Beyond the Hammer

• When the usual solutions aren’t working
  – Asks “Why?”
  – Helps identify solutions better fit to the context
USAID’s APPLIED PEA Framework

Level of Focus: Country, Sector, or Problem/Issue Level

- Purpose Identified
  - PEA Objective and Scope
- Foundational Factors
  - Geography, History, Society, Economy, Politics
- Rules of the Game
  - Formal Rules, Informal Norms and Institutions
- Here and Now
  - Impact of Current Events
- Dynamics
  - Observed or Potential Change in any of the Above
RECENT APPLIED PEAs

- Madagascar
- Colombia
- Ukraine
- Indonesia
- Tanzania
- Uganda
- Kenya
- DR Congo
USING PEA FINDINGS TO SUPPORT PROGRAMMING
But how do you take the longer road the right way?

• Formal literature reviews are worth the time
• Getting the team on the same page in country
• Nightly team synthesis and strategy
• Mission’s need to be involved
PUTTING PEA IN A BIODIVERSITY CONTEXT: USAID’S BIODIVERSITY POLICY AND BIODIVERSITY PROGRAMMING TOOLS

Hadas Kushnir
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Presentation Overview

- USAID’s Biodiversity Policy
- Biodiversity Programming Tools
- How PEA fits in
- Example from Uganda
The Biodiversity Policy

**Vision:** To conserve biodiversity for sustainable, resilient development

**Goals:** 1) conserve biodiversity in priority places, and 2) integrate biodiversity as an essential component of human development
USAID Biodiversity Code

- The program must have an **explicit biodiversity objective**
- Activities must be identified based on an **analysis of drivers and threats** to biodiversity and a corresponding theory of change
- Site-based programs must have the intent to positively impact biodiversity in **biologically significant areas**
- The program must **monitor indicators associated with a stated theory of change** for biodiversity conservation results
Biodiversity Programming Tools

MEASURING IMPACT (MI)

And

The OPEN STANDARDS for the PRACTICE of CONSERVATION
Tools

- Situation models
- Results chains to depict theories of change
- Outcomes and indicators for monitoring, evaluation and learning

https://rmportal.net/biodiversityconservation-gateway
What is a Situation Model and Context/Problem Analysis?

A situation model is a diagram that portrays the context or problem analysis.

A context or problem analysis is an assessment of the major forces (direct threats, drivers, opportunities) that are influencing biodiversity and the causal relationships among those forces.
Situation Model
What is a Results Chain and Theory of Change?

A results chain is a box-and-arrow diagrammatic representation of a theory of change.

A theory of change is a description of the assumed causal relationships among a strategic approach and multiple levels of expected results. It can be presented in text or diagrammatic form or both.
Biodiversity Programming Tools

Situation Models
• Organize and document thinking
• Identify assessments needed
• Make causal relationships explicit
• Communication tool
• Identify potential strategic approaches
• Assist program adaptive management

Results Chains
• Prioritize strategic approaches
• Focus on results, not actions
• Articulate the theory of change
• Document assumptions
• Define the expected results
• Help test theories of change
PEA Can Help To:

- Understand power dynamics and political drivers of threats
- Identify promising strategic approaches
- Identify key reformers
- Test, clarify and minimize assumptions
- Identify why actions are not leading to intended results
- Foster adaptive management
- Foster interdisciplinary approach
Uganda PEA

- Used in the pre-design stage
- Used problem analysis to identify PEA questions
- Used the PEA to refine the situation model
- PEA will also feed into selecting strategic approaches and theory of change development
Takeaways:

• Situation model can help articulate clear questions for the PEA
  
  – PEA team appreciated having a situation model as a reference for context

• Kick-started a discussion on how PEA and design tools can be optimally used together for enhanced programming
THANK YOU!
Hadas Kushnir, hkushnir@usaid.gov
Political Economy Analysis and Biodiversity Conservation

Guidance for strengthening programming in the context of extractive industries
USAID’s Applied PEA Framework

• What is working well locally and why?
• Who are the local actors who can drive change forward?
• How are incentives and motivations shaping the behavior of local actors?
• What change processes can drive collective action toward more productive development outcomes?
Why Case Studies on Extractives?

- **Extractives** present a challenge for biodiversity
- **Revenues** on par with or exceeding development aid
- **Compete** with ecotourism, local livelihoods, long term food security, and ecosystem services
- Easy for **target for rent seeking behavior**
Biodiversity and Extractives

- Resource extraction is linked to both direct and indirect biodiversity threats:
  - Wildlife trafficking and bush meat trade
  - Resource depletion (Forest loss, collapse of fisheries, habitat destruction)
  - Violent land dispossession; conflicts over resources and customary rights
  - Corruption and criminal syndicates related to power and capital accumulation
How is PEA Useful for conservation planning

- Who owns what?
- Who does what?
- Who gets what?
- What do they do with it?
PEA promotes a 3-D threats analysis model to improve biodiversity programming outcomes.
Three PEA Case Studies on Biodiversity and Extractives in Africa

- Oil Development in Uganda
- Fishing in Madagascar
- Artisanal Gold Mining in the Democratic Republic of the Congo
Oil Development in Uganda

Caveat: Impacts are not always so visible
Oil Development in Lake Albert Region of Uganda
Parks and Protected Areas with Significant Biodiversity
Uganda’s Lake Albert: Case Study Focal Area
PEA Findings Uganda Case Study

• Prospective values of land led to new titling practices empowering local elites
• Local governments lack resources and accountability to control it
• Parallel governance structures created to facilitate rent seeking
• Land use planning and titling practices will lead to further land displacements in the oil production phase unless addressed.
Uganda PEA Recommendations

• Shift the power balance to favor local communities and local governments
• Improve data collection through support of government technical capacity
• Support coalitions already active in land use planning.
• Work through existing programs on tenure literacy.
• Engage CSOs in strengthening livelihoods and scaling up opportunities.
Madagascar Fisheries and Marine Biodiversity
Marine Biodiversity and Fisheries in Madagascar

• Overfishing and IUU fishing has led to decline of fisheries: implications for marine biodiversity and food security

• A national network of Locally Managed Marine Areas (LMMAs) called MIHARI has been working since 2012 to address these threats

• In 2014, President pledged to triple Marine Protected Areas with explicit recognition of LMMAs and MIHARI

• Institute of Marine Science and Marine Biodiversity NGOs working with private sector to support local livelihoods in some parts of the country

• High levels of political instability, corruption, poverty, and malnutrition
Madagascar Research Sites

Northeast: Bay of Antongil--MaMaBay
Research Sites (cont.)

Southwest around Tuléar
Madagascar PEA Findings

• **Formal management arrangements** for LMMAs bolster effectiveness but internal LMMA functions needs support.

• USAID’s ability to address IUU fishing, malnutrition, and food security at the national level is limited but it can address them **locally**.

• **Scaling up alternative (non-fishing) livelihoods** is critical.

• **Conflicts** between traditional and commercial fishers need to be addressed.

• **Private sector role** key in addressing **criminality and patronage networks related to trafficking and IUU fishing**.
Madagascar PEA Findings and Recommendations

- *Dina*, or customary law plays a central role in LMMAs but need to strengthen local institutions through the MIHARI Network.

- LMMAs limited capacity to enforce rules on outsiders, particularly powerful ones (political elite, armed bandits)—conflicts have livelihood and food security implications.

- Power inequalities between traditional and commercial fishers difficult to resolve.

- Building conflict resolution capacity goes hand-in-hand with enforcement capacity.

- Specific attention to livelihoods is needed.
Artisanal Gold Mining in Kahuzi-Biéga National Park, Eastern DRC
Armed Groups Active in Kahuzi-Biéga National Park
CARPE Landscape provides a network of protected areas and community reserves offering a broader range to wildlife.
PEA findings & recommendations for DRC

• Demobilization and security measures to address long standing grievances
• Tax harmonization could reduce incentives for illicit mineral exports
• International and national strategies to address conflict minerals need to include wildlife and environmental protections
• Broad-based coalition building is needed to bridge the gap between National Park and civil society groups

➢ These problems go beyond the scope of conservation programming.
PEA recommendations for DRC Case study

- Broad-based coalitions to work with researchers to determine legitimate grievances and specific local solutions.
- CARPE should create a space for the GDRC and stakeholders to reimagine the park in ways that can better protect gorillas and support communities.
- New community reserves can enhance local ownership of resources.
- Continued support for mining certification processes and increased support for the enforcement capacity of anti-fraud units, international measures, etc. to reduce smuggling.
- Design long-term power and economic growth programs to address livelihoods outside the park and alternative protein sources.
What have we learned?

- USAID’s PEA framework provides a structure for understanding indirect but credible threats to biodiversity—for example, resources conflicts.
- PEA helps place specific resource governance challenges into context.
- PEA can identify new allies or coalitions by thinking about a problem differently.
- PEA can highlight opportunities for improving transparency, accountability, tax and policy reform initiatives that ordinarily lie outside the scope of biodiversity programming.
Thank you!