

# Capturing Change in People's Lives and Livelihoods within Programmes

Learning from Good Practice and Experiences of Conservation/  
Development Organisations to inform WWF practice

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## Background and Rationale for the Study

WWF-UK has commissioned this report as part of efforts to strengthen organisational capacities and systems to understand how effective WWF's interventions are in generating lasting change. Monitoring and evaluation is crucial in order to assess the extent to which programmes and projects are effectively meeting their objectives, achieve equitable solutions for people and the environment and to increase accountability to all stakeholders. The challenge for both WWF's conservation and footprint programmes is to mobilise social change. Where peoples' lives are heavily dependent on the environment, this requires programmes to understand and address poverty issues. WWF's Position Paper on Poverty and Conservation recognizes that 'conserving and managing natural resources is essential in the fight against poverty and that conservation will only be successful in the long term if it addresses the development needs and aspirations of local communities' (WWF, 2009). A greater understanding of how to capture change in people's lives and livelihoods, through access to and use of practical frameworks and methodologies is needed to achieve this.

This study aims to learn from other conservation and/or development organisations, and is part of a longer process consisting of: learning from WWF's own practice in the network; applying this knowledge to generate guidance, and – perhaps the most challenging- creating the momentum to take this forward across the WWF Network. A 'sister' document 'Capturing Change in People's Lives and Livelihoods within Organisational Systems: Learning from Good Practice and Experiences of Conservation/ Development Organisations to inform WWF practice' (Turrall, 2009) focuses upon the systems and frameworks developed by other organisations to structure and guide M&E.

There are particular challenges associated with establishing M&E systems to captures changes in peoples' lives and livelihoods:

1. **Objectives and perspective:** There are many different lenses that can be applied depending on what the intention of the work is.
2. **Managing/reducing complexity:** There is the potential and often the temptation to try and measure all aspects of peoples' lives which makes it unmanageable – there needs to be clear messages within an organisation on what is sensible and realistic.
3. **Accommodating diversity:** Communities are not homogenous, and people will respond to project initiatives and changes in the environment in very different ways.
4. **Understanding the nature of change:** There are temporal and spatial fluctuations in peoples' lives and therefore the relative distribution and significance of costs and benefits is not constant.

WWF is not the only conservation organisation to be trying to address these issues and some of its programmes may be 'ahead of the game' compared to other conservation organisations. At a workshop organised by conservation organisations focused upon 'Measuring the Impact of Livelihood Initiatives in a Conservation Context' in 2007, it was noted that although many 'are engaging with livelihoods and human needs at a local level, they ... often struggle to demonstrate the impact of their interventions and of biodiversity conservation in general on people because of inadequate monitoring and evaluation

(M&E), a lack of capacity to undertake social/livelihoods monitoring, and/or a lack of appreciation of the range of applicable tools and processes' (see AWF, BI, FFI, 2007 for more information). Indeed, many development organisations also struggle with many of the same challenges as the conservation NGOs, in terms of mainstreaming M&E organisationally and doing it well.

## **Methodology**

This study aimed to learn from others regarding the good practice, frameworks and methodologies that are being used to identify and understand changes in people's lives and livelihoods. Although important that WWF develops or adapts systems to meet its own objectives and organisational culture, the study sought to learn lessons from others from their experience to avoid 'reinventing the wheel' through interviews and a review of the literature. The study was not intended to be comprehensive in terms of the level of detail, but to help WWF have access to the most relevant and high quality information to inform future work (see Terms of Reference in Annex 1).

Key consultancy questions which the study aimed to respond to were:

1. What have been the experiences from other conservation / development organisations who have tried to identify and understand changes in peoples' livelihoods from their work?
2. What are the different methodologies that WWF could use to monitor and evaluate changes in peoples' lives and livelihoods over time?
3. What are the accepted aspects of good practice that must be considered when monitoring and evaluating changes in peoples' lives and livelihood?

The methodology in brief was to scope and finalise study questions relevant to WWF in detail; carry out a literature review of salient documentation from academic journals, development and/or conservation organisations and conference reports; carry out phone interviews with selected organisations based upon their relevance, focus, known experience, and links with WWF-UK. Those organisations interviewed regarding their programmes included the African Wildlife Foundation (AWF), Birdlife International (BI), CARE International, the UK Department for International Development (DFID), The International Union for Conservation and Nature (IUCN), Oxfam and Practical Action. Additional organisations spoken to specifically regarding practical methodologies that have been developed were IMM and Insight (see further information in Annexe 2). Findings were then collated and analysed, and presented to an initial small group of WWF-UK staff involved in this area for their input, and then a wider group consisting of predominantly WWF-UK Programme Managers.

The findings have been divided into two key reports, for different internal audiences. This paper focuses upon findings which emerged as relevant for WWF programmes and projects, including programme frameworks and methodologies shared by other organisations. The key audience are those in WWF with an interest and role in capturing change in people's lives and livelihoods within their work. A 'sister' paper 'Capturing Change in People's Lives and Livelihoods within Organisational Systems: Learning from Good Practice and Experiences of Conservation/ Development Organisations' (Turrall, 2009) is aimed at

those who have a strategic interest in strengthening M&E systems across the organisation or in establishing M&E systems for very large programmes.

## What do we mean by ‘Capturing Changes in People’s Lives and Livelihoods’

### M&E

The terms ‘monitoring’, ‘evaluation’ and ‘impact assessment’ are used in different ways and sometimes interchangeably. It is useful to clarify from the outset as to what is meant by the terms within this report to ensure consistency, as defined in the table below:

Table 1 Definitions of Monitoring, Evaluation and Impact Assessment

	Monitoring	Evaluation	Impact assessment
Purpose	Systematic / continuous assessment to determine progress to goal	To review extent to which objectives achieved as anticipated  Supply lessons learned to improve future actions, planning and decision-making.	Systematic analysis of significant change (positive or negative) lasting or not, brought about by a given action or series of actions
Timing	Systematic / continuous	Periodic  Often mid way or at end of an initiative	After a considerable period of time when lasting change is expected. Often following completion of initiative – could be post-hoc
Analytical Level	Mainly descriptive, regarding progress – mainly focusing on <u>inputs, activities and outputs</u>	More analytical than monitoring. Examines <u>processes and outcomes</u> . Explores issues of sustainability, effectiveness, efficiency, impact and relevance of design.	Mainly analytical and concerned with <u>analyzing and understanding lasting change</u> – at outcome / goal level  Can raise large scale strategic issues for organization
Who is it for?	Project staff, key partners, community members (as	Project staff, partners, community members (as relevant) donors, other	Project staff, partners, donors, other programmes,

	relevant)	programmes	
Definitions in WWF Network Standards	The periodic process of gathering data relative to the stated project vision, goals, objectives and strategic activities.	An assessment of a project or programme in relation to its own previously stated goals and objectives.	Not defined

**Adapted from Pasteur and Turrall 2006, pp3**

The way in which the M&E system is designed and the choice of tools used to implement the system depends very much on the purpose of the M&E system, and reflects the priorities of those who design it. Monitoring and evaluation can be used in a number of different ways, as helpfully set out by the International Fund for Agriculture and Development (IFAD):

- i) **Accountability** – demonstrating to donors, communities and implementing partners that expenditure, actions and results are as agreed or are as can reasonably be expected in a given situation.
- ii) **Supporting operational management** - providing the basic management information needed to direct, coordinate and control the human, financial and physical resources required achieve any given objective.
- iii) **Supporting strategic management** – providing the information for and facilitating the processes required to set and adjust goals, objectives and strategies and to improve quality and performance.
- iv) **Knowledge creation** – generating new insights that contribute to the established knowledge base in a given field.
- v) **Empowerment** – building the capacity, self-reliance and confidence of communities and implementing staff and partners to effectively guide, management and implement development initiatives.

(IFAD Managing for Impact, <http://www.ifad.org/evaluation/guide/index.htm>)

In reality, a project or programme may feel the tension of trying to meet M&E demands for a number of different purposes. A good M&E system is one which has taken into consideration and has prioritised the different needs of its stakeholders for information and feedback. Conservation and development organisations are finding different ways to address such tensions according to their priorities and organisational culture (see further information within the sister document ‘Organisational Systems’).

### **Changes in Peoples’ Lives and Livelihoods**

It is also important to explore what is meant by M&E to capture change in people’s lives and livelihoods.

The phrase ‘changes in lives and livelihoods’ was specifically chosen by WWF-UK for this piece of work to try to avoid the pitfalls of jargon around definitions of M&E and poverty. There are several important factors to justify why this terminology has been used:

- 'Change' is a neutral term – it can be positive or negative. This reminds WWF to include positive and negative, expected and unexpected analyses of change.
- It emphasizes looking for outcomes and impacts, over inputs and activities.
- It does not impose what types of changes projects and programmes should look for, instead encouraging changes to be defined as appropriate to their intervention
- It acknowledges that WWF may not only be targeting the poor in its interventions, but also other social groups. Monitoring systems should be designed to look for changes in all targeted groups– this is why we are avoiding using the term poverty or poor in this phrase.
- It provides enough flexibility for WWF to focus down and develop more specific frameworks in future if desired.

There has been considerable discussion since the late 1990s regarding what is meant by 'livelihoods monitoring and evaluation'. Analyses of how different projects and programmes were applying the sustainable livelihoods approach and framework to M&E revealed that there is no *single* meaning or approach (Turton 2001), and although case studies, and guidance emerged from different experiences, no one universal guidance, framework or checklist has been developed.

However, it is important to note there is widespread agreement that the 'how' we go about it is as important as the 'what' is measured. Unlike biological monitoring there are a range of socio-cultural and ethical issues around requesting often quite personal information from people about their behaviour, attitudes and choices (e.g. about income or expenditure etc.), that project teams need to bear in mind when deciding what and how to monitor and evaluate their work. The table below provides a summary of the implications of the SL way of working for livelihood M&E.

**Table 2. Approach to livelihood monitoring and evaluation**

SL principles	Implications for livelihoods M&E
People-centred approaches	<ul style="list-style-type: none"> <li>• Increase participation of community members at all stages of the project cycle including M&amp;E.</li> <li>• Focus on outcomes and impacts for people</li> </ul>
More joined up working across sectoral specialisms	<ul style="list-style-type: none"> <li>• Need to be holistic, monitoring changes across a broad range of livelihood priorities and influences taking a multi-sectoral approach: 'people do not live in sectors'</li> <li>• Need to think through and understand different factors that affect lives, but not necessarily focus on all in M&amp;E systems</li> <li>• Must have a mutual understanding of a common goal that all are working towards</li> </ul>
A stronger emphasis on building partnerships	<ul style="list-style-type: none"> <li>• More participatory and collaborative approaches, which involve stakeholders at each stage in the project cycle.</li> </ul>

Livelihoods are dynamic	<ul style="list-style-type: none"> <li>• Need to keep track of dynamism of poor people’s livelihoods – fluctuating up and down and with different strengths emerging at different points.</li> <li>• Ultimately interested in understanding whether livelihoods are moving in positive directions, looking for trends and directions of change.</li> </ul>
Greater emphasis on learning and knowledge generation	<ul style="list-style-type: none"> <li>• M&amp;E is about learning not policing</li> <li>• Has implications for who does the monitoring – whether it is internally or externally driven</li> </ul>

Adapted from Turton, 2001,

At this stage in the process for WWF-UK there is therefore plenty of scope to draw upon learning, experience, frameworks and methodologies from a wide range of approaches used by different organizations who try to address dimensions of poverty (and in some cases poverty –conservation linkages) including sustainable livelihoods thinking, wellbeing concepts, social analysis, social inclusion, empowerment and rights-based approaches amongst others.

## Good Practice from other Development and/ or Conservation Organisations

It is critical to look at monitoring and evaluation within a broader approach to programme management. The following simple points clearly demonstrate the links between good design and M&E when thinking about programmes from the perspective of change

- Design is about being clear about the change that the interventions want to bring about (Who / What will change? What would change look like? By when?),
- Design also sets out the 'change process' i.e. the articulation of **how** change will happen (how activities will ultimately lead to impact)
- M&E helps understand and capture the extent to which changes are happening, whether these are happening the way anticipated, and to capture unanticipated and unexpected changes that could affect overall success

It is fundamental to recognize the importance of analysis at the outset of a programme in order to ascertain the context of people's lives and livelihoods, how change is likely to happen and therefore to be able to assess the outcomes on people's lives. This requires the organisation to invest in a more rigorous conceptual and contextualized planning process which would lead to clarity in how implementation will lead to changes in peoples' lives.

It is useful to begin with 'pointers' or 'tips' of how to capture change in people's lives and livelihoods from this wider planning and M&E perspective, before then setting out more practical programme frameworks and methodologies which WWF could feed into their thinking regarding frameworks to adopt, adapt or develop themselves. These tips are not assigned to any particular organisation, and often emerged from more than one.

### Good Programme Planning

1. **Good programme planning and analysis** prior to implementation is fundamental. This enables clear targeting, and a clear rationale of 'what changes in whose lives' the programme is trying to influence. It should also include a clear analysis of what risks and assumptions are being made about how change will happen. If this is clear at the design stage it will be much easier to assess whether the programme has been successful or not.
2. It is important for an organisation like WWF **not to analyse poverty and environment in isolation** which can lead to a separation of environment and poverty within the programme logic. Analysis should focus on the **linkages** between poverty, peoples' livelihoods and environmental issues and an understanding of how the poor may be potentially affected by an intervention. This analysis should include:

- What are the linkages between the livelihood strategies of different groups (not only the poor) and natural resources? How do different groups (including social groups, men and women) use natural resources? What access and control do different groups have?
  - Who are the poor? What strategies do they adopt to make a living? Can they be categorized into different social groups?
  - How do policies and institutions affect different group's access and control of natural resources and poverty, and to what extent can the poor influence these decisions?
  - What barriers could people face to participating in the intervention (e.g. time, culture)?
  - What are the likely / desirable benefits and costs of the intervention to different social groups?
3. Analyse and identify **how change will happen** based on the above analysis. What key changes are needed to reduce poverty and the pressure on environmental resources, and create the necessary enabling conditions for solutions to thrive? This will help to assess whether a programme is focusing on the appropriate challenges, and the types of change which need to be worked towards

## **M&E**

1. Monitoring and evaluation systems should be **developed from the outset**, as an important part of the programme cycle and not added later on.
2. M&E helps to understand **what** and **how** change happens through a programme intervention. Indicators should be selected to help to demonstrate that change in threats, enabling conditions, the status of the environment and /or peoples' lives is occurring, as anticipated in the programmes logic. The system should allow for capturing the negative as well as positive effects of an intervention, the unexpected as well as the expected.
3. Be very clear about the **purpose** of the monitoring and evaluation system. Who is it for? What information needs do you as the organisation and/ or other accountability partners have? Are there conflicting demands there? How can this be reconciled? What information is needed? Does some of the information already exist? A practical suggestion is to develop a matrix of who the accountability partners are, what information is needed, whether that information is available and what gaps exist. In short to be effective and worthwhile any M&E system must 'deliver the right information to the right people at the right time'
4. **Skills** needed for M&E should not be under-estimated. It is important to identify and budget for the appropriate expertise for monitoring and evaluating the changes in people's lives and livelihoods. Attention needs to be given at the outset to assessing whether there is sufficient capacity to carry out analyses by programme staff. Should additional input be bought in (through consultants) or built in (recruitment, capacity building)? Ideally the capacity would be

developed internally during this process in order to build the programme and organisation's capacity over the long term.

5. Have **less data rather than more**. A lack of clarity regarding what is needed from an M&E system often leads to the collection of excessive amounts of overly detailed information. Collecting and analysing data is costly, and ideally to make it worthwhile should feed into decision-making. For programmes to learn from the data that emerges from the M&E system, it must learn how to process a great deal more effectively - more limited, but more relevant, set of information.
6. Communities are not homogenous - information and analysis needs to be **disaggregated** for M&E to be meaningful. Data collection, analysis and reporting of change relating to peoples' lives needs to take into consideration different social groups, how these different groups have been targeted by the project and their interaction with the environment.
7. **Information Management Systems** to support M&E data collection and analysis should not be underestimated. Establishing appropriate databases, filing and electronic systems to facilitate the process will significantly help in achieving the best possible analysis and use of the data.
8. It is important to build in **time for reflection and learning**. M&E systems should not be considered as, or linked to individual appraisal systems. Incentives for M&E should be integrated within HR systems. Different mechanisms can be put in place to encourage learning within programmes (e.g. mentoring, reflection workshops with stakeholders, field visits, exchange programme to programme visits). There are also initiatives which can be carried out across the organisation to encourage learning beyond the programme (see sister 'Organisational systems' document).
9. **Communication** of the data and results that emerge is important, and often not thought through sufficiently whilst implementing the M&E system. This may require tailoring the results to different audiences so that they are in accessible formats. This will require planning, time and appropriate skills which need to be budgeted for at the outset.

## **Programme Planning Frameworks and Tools for Analysis**

In this section we focus on the practical frameworks which were suggested within interviews or found in the literature that can help to plan and monitor for changes in people's lives and livelihoods. Some organisations leave M&E systems entirely up to the programme or project manager's discretion. But most tend to develop a conceptual structure or framework. This helps to provide a consistent structure, access to information to staff in an accessible and known format, and also create or consolidate an organizational culture for M&E.

WWF's current system of Network Standards for Conservation Project and Programme Management tends to emphasise planning with the conservation goal articulated as the only desired target or impact. However, the reality is that much of WWF's work is also trying to achieve changes in peoples' lives and livelihoods equal in significance to the ecological change. The challenge for WWF is to find an effective way to integrate an analysis of how programmes and projects contribute to people's lives and livelihoods as well as conservation goals into the programme management cycle. This section shares practical frameworks developed and applied by other organisations which provide steps for analysing and incorporating poverty issues, and in some cases also poverty-conservation linkages. These can be adapted and integrated into WWF's existing systems.

We begin by looking at how the tools used to plan and structure whole projects and programmes can help or hinder analysis and understanding of change. The second section looks more at analytical tools / frameworks which could be built in as part of programme design. The third section goes on to share some other organisations' frameworks.

## **General Project and Programme Planning Frameworks**

### **The Logframe and Beyond**

The Logframe has been used as a programme and project planning and management tool for many years, and is used by WWF-UK in the majority of its programmes. It is one expression of the "Results Chain" – the results you expect the project to achieve (as promoted by WWF's Network Standards).

One familiar criticism of the logframe is that it is overly linear, and assumes a simple linear causality between inputs, outputs, outcomes and impacts (Springer Heinze et al. 2003). In reality the relationships between output and outcome, and between outcome and impact, are complex, interlinked and dependent on a range of factors which facilitate or obstruct change taking place. All projects or programmes have made assumptions about how change will happen. However these assumptions about change are not always made explicit and are 'often a complex mix of political belief, scientific theory, personal experience, religious belief, cultural history and personal conviction' (IUCN, 2008). One of the

functions of M&E is to test these assumptions about change. The pathway of change/[change framework](#) is a graphic representation of the change process.

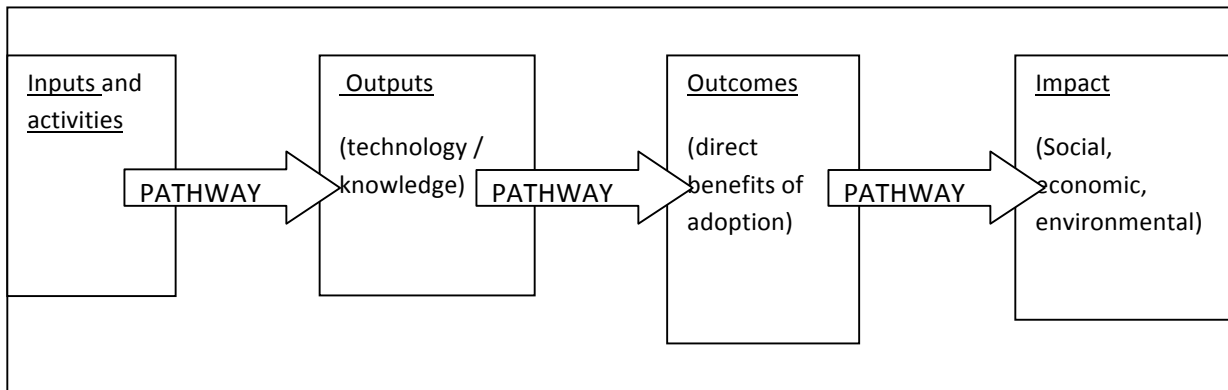


Figure 1. The Logical Framework sequence including pathways between different levels

Pasteur and Turrall, 2006 [ftp://ftp.fao.org/docrep/fao/009/ah455e/ah455e00.pdf](http://ftp.fao.org/docrep/fao/009/ah455e/ah455e00.pdf)

Increasingly organisations use the phrase ‘theory of change’ to refer to the understanding and articulation of the underlying assumptions of how social change happens and how it can be influenced (including IUCN, CARE International and Oxfam). Domains or dimensions of change are also often referred to - areas in which change is essential to achieving an impact goal (for further information see <http://www.theoryofchange.org/>).

This approach is entirely compatible with the Results Chain approach promoted in the WWF Network Standards, which states:

*‘Often, project teams implement strategies ... but they do not formally state their assumptions about exactly how the strategy will lead to threat reduction and biodiversity conservation. It is likely that they have many implicit assumptions – and team members may even have different assumptions – about how their strategies will contribute to achieving conservation. Because they do not make these assumptions explicit, however, they cannot test them and learn over time whether they are valid... To be successful, a project must be based on sound project theory. (WWF, Basic Guidance for Tools – Results Chains, 2005)*

Many of the development and conservation organizations interviewed are experimenting with different ways of conceptualizing and structuring programmes to more clearly articulate the process of change. Oxfam are using a [logic model](#) developed by Canadian International Programme for Development and Evaluation Training (IPDET) which they have found to be preferable given that it is easier to assess whether there is a plausible pathway for change (see Knowlton and Phillips, 2008 for further information).

DFID are currently trialling a ‘Social Framework’ which they describe as:

- a *format* for describing an expected pathway of influence through a wider network of people, groups or organisations.
- a Logical Framework re-designed as if people and their relationships mattered
- a way of summarizing the theory-of-change within a development project, in a form that can be monitored and evaluated. And which can be easily explained to others.

The framework is structured in terms of changes in behaviour or practice of key targeted social groups. (see <http://mande.co.uk/2008/uncategorized/the-social-framework-as-an-alternative-to-the-logical-framework/>)

## Analytical Tools and Frameworks

The following tools and frameworks can help projects and programmes more clearly analyse human issues at all stages of design, monitoring and evaluation. If undertaken at design stage, these frameworks can help projects clarify the target groups and types of changes their M&E systems should be looking for.

### The Social Analysis Toolkit – World Bank

The social analysis toolkit provides a generic conceptual lens to analyse change in people’s lives and livelihoods in any context. It helps with analysis - understanding the issues, disaggregation needed and provides guiding questions – which can be applied at planning, monitoring and evaluation stages.

It highlights five areas of enquiry. These areas of enquiry are : social diversity and gender; institutions, rules and behaviours;; stakeholders; participation; and, social risk. These are used as the main entry points when carrying out social analysis at different stages of a programme (alongside other analyses). In brief the five areas, are defined as in the Table below.

Table 3 World Bank Social Analysis Toolkit, Five Areas of Enquiry

Area of Enquiry	Meaning
Social diversity and gender	Identification and analysis of the social groups that shape access and control of resources e.g. by gender, age, race, religion, livelihood group  Identification and analysis of inter-household differences, intra-household differences
Institutions, rules and behaviours	The way that social groups relate to each other and

	also intra-group Formal organizations and networks and also the rule – formal and informal – that influence behavior within the organisations
Stakeholders	Those that have a stake or vested interest in the programme, directly or indirectly. They may be highly vocal or less visible
Participation	Involvement of the poor and marginalized within programme systems Identification of their access and control of assets and the ability to participate (natural, human, social, financial and physical capital)
Social Risk	The risk , particularly for the vulnerable and poor to external shocks (e.g. earthquake, economic crises), and seasonal changes

Annexe 4 also includes the checklist of questions used within a social analysis at the different programme stages within natural resources management programmes, and further information is available at <http://go.worldbank.org/HRXPCILR30>.

### **Exploring Poverty – Environmental Linkages**

Work conducted on behalf of DFID in 2001 made the following recommendations:

1. Define a clear framework through which to explore poverty-environmental linkages
2. Take seasonal fluctuations, social groupings and urban / peri-urban issues into account in design of studies and include social and biological scientists in team.

They suggest 4 questions to guide an analysis of poverty-environmental links:

- How do different sorts of poor people degrade or improve various components of the environment to different degrees?
- Do particular environmental shocks and stresses impose different kinds of costs or different levels of cost on different sorts of people?
- In what ways do formal and informal institutions influence the relationship of poor people to environmental goods and services?
- To what extent do poor people draw on environmental goods and services to maintain their livelihood security?

From Brocklesby & Hinshelwood (2001)

Follow up work to this study proposed that the causal links between environmental change and impoverishment are often not direct but are as result of how the relationship between environment and poverty is mediated through institutions and policy. They highlight two key attributes of environmental entitlements which they believe could provide a useful lens to understand poverty- environment linkages – **access to resources and control over the use of those resources**. 'Improving access to and control over environmental resources by the poor should provide a mechanism for the reduction of poverty' (Nunan et al, 2002).

Poor peoples' livelihood strategies are inextricably tied to their environmental context, however the relationship is complex and often indirect. Understanding these linkages better is central to a project or programme defining a clear entry point and strategies to deliver positive changes in poor peoples' lives as well as positive environmental change. Work undertaken by DFID clearly states the importance that such an analysis is based on a clear understanding of poverty and the environment (including local perceptions of poverty and environment as well as established government / institutional definitions). They note that standard poverty assessments are inadequate for effectively exploring the causal linkages between poverty and environment.

### **Participatory Poverty Assessments in Conservation Contexts – Birdlife International**

An interesting example from a conservation organisation shows how poverty assessments can be carried out at the programme planning stage, exploring poverty and environment linkages. Birdlife International developed a tool called Important Bird Areas (IBA) Monitoring Methodology for a number

of its programmes. The participatory poverty assessments (PPA) aims to learn more about who the poor are, the role of the IBA/environment in people's livelihoods (leading people into or out of poverty), and the role of the environment in people's coping strategies.

The main questions it seeks to answer are:

- 1) Who are the poor: Which social groups in the community are perceived (by themselves and by others in the community) to be particularly poor/vulnerable? Why are they considered vulnerable?
- 2) What are the characteristics of the poor: What characteristics do community members see as particularly relevant in assessing whether one social group (or individual or household) versus another is poor/vulnerable? i.e. what are the indicators of poverty/vulnerability?
- 3) The role of the environment (and the IBA) in people's livelihoods: Role of the IBA and its resources in people's livelihoods e.g. how is the IBA and its resources used by the community? Are there any environmental factors at the IBA that make people poorer, or less poor? Have environmental conditions at the IBA changed through time? What has been the effect of these changes on people's livelihoods, poverty and vulnerability? The effect of natural disasters and how people cope, Are there any factors at sub-national level, or at national level, that are affecting people's poverty/well-being and their relationship with the environment and natural resources?

Poverty indicators identified are grouped under a set of composite 'indicator classes' and these are then classified under one of the OECD DAC core dimensions of poverty (economic, human, political, socio-cultural, and protective capabilities) (see <http://www.oecd.org/dataoecd/47/14/2672735.pdf> for further information). This was used as a planning tool for 14 IBAs, but it is recognized that it could be then be used for baseline, monitoring and evaluation purposes. For further information, see Birdlife international, 2006, [http://www.birdlife.org/news/news/2007/01/listening\\_to\\_local\\_voices\\_IBAs.pdf](http://www.birdlife.org/news/news/2007/01/listening_to_local_voices_IBAs.pdf))

### **Understanding the Dynamic Relationship between Poverty and Environment through Poverty-Environment Indicators – WWF-Macroeconomic Programme Office (MPO)**

WWF- MPO has proposed a framework of indicators and questions to help understand and capture the essence of poverty-environment dynamics in rural / peri-urban areas. The indicators are designed to help people (including project staff and primary stakeholder groups) to understand more clearly the links between poverty and environment, and thus design interventions to respond effectively to these issues. In comparison with the Birdlife International PPA, this approach places greater emphasis on exploring the influence of meso and macro level factors on the interaction between poverty and the environment, and how that plays out at the local level. Indicators are suggested to help simplify what is a very complex, multidimensional relationship between poverty and environment, into focused and manageable information. *'Indicators should attempt to provide, through a limited number of categories, significant information about a much larger societal dynamic'* (WWF, MPO, 2004).

MPO classify these indicators into the three areas of:

1. **Status:** A quantitative snapshot of the status of critical issues in the poverty-environment nexus e.g. state of key resources, access to resources, exposure to / impact from natural resource related vulnerabilities
2. **Enabling Conditions:** Analysis of key economic and social strategies, policies, instruments which affect peoples' ability to influence and benefit from the environment
3. **Social Capital:** Understanding of the capacity of local populations to influence basic decisions and institutional arrangements that shape their livelihoods and natural resource use.

### ***Ex ante Poverty Impact Assessment –OECD-DAC***

A framework recently developed by the OECD-DAC called the 'Ex ante Poverty Impact Assessment', was created in the spirit of the Paris Declaration on Aid Effectiveness to seek harmonisation between donor approaches to reduce the burden on partner governments having to deal with the often conflicting demands placed on them. It is a focused process for donors and partner countries to inform themselves of the expected intended and unintended consequences of their interventions (policies, programmes, projects) and provides an assessment of the well-being of different social groups, focusing on poor and vulnerable people.

Although a comprehensive and time-intensive tool, it could be of use for WWF when working on large programmes, and in partnership with others. An advantage of it is that it integrates already established approaches, but merges them into one model and the results of the assessment are visualised in relatively simple matrices. In brief, it provides:

- i)* An understanding of the relation of the intervention to national development or poverty reduction strategies
- ii)* An understanding of stakeholders (disaggregated into important groups by income, gender, age, etc.) and of institutions that influence and are influenced by an intervention.
- iii)* An understanding of the importance and inter-relationship of individual dimensions of change (referred to as 'transmission channels through which changes occur')
- iv)* An assessment of likely qualitative and/or quantitative outcomes for stakeholders, with particular emphasis on the target population, taking into account the multi-dimensionality of poverty and an assessment of the intervention's implications in terms of the OECD Development Assistance Committee (DAC) capabilities framework - economic, human, political, socio-cultural and protective-security capabilities (see <http://www.oecd.org/dataoecd/47/14/2672735.pdf> for further information) .
- v)* An estimation of the potential impact on the Millennium Development Goals (MDGs) and, if desired, other strategic goals (*e.g.* derived from the Millennium Declaration or from national strategies).
- vi)* A framework for improving baseline data, and monitoring the impact hypotheses during implementation and as an input for facilitating *ex post* evaluation exercises.

vii) Based on the assessments mentioned above, recommendations on how the intervention might be improved to increase its pro-poor impact and whether or not to implement the intervention.

Experience has shown that it can be a very useful instrument, but care must be taken to ensure that the process in collecting and analysis of data is consultative and that it includes skills and a depth of understanding of how an intervention would affect the lives of the poor and marginalized. It can be revisited as a monitoring and evaluation tool. (For further information see, OECD-DAC, 2007, <http://www.oecd.org/dataoecd/46/39/38978856.pdf>).

## Organisational Frameworks and ‘domains of change’

The following three examples are included because they articulate how some organisations have defined specific types (or domains) of change that reflect their organisational mission and values. These domains of change can help to focus an M&E system to look for particular types of changes in peoples’ lives and livelihoods.

### Impact Assessment Framework - CARE

A programme ‘impact assessment framework’ has recently been developed by CARE International and is being used within some country offices. Interestingly this approach emphasises clear targeting for impact for a specific and well-defined section of the population.

An impact assessment framework is a process which enables identification and focus upon working towards a particular target population, analysis and understanding of their underlying causes of poverty, a vision or goal for impact for the target group, analysis of how change is likely to happen (the theory of change, see above) and initiatives to contribute to such change. It is therefore a highly people-centred approach, reflecting CARE’s focus upon a unifying framework around poverty of human conditions (increasing opportunity), social positions (improving social equity) and the enabling environment (improving governance) (for further information see Drinkwater, 2009).

The table below shows the steps involved, and provides an example of a defined impact group or target population from CARE Bangladesh to illustrate.

Table 4: CARE’s Programme Impact Assessment Framework

Elements of the impact assessment framework	An example from CARE Bangladesh
Identification of the target population	Impact group definition and description: ‘Most socially, economically and politically marginalised women’ (one of four target populations for CARE Bangladesh)
A clearly defined goal for impact on the lives of a specific group, realized at broad scale.	Impact vision: The “most” socially, economically, politically marginalized women are empowered
A thorough analysis of underlying causes of poverty,	Underlying causes and analysis:

gender inequality, and social injustice at multiple levels with multiple stakeholders.	<ul style="list-style-type: none"> <li>- Lack of access and control over resources and decisions</li> <li>- Unequal gender power relations</li> <li>- Masculine systems and structures</li> </ul>
An explicit theory of change that is rigorously tested and adapted to reflect ongoing learning.	<p>Theory of change: The most socially economically, politically marginalized women will be empowered by women’s greater exercise of choice in decision affecting their lives at all levels and reduced violence against women and girls. This, accompanied by a strong social movement built on women’s solidarity and participation of men, will have a multiplier effect in realizing the impact vision.</p> <p>Domains of change:</p> <ul style="list-style-type: none"> <li>• Exercise of Greater Choice in Decisions Affecting their Lives</li> <li>• Reduced Violence Against Women</li> <li>• Strong Social Movements Built on Women’s Solidarity and Participation of Men</li> </ul>
A coherent set of initiatives that enable CARE and our partners to contribute significantly to the transformation articulated in the theory of change.	Numerous activities identified to facilitate change to happen

Source for information in table: CARE Bangladesh, 2009, Elaborating the Impact Statement on the Most Socially, Economically and Politically Marginalised Women: A Framework of Analysis, Programme Practice and Learning for Impact

Each programme has a 10-15 year timeframe, is one of 3-4 programmes in a country office, with 3-5 of the 20 global targets that the organisation is working towards (for more on the organizational system, see the sister document).

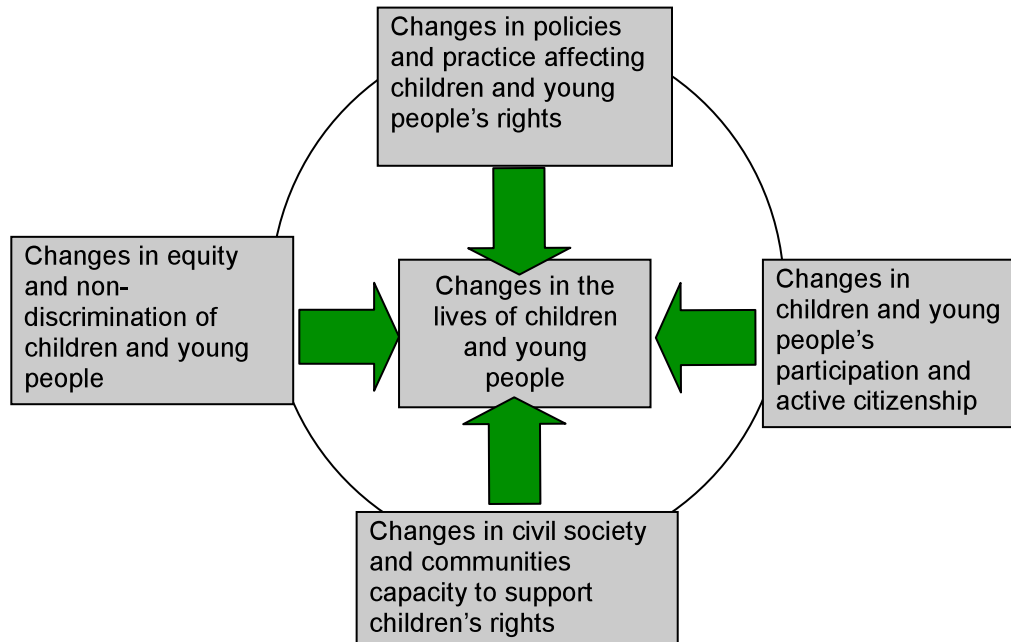
### **Oxfam and Save the Children’s Performance and Impact Questions**

Previously, Oxfam and Save the Children used defined questions to guide projects and programmes as per the types of changes that the organisation is particularly interested to see reflecting their core mission and values. These are equivalent to the ‘domains of change’ used by CARE International. The strength of having these domains of change clearly articulated is that the questions provides a clear steer for programme M&E and reporting. However, in reality, both Oxfam and Save the Children struggled to integrate these questions firmly into programme design or M&E systems, which has led to poor alignment and mainly anecdotal reporting against the questions (Oxfam, pers. comm.). Both organizations have since stopped using this approach. However, as illustrated by CARE International, the development and adaptation of such questions at a large programme or office level has the potential to be useful.

It is important to emphasise that for any framework, the reality of implementation can be very different. Most organisations struggle to convince project teams to use M&E framework rather than haphazard evaluation processes. It is critical that any framework is internalized by organisation’s programme, project staff and partners and for this to happen there is often a need for wider organizational systems

and a culture to support learning, a feedback process between field staff and headquarters, investment in training and a priority attached and incentives for using such M&E systems (this is further discussed in the sister document regarding organisational systems).

### Save the Children's 5 dimensions of change



#### Oxfam's Seven Questions About Performance And Impact

1. What significant changes have occurred in the lives of poor women, men and children?
2. How far has greater equity been achieved between women and men and between other groups?
3. What changes in policies, practices, ideas and beliefs have occurred?
4. Have those we hoped would benefit and those who support us been appropriately involved at all stages and empowered through the process?
5. Are the changes that have been achieved likely to be sustained?
6. How cost-effective has the intervention been?
7. To what extent have we learned from this experience and shared the learning?

## Methodologies for Capturing Changes in People's Lives and Livelihoods

For conservation organizations including WWF, most of the M&E methodologies used are biological, quantitative methods. To capture the complex, nuanced changes from poverty and livelihoods work and the poverty-environment linkages, different methodologies are required. These particularly draw upon the more informal, participatory methodologies which capture the unexpected as well as expected changes. Traditional household livelihoods surveys are not always sufficient, and group-focused methods, although often more time consuming, are very valuable.

In this section we focus on the practical methodologies that can be used by programmes and projects for capturing changes in people's lives and livelihoods. Here we provide a menu of methods which is by no means complete but a useful starting point. They can be selected according to the different context, and are not intended as stand-alone methods but should be used alongside other complementary tools. They can also be adapted to the different circumstances, contexts and organizational needs.

More generic messages emerged from the interviews regarding good practice and tips in the selection of and use of methodologies. These are again not assigned to particular organisations and were commonly found elements of good practice:

- One size does not fit all – there is no one methodology which could be said to be suitable to every programme, or type of programme, Methodologies should be selected according to the particular purpose and context.
- For each programme, ideally a portfolio of methods is needed in order to triangulate the data which emerges, and provide a more complete picture and analysis of changes.
- Methodologies should be adopted and adapted to local circumstances
- Try where possible and appropriate to use methodologies which people are aware of, and encourage people to use the techniques they have known (build on the capacity they have). Methods should play to one's strengths as much as possible
- Be pragmatic –if staff are not ready to use participatory approaches, then introduce them gradually to the ethos, good practice and methods involved but do not expect too much too soon
- The more that field staff see the bigger picture of organisational M&E objectives and goals and understand WHY they are being asked for certain types of information, the more likely they are to generate the type of information that is needed.
- There is much good practice and ethics involved in participatory approaches which has been developed by development organisations and should be drawn upon (see PLA notes [www.planotes.org/](http://www.planotes.org/) and website <http://portals.wi.wur.nl/ppme/> )

- It is preferable to have a mixture of both quantitative and qualitative results in order to provide a richer picture of the results of the programme, and as above, to cross-check results. There is a tendency for conservation organisations to adhere to quantitative methodologies and less so for qualitative methodologies. When dealing with changes in people’s lives, qualitative methodologies often provide the scope to capture the complex, nuanced changes and as a communication tool can provide contextualized ‘human interest’ data.
- Indicators are often the cornerstone of an M&E system. Locally developed indicators have the benefit of being locally appropriate, developed using participants own concepts and language but pose challenges when trying to aggregate across different contexts - ‘aggregating apples and pears’. On the other hand there is a move by some organisations towards more standardized indicators which are then often developed at an organization level (though with some consultation or participatory process), and lend themselves to being aggregated across projects, programmes and provide organisation-wide indicators of whether the organisation is meeting its targets/ goals. (Further information in sister ‘organisational systems’ document). In order to avoid over collection of data, focusing on a small number of indicators is considered preferable

### **Categorisation of the Methodologies**

Selection of an appropriate methodology can be difficult. We have attempted to develop a categorization in order to guide the reader as to which methodology is appropriate for a particular purpose. It has also been suggested by WWF-UK that a decision-making tool be created in the future as a more practical tool.

The methodologies have been categorised according to:

- their focus (for these methodologies divided into three – community level; programme performance; above programme focus)
- their approach (participatory, non-participatory)
- whether they use indicators, and whether these are community-defined indicators (in all of the methodologies here, the indicators are community-defined)

Category	Method
Community focus, participatory, community-defined indicators	<ul style="list-style-type: none"> <li>○ Participatory assessment, monitoring and evaluation</li> <li>○ Measuring empowerment</li> <li>○ Livelihood assets status tracking</li> <li>○ Wellbeing monitoring</li> </ul>
Community focus, participatory, no indicators	<ul style="list-style-type: none"> <li>○ Most significant change</li> <li>○ Participatory video</li> <li>○ Livelihood impact assessment</li> <li>○ Participatory livelihoods monitoring</li> </ul>
Community Focused, non participatory	<ul style="list-style-type: none"> <li>○ Standardised Household Survey</li> </ul>
Policy intervention, community focus, participatory indicators	<ul style="list-style-type: none"> <li>○ Participatory policy impact assessment</li> </ul>
Above programme focus, non participatory	<ul style="list-style-type: none"> <li>○ Landscape outcome assessment methodology</li> </ul>

All the methodologies have been summarised using a common format , and can be seen in Annex 3. The methodologies have been selected from literature, and also draw upon organisations’ experience of their use (with follow-up interviews). The summarised information aims to be as practical and accessible as possible, with information regarding : the steps involved in implementation; background as to how it has been used in the past (focus, sector, scale, purpose) ; potential transferability; perceived strengths;

perceived weaknesses/ limitations; resources required; and, where to go for further information. A list of those contacted regarding the methodologies is available in Annex 2.

It is recognized that there are many other methodologies which could be included such as wellbeing ranking with follow-up monitoring visits, randomized impact assessments. Also other categories could be included such as methodologies for governance, and community-based adaptation. Time and space has restricted exploring these areas, but there is scope to include these within future guidance. An analysis of cost has not been included because interviewees were unable to provide the specific cost of implementation of a methodology, and costs will vary according to capacity, programme size, geography etc..

## **Conclusions**

This review has attempted to provide good practice, and practical ‘tips’, frameworks and methodologies for WWF efforts towards strengthening its capacities and systems to capture changes in lives and livelihoods. The good practice, methodologies and frameworks presented in this document can contribute to these efforts and help to encourage incremental change and steps towards asking the right questions about the poverty context and changes in poor people’s lives; requesting appropriate analysis from the outset; and developing useful frameworks for planning and capturing change in people’s lives and livelihoods.

It is recommended that WWF develops guidance and analytical tools to help WWF programmes analyse and monitor poverty / poverty-environmental issues in a manageable way, drawing on the good practice presented here plus existing work in the WWF Network. WWF addresses a broad range of poverty-related issues in its interventions, and guidance needs to be broad enough to encompass this diversity of approaches. This effort should be linked into other initiatives ongoing within the Network to strengthen design and M&E, and strategic leadership on poverty.

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## **Annex 1 Terms of Reference**

**Overall Purpose:** To improve the relevance, quality, usefulness of WWF's monitoring and evaluation systems to capture changes in peoples' lives and livelihoods<sup>1</sup> to strengthen capacities and systems to ensure pro-poor conservation.

**Purpose of Consultancy:** To scope and inform the development of future guidance for the WWF Network on monitoring and evaluation of changes in peoples' lives and livelihoods lives by bringing in good practice from outside of WWF.

### **Background and Context:**

Monitoring and evaluation is crucial to ensure that work is on track to meeting its objectives, to generate insights and learning to inform better decisions on future strategies, demonstrate the impact of work, and increase our accountability to all stakeholders. Good monitoring and evaluation should capture the intended, unintended, positive and negative consequences of WWF's work. Where appropriately designed, monitoring processes themselves can build the capacity, self reliance and confidence of community members, and implementing staff and partners. Where relevant participatory monitoring approaches should be encouraged, which enhance downwards accountability.

WWF wishes to strengthen its capacities and systems to ensure pro-poor conservation. To achieve this, we require improvements in systems to understand peoples' lives to inform the development of programmes, and the application of methods to monitor changes in those peoples' lives. Improving monitoring and evaluation practices are part of a broader effort to improve the quality of WWF's work – the varied quality of design – particularly relating to how we work with and through local communities – will also be addressed.

As part of this process WWF-UK is seeking a consultant to improve our knowledge of what methods and approaches will best help us to achieve effective and realistic monitoring systems that will capture changes in peoples' lives and livelihoods. In a relatively time-poor organisation like WWF, the consultant is required to help the WWF Network improve its access to the vast array of information and experiences from other organisations that have established systems to monitor changes and impacts on peoples' livelihoods.

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<sup>1</sup> Livelihoods is interpreted in the broader sense of the word as the capabilities, assets (including both material and social resources) and activities required for a means of living. WWF is interested not only in changes in capital assets but ultimately livelihood outcomes (i.e. improved wellbeing, reduced vulnerability, improved food security, more income, more sustainable use of natural resource base).

This consultancy is intended to inform work to be continued by WWF. It is not anticipated to be comprehensive in terms of the level of detail, but to help the organisation have access to the most relevant and high quality information to inform future work.

As a result, specific time is built into the consultancy contract to work with a small group of WWF-UK staff to discuss and debate key issues emerging from the work, so the results are shared and owned by WWF.

#### **Key Consultancy Questions:**

- 1. What have been the experiences from other conservation / development organisations who have tried to identify and understand changes in peoples' livelihoods from their work?**
- 2. What are the different methodologies that WWF could use to monitor and evaluate changes in peoples' lives and livelihoods over time?**
- 3. What are the accepted aspects of good practice that must be considered when monitoring and evaluating changes in peoples' lives and livelihood? (e.g. disaggregation, community involvement etc?)**

#### **Consultancy Objectives:**

1. Capture good practice and lessons learned from the experiences of other conservation and/or development organisations with particular attention to:
  - a. Developing meaningful livelihood\* M&E systems / indicators at a community /programmatic / organisational level
  - b. Dealing with Scale and the links between different scales
  - c. Capacity, Time, Skills

*Key questions and contacts to be finalised in conjunction with WWF staff*

*Identify key challenges and difficulties that have relevance to WWF as well as good practice*

*Make reference to how any M&E system relates to the values / principles and approach being promoted by the organisation*

2. Develop an 'annotated list' of a maximum of 20 different methodologies used by different organisations to act as a future resource for WWF programmes.

*(If necessary consultant will contact people for more information if not available in literature)*

*These methodologies will be grouped according to Organising Themes / Typologies that emerge from analysis of the types of methodologies and their potential application with WWF staff.*

3. Clearly set out accepted good practice in monitoring and evaluating changes in peoples lives and livelihoods (to include designing and setting up system, gathering, analysing and managing information), based on lessons learned from Objectives 1 and 2, plus discussions of emerging issues with a selected group of WWF-UK staff.

## **Deliverables:**

1. Finalise and submit questions for interviews, and structure for reports to WWF-UK by Monday 9<sup>th</sup>
2. Annotated list of a maximum of 20 methodologies / tools (20 pages) – (structure and key headings to be agreed between WWF and consultant).
3. Maximum 10 page document outlining good practice and ‘tips’ in setting up and implementing monitoring and evaluation systems to capture changes in peoples lives and livelihoods\*, drawing on examples from other conservation and/or development organisations and WWF (structure and key headings to be agreed between WWF and consultant)
4. Key documents for bibliography (ordered and filed) to be submitted on a flash drive and/or links to relevant websites, provided, so the WWF-UK Team and other interested people in the WWF network can access more information.
5. 2 Presentations / discussions to a group of WWF-UK staff (Preliminary findings from research with external agencies and literature to finalise good practice presented in **April** meeting – date to be confirmed); Exploration and Presentation of final findings, plus experiences from WWF (**May** - date to be confirmed)

## **Methodology:**

- Agree structure questions, and of final report with WWF–UK
- Literature review of relevant reports and methods documents (see list)
- Structured interviews with selected people in a few key organisations (see list and suggested questions)
- Group work / discussions with WWF-UK Staff to share findings and further develop thinking
- Final presentation of results

## **Additional Information**

This consultancy is part of ongoing work within WWF-UK and the WWF Network to build capacity and good practice in monitoring and evaluating changes in people’s lives and livelihoods. The consultant is providing a support, research and literature review function which will go on to be developed into good practice guidelines by WWF. The consultant will share knowledge gained through this work through participation in internal discussions within WWF-UK. Contribution to discussions is as important a means of reporting back to WWF, as are written reports.

## **Core Team**

This contract will be under the supervision of Kate Studd (WWF-UK), but with inputs and review from a wider group of WWF staff.

For some aspects of the work the consultant will directly work with the WWF-UK team.

## **ToRs Annex a: Inventory of Methodologies for Monitoring and Evaluating Changes in Peoples' Lives and Livelihoods**

*The purpose of this is to provide an 'annotated' list of methodologies (including lessons, application etc.) that have been tried and tested by others in various projects and organisations. The aim is not to present the methodology in detail (instead pointing the reader to where this information can be found), but to present the conditions in which this methodology is relevant, useful and cost effective (i.e. types of programmes, issues to be monitored, purpose of monitoring, skills required)*

*Through the process of pulling together the methodologies and discussions with WWF-UK staff, some overarching principles may emerge which can be used to structure the methodologies in a way that is of most use for WWF.*

*WWF want to collate the experiences from a mix of methodologies – quantitative, qualitative, participatory, focusing on monitoring, evaluation, impact.*

### **Overview:**

- Summary of the method
- What are the identified strengths / weaknesses of these methods?
- Focus of the methodology: Outputs, Outcomes? Impacts?
- Are there certain aspects of peoples' livelihoods that this methodology particularly focuses on (e.g. empowerment, governance, changes in assets, changes in wellbeing, livelihood outcomes, use of natural resources etc.?)
- What was the particular approach / intervention logic of the programme that this was applied to?
- Is this methodology designed primarily for upwards or downwards accountability?

### **Sector:**

- Was this methodology designed for use within a particular sector?
- Is it transferable to any situation / programme type?

### **Methodology:**

- Is this an Indicator or non-indicator based approach? If indicator approach, who is involved in developing the indicators?
- Does it allow for quantitative analysis of change?
- Does it allow for qualitative analysis of change?
- Does the methodology include the collection of baseline information?
- What tools were used within data collection?
- To what extent does the method deal with attribution of change and cause-effect-relationships?
- To what extent does the method promote critical reflection?

- To what extent does the method allow for participation of stakeholders, external partners, community members etc.?
- Does it allow for triangulation of findings?

**Participants:**

- Who is this methodology designed to be used by (e.g. external consultant / project team / community etc.)?
- What opportunities exist for community participation?

**Scale:**

- At what scale is this methodology most effective?

**Resources and Capacity:**

- What are the resource and capacity requirements to use these methods effectively (skills, budget, time, costs of analysis etc.)?
- Ease to carry out, interpret, implement etc.

**Use of Information:**

- How can results be used?
- To what extent does the methodology have a communications potential?

**Experience of Application:**

- Who (organisation / individual) uses or has used this methodology?
- Examples of application.
- Costs of application in different contexts.

**More Information:**

- Where can we find more information / guidance on the methodology and how to do it?

## **ToRs Annex b: Capturing Experiences from other Organisations:**

### **1. Summary of Key Lessons from Across All Organisations from Monitoring and Evaluation of Changes in Peoples' Lives and Livelihoods**

The aim of this work is not to provide a comprehensive analysis or critique of M&E systems within selected organisations, but to gather useful lessons from the experiences and approaches adopted by other organisations to help inform decisions that may be made within WWF.

Below are listed the questions that WWF-UK has identified as challenges in establishing systems which effectively capture changes in peoples' livelihoods - meeting our desires for learning and adaptive management, downwards accountability, and reporting to donors.

These questions would form the basis for semi-structured discussions with the identified organisations. It is expected that the interviewer will develop their own checklist of questions that cover the issues identified below.

#### **A. Organisational M&E & Learning Systems:**

*Within most organisations, capturing changes in peoples' lives will be part of a broader organisational M&E & Learning system. WWF is interested in a) understanding more about the experiences and systems within organisations for monitoring and evaluation and impact generally and b) how capturing changes in peoples' livelihoods fits within this (and specific issues related to this).*

1. What systems (at organisational, office, programme, project, community) do different organisations have in place to capture and report changes in peoples' livelihoods? To what extent are these systems actually implemented across organisations?
2. How do these systems relate to the overall **values / approaches** of the organisation?
3. Is there a strong commitment to M&E systems from senior management within organisations? (and in particular those concerned with assessing changes in people's livelihoods)?
4. **Organisational Structures** (i.e. do they have separate teams for evaluation, impact assessments, monitoring support etc.) Do they only rely on **programme monitoring systems** to capture livelihood impacts? If not, what other processes do organisations use? (what resourcing goes into this?)
5. How do organisations deal with the challenge of attribution?
6. **Dealing with Scale:** Do these organisations try to 'roll up' information from community to project to national to international level? If so, how? If they don't – what do they do instead? How do they deal with qualitative information in scaling up?
7. How do organisations balance the need for M&E systems to meet donor requirements and building a culture of learning and critical reflection?

#### **B. Global Frameworks / Indicator Sets for Livelihoods.**

1. Do organisations have global framework / common indicators at the organisational level? If so, what value does this provide? What are the advantages / disadvantages?

2. Do any organisations align themselves to global indicator sets such as the MDGs or national indicators sets? How does this work? What are the resource implications?

### **C. Complexity and Accountability**

1. How have organisations resolved the need for a balance between analysing the complexity and diversity of changes of peoples' livelihoods, and the need for simple, communicable information for upwards accountability? (e.g. disaggregation of impact etc.)
2. How do they provide for lateral and downwards accountability?

### **D. Resources and Capacity:**

1. How many resources do they invest in monitoring and evaluating changes in livelihoods? What factors influence this decision? (Staff, Skills (including training), Budget (%?), Time)
2. Are there capacity issues for carrying out such M&E systems? Are there incentives in place for staff to carry out M&E?
3. How do they deal with differences in capacity between countries?
4. Are there specific challenges for organisations implementing M&E systems when working through / with other partners?

### **E. Methods and Indicators:**

1. What methods and indicators have they found particularly useful at a community, project, programme, organisational level?

Think about:

- indicators for capturing material and non-material changes (empowerment, equity, rights).
- methods to capture changes in access to or benefit from natural resources or ecosystems services,
- use / promotion of participatory monitoring approaches

## Annex 2 Organisations and Individuals Contacted

Organisation	Name and role
CARE	Sarah Gillingham, Consultant, particularly regarding her work with CARE
	Michael Drinkwater, CARE USA
CARE Bangladesh	Eliza Islam and Mr Mehrul
IUCN	Alex Moiseev, Head of M&E, HQ
	Jeffrey Sayer
DFID	Penny Davies
WWF	Kate Studd
IMM	Jock Campbell
Practical Action	Barnaby Peacocke
AWF	Jo Elliott
Insight	Nick Lunch
Oxfam	James Stevenson
Birdlife	David Thomas
Consultant	Helen Suich

### Annex 3 Practical Methodologies

Category	Method
Community focus, participatory, community-defined indicators	<ul style="list-style-type: none"> <li>○ Participatory assessment, monitoring and evaluation</li> <li>○ Measuring empowerment</li> <li>○ Livelihood assets status tracking</li> <li>○ Wellbeing monitoring</li> </ul>
Community focus, participatory, no indicators	<ul style="list-style-type: none"> <li>○ Most significant change</li> <li>○ Participatory video</li> <li>○ Livelihood impact assessment</li> <li>○ Participatory livelihoods monitoring</li> </ul>
Community Focused, non participatory	<ul style="list-style-type: none"> <li>○ Standardised Household Survey</li> </ul>
Policy intervention, community focus, participatory indicators	<ul style="list-style-type: none"> <li>○ Participatory policy impact assessment</li> </ul>
Above programme focus, non participatory	<ul style="list-style-type: none"> <li>○ Landscape outcome assessment methodology</li> </ul>

**Type:** Community focus, participatory, community defined indicators

Name		Participatory Assessment, Monitoring and Evaluation(PAME)
Summary		<p>Participatory Assessment Monitoring and Evaluation (PAME) is based on the premise that it is the communities which are, 'ultimately, the final evaluators of project success or failure'. The primary focus is the information needs of the communities, while the secondary focus is on the information needs of the project. Monitoring and ongoing evaluation is based on key indicators which have been established by the community, who choose not only the questions but their own units of measurement and their own form of expression.</p> <p>A range of participatory tools are used such as: community environmental assessment, popular drama, participatory video evaluation, semi-structured interviews, ranking, rating and sorting, SWOT analysis. as well as farmer's own records, nursery record books, community financial accounts.</p>
Background		Developed by FAO and partners for community forestry in the late 90s , early 2000s within 6 forestry projects in E.Africa.
Focus of application to date	Output/outcome/impacts	Monitoring – outputs, Evaluation – outcomes, impacts
	Scale	Small-scale
	Scope	As guided by participants
	Participation	Community participation at heart of approach
	Up or down accountability	Downwards, and upwards if funder open to methodology
	Quantitative/ qualitative	Scope for quantitative and qualitative methods and data
	Indicator based?	Community-developed indicators
Potential application		Small projects, forestry and non- forestry sectors
Perceived strengths		As per other highly participatory methodologies, can increase the community's analytical skills and awareness of their problems, needs and priorities; the initiative is likely to be more sustainable because the communities are making the decisions for themselves.
Resources required		High staff input, strong facilitation and data analysis skills required
Perceived weaknesses / limitations		Time intensive, difficult to aggregate results because of context specific nature of them (and indicators), requires flexibility of the part of funders for results to be suitable for upward accountability

Further information	FAO, 1998, Community Forestry: Participatory Assessment, Monitoring And Evaluation <a href="http://www.fao.org/DOCREP/006/T7838E/T7838E00.HTM">http://www.fao.org/DOCREP/006/T7838E/T7838E00.HTM</a>
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**Type:** Community focus, participatory, community-defined indicators

Name		Measuring Empowerment
Summary		<p>A community-led approach to monitoring where members of a social movement explain what benefits they acquired from the Movement, and analysis leads to the creation of indicators.</p> <p>These measures, which are primarily and importantly of use to the Members, are then subject to analysis by project staff at the district and national level to provide convincing quantitative data which satisfies programme and donor demands. Analysis can be organised by age of group, geographical area, gender, or any other variable that is of interest to programme managers or donors.</p> <p>Indicators are annually reviewed. The qualitative indicators are discussed by all the group members, scored by a simple yes/no (happy face / sad face) system, noting examples to explain their achievements, leading to the group developing an action plan for the following year based on their analysis and scores.</p> <p>The indicators fall into 4 categories of empowerment (Political, Social, Economic, Capacity) and 3 ways that empowerment can show itself (Awareness, Confidence / Capability, Effectiveness / Self Sustaining).</p> <p>Each year a random selection of sites have independent observers – who can capture more detailed analysis of change, and check on the quality of the process.</p>
Background		<p>This was developed by a self starting grassroots social movement in Bangladesh. Members are activists , so groups tend to be self managing, and respond to issues (not funding). In this case the movement was established in the 1970s and only really attracted significant donor funding in the 1990s. There are now over 543,000 members in Bangladesh.</p>
Focus of application to date	Output/outcome/impacts	Outcome
	Scale	Local level data collection, district and national level analysis
	Scope	Measures around 4 categories of empowerment , see above
	Participation	Yes, driven by the Movement members
	Up or down accountability	Primarily for their own interest, but can also be quantified for donor/ others interests.

	Quantitative/ qualitative	Quantitative and qualitative
	Indicator-based?	Yes
Potential application		The self-starting social movement was critical to the success of the methodology and very different to a project situation. Some of the core elements are transferable e.g. of primary use for the community members themselves; the process is simple at the local level – not requiring lots of training of community members (other than to facilitate the process and collect scores); embedded in the groups own reflection and planning processes.
Perceived strengths		Community led – so meaningful to the community; A way of quantifying the results of qualitative data so information can be aggregated / analysed in different ways for different donors / purposes; one of the few comprehensive approaches to monitoring empowerment – a notoriously difficult issue to measure; the information / data collected is simple however complex quantitative analysis is possible; Analysis at the community level is carried out for the benefit of the group  More complex analysis is done away from the group facilitated without outsiders (groups do it themselves with a facilitator from a nearby movement group).
Resources required		Upfront investment of time / researchers to work with communities to analyse and define indicators. Reliant on very strong social capital, self organisation within the groups ; training needed for all groups on the method (but not too hard); resources needed by supporting organisations to manage the information coming in, apply quantitative analysis and report. Groups carry out analysis in approximately 3 hours, and notable that continue to put the time in to do this because they see it as worthwhile and valuable.
Perceived weaknesses / limitations		Time taken to establish system and define indicators; 132 indicators developed; substantial analysis of the data needed
Further information		<a href="http://quality.bond.org.uk/index.php?title=Measuring_Empowerment">http://quality.bond.org.uk/index.php?title=Measuring_Empowerment</a>

**Type:** Community focus, participatory, community-defined indicators (categorised around livelihood assets)

Name		Livelihood Asset Status Tracking
Summary		A method for tracking changes in the livelihood asset status of a large number of households. An assessment sheet is developed to help enumerators convert a range of locally relevant scores for each of the five livelihood capitals (natural, physical, financial, social, human) on which they base their livelihood strategies. It is intended to be rapid, able to cover a large number of households in a relatively short period of time.
Background		<p>Developed by the Indian Farm Forestry Development Co-operative (IFFDC) and applied within the Western India Rainfed Farming Project (Phase 2) funded by DFID.</p> <p>Current users include two of the Rural Support Programmes in Pakistan (PRSP &amp; NRSP) who are doing it on a much larger scale than has been tried before (recent survey sampled 4,000 households and expected to double within a year).</p> <p>Concern Universal also using it for a large food security and sustainable livelihoods programme in Malawi.</p>
Focus of application to date	Output/outcome/impacts	Outcomes and impacts
	Scale	Large-scale (with sampling in some instances)
	Scope	Main focus is livelihood assets and strategies
	Participation	Little, semi-structured interviews of households
	Up or down accountability	Upwards
	Quantitative/qualitative	Converts subjective qualitative assessments into quantitative scores
	Indicator-based?	Yes, combines SL assets with locally relevant means of assessment
Potential application		Large scale programmes where rapid quantitative assessment required
Perceived strengths		<p>The conversion of qualitative judgement into a scaled quantitative score facilitates aggregation and analysis over large sample numbers.</p> <p>Incorporation of indigenous with professional perspectives</p>
Resources required		Each household visit 20 minutes, training of enumerators needed particularly so make similar judgements in scoring, precise not know but described as not a

	high burden for projects.
Perceived weaknesses / limitations	High dependency on quality of LAST assessment sheet Judgement based for scoring
Further information	<p>Livelihood Asset Status Tracking (LAST): A Case From Rajasthan R. Bond and N. Mukherjee, 2001 Impact Assessment for Sustainable Development working paper 3, IDPM, Manchester University.  <a href="http://portals.wi.wur.nl/files/docs/ppme/Livelihood_asset_tracking_a_tool_for_impact_monitoring.pdf">http://portals.wi.wur.nl/files/docs/ppme/Livelihood_asset_tracking_a_tool_for_impact_monitoring.pdf</a></p> <p>Monitoring the Livelihood Platform: Reflections on the Operation of LAST Asset-Status Tracking Methods from India and Malawi, R.Bond, Prince H. Kapdondamgaga, B. Mwenebanda, R.P.S. Yadav, A Rizvi, Impact Assessment and Project Appraisal, 25 (4), December 2007</p>

Type: Community focus, participatory, community-defined indicators developed (categorised around nested spheres of poverty framework)

Name		Wellbeing Monitoring System
Summary		<p>This methodology was developed as part of an initiative to make local government more responsive to the poor. At the centre of it is developing a set of locally relevant poverty indicators within focus groups, which can be used as a baseline and later to monitor and evaluate changes through questionnaires.</p> <p>Underlying the approach and organisation of the indicators is the Nested Spheres of Poverty (NESP) model. In the NESP model, poverty and wellbeing are constituted by different spheres, or aspects of daily life. The central sphere of the model is subjective wellbeing. The core sphere of the model includes ‘basic needs’, such as food, health, housing and education, and individual capabilities (i.e. skills and physical condition) which are all aggregated into three categories: health, adequate wealth and knowledge (both formal and informal or traditional). These—and therefore indirectly also subjective wellbeing—are influenced by context spheres. By these we mean nature, economic, social and political aspects of life that directly or indirectly influence the core spheres. The context spheres, in turn, are influenced by infrastructure and services.</p> <p>The key steps of the process are: focus groups organised to decide upon locally relevant poverty indicators; these indicators are then organized by the monitoring team using the spheres of the NESP model; questionnaires (closed questions); sampling is carried out if necessary; the survey is carried out; analysis and presentation of data with findings resented to the communities to discuss accuracy.</p>
Background		<p>Part of a larger project entitled ‘Making local government more responsive to the poor: Developing indicators and tools to support sustainable livelihood development under decentralisation’.</p> <p>The project was carried out jointly by the Centre for International Forestry Research (CIFOR), the University of Freiburg and local partners in Indonesia and Bolivia to improve local governments’ efforts to reduce poverty of forest-dependent people. The German Ministry for Economic Cooperation and Development (BMZ) funded the project.</p>
Focus of application to date	Output/outcome/impacts	Outcomes, impacts
	Scale	Small-medium scale, large scale with sampling
	Scope	Broad, and categorised according to NESP model
	Participation	Limited , semi-structured interviews and then feedback

	Accountability	Upward
	Quantitative/ qualitative	Quantitative
	Indicator based?	Yes, locally relevant
Potential application	Transferable to different sectors, scales. The method is designed to be used by local governments, but local communities, NGOs or other user groups may also find them useful	
Perceived strengths	Local wellbeing monitoring systems are identified as having a number of advantages, including being less abstract, providing more detailed context specific data, being better linked to local development issues, and providing local government/ facilitators with a stronger sense of ownership for their monitoring system. As a quantitative tool, it has visual appeal with communications potential.	
Resources required	Strong facilitation and data analysis skills are needed	
Perceived weaknesses / limitations	Integrating local wellbeing monitoring systems into a national programme might be a challenge , best suits the needs and demands of the local government/ organisations	
Further information	Centre for International Forestry Research (CIFOR) 2007 Towards wellbeing in forest communities: A source book for local government. CIFOR, Bogor, Indonesia.  <a href="http://www.cifor.cgiar.org/sourcebook/part_two_tools/tool2_what_is_wellbeing_monitoring.html">http://www.cifor.cgiar.org/sourcebook/part_two_tools/tool2_what_is_wellbeing_monitoring.html</a>	

**Type:** Community focus, participatory, no indicators developed

Name		Most Significant Change
Summary		<p>The most significant change (MSC) technique is a form of participatory monitoring and evaluation. Essentially, the process involves the collection of significant change stories emanating from the field level, and the systematic selection of the most significant of these stories by panels of designated stakeholders or staff. The designated staff and stakeholders are initially involved by ‘searching’ for project impact. Once changes have been captured, various people sit down together, read the stories aloud and have regular and often in-depth discussions about the value of these reported changes.</p> <p>The steps include: introducing a range of stakeholders to MSC and fostering interest; identify the domains of change to be monitored (e.g. changes in people’s lives, changes in partnerships and networks); decide how frequently to monitor changes; stories collected from participants and field staff e.g. “during the last month, what was the most significant change that took place for the participants in the programme?”; respondents allocate stories to a particular domain; stories are analysed and then filtered up through levels of authority in the organisation selecting the most significant account of change within the domain; criteria are recorded; document with the stories selected is created; funders are asked to select those which most represent the outcomes they are working towards.</p>
Background		<p>It was developed within a participatory rural development programme in Bangladesh, run by the Christian Commission for Development in Bangladesh (CCDB), an NGO, which worked with more than 46,000 people in 785 villages. The large scale and open-ended nature of the activities posed a major problem for the design of any system intended to monitor process and outcome.</p> <p>Widely used since by various organisations including Oxfam, VSO, USAID, SIDA.</p>
Focus of application to date	Output/outcome/impacts	Outcomes and impacts
	Scale	Small to large scale (with sampling)
	Scope	Any aspect of people’s lives
	Participation	Yes, community and organisation participation
	Up or down accountability	Upward and downward

	Quantitative/ qualitative	Largely qualitative, but some quantification can take place (e.g. counting no. of specific times a particular change is recorded)
	Indicator-based?	No
Potential application		It is particularly suitable for programmes that are: complex and produce diverse and emergent outcomes, large with numerous organisational layers, focused on social change, an organisational culture where it is acceptable to discuss things that go wrong as well as success.
Perceived strengths		Helps to monitor the unexpected results, the intangible and the indirect consequences. Information is not stored or processed centrally, but is distributed throughout the organisation and processed locally. It enables identification of the values that prevail in an organisation and a practical discussion about which of those values are the most important. It is easy to communicate across cultures.
Resources required		Time-consuming, time to collect stories and regular meetings to select significant stories.
Perceived weaknesses / limitations		Time intensive therefore expensive, bias towards success, subjectivity in the selection process, bias towards the views of those who are good at telling stories, bias towards popular views; involves a sifting process – how representative are the final stories?
Further information		Davies, R and Dart, J., 2005, The 'Most Significant Change' (MSC) Technique: A Guide to Its Use <a href="http://www.mande.co.uk/docs/MSCGuide.pdf">http://www.mande.co.uk/docs/MSCGuide.pdf</a>

**Type:** Community focus, participatory, no indicators developed

Name	Participatory Video
Summary	<p>Participatory video (PV) is a method in which community members learn how to use video cameras and create short films. They tell their own story in their own words, giving a voice to the poor and marginalised. These videos are shown in the community and beyond - so that local knowledge and experience can be shared with other communities, as well as with scientists, decision makers and policy on a local, national and global level.</p> <p>The process normally comprises: Participants rapidly learn how to use video equipment through games &amp; exercises; facilitators help groups identify &amp; analyse important issues in their community by adapting a range of PLA-type tools with Participatory Video techniques; short videos &amp; messages are directed &amp; filmed by participants; footage is shared with the wider community at daily screenings; a dynamic process of community-led learning, sharing and exchange is set in motion; communities are involved to varying degrees in editing their films, but they always have full editorial control.</p> <p>For monitoring and evaluation purposes, PV has been used to evaluate PV projects for example , participants are asked to lead the evaluation process. After working out three or four core questions, these individuals go out with a video camera and microphone, and interview groups and individuals around the village to record their responses to the final film and to the project in general.</p> <p>PV has increasingly been used as a tool within Most Significant Change.</p>
Background	<p>In Nov/Dec 2005, Insight combined Participatory Video with stories of Most Significant Change in order to evaluate the last five year's work of the Development Research Centre on Citizenship, Participation and Accountability (Citizenship DRC) an international network of researchers and practitioners from Angola, Bangladesh, Brazil, India, Nigeria, South Africa and the UK.</p> <p>Insight worked in 2008/2009 with Rick Davies using Most Significant Change for the African Development Bank in five different countries in Africa.</p> <p>Insight and Practical Action - improving monitoring/learning processes. Used Stories of change/ MSC combined with PV in December 2007 with a workshop in Sri Lanka that involved the Sri Lanka, Bangladesh and Nepal IA2 teams. The idea was -o find out how PV could help them improve the process of gathering the</p>

		stories and finding out the most significant changes happening in our projects. Helped by Insight. Not evaluated in rigorous way yet
Focus of application to date	Output/outcome/impacts	Can be any dependent upon what the film-makers decide to focus upon
	Scale	
	Scope	Participants are telling their own stories in their own voices so it depends upon what they focus upon
	Participation	Yes
	Up or down accountability	Potentially both
	Quantitative/ qualitative	Largely qualitative, but as with MSC the qualitative can be quantified e.g. counting no. of specific times a particular change is identified
	Indicator-based?	No
Potential application		Transferable to all situations
Perceived strengths		Values local knowledge; builds bridges between communities and decision-maker; accessible to all participants, irrespective of literacy or background, Not time intensive – can take the camera to places and film (rather than expecting people to attend a workshop). For MSC in particular, it can make the stories more accessible to all kinds of audiences, and to all parts of the communities themselves, including children, the elderly and the non-literate.
Resources required		Investment in buying and leaving the equipment a 2 year process in which to support communities. Generally initial training of 10 days £5-8000; second stage less than a week for peer review <£5,000
Perceived weaknesses / limitations		The technical side is challenging. The expense of the equipment has meant that in some cases NGOs have bought the equipment but not made it as accessible to communities as should be the case.
Further information		<a href="http://www.insightshare.org/">http://www.insightshare.org/</a> Insight Developing a toolkit for PV and stories of change – see Lurch, N., and C., 2006, Insights into Participatory Video: A Handbook for the Field <a href="http://www.insightshare.org/pdfs/handbook/full%20book.pdf">http://www.insightshare.org/pdfs/handbook/full%20book.pdf</a> MSC: using participatory video for monitoring and evaluation - PLA Notes, Vol 56, No. 1, June 2007 <a href="http://www.insightshare.org/pdfs/PLA%20PV%20ARTICLE%2007.pdf">http://www.insightshare.org/pdfs/PLA%20PV%20ARTICLE%2007.pdf</a> Practical Action experience of Participatory Video <a href="http://www.insightshare.org/case_study_msc.html">http://www.insightshare.org/case_study_msc.html</a> and <a href="http://www.iied.org/NR/agbioliv/pla_notes/current.html">http://www.iied.org/NR/agbioliv/pla_notes/current.html</a>

**Type:** Community focus, participatory, no indicators developed

Name		Livelihood Impact Assessment
Summary		Incorporates key concepts of the sustainable livelihoods approach into methods for assessing impact. Three key themes are explored: an overview of livelihood strategies and priorities; the various impacts of the projects on livelihoods; differences between stakeholders in livelihood impacts. A range of data is used – existing literature, participatory assessment of livelihood issues and impacts, semi-structured interviews, participatory workshops/ group meets, household surveys, memories, observation.
Background		African Wildlife Foundation  Used to assess the impact of wildlife enterprise projects in E Africa, alongside commercial and financial impact.  Used within AWF interventions still, adapting to different contexts. Now includes a sampling size (not written up yet)
Focus of application to date	Output/outcome/impacts	Outcomes, impacts
	Scale	Small scale
	Scope	Aspects of livelihoods as above
	Participation	Yes, allows for community and stakeholder participation
	Upward or downward accountability	Upward, scope for being downward if appropriate participatory methods used
	Quantitative/ qualitative	Wide range of qualitative and quantitative techniques can be used
	Indicator based?	No
Potential application		Other small scale project
Perceived strengths		Tool for exploring complex impacts at the local level as well as identifying macro level influences and links between them  Understanding of livelihoods likely to explain why groups do or do not participate
Resources required		Requires inter-disciplinary skills, strong analytical and facilitation

	skills. High on staff (and possible consultancy input).
Perceived weaknesses / limitations	<p>Complex in terms of scope, data generated and analysis</p> <p>Unlikely to provide clear, quantifiable results that are generalisable</p> <p>Does not include gender, empowerment, rights – aspects not explicit in sustainable livelihoods framework</p> <p>Results unlikely to be comparable across projects</p>
Further information	<p>Developing methodologies for livelihood impact assessment. Experience of the African Wildlife Foundation, ODI <b>Working Paper 129</b> <a href="http://www.odi.org.uk/resources/odi-publications/working-papers/129-livelihood-impact-assessment-wildlife-foundation-east-africa.pdf">http://www.odi.org.uk/resources/odi-publications/working-papers/129-livelihood-impact-assessment-wildlife-foundation-east-africa.pdf</a></p>

Type: Community focus, participatory, no indicators developed

Name		Participatory Livelihoods Monitoring
Summary		<p>The methodology takes a livelihoods and systems approach to analyse and capture how project interventions have affected people's livelihood situations. It starts by assessing the livelihood situation of the poor and its trends and changes. In a second step the method strives to assign effects of certain interventions or activities to the observed changes in the livelihood situation. Data collection is at the village level,</p> <p>The most critical part for the success of the data collection in the villages is the setting up of focus groups. Methods are used in the following sequence: timeline and Identification of Livelihood Factors; a plenary session to identify the "livelihood factors" which shape the village situation; trend analysis assessing the trend of each of the livelihood factors during the selected time period with scoring; and then at a later stage an assessment of what influence a certain (project) activity have on each of the livelihood factors.</p> <p>A specially designed aggregation tool, which can be applied at the end of data collection,(and after the analysis of individual village situations) provides monitoring results for higher administrative levels.</p>
Background		It was developed within a research study in Cambodia on agricultural activities, poverty and food security, tested in eight villages funded by FAO's Livelihood Support Programme.
Focus of application to date	Output/outcome/impacts	Outcomes, impacts
	Scale	Small-scale (or sampling over larger scale)
	Scope	Livelihood situations, factors, outcomes
	Participation	Community participation
	Accountability	Upward and downwards accountability
	Quantitative/ qualitative	Largely qualitative but places an estimation on the importance of livelihood factors to participants.
	Indicator-based?	No
Potential application		Small-scale, transferable to other sectors
Perceived strengths		Simple, down-to-earth, fast, and reliable methodology. The method is oriented towards open results. It is suitable for complex situation,

	and can be quickly applied a year later to follow-up on an already assessed situation.
Resources required	Requires high level of facilitation and data analysis skills
Perceived weaknesses / limitations	The set-up of groups in the villages is crucial for reliability of results: needs to be representative in terms of power, gender, age etc.  The method needs good facilitation skills.
Further information	Strele, M., Höltge, K., Fiebiger, M., Were, J., Schulmeister, A., 2006, <b>Participatory Livelihoods Monitoring</b> Linking Programmes and Poor People's Interests to Policies Experiences from Cambodia, FAO Livelihood Support Programme  <a href="ftp://ftp.fao.org/docrep/fao/009/ah455e/ah455e00.pdf">ftp://ftp.fao.org/docrep/fao/009/ah455e/ah455e00.pdf</a>

Type: : Community focus, participatory, externally defined indicators

Name		Standardised Household Survey
Summary		<p>A standardized survey often on a sampled selection of Households within in project area, where participants respond to a standard set of questions. These questions usually designed to generate a basic understanding of who lives in a household, what assets the household has access to, as well as to answer more specific questions that relate to a project or programme such as perceptions, costs, benefits etc.</p> <p>Data can be quantified and analysed against different variables (e.g. age, sex, household size, income level, education level) to give a detailed picture of how different social groups are affected by an initiative.</p> <p>A household survey is most effective when accompanied by qualitative analysis of change such as focus group or other qualitative methodologies. Household Surveys are good at discovering WHAT has changed, however they can only show correlations between factors, and do not explain WHY change happens.</p>
Background		This is a standard survey tool used for baseline and evaluation studies in development projects and programmes
Focus of application to date	Output/outcome/impacts	Outcome / Impact
	Scale	Through purposive or random sampling, this can take place over large areas. Data generated informs about change at the household level.
	Scope	Inter and intra household level changes, perceptions,
	Participation	Design of the survey instrument can be informed by community focus groups therefore
	Accountability	Mainly upwards
	Quantitative/ qualitative	Quantitative although some qualitative questions can be included in the survey design
	Indicator-based?	Surveys tend to be designed to meet the requirements of pre-set indicators, but can also show correlations between other factors
Potential application		Can be adapted for most contexts.

Perceived strengths	Rigorous, statistical, large areas can be covered, can be repeatable over time
Resources required	Can be expensive because of time taken to collect and particularly analyse the data. Needs trained data collection teams
Perceived weaknesses / limitations	Ethical issues with asking personal information of people, Extractive approach, Participant's time, often a lot of data is collected which is not well analysed,
Further information	

Type: Policy intervention, community focus, participatory

Name		Participatory Policy Impact Assessment
Summary		<p>The methodology focuses upon assessing and monitoring the impacts of the changes in policy on the livelihoods of people. In essence it explores what poverty means to the community, and how effective policies are in reducing poverty. It is designed to be participatory, transparent, working with stakeholders at different levels and livelihoods focused.</p> <p>Steps taken include: meeting with local consultative groups (concerned departments, and organizations) to understand macro policy context; meeting with local sectoral consultative groups (sectoral govt agencies and NGOs) to understand the sector and stakeholder groups involved; Stakeholder focus group discussions with households to understand what poverty means to them and effects of a policy on reducing poverty; data analysis and review.</p>
Background		The methodology was developed when DFID asked IMM consultancy to work with the Cambodian government to develop a replicable methodology for assessing and monitoring the impacts of the changes in fisheries policy on the livelihoods of people involved in the use of fisheries resources and on the institutions concerned.
Focus of application to date	Output/outcome/impacts	Outcomes and impacts
	Scale	On groups of households (but could be broader)
	Scope	Poverty as defined by the local community
	Participation	Community and other stakeholders participation
	Up or down accountability	Upward
	Quantitative/ qualitative	Data generated is largely qualitative, and then quantified
	Indicator based?	Yes
Potential application		Small-scale, also larger scale with sampling
Perceived strengths		It provides a relatively rapid, replicable and objective assessment of the impacts of the policy reforms. It is relatively straightforward to implement and does not consume a lot of time
Resources required		Not time intensive, good facilitation skills needed

Perceived weaknesses / limitations	<p>For some a limitation could be that it does not provide hard statistical data but more trends about the directions of people's livelihoods. Requires significant trust (so that not perceived as government control). Policy analysis of one policy, but in reality inter-related with other policies.</p> <p>Needs to be approached carefully in situations of political sensitivity and/or where people may not be aware of the policy context.</p>
Further information	<p><a href="http://fia.maff.gov.kh/twgf">http://fia.maff.gov.kh/twgf</a>  Manual to be available soon</p>

Type: Above programme focus, non participatory

Name	<b>Landscape Outcomes Assessment Methodology</b>
Summary	<p>The Landscape Outcomes Assessment Methodology (LOAM) aims to measure, monitor and communicate the nature and extent to which a landscape is changing over time with respect to a small number of agreed conservation and livelihood outcomes. Data is collected against the various assets of the sustainable livelihoods framework (natural, physical, human, financial, social). It is designed to capture the data on Excel tables which can then be displayed in terms of a star diagram that illustrates the various assets diagrammatically.</p> <p>The focus is upon working with others (who are involved in work in the landscape area) to track the nature and extent to which conservation and other interventions are having an impact at a landscape scale. It is not about monitoring and evaluation of individual projects and tracking the direct impacts of interventions</p> <p>The stages are :</p> <ol style="list-style-type: none"> <li>1) <u>Define the landscape (it may already be defined)</u></li> <li>2) <u>Identify a multi-stakeholder group covering all parties with interests in the landscape:</u> The group should include not only WWF conservation partners but also other interest groups (e.g. social development NGOs, Government representatives from key sectors, private sector, and local community groups), some of whom may have very different visions for the future of the landscape.</li> <li>3) <u>Convene a meeting/workshop of the multi-stakeholder group:</u> try to gather as many representatives from the group above as possible to an initial workshop</li> <li>4) <u>Explore scenarios for the landscape:</u> This is a facilitated multi-stakeholder process, of things that would constitute for them the worst possible future of the landscape and those things that would constitute the best possible future for the landscape. The “drivers of change” or external factors that will influence the future of the landscape are then discussed.</li> <li>5) <u>Facilitate a discussion of indicators of landscape-level outcomes:</u> encourage a discussion with all the stakeholders of what would be indicators of “improvements” in the landscape. Flashcards can be used, with stakeholders writing their own list of indicators of progress in the landscape, which are then brought together and grouped on a board around shared themes or ideas. This process can take several days and involve field visits etc. It will link closely to the historical analysis, drawing and modelling.</li> </ol> <p>Once there is general agreement on ideas for indicators, a more formal discussion guided by the points below takes place. Indicators are listed on an excel spread sheet under the five categories of the sustainable livelihoods framework (natural, physical, human, financial, social). 5 indicators are selected for each of these asset</p>

		<p>categories, and the scoring of indicators (i.e. what state the indicator would be in to get a score of 1, 2, 3 etc.) Current scores for each indicator are then agreed.</p> <p>6) Compile a first baseline using the initial set of agreed indicators: 7) Facilitate Regular Assessment and Debate:</p>
Background		<p>LOAM has been used by WWF, and also generated interest with other partners including the Center for International Forestry Research (CIFOR), Ecoagriculture Partners and IUCN</p> <p>The most developed use of LOAM to date is in the Congo Basin where annual workshops focused around the Tri-National de la Sangha landscape, have taken place in CAR, Cameroon, and the Republic of Congo. Workshops and follow-up work is ongoing in both Kenya, and Tanzania.</p>
Focus of application to date	Output/outcome/impacts	Outcomes
	Scale	Landscape scale
	Scope	Within livelihoods area, the focus is upon changes in assets
	Participation	Participation of stakeholders, not communities
	Up or down accountability	Upward
	Quantitative/ qualitative	Quantitative, and trace livelihood assets on to diagram
	Indicator-based?	Yes
Potential application		By definition, the focused upon landscape , means that it cuts across more than one sector e.g. might include agriculture/forests, water, energy, social development, industry etc.
Perceived strengths		Worked well as a facilitation aid and to clarify the thinking of conservationists on the impact of their work on livelihoods
Resources required		Strong facilitation skills, cost?
Perceived weaknesses / limitations		Quantification is difficult and inter-site comparison not easy without a big investment in time
Further information		Aldrich, M., Sayer, J., 2007, In Practice: Landscape Outcomes Assessment Methodology, WWF Forests for Life Programme <a href="http://assets.panda.org/downloads/loaminpracticemay07.pdf">http://assets.panda.org/downloads/loaminpracticemay07.pdf</a>

## Annex 4: Social Analysis Toolkit, Five Areas of Enquiry (World Bank)

### Social Analysis Applied to A Social assessment

Table 3: A full Social Assessment requires attention to the following social dimensions of the NRM project

<b>Social diversity and gender</b>	<ul style="list-style-type: none"> <li>How are beliefs, norms, and behaviors related to NRM influenced by socio-cultural variations?</li> </ul>
	<ul style="list-style-type: none"> <li>What is the ability of different stakeholder groups (race, class, ethnicity, caste, religion, gender, and age) to take full advantage of project benefits?</li> </ul>
	<ul style="list-style-type: none"> <li>What are the natural resource management problems, and how relevant are they from a gender perspective?</li> </ul>
	<ul style="list-style-type: none"> <li>What are the roles of men and women in natural resource use? What are the rights of men and women in their household/community?</li> </ul>
	<ul style="list-style-type: none"> <li>Who values a particular resource and why?</li> </ul>
	<ul style="list-style-type: none"> <li>How would the project benefit men and women differently?</li> </ul>
	<ul style="list-style-type: none"> <li>How would any adverse impacts of the project affect men and women?</li> </ul>
	<ul style="list-style-type: none"> <li>What incentives can be provided for communities to address inclusion of poor and marginalized groups?</li> </ul> <p>Outputs of this analysis will facilitate in designing project activities to address gender issues, such as maximizing participation of both women and men, reducing gender inequities in the distribution of project benefits, and establishing indicators for project monitoring and evaluation.</p>
<b>Institutions, rules, and behavior</b>	<ul style="list-style-type: none"> <li>How do formal and informal institutions regulate natural resource control and access in the project area? What are the formal and informal rules that regulate relationships among different stakeholders?</li> </ul>
	<ul style="list-style-type: none"> <li>What are the skill/capacity differentials of and within each institution?</li> </ul>
	<ul style="list-style-type: none"> <li>What are the natural resource management problems of the project area?</li> </ul>
	<ul style="list-style-type: none"> <li>What resource ownership and access regimes are in place in the project area?</li> </ul>
	<ul style="list-style-type: none"> <li>Are there competing and overlapping claims to land and natural resources? Have these claims resulted in conflicts?</li> </ul>
	<ul style="list-style-type: none"> <li>What institutions mediate conflict related to natural resource use in the project area? What institutional arrangements can be made to manage conflicts that are likely to be triggered by the project?</li> </ul> <p>Findings of this assessment would reveal if the existing incentive structures are compatible with the stated objectives of the project. If they are not, appropriate adjustments can be made in the project design.</p>

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<b>Stakeholders</b>	<ul style="list-style-type: none"> <li>Who owns the resources?</li> </ul>
	<ul style="list-style-type: none"> <li>Who depends on resources, and for what?</li> </ul>
	<ul style="list-style-type: none"> <li>What are the roles, needs, and interests of each natural resource user group (men, women, and youth; indigenous, ethnic, and tribal groups; and user and other economic activity groups)?</li> </ul>
	<ul style="list-style-type: none"> <li>What are the current patterns of natural resource use and management in the project area? What kinds of patterns existed in the past?</li> </ul>
	<ul style="list-style-type: none"> <li>What are the likely trends in future natural resource management and use (that is, in the absence of any interventions)?</li> </ul>
	<ul style="list-style-type: none"> <li>What are the distinct natural resource use patterns and trends of the poor and vulnerable groups in the area?</li> </ul> <p>A stakeholder matrix would enumerate the project stakeholders and their stakes in the proposed project. The information drawn from this assessment would facilitate in designing activities that target project benefits to all the natural resource user groups, including poor and marginalized groups.</p>
<b>Participation</b>	<ul style="list-style-type: none"> <li>What are the traditional and customary forms of participation in the project area? Are certain groups excluded from community activities in the project area?</li> </ul>
	<ul style="list-style-type: none"> <li>What incentives and mechanisms are needed to encourage participation of excluded groups?</li> </ul>
	<ul style="list-style-type: none"> <li>How do the intermediaries – local leaders, village chiefs, officials – interact with poor and marginalized groups in the project area?</li> </ul>
	<ul style="list-style-type: none"> <li>What is the likelihood of elite capture of the project benefits and how can such a situation be avoided?</li> </ul>
	<ul style="list-style-type: none"> <li>What mechanisms can be set up in the project to disseminate information to and channel any grievances of the community members?</li> </ul>
	<ul style="list-style-type: none"> <li>What are other constraints and opportunities for participation in the project activities?</li> </ul> <p>The most common output of this assessment is a participation and consultation plan or framework. The content and objectives of the framework depend on the mix of stakeholders. The NRM project may need a plan that puts an emphasis on engaging a broad range of stakeholders through regional policy dialogues, donor coordination meetings, multi-stakeholder workshops, and the circulation of issues or position papers.</p>
<b>Social risk</b>	<ul style="list-style-type: none"> <li>What are the short and long term risks that different stakeholder groups are likely to face because of the project intervention?</li> </ul>
	<ul style="list-style-type: none"> <li>What are the threats to the success of the proposed project intervention?</li> </ul> <p>The most common output here is a risk management or mitigation plan that ensures inclusion of vulnerable groups (e.g., women, herders, and youth) in the decision-making process.</p>

Table 5: A proper evaluation of NRM project outcomes requires attention to the following social dimensions of the NRM project

Evaluation of the implementation process	<ul style="list-style-type: none"> <li>The questions that were asked during the pre-approval social analysis need to be revisited to provide a final evaluation of the extent to which plans to integrate social dimensions into NRM project activities and processes were successful.</li> </ul>
Evaluation of project outcomes and impacts related to social diversity and gender	<ul style="list-style-type: none"> <li>To what extent was the project effective in addressing social diversity and gender issues?</li> </ul>
	<ul style="list-style-type: none"> <li>Was the project successful in including indigenous peoples, women, and other marginalized groups in the project activities?</li> </ul>
Evaluation of project outcomes and impacts related to institutions	<ul style="list-style-type: none"> <li>Did the project increase transparency, equity, and responsiveness in the formal and informal institutional and organizational structures of the project area?</li> </ul>
Evaluation of project outcomes and impacts related to stakeholders	<ul style="list-style-type: none"> <li>Have the intended project benefits been provided to all stakeholders, particularly to marginalized groups within the larger community?</li> </ul>
Evaluation of project outcomes and impacts related to participation	<ul style="list-style-type: none"> <li>Did the project increase community capacity to work together to achieve common goals and reconcile differences of interest?</li> </ul>
Evaluation of project outcomes and impacts related to social risk	<ul style="list-style-type: none"> <li>How sustainable are the social development outcomes likely to be after project completion? What aspects of the local, regional, or national environment are likely to increase or decrease the likelihood that these changes will be institutionalized within the communities involved?</li> </ul>