difficulties have a negative repercussion in the governance process, in which USAID takes a leading role with respect to the set of grantees that it supports, basically by linking the SO1 to the results of the actions of the USAID network as they are perceived through performance indicators.

To reach conclusions regarding the shortcomings in the referred alignment and to put forward recommendations in order to contribute to eliminating these shortcomings, we will take three dimensions of analysis into consideration: operational, strategic and the execution of governance. The arguments built on these dimensions will be based on the analysis of the logical-conceptual framework of the PMP (Chapter 1), as well as on the identification of the focal points of action of the grantees and the sub-grantees and on the analysis of the Results Tracking Tables (RTTs) (Chapter 2), in the setting of the general context of USAID action.

### **Data quality assessment: operational problems**

Currently, both the lack of or imbalances in knowledge as well as the insufficient and uneven grasp of the SO1 and of the PMP, on the part of the organizations which make up the network, bring negative consequences to USAID with regards to the effectiveness of the Environment Program. The main operational problems in the current system may be linked to this situation.

It is not recommended to increase the quantity of indicators nor the complexity of the indicators system. Changes which may come to occur should take place in order to simplify the system. The efficiency and quality of monitoring depends more on how adequate the monitoring is to its conceptual framework and on how accurately it is put into operation than on what extent it is exhausted. The set of organizations which make up the USAID network and the heterogeneity of its activities add weight to the need to focus the monitoring on core objectives as opposed to attempts to monitor all the activities.

It is fundamental to make improvements, at all levels of the PMP, in the procedures of documentation regarding the methodology which provides the basis for the collection of data. If this is not done, all of the assessment and auditing processes will come up against the obstacle of insufficiencies in references that are documented and organized, which greatly hampers these activities. The non-compliance with the standards that USAID has defined implies that a large quantity of information and knowledge will remain in the hands of a few individuals instead of serving the organizations. In this manner, a lot of information which could be relevant to USAID may easily end up lost. The flexibility of USAID's program should not be mistaken as an opportunity to not comply with the reporting standards and does not waive the responsibility of documenting the data supplied. The relationships of trust which have been established are a vital asset for making the program feasible but should not at any moment put the quality of the data reported into jeopardy,

It is necessary to make sure that training exists for preparing the semi-annual reports (SARs) and for filling out the RTTs and that those providing the information are charged with the responsibility of standardizing the data required and reporting it in complete form. This is the course for USAID to strengthen the governance over the network that it finances in order to assure the achievement of its strategic objective in the country.

The aggregation of the SARs is justified in order to provide an overview of the results of the actions supported in the scope of USAID's Environment program. However, in order to accomplish the main objective to which this aggregation lends itself, that is, to provide support to USAID in its global strategy and, particularly, in the achievement of the SO1, this aggregation only proves worthwhile and only has its results potentially incremented if it is linked to the performance monitoring system. The first step, which is unavoidable, is to fill out the RTTs in a satisfactory manner, which, it should be stressed, should result in a report which conforms to the objectives that are subjugated to the items proposed in the reporting instructions.

The BTA indicators need to be able to demonstrate the participation of USAID's program in results that are relevant to the environment, whether or not they are within the reach and scope of its grantees and sub-grantees. In order to do so, a feasible option would be to identify important success cases and to map out the participation of USAID's grantees and sub-grantees. The decision as to whether to report such cases should be made by USAID itself, as it should also hold itself responsible for the quality of the information.

### **Data quality assessment: consolidation of its link to the strategic objective**

The SO1 level indicators really serve much more as a tool for monitoring the setting in which the program is inserted. They provide, in fact, feedback regarding the adoption of sustainable practices fostered by the existence of the program and they signal the existence of contingencies which prevent a more extensive diffusion of these practices. This signaling, when interpreted by the agents of the program, re-shapes the activities of the grantees and sub-grantees. Furthermore, this signaling may be reflected in an adjustment of the intermediary indicators, both in the re-definition of the steps of the indexes as well as in terms of variations in the emphasis placed on each of the four intermediate results.

USAID's conceptual structure aids in grasping the macro vision and the strategic thinking regarding the actions that benefit conservation. Undoubtedly, the program as a whole can benefit from consolidating the language shared and from the reflection needed for the accompaniment and continuous review that the monitoring system imposes upon the network.

In order to achieve the SO1, USAID should pay close attention to the privileged role that it plays in terms of coordination. Its success is closely tied to its capacity to carry out governance in the network where it serves as a nucleus and in the complex system of actors and decisions that make up the current environmental issue.

### **Data quality assessment: execution of governance**

The data quality assessment has demonstrated limits in the linking of the institutional environment (the USAID network) to the governance structure (the PMP as referenced to a specific strategic objective). Here difficulties appear with respect to making a PMP's original structure compatible with the results that it seeks to monitor seeing as these results are associated with a program that has evolved and has shown changes as time goes by.

Consequently, the coordination by USAID of the network of organizations should be tied to the consolidation of a governance process directed precisely towards addressing these problems. Thus, it is important to stress the need to ensure that the coordination of the actions implemented by the set of participants in the network is carried out in the best way possible.

However, if USAID has, to start off with, a unique tool, the performance monitoring system, for the coordination of the network of which it is the nucleus. The issue to be solved is to how

to make the execution of governance more fruitful in order to ensure and consolidate the effectiveness of the program.

In order to do so, the strengthening of the USAID network, for the achievement of the SO, requires that PMP demands be inserted in the planning of partner organizations. In the current context, the development of projects has been based many times on an implicit mutual relationship of trust among the partners which, from the point of view of the coordination, is greatly insufficient to ensure governance.

It should be realized that building a governance structure does not imply in the establishment of a relationship which will be able to cope with all the events which may by chance come up. This makes re-negotiation inevitable. Thus, the coordination of the USAID network should be viewed as a collective construction that the agency itself and the partner organizations (grantees and sub-grantees) participate in, and, in this manner, it should be capable of establishing the basis for a shared organizational learning process.

Finally, it should be highlighted that a spin off exists for the rest of the institutional setting which is associated to the issue of environmental conservation. This spin off refers to impacts associated to the actions supported by USAID, but which go beyond the limits and objectives defined in the projects supported. This is, by and large, one of the fruits borne from recent directions of some partners in the sense of influencing public policies as well in their actions related to training, providing capacities and diffusion. Hence the importance of drawing the partners into closer relationships, especially the sub-grantees, which is essential in order to witness spin off.

In conclusion, the role played in the organizational learning process of USAID's partners and in the occurrence of spin-offs associated to the actions developed within the scope of the Environment Program are the basis of the contributions of USAID to the debate on and evolution of the topic of environment in the country.

## Introduction

This document presents the results of the assessment, carried out by an independent team, of the quality of the data required in the performance monitoring system adopted by the Agency for International Development (USAID/Brazil) in its Environment Program. Based on the term of reference of this work (see annexes), three objectives have been pursued: the data quality assessment of all current environment program-supported projects; the design of a process for data collection, verification and monitoring of strategic objective (SO1) level indicators pertaining to results achieved beyond target areas and for the collection of data, verification and analysis of the performance of these same indicators; and the aggregation of technical semi-annual reports concerning activities implemented in the fiscal year 2000. Programs and projects implemented by a set of eight grantees in the scope of USAID's Environment Program have been taken into consideration. These grantees are: Conservation International (CI), The Smithsonian Institution (SI), the Tropical Forest Foundation (TFF), The Nature Conservancy (TNC), the University of Florida (UF), the United States Forest Service (USDA/FS), the Woods Hole Research Center (WHRC) and the World Wildlife Fund (WWF).

This assessment was carried out in a period of a little over two months, from the middle of September to the end of November, 2001. The main objective was to analyze the quality of the data provided by USAID/Brazil's partner organizations, using as a reference the strategic objective tied to the Environment Program and the performance indicators that make up the results framework.

The Brazilian unit of USAID has focused the large majority of the actions of its program in the country on the environment, with emphasis on two issues: forest and bio-diversity loss and global climate change. USAID/Brazil's Environment Program was set up in 1990 and it considers actions concentrated mainly in the Amazon region.

As the backdrop for defining the course of USAID/Brazil's actions, two needs have been identified: that of the development and diffusion of conservation practices and that of the need for the sustainable exploitation of natural resources in the Amazon region. Such a course of action is warranted seeing as the Brazilian Amazon contains about 40% of the world's remaining tropical rainforests and plays vital roles in maintaining bio-diversity, regional hydrology and climate, and terrestrial carbon storage.<sup>1</sup>

As stated by SAUNIER *et alii* (2001)<sup>2</sup> "Despite a relatively limited financial resource base and the absence of a formal bilateral agreement, the USAID/Brazil Environment Program has influenced public policies and has laid the groundwork for significant progress in reducing the threat of bio-diversity loss and towards a more complete response to global climate change. At the same time, USAID/Brazil's unique and innovative use of partners has allowed these globally relevant achievements to be translated into on-the-ground efforts of economic value".

In order to identify the impacts of the integrated actions of the referred program, USAID relies on the Performance Monitoring Plan (PMP). One of the main elements of this system is concerned with the establishment of indicators based on a Results Framework. These indicators measure intermediary results (IRs) and the impacts beyond target areas (BTAs), that is, impacts that improve natural resource management beyond project boundaries.

---

<sup>1</sup> LAURANCE, W. F. *et alii* – The Future of the Brazilian Amazon, In Science, volume 291, pp. 438-439, 19 January 2001.

<sup>2</sup> SAUNIER, R. E. *et alii* – An Impact Assessment and Framework for Discussing the 2003-2007 Strategic Plan of the USAID/Brazil Environment Program. Environmental Policy and Institutional Strengthening Indefinite Quantity Contract (EPIQ), Final Report, may 2001.

The BTA impacts are precisely the basis on which the current Strategic Objective (SO1) of the environment program lies, which calls for “environmentally and socio-economically sustainable alternatives for sound land use adopted beyond target areas”. For each SO, USAID/Brazil’s performance monitoring system follows an overall strategy structure or Results Framework.

USAID itself has been seeking, through the use of these tools, to validate and perfect the means for accompanying the events that have unfolded from the actions receiving its support, following a course directed towards periodical re-assessment of the existing system.

The importance assigned to the performance monitoring instruments is bound initially to the need for obtaining quantitative data in order to provide support to and warrant the budgetary resources endowed.

The present study aims to provide subsidies for a broader discussion which shall not end with data quality assessment. To this aim, three levels of analysis, which are all deeply interconnected, have been taken up: (i) the operational level; (ii) the strategic level; and (iii) the execution of governance. This last level refers to the forms through which the organizations have been managing their interests.<sup>2</sup>

The study lies mainly in the examination and analysis of USAID official documents, of the semi-annual reports (SARs) drawn up by the grantees, in the research carried out in the field in conjunction with grantees and sub-grantees and in the examination and analysis of the Result Tracking Tables (RTTs).

This document has been developed in three chapters. In Chapter 1, the Performance Monitoring Plan (PMP) is addressed, with emphasis being given to the description and analysis of the SO1 Results Framework. We have sought to identify the events that have led to its creation and to describe in detail its logical and conceptual framework in the light of the current context.

Chapter 2 focuses on the objectives with regards to the data quality assessment of the projects financed through the Environment Program and on the aggregation of the semi-annual reports (SARs) drawn up by the grantees. This has been done based on the identification of the lines of action in which the grantees have inserted themselves; on the analysis of the data regarding each of the performance indicators which make up the PMP; and on the analysis of the SARs.

With regards to the grantees’ actions, we have sought to map out the focal point of action of their respective local partners or sub-grantees: Fundação Vitória Amazônica (**FVA**) (‘Amazon Victory Foundation’); Instituto de Estudos Sócio-Ambientais do Sul da Bahia (**IESB**) (‘Institute for Social and Environmental Studies of Southern Bahia’); Instituto Internacional de Educação do Brasil (**IIEB**) (‘International Institute of Education in Brazil’); Instituto do Homem e Meio Ambiente da Amazônia (**Imazon**) (‘Institute of the Local Inhabitant and the Environment of the Amazon region’); Instituto Nacional de Pesquisas da Amazônia (**INPA**) (‘National Research Institute of the Amazon region’); Instituto de Pesquisa Ambiental da Amazônia (**IPAM**) (‘Institute of Environmental Research of the Amazon region’); Grupo de

---

<sup>2</sup> The analytical level concerned with governance structures constitutes a branch of New Institutional Economics (NIE) called Economics of Transaction Costs. Regarding this agenda of research, see Azevedo, P.F., *Integração vertical e barganha* (Vertical Integration and Bargaining), São Paulo: USP/FEA, 1996. Doctorate thesis; Williamson, O. E. *The mechanisms of governance*. New York: Oxford University Press, 1996; and Williamson, O. E. *Comparative economic organization: the analysis of discrete structural alternatives*. Administrative Science Quarterly, v. 36, June, 1991.

Pesquisa e Extensão em Sistemas Agroflorestais do Acre (**Pesacre**) (Agro-forestry Development Program for Small Producers in the State of Acre); **SOS Amazônia** ('SOS Amazon region'); and Sociedade de Pesquisa em Vida Selvagem e Educação Ambiental (**SPVS**) ('Society for Wildlife Research and Environmental Education').

Chapter 3 put forwards the general conclusions and recommendations in order to provide support in the design of a process for data collection, verification and monitoring of strategic objective (SO1) level indicators pertaining to results achieved beyond target areas and for the collection of data, verification and analysis of the performance of these same indicators.

Finally, the annexes contain reproductions of the material which has guided and aided in this assessment, as well as a list of the people interviewed and the abbreviations/acronyms used.

# Chapter 1 – Description and analysis of the SO1 Results Framework: environment

The objective of this chapter is to retrieve the context on which the performance monitoring plan – adopted by USAID at the present moment – was based. Furthermore, we have sought to detail its logical and conceptual framework and to discuss it in the light of the present context, in which the network of organizations linked to the Agency (which has the role of a nucleus) can acquire increasing levels of autonomy and diversify its portfolio of activities.

In order to do so, we have considered, in qualitative terms, elements that illustrate the changes in the context in which the USAID program has inserted itself and we have sought to highlight vital questions which should be taken up for a re-direction of this insertion.

## 1.1. Background: origin of the conceptual framework

The role of USAID/Brazil has been laid down in accordance with a series of official documents, among which the following have had prominent standing:

- The Congressional Presentation (CP), a document sent to Congress in Washington, D.C. to report on the performance of USAID/Brazil and, consequently, to provide information that warrants its portfolio. This document is drawn up through and supported by a wide range of data and information regarding the actions financed by the agency;
- The following reports are added to the CP: the Results Review and the Resource Request (R4), which is the main document submitted annually to USAID/Washington. The R4 includes a summary of the performance of the mission and requests financial resources to make it possible to reach the budget needed;
- Therefore, in order to provide support in the preparation of the CP and the R4, the agency has relied on the Portfolio Review (PR), which is an internal management tool used to review the activities and indicators and carry out other reviews and which is also used in order to arrange for data collection;
- The Performance Monitoring Plan (PMP) is a tool which is used to document the process of data collection;
- The Semi-Annual Report (SAR) and the Results Tracking Tables (RTT) have been the sources of data regarding the results of the actions supported by USAID and have been made up of documents provided by grantees.

In this manner, the process for documenting USAID's role has relied on official reports which may be classified according to three levels of aggregation: (i) disclosure and rendering warrants to the source providing budgetary funding (CP and R4); (ii) the Agency's internal management tools (PR and PMP); and, (iii) sources of data for checking the results (SAR and RTT).

The portrayal of the referred process of documentation which has been set forth in the previous lines is deemed necessary, seeing as USAID actions report back to guidelines and procedures laid down by the agency itself.

Let us now analyze the background regarding the performance monitoring system. In 1990, USAID established an environment program directed, initially, towards Global Climate Change (GCC) and, more specifically, dwelling on carbon sequestration. Different regions

and countries were chosen to become beneficiaries. In Latin America, this process set off focusing on Brazil, Mexico and Central America (SALLES-FILHO, *et. alii*, 2000)<sup>3</sup>.

In 1996, Brazil's program was broadened to include bio-diversity as well as including the Atlantic forest, Cerrado and Pantanal biomes. But it is crucial to note that "the original plan was designed for the GCC Program in the Amazon region and was intended to estimate levels and trends in the indicators, whether or not they could be attributed to USAID activities, on the understanding that the program is not accountable for the achievement of the strategic objective (SO) as such, but only for the specific goals set for each project and defined as intermediate results" (SAWYER, 1997)<sup>4</sup>.

This observation leads to three aspects which were fundamental in the original development of the Performance Monitoring Plan (PMP) of USAID's environment program in Brazil, which defines the current Strategic Objective (SO1), the results framework and its indicators.

First, it is a conceptual structure which refers to the biome of the Amazon region and aims to combat the causes of the problems linked to carbon sequestration.

Second, the strategic objective defined was considered to be the collective result of the efforts of the many different partners USAID had in the country, which, in turn, had already been defined and were already carrying out their roles when the PMP was defined. Thus, the intermediary indicators of the PMP formed a mosaic which sought to capture the diversity of the objectives and of the guidelines of the organizations which were partners in the program.

Third, the indicators of the impacts beyond target areas (BTA) went beyond the realm of action<sup>5</sup> of the organizations included in the program. If, on the one hand, this procedure has demonstrated to be extremely useful, in the participation in the construction of the monitoring system as well as in the flexibility and trust granted the partners on behalf of USAID, on the other hand, due to the program's evolution, many different aspects of the PMP came to present limitations, creating dissatisfaction among the participants of the program; mainly USAID itself.

This has made it possible to diagnose that "as a result of beginning implementation of the new USAID environment program in Brazil, for which 1996 is a baseline, the scope of the study as originally planned was broadened considerably along several dimensions related to geographical limits, time and program reference, environmental scope and type of protected area" (SAWYER, 1997).

According to this same report, this new configuration acquired through the actions financed by USAID would inevitably lead the program to a higher level of complexity which, in conjunction with the higher level of maturity acquired throughout the six years of experience up to then, have lead to the realization that:

- ➔ the program was relatively small in relation to the dimensions of the Amazon region but, modest as the USAID program may be in terms of resources, and large as the Amazon and Brazil may be, it is not unrealistic to imagine that the program can have impact at the aggregate level;

---

<sup>3</sup> SALLES FILHO, S. L. M. et alii – Avaliação do Programa do WWF em Parceria com a USAID no Brasil. Final Report, Brasília, october 2000.

<sup>4</sup> SAWYER, D. – Estimation of Current Indicators for Evaluation of the Strategic Objective of USAID'S Global Climate Change Program, september 1997.

<sup>5</sup> And, in theory, beyond the realm of perception and the monitoring capacity of the partner organizations as well.

- it is no longer appropriate to think of the USAID environment program as limited to local communities;

With regards specifically to the indicators defined in the PMP, SAWYER (1997) encountered difficulties:

- to make a distinction between “target” and “beyond target” areas;
- to demonstrate the cause-effect relationships shown in the results framework;
- to incorporate and measure new concepts (e.g. ecological corridor) which came up after the definition of the indicators;
- to make data available.

By way of a conclusion, the assessment carried out by the aforementioned author stressed that the set of indicators was fragile, seeing as “there may be the risk of exaggerating the contribution or, on the other hand, of showing that the situation of deforestation is worsening in spite of program efforts”. He goes on to add “it all depends on the interpretations of the indicators, not on the indicators themselves. The knowledge required for indicators related to program or project goals is highly specific and only the participants and staff can define and measure progress toward goals”.

Besides questioning the validity of the results framework and of the PMP, this assessment has demonstrated that the program has in fact undergone significant qualitative changes and that the monitoring system used has not been able to keep up with these changes.

Since then, some adjustments have been made to incorporate incremental improvements to the PMP, but its basic structure and its logical framework have remained exactly the same.

These adjustments regard the intermediary results (especially in the index’s steps) and comply to partners’ needs which may have come to occur, so as to make the respective indicators more suitable to the characteristics of their activities, continuously subject to evolution.

From the viewpoint of USAID, the current Strategic Objective (SO1) of the environment program calls for “environmentally and socio-economically sustainable alternatives for sound land use adopted beyond target areas” that are outside of the scope of the partners, that is, beyond target areas, and it has never been reviewed. The indicators which have been used in the current SO1 have played an important role in measuring the effectiveness of the program in the country, at a broader level than that of the local partners’ participation.

The SO1 of the environment program in Brazil refers to USAID’s Strategic Objective no. 5, which seeks to protect the environment for long-term sustainability around the world through programs directed at five broad objectives:

1. Reduction in the threat of global climate change;
2. Conservation of biological diversity;
3. Sustainable management of urbanization, including improvements in pollution management;
4. An increase in the proportion of environmentally sound energy services;
5. An increase in the sustainability of natural resources management.

In order to do so, the Agency uses the following country-level indicators or clusters to assess countries' environmental performance:

- a) Government commitment index, comprising environmental strategies developed, treaties ratified, and international reporting;
- b) Nationally protected areas (total thousands of square kilometers and as a percentage of total land area);
- c) Carbon dioxide emissions per capita;
- d) Urban population with access to safe drinking water (percentage of population);
- e) Urban population with access to sanitation services (percentage of population);
- f) Efficiency of energy use [gross domestic product (GDP) per unit of energy use];
- g) Total forest area (annual percentage change and in hectares).

In each country, the program makes use of its own subset of objectives and indicators, according to the PMP defined. In Brazil's case, the objectives are those of numbers 1 and 2 and the indicators were defined in a cluster to make up the indicator b.

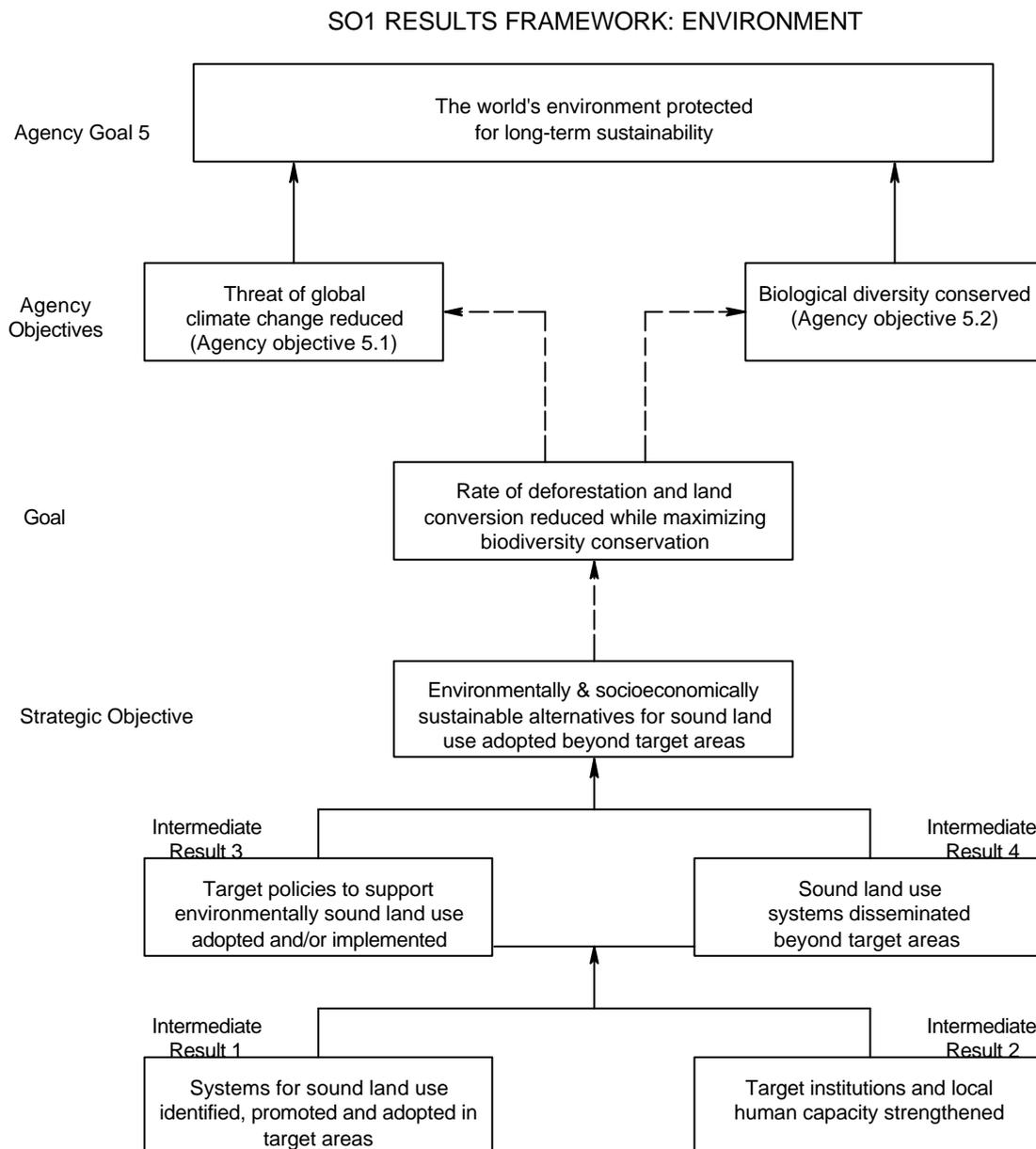
## 1.2. The SO1 Results Framework

The SO1 of the program in Brazil has been developed through a logical framework which has established cause-effect relationships which link the results of the actions at a micro-level to a macro-level. Figure 1 shows how these relationships have developed and how the different results expected from the program are interrelated, conceptually speaking. The agency's strategic objective is at the center of the framework. Upon accomplishing the results expected for the SO1, gains occur at the higher levels of the framework, that is, these accomplishments directly collaborate with the achievement of the Goal, Agency Objectives and Agency Goal 5, as can be seen in the diagram of Figure 1. The results of the SO1, in turn, are conditioned to a set of intermediary results which have emerged from the roles of the grantees and sub-grantees. At the bottom of the diagram, the results related to the activities carried out at the local level (IR.1 and IR.2) have been considered. At the subsequent level lie the results that refer to the efforts in the dissemination of sound land use systems (IR.4) and in the consolidation of the institutional conditions for the adoption of such systems (IR.3).

Thus, going from a micro to a macro level, the following logical steps have been assumed for setting the results of the program into action:

6. Systems for sound land use identified, promoted and adopted in target areas (IR.1);
7. Target institutions and local human capacity strengthened (IR.2);
8. Target policies to support environmentally sound land use adopted and/or implemented (IR.3);
9. Sound land use systems disseminated beyond target areas (IR.4);
10. Environmentally & socio-economically sustainable alternatives for sound land use adopted beyond target areas (SO1);

11. Rate of deforestation and land conversion reduced while maximizing bio-diversity conservation (Goal);
12. Threat of global climate change reduced (Agency objective 5.1) and Biological diversity conserved (Agency objective 5.2)
13. The world’s environment protected for long-term sustainability (Agency Goal 5).



**Figure 1: Cause-effect relationship of SO1 results from micro to macro levels**

Indicators exist for all the intermediary results and for the Strategic Objective. The indicators, which will be analyzed in Chapter 2, define which aspects of these results have been grasped in the field and, consequently, have oriented the perception that the program has obtained through its actions.

The indicators for intermediary results quantify the results of the actions of grantees and sub-grantees and work as a tool for monitoring the activities and the relevance of these activities to the program. The indicators of the Strategic Objective (indicators of BTA impacts) quantify the effectiveness of the USAID program as a whole and measure its relevance with regards to the Agency Objective 5. These BTA indicators are, beyond a shadow of a doubt, the most important indicators for USAID and should therefore be treated with due care.

According to the current PMP, the indicators of the Strategic Objective SO1 are:

**Indicator SO1.1:** Number of forest sites that adopt sustainable forest management techniques in addition to target operations and the hectareage covered by such operations (i.e. hectares of forest harvested using sustainable forest management methods);

**Indicator SO1.2:** Number of conservation units in which government or private owners adopt aspects of sustainable management systems in addition to target areas;

**Indicator SO1.3:** Number of families outside target areas who have adopted improved sustainable management systems.

Once this table of reference has been defined, the present study considers that the analysis of the quality of the indicators only makes sense if it is connected to the conceptual framework which supports them. As has been seen, the conceptual framework, that which is under analysis, is provided by a results framework, tied to the strategic objective of the Environment program, which guides the PMP. This constitutes an important tool for implementing USAID's strategy, through defining which results are expected in contrast to the financing of a determined set of activities carried out by its partners and sub-partners.

The indicators which make up the results framework are measurements of specific aspects chosen among the results which have occurred from the field activities that, in theory, would be capable of demonstrating the level of achievement of the objectives present in the conceptual framework. They shall provide feedback as to the degree of success reached by the work carried out in the real world when confronted with the work planned in the 'ideal world' of the conceptual framework.

Thus, one can notice that a poor performance of an indicator may mean a low level of achievement in the result to which it corresponds. Furthermore, a bad choice of indicator to represent an expected result or even a conceptual flaw which leads to projecting an effect (result) in theory which does not have any corresponding representation in the real world, will make it impossible to measure such a result objectively in a satisfactory manner. Likewise, a good performance does not free itself from such contingencies.

It is evident that the exceptions which exist must be considered with regards to making the PMP adequate to the current context of the USAID program. Nonetheless, it should be pointed out, that these inadequacies are natural, seeing as the program has evolved, along with the environmental issues in the country, which, one may add, have done so to a great extent due to a series of results which can be attributed, by and large, to its network.

### 1.3. The recent period

As of the 90s, the environmental issues in Brazil have clearly gained in complexity and public awareness. Various recent studies have agreed upon these points.

SAUNIER *et alii* (2001), starting off from an assessment of the impacts produced by USAID's environment program in Brazil, have encountered a much broader set of effects beyond target areas than could be attributed to the program.

According to this study, “impacts beyond target areas consistently exceeded the modest character of the targets. They may occur according to six categories:<sup>6</sup>

1. technology transfer;
2. organizational development;
3. training and human resources;
4. information, education and communication;
5. advocacy;
6. networking.”

In addition, the study identified several comparative advantages in the program, heard from USAID/Brazil partners:

- a. the integration of conservation and development;
- b. long-term interest and experience in working with civil society;
- c. working with communities and long-term projects;
- d. flexibility, creativity, responsiveness, and mobilization;
- e. experience in implementing educational, training, and capacity-building projects;
- f. successful operations on many scales;

In the words of SAUNIER (2001) and his collaborators, “when the program was working primarily with community-level demonstration projects, it was appropriate for it to consider impacts beyond target areas. However, in the case of public policy and other areas, targets have become broader and should be institutionalized so that target areas are not isolated points, but rather more systemic objectives. Evidence shows that the Program can influence millions of people over many square kilometers and leverage the use of billions of dollars at the national level. At the same time, community-level work should not be abandoned—advocacy and dissemination can be done best if the program keeps its feet on the ground and works locally, as well”.

These points which have been verified give support to the idea that USAID’s Environment program has undergone qualitatively significant changes throughout its existence and that this has assuredly brought difficulties to the task of making the original monitoring structure compatible with a large part of the results currently generated, many of which may not have even been dreamt of in the past. In Chapter 2, we will discuss many different cases which may be fit into this situation of inadequacy between the original PMP and the current context of the projects and the partner organizations.

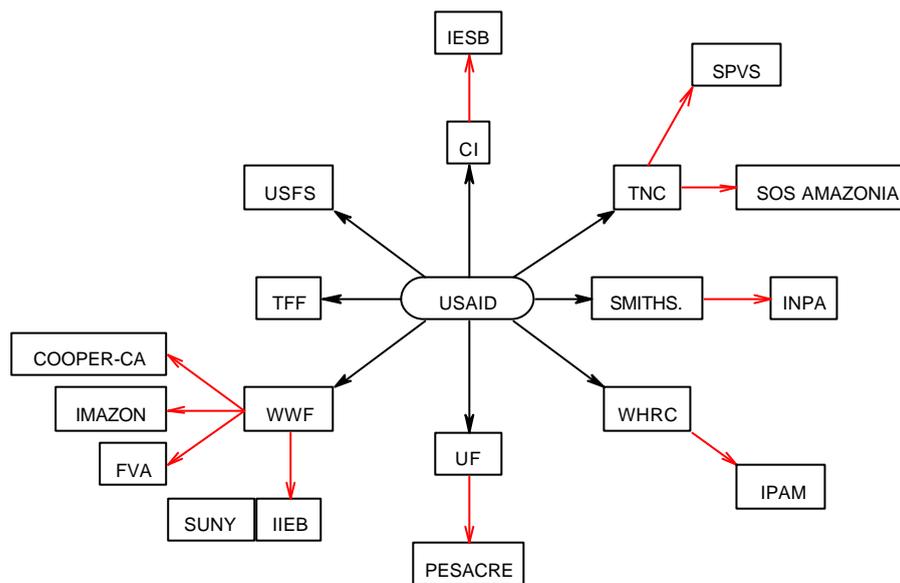
One important consequence of these changes, which should be put forward, dwells in the interpretation itself of the program. At the present time, it cannot be perceived of as being simply a list of organizations which have become beneficiaries. There lies the pertinence of

---

<sup>6</sup> See SAUNIER *et al.*, 2001 for extensive definitions of these categories and examples from USAID’s program that illustrate them.

giving weight in the analysis of the program to the concept of networks<sup>3</sup>. We are before a complex system in which USAID maintains an eminent position, whether as an entity known for articulating through its connections (networking), or as an important point of reference of present times, both in terms of financing as well as in terms of organizational development.

In Figure 2, a portrayal can be seen of the network, considered for this study, containing USAID at its nucleus. In this network, the USAID-grantees connections have been portrayed in black and the grantees-sub-grantees connections have been demonstrated in red. It is known that many of the grantees and sub-grantees establish partnerships among themselves, to a higher or lower extent and at a higher or lower frequency. Moreover, other public and private organizations and of civil society interact with the elements of the network depicted; nevertheless, the diagram should not be overloaded with such interactions.



**Figure 2: Network of the USAID program**

In Figure 3, the target biomes of the organizations which participate in the network have been indicated. Those organizations not having any association to any specific biome have diversified participation among themselves or are directed towards activities having a systemic impact.

This schematic representation will be used as a reference in this report. It enables a quick visualization of important characteristics of the program. More specifically, it works as a visual reference which makes it possible to fix the notion that the program should be viewed as a heterogeneous, yet coherent and articulate, whole, i.e., as a network structured around USAID.

From this point of view, the concept of governance structures is put forward<sup>4</sup> to give support to the analysis of the performance monitoring system. In this manner, the cited system should be considered a tool which seeks to direct and discipline the behavior of the

<sup>3</sup> See CALLON, 1992. The network would be a coordinated set of heterogeneous agents that participate collectively in the creation, development, production and dissemination of technologies for the production of goods or rendering of services.

<sup>4</sup> The level of analysis based on the concept of governance is proposed by the New Institutional Economics (NIE). Dedicated to the study of institutions, the NIE comprises a generic theoretical framework, which may be applied to many diverse objects. Its theoretical body was not developed, therefore, with the aim of confining itself to a specific sector (Azevedo, 2000).



## Chapter 2 – Data Quality Assessment

The objective of this chapter is linked directly to the assessment of the quality of the data related to the projects supported by the Environment program of USAID/Brazil. It should be stressed that the quality of the data and indicators is closely related to the how pertinent they are for reflecting, in an appropriate manner, the contribution of the actions financed in the scope of the Environment program for achieving the strategic objective linked to the program mentioned.

Taking heed of the reference term that supplied the guidelines for this assessment, the analysis being carried out in this chapter will cover, in addition, the process for data collection, verification and monitoring of SO1 level indicators; the collection of data, verification and analysis of the performance of these same indicators; and the aggregation of technical semi-annual reports provided by grantees with regards to the activities carried out in the fiscal year 2000.

Therefore, after carrying out the general considerations regarding the guidelines laid down by USAID for indicator and data quality, an approach will be adopted based on the analysis of the indicators of the results framework and of the actions of the grantees and sub-grantees. The latter will be viewed based on the characterization of the actions of their respective local partners in order to enable us to obtain a more detailed profile of the evolution and the diversity of the actions supported by USAID.

### 2.1. Guidelines for Indicator and Data Quality

The guidelines for the assignment and analysis of the data and indicator quality, on which the performance monitoring system of USAID is based, have been described in a document drawn up by the USAID Center for Development Information and Evaluation<sup>7</sup>.

The cited document intends to clarify the statistics, measurements and assessment principles outlined in the Automated Directives System. Upon an elucidation of the main references for quality in measuring performance, one can identify the key criteria that USAID's operational units should use to assess the quality of the performance data and indicators supplied by grantees.

Procedures are proposed for obtaining the data and indicators elaborated based on such data. The process is characterized in the following manner: the operational units propose performance indicators and the respective sources of data for each Country Strategic Plan or initial R4; how adequate these data and indicators are will be judged by USAID/Washington with respect to ADS criteria and to those of the referred guidelines. Both a review and periodic re-assessment of the data and indicator quality are equally recommended, with the aim of ensuring that the quality of data and indicators is maintained. In order to do so, the personnel reviewing the data and indicators should focus the analysis on the capacity of the operational units of USAID to monitor and explain the results. To this end, the operational units should ensure that the results framework (RF) is made adequate for the purpose of data collection, based on the development, use and maintenance of the Performance Monitoring Plan (PMP).

For this reason, "the RF should be straightforward and understandable. Check that the results contained in the RF are measurable and feasible with anticipated USAID and partner resource levels...". During the development of the results framework, the SO team should

---

<sup>7</sup> Guidelines for Indicator and Data Quality. In Performance Monitoring and Evaluation TIPS, USAID Center for Development Information and Evaluation, number 12, Washington, 1998.

also begin identifying performance measures and formulating activities required to achieve the intermediate results for which the operating unit is responsible. Next steps for the team include developing a complete set of performance indicators, establishing related baselines and targets, and developing a performance monitoring plan (refer to *Tips #6, 7, and 8*). During activity design, teams should identify the causal links between activities and results in the RF they support. Teams may find it helpful at this stage to add more detail to the RF to make the link between the activities (i.e., operational level) and the results (i.e., strategic level) more evident.<sup>8</sup> Therefore, the process of making the RF adequate is accomplished through making a link between the operational and strategic levels.

Taking up the RF as a governance structure, that is, as a set of rules/internal norms of the organizations that guides their actions, the creation of the aforementioned link duly demands checking that the RF has been made adequate to the characteristics of the transaction to which it is closely bound. The actions of grantees will be taken up in this manner, putting emphasis on identifying the lines of action of their respective local partners.

## 2.2. Brief characterization of the organizations that provide data

The characterization conducted in the present work aims to identify the lines of action of the organizations supported within the scope of USAID's Environment program. The set of grantees that are the target of field research, directly or through their local partner(s), may be visualized in the table 1. Their respective focal points of action and the biomes in which their projects are implemented have also been identified.

Four sources of data were used in order to carry out the general characterization of the actions of grantees and sub-grantees: interviews, semi-annual reports, web sites and folders regarding the organizations subject of the study.<sup>9</sup>

Grantees	Sub-grantees	Core Objective	Target Biome
CI	IESB	Bio-diversity conservation	Cerrado, Pantanal, Atlantic Forest
(SI)	INPA	forest management	Amazon
(TFF)	IPAM, Imazon	training	Amazon
TNC	SOS Amazônia, SPVS	environmental conservation	Amazon
(UF)	Pesacre	regional ecosystems conservation and sustainable development	Amazon
(USDA/FS)	FFT/Imazon	forest management	Amazon
WHRC	IPAM	climate change mitigation	Amazon
WWF	FVA, Imazon, IIEB, IESB, INPA e IPAM	environmental conservation	Amazon
(WWF/SUNY)	IIEB	training and research funding	Amazon

**Table 1: Grantees' and sub-grantees' actions general characterization.**

<sup>8</sup> See Building a Results Framework. In Performance Monitoring and Evaluation, USAID Center for Development Information and Evaluation, TIPS, number 13, Washington, 2000.

<sup>9</sup> This material can be found listed in the appendix.

Speaking in general terms, this brief characterization demonstrates the strengthening and broadening of a wide range of actions initially based on research and the diffusion of techniques and practices for the sustainable use of natural resources. This movement is particularly noticeable in initiatives linked to the development of economic alternatives for the sustainable use of natural resources. In addition, during recent years, it has been verified that many different organizations which had been set up based primarily on a locally-focused tradition have begun to carry out actions having broader effects, mainly while seeking to influence in the definition of public policies.

#### **a) Conservation International (CI) / Institute for Social and Environmental Studies of Southern Bahia (IESB)**

The role of CI is destined to the conservation of biological diversity based on the implementation of corridors of bio-diversity in three areas of priority; the Cerrado, Pantanal and the Atlantic forest. The Institute for Social and Environmental Studies of Southern Bahia (IESB), a local partner which acts in the biome of the Atlantic forest, in the southern region of the state of Bahia, is made up of an extensive network of local interlocutors and it allows for incentives for the community to participate in its initiatives. Its focal point of action lies centrally positioned in actions directed towards the sustainable management of areas under permanent protection and of private and public reserves: support in order to establish conditions for obtaining the certification of products, training courses, technical assistance for the creation of private reserves, incentives for adopting sustainable practices, eco-tourism, and environmental education.

#### **b) Smithsonian Institution (SI) / National Research Institute of the Amazon region (INPA) ('Instituto Nacional de Pesquisas da Amazônia')**

The scientific cooperation between the Smithsonian Institution (SI) and the National Research Institute of the Amazon region (INPA) ('Instituto Nacional de Pesquisas da Amazônia') has been laid down centered on the "Biological Dynamics of Forest Fragments Project" (BDFFP). The development of the referred project has relied on INPA's competencies in carrying out research and the training of students and technicians from Brazil and other countries in Latin America. The actions implemented have been: the development of a model to assess the impact of the use of soil in the Amazon region, research (studies of plant and animal species, processes of reforestation), training, diffusion of information.

#### **c) Tropical Forest Foundation (TFF) / Fundação Floresta Tropical (FFT)**

The Fundação Floresta Tropical (FFT) is a non-governmental organization affiliate to the Tropical Forest Foundation (TFF). Its action are directed towards the promotion and dissemination of sustainable management systems in tropical rainforests in the Amazon region (techniques for low impact forest exploitation), achieved through capacitating people and the disclosure of information which aids in the sustainable use of the forests' natural resources, particularly, of wood. Although training and transfer of technology is the largest program, development of FM systems and research are equally important. The actions which have come about have been: the implementation of models for forest management with low-impact extraction (MF-EIR) (Manejo Florestal com Exploração de Impacto Reduzido), an educational program directed towards producers, government and non-governmental institutions in the forestry sector; a program for training forest engineers, high-school level technicians and specialized operators; research aimed at improving the MF-EIR (forest management with reduced-impact extraction), the results of this research being spread through a program for extending and disseminating results. The FFT supports research carried out by partner organizations: mainly, the research carried out by the IPAM, but also by the Imazon and the WHRC. TFF carries out its own research program on FM-RIL and

also works with partner institutions including IITF (Intl. Inst. of Trop. For.) LBA, and Embrapa besides the others mentioned in the report. Development of forest management models and systems is important due to the variation in forest types, commercial settings, and actors within the forestry sector including small producers and communities.

**d) The Nature Conservancy (TNC) / SOS Amazon region (SOS Amazônia) /Society for Wildlife Research and Environmental Education ('Sociedade de Pesquisa em Vida Selvagem e Educação Ambiental') (SPVS)**

The partnership between The Nature Conservancy (TNC)/ SOS Amazon region (SOS Amazônia) has made the establishment of a national park possible through the implementation of its management system. The scope of SOS Amazon region's actions is channeled towards environmental conservation, seeking to coincide with the establishment of protected areas, environmental education (to insert the issue of environment in the subject matter from the 1<sup>st</sup> to 8<sup>th</sup> grades and to insert environmental management in schools) and towards public policies (to act systematically in conjunction with society, the parliamentary body, public and private organs with the objective of influencing environmental policies for the Amazon region in Brazil).

A partnership between the TNC and the Society for Wildlife Research and Environmental Education ('Sociedade de Pesquisa em Vida Selvagem e Educação Ambiental') (SPVS) has made the development of the Project 'Action against Global Warming' feasible in Guaraqueçaba. Within the scope of this project, research has been carried out to promote the recovery of degraded areas in this location. The SPVS has as the focal point of its actions the conservation of Nature, implemented through research activities, environmental education, recovery of degraded areas, protection of endangered species, community participation and the exchange of information.

**e) University of Florida (UF) / Agro-forestry Development Program for Small Producers in the State of Acre (PESACRE)**

A partnership between the University of Florida and the Agro-forestry Development Program for Small Producers in the State of Acre (PESACRE) has sought foremost to promote the adoption of community forest management systems through the project of Adaptive Collaborative Management. The PESACRE has centered its actions on the sustainable use of natural resources in the Amazon region. Conservation and sustainable development have been sought with regards to the production and use of natural resources in regional eco-systems in order to improve the living conditions of the local populations. The actions developed have been: the study and research of agro-forestry practices; the organization of and self-management by the communities, the development and testing of alternative methods for the sustainable use of resources; creating competencies and the dissemination of the results obtained through actions focused on environmental education and in publications.

**f) United States Forest Service (USDA/FS) / Tropical Forest Foundation (TFF) / (Fundação Floresta Tropical )**

Among the objectives of the Fundação Floresta Tropical (FFT) are the promotion and dissemination of the sustainable management of tropical rainforests, particularly in Brazil's Amazon region. The support granted by USFS is channeled towards a program for the diffusion of technology based on activities for creating capacities and forestry training in the Amazon region. In this manner, USAID and the USDA/FS have been sponsoring a 'training *in situ*' program for the transfer of technology which aims to promote the dissemination of MF-EIR (forest management with reduced-impact extraction). This program, set into practice by the FFT in 1997, is directed to companies and institutions that coordinate projects of

community management. USDA/FS has also supported an extension program (2001), training manuals and publications, and in particular a Cost and Benefit study where the main researcher was from the USFS.

**g) Woods Hole Research Center (WHRC) / Institute of Environmental Research of the Amazon region (IPAM) ('Instituto de Pesquisa Ambiental da Amazônia')**

The partnership between the Woods Hole Research Center (WHRC) and the Institute of Environmental Research of the Amazon region ('Instituto de Pesquisa Ambiental da Amazônia') (IPAM) confirms collaboration for the development of research in the scope of the Forestry Ecology Program, whose main objective is to analyze the impacts of human occupation on the functioning and bio-diversity of the rain forests in the Amazon region. The auxiliary partner concerned, the IPAM, has as the focal point of its action the generation of scientific information and the formation of human resources that can contribute to the sustainable development of the Amazon region. To this end, it has been developing four research programs on the following topics: forestry ecology, management of lowlands (near bodies of water), forest & communities and public policies.

**h) World Wildlife Fund (WWF) / Amazon Victory Foundation ('Fundação Vitória Amazônica') (FVA) / Institute of the Local Inhabitant and the Environment of the Amazon region ('Instituto do Homem e Meio Ambiente da Amazônia' (Imazon)) / International Institute of Education in Brazil ('Instituto Internacional de Educação do Brasil') (IIEB)**

The actions of the WWF have the aim of conserving Nature and are marked by a large diversity in the projects implemented by different local partners. The projects total 52 and they integrate nine programs being carried out directly or in association with partners.<sup>4</sup> The following actions will be given emphasis so as to identify the focal point of the actions of these organizations: those carried out in conjunction with the FVA (Amazon Victory Foundation), the Imazon (Institute of the Local Inhabitant and the Environment of the Amazon region) and the IIEB (International Institute of Education in Brazil)

With regards to the development of alternatives for the sustainable use of natural resources, the WWF has been developing, in connection with the FVA, the Project 'Fibrarte' (fiber/art) whose main aim is to develop economically feasible and ecologically sustainable alternatives through the development and testing of products made from natural resources, especially in the Amazon region, and the process of making these alternatives feasible. The FVA is an NGO and its work is directed towards scientific research, social organization and economic alternatives. The objective that guides this work is the conservation of the environment in the Amazon region through the sustainable use of the natural resources encountered in its ecosystems, while maintaining respect for the region's cultures and ethnic diversity. Its actions are related to the consolidation of the Conservation Units, to environmental education and to public policies.

In another partnership, this time with the Imazon, the WWF has been developing the following projects: (i) Timber Firm Poles ('Pólos Madeireiros'), whose aim is to characterize and analyze the timber firms' activities in the Amazon basin; (ii) Ecology and Forestry Management. The Imazon is an independent research organization that has the mission of generating and disseminating strategic knowledge regarding the sustainable use of natural resources in the Amazon region. It develops actions in sustainable forestry management, public policies (influencing the policy of extending and consolidating the 'Flonas' system – the system of national forests- that is, it proposes a policy for the development of the

---

<sup>4</sup> To identify projects and programs, see Relatório de Atividades (Report of Activities) (1999-2000), WWF, Brasília, 2001.

Amazon region which places emphasis on forestry management). Its actions are carried out based on three types of activities: research applied to the problems encountered in the use of natural resources, formation of professionals and the dissemination of the studies.

Through a partnership with the State University of New York (SUNY), the WWF has been developing a program called Nature and Society, which constitutes a Program for Training Professionals in the Area of Conservation. The local partner responsible for the implementation of the referred project is the IIEB (International Institute of Education in Brazil), whose focal point of actions lies in the training of human resources.

The mosaic of actions carried out by organizations which are integrated members in the USAID network has been identified, emphasizing the focal point of their actions and the set of actions accorded special treatment by local partners. This mosaic clearly demonstrates the dimensions and the diversity of the universe to be mapped out based on the performance indicators of the Results Framework.

### **2.3. Indicators of the Results Framework**

As was seen in Chapter 1, the performance monitoring system of USAID is based on a general strategic structure, named Results Framework (RF) This strategy has been built up through the establishment of an hierarchy of intermediate results (IR) that should lead to the achievement of the SO, by using an indicator measurement to monitor the results mentioned. USAID's operational units in different countries should collect, review and use this data on a regular basis in order to be able to effectively manage the performance monitoring system.

The analysis that follows will carry out a data quality assessment, based on these guidelines, of all current environment program-supported projects and, also, of the process for data collection, verification and monitoring of SO1 level indicators; the collection of data, verification and analysis of performance of these same indicators, respectively. This task should be accomplished based on the data of the RTTs from the period 1998-2001.<sup>5</sup>

#### **2.3.1. Intermediate Results Indicators**

Starting from the 'trunk' of the tree of RF indicators, previously illustrated in Chapter 1, going in the direction towards the composition of the BTA indicators - those which should reflect the results regarding the SO – we encounter four intermediate results (IR): IR1 – Systems for sound land use identified, promoted and adopted in target areas; IR2 – Target institutions and local human capacity strengthened; IR3 – Target policies to support environmentally sound land use adopted and/or implemented and; I.R4 – Sound land use systems disseminated beyond target areas.

Considering the first task, defined in the Reference Terms, that is, to perform “a data quality assessment of all current environment program-supported projects”, the analysis in the present work will be carried out according to the following steps:

- a. the identification of the organizations that provide data for each indicator of the RF;
- b. filling out the RTTs when updated data is available;
- c. pinpointing the operational problems which may exist in the indicators;

---

<sup>5</sup> The executing team did not receive the most updated data in time to be able to verify if the goals established by the grantees for the year 2001 had been reached.

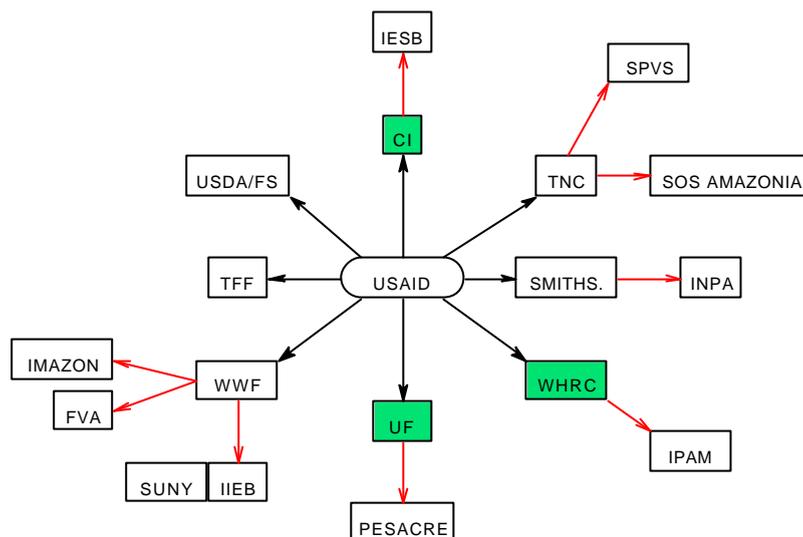
- d. a discussion concerning how pertinent the indicators are when confronted with the SO1, and
- e. the execution of specific recommendations.

IR1 – Systems for sound land use identified, promoted and adopted in target areas

**IR1.1 Sustainable management systems adopted and validated**

a) The identification of those responsible for providing data

The data used to compose this indicator is provided by three grantees: CI, UF and WHRC, as illustrated in Figure 4.



**Figure 4: Organizations which provide data for the IR1.1**

b) The Results Tracking Table:

	1998	1999	1999	2000	2000	2001	2001
	Actual	Target	Actual	Target	Actual	Target	Actual
CI	1	1	1	1	1	1	1
UF	3	3	3	3	3	3	3
WHRC	2	2	2	2	2	2	2
Total	6	6	6	6	6	6	6

c) Pinpointing the operational problems which may exist in the indicator

The 12 phases, defined in index IR1.1, are monitored for the indicator IR1.1. These phases are directly related to the target areas:

1. Participatory collection of information/planning completed;
2. Market survey of "alternative products", i.e. those that are not traditionally traded in the market and are from endemic plant species, e.g., fruit trees, such as pupunha (spiny peach palm, *Guilielma speciosa*), açai (assai euterpe palm *Euterpe oleracea*), and cupuaçu (*Theobroma grandiflorum*);
3. Training carried out at the local level in improved practices;
4. Site preparation and seedling production done by farmers;

5. On farm system experimentation undertaken by farmers;
6. Selection and implementation of agro-forestry, intensification of agriculture, or fire management system by local communities/farmers;
7. Fire prevention procedures/ approaches carried out;
8. Processing of products undertaken by local communities/farmers;
9. Introduction of alternative products into local markets;
10. Complementary production (i.e., non-timber forest products);
11. Cost/benefit monitoring survey completed;
12. Social analysis completed (with an emphasis on gender)

These phases make up the logical framework for validating each sound land system. Together with these phases, the total number of farmers involved and the total number of hectares are also reported for each fiscal year (FY).

With respect to the findings about probable operational problems, one can verify that:

- The PMP defines the unit for measuring the progress of projects as the number of sites meeting at least 80 percent of their annually established benchmarks divided by the total number of sites receiving USAID support. This implies in a value for the indicator which should range from 0 to 1;
- The data reported shows the number of sites where sustainable management systems were supported by the program per year. Although the misusing of the indicator, the data series obtained could be worthwhile to describe this particular aspect of the program;
- Asymmetrical results were found in the use of the Index. Only CI had reported the value of the target area. The UF did not take the variation of farms involved (from 1999 to 2000) into account;
- The spaces provided in the form for making qualitative comments were not used.

d) A discussion concerning how pertinent the indicators are when confronted with the SO1;

The operational problems previously identified have made it possible to verify that this indicator has been being used incorrectly.

Furthermore, the IR1.1 remained constant in the period from 1998 to 2000. This is concomitant with the current efforts on behalf of the partners to give priority to the diffusion of the results, through training programs and by influencing in the conformity of public policies. The interviews carried out with IESB and PESACRE personnel confirmed this tendency. The opinion of the interviewees was that systems had already been developed and validated and, therefore, it made no sense to develop others. Hence the explanation for efforts to be concentrated on the creation of institutional conditions for the diffusion of the referred systems.

e) Recommendations

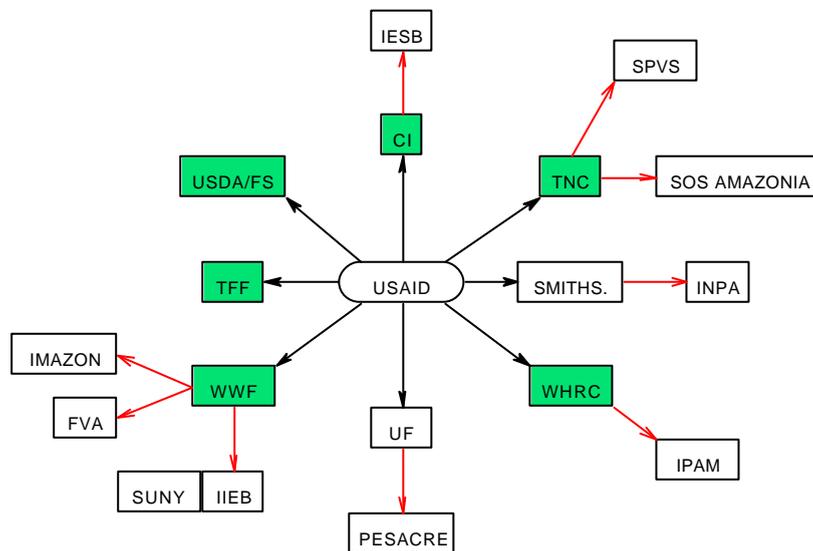
- ✓ Correct the use of the indicator;

- ✓ Correct the data on the RTT;
- ✓ Identify the partner and auxiliary partner responsible for each site in the index;
- ✓ Certify that the calculation of the ratio is linked by the grantees to the strategy defined for the FY and that it has been duly documented;
- ✓ Consider the inclusion of new UF/PESACRE projects in this indicator and not in the BTA indicator number 3 to which they had been shifted. If it should prove necessary, standardize with CI and the WHRC the procedure of expanding the number of farmers involved within the same target. The UF/PEASACRE need to define if the most relevant factor is the area aggregated as a target (a piece of information missing in the RTT) or the number of people trained;
- ✓ In 1998, the Del Rey area was reported in the BTA indicator number 3, but it had already been present in the Index of IR1.1 since 1996 without any indication of the area. A reason for this must be given;
- ✓ Consider the inclusion of new WHRC/IPAM projects.

**IR1.2 Conservation unit and buffer zone management plans developed and validated**

a) Identification of the organizations that provide the data

The data regarding this indicator is provided by six grantees: CI, TFF/FS, TNC, WHRC, and WWF, as is shown in Figure 5.



**Figure 5: Organizations which provide data for the IR1.2**

b) The Results Tracking Table:

	1998	1999	1999	2000	2000	2001	2001
	Actual	Target	Actual	Target	Actual	Target	Actual
CI	1	1	1	1	1	1	
	7.022	7.022	7.022	7.022	7.022	7.022	
TFF/ES	1	1	1	1	1	1	
	600000	600000	600000	600000	600000	600000	
TNC	2	1	2	2	2	2	
	918.406	605.000	918.406	918.406	918.406	1.209.000	
WHRC	1	2	2	2	2	2	2
	1.000.000	1.000.000	1.010.400	1.010.400	1.015.600	1.010.400	86.000
WWF	2	2	2	2	2	2	3
	2.751.650	2.751.650	2.751.650	2.751.650	2.850.000	2.751.650	454.051
<b>Total</b>	<b>7</b>	<b>7</b>	<b>8</b>	<b>8</b>	<b>8</b>	<b>8</b>	<b>5</b>
<b>Hectarage</b>	<b>5.277.078</b>	<b>4.963.672</b>	<b>5.287.478</b>	<b>5.287.478</b>	<b>5.391.028</b>	<b>5.578.072</b>	<b>540.051</b>

c) Pinpointing the operational problems which may exist in the indicator

The 10 phases, defined in index IR1.2, are monitored for the indicator IR1.2. and are directly linked to target areas. These phases represent the logical framework for validating each conservation unit and are listed as follows:

1. Participation of community/stakeholders in diagnosis/initial survey;
2. Participation of community/stakeholders in steps for elaboration of management plan;
3. Information/data analysis carried out and maps prepared;
4. Participatory management plan proposed;
5. Management plan approved;
6. Environmental education activities carried out;
7. Implementation of management plan with participation of community/stakeholders initiated;
8. Resource management initiated (eco-tourism; hearts of palm, Brazil nut extraction);
9. Review and update of management plan;
10. Participatory buffer zone management plan initiated.

Through the identification of these phases, probable operational problems can be identified, such as:

- The PMP defines that the unit for measuring the progress of projects is: the number of sites meeting at least 80 percent of their annually established benchmarks divided by the total number of sites receiving USAID support. This implies in a value for the indicator which should range from 0 to 1;
- The targets have been defined incorrectly;

- The data reported shows the number of sites where conservation and buffer zone management plans were supported by the program per year. Although the misusing of the indicator, the data series obtained could be worthwhile to describe this particular aspect of the program;
- In 1999, the TNC and the WHRC reported sites that had obtained a ratio below 80% (see ratio steps in Appendix 5);
- For Site no. 8, the WHRC didn't report on the situation for steps from 4 to 9 (FY2000);

d) A discussion concerning how pertinent the indicators are when confronted with the SO1;

The operational problems stated before demonstrate that the IR1.2 indicator has been being used incorrectly. Furthermore, this indicator is not grasping the dynamics of the field work in an adequate manner, for it indicates that the program has remained practically static with regards to the areas of implementation of conservation management plans. However, in the opinion of some personnel interviewed at organizations, the fundamental issue is that a management plan requires many years to be implemented satisfactorily. The ascertainment that the indicator does not reflect the reality in the field has led, for example, the WWF to make the following comment in the Index: "The total number of hectares in the Jau National Park and Cajari Extractive Reserve remain the same over time. Our target is not to increase the size of these protected areas but to increase the QUALITY of management of the entire site, as indicated in the index of conservation unit management".

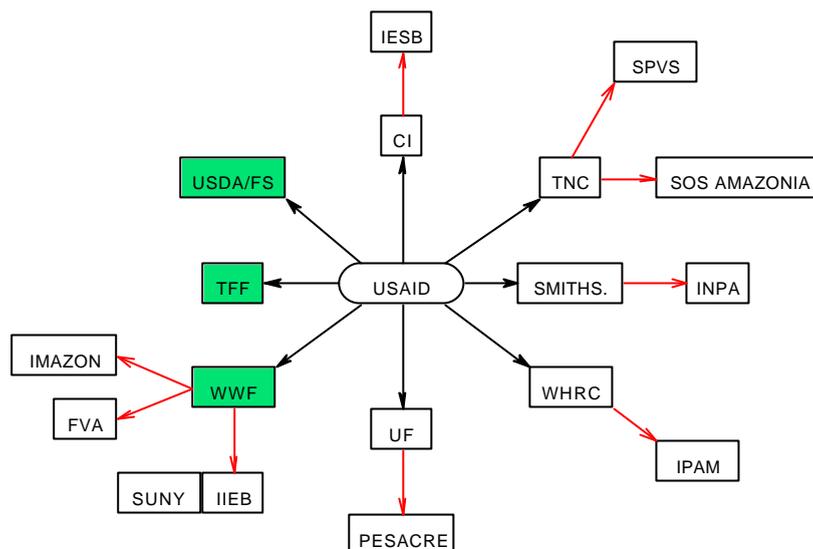
e) Recommendations

- ✓ Correct the use of the indicator;
- ✓ Correct the data on the RTT;
- ✓ Identify the sub-grantees in the Index;
- ✓ Determine the activities of CI in Una with respect to the IR1.1 and IR1.2 (FY2000);
- ✓ Certify that the calculation of the ratio is linked by the grantees to the strategy defined for the FY and that it has been duly documented;
- ✓ Consider the inclusion of new WHRC/IPAM projects.

### ***IR1.3 Low impact forest management systems developed and validated***

a) Identification of the organizations that provide the data

The data for this indicator is provided by three grantees: FS/TFF, WWF, as illustrated in Figure 6.



**Figure 6: Organizations which provide data for the IR1.3**

b) The Results Tracking Table:

	1998	1999	1999	2000	2000	2001	2001
	Actual	Target	Actual	Target	Actual	Target	Actual
FS/TFF	2	2	3	3	4	4	
WWF	1	1	1	1	1	1	1
<b>Total</b>	<b>3</b>	<b>3</b>	<b>4</b>	<b>4</b>	<b>5</b>	<b>5</b>	<b>1</b>

c) Pinpointing the operational problems which may exist in the indicator

For the indicator IR1.3, 13 phases, defined in index IR1.3, are monitored and are directly linked to target areas. These phases represent the logical framework for validating each low impact forest management and are listed as follows:

1. General forest inventory completed;
2. Community participation in the development of long-term forest management plan;
3. Approval of long-term forest management plan by IBAMA;
4. Pre-harvest inventory completed (100%);
5. Annual operating plan (with appropriate harvest technology) completed;
6. Pre-harvest treatments applied;
7. Establishment of permanent plots;
8. Harvest crew trained in safe, low impact harvesting practices;
9. Layout and construction of forest infrastructure;
10. Low impact harvest with emphasis on worker safety completed;
11. Post harvest silvicultural treatments and forest protection implemented ;

12. Re-measurement of permanent plots completed;
13. Socio-economic and environmental analyses completed, documented, and published.

Based on the need to consider these phases, some findings regarding probable operational problems can be made:

- The unit of measurement of the indicator is a rate that varies between 0 and 1;
- The data reported shows the number of sites where low impact management systems were supported by the program per year. Although the misusing of the indicator, the data series obtained could be worthwhile to describe this particular aspect of the program;
- In the areas 2 and 4, reported by TFF, the target area (ha) of FYs 1999 and 2000 were not accounted for;
- The source that documents the origin of part of the data in the Index is confusing. It is not clear how the data that enters the Index has been divided up nor how other pieces of data go into the BTA indicator number 1. To cite examples, the cases of the timber firm *Madreira Sikel* and the *Flona Tapajós* may be mentioned);
- There is no ratio measurement in the IR1.3 Index. This measurement was foreseen in the PMP.

d) A discussion concerning how pertinent the indicators are when confronted with the SO1;

As occurs with the rest of the IR1 indicators, it is acknowledged that the indicator does not reflect the dynamics of the field work adequately. By itself, the IR1.3 indicator does not demonstrate the direction of the work that has been carried out, which is more oriented towards the diffusion than to the development of new models of sustainable management.

e) Recommendations

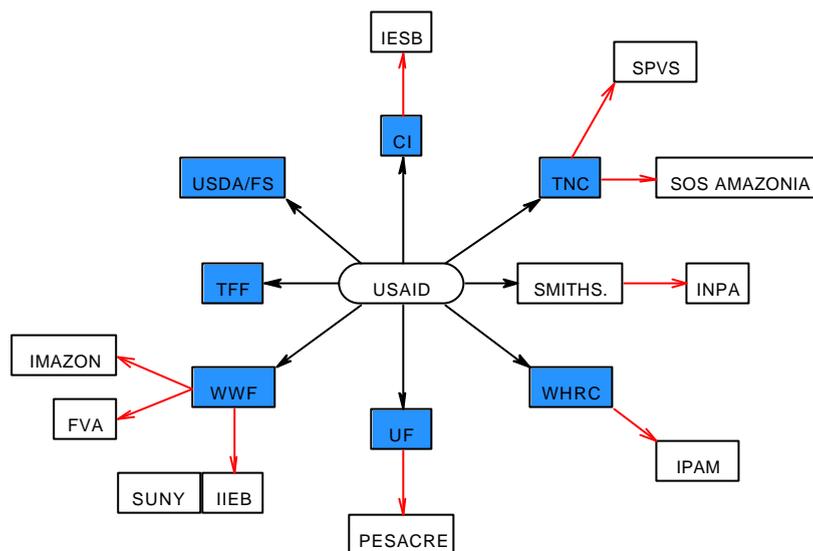
- ✓ Correct the use of the indicator;
- ✓ Correct the data on the RTT;
- ✓ Identify the sub-grantees in the Index;
- ✓ Define the activities of the WWF and of the TFF/FS which refer to IR1.3 and to the BTA 1 indicator (FY2000) more clearly;
- ✓ Arrange to obtain the data regarding area which does not appear in the index;
- ✓ Add the measurement of the FY ratio to the index;
- ✓ Certify that the calculation of the ratio is linked by the grantees to the strategy defined for the FY and that it has been duly documented;

**IR2 – Target institutions and local human capacity strengthened**

**IR2.1 Institutions strengthened**

a) Identification of the organizations that provide the data

The data which refers to the intermediary indicator 2.1 is provided by the following grantees: CI, FS, TFF, TNC, UF, WHRC, WWF, as depicted in Figure 7.



**Figure 7: Organizations which provide data for the IR2.1**

b) The Results Tracking Table:

	1998	1999	1999	2000	2000	2001	2001
	Actual	Target	Actual	Target	Actual	Target	Actual
CI	1	1	1	1	1	2	
FS	1	1	1	1	1	1	
TFF	0	0	1	1	1	1	
TNC	2	2	2	2	2	2	
UF	1	1	1	1	1	1	
WHRC	1	1	2	1	4	4	40
WWF	2	3	3	3	2	2	2
<b>Total</b>	<b>8</b>	<b>9</b>	<b>11</b>	<b>10</b>	<b>12</b>	<b>13</b>	<b>42</b>

c) Pinpointing the operational problems which may exist in the indicator

The 7 phases, defined in index IR2.1, are monitored for the indicator IR2.1 and are directly linked to target areas. These phases represent the logical framework for validating each set of institutions strengthened and are listed as follows:

1. Improved accounting system and ability to pass an audit – Accounting system in place with supervision of accredited accountant and having passed at least one external audit;

2. Ability to attract funding from other sources – Having at least one proposal funded by an organization other than USAID in the previous year;
3. Publications produced -- Having at least one publication (scientific or not) in the past year;
4. Strategic planning tools in use - strategic plan defined and being implemented;
5. Organizational visibility – Participation in local, regional, state, or nation-wide environmental committees and/or established mechanisms of influencing public policy;
6. Technical capacity improved in information management and technologies (e.g., GIS);
7. Institutionalization of gender as part of institutions objectives and strategic planning.

Due to the need to take these phases into consideration, some findings can be made as to probable operational problems:

- The unit of measurement for the indicator is a rate which ranges from 0 to 1;
- The targets surpass 1;
- The data reported shows the number of target institutions strengthened by the program per year. Although the misusing of the indicator, the data series obtained could be worthwhile to describe this particular aspect of the program;
- Three grantees (CI, TNC and WHRC) did not supply all of the data revised with regards to the timing established to be able to carry out the steps in the index;
- Assymetrical results exist among the organizations considered. Some organizations have been sub-grantees for a long time while others have just entered the portfolio, and may in fact be being worked on by sub-grantees. One case is Cooperuna, strengthened by the IESB and others include all of the new partnerships supported by the WHRC through the actions of the IPAM;
- Organizations in which the rate for meeting the benchmarks was below 80% had their data accounted for incorrectly in the indicator. This is the case of the TNC (SPVS) and of the WHRC (IPAM and COVARI). In 1999, the correct values for TNC and WHRC were, respectively, 1 and 0;
- In 2000, the TNC included two organizations whose performance had not been reported in the index in its recordings;
- Organizations that didn't have any step planned for the year 2000 were accounted for in the indicator by the WHRC.

d) A discussion concerning how pertinent the indicators are when confronted with the SO1;

The organizational problems previously cited demonstrate that the indicator IR2.1 has been being used incorrectly.

In addition, in the form in which it has been being reported, the IR2.1 may lead to the interpretation that there is a lack of definition in USAID strategy for strengthening institutions due to mixing institutions with very different levels of structuring in order to create the indicator.

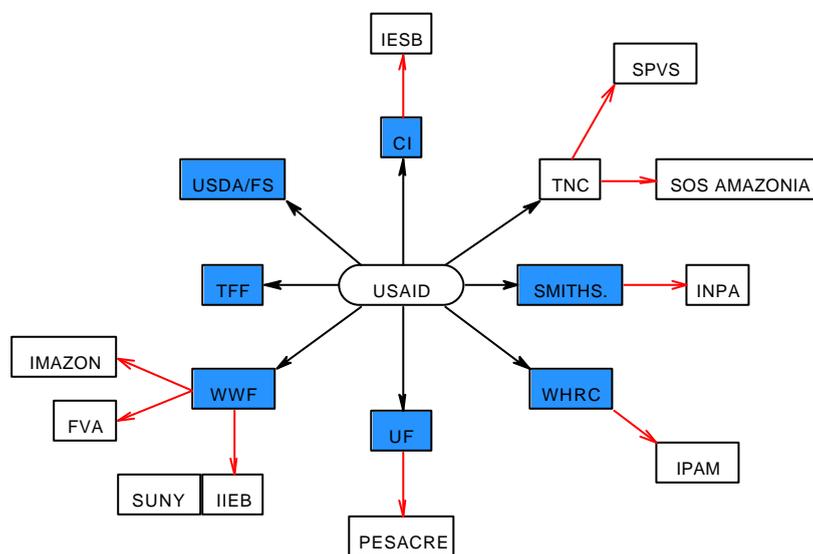
e) Recommendations:

- ✓ Discuss whether it is pertinent to maintain in the index institutions that are themselves the agents for strengthening other institutions;
- ✓ Take the institutions whose strengthening process has already been completed out of the index, as is the case of the JUPARA reported by the WWF;
- ✓ Consider adding new institutions, including government agencies and other public institutions;
- ✓ Arrange to obtain data regarding area that has not been included in the Index;
- ✓ Correct the indicators, reporting them according to the unit of measurement defined, a rule that has not been complied with;
- ✓ Redefine the targets;
- ✓ Certify that the calculation of the ratio is linked by the grantees to the strategy defined for the FY and that it has been duly documented.

**IR2.2 Number of persons trained**

a) Identification of the organizations that provide the data

The data concerning the indicator IR2.2 is supplied by the following grantees: CI, TFF, FS, UF, WHRC, WWF and SI, as illustrated in Figure 8.



**Figure 8: Organizations which provide data for the IR2.2**

b.1) The Results Tracking Table 1

Indicator (IR 2.2): Number of persons trained (those who DO NOT have a high school diploma)							
	1998	1999	1999	2000	2000	2001	2001
	Actual	Target	Actual	Target	Actual	Target	Actual
CI							
P/M	17.75	5	13	15	144	95	
F	9	0	17	15	57	35	
M	9	2	25	25	239	105	
F+M	18	2	42	40	296	140	0
TFF							
P/M	84.63	35	140	150	258	150	
F	22	10	0	20	0	20	
M	88	60	127	100	216	100	
F+M	110	70	127	120	216	120	0
ES							
P/M	85	0	0	0	71	0	
F	11	0	0	0	0	0	
M	61	0	0	0	7	0	
F+M	72	0	0	0	7	0	
UF							
P/M	42.15	32	42.15	47	36.09	58.82	
F	82	15	82	160	226.4	200	
M	193	15	193	240	339.6	300	
F+M	275	30	275	400	566	500	0
WHRC							
P/M	8	18	26	26	24	26	207
F	65	70	165	150	142	150	1046
M	176	110	116	120	110	120	2056
F+M	241	180	281	270	252	270	3102
WWF							
P/M	14.09	29.5	225.2	40	247.4	40	
F	18	32	379	32	242	32	
M	79	36	244	64	345	64	
F+M	97	68	623	96	587	96	0
<b>FY TOTAL</b>							
P/M	251.62	119.50	446.35	278.00	780.49	369.82	207.00
F	207	127	643	377	667	437	1046
M	606	223	705	549	1257	689	2056
F+M	813	350	1348	926	1924	1126	3102
<b>TOTAL CUMULATIVE</b>							
P/M*	436.52	246.30	882.87	970.65	1663.36	1340.47	1870.36
F**	781	706	1424	1726	2091	2163	3137
M***	1784	1166	2489	2438	3746	3127	5802
F+M	2565	1872	3913	4164	5837	5290	8939

b.2) The Results Tracking Table 2

Indicator (IR 2.2): Number of persons trained (those who have a high school diploma)							
	1998	1999	1999	2000	2000	2001	2001
	Actual	Target	Actual	Target	Actual	Target	Actual
<b>Smiths</b>							
P/M	94.13	92	84.34	100	101.60	100	150.25
F	27	14	35	35	30	35	36
M	24	14	38	35	31	35	36
F+M	51	28	73	70	61	70	72
<b>CI</b>							
P/M	.66	.5	.40	.30	.30.00	.30	
F	201	4	75	25	25.00	25	
M	11	6	70	25	25.00	25	
F+M	212	10	145	50	50.00	50	0
<b>TEF</b>							
P/M	64.28	35	101	100	165.00	150	
F	24	10	21	25	32	35	
M	68	60	71	75	123	115	
F+M	92	70	92	100	155	150	0
<b>ES</b>							
P/M	.25	.52	.29.50	.30	.75.50	.32	
F	7	10	8	6	8	8	
M	41	26	14	19	7	22	
F+M	48	36	22	25	15	30	
<b>UF</b>							
P/M	13.4	12.5	32	56.33	39.14	56.33	
F	26	25	26	52	66.4	52	
M	22	25	39	78	99.6	78	
F+M	48	50	65	130	166	130	0
<b>WHRC</b>							
P/M	.96	.70	.150	.140	.180	.140	.246
F	50	12	102	100	180	100	335
M	30	8	305	200	90	200	402
F+M	80	20	407	300	270	300	737
<b>WWF</b>							
P/M	590.98	468.5	1826.5	500	938.60	500	
F	242	63	388	200	368	200	
M	283	67	499	250	255	250	
F+M	525	130	887	450	623	450	0
<b>P/M</b>	<b>949.39</b>	<b>735.00</b>	<b>2263.34</b>	<b>956.33</b>	<b>1529.84</b>	<b>1008.33</b>	<b>395.92</b>
<b>F</b>	<b>577</b>	<b>138</b>	<b>655</b>	<b>443</b>	<b>709</b>	<b>455</b>	<b>371</b>
<b>M</b>	<b>479</b>	<b>206</b>	<b>1036</b>	<b>682</b>	<b>631</b>	<b>725</b>	<b>438</b>
<b>F+M</b>	<b>1056</b>	<b>344</b>	<b>1691</b>	<b>1125</b>	<b>1340</b>	<b>1180</b>	<b>809</b>
<b>TOTAL CUMULATIVE</b>							
<b>P/M*</b>	<b>3676.39</b>	<b>3871.40</b>	<b>5939.73</b>	<b>7091.07</b>	<b>7469.57</b>	<b>8099.40</b>	<b>7865.49</b>
<b>F**</b>	<b>1520</b>	<b>1021</b>	<b>2175</b>	<b>2122</b>	<b>2884</b>	<b>2577</b>	<b>3255</b>
<b>M***</b>	<b>1497</b>	<b>1143</b>	<b>2533</b>	<b>2867</b>	<b>3164</b>	<b>3592</b>	<b>3602</b>
<b>F+M</b>	<b>3017</b>	<b>2164</b>	<b>4708</b>	<b>4989</b>	<b>6048</b>	<b>6169</b>	<b>6857</b>

c) Pinpointing the operational problems which may exist in the indicator

→ The USDA/FS does not possess defined targets for the individuals who have been trained but do not have a high school diploma.

d) A discussion concerning how pertinent the indicators are when confronted with the SO1;

The indicator IR2.2 has been well used. The only reservation that exists is in favor of a type of training which considers continuous training. It has been noticed in some cases that intensive and punctual training programs are not enough to incorporate changes in behavior, especially in a stratum of people who do not have a high school diploma. This qualitative nuance hasn't been accounted for by the indicator.

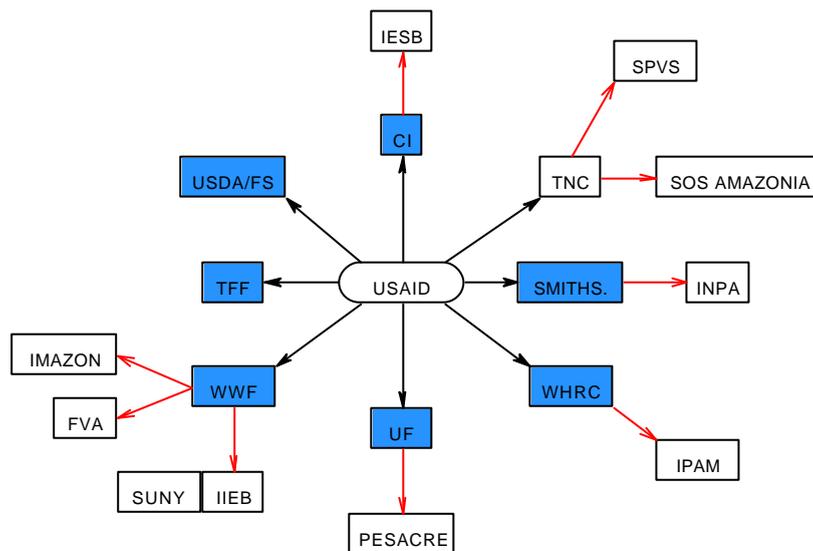
e) Recommendations:

- ✓ Define targets for the USDA/FS in order to incorporate individuals that have been trained but that do not have a high school diploma;
- ✓ Consider the practice of defining targets based on projections.

**IR2.3 Number of persons trained who are now trainers or training/extensionist functions/roles**

a) Identification of the organizations that provide the data

The data relevant to the indicator IR2.3 is provided by the following grantees: SI, CI, FS, TFF, UF, WHRC and WWF, as shown in Figure 9.



**Figure 9: Organizations which provide data for the IR2.3**

b) The Results Tracking Table

Indicator (IR 2.3): Number of persons trained who are now trainers or have training/extensionist functions/roles							
	1998	1999	1999	2000	2000	2001	2001
	Actual	Target	Actual	Target	Actual	Target	Actual
<b>Smiths</b>							
F	2		0	3	2	3	3
M	3		2	3	4	3	7
F+M	5		2	6	6	6	10
<b>CI</b>							
F	2		3	3	3	3	
M	6		3	2	2	2	
F+M	8		6	5	5	5	0
<b>ES</b>							
F	2		2	2	2	2	
M	7		4	4	2	4	
F+M	9		6	6	4	6	0
<b>TFF</b>							
F	41		10	30	14	30	
M	162		99	120	133	120	
F+M	203		109	150	147	150	0
<b>UF</b>							
F	26		26	52	52	52	
M	22		39	78	78	78	
F+M	48		65	130	130	130	0
<b>WHRC</b>							
F	32		39	35	157	35	231
M	24		23	25	101	25	284
F+M	56		62	60	258	60	515
<b>WWE</b>							
F	139		353	220	471	260	
M	219		315	310	377	360	
F+M	358		668	530	848	620	0
<b>TOTAL BY FY</b>							
F	244		433	345	701	385	234
M	443		485	542	697	592	291
F+M	687		918	887	1398	977	525
<b>TOTAL CUMULATIVE</b>							
F*	316	167	749	512	1450	897	1684
M**	512	237	997	779	1694	1371	1985
F+M***	969	404	1746	1291	3144	2268	3669

c) Pinpointing the operational problems which may exist in the indicator

→ A great difference in magnitude in the values reported by grantees was observed. Even if the specificities that exist among the types of training and the target public are taken into consideration, these differences may indicate that distinct interpretations are being made regarding the indicator.

d) A discussion concerning how pertinent the indicators are when confronted with the SO1

This indicator is being well used. However, a warning should be made that, in some cases, it is difficult to get reliable information regarding the number of people who were trained and then became trainers, and this can affect data credibility. According to grantees interviewed, a conservative attitude has been adopted, which may mean that the numbers informed are underestimated. It is estimated that about 80% of the people trained have become trainers.

But, in many cases, this occurs in different time references, which makes it difficult to monitor.

e) Recommendation

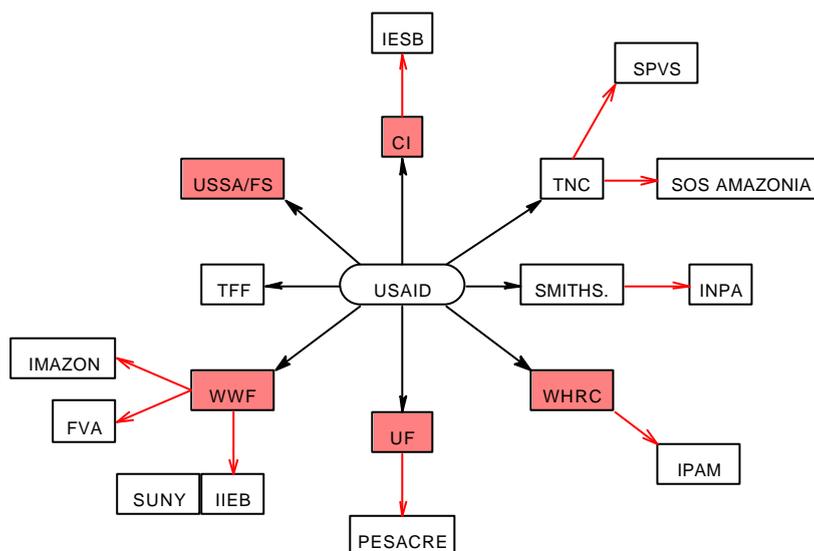
- ✓ Consider the possibility of defining targets based on projections.

IR3 – Target policies to support environmentally sound land use adopted and/or implemented

**IR3.1 National and local policies which support biodiversity conservation and natural resources management implemented and/or policy implementation improved**

a) Identification of the organizations that provide the data

The data regarding the indicator IR3.1 is provided by the following grantees: CI, USDA/FS, UF, WHRC and WWF, as is illustrated in Figure 10.



**Figure 10: Organizations which provide data for the IR3.1**

b) The Results Tracking Table

	1998	1999	1999	2000	2000	2001	2001
	Actual	Target	Actual	Target	Actual	Target	Actual
CI	4	5	5	8	7	8	
FS	1	1	1	1	1	1	
UF	0	0	0	2	3	3	
WHRC	2	3	3	3	5	5	3
WWF	2	4	4	4	4	4	
<b>Total</b>	9	14	13	18	20	21	3

c) Pinpointing the operational problems which may exist in the indicator

Five phases, defined in index IR3.1, are monitored for the indicator IR3.1 and are directly linked to target areas. These phases represent the logical framework for validating each set of policies and are listed as follows:

1. Policy Analysis;
2. Alternative policies proposed;
3. Communication and educational activities to improve policies and their implementation;
4. Improved policies adopted by national, regional and local institutions;
5. Policy implemented coalition building.

In 2001, items 4 and 5 were substituted, for it was understood that they were beyond the scope of the program. Simultaneously, item 3 was divided up into 4 sub-items:

3. Communication and educational activities to improve policies and their implementation:
  - 3.a. Public information;
  - 3.b. Public support;
  - 3.c. Public meeting and/or debate;
  - 3.d. Constituency building.

Based on the need to consider these phases, some findings regarding probable operational problems can be made:

- For CI, the data reported for 1999 and 2000 presented incorrect values. For 1999 the correct value is 7 instead of 5 and in 2000 the correct value is 6 rather than 7 (even taking into consideration the criterion regarding that of reaching 50% of the steps foreseen in the index);
- The WHRC did not report on the programs of public policies that it participates in as a partner;
- In 2000, the WWF did not establish targets for its programs. This gives the impression that the programs had been concluded, though they continued to present results.

d) A discussion concerning how pertinent the indicators are when confronted with the SO1

The indicator IR3.1 has been being used adequately. The index system, which adopted the criterion related to reaching 50% of the steps planned, made it possible to keep the indicator from being negatively affected by the change which occurred in the definition of the monitored steps.

e) Recommendation

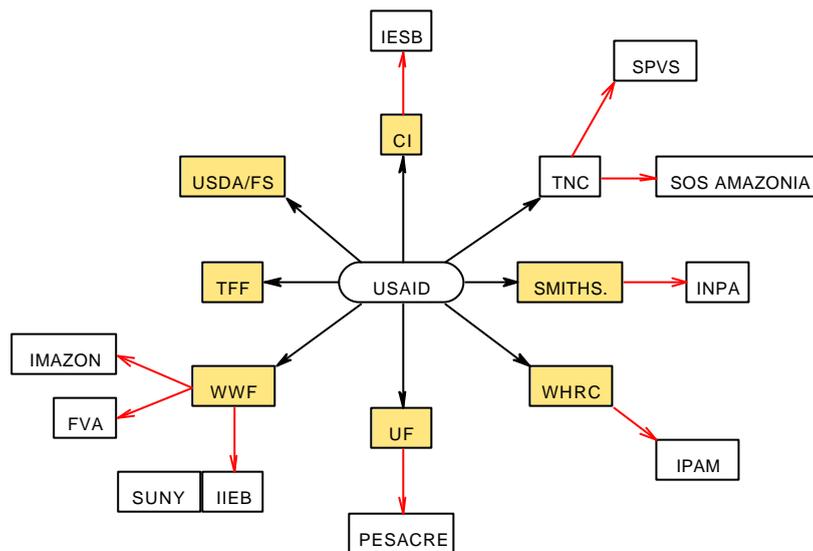
- ✓ Review the CI reports related to the years 1999 and 2000.

I.R4 – Sound land use systems disseminated beyond target areas

**IR4.1 Number of people (reached and amount of environmental materials disseminated)**

a) Identification of the organizations that provide the data

The data concerning the indicator IR4.1 is provided by seven grantees: CI, USDA/FS, SI, TFF, UF, WHRC, and WWF/SUNY, which are highlighted in Figure 11.



**Figure 11: Organizations which provide data for the IR4.1**

b) The Results Tracking Table

	1998	1999	1999	2000	2000	2001	2001
CI	Actual	Target	Actual	Target	Actual	Target	Actual
TOOLS-D	7		7	6	8	6	
PERS-D	5.550		9.250	4.000	19.000	4.000	
TOOLS-M	15		10	10	10	10	
PERS-M	38.000.250		418.250	1.000.000	1.000.000	1.000.000	
FS							
TOOLS-D	15		21	5	8	5	
PERS-D	16.400		6400	10800	8000	10800	
TOOLS-M	1		20	2	0	2	
PERS-M	25.000		500000	50000	0	50000	
SMITHS							
TOOLS-D	18		16	9	15	13	18
PERS-D	1.800		1.600	1.800	2.100	1.300	2.700
TOOLS-M	19		13	6	10	6	
PERS-M	1.130.000		670.000	240.000	190.000	240.000	
TEF							
TOOLS-D	16		12	12	17	12	
PERS-D	95.000		25.000	25.000	13.000	25.000	
TOOLS-M	25		12	14	14	14	
PERS-M	1.505.000		1.500.000	2.000.000	2.000.000	2.000.000	
UF							
TOOLS-D	5		4	4	6	4	
PERS-D	24.000		36.000	36.000	50.000	36.000	
TOOLS-M	35		15	15	25	15	
PERS-M	290.000		290.000	290.000	460.000	290.000	
WHRC							
TOOLS-D	21		51	30	20	33	30
PERS-D	1.100		52.000	35.000	48.000	40.000	15.000
TOOLS-M	26		27	5	17	2	62
PERS-M	8.000.000		15.000.000	10.000.000	10.800.500	14.000.000	10.000.000
WWF							
TOOLS-D	8		19	7	13	7	
PERS-D	14.870		22.900	8.200	14.460	8.200	
TOOLS-M	516		479	400	711	450	
PERS-M	58.449.000		73.730.000	22.000.000	37.206.000	27.000.000	
<b>Total</b>							
<b>TOOLS-D</b>	90	<b>50</b>	<b>130</b>	73	87	80	48
<b>PERS-D</b>	158.720	<b>85.400</b>	<b>153.150</b>	120.800	154.560	125.300	17700
<b>TOOLS-M</b>	637	<b>21</b>	<b>576</b>	452	787	499	62
<b>PERS-M</b>	107.399.250	<b>406.000</b>	<b>92.108.250</b>	35.580.000	51.656.500	44.580.000	10000000

c) Identifying the operational problems which may exist in the indicator

The Direct Dissemination Tools and the transmission of information through mass media vehicles were considered for the indicator IR4.1, as shown below:

1. Direct Dissemination Tools (D)

- a) scientific/ technical publications
- b) educational publications
- c) videos

Sub total (D)

## 2. Mass Media (M)

- a) printed material
- b) broadcast (TV, radio)

Sub total (M)

Grand total (D + M)

Having made the criteria for the calculation of data regarding the IR4.1 explicit, some findings concerning probable operational problems can be cited:

- It is not clear how, upon obtaining a value for the quantity of dissemination products, the number of people reached is estimated. There are inconsistencies for, in some cases, the planned number of products has varied while the number of people reached has remained constant. This fact holds true for the data reported by CI and the UF. If there is a function to correlate products with people reached (e.g. 1 product = 100 people) then this function should be made explicit, also in order to be able to evaluate the quality of the estimate;
- FS, TNC, WHRC and WWF have stopped making their projections in the table and have also discontinued the collection of the data, without giving any reason for doing so;
- The FS did not demonstrate its results adequately;
- In the grand total, there is a line with numbers which doesn't make any sense. The item entitled "TV, radio" is in fact a complement of the item that directly precedes it in the matrix;
- In 1999, the baseline registered was exactly the same for organizations which had different profiles and sizes;
- It might be an overstatement to affirm that 107,399,250 people were reached in 1998. The estimate provided for the year 2000 (51,656,500) seems more realistic. However, this discrepancy indicates that there is a certain fragility in the proxies adopted in order to calculate the indicator.

d) A discussion concerning how pertinent the indicators are when confronted with the SO1

The indicator IR4.1 is a proxy of the program's efforts to disseminate its results. The figure for the products is a direct and safe measurement. The measurement of the people reached, however, is a fragile approximation since it is determined, in general, by a function of the type of product. The repercussion depends on the topic, the context and the controversy which the theme generates. These contingencies also make it difficult to establish targets regarding the population reached.

e) Recommendations

- ✓ Define, in a clear manner, the methodology(ies) used to estimate the public reached;
- ✓ If the public reached is a function of the products, then it is not necessary to establish targets for the public;
- ✓ Review the identical targets planned in the table. It doesn't make any sense to define identical targets for organizations that are so different;

- ✓ Determine the planned quantity in the table for the following grantees: FS, TNC, WHRC and WWF.

### **2.3.2. Strategic Objective 1 (SO1) Indicators**

This topic is related to the second task defined in the Reference Term, i.e., to design a process for data collection, verification and monitoring of SO1 level indicators pertaining to results achieved “beyond target areas” (BTA) and for the collection of data, verification and analysis of the performance of these same indicators.

In order to do so, an analysis will be made of the current process for data collection, verification and monitoring of SO1 level indicators pertaining to results achieved “beyond target areas” and for the collection of data, verification and analysis of the performance of these same indicators. The recommendations for enhancing this process will be laid down in Chapter 3.

The strategic objective (SO1) consists in extending the sustainable management of natural resources beyond the targets defined in the projects. This should occur mainly through the circulation of information and the reproduction of models in areas which are adjacent to the locations of the projects; and through the influence on the design of other programs, enterprises, regulations and institutions. The BTA impacts can also be related to capacity building and to training programs.

The indicators linked to the BTA impacts have demonstrated more difficulties with respect to making them operational. Concerning this aspect, a recent audit<sup>6</sup> on the Performance Monitoring System identified problems in the SO1 indicators and recommended that improvements be made in four areas:

- (i) assessing data quality and methodologies of performance indicators;
- (ii) ensuring that reported results are accurate, supported, and complete;
- (iii) more precise indicator definitions and data collection methodologies; and
- (iv) updating the performance monitoring plan at regular intervals.

The consolidation of the BTA data, for a set of grantees, is carried out by the WWF and the FFT. According to an interview conducted with WWF personnel, this process is interactive and is based on the reports drawn up by USAID partners.

The BTA indicators seek to monitor impacts or unexpected results in the projects supported by the Environment program of USAID. Many of these impacts are difficult to be defined adequately by the partners, precisely because they go beyond the scope of the direct actions of grantees and sub-grantees. This also creates confusion as to the classification of the impacts as being ‘target’ or beyond target’, in areas surrounding the locations where the projects are being implemented. If a target is reviewed for the IRs, as we have recommended, this review may generate overlapping in the reports (seeing as they are cumulative). Thus, the magnitude expected for the two types of results should be different enough in order to make this problem negligible; it is a question of two distinct universes: the

---

<sup>6</sup> The recommendations made in a recent audit carried out by the Office of the Regional Inspector General/San Salvador are mentioned in the Reference Term.

micro (target areas) and the macro (BTAs). Projects which uptake concepts that are at an intermediary level to these categories, as is the case in the corridors of bio-diversity, will clearly find themselves encumbered with difficulties in interpretation.

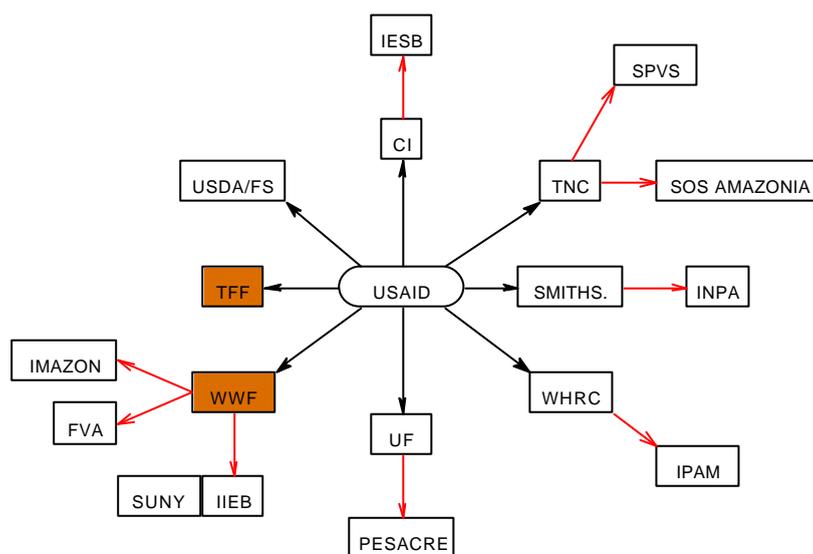
Another problem is related to the fact that the manner in which the BTA indicators are built and have been being used may lead to underestimates in the results achieved or that will be achieved. It seems evident that the institutional strengthening that a program has been promoting will of course have led to advances in the elements of USAID's global strategy.

Upon making these general considerations, a detailed analysis of the indicators linked to SO1 will be made, as follows:

**SO1.1 Number of forest sites that adopt sustainable forest management techniques in addition to target operations and the hectareage covered by such operations**

a) Identification of the organizations that provide the data

The data regarding the indicator no.1 linked to the SO1 is provided by two grantees: TFF and WWF, which have been highlighted in Figure 12.



**Figure 12: Organizations which provide data for the indicator 1 of the SO1**

b) The Results Tracking Table

	1998	1999	1999	2000	2000	2001	2001
	Actual	Target	Actual	Target	Actual	Target	Actual
TFF	1		6	15	13	15	
ha	650		5.850		280.850		
WWF	1		1	10	1	2	15
ha	80.571		80.571		121.433		871.169
<b>Total</b>	<b>2</b>	<b>42</b>	<b>7</b>	<b>25</b>	<b>14</b>	<b>35</b>	<b>15</b>
<b>Total ha.</b>	<b>81.221</b>		<b>86.421</b>	<b>0</b>	<b>402.283</b>	<b>0</b>	<b>871,169</b>

c) Identifying the operational problems which may exist in the indicator:

- It's senseless to define targets for the grantees in achievement of beyond target results. This objective belongs to USAID's program as a whole;
- The total target showed a decreasing pattern between 1999 and 2000. This is incoherent for an indicator that is cumulative;
- The indicator does not consider sources of data outside of those sources provided by a limited set of grantees (TFF and WWF);
- Other systems of forest resources management are not taken into consideration by the indicator. For example, the management in bayou ('igarape') areas for the extraction of natural fibers (Project 'Fibrarte' – FVA); areas of agro-forestry; extractivist management outside of the RESEX; areas implementing the recovery of vegetation.
- The indicator is restricted to the area legally defined as the Amazon region;

d) Comments on the indicator and how adequate it is with respect to the SO1:

During the interviews carried out with grantees and sub-grantees, we became aware of the fact that the distinction between protected and unprotected areas is not impervious. First of all, there are many different legal denominations and categories of sustainable management systems directed towards one or another aspect. In addition, the number of types of areas that include some aspect of protection has been growing steadily. In the opinion of some of the interviewees, the impact on the preservation of areas beyond target areas should be grasped based on a qualitative notion. Thus, in order to build an indicator, a factor that indicates the degree of implementation (or the quality) of a management system could be associated to each area.

Some reservations were put forward as to how IBAMA data is used to account for projects whose management plans have been approved of and which, thus, go beyond the current situation of data collection limited to grantees. The assessment is that data from IBAMA is neither of a high quality nor reliable. Initially, IBAMA had approved 2,800 management plans. However, subsequently, these plans had been reviewed and had been reduced to 400. If stricter criteria of quality are used, it is estimated that the number of good plans left would be only 70, for which information regarding the areas occupied is not available. The use of this data to build the indicator depends on a transparent process for checking quality carried out by the IBAMA (Brazilian Environment and Natural Resources Institute) which means that, if the institute maintains its efforts on this course, its data may be reported in the next years.

In any case, the results of BTA implementation for the indicator no. 1 are strongly bound to state policies, which extend beyond the scope of control of the program. The actions in public policies are crucial in this aspect and the grantees and sub-grantees, aware of this, have been demonstrating increasing dedication in their efforts in this direction.

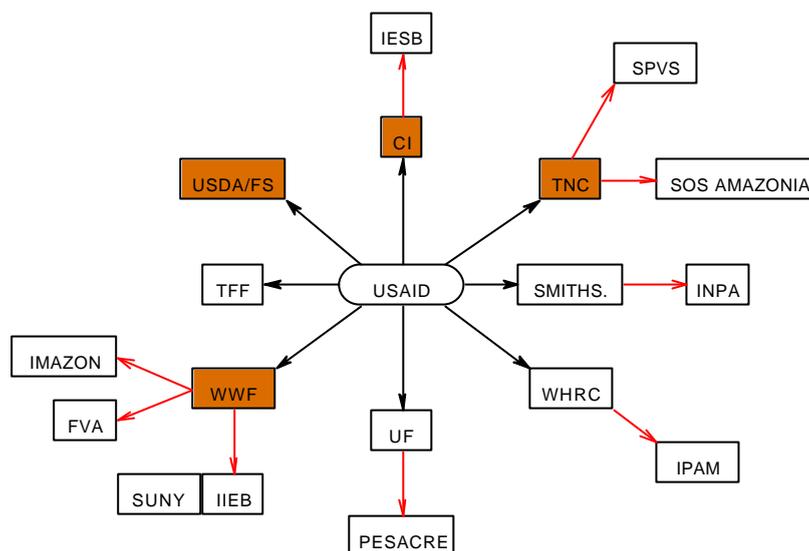
e) Recommendations

The recommendations for the indicators nos.1 and 2 are made together in the item 'Recommendations' of indicator no. 2

**SO1.2 Number of conservation units in which government or private owners adopt aspects of sustainable management systems in addition to target areas**

a) Identification of the organizations that provide the data

The data regarding the indicator no.2 linked to the SO1 is provided by four grantees: CI, FS, TNC and WWF, which can be found highlighted in Figure 13.



**Figure 13: Organizations which provide data for indicator no.2 of the SO1**

b) The Results Tracking Table

	1998	1999	1999	2000	2000	2001	2001
	Actual	Target	Actual	Target	Actual	Target	Actual
CI	4		8	8	11	9	
ha.	228		6.620		7.039		
FS	0		0	0	0	1	
ha.							
TNC	0		1	2	1	3	
ha.			2.300		2.300		
WWF	2		3	6	3	9	3
	162.100		482.100		482.100		454.051
<b>Total</b>	<b>6</b>	<b>10</b>	<b>12</b>	<b>16</b>	<b>15</b>	<b>22</b>	<b>3</b>
<b>Total ha.</b>	<b>162.328</b>	<b>0</b>	<b>491.020</b>	<b>0</b>	<b>491.439</b>	<b>0</b>	<b>454.051</b>

c) Identifying the operational problems which may occur in the indicator:

- It's senseless to define targets for the grantees in achievement of beyond target results. This objective belongs to USAID's program as a whole;
- The indicator does not consider sources of data outside of those provided by a sub-group of grantees (CI, FS, TNC and WWF);
- The indicator considers the biomes of the Amazon region and of the Atlantic forest together in the same group, though the relationships between the magnitude of the areas conserved and their importance in terms of conservation of bio-diversity are very

different. The biome of the Atlantic forest is more threatened and under more pressure, thus small areas conserved may represent a large impact on the conservation of biodiversity;

d) Comments regarding the indicator and how adequate it is with respect to the SO1

The comment made for indicator no. 1 regarding how difficult it is to classify certain cases also holds true for indicator no. 2, as does the need to establish a criterion with a minimum level of quality for reporting a specific area of conservation.

It was verified, in the interviews, that a research project for identifying timber poles, which was carried out with USAID support, influenced the strategy of the Brazilian government with regards to the creation of national forests (a public area which grants concessions for use to private enterprise, foreseeing sustainable exploitation of forest resources and tourism). The target is to implement 50 million hectares, which corresponds to 10% of the Amazon region as it is legally defined.

Once again, the results are conditioned to the state's role in the region and this example shows how the actions of the USAID program may trigger results on a scale which extends way beyond its target areas and may even lead to increasing the capacity of the grantees in the program to monitor the quality of the systems adopted in these areas.

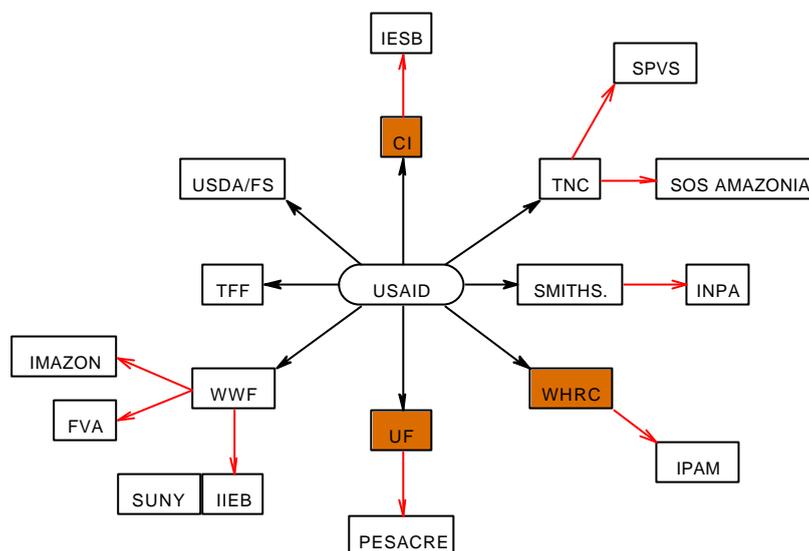
e) Recommendations for indicators nos. 1 and 2:

- ✓ Define reportable categories of conservation or management areas (RPPN, park, RESEX, national forest, managed forest, agro-forestry area, etc) in each indicator;
- ✓ Consider including other systems of forest management in indicator no.1, even those implemented beyond the legal boundaries of the Amazon region;
- ✓ Study the adoption of a coefficient to adjust the area considered in order to reflect the quality of management (study the establishment of standards in order to do so);
- ✓ Delegate the responsibility for estimating the data also on an external scope to the grantees and sub-grantees, for example, by outsourcing services and establishing processes for systematic checks to governmental organs;
- ✓ Consider the target of the number of areas as an objective for the program as a whole (equivalent to the current total target);
- ✓ Disregard the de-aggregated targets for grantees;
- ✓ Take contributions from all the grantees and sub-grantees into consideration in the supply of data for these indicators;
- ✓ Create a new space in each indicator to report cases/areas of great importance in management and conservation, which are influenced indirectly by one or more of the program's grantees but which cannot be associated individually to any of them.

**SO1.3 Number of families outside target areas who have adopted improved sustainable management systems**

a) Identification of the organizations that provide the data

The data regarding the indicator no.3 linked to the SO1 is provided by three grantees: CI, UF and WHRC, which have been highlighted in Figure 14.



**Figure 14: Organizations which provide data for indicator no. 3 of the SO1**

b) The Results Tracking Table

	1998	1999	1999	2000	2000	2001	2001
	Actual	Target*	Actual	Target	Actual	Target	Actual
CI	40		78	90	90	120	
UF	46		96	166	196	236	
WHRC	120		350	250	534	300	3424
<b>Total</b>	206	220	524	506	820	656	3424

c) Identification of operational problems which may exist in the indicator:

→ It may be senseless to define targets for the grantees in achievement of beyond target results. This objective belongs to USAID’s program as a whole;

d) Comments regarding the indicator and how adequate it is with respect to the SO1

The general opinion of the grantees and sub-grantees interviewed is that to count the number of families is no easy task. It is even more difficult to measure the effectiveness, i.e., to check if the families/individuals have in fact changed their normal daily practices. This can only be perceived after continuous accompaniment, on a long-term basis.

It may prove extremely difficult, even for the IBGE (Brazilian Institute of Geography and Statistics) to register the gross number of families in certain regions. In terms of logistics, the difficulty to obtain the data may be great in remote areas, which will make, in these cases, the data obtained have a low level of reliability.

This indicator, when measured and reported, is also transformed in area and could be, if it were the case, transported into the IR1.1 and 1.2. However, this proxy families/area reveals shortcomings in the indicator, since there are migrant families and the association between families and areas is not always valid.

In the indicator under discussion, there is also a mixture of the effects measured beyond target areas and in target areas. Many of the families taken into consideration are in areas adjacent to the target areas and are, therefore, beyond target areas. However, while they maintain contact with grantees and sub-grantees, they end up becoming part of the projects in target areas and are reported as new fronts in the program. It is not clear to the grantees to what extent it is worthwhile measuring the effects that may by chance occur in more distant areas, due to the high cost to do so. On the other hand, some projects that include training do not report beyond the number of people trained to include the other members in their families.

These two factors that are overlooked most certainly contribute to underestimates in the data reported in the indicator. Nonetheless, due to the low level of reliability in the data obtained, which may eventually have been overestimated, there is no way of concluding how accurate the data may be. In order to do so, a detailed survey in the field would be necessary, with a sampling process and interviews in the communities, at least in the regions near the areas influenced by projects supported by USAID.

As occurs in the indicators previously referred to, the diffusion effect that the indicator no. 3 aims to measure depends, to a large extent, on the public policies carried out by the state and, therefore, it only provides an approximate measurement of the quality of the work being carried out by the program.

#### e) Recommendations

- ✓ Consider the possibility of excluding the indicator no.3. The reason for doing so is twofold: the low quality of the data and its low level of pertinence to the SO1, issues which will be dealt with in more depth in Chapter 3;
- ✓ Consider the possibility of substituting indicator no. 3 for another indicator which is more pertinent to USAID's global strategy, such as: carbon dioxide emissions per capita, total forest area (annual percentage change and in hectares) or government commitment index, comprising environmental strategies developed, treaties ratified, and international reporting;
- ✓ Transfer the indicator's results in areas that have adopted agricultural management and sustainable extractivism to the indicators nos. 1 and 2 or to the IR1.1, if so be the case;
- ✓ Delegate the responsibility of estimating the data beyond target areas also on an external scope to the grantees and sub-grantees, by, for example, outsourcing services and establishing processes for systematic checks to government organs;
- ✓ Consider, if it be the case, the results of training of families in the IR2.2;;
- ✓ Also consider the case of families simply affected by disseminated information (IR4).

## 2.4. Aggregation of technical semi-annual reports

This topic refers to the third task defined in the Term of Reference, that is, the aggregation of technical semi-annual reports (SARs) concerning activities implemented in FY 2000.

In order to do so, the executing team had access to the SARs, concerning the period from October 2000 to March 2001, of eight grantees, that are: CI, SI, TFF, TNC, UF, USDA/FS, WHRC and WWF.

Based on a careful study of these documents, we have sought to identify: programs and/or projects developed; sub-grantees; local partnerships and other partnerships (financing agents); contribution to the SO1; objectives; areas of scope; strategies of action, sub-projects and phases; adopted/disseminated BTAs (check annexes).

Two referentials were established for the procedure of carrying out the aggregation of the SARs. The first refers to reporting instructions defined by USAID. The second referential is the data reported in RTTs.

In order to elaborate the SAR, reporting instructions are provided, the contents of which are reproduced as follows:

<p style="text-align: center;"><b>SEMI-ANNUAL REPORT:</b></p> <p><b>General Instructions:</b></p> <ul style="list-style-type: none"> <li>• Page limit: 10 pages maximum for narrative</li> <li>• Report Format: Separate sections for each activity/component as listed in the proposal and work plan</li> </ul> <p><b>Format:</b></p> <p><b>I. Key Results: <i>Brief bullets</i></b> consisting of one or two sentences each, listing accomplishments during the reporting period, including accomplishments not covered in the Results Tracking Tables. Detailed descriptions should be provided in Section II.</p> <p><b>II. Progress by IR:</b> Progress by Activity Component under each respective I.R. Brief discussion of progress of activities under each component including:</p> <ul style="list-style-type: none"> <li>i. <b>Indicator Number;</b></li> <li>ii. <b>Accomplishments:</b> the activity's outputs and accomplishments during the reporting period, keyed to elements identified in the grant scope of work;</li> <li>iii. <b>Relevance:</b> how progress under the activity or component contributes to achievement of the relevant Intermediate Result(s) of the environment strategic objective;</li> <li>iv. <b>Constraints:</b> explanation of any problems, delays, shortfalls or other issues which have impeded activities from</li> </ul>	<p>progressing as expected - relating to intermediate result indicator targets;</p> <ul style="list-style-type: none"> <li>v. <b>Management Action:</b> description of management action which has been taken in response to 4);</li> <li>vi. <b>Critical Assumptions:</b> determining factors for success of the program but which are beyond the control of USAID/Brazil and its partners;</li> <li>vii. <b>Accomplishments planned for the next reporting period</b> (current fiscal year).</li> </ul> <p><b>III. Success Stories:</b> Concise descriptions of any particularly outstanding or interesting people-level success stories which have occurred during the reporting period - including unplanned results - not covered in the performance indicators. Impacts in areas such as community engagement, and gender issues are of particular interest. Descriptions should be concise but attempt to capture the significance of the story. USAID often has demands for this type of stories throughout the year e.g. for discussions with the U.S. Congress and in other fora. Well-crafted success stories provide an excellent opportunity to spread the word of grantee program successes to larger audiences.</p> <p><b>IV. Staffing List:</b> grantee and sub-grantee staff who worked during the reporting period, with brief description of the responsibilities of each.</p>
---	---

The reporting instructions are directly related to the performance monitoring system, that is, once they have been followed, they should make it possible to report in a homogeneous and qualitative manner on the data provided for filling out the RTTs.

Nevertheless, in the previous topics of this chapter, a series of problems were identified that can occur during filling out the RTT. This demonstrates that difficulties exist in understanding and adopting the indicators of the performance monitoring system. These difficulties represent one of the elements used to explain the unsatisfactory link between the data and information inserted in the SARs, which is investigated by use of the indicators that make up the RTT. This results in insufficient quality of data, which has a negative repercussion on the monitoring of the results of the initiatives supported by USAID.

Upon consideration of the such problems, the elements to be faced in the search for a unified guideline for the consolidation of SARs may be grouped at four levels:

- Discrepancies with regards to reporting instructions;
- difficulties in relating the results to the RF indicators, which puts into jeopardy the execution of the recommended steps: accomplishments, relevance, constraints, management action and accomplishments planned for the next reporting period;
- lack of identification in the planned and accomplished steps of the index, for each indicator; and
- heterogeneity at the level of detailing of results.

An aggregation of the SARs, in order to obtain results which are functional from the point of view of the execution of the SO1, only makes sense if the set of problems identified in the monitoring system are confronted against each other as well as against those verified in their adoption by the grantees. It is indeed no simple task due to the diversity in the set of grantees and sub-grantees supported and due to the need for constant accompaniment of the evolution of the context in which the USAID network acts.

In summary, the aggregation of the SARs is justified in order to provide an overview of the results of the actions supported in the scope of USAID's Environment program. However, in order to accomplish the main objective to which this aggregation lends itself, that is, to provide support to USAID in its global strategy and, particularly, in the achievement of the SO1, this aggregation only proves worthwhile and only has its results potentially incremented if it is linked to the performance monitoring system. The first step, which is unavoidable, is to fill out the RTTs in a satisfactory manner, which, it should be stressed, should result in a report which conforms to the objectives that are subjugated to the items proposed in the reporting instructions.

Recommendations regarding how to face the problems mentioned will be made in Chapter 3.

## Chapter 3 – Conclusions: Elements for quality assessment of the data regarding the performance monitoring system adopted by USAID

### General conclusions and recommendations

This chapter presents the conclusions of this assessment. Before starting to discuss the central points that were identified during this study, it is appropriate to take up the objective of this document once again, which is to offer elements that may contribute to guaranteeing the quality of the data used to calculate the indicators that will provide support to USAID's Performance Monitoring Plan (PMP). The problems detected as to the quality of the data are viewed, by the agency itself, as an important gap in the overall measurement of success of the environment program. Therefore, this assessment starts off by acknowledging that difficulties exist in correctly reporting the data required for implementing the PMP; these difficulties bring drawbacks directly to the level to which the strategic objective (SO1) of USAID/Brazil's environment program can be rendered effective.

Such difficulties have a negative repercussion in the governance process, in which USAID takes a leading role with respect to the set of grantees that it supports, basically by linking the SO1 to the results of the actions of the USAID network as they are perceived through performance indicators<sup>1</sup>.

To reach conclusions regarding the shortcomings in the referred alignment and to put forward recommendations in order to contribute to eliminating these shortcomings, we will take three dimensions of analysis into consideration: operational, strategic and the execution of governance. The arguments built on these dimensions will be based on the analysis of the logical-conceptual framework of the PMP (Chapter 1), as well as on the identification of the focal points of action of the grantees and the sub-grantees and on the analysis of the RTTs (Chapter 2), in the setting of the general context of USAID action.

### **3.1. Data quality assessment: operational problems**

In this topic, the operational problems identified in the collection and consolidation of the data supplied by grantees will be analyzed. Such problems have repercussions in the quality of the data regarding the projects supported in the scope of USAID's Environment Program and have a negative effect on its monitoring capacity.

It is essential that the PMP clearly reports the importance of the organizations that make up the USAID network with respect to the accomplishment of the actions directed towards the environment in Brazil, especially in the Amazon region (conservation and sustainable use of natural resources and global climate change).

In order to do so, the flaws pinpointed in Chapter 2 must be corrected for the set of intermediary indicators and the BTA monitoring must be made to function more effectively.

---

<sup>1</sup> In this context, governance may be seen as a continuous process through which conflicting or diverging interests can reach a solution.

In the opinion of the organizations that make up the network, data collection for USAID is a complicated process (more complicated than, for example, the collection of data for the PNUD, the PPG7 or the Probio), to which the significant barrier regarding the use of the English language is added.

The complexity of the system is the main reason given for the fact that part of the sub-grantees are not involved in the process of filling out the RTTs.<sup>2</sup> Centralizing the task of filling out and consolidating the RTTs in grantees such as TNC and WWF seeks, according to these same grantees, to help the sub-grantees avoid bureaucracy and to make the sub-grantees tasks easier.

Thus, it is not recommended to increase the quantity of indicators nor the complexity of the indicators system. Changes which may come to occur should take place in order to simplify the system. The efficiency and quality of monitoring depends more on how adequate the monitoring is to its conceptual framework and on how accurately it is put into operation that on what extent it is exhausted. The set of organizations which make up the USAID network and the heterogeneity of its activities add weight to the need to focus the monitoring on core objectives as opposed to attempts to monitor all the activities.

Currently, both the lack of or imbalances in knowledge as well as the insufficient and uneven grasp of the SO1 and of the PMP, on the part of the organizations which make up the network, bring negative consequences to USAID with regards to the effectiveness of the Environment Program. The main operational problems in the current system may be linked to this situation.

First, mistakes have occurred while interpreting the unit of measurement for the indicators that are based on ratios.<sup>3</sup> The ratios provide a measurement of the extent to which the steps planned by the grantees in their activities have in fact been carried out. The correct use of the indicator assumes that the steps planned for a fiscal year have been defined a priori. It is indispensable that these steps be reported clearly in the SARs, which, as we have seen in Chapter 2, has not been happening currently in a satisfactory manner (except in the cases of the TNC and the WHRC, whose SARs are the ones which come the closest to the reporting instructions defined by USAID) If this condition is not satisfied, it is not possible to audit the accomplishment of the steps that define the ratios.

If the indicators based on ratios are used adequately they should provide a measurement of the coherence between the planning and the actions executed on the part of the grantees, besides guiding these actions qualitatively and in terms of methodology.

The structures of steps defined in the indexes may prove to be important references from an organizational point of view and they should be continuously reviewed to evaluate how closely they match the reality of the work in the field and how suitable they are with regards to the theoretical and conceptual advances that support them. This instrument should prove useful to the grantees and the sub-grantees for them to plan and carry out their work and it should be effectively incorporated in their routines. The adjustments made regarding the re-direction of activities in the field should be reflected by changes in the steps in the index. A discussion regarding how improve this methodological guide can collaborate significantly in the process of reflecting on the direction of the actions. The updating in the index of the IR3.1 carried out recently is a good example of this resource.

---

<sup>2</sup> CI, UF, SI and WHRC delegate this task to their sub-grantees whereas TNC and WWF do not, therefore TNC and WWF sub-grantees know very little about USAID's monitoring system.

<sup>3</sup> IR1.1, IR1.2, IR1.3, IR2.1 and IR3.1.

Second, some of the indicators that report the number of individuals trained and the population reached through efforts in the diffusion of information are manipulated in very different ways by different grantees.<sup>4</sup>

If, on one hand, these indicators are being used relatively well from an operational point of view, on the other hand, there are cases that reveal some difficulties, mainly regarding the validity of the mechanisms for estimating the number of people affected (reached) through dissemination (IR4) and the criteria used to check if the individuals trained have become active in training. In the former case, each grantee uses its own proxy for estimating the people affected (reached) and the quality of this estimate can not be assessed without detailed research in field based on effective sampling. Seeing as it may be impossible to undertake a task of such large proportions, the most reasonable option is to assure that the grantees use functions for estimates that have references based on national and international experience and that they make these functions clearly explicit (including the source) in the SARs. In the latter case, the indicator seeks to show how well the training can be reproduced, but it encounters two pitfalls (two weaknesses): the mechanism used to grant accreditation of the condition of ‘trainer’ and the general nature of the category ‘trainers’ as it has been defined, which includes people ranging from those carrying out extensionist activities and assistants in field work to professors at a post-graduate level. Thus, the number of people reported by the different grantees has suffered a large variation in magnitude, a fact which may lead to undesirable interpretations. It is important to qualify (in the space available on the RTT itself) what type of trained people the numbers refer to. For this indicator, the grantees should also be required to report in the SAR the methodology used to obtain the numbers provided.

It is fundamental to make improvements, at all levels of the PMP, in the procedures of documentation regarding the methodology which provides the basis for the collection of data. If this is not done, all of the assessment and auditing processes will come up against the obstacle of insufficiencies in references that are documented and organized, which greatly hampers these activities. The non-compliance with the standards that USAID has defined implies that a large quantity of information and knowledge will remain in the hands of a few individuals instead of serving the organizations. In this manner, a lot of information which could be relevant to USAID may easily end up lost. The flexibility of USAID’s program should not be mistaken as an opportunity to not comply with the reporting standards and does not waive the responsibility of documenting the data supplied. The relationships of trust which have been established are a vital asset for making the program feasible but should not at any moment put the quality of the data reported into jeopardy,

It is necessary to make sure that training exists for preparing the SARs and for filling out the RTTs and that those providing the information are charged with the responsibility of standardizing the data required and reporting it in complete form. This is the course for USAID to strengthen the governance over the network that it finances in order to assure the achievement of its strategic objective in the country, that will be discussed in topic 3.3.

From the point of view of the results beyond target areas, the main operational difficulty, and, to a large extent, a strategic difficulty as well, is that of having to depend on data supplied by some components of the network in order to measure the effectiveness of the program as a whole. This leads us to believe that the data reported represents only a part of the results that the program has a significant influence on.

A first point which must be clarified is regarding how to determine if a result may or may not be reported in the BTA category. Due to the high level of complexity in environmental issues

---

<sup>4</sup> IR2.1, IR2.3 and IR4, especially the last two.

in Brazil and due to the multiplicity of the results generated with the support of USAID's program, a highly diversified network of influence must most certainly exist and it must reach, in one way or another, a large part of the results which are important for environmental conservation in the country. Nevertheless, to map out this chain of causalities is simply not feasible.

Currently, the BTA indicators are fed only with results within the radius which the programs reach of the grantees that report them, a procedure which assures a minimum level of quality for this data, but may lead to underestimates. A first alternative would be to require that all grantees and sub-grantee report the cases that are within an acceptable level of reliability. To do so, the definitions of the indicators would have to be reviewed, including the cases not foreseen previously and their respective quality standards, readjusting the current structure (according to recommendations made in Chapter 2) and providing training so that the new grantees and sub-grantees can share the same understanding and methodology. The second alternative, which broadens the first, would be to also aggregate data provided by sources outside of the network. It is important for USAID to increase its awareness regarding the evolution of the scenario of environmental conservation in order to be able to adequately assess its effectiveness with respect to the SO1. The BTA indicators need to be able to demonstrate the participation of USAID's program in results that are relevant to the environment, whether or not they are within the reach and scope of its grantees and sub-grantees. In order to do so, a feasible option would be to identify important success cases and to map out the participation of USAID's grantees and sub-grantees.<sup>5</sup> The decision as to whether to report such cases should be made by USAID itself, as it should also hold itself responsible for the quality of the information.

### **3.2. Data quality assessment: consolidation of its link to the strategic objective**

In this topic, recommendations are made to direct in the design of a process for data collection, verification and monitoring of SO1 level indicators pertaining to results achieved "beyond target areas" (BTA) and for the collection of data, verification and analysis of the performance of these same indicators.

It is only through carrying out the corrections and through detailing the definitions needed to overcome operational problems that it will be possible to gauge if the indicators system is pertinent for the monitoring of the SO1. It is important to make a distinction between poor functioning and a poor level of adequacy.

However, some considerations may be put forward, as shown in Chapter 2. This study has made use of information and suggestions gathered through interviews with grantees and sub-grantees. These interviews revealed a high level of heterogeneity in the grasp of the indicators system, and many suggestions were made for changes in the referred system. It became evident that the perception of the importance that the work of each organization has to the SO1 is fragmented and that this perception is based much more on references defined by the organizations themselves than on references based on the SO1. Due to this, in some cases, difficulties have arisen regarding the distinction between results in target areas and results beyond target areas, for the reference continues to be the organization itself which is reporting the data and not the USAID program as a whole.

This finding reinforces the need for USAID to make the distinction between the indicators for intermediate results and beyond target areas results more explicit. The former refer separately to grantees and sub-grantees, whereas the latter refer to the program as a whole.

---

<sup>5</sup> Suggestion put forward by Daniel Nepstad (WHRC/IPAM).

Between these two levels a hypothesis of causalities has been taken up, this hypothesis being that the success of the first implies in the success of the latter, as was seen in Chapter 1. This hypothesis cannot be tested simply through an analysis of the quality and evolution of the BTA data. It depends on the evolution of the program throughout time and on a set of local and global contingencies which go way beyond the reach of the indicators.

Among the interviewees a certain concern with the quantitative character of the BTA indicators has been voiced. According to them, a lot of efforts to broaden the range of actions run the risk of being wasted when concentrating efforts on the identification of the results which are focused on the maintenance of quantitative indicators, seeing as they do not pick up the innovations which are happening in the conceptual and organizational plans. There is also the concern with triggering a false leveling off if the areas with 'different qualities' in terms of conservation are added up together, in addition to the fact that the indicators would be restricted to the biological aspects of conservation. It was highlighted that many of the results that the program had reached can only be expressed in qualitative terms, and thus USAID's recent efforts to stress the importance of more qualitative elements in the SARs which gather key results and success stories have been viewed in a very positive manner.

Altogether, the conclusion which has arisen is that the quality of USAID's program cannot be grasped simply through the indicators which refer to the SO1. The current indicators do not permit a satisfactory measurement of the program's performance. Obviously, these indicators provide necessary and relevant information, yet this does not mean that the intermediary results can be invalidated due to a weak performance in the SO1 level indicators. The results obtained at the level of grantees and sub-grantees have an intrinsic value, seeing as they are fundamental in directing the execution of governance and the learning processes that the program offers.

The SO1 level indicators really serve much more as a tool for monitoring the setting in which the program is inserted. They provide, in fact, feedback regarding the adoption of sustainable practices fostered by the existence of the program and they signal the existence of contingencies which prevent a more extensive diffusion of these practices. This signaling, when interpreted by the agents of the program, re-shapes the activities of the grantees and sub-grantees. Furthermore, this signaling may be reflected in an adjustment of the intermediary indicators, both in the re-definition of the steps of the indexes as well as in terms of variations in the emphasis placed on each of the four intermediate results.

We will now take up once again the recommendation that USAID maintain, as SO1 level indicators, only those indicators which live up to the references laid down in USAID's Strategic Objectives 5.1 and 5.2, that is, the threat of global climate change reduced and biological diversity conserved. Indicators nos. 1 and 2 of the SO1 correspond to the indicator suggested by USAID: "nationally protected areas (in total thousands of square kilometers and as a percentage of total land area)" (USAID 2000 FY Performance Overview, 2001). It might even be the case of considering blending the two indicators together into one single aggregated indicator; taking care so as to not lose in the qualitative detailing of the type of area reported. Indicator no.3, in turn, does not have a counterpart in the set put forward by USAID's Strategic Objective 5 and, keeping the reservations discussed in Chapter 2 in mind, it could be excluded from the SO1.

USAID may consider, in the spirit of monitoring the setting in which the program is inserted, incorporating into the SO1 the following indicators: "carbon dioxide emissions per capita", "total forest area (annual percentage change and in hectares)" and "government commitment index, comprising environmental strategies developed, treaties ratified, and international reporting" (USAID 2000 FY Performance Overview, 2001). These indicators should have references linked to the program's areas of interest, that is, to the limits of the target biomes and to the area of Brazilian federal territory. The data could come from government

agencies, research institutions or from studies financed specifically to this aim. The grantees and sub-grantees should not be held responsible for obtaining this data. In addition, the performance of these indicators would not reflect more than indirectly the results of the program, but these same indicators would serve as important information for planning and directing the program's actions.

It is important to stress that it doesn't make sense to define targets for grantees and sub-grantees in the report of data for indicators nos. 1 and 2 of the SO1, nor is it necessary to restrict the acquisition of data to a sub-set of participants in the program.

In any case, it is essential that a continuous training program be set up for the grantees and sub-grantees of the program, in order to standardize the operational procedures, as was stressed in the previous item and, mainly, in order to put due emphasis on the strategic role of each stakeholder in the USAID program, demonstrating how the results of its actions have collaborated to the agency's strategic objective 5.

It is recommended that USAID prepares a detailed manual with a pedagogical direction and in Portuguese. This manual should contain a briefing regarding the program's history, its conceptual bases, the agency's standards for reports, the definitions of the indicators, and the procedures regarding the collection of data and estimation of the indicators.

USAID's conceptual structure aids in grasping the macro vision and the strategic thinking regarding the actions that benefit conservation. Undoubtedly, the program as a whole can benefit from consolidating the language shared and from the reflection needed for the accompaniment and continuous review that the monitoring system imposes upon the network.

In order to achieve the SO1, USAID should pay close attention to the privileged role that it plays in terms of coordination. Its success is closely tied to its capacity to carry out governance in the network where it serves as a nucleus and in the complex system of actors and decisions that make up the current environmental issue.

### **3.3. Data quality assessment: execution of governance**

As was seen in the previous topics, data quality assessment has demonstrated two sorts of problems: operational problems and those that are intrinsic to the indicators when they are linked to the SO1.

The problems of an operational nature are linked to the grasp that the grantees and sub-grantees have of the performance monitoring system. They explain the difficulties in the collection and consolidation of data.

The problems of another nature refer to the conception itself of some indicators, those which present shortcomings in grasping the diversity and evolution of the universe of actions of the partners, which may lead to the establishment of a short-sighted vision with regards to the importance and reach of the actions supported in the Environment Program.

Moreover, the referred diagnosis of the shortcomings linked to the data has demonstrated limits in the linking of the institutional environment (the USAID network) to the governance structure (the PMP as referenced to a specific strategic objective). Here difficulties appear with respect to making a PMP's original structure compatible with the results that it seeks to

monitor seeing as these results are associated with a program that has evolved and has shown changes as time goes by.<sup>1</sup>

Consequently, the coordination by USAID of the network of organizations should be tied to the consolidation of a governance process directed precisely towards addressing these problems. Thus, it is important to stress the need to ensure that the coordination of the actions implemented by the set of participants in the network is carried out in the best way possible.

However, if USAID has, to start off with, a unique tool, the performance monitoring system, for the coordination of the network of which it is the nucleus. The issue to be solved is to how to make the execution of governance<sup>2</sup> more fruitful in order to ensure and consolidate the effectiveness of the program.

Through the set of interviews conducted during the field research, USAID's awareness of the environmental issue and its capacity to guide actions was made explicit, above all with respect to the definition of the partners that it works with. This has resulted in the implementation of a program with results which have stood out when compared with international experiences.

Thus, the effectiveness of the PMP should be made real through instrumental actions to induce behavior from the partners, establishing the SO as a reference. This would enable the PMP to modify the institutional environment in favor of USAID's global strategy.

In order to do so, the strengthening of the USAID network, for the achievement of the SO, requires that PMP demands be inserted in the planning of partner organizations. In the current context, the development of projects has been based many times on an implicit mutual relationship of trust among the partners which, from the point of view of the coordination, is greatly insufficient to ensure governance.

The indicators in general should provide a basis for re-directing the actions and for gauging the changes in the grantees actions. In this respect, it should be stressed that the monitoring system provides elements for the systematic accompaniment of the projects with the aim of obtaining the data related to their results. The complement could be that of receiving, as a routine procedure, feedback of the monitoring by the grantees and sub-grantees. Clarity with regards to how and for what the information is used is essential for strengthening the relationships of trust and of mutual commitment.

It should be realized that building a governance structure does not imply in the establishment of a relationship which will be able to cope with all the events which may by chance come up. This makes re-negotiation inevitable. Thus, the coordination of the USAID network should be viewed as a collective construction that the agency itself and the partner organizations (grantees and sub-grantees) participate in, and, in this manner, it should be capable of establishing the basis for a shared organizational learning process.

Finally, it should be highlighted that a spin off exists for the rest of the institutional setting which is associated to the issue of environmental conservation. This spin off refers to

---

<sup>1</sup> The fundamental aspects which have served as the basis for the original conception (creation) of the PMP and the evolution of the Environment Program are topics which were covered in Chapter 1.

<sup>2</sup> The organizations build governance structures aiming to use, in the best way possible, the means for reaching their objectives. According still to the focus of New Institutional Economics, the agents make use of mechanisms which are appropriate for regulating a specific transaction, called 'governance structures' with the aim of reducing transaction costs (for example, performance monitoring, data collection), AZEVEDO, P.F. 'Nova Economia Institucional: referencial geral e aplicações para a agricultura' (.New Institutional Economics: general referential and applications in agriculture." In *Agricultura em São Paulo*, 47 (1), São Paulo, 2000.

impacts directly associated to the actions supported by USAID, but which go beyond the limits and objectives defined in the projects supported.

This is, by and large, one of the fruits borne from recent directions of some partners in the sense of influencing public policies as well in their actions related to training, providing capacities and diffusion. Hence the importance of drawing the partners into closer relationships, especially the sub-grantees, which is essential in order to witness spin off.

In this respect, the categories proposed by Sauneir *et alli* should be taken up once again. According to these authors: “impacts beyond target areas consistently exceeded the modest character of the targets. They may occur according to six categories: technology transfer; organizational development; training and human resources; information, education and communication; advocacy; networking.”

The categories mentioned serve to identify the spin-off and should be given emphasis in the governance process seeing as they may increase the impacts of the Environment Program.

In conclusion, the role played in the organizational learning process of USAID's partners and in the occurrence of spin-offs associated to the actions developed within the scope of the Environment Program are the basis of the contributions of USAID to the debate on and evolution of the topic of environment in the country.

## Documents Consulted

**CI** – Biodiversity Corridor Planning and Implementation Program (Corridor). Semi-annual progress report ( October, 2000 – march, 2001), june 2001.

**CI/IESB** – Designing Sustainable Landscapes – The Brazilian Atlantic Forest. Center for Applied Biodiversity Science, folder, Washington, 2000.

**FFT** – Atividades da Fundação Floresta Tropical. Belém, 2000. (folder)

**IMAZON** - Projeto Piloto de Manejo Florestal em Paragominas (Pará) e Estudos Estratégicos para Políticas Florestais na Amazônia. VIDAL, E. (coord.), relatório técnico final (out. 2000/set. 2001), Ananindeua, setembro de 2001.

**IMAZON** – Relatório de Atividades 1999-2000 (folder)

**PESACRE** – 1990-2000 (folder)

**SALLES-FILHO, S. L. M., MAIA, K. D., BARBANTI JUNIOR. O.** *Avaliação do Programa do WWF em Parceria com a USAID no Brasil.* Relatório Final, USAID/Brazil, Brasília, 2000.

**SAUNIER, R. E.; SAWYER, D.; SHORR, N.; MARTINS, E. S. & ARAÚJO, M. M.** *An impact assessment and framework for discussing the 2003-2007 strategic plan of the USAID/Brazil environment program.* Final Report, USAID/Brazil, Brasília, 2001.

**SAWYER, D.** *Estimation of Current Indicators for Evaluation of the Strategic Objective of Usaid's Global Climate Change Program.* Instituto Sociedade, População e Natureza – ISPN. Brasília, 1997.

**SI** – Biological Dynamics of Forest Fragments Project (BDFFP). Semi-annual report (October, 2000 – march, 2001), may 2001.

**SOS Amazônia** – Projeto Conservação do Parque Nacional da Serra do Divisor. Relatório de atividades (out. 2000/set. 2001),

**SOS Amazônia** – Relatório 2000 (folder)

**SPVS** – Parks in Peril (Guaraqueçaba). Self-evaluation for fiscal year 2001/site worplan for fiscal year 2002.

**TFF** – Sustainable Forest Management Program in Brazil – low impact harvesting training. Eighth semi-annual report (july-december 2000), February, 2001.

**TNC** – Semi-annual report (October, 2000 – march, 2001) – TNC Brazil Division, may 2001.

**UF/PESACRE** – Semi-annual report (October, 2000 to aprl, 2001), Acre, 2001.

**USAID** – 2000 FY Performance Overview, Center for Development Information and Evaluation. Washington, April 2001.

**USAID** – Guidelines for indicator and data quality. In Performance Monitoring and Evaluation - TIPS, Center for Development Information and Evaluation, Washington, number 12, 1998.

**USAID/Brazil** – Performance Monitoring Plan, Brasília, July 2001

**USAID/Brazil** – Portfolio Review – Strategic Objective # 1 (SO1), Brasília, 2001.

**USAID/Brazil** – Results Tracking Tables 2000, Brasília, 2001.

**USAID/Brazil** – SO Text for SO: 512-001 Environmentally and socio-economically sustainable alternatives for sound land use adopted beyond target areas, Brasília, 2001.

**USAID/Brazil** – Supplemental Information Annexes. Brasília, agosto de 2000.

**USAID/Brazil** – USAID/Brazil Official Reports – reporting instructions, Brasília, 2000.

**USAID/Brazil** - SO1 Data Quality Assessment, Data Collection and Monitoring Analysis and Technical Reports Aggregation. Scope of Work, Brasília, 2001.

**USDA/FS** – Brazil Program USDA Forest Service. Semi-annual report, July 2001.

**WHRC** – Utilization and Restoration of Amazonian Forests. Semi-annual report (October, 2000 – March, 2001), July 2001.

**WWF** – Protected Areas & Sustainable Resource Management, Amazon Development Policy, Capacity Building. Semi-annual technical Progress Report (October, 2000 to March, 2001), May 2001.

**WWF** – Relatório de Atividades 1999-2000 (folder)

**WWF/SUNY** – Natureza e Sociedade – Programa de Treinamento para Profissionais na Área da Conservação.(folder)

#### Web sites

**FVA** – Fundação Vitória Amazônica

**IPAM** – Instituto de Pesquisa Ambiental da Amazônia

#### **Smithsonian Institution**

**SPVS** – Sociedade de Pesquisa em Vida Selvagem e Educação Ambiental.

**USAID** – Building a Results Framework. In Performance Monitoring and Evaluation, TIPS, Center for Development Information and Evaluation, Washington, number 13, 2000.

**USAID** – Measuring Institutional Capacity. In Performance Monitoring and Evaluation, TIPS, Center for Development Information and Evaluation, Washington, number 15, 2000.

**USAID** – Selecting Performance Indicators. In Performance Monitoring and Evaluation, TIPS, Center for Development Information and Evaluation, Washington, number 6, 1996.

**USAID** – Strategic Goal 5: Protect the Environment for Long-Term Sustainability. Report 2000.

**USAID** – The Role of Evaluation in USAID. In Performance Monitoring and Evaluation, TIPS, Center for Development Information and Evaluation, Washington, number 11, 1997.

**USAID** – When Do Partnerships Help Advance USAID goals? In Performance Monitoring and Evaluation News – notes, reviews, perspectives. July, 2001.

**USAID** – Workshops Yield Lessons for Improving Performance. In Performance Monitoring and Evaluation News – notes, reviews, perspectives. July, 2001.

**World Watch** – The U.S. 2002 Federal Budget: Big Cuts for Environmental Programs. July/August 2001.

## Appendix 1 – Scope of Work

### USAID/Brazil SO1 Data Quality Assessment, Data Collection and Monitoring Analysis and Technical Reports Aggregation

#### 1.1 Background

The majority of the USAID/Brazil program is focused on the environment and the bulk of that program is centered on three issues of global environmental concern: forest and biodiversity loss and global climate change. Since the late 1990's, USAID/Brazil has had an environment program which has focused its attention mostly on the Amazon. The portfolio of projects has primarily consisted of applied, biophysical research on biodiversity and the forest ecosystem dynamics, and socio-economic analysis of natural resource management decisions by communities and individuals that impact on forests and protected areas. The current Strategic Objective (SO) of the environment program calls for "environmentally and socio-economically sustainable alternatives for sound land use adopted beyond target areas.", i.e., the objective has been to improve natural resource management beyond project boundaries. This has largely been accomplished by providing information and models replicated in areas adjacent to project sites and that are being utilized in the design of other programs, enterprises, regulations and institutions. Impacts beyond target areas also are facilitated directly through capacity building and training programs.

USAID/Brazil's performance monitoring system follows an overall strategy structure (called 'Results Framework') for each SO. The strategy has been set up containing a hierarchy of results ('Intermediate Results') leading to the achievement of the SO, using an indicator measurement to track those results. USAID requires that each Mission regularly collect, review and use information on its performance in order to manage effectively for results. (See attached: Automated Directive Systems, ADS 203.3.6.3)

A recent audit performed by the Office of the Regional Inspector General/San Salvador identified four aspects of the environment program performance monitoring system that should be improved to meet standards of validity, reliability, timeliness, precision and integrity. The SO team needs to: (1) assess data sources and methodologies of its performance indicators; (2) ensure that reported results are accurate, supported, and complete; (3) be more precise in indicator definitions and data collection methodologies; and (4) update its performance monitoring plan at regular intervals.

To date there has not been a systematic collection and monitoring of SO level performance indicator data (those indicators referring to "beyond target areas"), beyond those regularly collected for Intermediate Results (IRs). At the time the current strategy was being developed, it was envisaged that funds would become available for USAID partners themselves to collect and process these data. This turned out not to be the case, as USAID/Brazil has faced severe budget restrictions over the past few years.

This assessment is, therefore, designed to fill this important gap in the overall measurement of success of the environment program.

## 1.2 Statement of Work (SOW)

The purpose of this SOW is to perform the following tasks:

- a) a data quality assessment of all current environment program-supported projects;
- b) design of a process for data collection, verification and monitoring of SO1 level indicators pertaining to results achieved “beyond target areas” and for the collection of data, verification and analysis of the performance of same indicators, and
- c) aggregation of technical semi-annual reports concerning activities implemented in FY2000.

The product of items a) and b) shall contain detailed information about all aspects of SO indicator definition, unit of measurement, data source, methods and approaches to data collection and data acquisition by the Mission. The information collected shall subsequently be incorporated into the SO1 Results Tracking Tables (RTT) and the USAID Mission’s Performance Monitoring Plan (PMP) which is a critical tool for managing and documenting the data collection process (see ANNEX F). Presentation of the work developed under this order (reports data) shall follow the format laid out in USAID/Brazil’s PMP and SO1 RTTs.

The Mission requires that the contractor visit four of USAID/Brazil’s environment project sites in order to obtain actual data.

The output of this work will feed into the preparation of portions of the R-4 submission in Spring 2001 and for Strategic Planning development in 2002. It will also provide a basis upon which the Mission will be able to measure its success in achieving the SO1, as the current strategy approaches completion. In addition, it shall be an essential tool in the Mission’s overall strategic planning process for the Environment Strategy, currently under development and for the period beginning in late 2003.

The Mission requires weekly summaries of documents reviewed and interviews and any preliminary analysis which take place and upon which the reports will be based.

All written material will be delivered in English.

The Mission also requires that Contractor present his work in the Environment Annual Meeting to be held in the first week of December in Pará.

## Appendix 2 – Program Personnel Contacted by the Assessment Team

Name	Organization	City
Ana Cristina Barros	IPAM	Belém
Antonio Oviedo	WWF	Manaus/Brasília
Camila Pinheiro de Castro	IIEB	Brasília
Carlos César Durigan	FVA	Manaus
Cecília Kierulff	IESB	Ilhéus
Daniel Nepstad	WHRC	Rio Branco
David Cleary	TNC/Brazil	Brasília
Edson Vidal	IMAZON	Belém
Heraldo Luis Vasconcelos	SI/INPA	Manaus
Ima Célia Guimarães Vieira	Museu Goeldi	Belém
Irving Foster Brown	WHRC	Rio Branco
Jacqueline Villarreal	PESACRE	Rio Branco
Johan C.Zweede	FFT	Belém
Leonardo Lacerda	WWF	Brasília
Magaly Pagotto	USAID	Brasília
Maria Jose Gontijo	IIEB/SUNY	Brasília
Miguel Scarcello	Ass.SOS Amazônia	Rio Branco
Muriel Saragoussi	FVA	Manaus
Patricia Delamonica Sampaio	SI/INPA	Manaus
Paulo Gustavo do Prado Pereira	CI	Brasília
Paulo Moutinho	IPAM	Belém
Reginaldo Silveira de Lima	PESACRE	Rio Branco
Roberto Cavalcanti	CI	Brasília
Rui Rocha	IESB	Ilhéus

## Appendix 3 – Summary of received semi-annual reports

### **GRANTEE: Woods Hole Research Center (WHRC)**

**Title:** Utilization and recovery of Amazonian forests

**Length of duration of project:** Sept.30th/2000 to Sept. 30th/2001

**Length of duration of report:** Oct. 1st, 2000 to March 31st/2001

#### **Objectives:**

- Development, diffusion and debate regarding the future of the Amazon region as viewed from two scenarios: business as usual x sustainable development;
- Development of public debate about the Network of the Convention of Climatic Changes (FCCC);
- Analysis, debate and remodeling of credit/subsidy programs to reduce the risk of accidental fire;
- Regional analyses of the projects for the management of natural resources based on the communities (CBRM); consolidation and spread of the models;
- Analysis, debate and remodeling of the policies which encourage the success of the CBRM models;
- Conclusion of the RisQue ('Strike') model, a model of the risk of fire, and its establishment as a warning system for the analysis of public policies;
- Conclusion and diffusion of the studies regarding the effect of fire, drought, extraction of wood through a traditional method and 'reduced-impact' extraction of wood in the forests of the region;
- Continuity in the training program of 'key-ecologists' as environmental leaders, and the conclusion of a textbook to be used in university courses based on the program;
- Conclusion and establishment of a ranking of the curricula for the schooling system in the Amazon region, including the production of books for 7th, 8th and 9th graders.

**Sub-grantee:** IPAM

#### **Local partnerships and other partnerships (financing agents):**

- Communities of the Resex Chico Mendes and Tapajós-Arapiuns; and
- COVARI -Cooperative located in Paragominas

#### **Contribution to the SO1:**

- Reduction of threats of global climatic changes;
- Preservation of biological diversity.

### **Areas of scope:**

- Public policies;
- Education and providing capacity (skills);
- Mobilizing the society;
- Modeling; and
- Alternatives for development

### **Strategies of action, sub-projects and phases**

Activities that have already been carried out:

1. *Identification of systems for the sustainable use of land, promoted and adopted in BTAs*

Indicator 1.1. – Systems of sustainable management developed and validated in:

Phase 1- Intensifying Extension-Agriculture, Strengthening of the land covered by second growth ('capoeiras') and a strategic plan for Paragominas: the activities evolved from the community at a city level;

Phase 2 – Handling fire in the communities – Monitoring in schools, in the community of Del Rei and in the Flona Tapajós;

Phase 3- Integrated management of forest resources- forest resource management in two communities of Resex, production and marketing (texto em portugues: produção em marketing mas traduzi como prod. e marketing) of furniture and SAFs

2. *Strengthening of Institutions:*

Indicator 2.1 –not mentioned

Indicator 2.2 – Number of people trained (with or without a college degree):

Recruitment of students graduating in areas of environmental studies; Program of environmental education in Paragominas-SOMA, and diverse studies.

Indicator 2.3 – Number of people trained that now work as trainers and/or in extension work (annex not sent)

3. *Policies adopted and/or implemented that support sustainable use of the land:*

Indicator 3.1 – national and local policies implemented and/or improved upon that support the preservation of bio-diversity and the sustainable use of resources.

Phase 1- Seminars for the analysis and discussion of the investments made in infrastructure in the program 'Avança Brasil';

Phase 2 – Putting participative planning into effect through a governance frontier along the economic corridor stretching from Cuiabá to Santarém;

Phase 3 –Climatic Changes – meetings to discuss the forest as CDM in the Protocol of Kyoto;

Phase 4 – Forest policies – development of concepts for techniques in monitoring the impacts on the fauna and the risks of inflammability in the forests located in areas near 2 timber firms.

### **Adopted/disseminated BTAs**

1. 'Pro-ambiente' (pro-environment)– the IPAM has a role in the proposal and definition of a line of credit for agro-ecology for small farmers in the FNO 'Pro-ambiente' program;
2. Pro-Management of the PPG-7 (Pilot Program to Conserve the Brazilian Rain Forest)–spread of the system of Fire Handling and that of Managing Forests and in the production of furniture by the community involved in this program;
3. Diffusion of the SOMA Program in the SECTAM;
4. Providing skills to people who now work spreading what they have learned;
5. Sustainable systems disseminated beyond their target areas -

Indicator 4.1 – people who have acquired material distributed – printed material, material seen on television and in scientific magazines and journals.

**GRANTEE: USDA/FS**

**Title:** FS-Programa Brasil

**Length of duration of report:** Oct. 1st, 2000 to March 31st/2001

**Objectives:**

1. Project for sustainable forest management:
  - Assessment of the effect of selective extraction of timber on the eco-systems of the Flona Tapajós;
  - Assessment of the economic efficiency and the effects of the sustainable system of extraction as an alternative method for the management of lands;
2. Fire and Environmental Changes (FERA):
  - transfer of technology and fire fighting through remote monitoring;
  - simulation of climatic conditions for handling fire;
  - analysis of environmental changes and of fire;
  - analysis of combustion and the emission of carbon by the tropical bio-mass;
  - assessment of the risk of fire in the systems of reduced-impact extraction ;
  - series of photos for assessing the inflammability of the 'cerrado'(savanna);

**Sub-grantee:**

1. FFT, AMAZON IITF, IBAMA, and USP (Sustainable forest management project)
2. Pacific Southwest Research Station (PSRS); NASA, IBAMA, INPE, UNESP, etc (Fire and Environmental Changes (FERA))

**Contribution to the SO1:**

- Reduction in the threats of global climatic changes;
- Preservation of biological diversity.

**Areas of scope:**

- Technical cooperation;
- Analysis of policies; and
- Aid in the event of disasters

**Strategies of action, sub-projects and phases:**

Activities that have already been carried out;

1. Project for sustainable forest management:

- Research carried out by USP and the University of California about the flow of water vapor and carbon dioxide in the Flona Tapajós;
- FS and the University of New Hampshire –experiment on the effects of timber extraction on the soil of the Flona Tapajós;
- Monitoring of the effect of timber extraction on the nutrients and trace gases in the Flona Tapajós;
- Conclusion of the studies of the effects of reduced-impact timber extraction on the bird and bat populations of the Flona Tapajós;
- ‘Projeto Mogno’ (Mahogany Project) in the southeast of the state of Para and the state of Acre;
- Publishing of the FFT (at the printing press);
- Another paper is being concluded.

## 2. FERA:

- Conclusion of the manuscript ‘Cerrado Photoseries (Voll)’ (regarding the ‘Cerrado’ (savanna) region);
- Campaign for fire fighting in the state of Mato Grosso in the year 2001;
- Combustion boiler for tests at the INPE in Cachoeira Paulista for the analysis of combustion gases;
- 3 papers at the Fire2000 Congress in San Diego, 1 paper at the 12th Brazilian Congress of Agro-meteorology, partially printed at the LBA2000 congress in San Francisco;
- project Combustion in Alta Floresta/PA (Fazenda Cauaxi) and the assessment of risks in the Flona Tapajós;
- Course in the Brazilian Symposium of Remote Monitoring: “Remote Monitoring of Thermal Infra-red”;
- FireMapper tested in 3 locations: in the states of Goias, Tocantins and at the Rebio of the IBGE in Brasília. (Brazilian Institute of Geography and Statistics)

### **Adopted/disseminated BTAs:**

Not defined in the report

## **GRANTEE: FFT**

**Title:** Sustainable forest management- – ‘Programa Brasil’ (Program ‘Brazil’) – Models of reduced-impact extraction

**Length of duration of report :** 1994-1999

### **Objectives:**

Project for managing sustainable forests:

- Development of models for managing forests with low impact extraction (MF - EIR), taking into consideration the different types of forests and of industries and consumer markets;
- Portrayal of the differences and the benefits of the MF-EIR over conventional forms of extractions; training of personnel;

### **Sub-grantee:**

TFF (associate), AMAZON, IPAM, WHRC, WINROCK, Pennsylvania State University, UFPA-NAEA; FCAP-DRESDEN; LBA; Embrapa; MPEG; FCAP, SECTAM, ISA, FNS-IEC, AIMEX, Saúde e Alegria, CIKEL Brasil verde S.A., Juruá madeiras Ltda, Angeli madeiras, Madeiras Bacaeri, Gethal S.A., etc

### **Local partnerships and other partnerships (financing agents):**

USAID-LAC, USFS; Caterpillar do Brasil, Fund.Ford; Fund.Tinker; Fund. MacArthur; CIFOR, STHIL and SUNY-WWF, DFID

### **Contribution to the SO1:**

- Reduction in the threats of global climatic changes;
- Preservation of biological diversity.

### **Areas of scope:**

- Modeling
- Education and providing capacity (skills);
- Alternatives for development

### **Strategies of action, sub-projects and phases:**

1. Research developed and in development:
  - research applied to the operational activities of the MF-EIR;
  - research applied to the development of the sustainable management of forests;
  - research developed and in development by other institutions which are partners of the FTT;
2. Extension and training:

- 14 courses organized with the support of the productive sector, the industry of forestry machinery and equipment and various institutions that provide financial support;
- Offer of internships aiming to form technically skilled labor in conjunction with institutions of high school level and university level education ;
- Transfer of technology through on –site training in timber firms;
- Participation in seminars, technical meetings and workshops sponsored by the FFT and by other institutions;
- Field days in demonstrative projects in order to make techniques known and raise awareness of the target public about the MF-EIR;

**Adopted/disseminated BTAs:**

Intensifying efforts in its training programs held mainly in workers unions and timber firms, during the next years

## **GRANTEE: TNC**

**Title:** Program 'Amazônia' – ( Amazon Program) Parque Nacional da Serra do Divisor PNSD (National Park)

**Length of duration of report:** Oct. 1st, 2000 to March 31st, 2001

### **Objectives:**

Not-defined

**Sub-grantee:** SOS Amazônia

### **Local partnerships and other partnerships (financing agents):**

IBAMA, UFAC

### **Contribution to the SO1:**

- Preservation of the biological diversity;

### **Areas of scope:**

- Public policies;
- Education and providing capacity (skills);
- Mobilizing the society;
- Alternatives for development

### **Strategies of action, sub-projects and phases:**

Activities that have already been carried out:

#### 1. Implementation of the Management Plan of the PNSD:

Indicator 1.2. – plan for the handling of the UC and the buffer area developed and validated;

- Phase 1- participation of the community and leading authorities in the survey and initial diagnosis (Northeast Region: ready and Southeast Region: incomplete);
- Phase 3- analysis of data and information, preparation of maps in conjunction with all the partners. Set up of the program of monitoring for September of 2001;
- Phase 6 – activities of environmental educational not yet started;
- Phase 7 – implementation of the Management Plan with the participation of the community and leading authorities. Creation of the Consulting Management Committee with 5 mayors from the buffer zone;
- Phase 9 – in April, 2001 the first meeting was held for the review and updating of the Management Plan;

#### 2. Strengthening of the Institution-'SOS Amazônia':

**Indicator 2.1 – Strengthened Institution:**

- Phase 1- improve the system of accounting with the aim of auditing- draw up of monthly reports for the main donors (TNC, WWF and the W Alton Jones Foundation);
- Phase 2 – capacity to raise funds from other sources. The conservation project has not been approved by the ‘Fundação Alimento e Saúde’ (Food and Health Foundation). 6 other proposals were drawn up in this period (always in conjunction with other partners) and were sent to: the MMA (2), Proecotur (1), FNMA (1), PADIS/IEEB (1) and USAID (1);
- Phase 3 – Printed material produced - none;
- Phase 5 – organizational ‘visibility’ – participation in local, regional, state and national environmental committees and the definition of a mechanism for reviewing the public policies (CONAMA to discuss the role of SNUC (National Protected Areas System) as a representative of the Northern Region) ;
- Phase 6 – ‘Institutionalization’ of the genre as part of the institutional objectives and of the strategic planning- participation in two training programs.

**Adopted/disseminated BTAs**

Not defined in the report

**GRANTEE: University of Florida**

**Title:** Agro-Forestry Development Program for Small Producers in the state of Acre, Brazil

**Length of duration of report:** October 2000 to April, 2001

**Objectives:**

Actions for sustainable development. Preservation and sustainable development (production and use of natural resources) of regional eco-systems in order to improve the living conditions of the local populations.

**Sub-grantee:**

Group for the Research and Extension of Agro-Forestry systems in the state of Acre (PESACRE)

**Local partnerships and other partnerships (financing agents):**

Embrapa, INCRA, State government, Ministry of Environmental Issues, SEBRAE, UNI, CNS, FETACRE, Banco da Amazônia/BASA, (the Bank of Amazonia) UFAC, MLAL, CIFOR, USP, city governments

**Contribution to the SO1:**

Preservation of biological diversity

**Areas of scope:**

Providing skills for the local communities to organize themselves, appropriate agro-forestry technologies, training, political actions

**Beneficiaries:**

São Salvador, Porto Dias, 'Cooperativa Agrícola de Produtores Extrativistas de Brasília', (Agricultural Cooperative of the Extractivist Producers of Brasília) Vale do Juruá, São Miguel/APAEX, Apurinã indigenous community, agro-forestry poles in Xapuri, Capixaba and Sena Madureira, associations of producers 'Paz e Progresso' ('Peace and Progress') and 'Grupo Novo Ideal' (the "New Ideal" Group)

"Project for De-centralization in the Use of Forest Resources in 8 Cities of the Amazon Region" (identify)

**Adopted/disseminated BTAs**

- 3 areas were established in the community 'Paz e Progresso' ('Peace and Progress') for the expansion of agro-forestry systems:
- two papers were presented at the IUFRO International Symposium, in Belém-PA.

**GRANTEE: Smithsonian Institution**

**Title:** “ Biological Dynamics of Forest Fragments Project” (BDFFP)

**Length of duration of report:** October 2000 to March 2001

**Objectives:**

- Biological preservation in the tropics.
- Initiative directed towards the use of land, management of forests: development of a GIS model for the assessment of the impacts of the use of land in the Amazon Region (for agricultural and non-agricultural purposes);
- Research activities, with an emphasis on the study of native species of vegetation, fauna (birds), processes of reforestation: 24 projects counting on contributions from Brazilian and foreign post-graduate students, graduate students, drawing up of papers.

**Sub-grantee:**

INPA

**Local partnerships and other partnerships (financing agents):**

Universidade Federal do Amazonas, (Federal University of Amazonas) Escola Técnica Federal do Amazonas (Federal Technical School of Amazonas)

**Contribution to the SO1:**

Preservation of biological diversity

**Areas of scope:**

- Modeling,
- Research for the study of bio-diversity,
- Training,
- Diffusion of information

**Beneficiaries:**

- Students from 18 institutions of different states (Amazonas, Acre, Maranhão and Pará: universities, INPA, ETFAM, Escola Agrotécnica (Agro-technical School),
- Technicians from government agencies (SEMED, SEDEMA, IPAAM, NGO (FVA)
- Courses for high school level technicians who are active in environmental agencies (Bahia)

**Adopted/disseminated BTAs**

Silves and Itacoatiara, where visits to the timber firm 'Mil Madereira' (whose products are certified) are scheduled, as well as to a farm where soybean is grown: discussions about alternatives related to eco-tourism and the social organization of the region.

## **GRANTEE: World Wildlife Fund (WWF)**

**Title:** Sustainable Management of Resources and of the Protected Areas in the Amazon region

**Length of duration of report:** October 2000 to March 2001

### **Objectives:**

1. Parque Nacional de Jaú (National Park ) – ‘Projeto Janelas para a Biodiversidade’ (‘Windows on Bio-diversity’ project): researchers and post-graduate students conduct expeditions in the field, development of a data base and in the management plan of the Park
2. Management of Certification in Paragominas: contribution to the economic and ecological zoning of the state of Acre based on studies regarding bio-diversity (use of land in the Amazon region for strict protection and sustainable use. Emphasis on forestry, forest activities)
3. Management in the Production of Hearts of Palm: construction of a factory for processing hearts of palm
4. Policy for the sustainable development of the Amazon region. Proposal for the creation of protected areas, development of socially responsible and feasible tools for the preservation of the Amazon rain forest and the development of the local populations, Creation of a Forestry Code.
5. Development of effective components of environmental education in field projects of the WWF: technical assistance regarding the components of Environmental Education
6. ‘Programa Natureza e Sociedade’ (Nature and Society Program): formation of professionals directed towards development and preservation. Financing of post-graduate studies relating to the management of natural resources, economic-environmental management, planning of use of land, management of watersheds, environmental education, management of forests, preservation of bio-diversity, culture and anthropology, legislation, geo-processing, management of species, tropical ecology, assessment of environmental impacts of agro-business, preservation and rural settlements, etc.

### **Sub-grantee:**

- FVA
- IMAZON
- National Council for the Development of Traditional Peoples (CNPT), government of the state of Amapá, Cooper-CA

### **Local partnerships and other partnerships (financing agents):**

‘Instituto Nacional de Pesquisas Espaciais’ (INPE) (National Institute of Space Research), US Forest Service, government of the state of Acre, IMAZON, ‘Instituto Internacional para a Educação no Brasil’ (IIEB)(International Institute for Education in Brazil), ‘Instituto Sócio-Ambiental’ (ISA)(Socio-Environmental Institute) ,Green Peace, Instituto de Estudos Sócio-Econômicos’ (INESC) (Institute of Socio-Economic Studies), ‘Rede Mata Atlântica’ (Atlantic

Rainforest Network), 'Fundação ProNatureza' (Funatura), Forum of Rondônia (NGO), Ecoporé, 'Federação dos Trabalhadores Rurais de Rondônia' (FETAGRO) (Federation of the Rural Workers of Rondonia), Cooper-CA, ASPAC, FVA, Associação Mico Leão (Association for (the protection of) tamarins), Projeto Veadeiros, SOS Amazônia, Jupará, city governments of Una, Alto Paraíso and Poço das Antas, SUNY, IESB, INPA, CRA, Cootrasb, CPI-SP, ARQMO, IPAM, FETAGRI/PA, Ipê/Pontal do Paranapanema (identify BTAs and buffer zone), Pro-Manejo, DFID, GTZ, Imaflora, Friends of the Earth, Lasat.

**Contribution to the SO1:** Preservation of biological diversity

**Areas of scope:**

- Implementation of areas of environmental protection
- Policies for the Development of the Amazon Region
- Providing skills: training professionals who have an active role in actions directed towards the preservation of the Amazon Region

**Beneficiaries:**

- Residents of the Parque Nacional (National Park) de Jaú/Seringalzinho (assistants in the research of the FVA)
- Community involved in the project of the extractivist reserve of Cajari
- Schools from the state of Tocantins, actors involved in seven projects of preservation and sustainable development- Poço da Antas (RJ), PESACRE and SOS Amazonas (Acre), Várzea (Pará), Silves (Amazonas), Chapada dos Veadeiros (Goiás)

**Adopted/disseminated BTAs**

- Local communities in other protected areas in the Amazon region (identify) receive influence from the initiatives verified in the Parque Nacional de Jaú (National Park) (Management Plan);
- Program of technical assistance in a pilot project for having wood species certified, will deal program for non-certified forest products and the technical review of the survey made about the forest carried out by the Secretary of Forests of the state of Acre. The project started to spread in the state of Amapá, where the IMAZON was summoned to render technical assistance in order to identify the potential areas for implementing similar studies.
- Agreement between the WWF-government of the state of Goiás to define the components of bio-diversity for the economic-ecological zoning of the state
- Teachers from the rural area of the Biological Reserve of the city Poço das Antas (RJ)
- Teachers from the rural area of the Parque Nacional Chapada dos Veadeiros (National Park)
- Participants in the training events (various locations)

## **GRANTEE: Conservation International (CI)**

**Title:** Bio-diversity Corridor Planning and Implementation Program

**Length of duration of report:** October 2000 to March 2001

### **Objectives:**

Set up of corridors of bio-diversity in three priority areas: Cerrado(savanna)-Pantanal (wetlands); Southern Bahia Atlantic forest; Kanuku and New River Triangle mountains in the southeast of Guiana; and the mountain range Sierra Madre, in the northeast of Luzon, the Philippines. We will only take into consideration the actions that have been implemented in Brazilian territory. Actions directed towards the sustainable management of areas of permanent protection and private and public reserves: support for the establishment of conditions for obtaining the certification of products (eco-beef, honey) bringing environmental protection to thousands of hectares, training courses, technical assistance for the creation of private reserves, incentives to the adoption of sustainable practices, eco-tourism, environmental education. Scientists and students are involved.

### **Sub-grantee:**

- IESB
- Fundação Emas

### **Local partnerships and other partnerships (financing agents):**

Earthwatch Institute (EWI), IBAMA, Embrapa, Universidade Federal do Mato Grosso do Sul (Federal University of the state of Mato Grosso do Sul), Smithsonian Institute, U.S. Fish and Wildlife Service, SODEPAN, FIMES, Universidade Federal de Goiás, (Federal University of the state of Goiás), TNC, Secretaria Estadual do Meio Ambiente/Mato Grosso do Sul, (State Secretary for Environmental Issues/State of Mato Grosso do Sul) Associação Pro-Carnívoros, (' Pro-Carnivores' Association) Universidade Federal do Mato Grosso, UNEMAT (Federal University of the state of Mato Grosso), Ecotrópica (NGO), Center for Applied Biodiversity Science, farmers, leaders of the farmers (landowners), Associação Estadual de Proprietários de Reservas Privadas (PRESERVA) (State Association of the Owners of Private Reserves), representatives of cooperatives, Funbio, Association of the Producers of Rio Negro, Pantanal Lodge Association (APPAN), forecast of the signing of a contract with the State's Land Association, environmental police, Universidade Católica (UCDB) (Catholic University), city government of Aquidauana, Fiocruz.

### **Contribution to the SO1:**

- Preservation of biological diversity
- Reduction of threats of global climatic changes

### **Areas of scope:**

Not identified (?)

### **Beneficiaries:**

Foresees stimulating (giving incentive) to the participation of the local communities linked to private properties (Rio Negro, Nhumirim, Eldorado, São José Farms) and to the units of preservations (National Park of the Emas/Taquari-Goiás, the State Park

Headwaters/Taquari, Biological Reserve Una, State Park Conduru) nine cities in the region of the Corridor (identify), to the regions of Una and of Itacaré - Serra Grande, rural schools in the 'Pantanal' (wetlands) (mention that an agreement was expected to be signed in conjunction with the Association of Rural Schools of the 'Pantanal' region in May of 2001), (e preciso checar data...ERA esperado...?? ou E esperado e data esta errada??) community of the Rio Negro region (Aquidauana, Retirinho, Fazenda Esperança), Environmental police/ (?) no texto em portugues ha um ponto de interrogacao apos o termo policia ambiental, cities (training of fire brigades: Corumbá, Coxim, Rio Verde do Mato Grosso, Bodoquena, Porto Murtinho, Costa Rica), indigenous areas, cooperatives of producers (Cooperuna e Cabruca).

#### **Adopted/disseminated BTAs:**

- Support to the state government in drawing up a plan and in the management of the Parque Nacional Rio Negro (National Park);
- Identification of the properties in the buffer zones (which encompass 9 cities) with incentives to the properties that integrate themselves into the Corridor through the creation of private reserves and the implementation of sustainable economic activities;
- Based on the experience of the Fazenda Rio Negro (Rio Negro Farm), guidelines were defined for the development of eco-tourism in other corridors of bio-diversity. Have these unfolded?;
- Founding of the Rio Negro Apiary, in the region having the same name (check the occurrence of any unfolding);
- Rendering of technical assistance to the IBAMA for implementing 4 RPPNs in the Pantanal (wetlands): 2 in the Nabileque area, 1 in the Miranda Abobral area and 1 in the Corridor core nuclei buffer zone;
- Based on the experience of the implementation of corridors of bio-diversity in the 'Cerrado' (savanna) and the Pantanal (wetlands), a specialist from the CI has offered a training course in Santa Cruz de la Sierra/Bolivia;
- Institutions and universities have sought out the CI to obtain information regarding remote monitoring, aiming to use this technique in other parts of the region of the Corridor (verify the occurrence of any unfolding);
- Training program regarding bio-diversity with participation of students from Brazil, Bolivia and Argentina and 2 Bolivian scientists;
- EWI, in cooperation with CI-Brasil, will implement the first of 5 Centers for Research in Conservation (CRCs) on the Rio Negro Farm/Pantanal (wetlands) (verify the location and the implementation of the other centers);
- For 2002: EWI Professional Development Programs for Corporations, Teachers and Students in the Pantanal;
- Forecast for the development of a North-South Corridor linking the State Park Santa de Bárbara, the Biological Reserve Serra das Araras, the Ecological Station Taiamã and the Parque Nacional Pantanal (National Park) in the state of Mato Grosso

## Appendix 4 – SO1 and RI Indicators

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASURE	DATA SOURCE	METHOD/APPROACH OF DATA COLLECTION OR CALCULATION
<p>1. Number of forest sites that adopt sustainable forest management techniques in addition to target operations and the hectareage covered by such operations (i.e. hectares of forest harvested using sustainable management techniques)</p>	<p>This indicator is used to report on the adoption of sustainable forest management in those forest sites that do not directly benefit from the USAID program (i.e., potential for replication)</p> <p>"Forest sites" are defined as sites where harvesting is taking place and where a management plan has been written and is being applied. This will generally limit the focus to medium- to large-scale landowners, including groups of smaller landowners operating in a cooperative manner, in defining the target group for replication.</p> <p>In defining "beyond target areas", USAID is referring to forested areas within the area defined by the GOB as the "Legal Amazon." There are 11,000 square kilometers of harvested forest each year in the Legal Amazon.</p> <p>Baseline consists of sites which adopted sustainable forest management techniques during previous years (1993-1997). USAID started to support the development of sustainable forest management techniques in 1993, so before 1993 there was no forest site using such techniques.</p> <p>Unit of Measure: number of forest sites and number of hectares (the latter for reporting purpose only) –</p>	<p>Survey of forest sites (WWF, TFF)</p>	<p>Targets are set based on the number of sites that are harvested using sustainable management techniques (the number of hectares covered by these sites will also be reported, but no specific targets will be set for area).</p> <p>USAID's broader dissemination activities will be supplemented by targeted efforts (e.g. training, workshops, site visits) aimed at informing individuals involved in harvesting of the results of USAID's pilot efforts in developing sustainable management techniques. The individuals trained are subsequently surveyed (through a mailed questionnaire and telephone interviews) to identify "forest sites" in which sustainable management techniques have been adopted (i.e. sites where these "trainees" have applied the training received). USAID and its partners will carry out field visits to 10% of sites providing positive responses to verify the accuracy of the responses and validate the survey. In addition, USAID will count "forest sites" outside of the target replication group when it receives information on the adoption of sustainable forest management techniques (through collaboration with the G-7 Pilot Program to Conserve the Rain Forest). To be counted, forest sites have to adopt at least three of the following aspects of sustainable management techniques: 1) the management plan is approved by IBAMA; 2) completion of a forest inventory and mapping of harvest sites; 3) adoption of a key practice (e.g., extraction routes/skid trails marked to felled trees, application of post-harvest treatments), and 4) training of harvesting crews and other staff in sustainable management techniques.</p>

	(Cumulative data)		
<p>2. Number of conservation units in which government or private owners adopt aspects of sustainable management systems in addition to target areas</p>	<p>This indicator is used to report on the adoption of sustainable management practices in those conservation units that do not directly benefit from the USAID program (i.e., potential for replication).</p> <p>Unit of Measure: number of conservation units (CUs) (cumulative)</p>	<p>USAID Partners (CI, FS, TNC, WWF)</p>	<p>Primary candidates are Cus where USAID's partners are working without direct support (due to ease of monitoring, adoption of sustainable management practices in such areas). CUs include National/State Parks, Biological Reserves, Extractive Reserves, National Forests, Private Natural Reserves. Broader dissemination activities are supplemented by targeted efforts (e.g., workshops/site visits) aimed at informing government officials and representatives of local NGOs operating in CUs of results of USAID's pilot efforts. These representatives are subsequently surveyed to identify the extent to which sustainable management practices have been adopted. To be counted, CUs are required to adopt the following aspects of sustainable management practices: 1) management plan approved by Federal Governmental Environmental Agency; 2) implementation of management plan initiated (with participation by local communities/stakeholders where appropriate).</p> <p>The indicator for the number of sites is, in this case, even more important than the number of hectares covered by those sites. The strategy of USAID/Brazil and its partners is to expand the sustainable management approach to a broad range of CUs. Effectively managed CUs in highly threatened regions such as the Atlantic Forest may be weighted as more important than CUs in the Amazon. The area covered by these units will also be reported, but no specific area targets will be set.</p>
<p>3. Number of families outside target area who have adopted improved sustainable management systems</p>	<p>The focus of this indicator is on the adoption of sustainable management systems in areas bordering USAID-supported target areas.</p> <p>Unit of Measure: number of families (cumulative)</p>	<p>USAID partners (UF, WHRC, CI)</p>	<p>Target areas were identified by our partners as being Northeastern Pará, the buffer zone of the Una Biological Reserve in Bahia, and several communities in Acre and Rondonia. While USAID's broad dissemination efforts (via radio and television) may have a significant indirect impact, it has beyond USAID's capacity to measure it overall. By focusing primarily on areas bordering USAID-supported target areas, we can rely on on-site partners for this information. Data collection monitoring includes field visits, reports, and follow-up contacts with producers/persons trained as extensionists. Sustainable management systems include agroforestry (cultivation of native fruit</p>

			and oil-bearing trees), intensification of agriculture and fire management. Sustainable management systems vary by USAID partner. Each partner reports rates of adoption beyond its target area based on a scale peculiar to their specific program area. Adoption is determined by: 1) selection and implementation of agroforestry, intensification of agriculture, or fire management system by local farmers; and 2) introduction of alternative products into local markets (alternative products are those not traditionally traded in the market and are from endemic species, e.g., fruit trees such as pupunha, açai and cupuaçu.)
1.1. Sustainable management systems adopted and validated	This indicator is used to report on implementation of systems for agroforestry, intensification of agriculture and fire management.  Unit of Measure: number of sites meeting at least 80 percent of their annually established benchmarks divided by total number of sites receiving USAID support.	USAID partners (UF, WHRC, CI)	An index of steps constituting "implementation" is established for each site, together with a site-specific timetable for accomplishing each task (see index attached). This index will be reviewed and, if necessary, revised annually based on implementation experience. Each site is reviewed to determine, based on the index, whether its implementation is "on schedule", i.e., whether it is meeting at least 80 percent of the benchmarks set at the beginning of the year. The performance of the program is reported as a ratio of the number of sites meeting their benchmarks divided by the total number of sites in which USAID-supported partners are working.
1.2. Conservation unit and buffer zone management plans developed and validated	This indicator is used to report on the progress made in developing conservation unit and buffer zone management plans.  Unit of Measure: number of sites meeting at least 80 percent of their annually established benchmarks divided by total number of sites receiving USAID support (and area covered by "on-schedule" sites)	USAID partners (WHRC, TFF, TNC, WWF, CI)	An index of steps leading to the initiation of such management plans is defined for each site and a timetable is established for accomplishing each step (see index attached). Progress at each site is reviewed to determine, based on the index, whether its implementation is "on schedule", i.e., whether it is meeting at least 80 percent of its benchmarks. The performance of the program is reported as a ratio of the number of sites meeting their benchmarks in terms of developing management plans, divided by the total number of sites in which USAID-supported partners are working.
1.3. Low impact forest management systems developed and validated	This indicator is used to report on the development and validation of low-impact forest management practices/steps.  Unit of Measure: number of sites meeting at least 80 percent of their annually established benchmarks divided by	USAID partners (TFF, USFS, WWF)	An index of steps constituting "adoption" is established for each site (the actual steps will be site-specific), together with a site-specific timetable for developing and validating each low impact forest management system (see index attached). Progress at each site is reviewed annually to determine, based on the index, whether it is "on schedule", i.e., whether it has met at least 80 percent of its annually established benchmarks. The

	total number of sites receiving USAID support		performance of the program is reported as a ratio of the number of sites "on schedule" divided by the total number of sites in which USAID-supported partners are working.
2.1. Institutions strengthened	<p>This indicator is used to report on the progress of institutional strengthening activities supported by USAID.</p> <p>Unit of Measure: Number of institutions meeting at least 80 percent of their annually established benchmarks divided by the total number of institutions involved</p>	USAID partners (UF, TNC, USFS, CI, WHRC, WWF)	An index of elements required to strengthen Brazilian environmental institutions has been developed for each institution (actual requirements will vary depending upon the institution), together with an institution-specific timetable for meeting each requirement (see index attached). The progress of each institution will be reviewed annually to determine, based on the index, whether its institutional training program is "on schedule", i.e., whether it is meeting at least 80 percent of its annually established benchmarks. The performance of the program is reported as a ratio of the number of institutions "on schedule" divided by the total number of institutions with which USAID-supported partners are working.
2.2. Number of persons trained (those with and without a high school diploma)	<p>This indicator measures how many people have been trained under USAID training initiatives.</p> <p>Unit of Measure: Number of persons trained. Persons are disaggregated by gender, persons with/without diploma and persons/month.</p> <p>(cumulative)</p>	Partners' reports (CI, UF, WHRC, WWF, TFF, FS and Smithsonian)	<p>The trainees are key individuals working on the front line on top environmental issues. The results-oriented training includes resource management, project design and implementation, enforcement of environmental laws, dissemination of technical and/or general environmental information to target audiences, the building of information networks, and advocacy of policy change.</p> <p>The reason for dividing this indicator by persons with and without diploma is because USAID partners wanted to highlight the fact that they work with different levels of individuals (Ph.D.s, technicians, field workers, etc.)</p> <p>One person-month is equivalent to 173 hours (one person-day is equivalent to 8 hours). Calculation is limited to one year, i.e., same person in different years counts for each year's data.</p>
2.3. Number of persons trained who are now trainers or have training/extensionist functions/roles	<p>This indicator measures how many former USAID trainees have become trainers</p> <p>Unit of Measure: number of trainers (Cumulative data)</p>	Surveys of former training participants (UF, WHRC, USFS, CI, WWF, TFF)	Data is collected via surveys of former trainees, undertaken by the partner organizations. Individuals are not considered "trainers" unless they report that they have trained at least three others in techniques learned during the training session.

<p>3.1. National and local policies which support biodiversity conservation and natural resources management implemented and/or policy implementation improved</p>	<p>This indicator is used to report the progress of selected policy-related initiatives supported by USAID.</p> <p>Unit of Measure: Number of policy-related activities that have met at least 50% of pre-established steps.</p> <p>(cumulative)</p>	<p>USAID partners (CI, FS, UF, WHRC, WWF)</p>	<p>Policy agenda includes: a. Monitoring environmental impact of the Itacaré Road; b. Creation of Itacaré Park (Conduru State Park); c. Adoption of "ICMS (value-added tax) Ecológico" in Bahia; d. Improvement of the "ICMS Ecológico" policy at national level and replication to additional states; e. Improvement/ revision of Federal Forest Policy (e.g., changing forestry code); f. Reform of national system of CUs; g. Creation/initiation of activities in Brazil, by the Forest Stewardship Council (certifies timber firms using sustainable management practices); h. Improvement of national, state, and local fire management policy; i. Implementation of Agrarian Reform in Bahia; j. Reduction/elimination of permits for logging in remaining Atlantic Forest in Bahia; k. Issuing a Presidential Decree regulating use of fire; l. IBAMA's regulations temporarily suspending burning; m. Constituency building, public debate on issues including fire prevention policies; n. PRONABIO (National Program of Biological Diversity); o. Ecological corridor implementation policies; p. Improved micro-credit policies in Acre; q. Non-timber forest products legislation, state of Acre; r. Sustainable settlement model in Acre's Kyoto Protocol (GCC); t. Avança Brasil (Brazil infrastructural program).</p> <p>An index of steps required to achieve the specified policy objectives has been developed for each initiative, together with a timetable for meeting each requirement. Established steps and progress in each policy area will be reviewed annually to determine, based on the index, whether each given policy activity has met its pre-established steps. Program performance is reported as ratio of number of policy-related initiatives meeting established steps divided by total number of initiatives with which USAID-supported partners are working. Additional policy areas will be included during the life of the SO.</p> <p>This indicator has been revised to follow auditing recommendations. Changes were: Unit of measure: rate of established steps to be met annually was decreased from 80% from 50% and steps were also revised to better measure partners' performance.</p>
--	--	---	--

<p>4.1. Number of persons reached and amount of environmental materials disseminated</p>	<p>This indicator gives a measure of success of USAID environmental program by disseminating lessons learned to widest possible audience and in several formats, thereby insuring that USAID models are replicated.</p> <p>Unit of Measure: Number of persons/number of pieces of environmental information disseminated</p>	<p>Grantee's reports (CI, USFS, Smithsonian, WWF/SUNY, TFF, UF, WHRC and WWF)</p>	<p>Dissemination materials are divided into two groups: (1) Direct dissemination tools, which aim to reach a specific target audience. These could include scientific, technical, and educational publications and videos; and (2) Mass media tools, which could include printed material and TV and radio events. Direct dissemination tools could include scientific, technical, and educational publications and videos; Mass media tools could include printed material and TV and radio events.</p>
--	--	---	--

## Appendix 5 – Index of Results Tracking Tables

INDEX FOR IR INDICATOR 1.1: Sustainable Management Systems developed and validated.						
Steps:	Site 1	Site 2	Site 3	Site 4	Site 5	Site 6
	Del Rei	Capim River	Una	APAEX	Novo Ideal	Apurina
<b>1. Participatory collection of information/planning completed</b>						
Target	97	96	96	96	96	96
Actual	97	96	96	96/00	96	96
<b>2. Market survey of "alternative products", i.e. those that are not traditionally traded in the market and are from endemic plant species, e.g., fruit trees, such as pupunha, açai, and cupuaçu.</b>						
Target	N/A	N/A	97	97/00	97	97
Actual	N/A	N/A	97	97/00	97	97
<b>3. Training carried out at the local level in improved practices</b>						
Target	96...99	96...00	99...03	96...01	96...01	96...01
Actual	96...99/00	96...99/00	99/00	96...00	96...00	96...99
<b>4. Site preparation and seedling production done by farmers</b>						
Target	96/97	96...99	96...03	96	96/00	96
Actual	96/97	96...99	96...99/00	96	96/00	96
<b>5. On farm system experimentation undertaken by farmers</b>						
Target	96...98	96...98	96...03	96...99	96...01	96...01
Actual	96...99/00	96...99	96...99/00	96...00	96...00	96...99
<b>6. Selection and implementation of agroforestry, intensification of agriculture, or fire management system by local communities/farmers</b>						
Target	97	98	97...03	96/99...01	96/99...01	96/99...01
Actual	97/98/00	98	97...99/00	96/99/00	96/99/00	96/99
<b>7. Fire prevention procedures/ approaches carried out</b>						
Target	96...99	97...00	N/A	97...01	97...01	97...01
Actual	96...99/00	97...00	N/A	97...00	97...00	97...99
<b>8. Processing of products undertaken by local communities/farmers</b>						
Target	N/A	99/00	N/A	96/97/00/01	96/97/00/01	96/97
Actual	N/A	98...00	N/A	96/97/00	96/97/00	96/97
<b>9. Introduction of alternative products into local markets</b>						
Target	N/A	97...99	97/00...03	98...01	96...01	97...01
Actual	N/A	97...00	97/00	98...00	96...00	97...99
<b>10. Complementary production (i.e., non-timber forest products)</b>						
Target	N/A	N/A	98	98...01	96...99	97...01
Actual	N/A	N/A	98	98...00	96...99/00	97...99
<b>11. Cost/benefit monitoring survey completed</b>						
Target	99/00	96...00	97	97...99	97...01	97...99
Actual	98...99	98...00	97	97...99	97...00	97...99
<b>12. Social analysis completed (with an emphasis on gender)</b>						
Target	96...98	96...98	98...03	97...99	97...01	97...99
Actual	96...98	96...98	98/99	97/98	97/98	97/98
FY 99 Total number of farmers involved	30	50	90	200	250	125
FY 00 Total number of farmers involved	164	350	120	200	250	125
FY 00 Total number of hectares	?	?	2400	?	?	?
Ratio FY00	5/1	6/4	5/6	9/7	9/9	6/6

**Remarks:**

CI: Revised FY99 number of farmers

<b>INDEX FOR IR INDICATOR 1.2: Conservation unit and buffer zone management plan developed and validated.</b>								
Index of conservation unit management	Site 1	Site 2	Site 3	Site 4	Site 5	Site 6	Site 7	Site 8
	WWF	TNC	WWF	CI	TFF/FS	TNC	WHRC	WHRC
Steps:	Jau National Park	Serra do Divisor Park	Cajari Extr. Reserve	Una Biological Reserve	Tapajós N. Forest	Guaraq. Env.Protect. Area	Chico Mendes Extr.Res	Tapajós / Arapiuns Extr. Res
<b>1. Participation of community/stakeholders in diagnosis/initial survey</b>								
Target	96	96/97	96	97	96	98	96...99	98/00
Actual	96/00	96/97	97/00	97	96	98	96...99	98/00
<b>2. Participation of community/stakeholders in steps for elaboration of management plan</b>								
Target	97	97	96	97	96	N/A	96...99	98...01
Actual	97/00	97	96/00	97	96	N/A	96...99	98...00
<b>3. Information/data analysis carried out and maps prepared</b>								
Target	98/99/00	96/97	97	97...03	96	98...01	96...99	98...01
Actual	98	96/00	97/00	97...99/00	96	98/99/00	96...99	98...99
<b>4. Participatory management plan proposed</b>								
Target	97	97/98	97	97	96	N/A	N/A	2001
Actual	97/00	97/98	97/00	97	96	N/A	98	
<b>5. Management plan approved</b>								
Target	98	98	97	98	96	N/A	N/A	2001
Actual	98/00	98/00	97/99/00	98	96	N/A	98	
<b>6. Environmental education activities carried out</b>								
Target	96...99	99...03	98/99	96...03	97	98...00	N/A	99...01
Actual	96...99/00	99/00	98/99/00	96...99/00	97	98/99/00	98	0
<b>7. Implementation of management plan w/ participation of community/stakeholders initiated</b>								
Target	98/99/00	98...03	98	98	97/99...01	98...00	N/A	02/03
Actual	98/99/00	98/99/00	97/98/99/00	98	97...99/00	99/00	N/A	
<b>8. Resource management initiated (ecotourism; palm heart. Brazil nut extraction)</b>								
Target	N/A	99...03	98	98	98...01	98...00	N/A	02/03
Actual	N/A	99/00	97/98/99/00	98	98/99/00	98/00	N/A	
<b>9. Review and update of management plan</b>								
Target	N/A	99/03	99	N/A	N/A	N/A	N/A	2003
Actual	N/A	99/00	99/00	N/A	N/A	N/A	N/A	
<b>10. Participatory buffer zone management plan initiated</b>								
Target	N/A	88/99	N/A	96	N/A	98	N/A	N/A
Actual	N/A	88/00	N/A	96	N/A	98	N/A	N/A
Total number of hectares	2,270,000	840,000	580,000	7,022	600,000	313,406	1,000,000	15,600*
Ratio 1999	3/3	4/5	5/2	2/2	2/2	3/4	3/3	3/4
Ratio 2000	6/2	7/4	8/2	2/2	2/2	4/4	0/0	3/3
Remarks:								
Figures in bold: corrections made by grantee.								
WWF: The total number of hectares in the Jau National Park and Cajari Extractive Reserve remain the same over time. Our target is not to increase the size of these protected areas but to increase the QUALITY of management of the entire site, as indicated in the index of conservation unit management.								

<b>INDEX FOR IR INDICATOR 1.3: Low Impact forest management systems developed and validated</b>						
Index of adoption of low-impact forest management						
	WWF	TFE	TFE	TFE	TFE	
Management Practices/Steps:	Site 1 Paragominas	Site 2 Tapajós Flona	Site 3 Cauaxi	Site 4 Mato Grosso	Site 5 Faz. Capim	
<b>1. General forest inventory completed</b>						
Target	96	96	96	96	99...01	
Actual	96	96	96	96	99...00	
<b>2. Community participation in the development of long-term forest management plan</b>						
Target	N/A	96	N/A	N/A	00*	
Actual	N/A	96	N/A	N/A	00*	
<b>3. Approval of long-term forest management plan by IBAMA</b>						
Target	96	96	96	96	00	
Actual	96	96	96	96	00	
<b>4. Pre-harvest inventory completed (100%)</b>						
Target	96	97/99	96/99	96	00/01	
Actual	96	97/99	96/99	96	00	
<b>5. Annual operating plan (with appropriate harvest technology) completed</b>						
Target	96	97/00	96/97/98/99/00	96/97	00/01	
Actual	96	97/00	96/97/98/99/00	96/97	00	
<b>6. Pre-harvest treatments applied</b>						
Target	96	97/00	96/97/98/99	96	00/01	
Actual	96	97/00	96/97/98/99	96	00	
<b>7. Establishment of permanent plots</b>						
Target	96	96/00	96/97/98/99	96	00/01	
Actual	96	96/00	96/97/98/99	96	00	
<b>8. Harvest crew trained in safe, low impact harvesting practices</b>						
Target	N/A	97/00	96/97/98/99/00	97	00/01	
Actual	N/A	97/00	96/97/98/99/00	97	00	
<b>9. Layout and construction of forest infrastructure</b>						
Target	96	97/00	96/97/98/99/00	97	00/01	
Actual	96	97/00	96/97/98/99/00	97	00	
<b>10. Low impact harvest with emphasis on worker safety completed</b>						
Target	96	97/00	96/97/98/99	97	00/01	
Actual	96	97/00	96/97/98/99	97	00	
<b>11. Post harvest silvicultural treatments and forest protection implemented</b>						
Target	99	98/01	96/97/98/99/00	98	00...02	
Actual	99/00	98	96/97/98/99/00	98	00	
<b>12. Re-measurement of permanent plots completed</b>						
Target	97...99	99/01	98...02	N/A**	02...04	
Actual	97...99/00	99	98/99/00	N/A**	-	
<b>13. Socio-economic and environmental analyses completed, documented, and published</b>						
Target	99	98/99	98/99	N/A**	00	
Actual	99/00	98/99	98/99	N/A**	00	
Total ha. FY1998	398	400	500	400		1698
Total ha. FY1999	5000		950		300	6250
Total ha. FY2000	15000		1025		850	16875
Remarks:						
<b>Dados colhidos em campo (projeto)</b>						
Fonte: IMAZON (Sr. Edson Vidal)						
1-Sikel Brasil Verde S. A. ( 1000ha/99) - (9500 ha/2000)						
2-Rosa Madeireira (800ha/99) - (800 ha/2000)						
3-Domed. (400 ha/2000)						

INDEX FOR IR INDICATOR 2.1: Institutions strengthened													
	CI	CI	FS	TFF	TNC	TNC	UF	WHRC	WHRC	WHRC	WHRC	WHRC	WWF
Elements of Institutional Development/Definitions	IESB	COOPERUNA	IBAMA DIREF	IBAMA DIREN	SOS Amazônia	SPVS	PESACRE	COVARI (IPAM)	IPAM	STRP	Ass.Peq. Produtores Del Rei	Cantina Comunitária de Nazaré	COOPER-CA
1. Improved accounting system and ability to pass an audit – Accounting system in place with supervision of accredited accountant and having passed at least one external audit													
Planned	97	01..03	N/A	N/A	97	98	97..00	98/99	97	N/A	N/A	N/A	98..00
Actual	97/98/00				97	98	97/00	98..00	97/98	N/A	N/A	00	98/99/00
2. Ability to attract funding from other sources -- Having at least one proposal funded by an organization other than USAID in the previous year.													
Planned	97..03	01..03	N/A	2000/01	97..99	98	97..00	99	97	01..	N/A	N/A	N/A
Actual	97..99/00		98	00	97..99	98	97..00	99	97/98	00	00	N/A	00
3. Publications produced -- Having at least one publication (scientific or not) in the past year.													
Planned	97..03	01..03	98..01	N/A	97/98	99	97..00	00	97/99..01	01/02	N/A	N/A	99
Actual	97..99/00		99/00	N/A	97/98	99	97..00		97..99	00	N/A	N/A	99
4. Strategic planning tools in use -- strategic plan defined and being implemented.													
Planned	97..03	01..03	99..01	N/A	97/99..01	98	98..00	N/A	98..01	01/02	N/A	01	98/99/00
Actual	97..99/00		99/00	N/A	97/99	98	97..00	N/A	97..99	00	N/A	00	98/99/00
5. Organizational visibility – Participation in local, regional, state, or nation-wide environmental committees and/or established mechanisms of influencing public policy.													
Planned	97..03	01..03	97	99..01	97/99..01	99	97..00	99..01	97/99	01..03	01	01	99/00
Actual	97..99/00		97	99/00	97/99	98	97..00	99	97/98	00	00	00	0
6. Technical capacity improved in information management and technologies (e.g., GIS)													
Planned	97..03	01..03	97..01	99..01	97/99..01	99	98..00	N/A	97/99	01..	N/A	N/A	98/99
Actual	97..99/00		97..00	99/00	97/99	99	97..00	N/A	97..99	00	N/A	N/A	98/99/00
7. Institutionalization of gender as part of institutions objectives and strategic planning													
Planned	97..03	01..03	N/A	N/A	97..01	2000	97..00	N/A	98	01/02	N/A	N/A	99/00
Actual	97..99/00		N/A	N/A	97..99		97..00	N/A	98	N/A	N/A	N/A	98/99/00
Ratio FY99	6/6	6/6	3/3	2/2	5/5	2/3	6/7	2/3	3/4				5/6
Ratio FY00	7/6	7/6	3/3	2/2			7/7	2/2	1/2	5/0	2/0	3/0	6/4



WHRC	Quantity (X)										Number of Persons (Y)									
	Planned					Actual					Planned					Actual				
	1999	2000	2001	2002	2003	1999	2000				1999	2000	2001	2002	2003	1999	2000			
1. Direct Dissemination Tools (D)																				
a) scientific/ technical publications	20					39	16				20,000					40,000	29,000			
b) educational publications	5					10	3				5,000					10,000	16,000			
c) videos	1					2	1				1,000					2,000	4,000			
Sub total (D)	26					51	20				26,000					52,000	49,000			
2. Mass Media (M)																				
a) printed material	3					12	9				3,000,000					5,000,000	31,000,000			
b) broadcast (TV, radio)	2					15	8				7,000,000					10,000,000	7,250,000			
Sub total (M)	5					27	17				10,000,000					15,000,000	10,800,500			
Grand total (D + M)	31					78	37				10,026,000					16,052,000	10,849,500			
WHF	Quantity (X)										Number of Persons (Y)									
	Planned					Actual					Planned					Actual				
	1999	2000	2001	2002	2003	1999	2000				1999	2000	2001	2002	2003	1999	2000			
1. Direct Dissemination Tools (D)																				
a) scientific/ technical publications	38					15	7				96,200					7,500	8,500			
b) educational publications	10					4	6				20,900					15,400	5,900			
c) videos	2					0	14				500					0	0			
Sub total (D)	50					19	27				85,400					22,900	14,400			
2. Mass Media (M)																				
a) printed material	12					215	445				164,000					21,630	35,306,000			
b) broadcast (TV, radio)	9					204	256				242,000					51,900	1,900,000			
Sub total (M)	21					479	711				406,000					73,730	37,206,000			
Grand total (D + M)	71					498	738				491,400					73,752,900	37,220,400			
IF	Quantity (X)										Number of Persons (Y)									
	Planned					Actual					Planned					Actual				
	1999	2000	2001	2002	2003	1999	2000				1999	2000	2001	2002	2003	1999	2000			
1. Direct Dissemination Tools (D)																				
a) scientific/ technical publications	38	3	3	4	4	2	4				96,200	30,000	30,000	30,000	30,000	16,000	40,000			
b) educational publications	10	3	3	4	4	2	2				20,900	15,000	15,000	15,000	15,000	15,400	6,000			
c) videos	2			1	1	0	0				500					0	0			
Sub total (D)	50	6	6	9	9	4	6				85,400	45,000	45,000	45,000	45,000	36,000	50,000			
2. Mass Media (M)																				
a) printed material	12	15	15	15	15	10	15				164,000	180,000	180,000	180,000	180,000	140,000	160,000			
b) broadcast (TV, radio)	9	10	10	10	10	15	10				242,000	300,000	300,000	300,000	300,000	190,000	300,000			
Sub total (M)	21			25	25	15	25				406,000	480,000	480,000	480,000	480,000	290,000	460,000			
Grand total (D + M)	71	6	6	34	34	25	31				491,400	505,000	505,000	505,000	505,000	514,000	510,000			
GRAND TOTAL	Quantity (X)										Number of Persons (Y)									
	Planned					Actual					Planned					Actual				
	1999	2000	2001	2002	2003	1999	2000				1999	2000	2001	2002	2003	1999	2000			
1. Direct Dissemination Tools (D)																				
a) scientific/ technical publications	140	15	16	16	20	72	55				247,000	31,900	32,000	31,800	32,200	67,350	36,600			
b) educational publications	46	6	6	9	8	30	26				124,600	19,000	19,000	20,000	19,000	40,400	49,400			
c) videos	9	1	0	2	1	4	16				2,900	-	-	-	-	2,001	6,500			
Sub total (D)	244	22	22	27	29	132	98				374,500	65,900	61,000	61,800	61,200	152,150	154,500			
2. Mass Media (M)																				
a) printed material	60	23	24	25	25	303	493				3,796,000	1,600,000	600,000	600,000	600,000	5,631,840	40,266,500			
b) broadcast (TV, radio)	38	12	12	12	12	247	289				8,469,000	2,500,000	1,500,000	1,500,000	1,500,000	11,220,152	11,390,000			
c) (TV, radio)	4	4	5	6	6	5	5				-	-	-	-	-	-	-			
Sub total (M)	102	14	16	43	43	585	787				12,265,000	2,100,000	2,100,000	2,100,000	2,100,000	16,851,992	51,656,500			
Grand total (D + M)	346	36	38	70	72	682	866				12,649,500	4,165,900	2,151,000	2,151,800	2,151,200	17,004,042	51,811,000			