

FINAL EVALUATION
COASTAL EAST AFRICA GLOBAL
INITIATIVE (FY11-FY15)
WWF

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ACRONYMS

| | |
|---------|---|
| AfDB | African Development Bank |
| ALES | Africa Land Use Planning and Early Warning System |
| AU-IBAR | African Union – Inter-African Bureau for Animal Resources |
| BMT | Benchmarking and Tracking Tool (under MSC) |
| BMU | Beach Management Unit |
| (C)APMS | (Country) Action Plan Monitoring System |
| CAP | Country Action Plan |
| CBNRM | Community Based Natural Resources Management |
| CC | Conservation Committee |
| CCA | Climate Change Adaptation |
| CCVA | Climate Change Vulnerability Assessment |
| CDM | Clean Development Mechanism |
| CEA | Coastal East Africa |
| CEAI | Coastal East Africa Initiative (same as CEA GI) |
| CEA GI | Coastal East Africa Global Initiative (same as CEAI) |
| CHF | Swiss Franc |
| CIFOR | Center for International Forestry Research |
| CO | Country Office |
| CP | Conservation Plan |
| CSI | China Shift Initiative |
| CSO | Civil Society Organisation |
| EAC | East African Community |
| EACF | Eastern Africa Coastal Forest Ecoregion |
| EAF | Ecosystem Approach to Fisheries |
| EAME | Eastern Africa Marine Ecoregion |
| EAMFE | Eastern Arc Mountain Forest Ecoregion |
| EAWS | East African Wild Life Society |
| EIA | Environmental Impact Assessment |
| ESARP | East and Southern Africa Programme |
| ESARPO | East and Southern Africa Programme Office |
| FOCAC | Forum on China-Africa Cooperation |
| FSC | Forest Stewardship Council |
| FY | Fiscal or Financial Year |
| GAA | Government Aid Agencies |
| GI | Global Initiative |
| GPF | Global Programme Framework (WWF) |
| HCVA | High Conservation Value Area |
| IOTC | Indian Ocean Tuna Commission |
| KCO | Kenya Country Office |
| KPI | Key Performance Indicator |
| LF | Logical Framework |
| LGHR | Livelihood, Gender and Human Rights |
| MCDI | Mpingo Conservation & Development Initiative |
| MCO | Mozambique Country Office |

| | |
|--------|---|
| MCS | Monitoring, Control and Surveillance (in fisheries) |
| M&E | Monitoring and Evaluation |
| MEL | Monitoring, Evaluation and Learning |
| METT | Management Effectiveness Tracking Tool |
| MoU | Memorandum of Understanding |
| MSC | Marine Stewardship Council |
| MSY | Maximum Sustainable Yield |
| MTC | Minimum Terms and Conditions |
| MTR | Mid Term Review |
| MWIOPO | Madagascar and West Indian Ocean Programme Office |
| NET | Network Executive Team |
| NGO | Non Governmental Organisation |
| NO | National Office |
| NR | Natural Resources |
| PA | Protected Area |
| PFM | Participatory Forest Management |
| PPMS | Conservation Project and Programme Management Standards |
| PPR | Project and Priority Programme Technical Report |
| REDD | Reduced Emissions from Deforestation and forest Degradation |
| ROA | Regional Office for Africa |
| SADC | Southern African Development Community |
| SAGCOT | Southern Agricultural Growth Corridor of Tanzania |
| SD4C | Sustainable Development for Conservation (WWF team) |
| SEA | Strategic Environmental Assessment |
| SET | Shareholder Executive Team |
| SFM | Sustainable Forest Management |
| SHG | Share Holder Group |
| SP | Strategic Plan |
| SLA | Service Level Agreement |
| SWIO | South West Indian Ocean |
| TCO | Tanzania Country Office |
| TL | Team Leader |
| TNRF | Tanzania Natural Resource Forum |
| ToC | Theory of Change |
| TPR | Technical Progress Report |
| UNDP | United Nations Development Programme |
| UNEP | United Nations Environment Programme |
| VLFR | Village Land Forest Reserve |
| VMS | Vessel Monitoring System (fisheries) |
| WCMC | World Conservation Monitoring Centre (UNEP) |
| WIO | Western Indian Ocean |
| WMA | Wildlife Management Area |
| WWF | World Wide Fund for Nature |

In case of use of plurals in the text of the report a small “s” is added, for example CO = Country Office, COs = Country Offices

EXECUTIVE SUMMARY

INTRODUCTION

The Coastal East Africa Global Initiative (CEAI GI; or Coastal East Africa Initiative, CEAI) is one of 13 Global Initiatives WWF initially embarked on since 2007. The GIs were initiated as WWF's flagship programmes to deliver on the organisation's global priorities as laid out in the 2008-2020 Global Programme Framework. GIs are intended to be transformational interventions implemented through concerted Network action. The CEAI is a place-based GI, with a geographical focus on Kenya, Tanzania and Mozambique along the East African coast. The CEAI was established in 2009 and its overall long term goal is formulated as: *By 2025, the governments and peoples of the CEA region are effectively controlling decisions over their natural resources and exercise their responsibility for ensuring that key ecosystems and habitats are sustainably managed.*

The CEAI was designed as a programme with a 15-year horizon until 2025. This report presents the results of the Final Evaluation of the first operational phase of the programme covering fiscal years 2011 through 2015. The report is building on several internal and external reviews of the CEAI which were undertaken mostly in 2012 and 2013 and which informed a revision of its original strategic plan and its second phase strategic plan. The CEAI's original timeframe as stand-alone programme until 2025 was late 2013 adjusted to the end of fiscal year 2018, and again in 2015 to the end of fiscal year 2016 as part of a major restructuring of WWF. This Final Evaluation is therefore also expected to inform how best the programme will still achieve its 2025 objectives and goals. The review was undertaken by one independent consultant.

MAIN FINDINGS

The conclusion of the consultant is that the CEAI produced commendable achievements in almost all of its components despite several major challenges the programme has faced. A reflection on its performance against the clusters with guiding questions defined for the Final Evaluation (Annex I) is presented below.

The **relevance** of the original CEAI portfolio presented a mixed picture with regard to strict adherence to the GI criteria¹ as it covered both regional work (e.g. on tuna and on timber trade) and more national oriented interventions (e.g. influencing national level policies or site-based CBNRM work without clear linkages to other CEAI priorities). The internal and external reviews helped to guide discussions and decisions regarding these concerns and resulted in a more focused and streamlined programme including clearer separation of roles and responsibilities between the CEAI and the Country Offices (COs). This is clearly reflected in the CEAI's revised phase 1 Strategic Plan (SP) and its operations from 2013 onwards, and in its phase 2 SP. However, it would be appropriate to recognize that CEAI's initial "mixed picture" was instrumental in supporting the introduction and piloting of new strategies and approaches that are of a transformational nature and of relevance for the organisation's operation across the whole region (even if they could have theoretically been delivered by national actions²), promoting regional learning and exchanges, and building COs capacity. Most of those activities have now been moved to the COs.

The choice of habitat (Miombo) and species (tuna, shrimp) targets that the CEAI focuses would have benefitted from a clear explanation that led to these choices in either the Conservation Plan (CP) or the

¹ Criteria for place-based GIs defined by WWF's Conservation Committee: (i) they should be transformational; (ii) should focus on transboundary / regional issues and (iii) should not work on issues that can be delivered by COs alone.

² Added value and Innovation are also explicitly mentioned as guiding principles in the CEAI SP.

(revised) Strategic Plan (SP). While the importance of ecosystem services has been clearly recognised in the programme's design, the consultant found limited evidence that it has been integrated in CEAI's work (except for the work on the Green Economy). Equally so, population dynamics is recognized as a critical issue but not addressed, and the climate change adaptation work and the impact of land-uses on seascapes could both be enhanced. The programme's relevance in relation to WWF's regional / national strategies and programmes and international priorities is generally very good.

The programme's **design** revolves around three strategic components: Governance & Empowerment, Responsible Trade (sub-divided in Timber, Tuna and Shrimp) and Securing High Conservation Value Areas (HCVAs). It has been somewhat confusing that Governance is a separate component, while it is clearly also an important cross-cutting element of the other components. The programme has a Logical Framework (LF) with a good hierarchy of objectives and goals, but this LF was initially not informed by a Theory of Change (ToC) and was as a consequence not necessarily sufficiently focused on the *behavioural changes* the programme aims to achieve amongst key stakeholders in the region. Following the reviews these concerns were addressed as ToCs and a partnership strategy were developed and subsequently reflected in the revised phase 1 SP and the phase 2 SP (with three clearly defined and interconnected themes on sustainable fisheries, forests and futures). The original targets defined for the end of the first phase (FY15) were rather ambitious and a few were adjusted in the revised phase 1 SP to reflect lessons learned and realities (e.g. addressing both illegal timber trade and achieving large-scale sustainable forest management have proven to be substantial and requiring more time and resources). Several original assumptions did not hold (e.g. interest in MSC and FSC certification, no strategic changes within WWF, artisanal tuna fisheries is negligible) and new risks emerged (e.g. large investments in development in the region, reduced carbon prices) and the CEAI has been addressing this adaptively. Livelihoods and gender issues were not well integrated into the programme's initial design, and following consistent efforts have improved somewhat but still allow room for improvement. The consultant believes the way the CEAI team has addressed the above issues has improved the relevance, quality and clarity of the CEAI design significantly.

The overall **efficiency** of the programme has been very good despite several challenges which have been outside the direct control of the CEAI but which hampered its operations. It concerns the problems in TCO and MCO (internal corruption issues and leadership and capacity challenges respectively). This has led to the departure of a large number of staff and the subsequent introduction of very strict accountability and control systems and hence to delays in disbursements of annual budgets to the COs. Also the large staff turn-over in the China Shift GI and its subsequent move into the WWF China Country Office. Most of these issues have been resolved but particularly the disbursement of funds could still be made more efficient. In spite of these problems, the programme is generally efficiently managed by the Team Leader (TL) and his core team, which is hosted by the Tanzania CO. Planning, implementation, monitoring and reporting is done in close collaboration with the Country Offices (COs) which is vital to ensure efficient implementation of activities. The CEAI is governed by an active and functional Shareholder Group (SHG) and Shareholder Executive Team (SET) which both provide critical directional guidance, support and continuity.

From FY11 to FY15 the CEAI annual budget increased 70%, while the actual amount of annual expenditures doubled with a small dip in FY13 for reasons mentioned earlier. The development of the basket funding model by the CEAI together with having obtained the trust of the NOs played a critical role in this. Annual burn rates fluctuated between 67 and 85% which would most likely have been higher if the system of advances would have been more flexible. About 50.5% of the budget was allocated to COs to undertake CEAI-related work. The CEAI was set up intentionally with a lean team of experienced and well-qualified staff providing strong technical input, bringing in regional and international perspectives in an efficient way.

Staff resources of the CEAI are generally considered adequate, with as main exceptions the climate change adaptation sub-component (with only one staff at 50% time) and before 2013 the Ruvuma landscape.

The programme's **effectiveness** has been very good as reflected in an average CEAI component score on Key Performance Indicators (KPIs) under its Monitoring and Evaluation Plan of 6.1 (on a scale of 7 with 6 meaning "having achieved its target"). This is a very commendable achievement, particularly in light of the challenges together with that it has taken time to be fully focused on CEAI's specific role in achieving transformation. The strong leadership provided by the TL and the SHG/SET have been instrumental in this respect, also for addressing opportunities when they arise such as the shift from wildlife-based approaches to sustainable forest management, promoting Green Economy, and new trade and investment challenges.

The **governance and empowerment** component has been successful in establishing and developing CSO platforms which in turn contributed to the review / drafting of 30 natural resource related policies in the region, the development of the governance barometer, supporting responsible trade and investments through the development and approval of Strategic Environmental Assessments (SEAs), support of the Green Economy (which together with SEAs was requested by neighbouring countries to be scaled up into the region), and engagement with China and its role in Africa through FOCAC. The **timber and sustainable forest management** (SFM) component has been instrumental in delivering two bi-lateral and a regional agreement regarding cross-border timber trade issues, increased the number of hectares under SFM with over 375,000 through a very effective partnership with several organisations, and has started to deliver benefits to communities through the sale of sustainably harvested timber. The **sustainable shrimp management** component in Mozambique faced a number of external challenges (the shrimp fishery experienced a serious decline in production over the years so has the price for shrimp on the market) for which reason this component had to adjust its ambition from Marine Stewardship Council certification to the development of fishery management plans, which seems to be more realistic and effective. The **sound tuna for sustainable development** component has been focusing mainly on the offshore tuna fisheries, and only more recently also on the artisanal tuna fisheries. Three of the four tuna species are fished at sustainable levels with the fourth species (yellowfin) showing on and off sustainable levels. Economic benefits have increased for governments with an average of 37% of license fees charged and for other potential (community) benefits the stage has been set. Also, effective regional fisheries governance systems have been improved in several ways. The **securing High Conservation Value Areas** (HCVAs) component established new protected and CBNRM areas, and developed and used a METT+ tool including socio-economic parameters. Climate change vulnerability assessments were prepared and climate change adaptation strategies developed. Spatial planning work was undertaken in support of land and resource use decision making, one trust fund established and operational and two carbon projects have been prepared.

Particularly, it would be appropriate to recognize that the leading and coordinating work by the CEAI across different levels and with partners has initiated regional governance and cooperation regarding the sustainable management of shared natural resources. The consultant sees this as a critical step towards transformation and the CEAI achievements to date in this respect should not be underestimated.

Out of the list with 12 **Big Wins** (*a significant conservation achievement capable of stimulating attention and leveraging commitment*) eight were fully achieved and the other four were partly achieved (as they were over-ambitious, will be achieved soon, or for reasons beyond the CEAI's control), which is again a commendable achievement. There is a general agreement within the CEAI that **gender, livelihood and human rights** (LGHR) aspects are very relevant to achieve conservation, as long as they are part of its planning logic i.e., not as a stand-alone approach. The CEAI has been undertaking several actions informed

by the reviews, particularly after the LGHR study, and actual improvements are to be expected under the CEAI Phase 2. The CEAI has contributed to **transformation** as much as could reasonably have been expected in Phase 1 of five years. This has been achieved through a significant amount of critical preparatory work resulting in clear signs that it is heading in the direction of actually achieving transformation, though subject to WWF's continuing support to the efforts undertaken thus far.

Based on interviews held concerning **in case there would not have been a CEAI** the general opinion is that the regional approach and collaboration across levels and countries informed by a coherent programme would not have materialized, which would at that time most likely have resulted in several NOs withdrawing their funding from the region (and again during the challenging times in TCO and MCO). Furthermore, the CEAI has initiated and supported WWF in Eastern Africa with transformational perspectives and moving beyond its comfort zone through for example getting actively involved in the advocacy arena and addressing critical trade and investment aspects. Despite the capacity build within WWF (and partners) in the region many still recognize limitations in COs' capacity and question how the collaboration across COs and links with regional and international partners will continue without the CEAI coordinating or providing a platform for it. Furthermore, partly building on the work initiated under the eco-regional programmes, the CEAI is being credited with the standing WWF holds now in the region regarding marine, timber, and trade and investments aspects. Without the CEAI there would not have been a basket funding model allowing the COs and NOs to work effectively around one regional strategy and budget, work plans, monitoring and reporting. This model is recognized by many as successful.

MTR findings indicated the need to improve strategic **communications** with external partners and practical aspects of internal communications, and this has been (partly) addressed in several ways. If to achieve true and sustainable transformation the consultant observed that the CEAI would benefit from expanding strategically targeted messages with key decision-makers in government and private sector entities. Initially the **development and strengthening of strategic partnerships** was hampered by the lack of a strategy. As the CEAI team clearly recognized the need for the establishment (or continuation) of strategic partnerships with those entities which hold appropriate mandates and influence decision-making at local, national or regional level a partnership strategy was developed. It is building of the Theories of Change (ToC) which guided the partnership prioritization with a focus on a limited number of key high level partners and CSOs relevant for all three programmatic components. At least nine strategic partnerships were established, formalized or strengthened of which several operate under a joint work plan. The **fundraising** has been very successful with a 70% CEAI annual budget increase from FY11 to FY15. Given that the majority of CEAI funding has been basket funding (approximately 65%) and that project support was relatively easy to allocate within its strategic plan has helped to ensure strategic focus and reduced the need to source additional funding. In relation to the ambitious 2015 objectives and the size of the region, the funding levels have to the opinion of the consultant been low despite fully over-achieving its targets set.

The CEAI has generally been very effective in **addressing recommendations from studies and reviews** by preparing management responses which were discussed and agreed upon at the respective next SHG meeting, after which it was left to the CEAI team to ensure implementation. To the opinion of most interviewees the reviews were generally well received by the team and its capacity for regular self-reflection and evaluation is seen as one of its strengths. Despite the fact that it was not possible to implement all recommendations, the consultant commends the CEAI team for their professional response to the reviews, also as it does not happen that often which such transparency, intensity, and timeliness.

The work by the CEAI has already led to the recommendable achievement of the CEA governments now being much more actively engaged regarding the sustainable management of natural resources; particularly in the tuna and timber trade sector and regarding certain governance aspects there is quite a noticeable change in attitude. This has in turn resulted in improved regional governance of, and regional cooperation regarding the management of these shared resources, thereby having set the stage for significant outcomes and impacts. If this at the end will result though in having (sustainably) mitigated the actual threats remains to be seen for which reason, as was realistically expected within a first five-year phase of a 15-year large regional programme, only a limited number of **outcomes and impacts** have been achieved during Phase 1. In the view of the consultant this should not be seen as under-performance, rather as a sign of what is to come and for which the stage has been set (for example the application of SEAs) assuming though that WWF will ensure continuity and consistency of the CEAI approach as per the request of partners concerned. Examples of outcomes and impacts achieved already are: areas secured under SFM/PFM, income being generated from sustainable timber harvesting for several communities in Tunduru and Kilwa Districts, increasing government income from timber trade; three of the four tuna species are being fished sustainably, economic benefits from tuna fisheries to the government are increasing, the actual implementation of Tuna fishery management plans.

To the opinion of the consultant the programme has adopted a strong **adaptive management** style by applying adaptation across all five components of WWF's Project and Programme Management Standards (PPMS) cycle, and if and when needed which is very much in line with how the PPMS is intended to be used. This can be evidenced for example by how well the CEAI has been addressing recommendations from reviews, that the programme managed to "work around" the challenges in TCO and MCO, applying flexibly the programme's geographical boundaries, developing and testing new tools, accommodating specific donor requirements and ongoing organisational changes in WWF.

The programme has a well articulated **Monitoring and Evaluation** (M&E) plan which complies with the WWF PPMS. It was developed in good consultation and coordination with the COs. The CEAI supported the consolidation of M&E capacity in the COs, which proved to be helpful in tracking progress of targets set, and is clearly recognized and appreciated by CO staff interviewed. However, the M&E plan would have benefitted from more accurate formulation of some of the objectives and indicators (also to reflect better the cause-effect relationship included in the ToCs), and the more timely collection of some of the baseline data. Given a first phase of five years within a 15-year programme the CEAI's reflections had to be necessarily more on outputs and processes than on outcomes and impacts. Semi-annual and annual monitoring reports are based on the WWF Priority Programme Technical Progress Report template and are highly readable and of good quality, focusing on the key issues. Reporting requirements for both WWF International and government donors were harmonized and its structure improved. From interviews with staff and partners the consultant concludes that it is plausible to attribute achievements to WWF / CEAI. An internal **Knowledge Management** framework was developed. While it is clear from the CEAI (semi-)annual reports and M&E plan that most of the tools have been applied, that is not the case regarding the proposed best practice approaches and methods for learning. According to the consultant this may be a consequence of, as it appears, limited linkages between the KM framework, the communication strategy and the partnership strategy. The (semi-)annual reports included since 2013 separate sections on lessons learned and on risks and assumptions together with proposed approaches how best to address those risks. Learning with partners has been undertaken through different means such as training, joint field visits and assessments. All have contributed to a strong learning culture within the CEAI and WWF. To the opinion of the consultant the **adaptive management in support of the CEAI to be transformational** has been very good. Despite best efforts, designing a big and long-term regional programme to perfection from the onset

is often a challenge and it will therefore be critical to adapt the strategy and approaches as needed. The internal and external reviews and reflections by the SHG and the CEAI team have proven to be very helpful in this respect. While it has taken time this has resulted into a much more streamlined and focused programme and much clearer separation of roles and responsibilities between the CEAI team and the COs. The main question in this respect now is how to avoid that transitioning the CEAI to the COs would create again the need for time before having achieved the most effective set-up and operations. Several **key lessons about the GI model based on the CEAI experience** can be drawn. WWF has been able to optimise its unique strength as an organisation to address pressures and drivers across levels, countries and the region in a coordinated and efficient way. Also, the role of strategic partners is thereby recognised as critical if to achieve real transformation together with WWF exploring new approaches. Based on the interviews with partners and WWF staff this is seen as “filling a gap” and that the work undertaken is seen by partners as WWF, not CEAI or COs. The work thus far has resulted in a solid foundation to achieve significant outcomes and impacts in years to come but this would assume and require careful consideration how to ensure continuity of the CEAI’s approach as part of the transition of the CEAI into the COs.

WWF defined transformation as *a sustained shift in behaviour of key actors to reduce the root causes of biodiversity loss*. In this context achieving longer-term **sustainability** is critical i.e. assuming those key actors will continue addressing the root causes without at some point the involvement of the CEAI /WWF. Only a few of the approaches and interventions under each of the components have achieved some form of sustainability so far and many of the partners interviewed indicated the need still for ongoing support before being able to continue on their own. This is not due to the lack of efforts by the CEAI but should be seen in light of a first five-year phase of a 15-year programme, and is therefore as could have been reasonably expected. There are, however, positive signs towards achieving longer-term sustainability assuming that ongoing active and consistent support will be provided to the approaches and interventions for now. Another aspect of sustainability which the CEAI achieved was continuity of financing from NOs to the region, from its initiation and during the challenging times in two of the three COs. The biggest concern regarding sustainability at the moment is, however, how well WWF will transition the CEAI components into the COs. If this transition and related concerns identified are not given due consideration, WWF runs the risk of at least interrupting the path towards transformation and sustainability.

In **conclusion on the main findings**, the consultant found that how the CEAI has adapted and evolved during the first phase of five years together with what it has been able to deliver (on average having achieved its KPI targets) has made it into a critical and commendable programme for WWF, and the region. By working together with partners across levels, countries and the region and guided by a regional strategic programme the stage has been set to achieve real transformational change in support of significant outcomes and conservation and socio-economic impacts.

MAIN RECOMMENDATIONS

Based on the findings, a total of 12 recommendations (with sub- recommendations) have been formulated in support of this programme, and are summarised below. They address particularly sustainability aspects of the transition of the CEAI to the COs as part of the Truly Global Process, and are meant in support of decisions made by WWF (but do not necessarily reflect the consultant’s opinion on this transition).

Recommendation 1 – Address population dynamics. Population dynamics do not fall under WWF’s field of expertise but this should not withhold the organisation to explore and pilot an approach to address this important driver through (a) partnership(s). This could start with a pilot project to be scaled up over time.

Recommendation 2 – Climate change resilience and adaptation. The climate change vulnerability assessments (CCVAs) and climate change adaptation strategies supported by the CEAI have provided support to the COs to address this important pressure on the NR-base and people's livelihoods in selected HCVAAs. Assessments and strategies not finished yet should now as soon as possible, and be implemented. Also, CCVAs should be prepared on selected species and habitats relevant from a regional perspective.

Recommendation 3 – Covering ecological impact from land uses on seascapes. From an ecological perspective it remains relevant to consider the impacts of land uses on coastal and marine habitats, even further upstream along the coast. It is therefore recommended to assess the biggest negative land-use impacts on prioritised seascapes and develop a strategy to address these pressures.

Recommendation 4 – Administrative arrangements between the CEAI and TCO. In general the CEAI has been operating efficiently, but would benefit though from WWF re-assessing the efficiency of its financial management policies and ensuring new management systems are developed in support of the organisation's conservation work. The administrative arrangements between CEAI and TCO would benefit from more regular meetings and further clarity regarding the distinct roles and responsibilities of financial and technical staff.

Recommendation 5 – Building on WWF's strength. One of WWF's strength is being well positioned to address pressures and drivers and engaging key stakeholder and partners across levels. It would be critical for WWF to ensure that strength remains and is enhanced as part of the transition of the CEAI into the COs.

Recommendation 6 – Sustainable NR-based enterprises. The programme's effectiveness would benefit from systematically exploring opportunities for, and supporting a diversified set of NR-based enterprises. These would have to meet the triple-bottom line of environmental integrity, fair and equitable socio-economic development, and being viable businesses. To obtain meaningful benefits at scale require support for a diverse set of businesses and to optimize the benefits derived thereof for local communities. This needs a strategic NR-based enterprise approach and to exploring further the feasibility of PES.

Recommendation 7 – Effective communication. In support of improvements made already this component would be enhanced by revisiting the formulation of objectives and related indicators and strengthen the role of communications (i) in support of the programmatic components to achieve a sustained shift in behaviour of prioritized key actors as identified by the ToCs, (ii) by keeping partners more regularly informed about changes, and (iii) explore and initiate links with an academic or knowledge institution.

Recommendation 8 – Partnerships and fundraising. The partnership strategy has helped to identify (or confirm) a number of critical regional partners. The programme would benefit though by engaging WWF NOs more actively to address pressures and drivers caused by international actors, strengthening further the engagement with private sector entities, and to diversify partnerships with potential donors.

Recommendation 9 – Reviews. In general the internal and external reviews have proven to be very helpful to the CEAI. It would, however, be helpful in the future to ensure reviews are always undertaken in the context of WWF's conservation logic to avoid "stand-alone" development recommendations, that the management responses are followed up with an efficient approach to communicating progress, and to ensure that key lessons learned are shared more widely within WWF and with key partners.

Recommendation 10 – Adaptive capacity and Monitoring and Evaluation. The adaptive capacity of the CEAI has been recommendable, and should be maintained. However, a number of M&E aspects could be enhanced such as the integration of the most critical conservation-driven socio-economic aspects; review the formulation of objectives and indicators; strengthen the linkages between M&E, KM, communications

and partnerships (guided by the ToCs); expand KM and hence communications to “tailor target” partners; and, monitor continuity of implementation of CEAI’s approach across the region and three COs.

Recommendation 11 – Achieving longer-term sustainability of the approaches and interventions. Only a few of the approaches and interventions have achieved sustainability so far, as was expected. However, a solid foundation has been put in place to achieve longer-term sustainability and transformation assuming that ongoing, active and consistent support will be provided to CEAI’s approach. Specific recommendations are provided for each of the components. However, their sustainability is impacted by the organisation’s overall strategic, institutional, and programmatic approaches within which the CEAI and COs operate.

Recommendation 12 – Ensuring continuity of the 15-year CEAI strategy. The investments (time, finances) made in the CEAI have set the stage for a more streamlined and most likely even more successful second phase during which the organisation should be able to achieve the transformation it is seeking and hence significant outcomes and impacts. To ensure the momentum gained and investments made into the programme to-date are not lost it would be of the utmost importance that the transitioning of the CEAI into the COs is managed with great care. Therefore, WWF staff mandated to guide and undertake the transition of CEAI components into COs are therefore strongly advised to discuss and address the questions provided in the report, in consultation with the parties affected.

LESSONS LEARNED

The main lessons learned that are of direct relevance for the programme are covered in the recommendations. Lessons learned of relevance for the programme and those with wider relevance are often mutually exchangeable. The main lessons with general relevance concern that the optimization and streamlining of collaboration among multiple partners does take time as does achieving transformational change, but that the programme’s focus and effectiveness is strengthened with the support of an open and reflective management style and adaptive capacity. WWF has optimized its unique structure by addressing key drivers and pressures across levels through a coordinated and collaborative approach with its partners, guided by its strong leadership structures and “daring” to exploring and embracing innovative approaches and actively engaging governments. The establishment and development of the basket funding model has been instrumental in supporting the effective and efficient implementation of the programme.

1 INTRODUCTION

This report presents the results of the Final Evaluation of the first five years of the Coastal East Africa Global Initiative (CEA GI), one of WWF's flagship programmes to deliver on the organisation's global priorities as laid out in the Global Programme Framework.

The CEA GI was designed as a long term programme with a 15-year horizon until 2025. The first phase of the CEA GI did run from 2011 to 2015 and is guided by a Strategic Plan, which itself is based on a detailed Conservation Plan, and which was revised slightly in 2014 following several internal and external reviews. The CEA GI is a place-based GI focusing on terrestrial, marine, governance, and trade work in Kenya, Tanzania and Mozambique, as well as Madagascar concerning tuna fisheries work. The programme received basket funding from a group of WWF National Organisations (NOs), who together with Country Offices (COs) concerned jointly formed the CEA GI ShareHolder Group (SHG).

The Final Evaluation was commissioned by the CEA GI team and the SHG and took place in the period mid-August to December 2015, just after the ending of the first five-year phase of the CEA GI. The Final Evaluation coincides with a major restructuring of WWF and as such is expected to inform approaches, the way of working, structures and transitioning measures to ensure the programme will still achieve its 2025 objectives and goals. This work builds on an overall global review of the GIs, commissioned by WWF's Conservation Committee (CC) that took place in the period 2012 and 2013, the Thematic Review of the WWF Denmark portfolio (DANIDA review) undertaken in 2013, the Mid Term Review (MTR) undertaken in the second half of 2013, and the Review of Livelihoods, Gender and Human Rights (LGHR) aspects of the WWF CEA GI in 2014.

According to the ToR (see Annex I), the purpose of the Final Evaluation is to "assess how well the program has achieved its objectives and planned results for 2015 and also identify lessons learned and knowledge generated of the GI program." The key stakeholders of this evaluation were identified as the core CEA GI team, the three CEA GI countries, SHG and implementing partners. Generally, this evaluation was conducted to assess and update progress of the programme from the time of the MTR. Specifically the Final Evaluation should provide the programme stakeholders with an independent assessment of:

- Progress made by the programme (including evidence in place to demonstrate achievements) towards the expected outcomes and impacts (including big wins) stated in the FY11-FY15 Strategic Plan and M&E Plan, including the enablers or factors that hindered progress;
- The degree to which the agreed CEA-GI key principles have been followed;
- The degree to which the programme has been able to integrate cross-cutting issues including gender, climate change and a pro-poor approach;
- The degree to which the programme effectively applied the WWF PPMS cycle, in particular using effective M&E, analysis of progress/challenges and lessons learning for adaptive management;
- The degree to which the programme has implemented the recommendations of various reviews conducted during the evaluation period: such as MTR, DANIDA review, review of LGHR aspects, etc.;
- Whether the programme design, organisation, and funds were appropriately aligned to effectively and efficiently deliver on the expected results;

- Whether the programme achieved the expected transformational change at regional and national level;
- What key adjustments are needed to approaches, and ways of working, to ensure the programme achieves its 2025 objectives and goals, and in particular, in light of the phase-out of the WWF GI System, what structures and transitioning measures would be required in order to sustain and continue the work initiated under the GI, in particular also in terms of devolution of roles and responsibilities to country offices and partners.

Based on initial briefing calls and meeting with the CEAI core team during the inception phase, it was agreed that the Final Evaluation would focus on assessing the performance within a first five-year timeframe of a 15-year programme and in particular its effectiveness, impacts and outcomes, and sustainability.

Methodology

The Final Evaluation was undertaken by one independent evaluator. The Final Evaluation started with an inception phase that included initial briefing conference calls with the CEA GI Leader and the Monitoring and Evaluation (M&E) team as well as a desk study and culminated in an Inception Report. This was followed by the main evaluation phase that included visits to Kenya and Tanzania, during which interviews were held with key partners; interviews with key stakeholders in Mozambique and SHG members were conducted by Skype calls (see Annexes II and III for people met and documents consulted respectively). The consultant shared preliminary findings at the SHG meeting held in Mombasa on the 16th of October 2015 and undertook a brief field visit to the Tanzanian side of the Ruvuma landscape (given that the Mozambican side was visited during the Mid-term Review and time limitations for this final evaluation).

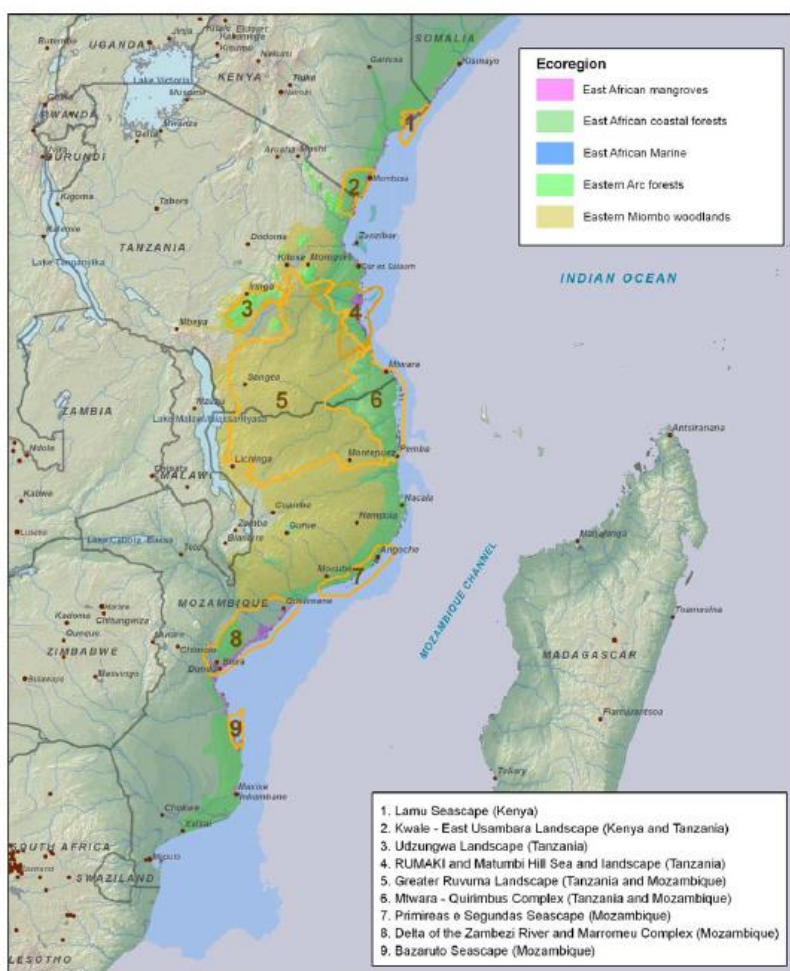
Given the limited time available in combination with the broad scope of the CEA GI and work undertaken during the five-year timeframe, this assessment focused mainly on strategic issues. It would also be realistic to expect limited impacts and outcomes to date given the strategic approach of the programme within an overall 15-year timeframe and the focus of this final evaluation on the first phase of five years. It means that certain sections in this report are shorter than others.

In addition to the main text, the report contains a number of annexes. Apart from the standard annexes on ToR, people met, documents consulted and overall evaluation table, these also include programme designs, strategic plans and frameworks (originals and revised versions), a comparison of the transition of phase 1 to phase 2 strategic plan, synergies of phase 2 plan with WWF new global goals and Country Strategic Plans, an overview of donor contributions by fiscal year, findings and recommendations concerning the work on the Tanzanian side of the Ruvuma landscape, and an overview of the achievements against the targets set.

2 PROGRAMME OVERVIEW

The Coastal East Africa Global Initiative (CEA GI, or Coastal East Africa Initiative - CEAI) is one of the 13 Global Initiatives (GIs) that the World Wide Fund for Nature (WWF) has embarked on since 2007 (WWF, 2012a). The GIs are set up as WWF's flagship programmes to deliver on the organisation's global priorities as laid out in the Global Programme Framework (GPF). GIs are intended to be transformational interventions implemented through concerted Network action to meaningfully impact critical threats, opportunities in support of biodiversity conservation and development targets within priority places or on priority themes. GIs can be divided in footprint/species GIs and place-based GIs. The CEAI is a place-based GI, with a geographical focus on three countries along the East African coast i.e., Kenya, Tanzania and Mozambique, and includes also tuna fisheries related work in Madagascar. This area incorporates a number of eco-regions (some fully, some partially) and 9 seascapes / landscapes and as such the programme builds on and complements WWF's previous and ongoing work in these eco-regions and landscapes (see figure 1).

Figure 1 - Geographical coverage of the CEAI

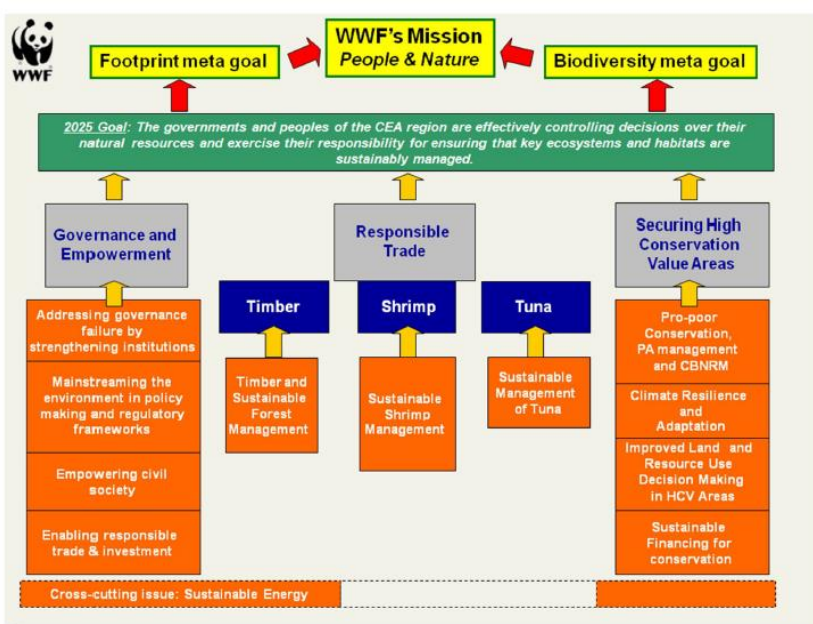


The **programme design** of the CEAI started with the elaboration of a Conservation Plan (CP) based on a detailed situation analysis of the region. The CP formed the basis for the elaboration of the CEA GI Strategic Plan (SP) for the WWF fiscal years 2011 to 2015 (July 2011 – June 2015). The design of this SP is based on the premise that the CEAI, like all GIs, would have a long term horizon of 15 years i.e. until 2025. An overall Theory of Change (ToC) was not developed for the CEAI. Instead, the results of the CP and in particular the conceptual model (see Annex IV) were used to elaborate the original Strategic (Logical) Framework summary covering its four conservation strategies i.e. governance and empowerment, responsible trade,

securing High Conservation Value Areas (HCVAs), and low carbon development. For each conservation strategy 2025 goals, sub-strategies and related 2015 objectives were developed. This Strategic Framework summary included furthermore sub-strategies and 2015 objectives concerning the establishment of a high performing operational team and systems for outstanding conservation delivery. It focuses on effective communications, strategic partnerships and fundraising, effective financial management and administration, and effective monitoring and evaluation and reporting at sub-regional and field portfolio levels (see Annex V).

The overall long term goal of the CEAI is formulated as: **By 2025, the governments and peoples of the CEA region are effectively controlling decisions over their natural resources and exercise their responsibility for ensuring that key ecosystems and habitats are sustainably managed.** To achieve this, the CEAI focuses on three conservation strategies; originally also on “Sustainable Energy” (cross-cutting).

Figure 2 - CEAI programme design (WWF-CEAI, 2012, page 19)



However, the programme **implementation structure** is organised around three main thematic work areas i.e., Marine, Terrestrial and Governance, each led by a dedicated thematic leader and guided by 2015 objectives and annual key results / milestones. Table 1 provides an overview of how the three main thematic work areas cross-relate to the four conservation strategies, and vice-versa.

Table 1 – Cross-relations between Thematic Areas and Strategic Components (WWF-CEAI, 2012, page 20)

| Strategic Components | Governance and Empowerment | Responsible Trade | | | Securing High Conservation Value Areas | Low-carbon development |
|----------------------|----------------------------|-------------------|--------|------|--|------------------------|
| | | Timber | Shrimp | Tuna | | |
| Thematic Areas | | | | | | |
| Marine | √ | | √ | √ | √ | |
| Terrestrial | √ | √ | | | √ | √ |
| Governance | √ | √ | √ | √ | √ | √ |

Key

| | |
|---|--|
| √ | Thematic Area is fully responsible for delivering on this component |
| √ | Component is relevant to the Thematic area which will deliver on some elements |
| | No work carried out by the Thematic area on this component |

Guided by its SP, the CEAI represents WWF's **operational work at different levels in the region**. The CEAI core team focuses in particular on the higher level governance and trade issues, particularly at a regional, international and/or transboundary level, while land- / seascape level issues are the responsibility of the Country Offices (COs), although this separation has become only clearer over the years. The key transformational results that the programme aims to achieve include (WWF-CEAI, 2012, pages 12 and 13):

- Mainstreaming the environment across government decision-making processes;
- Civil society holding governments to account;
- Sustainable forest management at scale;
- Sustainable timber trade brokered by linking CEA producers and Chinese buyers;
- Certification of the world's first wild caught tropical shrimp fishery;
- Sustainable fisheries in SWIO by reforming tuna fisheries management;
- A functional, interconnected, representative network of protected areas that factors in climate change;
- Incentivising forest conservation - making REDD+ mechanisms function in one of the poorest parts of the world; and
- People-centred conservation in practise: delivering conservation goals and improved livelihoods – meeting WWF's new commitment to pro-poor conservation.

This Strategic Plan, implementation structure, and operational approach have largely guided the CEAI over the Fiscal Years (FYs) 2011-2015. However, in 2013 and 2014 the CEAI underwent a number of **internal and external review processes**:

1. An internal assessment by the WWF Conservation Committee (CC) as part of a review process of all GIs;
2. Several donor evaluations, including by DFID and DANIDA;
3. An internal peer review by relevant network entities; and
4. A comprehensive external mid-term review (MTR) by two independent consultants.

The main conclusions from these evaluations are that the CEAI is generally performing very well, and continuous to be relevant and delivering important transformational change. As confirmed by the CC and the Network Executive Team, therefore, the CEAI is expected to “...., *continue as a GI for 3-5 years, then fully integrate with a regional/sub-regional programme,*” (WWF, 2013b, pages 5 and 6).

These reviews also concluded that there is a need to review the FY11-FY15 Strategic Plan on a number of points (WWF-CEAI, 2014a, page 3):

- (i) the need to focus on a smaller number of key transformational strategies and devolving responsibilities of other elements to other WWF entities;
- (ii) the need to take into account some of the realities faced, including emerging issues and developments, requiring adaptive management;
- (iii) the need for clearer Theories of Change to guide the CEAI in its strategic approaches; and
- (iv) the fact that some of the original objectives of the CEAI have proven to be too ambitious and the need therefore to review these.

These recommendations guided (i) a number of revisions to the CEAI 2011-2015 Strategic Plan, while recognizing that only about one year of implementation was left under the first five-year phase of the CEAI (WWF-CEAI, 2014a), and (ii) the preparation of the Phase 2 Strategic Plan 2016-2020 (WWF-CEAI, 2015a).

The most relevant changes in the **revised CEAI 2011-2015 Strategic Plan** concerns:

- Oil and gas exploration in the region was developing rapidly while, thanks to the pioneering work of the CEAI, separate initiatives around sustainable energy and oil and gas were established under the

leadership of the East and Southern Africa Programme Office (ESARPO³). It was therefore decided that the responsibility for the management of the cross-cutting “Sustainable Energy” portfolio was transferred to ESARPO, and with its closing on to the WWF Regional Office of Africa (ROA).

- Rapid development of the wider extractive industries required specific attention by the CEAI.

This resulted in a slightly revised overall programme design of the CEAI (see Annex VI).

Several specific changes are proposed under the thematic work areas (WWF-CEAI, 2014a). Under the marine component focus is to be given to the artisanal tuna fisheries as well (as recognition that it actually represents a substantial percentage of the tuna catches), switch the focus of the shallow water shrimp fisheries from Marine Stewardship Council (MSC) certification process to the development and promotion of an inclusive shallow water shrimp management plan, and concerning the deep water shrimp fisheries continue the development and implementation of a robust deep water shrimp fishery improvement plan and improve the enabling conditions for moving into the MSC certification process. Under the terrestrial thematic work area challenges of addressing both illegal timber trade and achieving large-scale sustainable forest management have proven to be substantial and requiring more time and resources. Under the governance and empowerment thematic area specific focal areas evolved requiring more attention such as the development and implementation of National Green Economy Strategies and Action Plans, influencing the political level engagement between China and Africa through the Forum on China-Africa Cooperation (FOCAC), ongoing constitutional review processes, and empowering civil society organisations for influencing policy making and private sector behaviour across all CEAI strategies. Work under the HCVAs remains to focus on two main transboundary areas i.e., the Ruvuma landscape and the Northern Mozambique Channel as principle testing grounds for the application of innovative and effective approaches. Collectively this resulted in a slightly revised WWF CEAI FY11-15 Strategic Framework (see Annex VII).

Theories of Change were developed for the key work areas i.e., Tuna Fisheries, Shrimp Fisheries, Timber Trade and Sustainable Forest Management, and Trade and Investment, guiding prioritisation of critical partnerships, activities and budget and thereby in turn informing communications and driving outcomes and impacts at transformational level. The overall Conceptual Framework of the CEAI has been aligned with the Global WWF Conceptual Framework as presented to and adopted by the WWF Assembly in May 2014, reflecting the key drivers that put pressures on the natural capital, places, people and species in the region (see Annex VIII). This resulted in a gradual growth in resourcing for the terrestrial thematic work area and the Ruvuma landscape, and additional staff capacity in the final year of phase 1 regarding Spatial Planning, Monitoring and Evaluation (M&E), and Communications. Given its successes achieved, and anticipated before the first five-year phase would end, a revised and expanded list of Big Wins⁴ for the CEAI is included.

The development of a **Phase 2 Strategic Plan⁵, 2016-2020** (WWF-CEAI, 2015a) allowed for a further streamlining and prioritisation of the CEAI taking into account lessons learned and experiences from the first phase, and provides further clarifications regarding the roles and responsibilities of the CEAI core team, COs and partners concerned. It was developed with wide consultation and support. Thematically, it

³ ESARPO was established as merger of the regional offices in Southern (ROSA) and Eastern Africa (EARPO). In 2014 ESARPO itself was merged into the Regional Office for Africa (ROA).

⁴ A Big Win is a significant conservation achievement capable of stimulating attention and leveraging commitment. Big wins integrate programme, communications and fundraising and can leverage further achievement.

⁵ While in narrow terms the CEAI phase 2 falls outside the scope of this Final Evaluation, the consultant considers its overall approach relevant to do justice to the CEAI as most of the preparatory work was undertaken by June 2015.

will focus on three main areas i.e., sustainable fisheries, sustainable forests, and sustainable investments, which are “... *inter-connected through the third area which focuses on reducing the growing pressures on forest, fisheries and other natural resources resulting from the rapid and large-scale developments in the region. This third thematic area aims to work at the fundamental level to lay the basis for the achievement of the other two goals*” (WWF-CEAI, 2015a, page 16). Each main thematic area has a defined 2025 goal, 2020 objectives and key strategies on how to achieve those (see Annex IX). These are worked out in more detailed thematic strategies (addressing governance, trade, production and finance aspects) based on individual Conceptual Models and Theories of Change. The phase 2 strategy is aligned with the WWF Global Goals and its Africa Conservation Framework. Its Conceptual Framework (see Annex X) is built on the version included already in the revised SP and reflects the CEAI overall Theory of Change.

According to the Phase 2 Strategic Plan, Coastal East Africa remains a priority region for WWF as its natural assets are unparalleled with the largest intact wilderness remaining in Africa, the highest density of forest endemic species, and the longest unfragmented fringing reef in the world. Its rich natural resources support the livelihoods of over 20 million, mostly poor, people in the coastal region with food, water, fuel and other basic needs, as well as the national economies. Kenya, Tanzania and Mozambique are among the world’s poorest countries, ranking 147, 159 and 178 on the United Nations Development Programme Human Development Index (out of 195) respectively (UNDP, 2014). However, unsustainable natural resource use (including the increasing exploitation for foreign markets such as Asia and the EU) and land use practices have put the whole region under threat, negatively effecting its rich biodiversity, people’s livelihoods and national economies. This is exacerbated by the impacts of oil, gas and other minerals exploration, large-scale agricultural expansion to supply global markets, big infrastructural developments, expanding populations, and in the longer-term climate change.

Building on WWF’s 50 years of experience in the region and in particular its successful Eastern African Marine Ecoregion and the Eastern African Coastal Forest Ecoregion, the WWF CEAI was established to pursue the vision of nature and people co-existing for the benefit of one another. The critical added value that the CEAI brings to an already successful suite of WWF local and regional programmes is the WWF network’s capacity to deliver transformative change by using the following WWF attributes:

- Delivering successful trans-boundary and ecosystem-based conservation at scale;
- Local to global links, perspectives and advocacy using WWF’s ability to ground global issues (e.g. linking China and Coastal East Africa through sustainable trade and investment);
- Using WWF’s convening power to bring key actors together from the lowest to the highest level; and
- Focus on transformational change; transformation being defined as: *a sustained shift in behaviour of key actors to reduce the root causes of biodiversity loss.*

By adopting a regional approach across the three CEA countries, the CEAI is expected to add value to the work that is already being implemented at the country level. In practice, work on the main strategic programmes and their sub-strategies is being coordinated through a dedicated thematic leader, working with teams at both country and regional level, to deliver on the strategies. The CEAI is based on the principles of a long-term vision of conservation and sustainable development in East Africa for which reason its main goal and objectives are reflected in a 15-year timeframe to achieve the level of transformational change anticipated. In this regard, it is expected that the programmes initiated under the CEAI will be continued over the next decade. However, due to changes in WWF structures, it is anticipated that the first year of programme implementation of Phase II will be a year of transitioning to align with the new goals, programme and governance structures that are currently being designed.

3 FINDINGS

3.1 Relevance and quality of design

The Coastal East Africa Global Initiative's (CEA GI's, or Coastal East Africa Initiative's [CEAI]) original Strategic Plan (SP), implementation structure, and operational approach, as shared in the programme overview in chapter 2 above, have largely guided the CEAI over the Fiscal Years (FYs) 2011-2015. While critical for the CEAI's establishment and operations as a GI, it should be recognized that the original SP was partly a result of balancing different interests within WWF's network, which together with evolving understanding and experience allowed room for improvements. Revisions done in 2014 were guided mainly by a number of internal and external programme review processes which were undertaken during 2013 and 2014, together with general lessons learned along the way. In addition to the main conclusions from these evaluations that the CEAI is generally performing very well and that it continues to be relevant and delivering important transformational change, key recommendations were provided. The most relevant recommendations were initially addressed in a revision to the original CEAI SP (WWF-CEAI, 2014a) but as that concerned in reality only one year of implementation remaining, the development of the CEAI Phase 2 CEAI (WWF-CEAI, 2015a) allowed much more room for taking these recommendations on board. The relevance of the CEAI's programme design has therefore been assessed against its original design, the main findings of several of the reviews regarding that design, the revised CEAI SP, and the CEAI Phase 2 SP, and has been reviewed from two main angles:

1. Relevance of the CEAI as a Global Initiative
2. Relevance of CEAI within the context in which it is implemented, i.e. the Coastal East Africa Region.

3.1.1 Relevance as GI

The CEAI is part of WWF's Global Initiatives, which are the organisation's flagship programmes to deliver on many of the organisation's international priorities as laid out in the Global Programme Framework (GPF). There are basically two categories of GIs: footprint/species GIs and place-based GIs. The CEAI is part of the latter group of GIs. For these place-based GIs, WWF (through the Conservation Committee) has defined some key criteria that these GIs should (as much as possible) comply with:

1. They should be transformational, with transformational change defined by WWF's Conservation Committee as *a sustained shift in behaviour of key actors to reduce the root causes of biodiversity loss*.
2. They should focus on trans-boundary action and deliver at the regional level.
3. They should not work on issues that can be delivered by national actions alone.

Internal Review of the Global Initiatives

All GIs have been reviewed through an internal "light" review (WWF, 2012a) and a more exhaustive review with external inputs (WWF, 2013a). The latter review concluded that for a place-based GI it will often be a challenge to separate regional / transboundary work from national-level issues because the reality is simply that national boundaries and national institutional contexts very much drive the behaviour and actions of key actors. However, recognizing that there are often challenges and threats to conservation to be addressed beyond the national scale, a place-based GI does hold merit but would require very clear separation of roles and responsibilities between the GI, the regional office and the COs. This proved also to be very relevant for the CEAI as illustrated by multiple discussions by the Share Holder Group (SHG) on the subject including the attribution of outcomes.

Both reviews resulted in Conservation Committee (CC) recommendations for the GIs (WWF, 2013b) including responses from the Network Executive Team (NET). Concerning the CEAI it concluded that it

should continue as a GI as (i) it has transformational strategies and is effectively addressing regional or global issues, (ii) has achieved or is on track to achieve transformational conservation outcomes, and (iii) works well at the regional level with notable outcomes delivered that could not have been delivered at national level, thereby meeting the key criteria for a GI. The CEAI has a very committed and supportive SET/SHG which has helped the core team continue to deliver despite the turmoil in WWF Tanzania and ongoing capacity issues in WWF-Mozambique. There is strong integration with the country offices (COs) and national work plans, and the regional programme office (ESARPO); the COs see clear value-added of the CEAI. It also concluded that in general its strategy is overly-ambitious and lacks focus and recommended to highlight the CEAI's transformational strategies and distinguish those from project-based approaches, simplify the strategy (with a focus on transboundary issues), reduce the number of priorities to focus on a few key threats/drivers, drop nonessential components, and submit a revised strategy framework approved by the Shareholder Executive Team (SET)/SHG to the CC. Finally, it recommended the CEAI to continue as a GI for 3-5 years, after which to fully integrate with a regional/sub-regional programme, pending results of the ongoing regional capacity review and other Network decisions resulting from the Truly Global process.

External Mid Term Review

An external Mid Term Review (MTR) was undertaken from August to November 2013. Given that there are often challenges and threats to conservation to be addressed beyond the national scale, the MTR team certainly did see scope for truly transformational work in the CEA region that complies with the above mentioned GI criteria. It attempted to assess the main components and sub-components / strategies that the CEAI was working on at that time (or preparing to work on) against these criteria. The results are presented in the table in Annex XI. While such scoring can never be fully objective or complete, it does provide some insight on the relevance of the strategies and sub-strategies of the CEAI in the light of the overall GI principles. Based on this assessment the MTR concluded that the CEAI portfolio presented a mixed picture with regard to strict adherence to the GI principles. It includes components that comply very well with the set criteria, such as the regional work on tuna and on timber, but also components that are difficult to justify as Global Initiative activities, such as influencing national policies or site-based CBNRM work which is not clearly linked with other CEAI priorities.

However, the fact that some of the activities did not tally very well with all GI principles did in the opinion of the MTR team not lead to the conclusion that these activities should not be part of the CEA GI, particularly in light of issues being faced at the time within WWF TCO and MCO. The CEAI's role should also be seen as adding value in the region by supporting the introduction and piloting of new strategies and approaches that are of a transformational nature and of relevance for the whole region even if they can theoretically be delivered by national actions⁶ and promoting regional learning and exchange. The MTR concluded that the CEAI had taken up this role quite successfully, especially under the Governance component, with its work on Green Economy, SEAs, supporting Civil Society Organisation (CSO) platforms, supporting constitutional revision processes, developing Climate Change Adaptation (CCA) strategies and applying the Management Effectiveness Tracking Tool (METT). Also, apart from the governance activities specifically listed under the Governance component, the CEAI was in fact addressing important governance issues in most of the other components. Many of these are of a transformational and transboundary, regional or even global nature. When taking this cross-cutting work on governance in consideration, the review team largely agreed with the conclusions from the Conservation Committee that governance and

⁶ Added value and Innovation are also explicitly mentioned as guiding principles in the CEAI SP.

trade are the two areas where the CEAI has the highest potential to achieve transformational change at transboundary and regional levels, and provided numerous recommendations accordingly.

These two reviews including their recommendations resulted in a number of specific changes for each of the thematic work areas in the CEAI revised SP (WWF-CEAI, 2014a), and more substantial changes and further streamlining and focus of the CEAI in its Phase 2 SP (WWF-CEAI, 2015a). Concerning the CEAI revised SP this meant a number of revisions of the original set of objectives, the addition of a number of focal areas under the governance and empowerment theme, and increased emphasis on the two transboundary HCVA areas, the Ruvuma landscape and Northern Mozambique Channel, as testing grounds for the application of innovative and effective approaches. The development of the CEAI Phase 2 SP allowed for a further streamlining of the programme prioritizing thematically three main areas i.e., sustainable fisheries, sustainable forests, and sustainable investments. An overview of the transition of the strategic plans from the CEAI Phase 1 into Phase 2 illustrates an increased focus of the programme (see Annex XII). See for more detail the programme overview in chapter 2 above.

3.1.2 Relevance in the regional context

Biodiversity and ecosystems relevance

The geographical scope of the CEAI covers the coastal zones of Kenya, Tanzania and Mozambique, which are all part of the larger East and Southern African Region. According to the CEAI Conservation plan, its foundation is the 4 eco-region programmes in East and Southern Africa where WWF ESARPO was active: The Eastern Africa Marine Ecoregion (EAME), the Eastern Africa Coastal Forest Ecoregion (EACF), the Eastern Arc Mountain Forest Ecoregion (EAMFE) and the Miombo Eco-region.

The **Mid Term Review** team observed that:

- while Kenya, Tanzania and Mozambique can be considered core countries for those eco-regions, the shift from eco-region programmes to CEAI has meant that some parts of the original eco-regions have been left out (e.g. Somalia and South Africa that were part of the EAME, and large parts of the miombo eco-region which stretches all the way to Angola and Namibia). What exactly has led to the decision to limit the CEAI to Kenya, Tanzania, and Mozambique is not made explicit in either the Conservation Plan or the Strategic Plan, and is assumed to be based primarily on pragmatic reasons (the difficulty of working in Somalia, South Africa having its own NO, Madagascar wanting to pursue its own agenda, and donor priorities). However, the CEAI CP already recognised that for tuna and timber trade work it would be necessary to work with stakeholders from countries outside the geographical scope of the programme (South West Indian Ocean [SWIO] for tuna and Uganda and Madagascar for timber trade). The MTR believed such flexibility was vital to ensure maximum effectiveness and impact;
- of the WWF GPF priority habitats and species listed only a few target species have been explicitly included in the CEAI (Tuna and Shrimp)⁷, and of the habitats Miombo is getting the most attention (through the Ruvuma landscape), while from a coastal systems *and* regional perspective mangroves, coral reefs, coastal forests and coastal wetlands would seem to be more logical habitats to focus on. While it is fully understandable and acceptable that other criteria play a role in priority setting it would be helpful to be clearer about these other factors in communicating about it (as that was lacking in both the CP and SP);

⁷ Turtles and sharks are indirectly and partly addressed through the fisheries work by supporting efforts to reduce by-catch of these species e.g. through promoting Turtle Excluder Devices, while swordfish are partly addressed through the tuna work since they are managed by the Indian Ocean Tuna Commission.

- from an ecosystems perspective, the relevance of the programme is limited by the fact that the design has not explicitly looked at the linkages between different ecosystems, in particular the linkages between the coastal and marine ecosystems and land-based ecosystems. The influence of economic developments (hydropower dams, logging, mining, agricultural expansion, etc.) in watersheds like the Zambezi, Ruvuma, Rufiji and Tana river on coastal (including coral and mangroves) and marine ecosystems and its natural resources through changes in water flows and temporisation, sediment loads and water quality are potentially huge (e.g. the shallow water shrimp population depends strongly on healthy mangrove for its reproduction).
- while the importance of ecosystem services (estimated value in the WIO region in 2009 at over USD 25 billion annually⁸) is recognised in both the CEAI CP and SP, the MTR team found very limited evidence that the concept of ecosystem services has been integrated in the work undertaken by the CEAI. While this was expected to change at that time with the work on Green Economy (e.g. the inclusion of natural resource assets and their values in the context of management planning of the HCVA Primeiras & Segundas in Mozambique), the concept of ecosystem services is valid in much of CEAI's work, including environmental policy work, CCA strategy development, SEAs and planning processes.

Except for the inclusion of ecosystem services under its work on the Green Economy the other issues listed above as identified by the MTR were not addressed in the brief CEAI revised SP (WWF-CEAI, 2014a), though this did not exclude the CEAI to undertake work beyond its geographical boundaries when required. The CEAI Phase 2 SP addressed all issues, except the linkages between the coastal / marine ecosystems and land-based ecosystems, at least not explicitly, but this could potentially be addressed through the work undertaken under the sustainable investments stream in combination with work undertaken by the COs.

Alignment with WWF's global / regional / national strategies and programmes

Given WWF's re-prioritization of its programmatic focus which resulted in a new conceptual model, and ongoing restructuring and hence closing of ESARPO and establishment of ROA, this section addresses a number of different aspects of CEAI's alignment with WWF's global, regional and national strategies subject across the five-year timeframe.

WWF's conservation work around the world has since 2007 been guided by the GPF, which defines a biodiversity and a footprint meta-goal for 2050:

- The integrity of the most outstanding natural places on Earth is conserved, contributing to a more secure and sustainable future for all.
- Humanity's global footprint stays within the Earth's capacity to sustain life, and the natural resources of our planet are shared equitably.

Both Strategic Framework summaries from the original CEAI SP and the revised CEAI SP reflect that their conservation strategies and overall CEAI 2015 goal were directly contributing to both GPF 2050 meta-goals (see Annexes V and VII).

In May 2014, the WWF Assembly held in Brazil adopted its Global Conceptual Framework laying out a model of key global drivers which put pressures on the natural capital, places, people and species. Both the CEAI revised SP and the CEAI Phase 2 SP describe and illustrate the alignment of the CEAI Conceptual Framework with WWF's Global Conceptual Framework (see Annexes VIII and X). Also in 2014, the WWF

⁸ UNEP/Nairobi Convention Secretariat. 2009. *Strategic Action Programme for the Protection of the Coastal and Marine Environment of the Western Indian Ocean from Land-based Sources and Activities*. Nairobi, Kenya; available online at http://www.unep.org/NairobiConvention/docs/Strategic_Action_Programme_WIO_Region.pdf.

network initiated the development of a new global planning framework based on six Global Goals focusing on oceans, wildlife, forests, water, climate and energy, and food together with three additional cross-cutting practices to cover the priority drivers of governance, markets and finance. The CEAI will contribute primarily to the global goals on oceans and forests, as well as all three cross cutting practices, while contributing to elements of the other four global goals (WWF-CEAI, 2015a; see Annex XIII).

The Strategic Plan 2011 to 2015 of the ESARPO region distinguished 4 overarching conservation strategies: (i) Creating an enabling environment; (ii) Responding to market forces in high priority sectors; (iii) Securing high conservation value areas; and (iv) Addressing broader climate change, energy and footprint issues. Although the CEAI Strategic Plan uses different wording, the MTR team concluded that:

- the components of CEAI are strongly aligned with these 4 strategies, whereby noted that except for some initial Oil & Gas work, the Energy component of CEAI was never developed and was brought under ESARPO (and with its closing on to the Regional Office for Africa (ROA));
- the CEAI is generally well aligned with the conceptual model of the ESARP SP although two important elements in the ESARP model, habitat conversion for agriculture / settlements and altered hydro-flows, are not being worked on by the CEAI while in fact they constitute key threats to forests and coastal/marine ecosystems, and hence require strong coordination with ESARPO and the COs to ensure these issues are being addressed.

However, as part of a WWF restructuring ESARPO was closed in 2014 and moved into the newly established ROA which developed a WWF Africa 2020 Strategy Roadmap (WWF, WWFb) including an Africa Vision 2020 - *To be an influential and respected conservation organization in Africa; making Africa a model in demonstrating sustainable relationships between humans and nature*. This vision is to be achieved through the support of five strategic pillars: 1. Effective and impact-driven conservation through strategic partnerships, 2. Maximize Africa's impact on global priorities, 3. Strong African ownership and leadership, 4. Strong Africa offices, and 5. Sustainable financing. The CEAI's programmatic focus aligns very well and strongly with these pillars, while the third and fourth pillars are at the core of WWF's ongoing restructuring and decentralisation process guided by its Truly Global Process, and is also supported by the CEAI.

During the MTR alignment with CO strategies was difficult to assess, given that all three COs were at that time developing their country strategies. However, there was a process in place to integrate CEAI work annually into CO work plans which ensured alignment between the CEAI and the Country Action Plans (CAPs), and evolved over time into an even stronger consultative process of joint planning. More recently, the CEAI Strategic priorities are reflected in or fully aligned with the respective Country Strategic Plans for Kenya, Tanzania and (draft) Mozambique. An analysis of the level of conformity between the vision, goals and objectives as defined in the CEAI Strategic Plan on the one hand, and those defined in the Country Strategic Plans is presented in Annex XIV, demonstrating a high level of synergy between the two levels of planning.

Given the above the consultant believes that the CEAI has generally been aligning (and adapting if and when necessary) its SP and approach very well with WWF's global, regional, and Country Office Strategies and programmes.

3.1.3 Programme design issues

Programme architecture

The CEAI’s detailed programme’s design is laid down in the 2011-2015 Strategic Plan. This plan itself is based on the CEAI Conservation Plan, which provides a detailed situational analysis of the CEA region, as well as a strategic framework for CEAI, and as such formed a solid basis for the detailed CEAI design.

The Conservation Plan includes a diagram that shows the sectors and strategies in the form of pillars and cross-cutting rows (figure 3a). In the view of the MTR team this made for a logical model for the CEAI design, with fisheries and forestry (and energy, but that was transferred to ESARPO) as the main thematic areas, and Effective Institutions and Policies, Responsible Trade and Securing HCVAs as cross-cutting aspects (much like the new WWF Global Practice Structure). This logic was presented differently in the final strategy design (figure 3b), where the cross-cutting issues were appearing as pillars, and where the other aspects of the matrix were moved only under the responsible trade column.

Figure 3a - Basic model (CP)

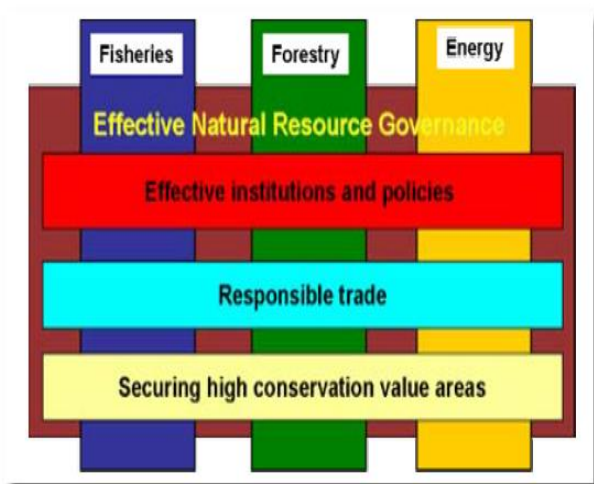
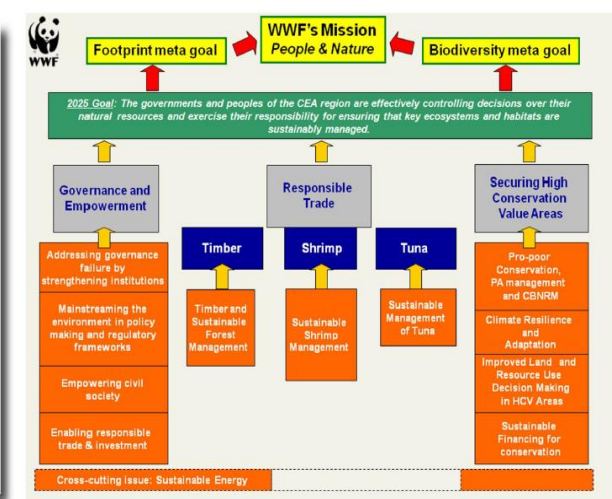


Figure 3b – Detailed strategic model (SP)



To further complicate matters, the programme *implementation structure* was not directly based on the above design structure with strategic components. Instead, the implementation was structured around three thematic areas: Marine (covering both Tuna and Shrimp), Terrestrial and Governance. This is then reflected in a new matrix model, with the programme design structure (based on the strategic components) on one axis and implementation/management structure on the other axis (see table 1 in chapter 2). The review team wondered if this was the best approach to effective management of the programme. It is not only confusing (especially if terminology is mixed up, for example with thematic areas being referred to as components in the March 2013 Retreat workshop report), but it also leads to a further separation among the three thematic areas as for example between marine and terrestrial systems, while from an ecosystem perspective the linkages between them are important.

Given that only one year was left regarding implementation under the CEAI phase 1 these concerns were, understandably, not addressed in the CEAI revised SP. However, these concerns were addressed quite well through the set up of three main thematic areas (sustainable fisheries, sustainable forests, and sustainable investments) in the CEAI Phase 2 SP, resulting in a direct link and strong coherence between the thematic areas and implementation structure, without the further complication of any matrix structures.

Theory of Change, goals and objectives

The programme has been designed with a horizon of 15 years. The overall CEAI goal for 2025 is formulated as “By 2025, the governments and people of the CEA region are effectively controlling decisions over their natural resources and exercise their responsibility for ensuring that key ecosystems and habitats are sustainably managed”. In line with WWF’s Conservation Project and Programme Management Standards (PPMS; WWF, 2012b) the MTR team noted that while this formulation reflects the focus of GI’s on transforming the behaviour of key actors, the goal (which in line with general Logical Framework [LF] logic should describe the long term *impact* to which the programme contributes) should really simply read “By 2025, key ecosystems, habitats, and species in the CEA region are sustainably managed and provide increased benefits to dependent populations”, with the behavioural change aspect more at the levels of specific objectives for each of the (sub-)components, which is considered the *Outcome* level in LF terminology. This also implies that indicators at the CEAI Goal level that relate to behavioural change, such as the Governance Barometer, should really be one level lower. In fact, the same indicator is also used one level lower, namely as target for FY2015 for the sub-component 1.1 (Addressing governance failure by strengthening institutions). At the same time, an indicator related to ecosystems conditions and their management, including the sustainable use of its resources, should really be included at the impact level.

An analysis by the MTR of the sub-component objectives (with horizon FY2015) showed that some of them do indeed emphasise the behavioural changes that the programme seeks to achieve and that ultimately aims to contribute to the 2025 goal (see for example sub-objectives 1.1, 1.3, 1.4, 2.1, 2.5, 3.1), while others, like sub-objective 2.2, are in fact impact-level formulations. It is therefore not surprising that the FY2015 target of sub-objective 2.2, “Area under SFM/PFM increased to 1 million hectares”, also figures as indicator for the overall goal for the end of FY2025.

The confusion concerning the overall goal and related impact indicators versus objectives and outcome indicators would not seem to have been addressed in the CEAI revised SP or the updated version of the M&E plan of 2014 (WWF-CEAI, 2014b; although this document missed the relevant information regarding the CEAI overall goal), what giving only one year remaining for implementation is understandable. However, this still seems to be the case in the CEAI Phase 2 SP despite the fact that it’s rational, at least in the SP descriptions, continues to be based on the regions extraordinary biodiversity and related natural resources in support of people’s livelihoods, which remains very much in line with the GPF’s biodiversity and footprint meta-goals for 2050. The SP states further that one of the M&E and Learning (MEL) objectives is “CEAI has an efficient and integrated monitoring, evaluation and learning system that effectively demonstrates and evidence changes on targeted **conservation outcomes and impacts**, including its contribution to the achievement of WWF’s Global Goals and indicators.” Within this context it is surprising that the formulation of the CEAI Phase 2 overall goal is exactly the same as the CEAI Phase 1 FY2025 goal for the Governance and Empowerment theme. While the consultant agrees with the focus and approach of the CEAI it should be noted that this is not completely in line with WWF’s PPMS logic, and runs the risk that the impact on biodiversity and people’s livelihoods, actually being aimed for, are not monitored and evaluated.

Given that the programme is highly dependent on the performance of its different partners (especially the strategic partnerships and behavioural change-inducing partnerships), the MTR noted also that the FY2015 targets for the sub-objectives were generally set at an unrealistically ambitious level. Achievement of some of the targets were further challenged by changed circumstances (such as for example change of the traditional shallow water shrimp market to mainly Asian markets, with no demand for MSC certified products), and realities (e.g. timber trade and sustainable forest management requiring more time and

resources). These concerns and challenges were, however, addressed in the CEAI revised SP through a number of revisions of the original set of objectives (see chapter 2 above).

The MTR team indicated one important shortcoming was the fact that Theories of Change (ToC) for the overall programme or the components have never been formulated (although they were being developed at that time as part of the internal strategic review process). Component-level ToCs in particular would have made more explicit what behavioural changes the programme was expected to bring about amongst the various types of stakeholders – the essential aspect of the CC definition of transformational change and a critical approach towards achieving the overall 2015 CEAI goal – and would likely have led to a more systematic approach in formulating “behavioural change” objectives at sub-component level. It would also have been instrumental in developing a more explicit partnership strategy, which was lacking at that time but under development by a recently appointed Policy and Partnership Advisor, and similarly would have provided guidance to the communications strategy. These issues were at the time of the MTR being addressed through the internal review process, with ToCs being developed for each of the programme’s components. This resulted in ToCs being included in the CEAI Phase 2 SP for each of the three conservation challenges i.e., sustainable fisheries, sustainable forests, and sustainable investments, the development of a partnership strategy and communication approach.

Risks and assumptions

Some important assumptions as outlined in the original Strategic Plan have unfortunately not held. The assumption that producers, sourcing companies, investors and consumers find the certification schemes like FSC and MSC useful, credible and viable was, with the benefit of hindsight, too optimistic, and hence the livelihood improvements these would bring. The assumption that there won’t be any strategic changes in WWF’s network did also not hold, with WWF’s institutional set up as well as the whole concept of priorities and GIs undergoing major changes. Sadly, the internal risk of corruption materialised at some point at Country Office level and has made it more difficult for the CEAI to effectively implement its programmes.

Another assumption referred to is governments’ willingness and capacity to engage meaningfully with CSOs and Private Sector. This is, however, an issue that the programme itself would have been able to influence, and in fact the CEAI work has resulted in governments opening up and listening more, at least to CSOs, thanks to strengthened platforms for engagement and direct pro-active engagement with certain Ministries and Departments. This is furthermore supported by the multiple MoUs signed with government entities and requests for technical advice and for supporting and facilitating cross-country collaboration.

The MTR team noted that new risks had also emerged during this first period of implementation and relate in particular to the impact of Asian markets on both legal (shrimp, tuna, timber) and illegal (ivory, timber) trade, and to the global economic crisis that has led for example to reduced carbon prices and hence reduced possibilities for CDM / REDD activities as well as to reduced interest in more expensive FSC certified timber. The CEAI incorporated these new realities by adjusting the objectives under the CEAI revised SP.

The MTR also observed that it would be important for the CEAI to better assess possible future risks which could impact the programme. Large investments in developments such as off- and on-shore oil & gas exploration, possible mining activities in priority landscapes, large infrastructural developments (such as the Mtwara corridor and Lamu port) and projects with large land grabbing risks (such as the proposed ProSavana project, a Brazilian/Japanese/Mozambican collaboration for large-scale soybean production in

northern Mozambique) should be tackled pro-actively if the programme wants to be able to influence them in a transformational manner. The need for this was clearly recognized by the CEAI as illustrated by the addition of specific focal areas of work under the Governance and Empowerment thematic area under the CEAI revised SP and the Sustainable Investments thematic strategy under the CEAI Phase 2 SP (for more information see chapter 2 on the programme overview above).

The original CEAI SP also included the assumption that the artisanal tuna fisheries are negligible with respect to the overall stock of tuna in the SWIO (“Also, tuna and tuna like species, at present, constitute only a small proportion of artisanal fish landings, as most fishing fleets stay relatively nearshore.” [WWF-CEAI, 2012, page 24]). It is, however significant in all three counties, with for example a catch of 6,000 tons a year in Mozambique equalling the total catch of the European Union in Mozambique (personal communication D. Gove). Tuna is only one stock which is, however, being caught by artisanal, semi-commercial, commercial and foreign fleets for which reason it was decided to add a focus on artisanal tuna fisheries in the CEAI revised SP.

Livelihoods and Gender

Livelihoods and gender issues were commented on in a number of external reviews as follows.

Mid Term Review

To the MTR team it was clear that at a general level livelihood and gender issues were not well integrated into the programme’s design, as also observed by several NO representatives who engaged with the CEAI core team to obtain better recognition for these issues in objectives and targets. The CEAI Conservation Plan includes only a short paragraph on the “people of Coastal East Africa” (page 21 of the CP), but no further livelihoods or gender analysis (it only mentions gender mainstreaming as one of the operational principles). The Strategic Plan does not include any section at all on livelihoods or gender, while it does explicitly mention WWF’s commitment to pro-poor conservation (page 13). This lack of attention for livelihoods and gender is also reflected in the original SP results framework summary and related M&E plan, where only the objectives of Timber and Sustainable Forest Management, Sustainable Shrimp Management and the HCVA component explicitly refer to the link with livelihoods (by mentioning benefits for the local population), while at overall goal level there is one indicator relating to livelihoods impact (“Benefits from sustainable natural resources management to dependent population in priority land/seascapes”), which is actually a repetition of the indicator under the HCVA component. Gender is mentioned only one time in the SP under the Innovation section (“participatory and gender sensitive planning”) but the logical framework is completely gender-blind, both in the formulation of the objectives and in the indicators, i.e. no disaggregation in men / women. Within this context it should be mentioned that although WWF has a gender policy, gender aspects are weakly, if at all, incorporated in for example the GPF monitoring and reporting system and WWF’s list of global programme indicators, so it appears not to be an issue that is specific for CEAI. The internal review was also seeking to strengthen the livelihoods aspects of the programme but this was, however, not reflected in the CEAI updated M&E plan of 2014 but has been worked on in different ways as shared later in the report.

External donor evaluations

Over the course of the first 5-years, quite a number of external donor evaluations and field visits have been facilitated by the CEAI. This concerns in particular, evaluations by DFID (UK), DANIDA (Denmark), MFA (Finland) and SIDA (Sweden). While in general the performance of the CEAI was very positively considered (as for example regarding CSO support and capacity building, its innovative approaches and advocacy, green growth, as a strategic partner for CSOs, governments and private sector, and monitoring and

reporting systems are relatively well developed regarding NR and CSO indicators and the relationship between programme implementation and strategic goals) despite certain challenges, in most cases it was noted, like the MTR, that the programme should maintain a stronger focus on the livelihoods, gender and human rights aspects of its conservation work, but that this would be more challenging to address on a strategic level⁹. In addition, in most cases there was a strong call for continuous and expanding engagement of civil society organisations, as well as capacity building activities in this regard. In follow up to these recommendations the CEAI subsequently commissioned a study into the livelihoods, gender and human rights aspects of the CEAI.

External review of livelihoods, gender and human rights aspects of the CEAI

In May 2014, the CEAI, in coordination with WWF Denmark, commissioned Community Insights Group (CIG) to conduct a review of the Gender, Livelihood and Human Rights (GLHR) aspects of the CEAI (WWF-CEAI, 2014c). The review includes CEAI work in policy and advocacy at a national and regional level, as well as selected aspects of specific programmes implemented in the priority land/seascapes by the three WWF Country Offices: WWF Kenya (Lamu-Boni-Dodori), WWF Tanzania (RUMAKI) and WWF Mozambique (Primeiras e Segundas). The findings are organised around organisational aspects, teams' capacity, and programme strategies as basis for key recommendations regarding a capacity building strategy on social aspects (such as staff capacity, training programmes for existing staff, as well as for integrating LGHR aspects in job descriptions, whereby noted that most of this capacity would have to be build into country offices structures) and for strengthening and mainstreaming specific social aspects on gender, livelihoods and human rights issues into programme documents, including CO strategies.

In response to the recommendations the CEAI core team developed a management response, agreeing to numerous recommendations to be incorporated into the design of the CEAI Phase 2 SP. It did, however, also critically assess several recommendations given the mandate rests actually with other entities such as COs or the WWF Sustainable Development for Conservation (SD4C) team, or required substantial funding. It developed subsequently with support from several NO representatives a work plan for capacity building and mainstreaming of LGHR approaches of which aspects are included into the CEAI Phase 2 SP, and developed a specific assessment tool to subject strategies to LGHR aspects and in particular, and more appropriately, WWF's 2010 Principles and Policies for the social dimensions of conservation and natural resources management.

To the understanding of the consultant WWF remains to be a conservation organisation which recognises, that in order to achieve sustainability, it will be critical to address people's rights and livelihoods, as reflected in its GPF. This means that the LGHR review should not lead to the CEAI becoming neither a (semi-) development programme nor one that concerns itself with LGHR issues in a way that results in stand-alone ToCs – as proposed for women in conservation – or goals. At the same time it would be important though to integrate these socio-economic concerns and approaches *within* its conservation objectives and approaches, and related programme planning and MEL systems (which for example would still allow for, as agreed upon by the CEAI, ensuring the collection of gender disaggregated data and analysis of gender-specific dimensions in natural resources management). It is noteworthy how well the socio-economic aspects are now reflected in the text parts of the CEAI Phase 2 SP and under the objectives of the three

⁹ While the consultant agrees with this observation it has been surprising to him that the DANIDA Review (WWF-Denmark, 2013) recommended to end the support to the tuna and shrimp work despite clear dependencies of communities' livelihoods on those fish resources, as clearly argued and documented by the WWF / CEAI.

main areas, however the consultant observes that this requires further work regarding its ToCs (LGHR aspects are included only under the sustainable fisheries ToC); its detailed thematic strategies – gender is not mentioned nor human rights, livelihoods just one time (under sustainable fisheries) and benefits only a few times; – and its 5-year key results framework which of all LGHR aspects mentions only those concerning benefits (under sustainable fisheries). While these shortcomings could be a reflection of the CEAI core team focusing in particular on policy issues (governance and trade) and advocacy at the regional and national level – with COs being responsible for the land-/seascape level work directly impacting people’s livelihoods¹⁰ – the LGHR aspects should also be addressed and incorporated when and where appropriate at the policy level so as to ensure an appropriate enabling environment for achievements at the field level. Finally, the LGHR review recommended employing a Social Development Advisor to coordinate the work in the region, to which the CEAI agreed, but with the recent decision of moving the CEAI components into the COs it is unclear if and how this will be addressed.

3.1.4 Conclusions regarding the relevance and quality of design

The original CEAI design has undergone a number of changes, in particular in the transition from the first into its second phase. Supported and guided by internal and external reviews, and their recommendations being addressed professionally by the CEAI and its SHG, resulted in a much more streamlined and focused CEAI Phase 2 Strategic Plan. This also resulted in a stronger separation between the CEAI core team addressing mainly the drivers and the COs the pressures (see Annex X) of the prioritised conservation targets. The consultant believes that this has significantly improved the relevance and quality of the CEAI design and that this, together with the solid foundation achieved with the work undertaken during the first five years of its operations, has set the stage for WWF to harvest substantial outcomes and impacts during its second phase. It would therefore be of the utmost importance that the transitioning of the CEAI into the COs – initiated by a wider network decision that GIs as a structure would be resolved and decided on in more practical terms recently by the CEA-GI SHG – is managed with great care so as to not lose momentum, miss out on “the harvesting of successes”, lose efficiency of its regional operations, avoid the risk of having to re-invent the wheel or lose results on the investments made into the programme, or even worse, lose credibility as an organisation with key partners. In this respect it would be recommended to reflect on how, as perceived by some, WWF lost its leadership in the wider marine work in the region about six years ago when transitioning from the EAME into the CEAI fisheries work.

3.2 Efficiency

Efficiency of CEAI’s operations concerns in particular aspects such as the budget and expenditure, roles and responsibilities (including hosting arrangements and planning processes), and its governance and management (including staffing), in addition to a few general key factors which have impacted on the programme’s efficiency.

Key factors affecting efficiency

The key problems that have affected efficiency of the CEAI during its first phase the most are issues that are outside the direct control of the CEAI. It concerns the problems in the Tanzania and Mozambique COs¹¹ during 2012 and 2013 that have led to the departure of a large number of staff, and the subsequent

¹⁰ In the first two years of the CEAI also landscape level work, while attributed to COs, was part of CEAI reporting but as this became too complicated the SHG decided from then onwards to report on CEAI core team work only.

¹¹ This concerned in TCO internal corruption issues and in MCO leadership and capacity challenges.

introduction of very strict accountability and control systems. As is often the case in such circumstances, the organisation went a bit overboard in its effort to avoid similar problems re-occurring in the future. While understandable, this has led to a high level of bureaucracy and related delays, with a large number of signatures required for anything from small purchases to consultancy contracts. The problem appeared to be further compounded by the introduction of a new grant management system (Cradle-to-Grave), which is in the process of being replaced now by a new system. Despite these investments in electronic systems a lot of paper is still being moved around. Without exception, all staff interviewed by the MTR team that were affected by this mentioned it as a serious problem, not only undermining the programme's performance but also the motivation of staff. It is also relevant to note that, if it would not have been for CEAI's role and standing in the region, several NOs would actually have withdrawn their resources from several COs in the region.

Probably the most damaging effect of these rigorous control systems was the delay in disbursement of the annual budgets to the COs. While the financial year starts in July, funds have at times in the earlier years only been made available by November. Combined with the fact that COs were not allowed to advance funding from other funding sources, activities had at times been halted for several months on end. The situation seemed to be improving with funds for FY2014 having been disbursed to the COs in September. This was however still later than acceptable. Further discussions between TCO and the CEAI resulted in the signing of a Service Level Agreement (SLA) in late 2013 – including an understanding on different roles and responsibilities, local procurement procedures, expectations and turn-around times such as for sub-contracts and payment requests – which has improved the situation significantly. There remains however room for some further improvements, as for example explained in the section below on budget and expenditure in relation to roles and responsibilities under basket funding. Also, the MTR had recommended simplifying protocols and systems without compromising check and balances (#7.2). In response, TCO did undertake in late 2014 an analysis to assess risks and to identify which steps could be simplified as a way to shorten the sign off procedures (e.g. director not having to sign off on everything, avoiding that certain individuals have to deal with a request up to 4 times) but the proposed changes have not been approved yet and thereby WWF is missing out on the opportunity to improve its efficiency.

The large staff turn-over that resulted from the problems in TCO and MCO have also negatively affected the implementation efficiency of CEAI, with a lot of institutional memory being lost, and new staff requiring time to build up their knowledge and understanding of the CEAI, and for re-building relationships with partners. Understaffing has been another issue, for example MCO having only one person to address all the office marine work for the whole country. In addition, the China Shift GI, an important strategic partner for the CEAI, had also suffered from a large staff turn-over and its subsequent move into the China Country Office and this has led to further delays in work related to those responsible trade elements that include China / Chinese investment.

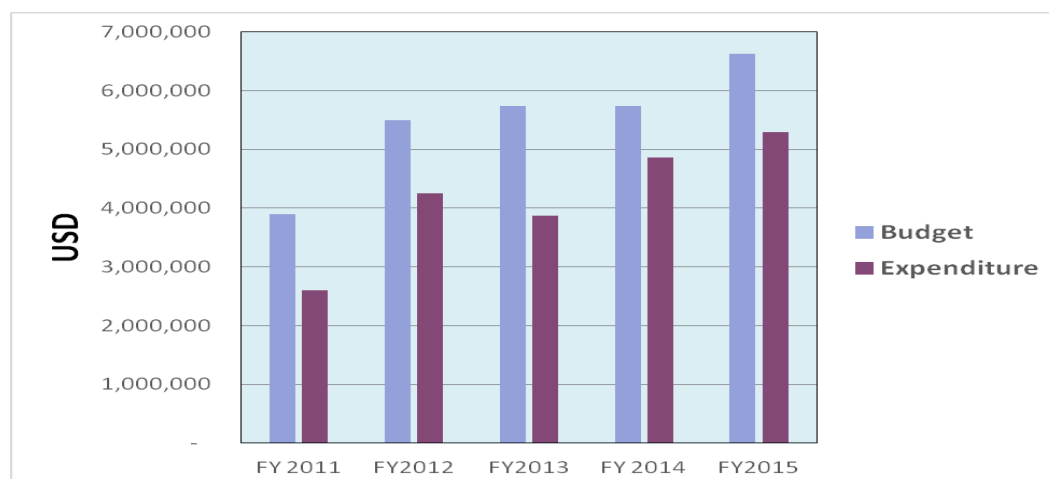
Finally, the management of bank accounts rests with WWF-International including the setting of limits mandated to different WWF entities, a procedure which was already in place before the TCO issues emerged and which are very common for NGOs. For COs the limit is set at Swiss Franc (CHF) 100,000 which is actually low. Everything above that amount has to be signed off by a ROA Director, with amounts above CHF 200,000 to be signed off by WWF International staff. Sign off may take approximately two weeks, but when people are travelling it may take longer. Furthermore, the organisation does not allow e-banking which causes delays in actual transfers which have been authorised, but the organisation is currently testing e-banking including a pilot in KCO. This situation also impacts the efficiency in field offices with funds only being provided by cheque and, due to a WWF International rule, specifying a signatory limit of

CHF 5,000 at Programme Manager levels, unless prior authorization is given by the Country Director (who has signatory authorization up to 100,000 CHF). In the Ruvuma landscape in Tanzania this is further compounded by the fact that the Tunduru office account is not in use – as it does not have the appropriate signatories, a situation which is related to the staff turnover in the office, impeding confirmation of signatories (not allowed for the duration of probation period). For this reason staff’s individual accounts are being used which generally allows up to about CHF 9,000 for multiple activities (to limit risk/exposure of individual staff; although exceptions are made). Given the development of an overall Ruvuma landscape strategy the consultant proposes that WWF should consider if staff could be expected to deliver under such stifling banking rules, even more so if the problems that emerged were not caused by this office.

Budget and expenditure

Figure 4 shows the total budgets and expenditures across all five years of phase 1, with the annual burn rate fluctuating from 67% in FY2011 to 77% in FY2012 back to 67% in FY2013 to 85% in FY2014 and finally 80% in FY2015. Given the major problems that the programme has encountered during 2012 and 2013, and that are largely outside its direct sphere of influence, and the many parties involved in the implementation of a large regional programme these expenditure ratios are in fact very acceptable. Of the total expenditure 24% was subcontracted to partner organisations, of which 59% by COs and 41% by the CEAI, which is a good reflection of WWF putting in practice its belief about the relevance of working with and through partners. From FY2011 to FY2015 the CEAI annual budget increased by 70%, while the actual amount of annual expenditures doubled with a small dip in FY2013 for reasons mentioned earlier. This means that the CEAI facilitated for the actual financial resources used, including by COs, to double over the five years, which is a recommendable achievement.

Figure 4 - CEAI budgets and expenditures by fiscal years



The total budget across all five years was US\$ 27,5 million (including carry-over amounts from one year into the next) and the total expenditure US\$ 20,9 million meaning the average burn rate across all five years of phase 1 was 76%. This percentage would, however, likely have been higher if the system of advances would have been more flexible (a new advance could only be given if the previous one was cleared, irrespective of whether the new one was for an unrelated activity).

A breakdown of the average burn rate by cost category against the amounts budgeted across all five years of Phase 1 is provided in table 2. Staff costs were at 78% , very much in line with the 76% average spending what is very appropriate and good as often staff cost expenses are at 100% even if the implementation

work is not, also given that this was the largest budget category. Office running costs were overspent by 69% what possibly could have been a consequence of the fact that the management costs – only to be charged against actual expenditure – could not be fully recovered as budgeted and that it concerned only a small amount (2.7% of the overall budget). Two other cost categories that were a bit overspend are travel & subsistence and meeting and training costs and discretionary / contingency. The overspending on this latter category is not surprising given the number of “categories” it included and the need for emerging issues to be covered, and also that it concerned only about 3.5% of the overall budget. This cost category had no budget allocated the first two years, did spend less than budgeted in the third year (17%) and did overspend in the last two years. The overspending on travel and subsistence (on average budgeted at 12%) reflects most likely the reality of operating a large regional programme, and it should be noted that the overspending occurred in FYs 2013 and 2014 when this cost category had its lowest budgets allocated. Therefore, both cost categories could have been originally under-budgeted instead of being actually overspent.

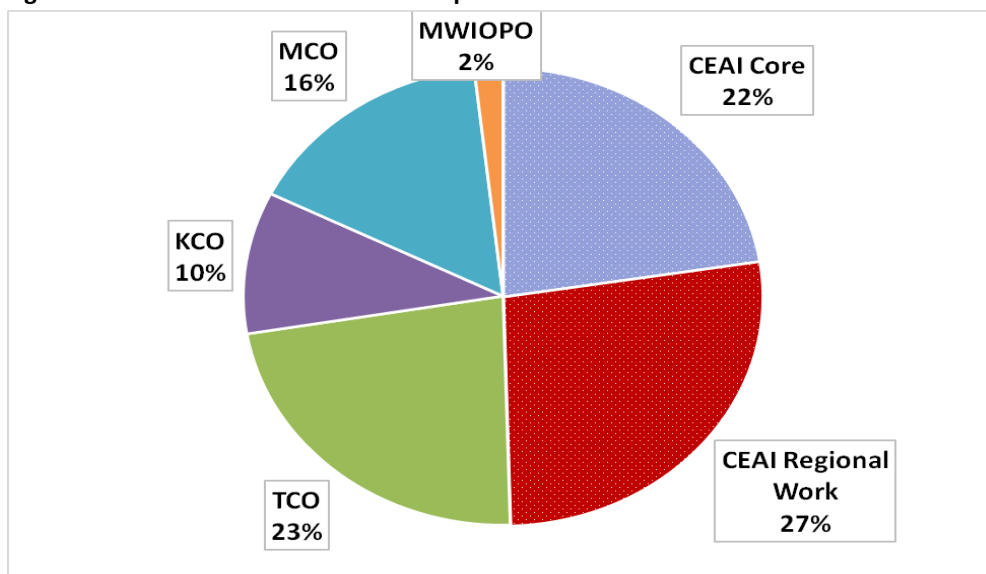
Table 2 – Average burn rate by cost category across all five years of CEAI Phase 1.

| Cost category | Percentage Spending | Total Budget (US\$) |
|--|----------------------------|----------------------------|
| Staff costs | 78% | 8,603,410 |
| Third party fees | 56% | 4,067,562 |
| Other grants & agreements | 53% | 5,149,823 |
| Travel & Subsistence | 110% | 3,294,140 |
| Communications & fundraising costs | 39% | 878,506 |
| Meeting & Training costs + Discretionary/Contingency | 121% | 974,945 |
| Office running costs | 169% | 741,363 |
| Field running costs | 67% | 643,038 |
| Capital asset costs | 36% | 605,006 |

The Management fee system is quite complex and varying from NO to NO. For example, WWF Denmark, does not allow any management fee charge, WWF Norway allows 7% where others allow the standard 12.5%. For this reason, when the CEAI started, it sub-contracted including an average 8.5% management fee (which is WWF’s network standard), but this has gone up to 12.5% meaning 1.5% for TCO and 11% for the sub-contracted entity (COs or partners). This was made possible by reducing management fee charges on CEAI core team implemented activities to 4% (to cover TCO admin costs). This is a commonly acceptable management fee rate. The accounts are undergoing annually a general audit (in December) and also specific donor audits (e.g. DANIDA), which is a common and good practice. The consultant did not have the opportunity to look into these audit reports but as none of the interviewees raised any concerns about them it would seem that no major issues were identified during these audits.

The pie diagram in figure 5 illustrates the distribution of the overall five-year expenditure across the WWF entities implementing CEAI work whereby noted that the distribution between CEAI regional work and TCO is a best estimation. On average about US\$ 941,000 was spent per year on the CEAI core team operations of which 80% was on staff, travel and subsistence, and office running costs. In addition, the core team spent approximately US\$ 1.13 million on CEAI’s regional work and support, representing together 49.5% of the total CEAI expenditure. Hence, 50.5% was allocated for CEAI work undertaken by the COs, including a small allocation for the Madagascar and West Indian Ocean Programme Office (MWIOP). Of these CO allocations on average 49% was spent on internal costs (staff, travel and subsistence, and office running costs). The staff costs in MCO were proportionally higher than for KCO or TCO meaning a higher level of transaction costs and lower level of efficiency in general.

Figure 5 – Distribution of CEAI Phase I expenditure across WWF entities involved with implementation



As mentioned earlier, during Phase 1 the CEAI annual budget increased with 70% largely covered by support from NOs, carry-overs from previous years, and a few minor additional funding sources. However, in relation to the ambitious 2015 objectives and the scale of operations, the funding levels are considered low. The component that was until 2013 most affected by under-funding was the Ruvuma Landscape, at which time the CEAI was able to recruit a number of dedicated staff for work in this landscape, with further allocations made as part of the CEAI revised SP (see chapter 2 above). Staff capacity for Climate Change Adaptation has also been very limited (one staff at 50%) which was phased out during implementation of the revised CEAI SP, but there has nevertheless been progress in this area focussing on HCVAs.

The CEAI was set up intentionally with a lean team of experienced and well-qualified staff providing strong technical input and bringing in regional and international perspectives, in an efficient way on behalf of the three countries. Apart from the examples mentioned above (and under the governance and management section below) staff resources are generally considered adequate and the consultant has been impressed with the level of competence and motivation that it has generally encountered during the country and field visits, which has compensated at least partly for the relatively low funding levels considering the 2015 objectives. It was shared by several of the CO staff interviewed that in addition to the financial resources the CEAI had secured for work by the CO, it also provided for a platform bringing in advice and much wider experience, and made it relevant to work together as a team given limited number of staff in the CO.

About all people interviewed were extremely positive about the basket funding approach developed by the CEAI. This approach meant that most NOs directed a part of their contributions (an average of 63% during Phase 1) to a CEAI general or unrestricted fund to be allocated flexibly towards implementation and achievement of the Results Framework as agreed upon by the SHG, instead of towards a detailed work plan or specific projects or activities (the other 37% was broadly restricted to specific areas of intervention). The same applied to the reporting i.e., the CEAI could provide general (semi-)annual reports against the Results Framework instead of detailed donor specific project reports. This allowed first of all for a more efficient way of operating and administration, secondly for the allocation of sufficient resources to interventions in need thereby optimising a co-funding approach, thirdly flexibility to address critical emerging issues or increased understanding about how best to address priorities, and fourthly to generate funding for a CO through the CEAI which could not have been funded directly by a NO. It also resulted in greater

accountability which helped the NOs operate more efficiently, and it increased the trust regarding delivery and in turn more financial resources for the region as a whole. Finally, it is essential that much of the budget is covered by basket funding to ensure strategic focus and reduce the need to source additional funding, which is often project oriented and therefore shaped by donors' interest rather than by a strategic assessment of where the CEAI would require additional resources to deliver transformational change. In spite of this, the CEAI has managed to ensure that such project funding is aligned with the CEAI overall design and strategies. A breakdown of funding by donor by year, their respective total contribution to the CEAI during phase 1, and as percentages by year and of the total CEAI budget is provided in Annex XV.

Though one concern expressed regarding the basket funding approach was the lack of detail against which financial requests were to be screened, also given that the financial system does not allow for lots of detail, in particular when being held accountable once signed off on such requests. The consultant understands this situation as a need for clearer separation of roles and responsibilities i.e., programmatic staff to sign off on and being held accountable regarding decisions if the request is part of the agreement with the donor(s) and if the intervention would provide value for money, while financial staff to sign off on and being held accountable regarding if the request is within the financial parameters of the particular budget line(s). These two distinct responsibilities should be separated clearly, and not remain a shared responsibility as perceived by some financial staff. This perception puts unnecessary stress on staff and causes delays in signing off on requests, and if not addressed would reduce the flexibility provided for by the basket funding model. Another concern has been at times that the CEAI received the funding and hence had to deliver putting additional pressure on the team in case of limited capacity in COs.

Roles and responsibilities

The earlier problems in the TCO office had their impact on the hosting arrangements between the TCO and the CEAI. This was picked up by the new TCO director who started early 2013 and the CEAI Team Leader (TL), and a joint action strategy was developed that defines key issues regarding the TCO/CEAI hosting relation and actions for improvement with clear roles and responsibilities. Certain key aspects were also formalised in a Service Level Agreement (SLA) between TCO and CEAI (see *key factors affecting efficiency* above). These steps improved the working relationship significantly. The presence of the CEAI in TCO, representing about 50% of its budget, is seen by TCO staff as helping to strengthen the office's financial operations and demonstrated the capability of managing a large regional programme. CEAI's location in TCO also meant that it did get involved at times in TCO's programmatic work as for example on governance and Ruvuma, which has not been the case with KCO and MCO as those relationships were defined by sub-contract terms mainly. Except for the final steps of contracts and payment requests, which have to pass through TCO, the CEAI Finance Manager is able to operate quite independently including CEAI strategic issues and the preparation of relevant documentation and the CEAI donor relationships, subject though to approval by the CEAI TL and Thematic Leaders.

The MTR concluded that the efficiency of CEAI's planning processes showed a mixed picture. The planning within each component was well organised and the CEAI has done a commendable job in strengthening the integration between its own planning and the planning at CO level, with the CEAI country level activities being fully integrated in the Country Action Plan Monitoring System (APMS) of each of the three countries (including Madagascar for the tuna fisheries work). This achievement was and is also recognised by the COs and has gone some way in allaying sentiments in the COs that funding for the CEAI has led to reduced funding for the COs. Also, in the beginning the CEAI used to contract COs for each individual project, but this was changed into a single CEAI sub-contract with each CO annually, which greatly reduced unnecessary administrative burdens. Work plans were contracted to COs by performance on an annual basis, aligning

results at different levels through output / outcome based budgets. Advances provided to COs were about 40-60% and performance was monitored quarterly by the assigned CEAI technical manager, for both technical and financial aspects i.e. spending against actual performance. All in all this has made for a more efficient way of collaboration between the CEAI and COs, though with some different perspectives from across the COs.

On the other hand the MTR team observed that the coordination of planning *between* the CEAI components could and should have been stronger. It appeared as if each component was working independently of the other, while clearly there are strong inter-linkages between the components that can and should be used to strengthen the programme's impact. For example:

- The work on the ground in the Ruvuma landscape seemed to be largely disconnected from the work on timber trade, while there could and should be strong synergies e.g. in FSC work or linking field level and high level engagement with Chinese companies for SFM. – This concern was addressed by the CEAI together with a number of partner organisations to roll out successfully Participatory Forest Management (PFM) in the last year-and-a-half of phase 1.
- It is not clear how the work on Climate Change Adaptation was being used concretely in other CEAI interventions in the land- and seascapes. – Under the CEAI Phase 2 SP the work on climate change adaptation is discontinued, and following the site-based climate change adaptation work under phase 1 actual implementation is fully devolved to the COs (see Annex XII).
- The Forestry and Marine components are predominantly addressing governance and trade issues, but they are not benefiting optimally from the Governance component as the latter focused largely on its own portfolio of governance issues. – Under the CEAI revised SP new specific focal areas were taken on board such as influencing the political level engagement between China and Africa through FOCAC and under the CEAI Phase 2 SP by linking both the sustainable fisheries and sustainable forests themes with the sustainable futures theme “which focuses on reducing the growing pressures on forests, fisheries and other natural resources resulting from the rapid and large-scale developments in the region” (WWF-CEAI, 2015a, page 16).

One aspect that remained on the agenda throughout Phase 1 was the discussion on attribution i.e., who should take credit for which achievement. A number of discussions on the subject were held with the Share Holders Group (SHG) which helped to define it more clearly (that the CEAI could report on all levels as long as it was clear about the COs' contributions). While the relevance of this discussion could be understood from an internal WWF perspective, most partners and other people from outside look at WWF as one organisation making this discussion completely irrelevant for them. Secondly, being able to operate at different levels is a key strength of WWF as for example illustrated by the Green Economy work in Mozambique. There is clear recognition by people closely involved that the CEAI played a pivotal role to get this work started and engaging key international partners, that the MCO Director was instrumental in engaging the government, and that in particular basket funding provided financial support for this work. The achievement by WWF was made possible through this collaboration, understanding that most likely not one of those three entities would have been able to achieve this on its own.

Governance and management

The CEAI is led by a Team Leader (TL), hosted at the TCO in Dar es Salaam. The TL line manages and is supported by a core team that has a number of key functions including the leads for each of the three thematic areas - Marine, Terrestrial and Governance plus positions on Trade & Investment, Oil & Gas (until 2012), Climate Change Adaptation (part-time), Ruvuma Landscape, Communications, Finance, Logistics and Administration, Monitoring, Evaluation & Learning, and later on Policy and Partnership Development (since

2013). This core team was responsible, in consultation with the COs, for establishing the strategic direction, annual planning and management (including line management of other staff) for the various components of the CEAI. Much of the implementation is then coordinated through the COs. While this set up has had its challenges deliberate efforts were undertaken to get these addressed and the CEAI has done a remarkably good job in trying to harmonise CEAI with CO priorities and involving COs closely in the planning exercises, the implementation of activities, and M&E. This has been improved on over the years. In this regard, highly positive feedback was received with regard to the management, networking and engagement skills of, in particular, the overall CEAI Team Leader. Similar feedback was received regarding the high calibre, technically very competent, experienced and dedicated staff in the CEAI who collectively “have raised the bar” in the region and beyond and are working hard to make an impact at a number of different levels. About 40% of the CEAI staff was housed in the COs, with some working part-time for both the CEAI and the CO concerned, resulting at times in a time struggle given the immediate pressure of issues relevant for the CO.

Nevertheless, a certain level of resentment still lingered at CO level (and when still operational to a lesser extent at ESARPO level) as they perceived the CEAI to absorb most of the funding for the region, even though in reality an average of 50% of an ever increasing amount of funding – thanks to the trust build up by the CEAI over the years – went directly to the COs. To address this concern the MTR team had proposed that a further clarification on the *niche* that the CEAI focuses on would be helpful to define clear roles and responsibilities across CEAI, COs and ESARPO (and now ROA) based on recognising the added value of each entity and all contributing to WWF’s mission. Ideally, this was to lead to the CEAI focusing on work meeting as much as possible the GI criteria as defined by the CC, combined with facilitating the piloting and testing of innovative approaches in the region with the idea that where and when possible these are to be transitioned over time to the COs. The CEAI very much put that into practice, first as part of the CEAI revised SP and even more so under the CEAI Phase 2 SP (for more information see chapter 2 above), and through improved joint work planning, more open communication and team building. Most interviewees indicated that the roles and responsibilities were quite clear and well defined (for some from the beginning for others since these improvements) and that the CEAI sub-contracts with each CO were instrumental in specifying deliverables. Furthermore, certain CO staff were requested to provide support to their peers in other COs but were unfortunate not able to do so due to time constraints and more urgent priorities within the own CO.

The CEAI “inherited” several key partners already engaged by the eco-region programmes. However, the lack initially of a partnership manager meant that the CEAI had no coherent strategy on identifying (other) key partners to work with, a situation that worried the MTR team given that the key focus of the CEAI should be on achieving behavioural change amongst key stakeholders. This situation was corrected with the appointment of the Policy & Partnership Advisor during 2013 and subsequent development of a partnership strategy. As described above (under 3.1.3, section on livelihood and gender issues) the team would also have benefitted from having a Social Development Advisor to ensure a stronger inclusion of community livelihood, gender and human rights aspects across the programme. The contributions of the Head of Governance to TCO work, in combination with his health situation and his unfortunate passing, impacted the anticipated CEAI achievements under that work stream (his work in TCO was taken over by the Governance and Policies Officer while KCO already had a strong governance team). Also, the departure of the Ruvuma Coordinator and delays regarding his replacement also impacted on the progress in that priority landscape. The leadership change under the Terrestrial component, on the other hand, went very smoothly and worked out well.

The CEAI has been fortunate to have had an active and functional SHG and SET during phase 1 which, despite a slow start and being a large group, provided critical strategic guidance, support and continuity. Most interviewees were very positive about the SHG as it did bring the network (COs and NOs) together through a regional programme, one of a few if not the only one in WWF, allowing different perspectives to converge around consensus – instead of a traditional donor recipient relationship – and thereby coordinating funding and optimising the efficient and effective use of limited resources on a regional level and managing expectations (though it was by some interviewees seen as a restrictive extra layer in the organisation). The pro-active role of the first chairman, in this position since the inception of the CEAI and throughout phase 1¹², in all of this is recognised broadly, allowing the CEAI team go on with its job of actual implementation along the directions and lines agreed upon. For these reasons the MTR team concurred with the decision taken at the Maputo SHG meeting in September 2013 that the set-up and operations of the CEAI SHG / SET was working out well and that it should not be changed, as to ensure stability and continuity in turbulent WWF times. However, the MTR team did see a stronger role for the SHG in convincing other donors to provide basket funding and to support market linkages regarding the trade and investment work of the CEAI. Another role that required more attention in the years following the MTR was the provision of directional guidance and support to the different change processes underway in WWF, in particular regarding the role and responsibilities of the different WWF entities linked to the CEAI, also in the context of what is shared above regarding collaboration, cooperation and value added. Comprised of representatives from COs and NOs, members of the SHG did hold different opinions regarding the change process, but in reality that hardly mattered as WWF’s Leadership had already made a decision about transitioning all remaining GIs into COs by the end of FY16 as part of the Truly Global Process, and mandated ROA to undertake and guide that process regarding the CEAI.

3.3 Effectiveness

In assessing the effectiveness of the CEAI, the consultant has used the revised CEAI Monitoring and Evaluation Plan of June 2014 as the key reference document as this is the most recent version and the one against which the CEAI has been reporting since. Most relevant changes were shared in chapter 2 and related annexes. The assessment was undertaken primarily by assessing overall progress towards the targets set for the FY2015 objectives as formulated for each of the (sub-) components of the programme. This chapter also presents briefly main findings for two “Key supporting elements” (Communications, Partnerships), which are also included in the CEAI M&E plan.

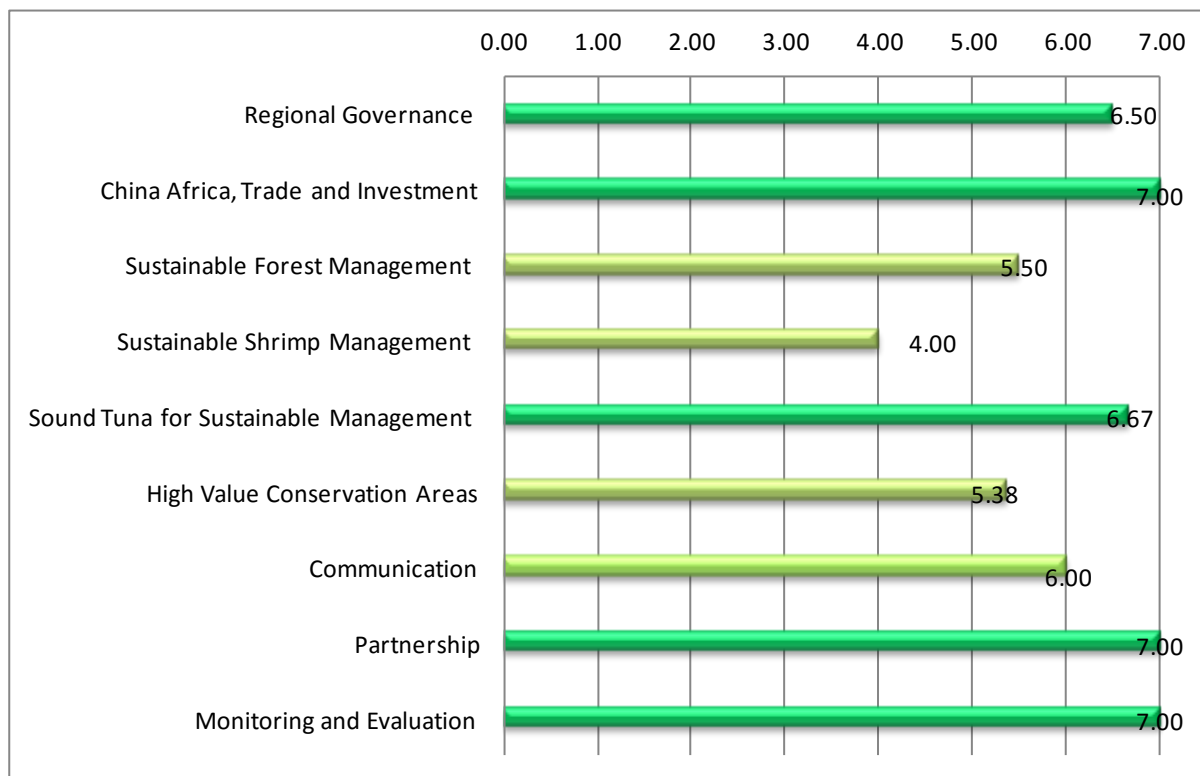
3.3.1 Assessment of the components

The CEAI keeps track of its own progress by submitting WWF Project and Priority Programme Technical Reports (PPR) by Calendar and Fiscal Year, including updates against the CEAI M&E Plan. These are peer reviewed one time per year and generally received as informative, comprehensive, fair and good. However, some interviewees expressed concerns regarding the ongoing lack of reporting on livelihoods, gender and human rights aspects despite the work undertaken and progress made on these issues, in particular during the last two years. The CEAI Monitoring Plan report does include a scoring – by using a tool developed by WWF and applied by the CEAI every six months – to indicate average performance by component against targets set. A scale from 1-7 is used whereby 1 represents the component performance was very low, a 4-5 indicates moderate shortcomings, a 6 that it achieved its target, and a 7 that it went beyond the target set.

¹² This position was transitioned to the KCO Director in August 2015 but with the CEAI being moved into the COs it is actually unclear to the consultant if the SHG / SET will continue to operate.

Despite the fact that such ratings should be and are supported by evidence they are at times somewhat subjective, in particular regarding the scores below a 6, but it does nevertheless provide an overview of an assessment of general performance. The scoring for the CEAI's components by the end of Phase 1 is provided in figure 6.

Figure 6 – Average CEAI component scores on Key Performance Indicators as of June 2015 (WWF-CEAI, 2015b)



These scorings result in an average score for the CEAI of 6.1 which is a very commendable achievement, particularly in light of the challenges that have affected the programme (problems in TCO and MCO, major changes among China Shift Initiative staff, and ongoing restructuring in WWF). Against an average score of 5.6 in December 2013 it also signals a strong improvement in a short time in response to most reviews of the programme.

As recognized in the CEAI PPR FY2015 report (page 13) “The areas of weakest performance were the shrimp work in Mozambique, which has shown relatively slow progress due to a combination of external conditions (e.g. political changes, general collapse of the fisheries) and internal conditions (staff and office capacities), as well as on the climate change adaptation component; the latter largely due to capacity challenges at the land/seascape programmes. Nevertheless, all programme components have achieved well against the FY15 performance targets, with in particular Governance, Tuna and the Support Programmes (M&E, partnerships and communications) all performing above expectations.”

The consultant agrees that the programme has performed generally well and that it has achieved well against the FY15 performance targets, and therefore supports the above findings based on a review of relevant documentation and opinions received from interviewees as shared by components below. However, it seems that some of the scores reflect a trend or values against the targets set in the M&E plan without questioning some of the component’s broader ambition. For example, based on a review of the material provided, work under the communication component has improved since the MTR and has been

guided by a communication strategy. It would, however, have benefitted from a clearer link with the ToCs and partnership strategy in support of achieving real transformation (e.g., while government policy/decision-maker and private sector are listed as target audience in the communications strategy, the proposed external communication mix does propose mainly general promotion methods instead of very strategic and targeted methods). Also, the regional support and capacity building in M&E has improved the capacity for this work substantially in the region and its M&E Framework is perceived as one of the better versions being used within the organisation, however, as noted throughout this section the actual formulation of some of the objectives and / or indicators and / or lack of baseline data makes it difficult at times to assess performance.

Governance and empowerment

This component is comprised of four sub-components and delivered for five of the six indicators above the targets set, despite not having its thematic leader available at 100% (due to support provided to TCO, in combination with his health situation and his unfortunate passing), but thanks to the appointment of the Regional Trade and Investment Coordinator (early in 2013), a strong team in particularly KCO, capacity build by the CEAI and support from all COs and CSO partners. Previously, WWF had not been really structurally involved in the governance and advocacy arena and the CEAI did initiate, stimulate and support this type of work. In particular, trade and investment has been a new area for WWF outside its normal comfort zone, and CEAI's work has resulted in a much better understanding of the critical issues and partners as reflected in the proposed approach regarding this component in the CEAI Phase 2 SP.

1. Addressing governance failure by strengthening institutions - *By the end of FY15, national and regional institutions function to ensure that natural resource governance regimes (public and private) across CEA are more democratic, participatory, representative, accountable, transparent and inclusive.* Levels of natural resources (NR) governance were measured by using a governance barometer – a tool developed by the CEAI – in Tanzania, Kenya and Mozambique to obtain baseline data, with a repeat survey undertaken only in the case of Tanzania. The governance barometer has been designed to be a participatory tool for assessing the governance of natural resources (marine, forest and wildlife), hence stakeholder's workshops were conducted in all countries. The Tanzanian repeat survey indicates slight improvements in NR Governance but also, not surprisingly, that it is hard to make a judgement regarding % wise level of improvement based on the existing information (target was set as at least 10% improvement). Given the importance of appropriate NR governance – if the programme is to achieve sustainability, and hence the need to measure it somehow – combined with the complexities of assessing it, the governance barometer seems to be a first good attempt to address this. It may, however, require further reflection by WWF on how well the tool is working in providing the most relevant information, against the efforts and cost needed to obtain assessments, if and how to improve on it and / or the formulation or measurement of the indicator. This should be undertaken with the understanding that addressing governance failure by strengthening institutions does require patience and time before changes can be reported.
2. Mainstreaming the environment in policy making and regulatory frameworks - *By the end of FY15, policies, and regulatory frameworks explicitly account for environmental costs and benefits.* The CEAI, through supporting the respective country-level programmes and capacity and national CSO forums, contributed to the review/drafting of 30 policies in the region (Kenya 21, Mozambique 6, and 3 in Tanzania), against a target of 5. In addition to constitutional reviews in all three countries, these policies concerned a diverse set of NR-related sectors and aspects, extractive industries, rights based issues, and development and action plans including on the Green (and Blue) Economy. While it has not

been possible for the consultant to check if these 30 policies now *explicitly account for environmental costs and benefits*, he considers this a very big achievement providing a sound enabling environment for potentially major achievements in years to come in support of both conservation and NR-based livelihoods. An example of how CEAI's support to one of the CSO platforms influenced policies or regulatory frameworks is provided in the box below.

The civil society platforms established and supported by WWF have played a key role in influencing policy and legal review processes in the three countries. In Kenya, the National Environmental Civil Society Alliance of Kenya has been closely engaged in the constitutional review process as well as the subsequent revisions of over 20 sectoral laws and policies. The alliance has offered options through submission of detailed memoranda and ideas in meetings of drafting specific laws including the Environment Management and Coordination (Amendment Bill), the Mining Bill 2014 and the Water Bill among other laws. The alliance has also held targeted engagements with constitutional and government agencies to discuss and push for positions. Its views are sought by key policy-making agencies like the parliamentary committee on environment and natural resources.

3. Empowering Civil Society - *By the end of FY15, government policies, plans and programmes take into account civil society's concerns and interests (related to natural resources) at national and regional level.* The CEAI has contributed to the establishment and strengthening of, and engagement with 16 CSOs, CSOs Forums or multi-stakeholder forums (against a target of three, and baseline of zero) across all three countries (2 regional, 7 in Kenya, 3 in Mozambique, and 4 in Tanzania). These CSO forums, CSOs, and at times even communities contributed effectively (in 14 cases against a target of 3) to NR governance and improved dialogue mechanisms with governments and private sector within each of the three countries and on a regional level. This concerns fisheries, forestry but also land rights issues, the extractive industry, and Environmental Impact Assessments (EIA).
- With support from the CEAI and respective COs at least three CSO forums are legally registered and have developed strategies and work plans (for example Tanzania Tuna Fisheries National Alliance [TuNA] and the Tuna Fisheries Alliance of Kenya [TuFAK]). Members of these alliances have obtained more knowledge regarding critical tuna related issues and are working together in a more strategic and legal way, thereby providing access to the government, while at the same time linking to people in the field for example by providing key documents in Kiswahili and aiming to engage women's groups. Support was also provided regarding attendance of national and regional forum and consultative meetings, enhancing the capacity of CSOs' leadership to articulate tuna resources issues in a more logical manner, and the development of a sustainable funding mechanism with the aim of becoming independent from WWF financial support over time. Concretely, TuFAK contributed for example to the development of the Kenyan National Tuna Strategy and negotiations between Kenya and the European Union, engaged with county governments to obtain title deeds for some of the fish landing sites, established a fish market and supported its organisation, and bought cooler boxes for Beach Management Units (BMUs) to improve the quality of the fish being sold and engaged the Ministry of Fisheries to undertake quality controls (but no collection of socio-economic data).
 - Another example is WWF providing a link for a CSO Forum on Oil and Gas to WWF Norway given Statoil's interest in the region¹³, providing financial support for policy engagement,

¹³ Statoil ASA, is a Norwegian multinational oil and gas company headquartered in Stavanger, Norway. It is a fully integrated petroleum company with operations in thirty-six countries (Wikipedia).

communications, capacity building, community involvement, and to monitor companies operations with a tool developed by WWF.

4. Enabling Responsible Trade and Investment - *By the end of FY15, governments and private sector apply appropriate standards to trade and investment decisions including the implementation and enforcement of EIAs and SEAs.* Achievements are the approval, inclusion as a requirement in the new environmental law, and application of SEA guidelines in Kenya, development of a SEA for the Ruvuma landscape on the Tanzania side and the government requesting support with the development of national SEA guidelines, and the use of natural capital assessment as a basis for the Management Plan for Primeiras e Segundas in Mozambique. The programme over-achieved against the target of 3 government policies, plans, and programmes to be subjected to full SEAs. The CEAI and COs also supported the development and roll out of guidelines in the CEA Region and China on: green investment, SEAs, and mining and timber trade. Despite these achievements and clear indications of corporate sector engagement, it is not clear if the target as formulated (*at least 3 new guidelines and/or tools for responsible investment adopted by corporate sector, against a baseline of variable adoption (fair to good) of existing guidelines in the three countries*) has been met, but this is more about the wording of the target as 6 guidelines were developed having an impact in one way or another on corporate sector operations. Worth noting separately are:

- The cooperation with the Tanzania Chamber of Minerals and Energy in Tanzania in the development and eventual adoption of guidelines for integrating environmental issues in investment decisions within the mining sector.
- Government perspectives of sustainability are changing among FOCAC delegations, which should influence the upcoming FOCAC in December 2015. Both the Tanzanian and Kenyan Ministries of Foreign Affairs participated in a Regional FOCAC meeting with Civil Society in March 2015, and agreed to a “declaration” outcome that highlighted social and environmental sustainability and inclusiveness in FOCAC. WWF has been instrumental in this advocacy and in exposing the Ministries of Foreign Affairs to civil society and the value of their participation;
- WWF raised awareness with coastal communities regarding Environmental Impact Assessments (EIAs) and Strategic Environmental Assessments (SEAs), identified gaps, a task team formed with the National Environment Management Authority (NEMA) in Kenya, and developed a community guide on “how to review EIA reports” which was also shared with all county governments; and,
- With support from the CEAI and active involvement of KCO, NEMA has fully adopted SEAs as an important tool. SEA is now included as a requirement in the Environmental Management and Coordination Act (EMCA) revision of 2015 making it enforceable and all government departments are obliged to adhere. Extractive Industry regulations are being developed. SEA guidelines have been developed, capacity built and county governments sensitized, launched, printed (as NEMA and WWF) and disseminated. NEMA has staffed a separate desk for SEAs with two senior staff and a Chief Compliance Officer. About 45 SEAs have been scoped, of which 20 have been undertaken, of which 11 have been finalized and approved. SEAs can be applied re-actively to proposed or existing projects or programmes, or pro-actively to anticipated environmental and social impacts by for example oil and gas developments. An inter-ministerial committee has been set up to review SEAs.

Responsible Trade – Timber and Sustainable Forest Management

This component has been implemented through three sub-components and performance was measured against four indicators of which two met the targets set and the other two almost met them (scores of 5) resulting in an average score of 5.5, against a score of 5 by the end of 2013. Through the focus on timber

the CEAI was able to bring the WWF teams from Kenya, Tanzania, Mozambique, Uganda and Madagascar and TRAFFIC¹⁴ together resulting in a coherent focus and approach and effective collaboration and partnership. The achievements under this component have been accomplished jointly with these different WWF entities and field-based partners. Under this component strategic relationships with Zanzibar, EAC and SADC were also established.

1. Good Forest Governance - *By the end of FY15, CEA countries have developed and are implementing an agreed long-term forestry trade and investment plan/strategy that is regionally harmonized in terms of economics, legal/regulatory aspects, benefit sharing, etc.* Over the five years of Phase 1 the CEAI has been able to facilitate five transboundary trade-related agreements, their importance and relevance being informed by a number of bi-lateral timber trade assessments. Namely a MoU between Tanzania and Mozambique (2012) and a MoU between Tanzania and Kenya (March 2015), both under implementation. Furthermore, a MoU between CEA countries and China (drafted but not signed yet due to elections in Mozambique, senior staff changes in key departments in China and Mozambique and complex communication channels by governments in both countries¹⁵); WWF, TRAFFIC and SADC agreed on a two-year action plan; and the CEA governments, Uganda, Madagascar, EAC, and SADC launched the Zanzibar Declaration on illegal timber trade at the World Forestry Congress in Durban (September 2015), has been adopted by the SADC Ministers responsible for environment and natural resources and will similarly be tabled for adoption by EAC Ministers responsible for environment and natural resources at their next meeting. This Declaration, backed by the bilateral MoUs between Kenya, Tanzania and Mozambique, provide a strong institutional basis for addressing the challenges of illegal timber trade flows between countries in the region. Against a baseline of zero these achievements are all relevant, major and commendable *outputs*, obtained through well managed processes. Against a target of three new agreements (Tanzania and Mozambique, Tanzania and Kenya, and CEA countries and China) this was almost achieved, including an additional regional declaration. These achievements provide collectively a strong foundation towards anticipated *outcomes* and *impacts* over years to come such as curtailing illegal timber trade and related loss of revenues, promoting sustainable timber trade and thereby collectively conserving high conservation value forests. However, their *outcomes* are subject to the actual commitments by governments concerned regarding their effective implementation and would require consistent support and follow up over the next few years to achieve what they were set out to do. Several initial signs are positive though as illustrated by:

- The Tanzanians and Mozambicans have been meeting without much WWF technical and financial support, and Tanzania has undertaken 14 court cases concerning illegal timber movements of which five were attended by Mozambican officials as witnesses;
- Initial support provided by FAO to the Tanzania Natural Resource Forum (TNRF) and East African Wild Life Society (EAWLS) concerning timber trade among the EAC countries identified critical issues as loss of revenue (about US\$ 10 million between Kenya and Tanzania annually), lack of management information, lots of unofficial crossing points, and the lack of transboundary collaboration (but also within countries across relevant government departments) resulting in recommendations regarding the need for a joint approach, bi-lateral and regional cooperation. Subsequently, the CEAI was immediately able to financially, technically and organisationally

¹⁴ Wildlife trade monitoring programme of WWF and IUCN – The World Conservation Union.

¹⁵ This is still relevant as most timber from the EAC region to China comes from Mozambique.

support the development of a Kenya-Tanzania MoU, including the development of an implementation plan and related financial resources to ensure its actual implementation (with the respective agencies paying for follow-up meetings and initiating budget allocations) (personal communications A. Lemarkoko);

- Having observed the work undertaken and supported by WWF in the region, Zanzibar has now requested for a review of their forest law and policy, which is very relevant as Zanzibar is used as a transit country for illegal timber trade from CEA mainland and as forestry is not a union issue with Tanzania and is in line with commitments to implement the Zanzibar Declaration.

2. Sustainable Forest Management and Forest Certification - *By the end of FY15, sustainable forest management and forest certification in Kenya, Tanzania and Mozambique has led to the following results: Area under SFM/PFM increased by an additional 500,000 hectares; Increased benefits to local communities.* By the end of FY2015 an additional 376,893 hectares of forests were under SFM/PFM, of which around 1/3 FSC certified, whereby noted that an additional 442,700 hectares is in the pipeline (as it is already approved by the Kenyan Wildlife Service but still subject to official gazette in Kenya, it is however not clear though if this can be counted as SFM/PFM at the end as these areas are to be state managed and would require additional steps to meet standards set). The consultant considers therefore that the target of an additional 500,000 ha has been met for 75% (whereby noted that the original target was 1 million ha. but this number was adjusted downward to allow more time to address significant challenges). The most recent allocation of 26,578 hectares under SFM / community ownership in the Ruvuma landscape in Tanzania was achieved in approximately one year by a much appreciated and effective partnership of WWF, the Mpingo Conservation and Development Initiative (MCDI), MJUMITA¹⁶, and the Tunduru District Council. What is noteworthy about the scaling up to Tunduru district is that it has taken only about one year for local communities to achieve legal ownership of their Village Land Forest Reserve (VLFR) and secure buyers for timber in comparison with 10 years in Kilwa District. This was possible because of the consortium approach, lessons from Kilwa, local government support, and skills of field staff. Communities have already undertaken first timber harvests and have been paid for labour and received cash for the timber harvested (two villages received each 9 million Tanzanian Shillings for the timber = US\$ 4,100). While these initial benefits have been generated for these communities it is difficult to assess if *Benefits from sustainable forest management to dependent population in priority land/seascapes notably increased (>10%)* against a baseline of *Limited benefits in the Ruvuma Landscape with population mainly dependent on agriculture*, but this is more about the wording of the indicator or lack of actual baseline data instead of the actual achievement. The aim is to engage another 13 villages from FY2016 onwards. The CEAI developed a METT+ tool to include social parameters (for results see section on Securing HCVAs) but this was only applied one time so far with data obtained serving as baselines. Meanwhile, three key Chinese timber companies in Mozambique have expressed interest and commitment to pilot the implementation of SFM guidelines, whereby the Mozambican department of forest has committed to support and expand the trainings on legislation and guidelines to other companies.
3. Responsible Timber Trade - *By end of FY15, an increased proportion of CEA timber exports (Indicator: >10% reduction in illegal trade) from CEA (focus Tanzania and Mozambique) are in conformity with*

¹⁶ MJUMITA is a network of thousands of community members from over 400 villages across Tanzania and provides it members with technical assistance regarding forest management, governance and advocacy.

legal regulations and guidelines for sustainable forest management and trade. It has proven to be difficult to provide accurate data on the actual levels of illegal timber trade, largely due to the illegal nature of these activities itself (with both Tanzania and Mozambique having up to 90% baseline values). This was to be expected and is partly due to the formulation of the indicator. However, status can also be assessed indirectly by for example the level of State revenue collection from timber trade across borders in relation to hectares under concession and number of prosecutions concerning illegal timber trade (Tanzania reported an increase on both; but it is not clear to the consultant if the increase in income concerned the same amount of hectares under concession), enhanced efforts to curb illegal trade (Kenya has committed to increase the number of checkpoints along the border with Tanzania, establish timber-harvesting guidelines, and introduce harvesting plans, all as part of the recent MoU with Tanzania) and total net export of legal timber (in Mozambique this decreased but largely driven by a decrease in market demand whereby many companies formally associated with illegal activities have either stopped operating or changed to other activities). A comprehensive regional assessment of the timber trade, undertaken by CEAI and TRAFFIC, will be finalized in December 2015 and is expected to provide actual levels of illegality in the region. Such a baseline is very relevant and would ideally have been commissioned much earlier. Given the time required and costs involved the consultant expects that repeat assessments will most likely be undertaken every few years, which is reasonable, but for which reason the formulation of an additional indicator(s) is important to allow for measuring annual progress.

Responsible Trade – Sustainable Shrimp Management

This component is guided by one objective: *By the end of FY15, both shallow and deep water shrimp fisheries management plans (incorporating EAF, RBM and MSC principles) are finalized and adopted, safeguarding sustainability and progress towards eventual MSC certification.* The shrimp work in Mozambique has had the weakest CEAI performance due to a combination of external conditions (e.g. lack of political commitment by the Mozambican government and political changes, general collapse of the fisheries in 2012, shift of market demand to Asia which is not interested in MSC certification, the deep water shrimp fishery being an open fishery and the shallow water shrimp fishery being very closed and mainly dominated by people well connected with the government, and internal conditions [staff and office capacities]). To reflect these challenges and that the original objective was over ambitious with the goal of achieving MSC certification the objective was refocused towards fisheries management plans. Initial focus of the first 2-3 years has been on the deep water shrimp fishery in Mozambique as it was expected to be easier to achieve MSC certification, and then broaden the focus mid-term to address the shallow water industrial shrimp fishery, and shallow water artisanal shrimp fishery regarding:

- fishery management plans applying EAF, RBM and/or MSC standards - management plan for the shallow-water shrimp fishery in Mozambique developed following an Ecosystem Approach for Fisheries (EAF) and for deep water shrimp fishery under development, resulting in indications of improved fisheries management according to improved scoring against the Marine Stewardship Council (MSC) Benchmarking and Tracking Tool (BMT¹⁷). The BMT index for the shallow-water shrimp has increased from 0.36 to 0.66, and from 0.39 to 0.56 for deep water. This improvement reflects the relevance of the shallow water shrimp management plan following EAF together with the

¹⁷ The MSC Benchmarking and Tracking Tool (BMT) can be used to track fisheries as they improve towards MSC Certification.

establishment of structures ensuring the engagement of all relevant shrimp stakeholders. Against a target of two management plans, this has been partly met;

- income and value of shrimp fisheries to local communities in Mozambique - against 2010 baseline data the shallow water artisanal shrimp fishery catch had gone down by 28% in 2014 while the total value had decreased by 45% due to also a reduced price for shrimp on the market, while the aim was to increase the economic benefits to local communities with more than 10%; and,
- health status of the shrimp stock - the shallow water (industrial and artisanal) shrimp fishery experienced a serious decline in production over the years, showing only recently the first signs of recovery, thereby showing initial signs of meeting the target of showing a positive trend. For deep water shrimp the production has gone up over time.

The consultant agrees that the targets set under this component have partly or not been met. However, given the substantial challenges and limitations a new course of action has been taken which seems more realistic. If this would indeed be able to turn the situation around, the shrimp fisheries management would be in support of meeting the targets in the coming year(s). This would be extremely important for the shrimp stock, related community livelihoods and the economic importance of the sector for Mozambique, and would require WWF's ongoing active involvement to make that happen based on the hard earned achievements to-date in a very challenging setting. It is worth noting that the role of best market options together with market pressures for both the deep and shallow water shrimp fisheries has been recognized by the CEAI as an important component moving forward, including the need to engage other components of the network.

Responsible Trade – Sound Tuna for Sustainable Development

This component was to achieve one objective: *by the end of FY15, SWIO States are increasingly controlling and benefiting from a reformed tuna fisheries governance regime*. As the IOTC already existed and with enabling conditions within the SWIO to capitalize on, this component has had a kind of a head start compared to the other components. This is not to say that the work has not been challenging and its achievements commendable, on the contrary. It has been focusing mainly on the offshore tuna fisheries, and more recently also on the artisanal tuna fisheries in recognition of its more significant role than originally assumed. In the last FY funding was allocated to develop a reliable system to obtain data regarding inshore artisanal tuna fisheries in support of being able to address the overall sustainability of tuna stocks as a whole, as both offshore and inshore are made up by the same tuna stocks; and to assess how best to capacitate the local fishing communities (e.g. regarding safety aspects, and to optimize when and where best to fish; to be implemented by the COs). Hence, M&E during Phase 1 concerned only offshore tuna fisheries. It focused on three aspects:

- level of sustainability of tuna fisheries - the IOTC Scientific Committee makes annual stock assessments of the main tuna stocks and its most recent report (IOTC, 2015) provides the following overview regarding the sustainability of the tuna species over the past six years (whereby noted that year reports are based on data from the preceding year i.e. the 2015 report uses 2014 catch data):

| <i>Tuna highly migratory species</i> | <i>Status of species in year report</i> | | | | | |
|---|--|--------------------|--------------------|--------------------|--------------------|--------------------|
| | <i>2010</i> | <i>2011</i> | <i>2012</i> | <i>2013</i> | <i>2014</i> | <i>2015</i> |
| Albacore | | | | | | |
| Bigeye | | | | | | |

| | | | | | | |
|-----------|--------------------------|--|--|--|--|--|
| Skipjack | Not assessed / uncertain | | | | | |
| Yellowfin | | | | | | |

- XXX = stock overfished and subject to overfishing
- XXX = stock overfished but not subject to overfishing
- XXX = stock not overfished but subject to overfishing
- XXX = stock not overfished and not subject to overfishing

The status of the yellowfin tuna has been most variable over the years. In 2008 its status was red, to become yellow in 2010, to reach green status the next four years, to fall back in red status based on 2014 data. Though, if management is being improved by reducing the catches as per the Scientific Committee’s recommendations the Yellowfin Tuna stock could recover again, as it has done in the past. In case that would happen it would support further the value of regional management and governance of this shared fisheries resource as it has done for the albacore tuna (as the last two years its status had reached green status after the three preceding years had orange status). Both Bigeye and skipjack tuna have maintained green status throughout. This means that the target of *All tuna stocks fishes at sustainable levels (no over-exploitation)* has been met for 75%. Furthermore, the IOTC adopted a number of conservation and management measures and a number of the major industry players are actively engaged in sustainable tuna fisheries management in the SWIO region.

- economic benefits from tuna fisheries by WIO states increased by at least 10% - this was achieved, based on 2014 data against a 2010 baseline, with an average increase of 37% from license fees across the three CEA countries but with Mozambique reporting a 10% decrease; also additional benefits are expected from obligatory pre-licensing inspections in Mozambican ports and ongoing tuna plant processing work in Kenya creating both financial and employment benefits; and,
- effective regional fisheries governance system, as measured by existence of a regional fisheries accord, national fisheries management plans, and functioning Monitoring, Control and Surveillance (MCS¹⁸) system - the process of development of a SWIO Fisheries Accord for shared stocks was endorsed by all the SWIO countries, including implementing some of the provisions of the accord (thereby meeting the target of *at least 50% of the SWIO states commit to implement an agreed SWIO Regional Fisheries Accord*). Kenya, Tanzania and Mozambique are now implementing the tripartite Maputo declaration (signed in August 2014) on regional Minimum Terms and Conditions (MTCs) for fisheries access. MTC is promoting Tuna fisheries sustainability by letting countries concerned work closely together in the management, and hence avoiding discrepancies, of the shared fish stocks and also reduce significantly the Monitoring, Control and Surveillance (MCS¹⁹) costs like observers, Vessel Monitoring Systems (VMSs²⁰), etc. This has already resulted in increased license fees from around US\$

¹⁸ See for more information: <http://www.fao.org/fishery/topic/3021/en>

¹⁹ MCS is the mechanism for implementation of agreed policies, plans or strategies for oceans and fisheries management. MCS is key to the successful implementation of any planning strategy. The absence of MCS operations renders a fisheries management scheme incomplete and ineffective. Source: <http://www.fao.org/fishery/topic/3021/en>

²⁰ A fishing Vessel Monitoring System (VMS) is a programme of fisheries surveillance, in which equipment that is installed on fishing vessels provides information about the vessels’ position and activity. This is different from traditional monitoring methods, such as using surface and aerial patrols, on-board observers, logbooks or dockside interviews. Source: <http://www.fao.org/fishery/vms/en>

30-35,000/year/fishing vessel to a minimum of US\$ 50,000 and also increased the fee being charged to supply vessels. The other SWIOFC member states have meanwhile endorsed the process of regional Minimum Terms and Conditions (March 2015). Kenya, Tanzania, Mozambique, and Madagascar have furthermore been supported to develop national tuna fishery management plans (thereby exceeding the target of *at least 3 national tuna fisheries management plans developed, adopted and under implementation by Governments*). Mozambique ratified the Ports States Measures Agreement (PSMA), and Kenya and Tanzania have initiated the ratification process.

Building on numerous *outputs* delivered on under the “effective regional fisheries governance system” initial *outcomes* have started to being achieved such as the implementation of the Maputo Declaration (which has also captured interest from other SWIO nations) and the actual implementation of national tuna fishery management plans. It should, though, not be underestimated how much the work by the CEAI has led to actual regional governance of, and regional cooperation regarding the management of this shared fisheries resource. It is actually changing the culture of operations and how countries relate to each other, which is critical regarding a shared resource. This is widely recognized and appreciated by the governments and other partners involved, and it is attracting the interest of other nations such as Madagascar, Mauritius, Comoros and the Seychelles. This has been achieved through regional processes, including the engagement of CSOs. Collectively, this has already resulted in some *impacts* such as the two tuna species that were overfished or subject to overfishing earlier on reached sustainability levels (assuming the IOTC assessment is reliable and correct; and noted that yellowfin tuna has fallen back to being overfished and subject to overfishing), and economic benefits are increasing albeit on national not community level and not in all three countries. These achievements are very laudable and it is good to note that initial steps are set to include inshore artisanal tuna fisheries (to be implemented by COs and partners). This is for ecological fish stock reasons (as this concerns one single stock being fished by different parties) and as it could contribute significantly to community livelihoods over time. Still, further engagement of communities and private sector partners would be needed. WWF (through the CEAI, COs, other parts of the network such as TRAFFIC and with partners) is well positioned to address these issues – through the full value chain at local, national, regional, and international levels – needed to secure the future of these tuna species.

Securing High Conservation Value Areas

This component has been implemented through four sub-components with the CEAI mainly having a facilitation role in support of improving the effectiveness, performance and sustainability of field-based operations in the CEA region, whereby most of the field work has been undertaken by the COs.

1. Pro-poor conservation, protected area management and Community Based Natural Resources Management (CBNRM) - *By the end of FY15, protected areas, community and private management areas in 6 out of 9 CEA priority landscapes / seascapes are effectively managed, and deliver equitable benefits for the local population.* Five new protected areas and 16 new CBNRM areas have been established thereby meeting the target of two new protected areas and five new CBNRM areas. The repeat METT assessment²¹ undertaken by the World Conservation Monitoring Centre (WWF-CEAI & UNEP WCMC, 2015; 429 sites in Tanzania, 54 in Kenya, and 20 in Mozambique, mainly all terrestrial) around WWF priority areas provides a mixed picture of certain areas being measured for a first time, most scores going up or remaining about the same, and some going down. Therefore, based on the

²¹ The METT was enhanced with socio-economic aspects into a METT+. The first assessment used the METT, while the repeat assessment used the METT+ hence the socio-economic aspects were measured only the second time.

data available an assessment is not possible against the target of >10% improvement. Overall though, from the METT analysis it shows that in areas where WWF is active, there seems to be some improvement in management effectiveness, in particular so for the WMAs and VLFR's in the Ruvuma landscape in Tanzania. It also indicated that generally, community owned PAs scored higher in the number of beneficiaries to the PA and wealth equality than PAs with state or other ownership. Findings from the METT+ tool indicate that resource rights, access and benefits scores were higher at community-owned sites, as was government transparency (reduction in corruption). Gender issues are still not very much improved, although there are indications of increased levels of participation and decision making by women in NR management. The report provides also recommendations to improve the tool and data collected, including socio-economic aspects, as to enhance their applicability. (For more detailed information see WWF-CEAI & UNEP WCMC, 2015 and Knights *et al.*, 2014.)

2. Create climate resilience and adaptation - *By the end of FY15, at least five (5) out of nine (9) priority landscapes / seascapes are implementing climate change adaptation components in their programmes.* The target was to have at least five land or seascapes undertake a climate change vulnerability assessment (CCVA) on which basis climate change adaptation strategies would be developed and implemented, against a baseline of none being available. Focus was on Lamu in Kenya ([i] CCVA was completed, [ii] adaptation strategy was for about 80% completed, and [iii] is being implemented), RUMAKI in Tanzania ([i] 100%, [ii] 80%, [iii] yes), Quirimbas and Primeiras e Segundas in Mozambique ([i] both 60%, [ii] no, [iii] no), and the Transboundary Ruvuma landscape between Tanzania and Mozambique ([i] 100%, [ii] 100%, [iii] yes). This means that the target and the three aspects of vulnerability assessment, adaptation strategy and implementation were partly achieved. The climate change adaptation work actually incorporates some of the approaches that are already being promoted to reduce vulnerability by improving ecosystem health. At the coast, basically, this is embedded in community-based fisheries approaches. On land (Ruvuma) it is conservation agriculture and SFM. This means that climate change and how best to address its impacts is more deliberately integrated in the work planning and implementation. Given that coastal regions are generally more sensitive to climate change several interviewees indicated the need for WWF to give more weight to this issue and to widen aspects beyond land- or seascapes i.e. analyze potential impacts on species (e.g. shallow water shrimp) and habitats (the impact of charcoal making in forest areas) and develop and particularly start implementing related climate change adaptation strategies as well as to address this at national policy level.
3. Improved Land and Resource Use Decision making in High Conservation Value areas - *By the end of FY15, spatial planning tools and approaches (GIS, databases, sensitivity maps etc.) have proactively influenced equitable and sustainable decision making on land and natural resource use in HCV areas in all priority 1 landscapes and seascapes in CEA countries.* The target was set as: Landuse and management planning tools applied in at least 5 priority landscapes and seascapes. Spatial planning was applied in all three countries in integrated development planning (Lamu County, Kenya), delineation and gazetting of a forest (Kaya, Kenya), SEA (Mtwara and Ruvuma, Tanzania), village land use plans for PFM (Tanzania), marine spatial planning (RUMAKI, Tanzania), and draft management plan (P&S, Mozambique). A major and unplanned achievement is the development of the Africa Land Use Planning and Early Warning System (ALES) as a tool for spatial analysis of conservation-related trends, as well as in support of spatial planning work. This innovative online spatial planning platform includes environmental and development data into a common mapping platform in order to produce an overview of all development activities, their investments and their related impacts in WWF priority ecoregions in Africa, thereby enabling WWF to monitor and engage in developments in key eco-regions

in Africa which are currently undergoing rapid change. ALES is already being deployed in various initiatives, including SAGCOT, the Ruvuma SEA process as well as the Northern Mozambique Channel Initiative. The main development sectors that are currently available in the system include extractives industry, forestry, agro-industry and infrastructure. There are currently four GeoDatabases (CEA-GI, KCO, MCO and TCO) and populating of spatial data into the platform is ongoing. Given the above the target was fully achieved, but given its formulation does not necessarily mean that the objective was achieved.

4. Sustainable Financing for Conservation - *By the end of FY15 sustainable financing mechanisms (including Trust Funds, REDD+ and other PES) increasingly contribute to the management of protected areas, community and private management areas within CEAI priority land/seascapes.* The BioFund in Mozambique has been established, operationalised, officially launched, and donor pledges confirmed. Also a Marine Legacy Fund for Tanzania is still being discussed as part of a new World Bank programme. This means that the target of at least 1 new conservation Trust Fund operational and funded has been achieved. A Project Design Document (PDD) has been developed and used to market carbon credits for Dzombo forest, in Kwale District, Kenya and a blue carbon project in Zambezi, Mozambique is now part of a new UNEP Blue Forests project thanks to financial support, facilitation and partnering by the CEAI. However, against the target of “At least 2 new PES projects operational and sustainable financing base for HCVA increased” means that the target has not been entirely met.

In conclusion regarding securing HCVA, the development and use of the METT+ tool is a positive development. The actual analysis²² is showing a positive trend but would require more to achieve either *effectively managed or deliver equitable benefits for the local population*, despite the fact of having more *new areas established* than targeted. The climate change adaptation component was an area recognized by the CEAI for weaker delivery, largely due to capacity challenges at the land/seascape programmes. However, the vulnerability assessments undertaken and strategies developed should help the teams on the ground now to formulate proposals and work plans. The consultant has not been in a position to assess if the spatial planning tools and approaches “*have proactively influenced equitable and sustainable decision making on land and natural resource use*” nor has this been documented in the PPR FY2015. The definition of the target seemed to have been appropriate for FY2015 (what is an *output*) but the definition of the objective (what is an *outcome*) seemed to have been overambitious, and was actually not reflected in the target definition. Nevertheless, it seems fair to state that the stage has been set for actual outcomes in the next phase. The establishment and development of BioFund is a major and important achievement but more work is needed to achieve sustainable financing for the HCVA. As it is the field level where at the end actual achievements are being made, WWF would have to consider how to improve delivery on most sub-components in support of securing HCVA, even more so in light of phasing out the CEAI. A brief overview of the work on the Tanzanian side in the Ruvuma landscape together with findings and recommendations based on a short field visit are provided in Annex XVI.

Conclusion

In conclusion regarding the 21 targets set for the governance & empowerment, responsible trade (timber, shrimp, and tuna) and HCVA components which could be assessed (see Annex XVII) twelve were fully

²² Some improvement in management effectiveness in areas where WWF is active, and that in general community owned PAs scored higher in the number of beneficiaries to the PA and wealth equality than PAs with state or other ownership.

achieved (of which eleven targets overachieved from 20% up to 500%), one target was met for 85%, two targets were met for 75%, one target was met for 60%, four met 50% of their goals, and one target was not met at all (*economic benefits from sustainable shrimp fisheries to local communities increased with more than 10%*). It should be noted though that for most of the targets which met their goals partly the stage has been set to meet those targets in the near future. The achievements regarding four targets could not be assessed due to the formulation of the target and / or the lack of baseline data or the tool applied. For example, *benefits to dependent population from sustainable forest management in priority landscapes* were achieved in Ruvuma but it was not possible to assess if that was more than 10% due to the lack of baseline data. Others, such as the governance barometer and METT scores, may require a longer period to achieve and measure actual improvement. Collectively this represents a commendable achievement of the programme with the understanding that some of its achievements could have ended up higher if it would have considered the concerns listed.

3.3.2 Big Wins

In WWF's terminology a Big Win is a significant conservation achievement capable of stimulating attention and leveraging commitment. Big Wins integrate programme, communications and fundraising; they can leverage further achievement, and provide powerful communications. Due to progress made by the time of the MTR (2013) and based on the recommendations of the MTR, the original list of Big Wins included in the CEAI SP was adapted on a number of points through the 2014 amendment. The consultant has assessed the achievements of this revised list with Big Wins. The eight (out of a total of 12) that have been fully achieved are marked in italics and in green; the other four are partly achieved, for reasons as shared under the components above already, and the stage has been set towards their achievement. Considering their collectively relevance for conservation and what they represent this is a commendable performance. This list has been part of ongoing discussions within the SHG regarding attribution (see section on roles and responsibilities in chapter 2 on Efficiency) but should – as far as many partners and the consultant concerns – be seen as major conservation achievements by WWF through combining and optimizing its strength across different levels within the organisation, and at times together with partners.

- *At least two Governments in the region adopt national strategies to ensure sustainable use of natural resources based on Green Economy principles.*
- *South Western Indian Ocean States agree on far reaching measures to secure the sustainability of the South Western Indian Ocean Tuna.*
- *Maldives tuna fisheries become MSC certified.*
- Shrimp fisheries in Mozambique are recovering and management plans for both deep and shallow water shrimp fisheries adopt standards in line with MSC criteria.
- *The African Union States adopt a Common Fisheries Policy Framework for the management of fisheries across the continent.*
- *Formal gazetting of Primeiras and Segundas Marine Protected Area in Mozambique.*
- *WIO countries commit to an Integrated Ocean Management Governance system for the Northern Mozambique Channel.*
- *A regional agreement on Sustainable Forest Management is signed between Governments of the region.*
- An additional 500,000 hectares of forest under sustainable community-based forest management.
- Formal agreement is reached between Mozambique and China regarding sustainable timber trade.
- *Establishment of a BIOFUND for Mozambique's National Parks.*
- Better management of forest, shrimp and tuna leads to measurable (>10%) improvement of benefits to dependent communities.

3.3.3 Cross-cutting issues

Driven by the interest of selected NOs the CEAI was requested to improve the integration of a number of cross-cutting issues²³ in its overall programmatic approach. This concerned in particular gender, livelihoods, human rights, and climate change adaptation (the latter being addressed under Securing HCVA in section 3.3.1 above already). In follow up to a number of recommendations from external donor reviews the CEAI, in coordination with WWF Denmark, commissioned in May 2014 the Community Insights Group (CIG) to conduct a review of the Gender, Livelihood and Human Rights (GLHR) aspects of the CEAI (WWF-CEAI, 2014c). As these aspects are interlinked they are discussed as one in this section. Key recommendations, a summary of CEAI's response, and the consultant's opinion are shared already under *External review of livelihoods, gender and human rights aspects of the CEAI* under section 3.1.3 on Programme Design Issues, Livelihood and Gender.

Based on the interviews it is the consultant's observation that everyone is in agreement that gender, livelihood and human rights aspects are very relevant to achieve conservation. Interviewees disagree though regarding two aspects: are these issues to be part of the conservation objectives or stand-alone objectives and at which level(s) to make this operational. Following WWF's PPMS the consultant believes that these issues should be an integral part of the conservation logic, hence to undertake development explicitly in support of conservation instead of development for development's sake (the latter as per the general tone of the GLHR review report, which according to some also focused more on the field level instead of the regional level of operations of the CEAI). Secondly, actual impact will be achieved mainly at the field level, falling under responsibility of the COs, but this would not exclude the necessity for recognition and inclusion of these issues at national and even regional levels to ensure an appropriate enabling environment for work at the field level. For example, as long as Joint Forest Management in Tanzania means that 40% of the revenue goes to the government that income is not available to be allocated to the management of the areas concerned and / or people's livelihoods. Therefore, these issues should be part of policy reviews, guidelines, EIAs and SEAs, and the Green and Blue Economy, whereby noted that measuring the actual impact of inclusion of LGHR aspects on national or regional level may be more challenging than measuring that at a particular site intervention.

The CEAI has been undertaking several actions informed by the reviews and follow up discussions, particularly after the LGHR study. Hence, actual changes in this respect are to be expected under CEAI Phase 2 instead of under Phase 1. These changes concerns: (i) the integration of several aspects into the Governance Barometer, to be further developed during FY2016, (ii) development of a METT+ tool with LGHR aspects and already applied as described earlier, and (iii) the integration of several aspects in the CEAI SP Phase 2. These efforts by the CEAI are recognized and appreciated but some interviewees still questioned how systematically these issues are being addressed.

3.3.4 Transformation, strategies and their importance

WWF defined transformation as *a sustained shift in behaviour of key actors to reduce the root causes of biodiversity loss*. With COs operating at a national or field level this meant the CEAI should address transboundary and regional issues as well as catalyzing innovative strategies and approaches that are of a transformational nature and of relevance for the whole region even if they can theoretically be delivered by national actions. As described in section 3.3.1 above many examples can be provided for both. Innovation successfully brought into the region by the CEAI and implemented together with the COs can be illustrated

²³ These issues are different from the cross-cutting aspects described in chapter 2 on Programme Overview.

with the development and application of the governance barometer, the establishment of and support to national and regional CSOs forums covering a diversity of NR related issues who in turn contributed (together with the CEAI and COs) to policy revisions and engaged with governments, initiation and development and application of SEA, support to Green and Blue Economy initiatives, a shift to PFM from a wildlife approach in the Ruvuma landscape as a more feasible approach to support livelihoods and the development of a partnership to roll this out, the recognition and initial steps of addressing artisanal tuna fisheries, the climate change adaptation work and development of the METT+ tool and other work in support of securing HCVAs, and engagement with the private sector and development of guidelines for responsible investment. On a regional level the critical collaboration across countries in the region as illustrated with bi-lateral MoUs and the Zanzibar Declaration and the initiation of a regional assessment concerning regional timber trade issues, all the collaborative regional work on tuna fisheries such as for example getting Mozambique registered under the IOTC and the tri-partite Maputo Declaration on MTCs, the engagement of Madagascar regarding shallow water shrimp, engagement with FOCAC, initiation of and support to the development of a transboundary strategy for the Ruvuma landscape, and scaling up different initiatives such as work by CSOs, the Green Economy and SEA from one country to another in the region all demonstrate the critical regional work successfully undertaken and supported by the CEAI.

According to many interviewees CEAI's role has added significant value in the region. Collectively all the contributions made by the CEAI have helped transform the way WWF used to operate in the region as it has moved from a project approach to a programmatic approach – which is also now reflected in the most recent CSPs from the region – and by becoming more strategic through working on both critical pressures and drivers across levels (field, national, regional and international) as required. Before the CEAI, WWF was not really actively involved in the advocacy arena and the CEAI did initiate, stimulate and support this type of work at both national and regional levels, including collaboration among peer departments from different countries and regional bodies and by supporting exchange visits. Also, trade and investment has been a new area for WWF outside its normal comfort zone, and the work undertaken over the past few years has resulted in a much better understanding of the critical issues and partners as reflected in the proposed approach regarding this component in the CEAI Phase 2 SP. The CEAI has, together with TRAFFIC, furthermore been able to document the actual value of in particular timber and tuna trade in the region leading to the countries really getting engaged. While all the work has not yet achieved a complete *sustained shift in behaviour of key actors to reduce the root causes of biodiversity loss* (see section 3.4 on Impacts and Outcomes below) initial signs are in support of it and it has for sure laid a strong foundation towards achieving it. This could be illustrated with numerous examples including one from Kenya where the government never used to consult NEMA regarding new developments and programmes but with SEAs now legally “cemented”, structures and guidelines in place “that situation has been really transformed” bringing different parties together. If this will actually lead to a reduction in the root causes of biodiversity loss remains to be seen. But these achievements in Kenya have created interest in the approach in Tanzania, which in turn initiated a request by Mozambique for undertaking a SEA on oil and gas in Cabo Delgado and Niassa.

Both internal and external reviews indicated the need for the CEAI to focus more on its own transformational and regional work. The CEAI did take these recommendations seriously and worked together with the COs to move most innovative approaches to be delivered at a national level to those offices, thereby leaving the CEAI able to focus more on the regional work. This shift has also meant that CEAI's work has become increasingly more focused towards regional transformation over the five years under Phase 1. For example, the work under the Timber and SFM component has shifted since those reviews strategically more to regional trade related aspects and regional collaboration based on having

established trust, the provision of regional data and expertise, building partnerships and bringing innovation.

Finally, the development and ongoing streamlining of a regional strategic programme and approach, together with good quality integrated annual work planning and reporting and CEAI-NO partnerships developed and the trust that has been achieved with it, made it possible for the CEAI to establish, develop and strengthen the basket funding model. This has brought more resources into the region including new donors and is seen by WWF as a future model for the organisation (WWF, 2015). The consultant notes though that this may not be feasible at every scale for efficiency reasons.

In conclusion, the CEAI has contributed to transformation as much as could reasonably have been expected in Phase 1 of five years (while recognizing an understandable difference in progress among components). This has been achieved through a significant amount of critical preparatory work resulting in clear signs and steps that it is heading in the direction of actually achieving transformation. However, if the transformation *outcome* will actually be achieved is subject to WWF's continuing support to the efforts undertaken thus far as numerous interventions have not achieved full sustainability yet (see section 3.6 on Sustainability). This should be seen though in light of a first phase of five years of a 15-year programme and approach, and the opportunity to "harvest" in the next phase (although for example impact of the Green and Blue Economy approach may even take longer and may require more stakeholders to get involved).

3.3.5 What if there would not have been a Coastal East Africa Global Initiative

The above sections present a strong performance of the CEAI, in line with the views of many WWF staff and partners interviewed, also in comparison with other programmes within WWF. It is recognized that lots of gains have been made by the CEAI and transformation, innovation and multiplication effectiveness aspects are shared in the sections immediately above this one for which reason they are not repeated here again.

Nevertheless, in light of the internal WWF restructuring discussions and in line with the ToR it would be interesting to reflect on the question "What if there would not have been a CEAI?" While this question is partly hypothetical – without having a situation without the CEAI to compare it with – and hard to answer by providing "hard" evidence, there are for sure strong indications and opinions shared by interviewees which are worth to consider. From a general perspective this may be best illustrated by the response of one of the partner interviewees being asked about if the work across levels and stakeholders and countries and subsequent achievements would have happened without the CEAI: "The opportunity of happening has always been there. But having the opportunity and taking action are two different things. I know this has happened because of the CEAI. Since my country became independent up to 2011, when the CEAI started operating, nothing like this had happened." This view is shared by many of the interviewees and is supported further by opinions of a number of the NOs that despite the fact that the importance of regional aspects were discussed for a long time under the eco-regional programmes it seems those were not addressed in a strategic and systematic matter until the CEAI was established – it thereby filled a need that existed while it was felt that the COs were not in a position to take this on. As indicated earlier this would have resulted in substantial loss of financial support to the region, and even more so during the challenging times in TCO and MCO – the CEAI provided credibility and without its support this would have had significant consequences for the operations and capacity of the organisation in the region, most likely having to start over again in two of the three countries. While a few of the staff interviewed hold strong views about "the CEAI having taken away resources from the COs", from an overall organisational and strategic regional conservation perspective the consultant and many interviewees question these views

given the (proposed) actions by significant contributors to withdraw resources from the region without a CEAI, the fact that from FY2011 to FY2015 the CEAI annual budget increased by 70%, while the actual amount of annual expenditures doubled (with a small dip in FY2013 for reasons mentioned earlier), and the strategic approach of working across levels (adding particularly regional, transboundary and international [e.g. China] angles) to address both critical pressures and drivers.

On a more specific level interviewees recognize that the CEAI has initiated, stimulated and supported WWF in Eastern Africa by bringing in transformational perspectives and moving beyond its normal comfort zone through getting actively involved in the advocacy arena, the higher policy level, engaging governments and CSOs and private sector partners and establishing platforms, and critical trade and investment aspects. This has in turn resulted in a much better understanding of the critical issues and partners if one is to achieve conservation, as reflected in the proposed approach in the CEAI Phase 2 SP. Another value addition credited to the CEAI and its well qualified staff as part of their legacy is the capacity that has been build in COs, strengthening both (support) programmes and individuals, including the continuation and strengthening of for example the forestry programme in TCO and the Ruvuma programme, MEL in COs, engagement and collaboration regarding regional and international aspects of work within COs (e.g., Green Economy), collaboration and sharing of experiences and learning with and across COs and countries, exposure to international players, and regional integration of strategic programmatic aspects. It should be noted though that despite these efforts many still recognize limitations in COs' capacity and question how the collaboration across COs and links with regional and international partners will continue without the CEAI coordinating this or providing a platform for it. Furthermore, partly building on the work initiated under the eco-regional programmes, the CEAI is being credited with the standing WWF holds now in the region regarding marine (e.g., key partner for SWIOFC), timber (e.g., bi-lateral and regional agreements), and trade and investments aspects (e.g., FOCAC and SEA) – which is not necessarily the case regarding freshwater, energy and species – and hence related concerns that the organisation may lose this standing if the transitioning of the CEAI is not undertaken carefully and with due consideration.

Without the CEAI there would very likely not have been a basket funding model allowing the COs and NOs to work around one comprehensive, coherent and regional strategy, a related budget, work plans, and monitoring and reporting. This model is recognized by many as a successful approach, and now also as a new funding model by WWF International. It resulted in a reduced administrative burden for the overall organisation and in particular for COs regarding funding requests, reporting, and donor relationship management, and for NOs having to deal with one entity instead of three individual COs. At the same time due to strong delivery, good quality reporting, and the discussions in the SHG it increased the trust with the NOs which resulted in turn in more funding. It also allowed for more flexibility in the allocation of resources which is often helpful in large and complex programmes, to exploring and testing innovative approaches and getting involved with work otherwise not taken on (e.g., SAGCOT).

The work of the CEAI has contributed to WWF staff and partners in the region being exposed to and sensitized about more strategic and innovative regional approaches in support of the conservation targets set, in combination with the need to consider engagement with (other) relevant partners given their impact across levels and countries. Without the CEAI they would most likely not have been exposed to this and it has expanded their view on pressures and drivers and how best to address these through an array of options not considered earlier. However, while this is transforming the way the organisation operates it will require careful considerations how best to transition the CEAI into the new organisational structure to ensure continuity of the transformation set in motion as that has not reached full sustainability yet.

3.3.6 Key Supporting Elements

This section looks at two aspects under what is termed in the M&E plan the “Key supporting elements”, namely Communication and Partnerships. The aspects of “effective financial management” have already been touched upon in the Efficiency section above, and “M&E and reporting” is discussed in the section on “Adaptive capacity”.

Delivering Effective Communications

The MTR concluded that it appeared that the focus of the communications material has been on promoting WWF’s work and image, with little attention paid to strategic communication with external partners and on practical aspects of internal communications. While the articles seemed to be of good quality it was not always clear who the target audience was. It also found that there was no systematic communication with partners and stakeholders, and that communications wasn’t seen as a vital approach in support of the partnership strategy. Lastly, it wasn’t clear to the MTR team if all CEAI staff and key partners were playing an active role in communications. It was therefore recommended that a review of the communication strategy (to address why to communicate, who to communicate with, what are the associated messages, and what are the best means) to be closely linked with the development of the partnership strategy.

In follow up to the MTR a number of actions have been undertaken: the need for improvement of internal team communications was discussed and has been improved and resulted in the communications team receiving more support from the wider CEAI team; communications has become more strategic (e.g., guided by the ToCs of the programmatic components, added info graphics and fact sheets as communication means in support of thematic leads in meetings, and the inclusion of campaigns in the CEAI Communications Strategy 2016-2020) and an integral part of CEAI planning from the beginning as for example with proposals (which also incorporates now evidence based approaches including stories about changes achieved) and the development of the partnership strategy; communications is now more prominently represented in the CEAI (semi-)annual reports; a list serve has been established to communicate regularly with interested individuals and parties and this has in general been a more effective way to keep people informed than answering the many questions the team received; and, the communication team works with the media particularly environmental journalists in all three countries bringing issues into people’s daily lives. Also, the communication team contributes quarterly to the CEAI monitoring system, and uses it together with annual reports as first source to gather information to prepare communication products.

Given the interest of the audience, communication products are often focused on impacts and major outcomes and outputs (e.g., MoUs on timber trade). More technical information is often seen as rather complicated to (be) share(d) with the audiences targeted although hard data and facts shared in a brief format are often key to convince decision-makers (e.g., income lost in tuna fisheries and timber trade by countries concerned weighed heavily in their decisions to get engaged; records of income generated by the CBRNM model supported by WWF LIFE and partners in Namibia in comparison to the investments made convinced donors to continue support for over two decades). It could be valuable over time though to also explore and initiate links with an academic or knowledge institution as a means to increase the credibility and standing of the programme. The consultant was surprised to observe that a few WWF staff and partners interviewed did not understand the different levels at which the CEAI, COs and partners were operating at and how they mutually would benefit from each other. Also, some partners expressed the

need to be kept informed about changes going on within WWF together with clarity about the main point of contact in WWF who is making decisions regarding the partnership²⁴.

The work on communications is guided by three objectives and is being undertaken jointly with communication staff in the COs.

1. By the end of FY15, awareness and understanding of the importance of conservation, and sustainable management of natural resources in CEA is increased among key national and international audiences. The indicator is formulated as *Number and frequency of national and international natural resources events picked up by respective media and other CEA communication networks*, with a baseline value of minimal and a target of at least a 25% increase. Media workshops were held in all three countries, a media field trip was facilitated in Kenya and numerous events were picked up by the media, delivering above the 25% target.
2. By the end of FY15, WWF's profile, image and credibility, especially regarding its ability to catalyze solutions to the region's conservation problems is increased in the CEA region. The indicator applied was *Perception of key partners and audiences regarding WWF's profile, image and credibility*, with as baseline an average credibility with regional bodies and stakeholders and targeting an improvement. A perception study report, which focused particularly on two sites in Tanzania with Village Land Forest Reserves (VLFs; WWF-CEA GI, 2015a) indicated that most beneficiaries and stakeholders (community representatives, local implementing partners, CSO platforms, government representatives) agreed to the credibility of WWF in driving change from conservation projects and initiatives, thereby meeting the target set. This is furthermore supported by responses from CEAI partners the consultant interviewed during this assignment.
3. By the end of FY15, communications has contributed to significant progress made by the region's governments, and other key stakeholders to protect CEA and its biodiversity is recognized and promoted. The indicator used was *Number of NR-related achievements effectively driven by strategic communications (i.e. communications played a key role in them being achieved)*, with a baseline of one and a target of three. While the consultant fully supports and encourages the role and importance of communications within the work of the CEAI, this is mainly in combination with or in support of programmatic interventions rather than effectively *driving* NR-related *achievements* or to have contributed to *significant progress*. This concern more the formulation of the objective and indicator instead of the work undertaken and achieved, as for example the *contributions* made to reforms in the fisheries sector (e.g. development and implementation of national tuna strategies or CSO engagement) or advocacy for SFM (e.g. signing of transboundary and regional agreements) will not have *driven* it nor may have resulted yet in NR-related achievements. Equally so, it will be hard to measure the significant progress made or achievements obtained by capacity strengthening of media, while again the work as such is relevant. On the other hand Earth Hour events focusing especially on the promotion of the use of renewable energy in the region could have driven NR-related achievements but that case can only be made if supported with data.

²⁴ As a consequence of ongoing changes within WWF staff is moving around and do take on different responsibilities, and may even start working for other entities within the organisation. While these changes are understood and respected, it would be helpful to be informed about this in a timely manner.

The consultant acknowledges the achievements and the improvements made in the communication approach as well as the challenge of applying an appropriate balance between providing “messages” and an internal push for WWF branding. However, based on a randomised reading of articles provided and the last two annual reports, it seems that the majority of the focus is still on informing the general public, either directly or through the engagement of news outlets – whereby noted that the headline is often about the actual subject concerned instead of about WWF or the CEAI, which is recommendable. While this is an important approach to achieve public buy-in and civil society pressure on governments and private sector entities, communication of targeted messages with key decision-makers in government and private sector entities is equally important if to achieve true and sustainable transformation. Despite this being most likely already partly covered by the programmatic leads through different kind of interactions with key decision-makers, to the opinion of the consultant this could be enhanced by tailor-made contributions developed jointly with the communications team. In this context, the draft CEAI Achievement Storybook (WWF-CEAI, 2015c) does provide a great overview of the accomplishments and successes that cover five years of the existence of the WWF Coastal East Africa Initiative, but given its breath and pitch it does raise questions such as why was this put together and who is the target audience, while it also seems to have missed an opportunity to engage key decision-makers by setting the stage for what is next and what is needed. One consideration, if not done so yet, is to see if and how it could be used to obtain tailor-made products for selected audiences.

Developing and Strengthening Strategic Partnerships and Fundraising

The MTR team indicated that the lack of a comprehensive strategy for “change inducing” partnerships based on Theories of Change has had its impact on partner choice and relations and hence on the programme’s effectiveness. At the same time, that it was a good development that the CEAI was working on its ToCs and that a staff member was appointed to work on partnerships. Finally, that a strategy regarding “change inducing” partnerships was most urgent, but that a good partnership strategy would need to be broad and cover all four categories of partnerships (strategic, collaborating, change-inducing, and implementing), including optimizing the (potential) role of NOs beyond providing funding.

The CEAI team clearly recognized that the complexity and scope of issues to be addressed in order to achieve their conservation objectives are often beyond the scope and influence of WWF and if to achieve real transformation require the establishment of strategic partnerships with those entities which hold appropriate mandates and influence at local, national or regional level. Therefore, building on the ToCs and MTR’s recommendations, the CEAI developed a partnership strategy (WWF-CEAI, FY14). It allows for a cyclical approach to partnering including (i) initial scoping and building of partnerships, (ii) managing and maintaining them, (iii) monitoring, reviewing and revising partnerships as and when needed, and finally (iv) to sustain outcomes of such partnerships by for example sharing information and achievements and ensuring continuity. It clearly recognizes the need for collaboration with and implementation by the three CEAI programmatic components, COs, and communications and MEL for which reason it can be seen as an integrated partnership strategy.

The partnership strategy has been worked out in a detailed WWF CEA GI Partnership Matrix (WWF CEA GI) for each of the three programmatic components (marine, terrestrial, and governance / trade and investment) whereby a diversity of type of partners have been identified under each of the four key categories of partnerships and which have been ranked regarding the relevance of engagement based on their competence to achieve WWF objectives and geographical coverage. This has guided particularly the partnership prioritization under the CEAI Phase 2 with a focus on a limited number of key high level partners (SADC, EAC, AU, UNEP, and The World Bank) relevant for all three programmatic components,

together with the continuation of working strategically with CSOs and in addition to a large number of other partners the CEAI interacts with at different levels and intensity. Several partnerships have been formalized with an agreement and operate under joint work plans (e.g. SADC WWF, 2014).

Overall, the work on the partnership strategy has resulted into a more strategic approach regarding CEAI partnerships during the last year of the first phase of the CEAI and into its second phase. However, to the opinion of the consultant the private sector and engagement with NOs and other WWF entities would still benefit from some further consideration and strengthening.

With regard to fundraising details have already been addressed under section 3.2 on efficiency including that from FY2011 to FY2015 the CEAI annual budget increased with 70%. The benefits of the basket funding model developed by the CEAI together with factors to make it successful have been widely recognized and appreciated. Given that the majority of CEAI funding has been basket funding (approximately 65%) and based on strong NO support has also helped to ensure strategic focus and reduce the need to source additional funding.

Most of the additional funding secured has been more project oriented and shaped by the donors' interest (for example the strong focus on rights-based aspects in Finnish support and on livelihoods in Danish support) rather than by a strategic assessment of where the CEAI would require additional resources to deliver transformational change. In spite of this, the CEAI has managed to ensure that such project funding is aligned with the CEAI overall design and strategies. In relation to the ambitious 2015 objectives and the size of the region, the funding levels have to the opinion of the consultant been low. The component that was during the first two-and-a-half years most affected by under-funding was the Ruvuma landscape which changed when funding came in to recruit a number of dedicated staff for work in this Landscape. Staff capacity for Climate Change Adaptation has also been very limited (one staff at 50% for four years).

Partnerships and fundraising have been guided by three objectives:

1. By end of FY15 secure new funding from existing Government Aid Agencies (GAA) and multilateral sources for at least 10 million USD. The indicator was formulated as *Value of funds from existing GAAs and other funders* with a baseline value of 0. The CEAI was able to secure almost US\$ 20 million from and / or through a diverse set of network donors. The CEAI also developed the basket funding model resulting in a very efficient way of allocating funding and reporting back on it.
2. By end of FY15, secure funding from Major Donors/Foundations and from the business sector of at least 1 Million USD. The indicator was *Value of secured funds* with a baseline value of 0. As almost US\$ 1.3 million has been secured from three different sources (US\$ 790,000 from MW Brands, US\$ 100,000 from Oak Foundation and US\$ 400,000 from the Sall Family Foundation) the target of US\$ 1 million was well met over target.
3. By end of FY15, existing partnerships are operational and at least two new partnerships with key regional organisations are developed. The indicator was formulated as *Number of program level partnerships formalised and/or operational in support of strategic conservation outcomes* with a baseline of "minimal". At least nine strategic engagements were established and/ or formalized and strengthened including partnerships with the African Development Bank (AfDB), UNEP, UNDP, Eduardo Mondlane University in Mozambique, Southern African Development Community (SADC), TRAFFIC,

EAC, AU-IBAR, and CIFOR. The CEAI also established a partnership with MCDI, MJUMITA and Tunduru District Council to implement PFM initiative in Tunduru District, Tanzania.

3.3.7 Effectiveness in addressing recommendations from studies and reviews

During the first phase of five years of the CEAI a number of reviews were undertaken. This concerns, amongst others, an overall global internal review of the GIs, commissioned by WWF's Conservation Committee (CC) that took place in the period 2012 and 2013 (WWF, 2013b), several donor evaluations including the Thematic Review of the WWF Denmark portfolio (MFA Denmark-DANIDA, 2013; as part of a review together work in Uganda and the Mekong) undertaken in 2013, the Mid Term Review (MTR) undertaken in the second half of 2013 (WWF-CEAI, 2013), and the Review of Livelihoods, Gender and Human Rights (LGHR) aspects of the WWF CEAI in 2014 (WWF-CEAI, 2014c).

The main conclusion from these evaluations is that the CEAI is generally performing very well, and continues to be relevant and delivering important transformational change, together with the need to review the FY11-FY15 Strategic Plan on a number of points (WWF-CEAI, 2014a, page 3). These points concern the need to focus on a smaller number of key transformational strategies and devolving responsibilities of other elements to other WWF entities. Furthermore, the need to take into account some of the realities the programme has encountered including emerging issues and developments (and which require adaptive management), the need for clearer Theories of Change to guide the CEAI in its strategic approaches, the fact that some of the original objectives of the CEAI have proven to be too ambitious and the need therefore to review these, and the need to integrate more LGHR aspects.

To the opinion of most interviewees the reviews were generally well received and the response by the CEAI team to these reviews much appreciated (given their open and professional nature). The team's capacity for regular self-reflection and evaluation in combination with making time to reflect and agree on how best to address the recommendations from the reviews is seen as one of its strengths. This is rather critical if to achieve success when for example the circumstances within which the programme operates change, certain aspects of the work proved to have been more challenging than foreseen or have been addressed originally in a less effective way, or human capacity and financial resources offered unforeseen challenges.

The CEAI team prepared management responses to the reviews including all recommendations, the team's response, proposed action(s), by who and by when (see for example for the MTR WWF-CEA GI, 2014 February, and for the LGHR review WWF-CEA GI, 2015b) which were discussed and agreed upon at the respective next SHG meeting, after which it was left to the CEAI team to ensure implementation. It is obvious that the five key aspects listed above as requiring review have been addressed (see for more info on LGHR aspects below). As shared in chapter 2 (programme overview), section 3.1.1 (relevance as a GI) and section 3.3.4 (transformation, strategies and their importance) this was initially reflected in the revised CEAI 2011-2015 Strategic Plan (WWF-CEAI, 2014a) including for example the CEAI to focus more on the regional work and the rewording of some of the original objectives or their related indicator targets to make them more realistic, and later on in the CEAI Strategic Plan 2016-2020 (WWF-CEAI, 2015a) resulting in a much more streamlined strategy for the CEAI based on ToCs and clearer separation of roles and responsibilities among different WWF entities.

Furthermore, while it goes beyond the scope of this assignment to discuss recommendations individually, in general most recommendations have been taken on board or are being addressed in one way or another. The DANIDA review resulted in a WWF-Denmark compliance plan (WWF-Denmark, 2013)

including specific actions to be undertaken to address the recommendations relevant for the CEAI. In addition to responding to recommendations regarding the development of partnership strategies, CSO's partners' capacity development, and the inclusion of socio-economic development and rights indicators into the M&E Plan, this review proved also to be very helpful with for example refocusing the CEAI forestry component including its partnerships. To the understanding of the consultant no separate status or progress report on this does exist. Given the 90 sub-recommendations in the MTR the most elaborate management response was provided to this review and a status update was prepared (WWF CEA GI, 2014 [September]). At that time 50% of the recommendations had already been addressed while 10% required continuously follow up, still ongoing were 31% of the recommendations and almost 8% were still pending; only one recommendation (almost 1%) was considered not applicable.

Of the reviews undertaken the LGHR one provided the most divergent opinions among the interviewees. As in particular WWF Denmark is being challenged by its respective GAA regarding delivery on LGHR aspects it has been disappointed about the slow and limited progress of inclusion of these aspects into the CEAI's strategy and M&E Plan despite the support provided and efforts undertaken. On the other hand, while about all interviewees recognize the importance of LGHR aspects, they considered the review somewhat unfair to the CEAI as it did not recognize that the LGHR aspects were not key principles of the CEAI but would rather have to be integrated within the overall CEAI goal as well as that it drilled down to the field level to see impact while that actually goes beyond the CEAI's mandate. To the opinion of the consultant, in line with the planning logic of WWF's PPMS and to maintain clear focus, LGHR aspects are to be addressed as part of the pressures and drivers, not as stand-alone objectives. This would be achieved by integrating LGHR concerns and approaches *within* its conservation objectives or as part of its approaches, as part of the programme planning and related MEL system. This would have components at the field level (under the mandate of COs) together with the policy level. While the latter may be more challenging it will be critical to ensure an appropriate enabling environment for achievements at the field level.

Balancing these different opinions the CEAI team's management response regarding the LGHR recommendations (WWF-CEA GI, 2015b) indicates numerous recommendations to be incorporated into the design of the CEAI Phase 2 SP but assessed at the same time critically several other recommendations – as the mandate rests actually with other entities such as COs or the WWF Sustainable Development for Conservation (SD4C) team, or required substantial funding. The team developed subsequently, with support from several NO representatives, a work plan (WWF-CEAI, 2015d) for capacity building and mainstreaming of LGHR approaches of which aspects are included into the CEAI Phase 2 SP. In addition, a specific was tool developed to subject strategies to LGHR aspects and in particular, and more appropriately, WWF's Principles and Policies for the social dimensions of conservation and natural resources management (concerning indigenous people, gender and human rights aspects, and poverty; WWF-CEAI, 2014d). Each CEAI thematic component completed this tool as a benchmark to how the programme has complied with WWF social policies and these will be updated annually to track progress.

Despite the fact that it was at times only possible to address the most relevant recommendations, the consultant commends the CEAI team for their professional response to the reviews, also as it does not happen that often which such transparency, intensity, and timeliness. This has most likely also contributed to the average CEAI component score on KPIs to increase from 5.6 in December 2013 to 6.1 by June 2015 (see section 3.3.1 on assessment of the components) despite the challenges that have affected the programme.

3.4 Impacts and outcomes

The CEAI was designed to address regional drivers at scale and to achieve impacts within a 15-year timeframe, guided by 2025 goals set for the whole programme and its conservation strategies, and related 2015 objectives. *Impact* is what WWF and the CEAI actually aim for, formulated as key conservation targets, through ensuring that key ecosystems and habitats are sustainably managed in combination with improving people's NR-based livelihoods. The impacts are to be achieved through *outcomes* which address key drivers and pressures to these conservation targets and opportunities in support of these targets. Undertaken as a concerted network action it should lead to transformation regarding sustainable NR management in the region.

The consultant believes that the set up of a 15-year timeframe by WWF to achieve this has been chosen realistically given the geographical scope of the CEAI, the complexity of persistent drivers and pressures the programme aims to address and given its focus on the need for regional cooperation and collaboration, and to achieve sustainability of its strategic approach and transformation at the end. A first phase of five years was therefore understandably to focus first of all on "setting the stage" towards achieving outcomes and impact on which to build later on and during the next phase, such as for example bringing together multiple countries, building trust, and obtaining essential regional agreements. In this context it should be noted that governments' interests particularly seem to have been captured by the CEAI sharing information regarding the actual value of the shared NRs concerned, and related trade aspects.

This is not to say that no outcomes and impacts have been achieved at all during Phase 1 but these have been to the opinion of the consultant (and actually many interviewees) limited and could differ by country; examples are provided in brief below. It should be understood though that only limited outcomes and impacts should have been expected at this stage when seen in light of, as recognized by many interviewees, of a 15-year programme and that a critical sound foundation has been created by the CEAI on which basis lots of great outcomes and impacts are to be achieved during Phase 2. This has resulted already in for example WWF being seen as a key player in the region regarding timber trade and tuna fisheries approaches and governance issues and as a party to turn to for expert advice and support, as illustrated by other countries requesting to get involved. It has also been noted that staff across WWF has become more comfortable working with these challenging issues and the approaches needed to address them. The consultant believes WWF would need to provide continuous commitment to the programme and its approach though if to achieve the transformation it is aiming for, as reflected on in section 3.3.4 (for which reason it has not been repeated in this section).

Governance and empowerment

The work on governance and policies lends itself more to achieve *outcomes*, by creating a supportive enabling environment, than to achieve *impacts* directly. The support to CSOs forums and the introduction and development of SEAs are the two interventions having started to deliver outcomes, although both are at very different stages of achieving outcomes across the three CEAI countries. The work on reviewing and drafting policies is an impressive *output* and its value as *outcome* is still subject to actual adherence to these policies. The engagement with FOCAC and the private sector is still more in its initial stages although the guidelines that have been developed are also critical *outputs* waiting to become *outcomes* subject to actual adherence to these guidelines by the parties concerned.

Responsible Trade – Timber and Sustainable Forest Management

Under this component initial impact has been achieved by securing areas under SFM / PFM, by creating temporary employment and generating first income from timber sales for several communities in Tunduru

and Kilwa Districts, and increasing government income from timber trade. Of the revenue generated by the timber sale by the two villages in Tunduru District 5% is provided to the District Council, 20-30% to the Village Natural Resource Committee to cover costs for managing and monitoring the areas concerned, and 75-65% respectively to the Village Council (who makes proposals for allocation on development projects²⁵ to be voted on by the Village General Assembly). Based on the five-year management plans developed the income from selling timber could be increased significantly (up to 50X annually) assuming that (a) reliable market partner(s) could be identified and contracted. Concerning forest governance two bi-lateral MoUs have been signed and are under implementation, and the *Zanzibar Declaration on Illegal Trade in Timber and Other Forest Products* has been signed by the National Forest Agencies of Kenya, Tanzania, Uganda, Madagascar and Mozambique. These are important outputs setting the stage for key outcomes given that even as recent as 2013 governments in the region were not talking with each other regarding timber trade. Furthermore, thanks to CEAI leadership and support Tanzania and Zanzibar are now considering signing a MoU (while it was known since 2007 that timber trade issue between the two entities are critical). Despite initial positive signs – under the Kenya and Tanzania MoU awareness regarding key issues has been increased based on survey undertaken, communication has been improved between the two countries, and information is being shared – the *outcomes* to be achieved under these MoUs are subject though to the actual commitments by governments concerned regarding their effective implementation. Though, to the opinion of the consultant the stage seem to have been set towards anticipated *impacts* over years to come particularly by focusing on curtailing the illegal regional trade in timber in combination with improving people’s livelihoods (with the latter to be taken on by the COs).

Responsible Trade – Sustainable Shrimp Management

The only and limited impact under this component relates to the health status of the shrimp stock given that, after the shrimp fishery experienced a serious decline in production over the years, it is showing recently the first signs of recovery. This does not represent the original impact aimed for but it does represent a positive trend. Furthermore, critical interventions have been undertaken in support of achieving outcomes and related impact during Phase 2.

Responsible Trade – Sound Tuna for Sustainable Development

The work undertaken under this component has already resulted in *impacts* such as the two tuna species that were overfished or subject to overfishing obtained sustainability levels (although yellowfin tuna did fall back again into being overfished and subject to overfishing), and economic benefits are increasing at national level but not in all three countries (only more recently socio-economic baseline data for artisanal fisheries were obtained for which reason no data is available regarding socio-economic impacts yet). Also, all tuna management plans submitted to IOTC are from the EAC. At first sight most achievements under the “effective regional fisheries governance system” are mainly *outputs* though, but include some initial *outcomes* such as the implementation of the Maputo Declaration (which has also captured interest from other SWIO nations) and the actual implementation of national tuna fishery management plans. However, the work by the CEAI has already led to the CEA governments now being much more active at the discussion and negotiation table, in turn resulting in improved regional governance of, and regional cooperation regarding the management of this shared fisheries resource, thereby having set the stage for

²⁵ Initial funding was allocated to the construction of an office for the Village Council, Village Natural Resource Committee (VNRC) and a secure room, and the VNRC to undertake additional patrols, with ideas to allocate resources next to the construction of school class rooms and latrines, and to dig a borehole to reduce walking distances for women fetching water.

more significant outcomes and impacts during Phase 2 on top of the quite dramatic shift in the way governments address tuna fisheries issues already.

Securing High Conservation Value Areas

Most of the work under this component has been in support of specific land and seascapes or national approaches and hence of work under the mandate of the COs, and to support innovation and stimulate new approaches. Regarding management effectiveness the development and application of the METT+ tool is an *output* in support of measuring an *outcome*. As the socio-economic parameters under this tool have been surveyed one time by now actual outcomes and impact could not be assessed (WWF-CEAI, UNEP WCMC, 2015). This is also the case regarding the assessment of socio-economic benefits from natural resources management to dependant population in the Ruvuma landscape undertaken in Tanzania and Mozambique (Mbwambo *et al.* 2013 and Mbwambo, 2013). Also the actual outcomes and impact regarding the work undertaken on climate change resilience and adaptation, spatial planning and ALES, and sustainable financing will largely depend on actual roll out of these outputs by COs during Phase 2.

Conclusion

As was realistically to be expected within a first five-year phase of a 15-year programme only a limited number of outcomes and impacts have been achieved during Phase 1. Additionally, there are positive signs towards achieving several other outcomes and clear indications that a strong foundation has been built to ensure that major outcomes and impacts should be achieved over the next few years, assuming though that WWF will ensure continuity and consistency of the CEAI approach.

3.5 Adaptive capacity

General

To the opinion of the consultant the programme has adopted a strong adaptive management style by applying in a very practical way the PPMS cycle. This opinion is based firstly on how well the CEAI has been addressing recommendations from reviews (see section 3.3.7). This can be supported further by how the programme for example has been quite effective in working “around” the problems in the TCO and MCO – ensuring continuity by taking on more work than originally envisaged – flexibility regarding the geographical boundary of the CEAI based on actual species distribution (e.g. tuna work in SWIO) or trade aspects (e.g. timber trade beyond Kenya, Tanzania and Mozambique), and developing and testing new tools such as the governance barometer in support of the programme setting priorities (as “traditional” M&E systems do not capture the complexity and specificity of governance frameworks). The programme has also managed very well to accommodate specific donor priorities / requirements while still largely maintaining its strategic focus, and is constructive regarding the changed time horizon of the CEAI in preparation of the transitioning to the COs. Furthermore, the adaptation was undertaken if and when needed, not just following a fixed cyclical annual review, which is very much in line with how the PPMS is intended to be used.

Looking at the five components of the PPMS some highlights are:

1. **Define** – the original programme set-up was very ambitious and based on experiences during the first few years, related discussions in the SHG, internal and external reviews, realities on the ground, and capacity build in the meantime resulted in a revised CEAI Phase 1 SP (e.g. oil and gas work were taken out, an emerging issue as big investments in the region was added on, certain work was moved to COs) and a much more focused and streamlined CEAI Phase 2 SP.

2. **Design** – the more focused definition of the programme guided a clearer separation of the roles and responsibilities of the different WWF entities (e.g. for COs to address the pressures and CEAI the drivers), and the development of Theories of Change helped prioritize the most critical partnerships to achieve transformation.
3. **Implement** – having COs and NOs rallied around a regional programme operating at different levels resulted over time in a more collaborative and integrated way of annual work planning and implementation, and provided an opportunity to develop the basket funding model and related efficient reporting, thereby capturing WWF’s strength of being able to work at local, national, regional, and international levels. The engagement of local partners and supporting the development and capacity of CSO platforms has proved to be a successful strategy for WWF.
4. **Analyze /Adapt** – the internal and external reviews provided many recommendations from which the programme has benefitted (see section 3.3.7) and resulted for example in the integration of critical socio-economic aspects within, amongst others, the governance barometer and the METT+ tool. In the last two years assumptions were discussed in the (semi-)annual reports. Furthermore, the programme undertook, rolled out, adjusted and developed in consultation with the COs studies (e.g. Climate Change Vulnerability Assessments, Mozambique Shallow Water Assessment) and tools (e.g. Natural Resources Governance barometer, METT+, CSOs capacity need assessment tool, Participatory Timber Inventory Data Analysis tool, Value for Money Assessments) and build capacity in their application, all in support of strengthening and adapting the programme and its approach.
5. **Share** – in particular an internal WWF learning culture was supported through for example team retreats, SHG/SET meetings and conference calls, management responses to reviews, and an improved section on lessons learned in (semi-)annual reports, all in support of adapting and strengthening the approach under the other four PPMS components.

M&E

The programme has a well articulated M&E plan and complies with the WWF Project and Programme Management Standards (PPMS) in this respect. Addressing recommendations from reviews and reflecting on lessons learned has improved this over time, but maybe not optimal due to the lack of ongoing engagement of the enabling team on M&E. Several reviews were seeking to strengthen the livelihoods aspects of the programme but this was, however, hardly reflected in the CEAI updated M&E plan of 2014, although has been addressed in different ways as shared in other parts of this report. The M&E plan was developed in good consultation and coordination with the COs, and the CEAI supported the consolidation of M&E capacity in the COs which proved to be helpful in tracking progress of targets set. This support is clearly recognized and appreciated by CO staff interviewed.

Semi-annual and annual monitoring reports are based on the WWF Priority Programme Technical Progress Report template and are highly readable and of good quality, focusing on the key issues. Over time the CEAI adjusted the template to improve its structure, accommodate donor requests to include more information on e.g. contribution to poverty reduction and on attribution, and to be more specific about lessons learned and to address challenges, risks and assumptions. The CEAI M&E team worked also with WWF donors to harmonise the reporting requirements for both WWF International and GAA donors resulting in a substantially reduced work load for the CEAI. Nevertheless, delayed input by COs into financial reports has been a major challenge, and has affected timely reporting of the CEAI to the respective donors. The findings presented in the (semi-)annual reports and related M&E plan were used in the work planning of the subsequent years and the revised CEAI Phase 1 SP and the development of the CEAI Phase 2 SP.

Deliberate efforts have been made to ensure that baseline data were available for all indicators, but for several indicators this still had to be collected during FY2013. Ideally, such data are available from the start of the implementation but the consultant has yet to see a programme where this has been the case and is of the opinion that the CEAI is performing well in this respect. The main concern has been the lack of solid baseline information with regard to the programme's expected impact on livelihoods, especially after it was decided that livelihoods aspects should receive more attention in the CEAI, however, practically this would be formulated easier on the field level (COs) than on the policy level (to create an enabling environment for communities deriving benefits from sustainable natural resource use; CEAI).

While many indicators in the M&E plan reflect somehow the cause-effect relationship included in its ToCs this is not the case for all, partly because the indicators were formulated well before the ToCs. As indicated earlier this may at times also concern the formulation of the indicator, for example "number of policies, plans and programmes subjected to SEA" is relevant but if the objective is "the implementation and enforcement of EIAs and SEAs" keeping track of the number is one component but is missing measurement of the actual appropriate application of SEA. While for sure it is easier to list the number than to keep track of the appropriate application, this would be critical if to measure progress towards a critical element under the ToC.

As often is the case in large 15-year programmes, achievements in the first five years concern more (relevant) outputs than outcomes or impacts per se. This is also the case with the CEAI (see section 3.4). The initial focus on outputs and developing relationships is critical though if to create a solid foundation on which basis to achieve significant outcomes and impacts in years to come. Therefore, the CEAI's reflections during its first phase of five years had to be necessarily more on outputs, within the context of the overall programme strategy, than on lots of outcomes and impacts (even if listed under the heading of outcomes and impacts achieved in the reports). These reflections are presented in the narrative of the (semi-annual) reports and the M&E Plan. From the interviews with both WWF staff and partners the consultant concludes that it is plausible to attribute achievements to WWF / CEAI (see also section 3.3.5 on What if there would not have been a CEAI?), and this is also supported by the findings from the stakeholders' feedback report (WWF-CEA GI, 2015a).

Knowledge Management

A Knowledge Management (KM) framework was developed (WWF-CEA GI, 2013). This framework is based on a knowledge audit carried out amongst CEAI components and focuses mainly on internal KM for the CEAI. It provides tools (e.g. rights-based fisheries management, GIS, METT, Green Economy and Natural Capital), and best practice approaches and methods for learning and sharing (e.g. exchange visits, organize and document knowledge materials). An annual participatory evaluation with the CEAI team, CO staff and stakeholders is part of the KM framework by tracking four indicators in support of continuous improvement and sharing of impact, outcome, and outputs for the programme. It seems, however, that these evaluations were not undertaken due to limited MEL capacity. While it is clear from the CEAI (semi-)annual reports and M&E plan that most of the tools have been applied, that is not the case regarding the proposed best practice approaches and methods for learning. According to the consultant this may also be a consequence of, as it appears, limited linkages between the KM framework, the communication strategy and the partnership strategy.

The (semi-)annual reports since 2013 included a separate section on lessons learned, and recommendations from internal and external reviews were responded to in a management response for discussion and decision with the SHG. Furthermore, WWF's Strategic Plan and Monitoring System (SPMS)

was populated from FY2013 onwards providing information on planned results, achieved results, lessons, and what could be done for improvement for each of the objectives per sub-component (WWF-CEA GI, 2015c). All have contributed to a strong learning culture within the CEAI and WWF. Learning with partners has for example been undertaken through the provision of training, during joint field visits and participation in CEAI planning/retreat meetings, participatory implementation of the programme and undertaking jointly various assessments, and more generally through newsletters, the programme website, and the recently produced achievement storybook (WWF-CEAI, 2015c).

Like lessons learned, a separate section on risks and assumptions was included in the (semi-) annual reports since 2013. Different kinds of risks were assessed (e.g. external and internal to the programme and adaptation and the sustainability of results achieved) together with proposed approaches how best to address those risks. For example, FSC and MSC certification were promoted by the programme but have been perceived as expensive and ineffective by the market. In response, the CEAI started promoting sustainable forest management (SFM) as an option for ensuring sustainable management of forest resources which has been proven to be very successful in Kilwa and the Ruvuma landscape. Similarly regarding fisheries, the programme is promoting rights-based management (RBM) to fisheries and Fisheries Improvement Plans (FIP) to backup MSC. These initiatives are expected to ensure inclusion of local people in decision making and NR management and should promote the sustainable management of these resources. Equally so, the initial assumption that artisanal tuna fisheries was negligible in the region was found to be incorrect resulting in adding a focus on artisanal tuna fisheries in the revised CEAI Phase 1 SP (see section 3.1.3) for sustainable management purposes (need to engage all key stakeholders) and livelihood concerns including human rights and gender.

Adaptive management in support of the CEAI to be transformational

Despite best efforts, designing a big and long-term regional programme to perfection from the onset is often a challenge. Operations across levels requires clarifying the different roles and responsibilities, the identification and engagement of multiple strategic partners does take time, operating around a commonly agreed upon strategy requires multiple consultations and lots of coordination, and at times the realities “on the ground” are different than anticipated and do change over time. Therefore, it will be critical to adapt the strategy and approaches as needed. The internal and external reviews and reflections by the SHG have proven to be very helpful in this respect but largely so given the open, constructive and professional responses of the CEAI team. While this has taken time it has resulted into a much more streamlined and focused programme, initially in the revised CEAI Phase 1 SP but more so in the CEAI Phase 2 SP, and much clearer separation of roles and responsibilities, in particular between the CEAI programme and the COs.

Key lessons about the GI model based on the CEAI experience

Despite decades of efforts the conservation community at large keeps on being faced with the ongoing loss of biodiversity and subsequent negative impacts on natural assets and NR-based livelihoods. This makes it quite likely that continuing with a “business as usual” approach will not change much. Therefore, to the opinion of the consultant, the CEAI and COs and NOs concerned have together been able to optimize the design of a strategic regional programme and approach during the CEAI Phase 1 which aims to address the challenges more holistically through at the same time:

1. Minimizing and / or mitigating the pressures and drivers to the conservation targets prioritized and as identified in the Strategic Plans (normally the focus is on pressures or drivers, hardly on both);
2. Planning, implementing and reporting across levels, optimizing each other’s strengths while respecting the mandates of different WWF entities and engaging local CSOs;

3. Addressing critical transboundary, regionally or internationally challenges required to have impact on field level (which has often proven to be a challenge for COs);
4. Enhancing the work across components, in particular governance and trade and investment aspects with the other two;
5. Analysing the full value chain of a natural resource concerned to identify the most critical entry points for collaboration;
6. Identifying and collaborating with critical partners to achieve transformation in the long-term (e.g. using trade data to engage governments; collaboration with key regional entities; advising SAGCOT);
7. Exposing WWF to new approaches such as influencing policies and trade and investment;
8. Developing the basket funding model.

Through the CEAI, with oversight by the SHG, WWF was able to optimise its unique strength as an organisation to work across levels in an efficient way. Based on the interviews with partners and WWF staff this is seen as important and critical and should be noted that this work is seen by partners as WWF, not CEAI or KCO, MCO or TCO. The interviewees also indicated the need for continuity to achieve longer-term sustainability of the transformation aimed for. As to be expected, most of the achievements to-date concern outputs and processes, with initial outcomes and impacts starting to be reported on. This has resulted in a solid foundation for major outcomes and impacts as planned for in years to come but this would assume and require careful consideration how to ensure continuity of the CEAI programme and approach as part of the transition of CEAI into the COs. The consultant would like to caution against losing the momentum achieved to-date and having to re-invent the wheel, and has included considerations in the Recommendations chapter.

3.6 Sustainability

WWF defined transformation as *a sustained shift in behaviour of key actors to reduce the root causes of biodiversity loss*. Based on interviews with partner organisations the CEAI seems to understand very well the specific roles and mandates these entities hold as well as its own (time-limited) mandate and hence role in how best to support these organisations in reaching such a sustained shift. This is critical to achieve partners' engagement and respect and full sustainability of the approaches and their outcomes and impact over time without the ongoing involvement of the CEAI. Similarly, with donor's general interests for sustainability, limited resources and definitely no infinite support for years to come this is an issue that should be fully considered and integrated in approaches from the beginning.

This should be assessed *though* within the set-up of a 15-year programme and its first phase of five years only. Again, not to say that no sustainability should have been achieved during Phase 1 but to be realistic regarding what could have been achieved over this time frame and given the initial focus on "setting the stage" for outcomes and impact in years to come. A number of key sustainability aspects are shared by component below, whereby noted that achievements may differ across the three countries.

From a more general and positive perspective it should be noted that with the actual establishment of the CEAI the organisation avoided a number of the NOs pulling their resources from the region (given for example their frustration with the COs struggling to plan and implement strategically from an eco-regional perspective). Equally so the CEAI ensured continuity of MCO and TCO operations during challenging times (and without CEAI's support several donors would have pulled at least part of their resources from the region). On the other hand, WWF is currently risking losing CEAI staff and their networks and institutional memory for a combination of reasons. Together with the transitioning of the CEAI into COs this could

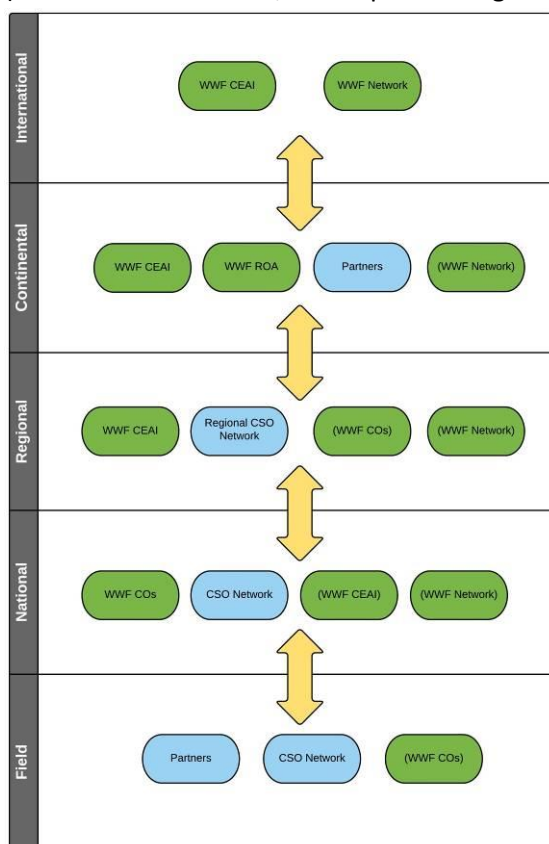
potentially result in the investments made into the CEAI strategic approach, including becoming more focused and streamlined, not longer deliver the expected outcomes and impacts anticipated during a second phase.

The sustainability of CEAI's approach

The CEAI was designed to address regional drivers at scale and to achieve impact within an original timeframe of 15-years. As stated above, the consultant fully understands and agrees with the logic and reasoning for such an approach. He also sees it as one of WWF's strengths to be able to operate across the different levels to address pressures and drivers at the same time in a coherent, consistent and systematic way. This is illustrated by WWF's move from projects to strategic programmes, by engaging partners at different levels, and critical roles for the COs, CEAI, ROA and other entities (see figure 7). The findings in this report fully support the effectiveness of such an approach as delivered by the CEAI, COs, other WWF entities and partner organisations. However, WWF is rolling out its Truly Global Process whereby GIs are to be ended, including the CEAI by the end of FY16 instead of the original FY2015 and later on agreed upon FY18. In support of the transition of components to COs the consultant believes that this should require careful and timely consideration as not to lose the achievements obtained and investments made to date and the momentum created, to avoid actually going to miss out on achieving the transformation for which the stage has been set now, and for WWF to lose its credibility as a reliable partner organisation to work with.

Figure 7 – Strength of WWF and partners working together across levels

(Green = WWF entities, blue = partner organisations, un-bracketed are lead organisations)



Governance and empowerment

The CEAI initiated different work areas and innovative approaches under this component, most of which have been transitioned to COs or other WWF entities over time. This concerns for example the work on Oil

and Gas, energy, the review and drafting of policies, development and application of the governance barometer, and support to development of CSOs forums and SEAs. The support and flexibility provided by the CEAI to COs or individual staff regarding such innovation and the transition to other WWF entities has contributed to improved operations within countries and is appreciated by interviewees. The best example of sustainability under this component is that several CSO forums (particularly in Kenya and Tanzania) developed a constitution, are legally registered, developed strategies, provided in-kind contributions, and are undertaking their own fundraising. In Mozambique the intention is to build capacity within the government regarding the Green Economy, under an agreement that the government will take over this position after two years. About all interviewees expressed the need for ongoing support if they are to achieve outcomes under the interventions started, including the work on SEAs (if support is ended then government priorities may still change and WWF would need to agree upon an approach to achieve real sustainability). Except for Trade and Investment related work, all other aspects fall under the responsibility of COs now and it would be critical for WWF to monitor the actual continuity of this work across all three countries, and may require collaboration and support from one CO to the others.

Responsible Trade – Timber and Sustainable Forest Management

Experiences with the MoU between Mozambique and Tanzania resulted in including an action plan under the MoU between Tanzania and Kenya as well as the provision of funding by KFS and TFS to be able to implement components of it. These MoUs together with an increased understanding regarding illegal regional timber trade aspects resulted in the signing of the Zanzibar Declaration. Further implementation of the MoUs, including the monitoring of illegal timber trade in the region, will require ongoing and active support from the CEAI regarding standardization, capacity building and joint trainings if to achieve sustainability during Phase 2 i.e. without further support from WWF over time. Equally so the promising work on SFM / PFM does require continued support if to achieve longer-term sustainability of the interventions, although rather by the COs than the CEAI. This concerns support for critical community processes as well as approaches to optimize and diversify benefits for communities from their NR base.

Responsible Trade – Sustainable Shrimp Management

It is obvious that based on information shared on this component in earlier sections that no sustainability has been achieved yet. It would therefore need ongoing support to ensure the positive trend that has been initiated will result in sustainability over time. This does fall though mainly under responsibility of MCO.

Responsible Trade – Sound Tuna for Sustainable Development

The work undertaken and achievements under this component have been well received and are widely recognized. Nevertheless, there would be need for ongoing critical engagement and support if it is to achieve longer-term sustainability as this is being challenged in different ways. National level fishing fleet plans submitted by several members to the IOTC represent 250% above sustainability levels, and this should be considered in combination with countries increasing their tuna fishing efforts, obtaining their own fleet or modernizing it, and the EU avoiding the longer-term quota solutions that would be in the interest of all parties concerned (and thereby violating external dimensions of its Common Fisheries Policy, 2014). As this concerns a shared resource, with significant community interests in tuna fisheries, further engagement with communities (by COs or partner organisations) and private sector partners will also be critical. On a more positive note key funders of marine work in the region (e.g. The World Bank and the GEF) are getting involved and interested in the CEAI approach which may provide new venues for longer-term sustainability.

Securing High Conservation Value Areas

The work under this component has not achieved sustainability yet, and most of it has been moved to the COs already. All work would need ongoing support though and the consultant questions if further technical support would need to be provided to the COs regarding spatial analysis and planning and sustainable financing.

Delivering Effective Communications

Communications is one important component if to achieve transformation, which is defined as *a sustained shift in behaviour of key actors to reduce the root causes of biodiversity loss*. This is to be aligned with the interventions undertaken by the programmatic components, focused on their key actors, and implemented in collaboration with the programmatic leads. Progress has been made regarding these aspects and has resulted into a more strategic communications approach over the past five years, however, due to differences in capacity across the COs and with the transitioning of the CEAI it would be critical to ensure the sustainability of the work achieved thus far.

Conclusion

The biggest concern regarding sustainability at the moment is how well WWF will transition the CEAI components into the COs to ensure it will maintain a strategic, transformational and regional focus across levels. If this transition and related concerns are not given due consideration, WWF runs the risk of interrupting the path towards transformation and sustainability. Only a few of the approaches and interventions have achieved some form of sustainability so far. This is not due to the lack of interest or consideration by the CEAI but should be seen in light of a first five-year phase of a 15-year programme, and is therefore as could have been reasonably expected. There are, however, positive signs towards achieving longer-term sustainability assuming that ongoing active and consistent support will be provided to the approaches and interventions.

4 RECOMMENDATIONS

In comparison with a MTR the focus of a Final Evaluation is more on the findings than on recommendations. Nevertheless, in this chapter a number of recommendations are shared based on the findings and the continuation of this programme. Given the work undertaken by the CEAI and COs and the relevance of work across levels to address pressures and drivers at the same time, the recommendations do cover both entities so as to ensure continuity of the most critical approaches. The recommendations are focusing particularly on the sustainability of the transition of the CEAI to the COs as part of the Truly Global Process. This is meant in support of decisions made by WWF, but does not necessarily reflect the consultant's opinion on this transition. Please see Annex XVI for specific recommendations concerning the Tanzanian side of the Ruvuma landscape.

4.1 Relevance and quality of design

The programme design and its approach have been streamlined significantly over the years resulting in a much stronger focus of the CEAI as illustrated by the CEAI Phase 2 SP. Interventions that were better placed and run by COs have been transitioned over time, allowing the CEAI to focus in particular on the (regional) drivers impacting the conservation targets. The consultant fully supports this clearer focus but is concerned that two critical issues are still not addressed i.e. population dynamics²⁶ and the impacts from unsustainable land use on coastal and marine ecosystems, and that one critical issue may not any longer or only partly be covered i.e. climate change adaptation.

Population

Population dynamics do not fall under WWF's field of expertise but this should not hold the organisation back to at least explore and pilot (an) approach(es) to address this important driver, for example similar to the partnership with CARE on development issues. It does concern for example population increases but also migrations to areas with more favourable NR conditions such as open access fisheries, resulting into competition for different uses including conservation and sustainable NR use. This is to be addressed by COs, could start small with a pilot project, and should be linked to integrated land-use planning (which is in most cases not happening by the local government due to lack of capacity). To address this, the following is recommended:

Recommendation 1 – Address population dynamics

To address the increasing impact of (anticipated) population pressures on the natural resource base, and in support of the poorest, it is recommended that the COs (in combination with recommendations 2, 3 and 6, and if requested by COs given that this covers new territory with support from the CEAI):

- 1.1 Explore and investigate (a) partnership(s) with (an) organisation(s) specialised in population dynamics;
- 1.2 Explore and agree on (a) pilot site(s) and develop a joint work plan;
- 1.3 Undertake joint fundraising; and,

²⁶ The CEAI phase 1 Strategic Plan recognized that the pressures on natural resources are heightened by the needs of expanding populations of mostly poor communities which are totally reliant on these resources for food, water, fuel and other basic needs. In discussions with interviewees this concern was confirmed together with additional pressures from people migrating to coastal areas. Despite being recognized as a critical issue the CEAI did not set out to work on this (most likely as not part of WWF's core business). Also, ROA's Strategy Roadmap includes a map indicating Africa's population to be about 1.1 billion in 2015 and in 2050 to be about 1.7 billion based on a low projection, 2 billion based on a medium population projection, and 2.3 billion based on a high population projection.

1.4 Implement, test, monitor, and use lessons learned to expand the joint approach over time.

Climate change adaptation

The work by the CEAI on climate change adaptation has provided support to the COs to address this important pressure on the NR-base and people's livelihoods in selected HCVA. Where climate change vulnerability assessments and climate change adaptation strategies have been completed these should now be implemented as soon as possible; where not finished yet those should be as soon as possible. The CEAI could benefit though from additional climate change adaptation work on species and habitats across the region. It is therefore recommended:

Recommendation 2 – Climate change resilience and adaptation

To address the effect climate change on natural resources it is recommended that:

- 2.1 The CEAI supports further climate change vulnerability assessments on selected species and habitats relevant from a regional perspective;
- 2.2 The COs to implement climate change adaptation strategies developed and to finish those for HCVA not done yet, addressing critical conservation and natural resources based community livelihoods.

Developing synergies

The CEAI Phase 2 Strategic Plan allows for linkages and collaboration between the three components of sustainable fisheries, sustainable forests, and sustainable investments, but this concerns in particular the investments component with the other two. However, from an ecological perspective it is also relevant to consider the links between the land- and seascapes given the impacts of land uses on for example sea grasses and beds and mangroves, even further upstream along the coast. It is therefore recommended:

Recommendation 3 – Covering ecological impact from land uses on seascapes

To address the most critical negative impacts from land uses on in particular critical seascapes it is recommended that the COs and CEAI jointly:

- 3.1 Assess the biggest negative land-use impacts on prioritised seascapes, and their causes;
- 3.2 Develop jointly a strategy how best to address the pressures identified, agree on roles and responsibilities, and integrate into respective work plans.

4.2 Efficiency

In general the CEAI has been operating efficiently, and this has been increasing over the five year timeframe, in particular regarding the joint planning and reporting with COs and the administrative arrangements with TCO as hosting office. However, there remains room to improve the arrangements with TCO for which reason it is recommended:

Recommendation 4 – Administrative arrangements between the CEAI and TCO

To improve the efficiency of CEAI's and TCO's operations it is recommended:

- 4.1 For the leaders of the CEAI and TCO to provide further clarity regarding the distinct roles and responsibilities of financial and technical staff to avoid unnecessary delays in the approval of financial transaction or contract requests;
- 4.2 For senior management of the CEAI and TCO to agree on a regular meeting schedule to address issues of efficiency if and when needed;

- 4.3 Without losing the appropriate check and balances for WWF to re-assess the efficiency of its policies concerning advance payment requests (in light of programmes running multiple interventions at the same time), and the allocation of resources to field offices; and,
- 4.4 For WWF to ensure that new management and financial systems are developed and run in support of staff implementing the organisation's conservation work, not to stifle it (as the latter is often a consequence if developed from a pure (financial) management perspective).

4.3 Effectiveness

Effectiveness of a programme depends for a large part on the relevance and quality of its design. With CEAI's increased programme focus over the years and further clarity regarding the roles and responsibilities of the different entities involved, the effectiveness of its approach and operations has improved further. The consultant sees WWF's strength in being well positioned to address both pressures and drivers and by engaging key stakeholder and partner across levels (see figure 7). It would be critical for WWF to ensure that strength remains and is enhanced during and after the transition of the CEAI into the COs.

Recommendation 5 – Building on WWF's strength

- 5.1 WWF should ensure the continuation of addressing critical pressures and drivers across levels together with engaging key stakeholders and collaborate with key partners and build their capacity as needed to ensure transformational impact.

It is the opinion of the consultant that the programme's effectiveness would benefit from systematically exploring opportunities for, and supporting a diversified set of NR-based enterprises. Such enterprises are only sustainable over time if meeting the triple-bottom line of ecological / environmental integrity, fair and equitable socio-economic development, and being viable businesses. It is often needed to support a diverse set of businesses and to assess how best to optimize the benefits derived thereof for local communities if to raise any meaningful benefits at scale.

Recommendation 6 – Sustainable NR-based enterprises

- 6.1 COs to explore, develop and roll out a strategic NR-based enterprise approach (see for more detail recommendation 2 in Annex XVI);
- 6.2 COs to ensure the national policy context is in support of optimizing benefits from NR-based enterprises to communities (see for more detail recommendation 3 in Annex XVI);
- 6.3 CEAI to ensure the regional policy context is in support of optimizing benefits from NR-based enterprises to communities; and,
- 6.4 Explore the feasibility of payment for ecosystem services as an approach to generate benefits from natural resources.

The CEAI's overall effectiveness was also achieved with the help from key supporting elements such as communication, partnership development and fundraising, and M&E. It is not clear to the consultant though if and how these components will be transitioned, but he considers continuity to be critical (and is raised as an issue under section 4.6 on sustainability below). Specific recommendations regarding effective communication and partnership and fundraising are proposed as follows:

Recommendation 7 – Effective communication

- 7.1 Revisit the formulation of objectives and related indicators to represent more appropriately and realistically the actual work undertaken;

- 7.2 Strengthen the role of communications in support of the programmatic components and linked to knowledge management to achieve a sustained shift in behaviour of prioritized key actors as identified by the ToCs;
- 7.3 Keep partners informed about changes including main point of contact in a position to make decisions regarding the partnership; and,
- 7.4 Over time explore and initiate links with an academic or knowledge institution as a means to increase the credibility and standing of the programme.

Recommendation 8 – Partnerships and fundraising

- 8.1 Ensure to engage other WWF entities if and when needed to achieve integrated conservation and longer-term sustainability and socio-economic development (e.g. EU office regarding tuna fisheries agreements, WWF-Norway, United Kingdom, Italy and USA given their oil company's interest and operation in the region);
- 8.2 Explore further strengthening of engagement with the private sector through assessing the full value chains and apply market pressures and explore market opportunities; and,
- 8.3 Given the uncertainty regarding continuation of funding by several of the NOs, initiate the development of a strategy and implementation of diversification of funding sources.

In general the internal and external reviews have proven to be very helpful to the CEAI. It would, however, be helpful in the future to ensure reviews are always undertaken in the context of WWF's conservation logic i.e. critical issues to be in support of conservation and an integral part of the overall goal instead of being considered as stand-alone objectives. This is to ensure that review recommendations are in direct support of the work being undertaken for which reason it would also be easier to take them on board. It is also considered helpful to keep relevant parties informed regarding progress of implementation of review management responses (concerning the recommendations provided by a review), and to share the lessons learned more systematically with other WWF entities and partners.

Recommendation 9 – Reviews

- 9.1 Ensure that the ToRs to guide reviews are specific enough that development aspects are to be considered in support of conservation and hence to be integrated as such, instead of being seen as stand-alone objectives or approaches;
- 9.2 Develop and implement an efficient approach to communicating progress regarding management responses which address review recommendations (e.g. through status reports or colour coding activities in work plans or the MEF); and,
- 9.3 Ensure key lessons learned are shared more widely within WWF and with key partners.

4.4 Impacts and outcomes

The findings on impacts and outcomes indicate that to-date only a limited number have been achieved, as was to be expected given a first phase of five years of a complex regional 15-year programme. However, there is also a clear indication that major outcomes and impacts should be achieved over the next few years based on the solid foundation created, and recommendations 1, 2, 3 and 6 are to enhance this even further. This would be subject though to WWF ensuring continuity and consistency of the CEAI approach (which is discussed further under 4.6 on sustainability).

4.5 Adaptive capacity

The adaptive capacity of the CEAI has been recommendable and has helped the programme obtain greater focus and clarity regarding the different roles and responsibilities of the different WWF entities involved. In addition a number of aspects could be enhanced.

Recommendation 10 – Adaptive capacity and Monitoring and Evaluation

- 10.1 Maintain an open, reflective and adaptive culture, stimulated by regular reviews. This may be even more critical after the transition of the CEAI into COs to ensure its continuity and to achieve the transformation set in motion;
- 10.2 Enhance the integration of the most critical conservation-driven socio-economic aspects in the CEAI Phase 2 M&E plan and related baselines;
- 10.3 Review the formulation of objectives and indicators to be included under the CEAI Phase 2 M&E plan as to ensure they are answerable to and reflect priority aspects of the ToCs;
- 10.4 Reflect on how effective the governance barometer is providing the most relevant information against the efforts and costs required to obtain the assessments and how to improve it;
- 10.5 Transition the focus of reports from outputs and processes over time to outcomes and impacts;
- 10.6 Strengthen the linkages between M&E, KM, communications and partnerships, all to be guided by the ToCs;
- 10.7 Expand KM and hence communications to include also critical partners; and,
- 10.8 Monitor continuity of implementation of CEAI's approach and work across the region and all three countries (see findings in section 3.5 key lessons about the GI model and in section 4.6 on Sustainability recommendations).

4.6 Sustainability

As indicated in the findings on sustainability (see section 3.6) only a few of the approaches and interventions have achieved some form of sustainability so far, as could have reasonably been expected. However, the foundation has been put in place to achieve longer-term outcomes, impacts, sustainability and transformation assuming that ongoing active and consistent support will be provided to these approaches and interventions. This concerns both the work that falls under the responsibility of COs and the CEAI.

Recommendation 11 – Achieving longer-term sustainability of the approaches and interventions

- 11.1 Both the COs and the CEAI should ensure and monitor continuity of the approaches and interventions initiated during the CEAI Phase 1 in support of achieving as early as possible long-term sustainability, as for example:
 - Ensure full and longer-term sustainability of the tuna fisheries in the EAC region in light of for example fleet plans well beyond sustainability levels and the EU not being engaged, and enhance community benefits from artisanal tuna and shrimp fisheries;
 - Scale up community SFM, increase and diversify income from WMAs, address (il)legal timber trade aspects, address forest fires, and strengthen the capacity of partners;
 - Support the implementation of shrimp management plans and enhance benefits for communities;
 - Support the EAC region in the development of a sustainable approach regarding trade and investments and hence the practical and realistic implementation of SDGs and Climate

Change agreement, Green Economy pathways and principles, and the sustainable development of selected resource corridors;

- Continue support to national and regional CSO platforms; and,
- Ensure continuity and enhancement of the work in the HCVAs.

In addition to the direct sustainability aspects of the interventions and approaches concerned, their sustainability is also impacted by the organisation's overall strategic, institutional, and programmatic approaches within which the CEAI and COs operate. WWF applied the *Ecoregional* approach as for example the Eastern African Marine Ecoregion with a Strategic Framework 2005-2025 which was by 2010 moved only partly into the CEAI which had a 2010-2025 lifespan, which in turn five years later is being split up and transitioned to the COs as part of the *Truly Global Process*. Restructuring the organisation is necessary at times to address changing circumstances within which the organisation or its programmes operate and optimize the use of increased insights. It is strongly advised though that these ongoing organisational changes are considered in the context of what WWF's own GI review stated "Most experience with significant conservation impact has demonstrated that it takes at least ten years of work before impacts can be demonstrated on a large scale."²⁷ Also that such transition should take place over time, not in a rush. The investments made in the CEAI have set the stage now for a focused and most likely successful second phase during which the organisation would be able to achieve significant outcomes and impact in support of transformation. The consultant therefore believes that it will be very important for WWF to consider carefully how to guide this transition to the COs to ensure continuity towards transformation and harvest results of the substantial investments made. Questions that should be considered are for example:

- a) How to ensure existing agreements and commitments with donors and partners based on the CEAI model and approach are adhered to (also to avoid that partners' commitments with for example communities are not compromised)?
- b) With moving CEAI components to the COs, how to ensure continuity of the strategic *regional* and *transboundary* programmatic approaches across the COs and relevant levels (in this context it should be noted that there are several examples to illustrate that COs have a tendency to prioritise (sub-)national issues and are not necessarily best positioned to lead or coordinate regional approaches or collaboration across COs; also that other organisations allocated a certain percentage of their budgets to ensure cross-departmental collaboration)?
- c) What kind of (regional) management structures and reporting lines would make most sense to guarantee continuity of the *transformational regional* and *transboundary* approaches across levels (regarding staff, senior management, and across WWF entities)?
- d) What is different in COs compared to five years ago that they are now in a position to take on such regional components and related responsibilities to continue delivery at the same scale and high quality, including for example financial management, monitoring and reporting? Or, what is still lacking and should be addressed before a smooth transition can take place?
- e) How to ensure that critical existing CEAI capacity, expertise, networks, and institutional memory are not being lost in the transition process?
- f) How to ensure (continuity of) collaboration across the three main components and across levels?
- g) How to ensure that staff responsible for the regional work is able to work on that level (for example how to avoid being perceived by key partners as working for a CO and hence not getting access)?

²⁷WWF Global Initiative Review: Conservation Strategy & Performance. March 2013, page 4.

- h) How to ensure the COs will have the appropriate capacity and support systems in place to take on these new assignments (whereby noted that as long as this is not addressed by WWF in a systematic and consistent way there is no guarantee that the same level of funding will remain available to the region)?
- i) How to ensure that the management standards set by the CEAI regarding *joint regional* planning, collaboration and cooperation regarding its implementation, financial management, monitoring and reporting will be continued?
- j) What would this transition mean for the well respected and efficient basket funding model which allowed also for flexibility under changing dynamics (whereby noted that several NOs may not have the human resources to set this up and manage this similarly with different COs instead as with one regional entity, nor that CEAI funding will automatically become CO funding)?
- k) What would be the most efficient approach of the transition and managing it, including potential transaction costs to the organisation during and after the transition?
- l) When and how will WWF communicate internally, but also with partner organisations about this transition including what that possibly means for the partnership including main points of contact (whereby noted that most partner organisations interviewed expressed great value for the collaboration and considered it actually critical, by all parties contributing different but critical parts making it work)?
- m) What will the transition mean for the key support elements (communications, partnerships and fundraising, MEL, and financial management and admin, including the proposed appointment of a Social Development Advisor) and their regional integration, support and coordination?
- n) How to ensure best practices from both CEAI and COs work are actively shared with government and private sector partners, with the aim to make it an integral part of their planning, budgeting, and operations, and with communities?

Recommendation 12 – Ensuring continuity of the 15-year CEAI programme

- 12.1 WWF staff mandated to guide and undertake the transition of CEAI components into COs are strongly advised that the questions listed above are discussed and addressed in consultation with the parties affected, so investments made into the programme and the momentum gained to-date are not lost, the organisation will achieve the outcomes and impacts anticipated during the second phase, and WWF remains a reputable and respected organisation in the region.

Finally, as it seems that WWF is struggling with continuity in its approach, though beyond the scope of this assignment, it may also be helpful for the organisation to reflect on (i) what is driving WWF's ongoing changes, (ii) are these changes supporting conservation, or undertaken for different reasons (but without hampering conservation?), (iii) what are the related transaction costs for the organisation, and (iv) what is their potential impact on WWF's credibility and reliability as a conservation organisation and partner?

5 OVERALL LESSONS LEARNED

The lessons learned are drawn from analysis of documents (including evaluations and reviews), the interviews, and lessons learned identified by the programme itself in its annual reports and Strategic Plan Phase 2 (WWF-CEAI, 2015a). Many of the lessons learned shared here have already been mentioned in the findings and used in developing the recommendations in previous chapters. Some of the lessons learned of relevance for the programme hold also wider relevance, and vice versa but are listed only ones. Some of the main lessons learned include:

5.1 Lessons learned of relevance for the programme

Addressing key drivers and pressures across levels – The CEAI has been well positioned to optimize WWF’s unique strength to address pressures and drivers across levels (within countries), countries and the region by working together in a coordinated and efficient way. The CEAI lead and facilitated, together with COs, a strategic regional programme and approach while engaging and empowering multiple strategic partners from the local up to the international level. It was perceived by many as filling a gap and need, operating above national levels while being able to focus on a defined regional programme and approach which is much needed from ecological and (illegal) trade perspectives (in comparison to the more general approach of a regional office programme). It brought in a broader perspective; it resulted in the engagement of critical layers beyond national borders; and, empowered partners and communities by talking with a common voice. It helped to influence critical policies or investments more effectively through applying multiple strategies and working with multiple partners.

Importance of an open and reflective management style and adaptive capacity – The internal and external reviews have in general been welcomed and well received by the team. Its capacity for regular reflection and self-evaluation has helped to guide discussions and strategic decisions regarding for example the strict adherence to the GI criteria. This in turn resulted in a more focused and streamlined programme including clearer separation of roles and responsibilities between the CEAI and the COs. The same applies for example regarding adjustments of the strategic approaches under the forestry component and shrimp work (adjusted its ambition from Marine Stewardship Council certification to the development of fishery management plans), adding a number of focal areas under the governance and empowerment theme, increased emphasis on two transboundary HCVA areas, continuing operations during challenging times in two of the three COs, and improving the structure of (semi-)annual reports.

Efficiency requires a coordinated and collaborative approach – Over time CEAI’s planning, implementation, monitoring and reporting is done more and more in close collaboration with the Country Offices (COs) and partners, which has shown to be critical to ensure strong synergies between entities (thereby experiencing it as a partnership instead of donor-implementer relationship) and efficient implementation of activities. This could be improved on by engaging partners in the original overall planning of the programme and by providing more financial transparency throughout the collaboration. Timely implementation and performance also requires an efficient way of sub-contracting, and timely transfer of funds and financial reporting by parties concerned.

Strong leadership structures – The strong, active and functional leadership provided by the SHG/SET and the TL have been instrumental in driving and guiding the effectiveness of the programme, indicating the need for a strong governing body and a particular skill set in the team’s management. This leadership played also a key role in discussing and deciding on opportunities when they arose such as adding

sustainable forest management in the Ruvuma landscape, promoting Green Economy, and new trade and investment challenges.

Explore, innovate and embrace new approaches – During the CEAI phase I substantial support has been provided to CSO platforms and engaging, empowering and partnering local organisations. As a result civil society has gained substantial confidence in getting their voices heard, and government and private sector are both more open and interested to hear civil society voices. There is also clear evidence of a growing number of cases where CSOs have influenced government decision making, or held them to account. The work on SFM is fully driven by a four-way partnership focusing on practical implementation whereby each partner is contributing its unique mandate and expertise. Also the CEAI has supported WWF in Eastern Africa to getting actively involved in the advocacy arena and addressing critical trade and investment aspects which have raised increased government interest and engagement as illustrated for example with the work on SEAs and the Green Economy.

Engaging government – The CEAI has been successful in engaging governments through undertaking economic assessments as basis for advocacy. The economic valuation studies of tuna fisheries and statistics on losses from illegal logging and trade provided a clear incentive for governments and other stakeholder to get engaged. This resulted in the more effective use of existing institutions (e.g. SWIO) or the development of bi-lateral and regional agreements. Concerning these agreements the immediate and ongoing support provided by the CEAI and COs regarding their implementation has also been critical to be seen as a serious partner.

Institutional memory – Staff turnover (in COs, GIs like China Shift, and partner organisations) has affected the CEAI. There is a need for shared responsibilities at management level to ensure that the departure of one staff complement can be absorbed by the “second in command”. There is also a need for a deliberate policy to document all interactions with partners, processes undertaken and lessons learned.

Enhancing the synergies between operational aspects – The synergies between the operational components can still be further improved, and would increase the programme’s overall effectiveness. These concern in particular synergies between the knowledge management framework, the partnership and communication strategies, and monitoring and evaluation. This could also support the more accurate formulation of some of the objectives and indicators (also to reflect better the cause-effect relationships included in the ToCs), the more timely collection of some of the baseline data, and to ensure partners are strategically and consistently being kept informed about developments and most relevant information.

5.2 Lessons learned with wider relevance

The CEAI formed part of a family of 13 GIs, some of which are place-based GIs (like the CEAI) and some of which are footprint GIs. A lot of broad lessons learned on GIs have already been documented through the GI review processes undertaken in 2012 and 2013. Below, a few broad lessons are presented that can be of use for similar programmes.

Optimizing collaboration among multiple entities / partners takes time – Despite best efforts, designing a big and long-term regional programme to perfection from the onset is often a challenge and it will therefore be critical to adapt the strategy and approaches based on experience and as needed. The internal and external reviews have proven to be very helpful in this respect. While it has taken time, this has resulted into a much more streamlined and focused programme and much clearer separation of roles and

responsibilities between the CEAI team and the COs. Similarly, the SFM partnership with four entities also needed to sort out certain details regarding roles and responsibilities during the first year of their collaboration.

Transformational change takes time – Addressing conservation and related community livelihood challenges at a regional scale through a strategic programme engaging multiple partners and stakeholders is challenging and requires persistence, consistency and time. This is even more so the case if to achieve transformational change among key decision-makers. For this reason the CEAI was designed with a 15-year horizon. Despite considerable progress on many fronts, as to be expected during a first phase of five years, most of the achievements to-date concern outputs and processes, with initial outcomes and impacts starting to be reported on. It should be recognized though that the leading and coordinating work by the CEAI across different levels and with partners has initiated regional governance and cooperation regarding the sustainable management of shared natural resources, which is a critical achievement towards transformation. Hence, a solid foundation has been created on which basis major outcomes and impacts are expected to be achieved during the next phase of this programme, assuming it's continuity in one form or another. This would also address the need expressed by interviewees for continuity of the partnerships if to achieve longer-term sustainability of the transformation aimed for.

Basket funding approach – The general opinion is that the regional approach and collaboration across levels and countries guided by a coherent regional strategy allowed the COs and NOs to work effectively around one budget, work plans, monitoring and reporting. From an overall organisational WWF perspective this made its operations much more efficient, instead of having to deal with multiple contracts and interactions from individual NOs with individual COs. It also allowed the allocation of limited resources towards a concerted effort by the network directed by the SHG / SET, resulting in trust among the parties and hence allocation of more unrestricted funding, thereby optimizing staff time towards the role out of the strategy instead of having to source additional funding.

Approach to responsible trade – Effective transformational work on responsible trade requires engaging at all levels of the “trade chain”: from the production through to transport / processing to the end markets. One may question the approach under the GIs to largely separate the market side (e.g. MTI) from the more production oriented work (e.g. SFI). It seems more logical to bring specific trade chains under one GI. It would also be needed to better understand how to incentivize private sector to follow voluntary guidelines and/or regulation in the face of poor enforcement. Solutions will likely include further carrot and stick approaches all along the value chain.

Connectivity of land/seascapes – The delimitation of land/seascapes within the CEA GI region do not always seem to make sense from an ecosystem point of view. For example, the Rovuma landscape has mainly a terrestrial focus and does not extend to the coastal and marine area according to the maps. Yet, from a perspective of inter-connectivity and ecosystem services a fully integrated approach would be better placed.

6 CONCLUSIONS

According to the WWF Conservation Committee's Recommendations on Global Initiatives they "were designed to deliver conservation outcomes at a scale that could help change the trajectories of the 2012 WWF Living Planet Report curves ..." which "... made clear that while we may be winning some battles in conservation, we continue to lose the war." Unfortunately, "losing the war" has been the case now for decades, not just for WWF but the conservation community at large. Therefore, WWF should be commended for having made a strategic decision to work across levels using a regional lens addressing key drivers and pressures for the conservation targets set. This was to be undertaken as a concerted effort by the network to achieve transformational change in a realistic 15-year timeframe.

Overall, the CEAI has performed well and this is widely recognized. Its programmatic design has become more focused and streamlined over time, and roles and responsibilities across entities have become clearer as reflected in the revised CEAI Phase 1 Strategic Plan and even more so in the CEAI Phase 2 Strategic Plan. This is a direct result of the CEAI's strong adaptive capacity for example by taking recommendations made by internal and external evaluations and reviews seriously in combination with lessons learned "along the way". It has operated rather efficiently – with a lean team, granting just over 50% to the COs and developing the basket funding model – and effectively as it achieved most targets set or even overachieved (with the work on shrimp fisheries and climate change adaptation lagging) despite a number of serious challenges it faced outside its own control. First outcomes and impacts can be reported on although still rather limited, but signs are that the stage has been set for substantial delivery on this during the second phase. This is similarly the case regarding sustainability aspects.

These are commendable achievements which are reflected in the scorings of the Overall Evaluation Table (see Annex XVIII). This has resulted in a total score of 50.5 points under this Final Evaluation in comparison with a total score of 33 points during the MTR two years ago (out of a maximum total score of 56). Seven out of the total 14 items to be scored received 4 out of 4 points (i.e. the programme embodies the description of strong performance provided on the item concerned to a *very good* extent). Also, three items could not be scored during the MTR given that it was too early in the existence of the programme, but this was possible during this Final Evaluation reflecting progress as well. Finally, the relatively lower scores under the impact and sustainability clusters were to be expected during a first phase of five years under a large regional strategic programme with a 15-year horizon. The CEAI made strategic choices regarding how best to address the regional pressures and drivers of the conservation targets prioritized. It had therefore to engage first high governance levels and establish and strengthen regional natural resource governance. This kind of work does take time and investment, but most of this hard work has been done by now and a solid foundation has been created on which basis major outcomes and impacts are expected to be achieved during the next phase of this programme.

Over the next few years WWF should therefore expect major returns on the investments made in the CEAI. Though, to achieve actual and sustainable transformation on a regional level would require consistent and committed continuation of the CEAI strategic plan and approaches by WWF, as adopted by the SHG during its meeting in October 2015. However, with WWF's decision to split the CEAI up and to transition components into COs it does beg the critical question how is WWF going to ensure such continuation? Together with transitioning the programme, WWF is strongly advised to address how to ensure the continuation of critical elements and characteristics of the CEAI programme and approaches which have resulted in its successes in the first place. Not considering or addressing those aspects could potentially result in for example the loss of financial resources for the region, the programme to lose its integrated,

coherent and streamlined strategic regional approach and its overall effectiveness, and hence running the risk of actually “going backwards”. This is not to say that a transition is not possible but that it would require serious consideration and timely decisions by staff mandated to do so regarding these critical aspects, including the need to monitor its progress. All of this in support of maintaining momentum and credibility towards achieving major outcomes and impacts over the next few years.

The consultant hopes that this evaluation, its findings and the resulting recommendations will support the CEAI and WWF to achieve real transformational change in Coastal East Africa during years to come, as the conservation community at large is in need of great successes.

Annex I - Terms of Reference

Final Evaluation of the Coastal East Africa Global Initiative (FY11-FY15)

TERMS OF REFERENCE, DRAFT JULY 1ST 2015

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| Project/Programme Name(s) | Coastal East Africa Global Initiative |
| Project/Programme Location(s) | Tanzania, Kenya and Mozambique |
| Project/Programme Reference Number(s) | 9F0814/4000001 |
| Names of Project/Programme Executants (WWF Office, name of project/programme manager) | Peter Scheren, GI Leader |
| Project/Programme Duration (from start year) | 5 Years |
| Period to Be Evaluated | July 2010 – June 2015 (5 years) |
| Project/Programme Budget Sources and Amounts (for period to be evaluated) | WWF DENMARK, WWF SWEDEN, WWF UK, WWF NORWAY, WWF SWITZERLAND, WWF GERMANY, WWF US, WWF FINLAND |
| Names of Implementing Partners (if relevant) | Tanzania Country Office Mozambique Country Office Kenya Country Office Madagascar and Western Indian Ocean Programme Office |

1. PROJECT/PROGRAMME OVERVIEW

The Coastal East Africa (CEA) region is a true hot spot of biodiversity with a 4,600 km coastline hosting all five Indian Ocean marine turtles, more than 35 marine mammal species which include humpback whales, dolphins, whale sharks, the enigmatic coelacanth—a prehistoric fish once thought to be extinct and the highly endangered dugong. On the mainland, there are different wildlife riches, including the unique Tana River red colobus monkey, the elephant, antelope, charismatic species such as lion, and highly endangered species such as black rhino and the African hunting dog. The geographical scope of the CEA region covers three countries namely Kenya, Tanzania and Mozambique.

The region's natural resource base supports the livelihood of more than 20 million people. However these livelihoods and the biodiversity supporting them are under threat from unsustainable practices, poor land use policies and poor governance in general. Moreover, local and global trade in key natural resources products from the CEA, driven by external market forces that fail to demand sustainability, put further pressure on biodiversity and livelihoods of poor rural communities struggling to subsist, as well as on national economies. This pressure is heightened by the needs of expanding populations of mostly poor communities that are totally reliant on natural resources base for food, water, fuel and other basic needs. Furthermore, climate change poses a growing long-term threat to the biodiversity of the region and the people whose hopes for a better future depend on the preservation and sustainable use of its resource base.

In 2007, WWF decided to establish the CEA a Global Initiative (GI) – one of 13 flagship programmes to deliver on the organization global priorities as laid out in the Global Programme Framework. GIs are intended to be transformational interventions implemented through concerted Network action to meaningfully impact critical threats, opportunities, and biodiversity and development targets within priority places or on priority themes.

The CEA-GI was created in 2010 and its five years strategic plan (FY11-FY15) was approved by shareholders' group in 2011. In 2013, WWF International conducted a review of all WWF's GIs. Among the recommendations to this GI was to improve focus and hence some components of the 2011-15 strategic plan were removed. Similarly, a mid-term evaluation (MTR) of the CEA-GI was also conducted in 2013. This review also provided some recommendations for improvement. Several other program level studies and reviews have also been undertaken over the period of five years including the Thematic Review of the WWF Denmark portfolio (DANIDA review) and the Review of Gender, Livelihood and Human Rights aspects of the WWF Coastal East Africa Global Initiative'.

CEA-GI Goal: BY 2025, the governments and people of the CEA region are effectively controlling decisions over their natural resources and exercise their responsibility for ensuring that key ecosystems and habitats are sustainably managed.

To achieve this goal, the initial CEA-GI strategic plan identified four main conservation strategies:

1. Strengthening Governance and Empowerment
2. Promoting Responsible Trade
3. Securing High Conservation Values Areas
4. Low Carbon Development

For each conservation strategy a 2025 goal and 2015 objectives and related indicators of outcomes and results have been developed. The review by WWF international and the program mid-term review conducted in 2013 recommended that the low carbon component should be removed from the strategic program in order to ensure more focus of the GI. The revised strategic component therefore does not include this strategy.

The remaining three main strategy components are being implemented through the delivery of work on three main thematic work areas: Marine, Terrestrial and Governance whereby each work area is led by a dedicated thematic leader. To enable the successful implementation of these strategies, goals and objectives, the CEA-GI has identified four cross cutting operational and support areas: 1) effective communications; 2) strategic partnerships and fundraising; 3) effective financial management and administration and 4) effective monitoring, evaluation and reporting at sub-regional and field portfolio levels.

The current CEA-GI strategic plan for 2011-2015 will come to an end by June 2015 and following WWF practice and requirements by its program standards, a final evaluation is therefore proposed.

2. EVALUATION PURPOSE AND USE, OBJECTIVES AND SCOPE

Purpose and use

The CEA-GI has been implemented for five years (FY11-FY15). The program core team and the shareholders group (SHG) of the CEA-GI are planning this end of program evaluation with the overall objective of assessing how well the program has achieved its objectives and planned results for 2015 and also identify lessons learned and knowledge generated from the implementation of the GI program. Similarly, an assessment of conservation impact on social issues will be done based on data collected by the WWF CEAI team. These lessons will be shared with the program team and the wider WWF network (including WWF International, National Offices and Regional Office for Africa). The key stakeholders of this evaluation are therefore the core CEAGI team, CEA countries, shareholders' group and implementing

partners.

In addition, an essential element of this program evaluation is the identification and evaluation of the program's expected outcomes and impacts and Big Wins as key indicators of effectiveness as well as consider the degree to which agreed the CEAGI's Key Principles have been followed. This evaluation will be subject to the criteria set forth in WWF's Program and Project Management Standards (PPMS). Furthermore, the evaluation will assess if the GI has really been transformational as expected by WWF

The final report of the evaluation will be approved by the shareholder's group of the CEA-GI. The CEA-GI Team Leader will be responsible for overall oversight of the evaluation, including the development of a management response, as well as ensuring dissemination of results internally and/or outside the WWF Network.

Scope and focus of the evaluation

Thematic scope: Generally, this evaluation is conducted to assess and update progress of the program from the time of the mid-term review (MTR) conducted in 2013. Specifically, the scope of the evaluation will include an assessment of:

- Progress made by the programme (including evidence in place to demonstrate achievements) towards the expected outcomes and impacts (including big wins) stated in the FY11-FY15 Strategic Plan and M&E Plan, including the enablers or factors that hindered progress;
- The degree to which the agreed CEA-GI key principles have been followed;
- The degree to which the programme has been able to integrate cross-cutting issues including gender, climate change and a pro-poor approaches;
- The degree to which the programme effectively applied the WWF PPMS cycle, in particular using effective M&E, analysis of progress/challenges and lessons learning for adaptive management,
- The degree to which the program has implemented the recommendations of various reviews conducted during the program period: such as MTR, DANIDA review, review of LGHR aspects, etc.
- Whether the programme design, organisation, and funds were appropriately aligned to effectively and efficiently deliver on the expected results;
- Whether the program achieved the expected transformational change at regional and national level;
- What key adjustments are needed to approaches, and ways of working, to ensure the program achieves its 2025 objectives and goals, and in particular, in light of the phase-out of the WWF GI System, what structures and transitioning measures would be required in order to sustain and continue to work initiated under the GI, in particular also in terms of devolution of roles and responsibilities to country offices and partners.

In addition, the evaluation will look at program management effectiveness, aid coordination engagement and the effectiveness of partnerships with implementing partners and partnerships with other development partners/stakeholders. The evaluation will cover the CEA-GI portfolio of

interventions for the period covered by the FY11-FY15 strategic plan. By using the findings of the MTR this should result in a “cumulative” report.

Geographical scope: The scope of the evaluation will be the CEA-GI implementation countries, primarily Kenya, Tanzania and Mozambique, as well as in Madagascar for the marine component (tuna fisheries work).

3. GUIDING QUESTIONS

In line with the WWF evaluation framework, the CEA-GI final evaluation will particularly focus on the following questions – but will not necessarily be limited to these:

Relevance and Quality of Design

- Is the program’s theory of change for the three components (forest, marine and trade and investment) followed and holding? Are there any new elements in the context in which we work that need to be better taken into account? Have our initial assumptions and risks proven right and how well have they been managed and monitored?
- To what extent has the CEA-GI focused on the right things; i.e. addressed the most important issues to achieve its objectives?
- How well articulated are the program conservation goals, strategic objectives and interventions in the context of the CEA-GI 2025 goals?
- How well articulated are the program development interventions in the context of the CEA-GI 2015 objectives and 2025 goals?
- Were climate smart considerations built into the design? Which ones, and were they the right ones?
- How sufficient and appropriate were the strategic approaches and interventions in achieving the expected changes?
- To what extent the programme design represented necessary, sufficient, appropriate, and well-founded approach to bring about positive changes in targeted biodiversity and/or footprint issues (e.g. species, ecosystems, ecological processes, including associated ecosystem services that support livelihood and human wellbeing).
- Does the current design and operation of the CEA-GI adequately seek to mobilize the most strategic stakeholders (locally, nationally, regionally, and internationally) and thereby enhance its ability to achieve the expected changes?

Efficiency

- How well resourced (in terms of staff, staff qualifications, capacity, financial resources,

shareholder Technical Assistance support) is the CEA-GI to achieve its goals and objectives? Do the current available resources match the ambition of the programme well? Were there key gaps and any strategies used to fill these (fundraising strategy, strategic partnerships)?

- Are available resources used in the most strategic manner to allow the CEA-GI to achieve its goals? Are financial flows timely and efficient, without unreasonable losses to overhead? Is the programme delivering value for money²⁸ and that costs are reasonable given the outputs and outcomes generated?
- Has the GI been provided with coherent, sufficient, three-year or longer-term funding to implement strategies? Is fundraising for the GI well-coordinated? Any benefits/challenges of the basket funding arrangement?
- Is there clear definition of roles/responsibilities/relationships within the GI and with related WWF operating units (ROA, MWIOPO, Kenya, Mozambique and Tanzania COs)? Were there clear financial and technical support commitments as well as concerted action being taken at all necessary levels?
- Is governance of the GI efficient with clearly defined lines of accountability and authority? Are the shareholder group (SHG) and Shareholder Executive Team (SET) effective and efficient in guiding and supporting the GI? How relevant is the current governance structure to the current WWF Africa structure? Is technical support and communication by NOs to the GI well-coordinated?

Effectiveness

- Focusing on stated goals, objectives and big wins in the M&E plan, what has and has not been achieved and why? Are there documented evidences to the achievement?
- To what extent have crosscutting issues (gender, livelihood, human rights and climate change) been addressed effectively?
- Which strategies were proved effective and which were not? What anticipated or unanticipated factors had helped or impeded progress? What supporting or impeding factors affected successful implementation of the program?
- What is the significance/strategic importance and transformational potential of the progress made to date? How can we build upon this and where should our focus be for the future?
- What evidence is there that the GI model actually improves WWF's effectiveness by

²⁸ WWF UK is in the process of contracting a consultant to undertake a value for money assessment, including the CEA GI. Hence, this final evaluation of the CEA GI may provide only additional qualitative statements obtained.

bringing innovation, transformation and multiplication? What positive effects on WWF priorities in the region have resulted from the CEA-GI that would likely not have been seen in its absence?

- How effective the program is in addressing recommendations from studies and reviews undertaken during the five year period?

Impacts and Outcomes

- What is the change in terms of conservation targets (positive or negative, expected or unforeseen)? To what extent can these changes be attributed to the program's interventions (use VfM attribution analysis)? Are these changes solid, evidenced, verifiable and in line with the CEA-GI goals and vision?
- Is there any evidence of change in social and development targets (positive or negative, expected or unforeseen)? If yes, to what extent can these be attributed to the program's work and are these solid, verifiable and in line with the CEA-GI goals and vision?
- In what ways are these changes (outcomes, impacts, etc) transformational? What made them transformational that the program needs to carry forward? What failed that the program needs to do differently in future?

Adaptive Capacity

- To what extent has the GI applied conservation programme management best practices as embedded in the WWF Project/Programme Management Standards?
 - o Has the GI established a baseline status for the desired FY15 targets and key success factors?
 - o Does the choice of indicators in the GI monitoring and evaluation plan reflect the cause-effect relationships that build its theory of change?
 - o Are there systematic monitoring of output delivery, outcome attainment and impact measurement, with plausible attribution to WWF's actions? Is there regular reflection on outcomes and impacts by the GI team and its partners?
 - o Is monitoring information being used to support regular adaptation of the strategic approach?
 - o Are lessons documented and shared in a manner that is promoting learning by the GI team and the broader WWF network?
 - o How often were the original risks and assumptions revisited? Were risks assessed adequately and external assumptions identified realistically? Were mitigation strategies identified and implemented by the team?
- In what ways did the program's adaptive management support the GI to be transformational?

What made it transformational that we need to learn and carry forward? What failed it that we need to do differently?

- Are there any key lessons learned about the GI model itself, based on the CEA-GI experience? What lessons can be taken and applied to improve effectiveness in the forthcoming 2nd phase strategy?

Sustainability

- To what extent are the benefits of the program likely to be sustained after the completion of the program? Why or why not?
- What is the likelihood of continuation and sustainability of program outcomes and benefits after completion of the program? Why or why not?
- How effective are the exit strategies, and approaches to phase out assistance provided by the program including contributing factors and constraints? Any case studies?
- What are the key factors that will require attention in order to improve prospects of sustainability of program outcomes and the potential for replication of the approach?
- To what extent has the implementation of the CEA-GI resulted in strengthened capacity of the three CEA country offices? What is the likelihood that these activities will be embedded in the country office programmes?
- How and to what extent were capacities strengthened at the individual and organizational level (including contributing factors and constraints)?

4. METHODOLOGY CONSIDERATIONS

The evaluation methodology should include the following:

- A desk review of key documents (e.g. CEA-GI strategic plan, monitoring plan, monitoring framework, progress reports, and any former reviews and evaluation reports such as the WWF GI Portfolio review, Mid Term Review, Progress Reports, SHG and SET meeting reports, the LGHR review report, etc.). This should also be done to provide and confirm the quality of data, evidence and chain of evidence for outcomes, impacts and approaches. A list of reviewed documents should be annexed to the evaluation report.
- Interviews with key GI team members including samples of SHG/SET, the GI Leader, Thematic teams at the GI level, and key staff members at ROA and the Kenya, Mozambique, Tanzania Country Offices teams. Interviews should also be conducted with WWF supporting National Offices, and other WWF partner programmes (MWIOPO, SFI, MTI, TRAFFIC, etc.) as well as with representatives of key partners and stakeholders at regional and national levels. Interviews might be done both with individuals and through relevant focus groups among the program stakeholders. Interviewees are to be prioritized and mutually agreed upon between the CEA GI and consultant within the time allocated for this task. A list of interviewed partners and stakeholders should be annexed.

- A field visit to the Ruvuma landscape in Tanzania to sample and agreed programme sites specifically to,
 - o Seek beneficiary feedback on the program around change that the work has brought about for them,
 - o Verify on the ground information from document review.
- Presentation of the final draft of the end of programme evaluation to the CEAGI Shareholders Group.

This is an external but participatory evaluation of the CEA-GI program. It is therefore proposed that the external evaluator will be provided with some general guidance by an internal WWF staff member, preferably a member of WWF's Conservation Strategy and Performance Unit (CSPU). Internally, the CEAGI Leader and the M&E Officer of the CEA-GI will be overall coordinators of the evaluation.

In addition, selected representatives from relevant WWF offices/programmes will be engaged to allow for peer reviewing, experience sharing and feedback at both programme and thematic level.

EVALUATION DELIVERABLES AND TIMELINE

| Major Evaluation Tasks/Outputs | Dates or Deadline | Who is Responsible |
|--|--|--|
| Draft evaluation Terms of Reference presented to CEA-GI team for comments (1 week) | 10 th April 2015 | CEA-GI Core Team |
| Receipt of comments on the ToR from SHG/SET | 30 th April 2015 | SHG/SET, CEA-GI |
| Revised draft evaluation Terms of Reference presented to SHG/SET | 12 May 2015. | SHG/SET, CEA-GI |
| Agreement by SHG/SET on ToR | 20 th May 2015 | SHG/SET |
| Recruitment of evaluators | 30 th June 2015 | CEA-GI Core Team |
| Desk study of key documents | 1 st – 15 th July 2015 | Evaluation Team |
| Evaluation and meetings with CEA SHG/SET, CEA-GI team and other stakeholders | 15 th July – 15 th August 2015 | Evaluation Team |
| Evaluation report drafted and circulated to the relevant team members for comments | 15 th August 2015 | Evaluation Team |
| Team submits comments on draft report to evaluation team | 21 st August 2015 | CEA-GI |
| Revised draft report submitted to SHG/SET for comments | 28 th August 2015 | CEA-GI Team Leader and Evaluation Team |
| Receipt of comments on the draft report from the SHG/SET members | 4 th September 2015 | SHG/SET |
| Presentation of the draft report to the SHG/SET Meeting with CEA SHG/SET and team | 11 th September 2015 | Evaluation Team, SHG/SET, CEA_GI |
| Final Evaluation report approved and presented to SHG/SET and team | 30 th September 2015 | SHG/SET |
| | | |

Deliverables

The deliverables of this evaluation will be the following:

- a. A first ***draft final evaluation report***, not to exceed 30 pages, as a digital copy in MS Word format as per the template provided by WWF by 15th August 2015. The first draft final report will be used for feedback from CEA-GI team.
- b. A second ***draft final evaluation report***, not to exceed 30 pages, as a digital copy in MS Word format as per the template provided by WWF by 28th August 2015. The second draft final report will be used for feedback from the SHG and key partners/stakeholders.
- c. A ***final evaluation report***, not to exceed 30 pages, as a digital copy in MS Word format as per the WWF evaluation report template by 30th September 2015.

All presentations and reports are to be submitted in English in accordance with the deadlines specified.

Annex II – List of People Consulted

| Nr | Name | Organisation | Position | Place of meeting |
|----|----------------------|--------------------|---|--------------------------------|
| 1 | Peter Scheren | WWF-CEAI | Leader | Dar / Mombassa / Skype / Email |
| 2 | Domingos Gove | WWF-CEAI | Head of Marine Programme | Dar es Salaam |
| 3 | Geofrey Mwanjela | WWF-CEAI | Head Terrestrial Programme | Dar es Salaam |
| 4 | Edward Kimakwa | WWF-CEAI | Fisheries Manager | Nairobi |
| 5 | Elizabeth Ngoye | WWF-CEAI | Monitoring and Evaluation Manager | Dar / Skype / Email |
| 6 | Florencio Marerua | WWF-CEAI | Policy & Partnership Advisor | Skype |
| 7 | John Kabubu | WWF-CEAI | Communication Manager | Dar es Salaam |
| 8 | Venance Dominic | WWF-CEAI | Finance Manager | Dar es Salaam |
| 9 | Amani Ngusaru | WWF-TCO | Director (SHG member) | Dar es Salaam |
| 10 | Jeremiah Daffa | WWF-TCO | Governance and Policies Advisor | Dar es Salaam |
| 11 | Isaac Malugu | WWF-TCO | Acting Conservation Manager / Forest Programme Coordinator | Dar es Salaam |
| 12 | Hussein Sosovele | WWF-TCO | Programme Coordinator CBNRM / Ruvuma Landscape | Dar es Salaam |
| 13 | Asukile Kajuni | WWF-TCO | Deputy Coordinator CBNRM Programme | Dar es Salaam |
| 14 | Gloria Cheche | WWF-TCO | Development and Partnership Manager | Dar es Salaam |
| 15 | Sakina Joshi | WWF-TCO | Head of Finance | Skype |
| 16 | Sware Semesi | WWF-TCO | Marine Programme RUMAKI | Dar es Salaam |
| 17 | Nalimi Madatta | WWF-TCO-Ruvuma | Project Executant WMAs | Tunduru |
| 18 | Francis Rusengula | WWF-TCO-Ruvuma | Project Executant Forestry | Tunduru |
| 19 | Faustine Innocent | WWF-TCO-Ruvuma | Programme Accountant | Tunduru |
| 20 | Maria Rodrigues | WWF-MCO | Fisheries Officer | Skype |
| 21 | Joao Carlos Fernando | WWF-MCO | Climate Change / Green Economy | Skype |
| 22 | Eoin Sinnott | WWF-MCO Consultant | Green Economy / Governance | Skype |
| 23 | Mohamed Awer | WWF-KCO | Director KCO / Chairman SHG | Skype / Mombasa |
| 24 | Jared Bosire | WWF-KCO | Conservation Director | Skype |
| 25 | Jackson Kiplagat | WWF-ROA/WWF-KCO | Interim Lead Governance and Policy / Governance Coordinator | Skype |
| 26 | Innocent Maloba | WWF-KCO | Policy & Partnerships Officer | Nairobi |

| Nr | Name | Organisation | Position | Place of meeting |
|----|-----------------------|--|---|---------------------|
| 27 | Helena Motta | WWF-ROA | Regional Director Eastern and Southern Africa | SHG meeting Mombasa |
| 28 | Taye Teferi | WWF-ROA | Lead: Trans-boundary Programmes, Strategy Development & Shared Learning | SHG meeting Mombasa |
| 29 | Yemi Katerere | WWF-ROA | Director, Change Management | SHG meeting Mombasa |
| 30 | Balint Balazs | WWF-ROA | Change Management Specialist | SHG meeting Mombasa |
| 31 | Andrew Fitzgibbon | WWF-Norway | Conservation Director Programmes (SHG member) | Skype / Mombasa |
| 32 | David Tanner | WWF-UK | Head of Programmes for East Africa (SHG member) | Skype / Mombasa |
| 33 | Elisabeth Kiørboe | WWF-Denmark | Sr. Progr. Manager, Strategy & Policy Advisor (SHG member) | Skype / Mombasa |
| 34 | Glyn Davies | WWF-UK | Vice-Chair of SHG | Skype / Mombasa |
| 35 | Karen Luz | WWF-US | WWF-CARE Alliance Director, Deputy Vice-President for Oceans (SHG member) | Skype / Mombasa |
| 36 | Julie Thomson | TRAFFIC | East Africa Programme Coordinator | Skype |
| 37 | Hosea Mbilinyi | Fisheries Department Division of Tanzania | Director / Chairman SWIO | Dar es Salaam |
| 38 | Winfried Venant Haule | TAFARO / TUNA | Executive Secretary / Interim Executive Secretary | Dar es Salaam |
| 39 | John Nakei | SAGCOT Secretariat | Environment and Social Specialist | Dar es Salaam |
| 40 | Ismail K. Alou | Tanzanian Forest Service | Conflict Management Officer - Governance | Dar es Salaam |
| 41 | Joseph Olila | TNRF | Executive Director | Skype |
| 42 | Tomás Jaime Langa | AMA | Executive Director | Skype |
| 43 | Hadley Becha | CANCO / TUFAC (/NECSA Co-Chair) | Executive Director / Chairman | Nairobi |
| 44 | Zephania Ouma | National Environment Management Authority | Deputy Director Compliance and Enforcement | Nairobi |
| 45 | Alex Lemarkoko | Kenya Forest Service | Acting Commandant Enforcement & Compliance | Nairobi |
| 46 | Mohamed B.D. Seisay | African Union – Interafrican Bureau for Animal Resources (AU-IBAR) | Senior Fisheries Officer | Nairobi |
| 47 | Nelly Isyagi | AU-IBAR | Project Officer - Aquaculture | Nairobi |
| 48 | Malebo Hellen Moepi | AU-IBAR | Project Assistant, Animal Production Unit | Nairobi |
| 49 | Jackson Bambo | EAWLS - Kenya Forest Working Group | National Coordinator | Skype |
| 50 | Japhet M. Muyagala | Tunduru District Government | District Land and Natural Resource Officer | Tunduru |
| 51 | Peter C. Mtaui | Tunduru District Government | District Game Officer | Tunduru |
| 52 | Jasper Makala | MCDI | Chief Executive Officer | Skype |
| 53 | Azaria Kilimba | MCDI | Field Officer / Ass. Manager Tunduru PFM Upscaling Project | Tunduru |

| Nr | Name | Organisation | Position | Place of meeting |
|-----------|---|---------------------|----------------------|-------------------------------------|
| 54 | Aklei Albert | MJUMITA | Zonal Coordinator | Tunduru |
| 55 | Wephasi Peter Mkakulingu | Kaphas Enterprise | SFM Private investor | Sauti Moja Village / Tunduru Office |
| 56 | Community representatives from Mchemba village (9) | | | Mchemba |
| 57 | Community representatives from Marumba village (2) | | | Marumba |
| 58 | Community representatives from Sauti Moja village (6) | | | Sauti Moja |

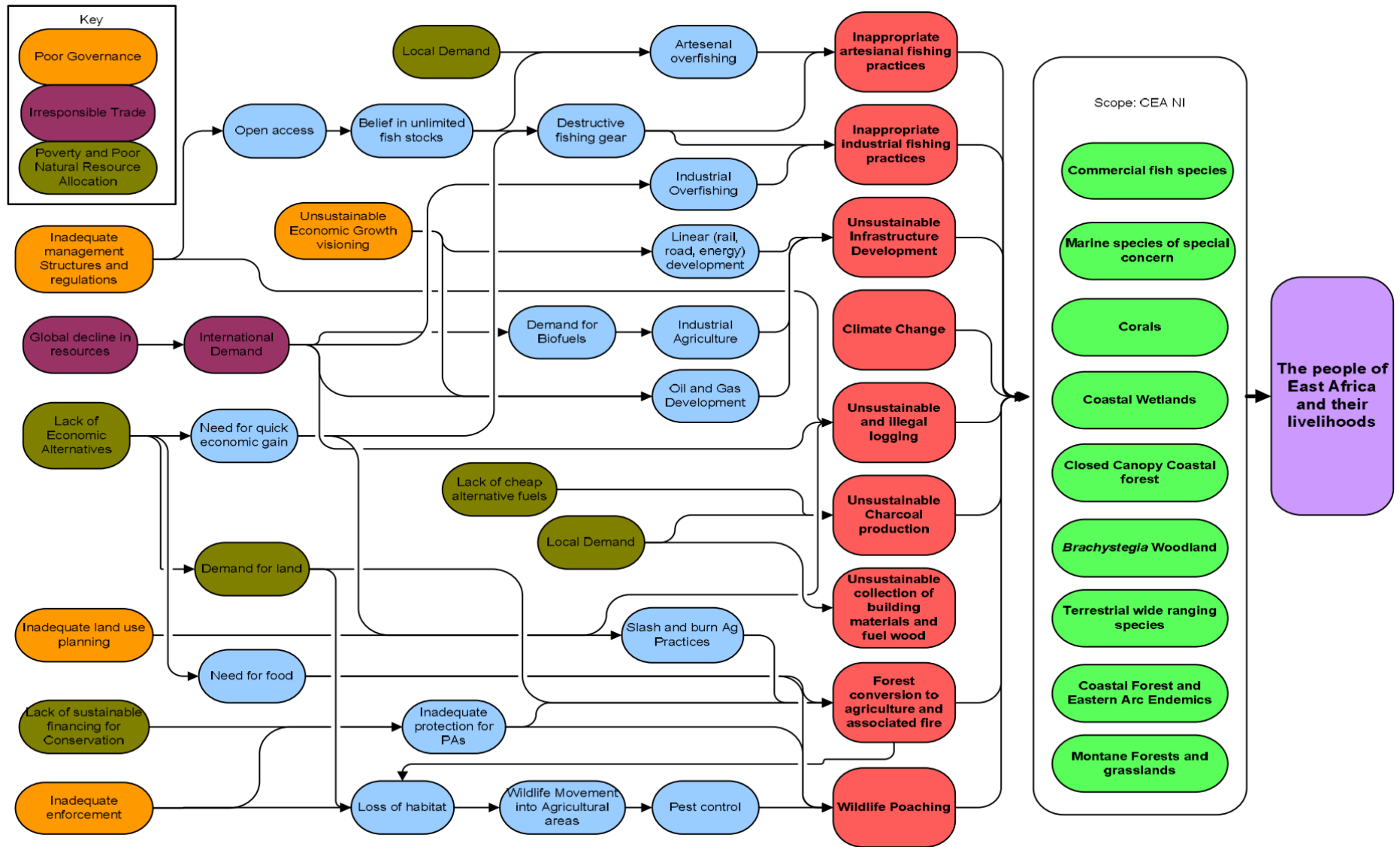
Annex III – Documents Consulted (workshop reports, meeting reports, internal notes, MoUs, etc. not included in the list)

- 1 IOTC-SC18. 2015. *Report of the 18th Session of the IOTC Scientific Committee*. Bali, Indonesia 23-27 November 2015. IOTC-2015-SC18-R[E]"175 pp.
- 2 Knights, K., I. Cuadros, C. Zamora, L. Coad, F. Leverington, B. O'Connor, M. Gonçalves de Lima, N. Kingston, F. Danks, M. Hockings, I. Malugu, P. Scheren, E. Ngoye, P.J. Stephenson, and N.D. Burgess. 2014. *A Preliminary Assessment of Protected Area Management Within the WWF 'Coastal East Africa' Priority Place, Eastern Africa*. In: *Parks 2014* Vol. 20.2, pages 77-88. (http://parksjournal.com/wp-content/uploads/2015/01/PARKS-20.2-Knights-10.2305IUCN.CH_.2014.PARKS-20-2.KK_.en_.pdf)
- 3 Ministry of Foreign Affairs Denmark – DANIDA International Development Cooperation. 2013. *Final Review Report. Thematic Review of WWF Denmark with a special focus on partnerships, results monitoring and compliance with DANIDA Civil Society Strategy*. j.nr.104.N.265.a
- 4 Mwambo, L. / TAFORI. 2013. *Assessment of Socio-Economic Benefits from Natural Resources Management to Dependant Population in the Ruvuma Landscape, the Republic of Mozambique*. (done for WWF CEAI)
- 5 Mbwambo, L., T.S. Msuya, P.J. Kagosi, C. Kapinga, E. Japhet, and G. Phabian / TAFORI. 2013. *Assessment of Socio-Economic Benefits from Natural Resources Management to Dependant Population in the Ruvuma Landscape, the United Republic of Tanzania*. (done for WWF CEAI)
- 6 NEMA. 2013. *National Guidelines for Strategic Environmental Assessment in Kenya*.
- 7 NEMA. 2013. *Strategic Environmental Assessments (SEA) Guidelines. Our Environment, Our Life, Our Responsibility*. (Brochure)
- 8 SADC WWF. 2014. *Development of a Joint Work Plan*.
- 9 Sulle, E. 2013. *A Rapid Assessment of the Illegal Timber Trade Across the Ruvuma River on the Tanzania–Mozambique Border*. (for WWF-CEAI, via TRAFFIC)
- 10 Tanzania Fisheries Research Institute. 2013. *Baseline study on Socio-economic benefits of artisanal tuna and tuna-like fishery in the United Republic of Tanzania*. (done for WWF-Tanzania)
- 11 UNDP. 2014. *Human Development Report 2014. Sustaining Human Progress: Reducing Vulnerabilities and Building Resilience*.
- 12 UNEP/Nairobi Convention Secretariat. 2009. *Strategic Action Programme for the Protection of the Coastal and Marine Environment of the Western Indian Ocean from Land-based Sources and Activities*. UNEP, Nairobi, Kenya, 140 pp.
- 13 UNEP/Nairobi Convention Secretariat. 2009. *Transboundary Diagnostic Analysis of Land-based Sources and Activities Affecting the Western Indian Ocean Coastal and Marine Environment*. UNEP, Nairobi, Kenya 378P
- 14 WWF. 2012a. *A Light Review Of The Global Initiatives Portfolio*.
- 15 WWF. 2012b. *WWF Standards of Conservation Project and Programme Management (PPMS)*
- 16 WWF. 2013a. *WWF Global Initiative Review: Conservation Strategy & Performance*.

- 17 WWF. 2013b. *Conservation Committee Recommendations on Global Initiatives and the Global Initiatives Portfolio. Final Internal Report, with response from the Network Executive Team.*
- 18 WWF. 2015. *New funding model case study. Multiplying Impact in Coastal East Africa Global Initiative.*
- 19 WWF. *WWF Africa 2020 Strategy Roadmap – Summary. Scaling to New Heights.*
- 20 WWFb. *WWF Regional Office for Africa. 2020 Strategy Roadmap: Scaling to New Heights.*
- 21 WWF-CEAI. All (semi-) annual reports.
- 22 WWF-CEAI. *Brief. Towards 2025 – People & Nature in Harmony.*
- 23 WWF-CEAI. *Communications Strategy 2011-2015.*
- 24 WWF-CEAI. *Communications Strategy (draft) 2016-2020.*
- 25 WWF-CEAI. Financial reports.
- 26 WWF-CEAI. *Newsletters.*
- 27 WWF-CEAI. Numerous communication articles FY11-FY15.
- 28 WWF-CEA GI. *Partnership Matrix.*
- 29 WWF-CEAI. 2009. *Conservation Plan 2010-2015.*
- 30 WWF-CEAI. 2011. *Monitoring and Evaluation Framework 2010-2015.*
- 31 WWF-CEAI. 2012. *Strategic Plan 2011 – 2015.*
- 32 WWF-CEAI. 2013. *Climate Vulnerability Assessment and Adaptation Strategy for Greater Ruvuma Landscape.*
- 33 WWF-CEAI. 2013. *Mid Term Review of the Coastal East Africa Initiative* by J. Swennenhuis and H. van der Linde.
- 34 WWF-CEAI. 2014a. *Strategic Plan 2011-2015. Revisions.*
- 35 WWF-CEAI. 2014b. *Monitoring and Evaluation Framework. Revisions.*
- 36 WWF-CEAI. 2014c. *Review of Gender, Livelihood and Human Right aspects of the WWF Coastal East Africa Global Initiative. Synthesis Report. Prepared by the Community Insights Group.*
- 37 WWF-CEAI. 2014d. *Review of Gender, Livelihood, and Human Rights Aspects of the WWF CEA GI in 2014. Document Review: Compliance with WWF Social Policies and Principles.*
- 38 WWF-CEAI. 2015a. *Securing Eastern Africa’s Future. Coastal East Africa Initiative Strategic Plan 2016-2020.*
- 39 WWF-CEAI. 2015b. *WWF Priority Programme Technical Report (July 2014 – June 2015).*
- 40 WWF-CEAI. 2015c. *Towards Sustainable Resource Management (draft achievement storybook).*
- 41 WWF-CEAI. 2015d. *Mainstreaming Social Issues in Conservation Programming, A workplan for the CEA GI. October 2014, Revised February 2015.*
- 42 WWF-CEAI. FY14. *A Strategic Approach to Effective Partnering.*

- 43 WWF-CEAI, UNEP WCMC. 2015. *Protected Areas in Coastal East Africa, Management effectiveness and outcomes for species, habitats and livelihoods.*
- 44 WWF-CEA GI. 2013. *A Framework for Knowledge Management.*
- 45 WWF-CEA GI. 2014 (February). *CEA GI Mid Term Review. Management Response to Recommendations.*
- 46 WWF-CEA GI. 2014 (September). *CEA GI Mid Term Review, Management Response to Recommendations – Status September 2014.*
- 47 WWF-CEA GI. 2015a. *CEA GI stake holders' feedback, Summary Report.*
- 48 WWF-CEA GI. 2015b. *Response to the Recommendations from the Livelihood, Gender and Human Rights Study. December 2014, Revised February, 2015.*
- 49 WWF-CEA GI. 2015c. *CEA GI FY11-15 SPMS Overview.*
- 50 WWF-Denmark. 2013. *Summary Overview of WWF DK's compliance plan related to the Review Recommendations to the DANIDA Thematic Review of WWF Denmark (in October 2013) with a special focus on partnerships, results monitoring and compliance with the Danida Civil Society Strategy.*

Annex IV – Conceptual Model for the Coastal East Africa Initiative (WWF-CEAI, 2012, page 15)



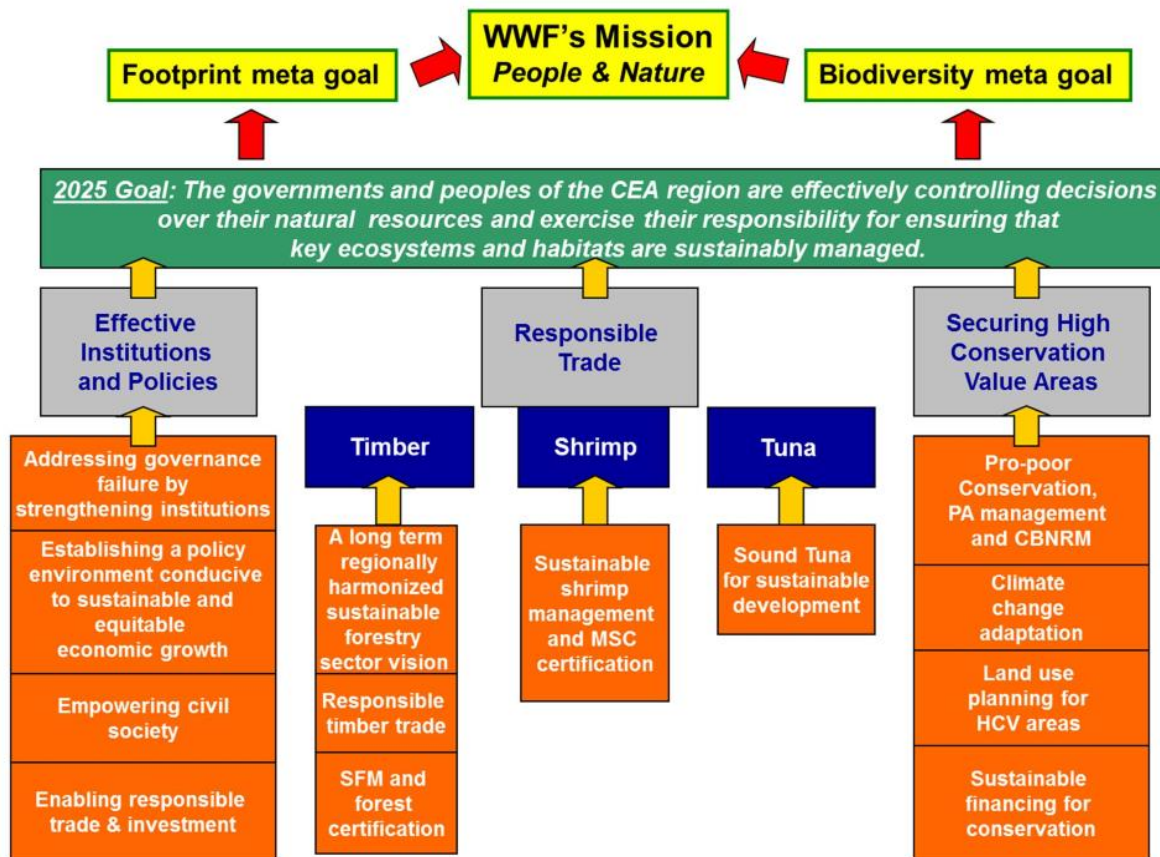
Annex V – WWF Coastal East Africa Initiative FY2011-2015 Strategic Framework Summary (WWF-CEAI, 2012, page 7 and 8)

| GPF 2050 META-GOAL: BIODIVERSITY | | GPF 2050 META-GOAL: FOOTPRINT |
|--|---|--|
| The integrity of the most outstanding natural places on earth is conserved, contributing to a more secure and sustainable future for all. | | Humanity's global footprint stays within the earth's capacity to sustain life and the natural resources of our planet are equitably shared. |
| GOAL for Coastal East Africa (CEA) | | |
| By 2025, the governments and peoples of the CEA region are effectively controlling decisions over their natural resources and exercise their responsibility for ensuring that key ecosystems and habitats are sustainably managed. | | |
| CONSERVATION STRATEGIES And 2025 Goals | SUB-STRATEGY | OBJECTIVES |
| 1. Governance and Empowerment By 2025, CEA governments have transformed natural resource (or environmental) decision-making processes to be more democratic, participatory, equitable and transparent in order to enable effective policy implementation and the rule of law, to deliver sustainable development. | Addressing governance failure by strengthening institutions | - By the end of FY2015, national and regional institutions function to ensure that natural resource governance regimes (public and private) across CEA are more democratic, participatory, representative, accountable, transparent and inclusive |
| | Mainstreaming the environment in policy making and regulatory frameworks | - By the end of FY2015, policies and regulatory frameworks explicitly account for environmental costs and benefits |
| | Empowering Civil Society | - By the end of FY2015, Government policies, plans and programmes include civil society's concerns and interests (related to natural resources) at national and regional level |
| | Enabling Responsible Trade and Investment | - By the end of FY2015, governments and private sector apply appropriate environmental and socio-economic standards to trade and investment decisions including the implementation and enforcement of EIAs and SEAs (<i>ESARP - modified slightly</i>) |
| 2. Responsible Trade By 2025, the majority (>70%) of indigenous timber traded within and exported from CEA is derived from sustainable sources, conforms to legal and socially-responsible practices, and does not threaten high conservation value forests. By 2025, CEA will achieve high-value export markets for vibrant and commercially sustainable shrimp fisheries (<i>in Mozambique</i>) that integrate environmental and socio-economic concerns, with at least 1 example of an independently certified fishery successfully exporting into the global marketplace. | Timber and Sustainable Forest Management | - By the end of FY2015, CEA countries have developed and are implementing an agreed long-term forestry trade and investment plan/strategy that is regionally harmonized in terms of economics, legal/regulatory aspects, benefit sharing, etc. - By the end of FY2015, Sustainable forest management and forest certification in Kenya, Tanzania and Mozambique has led to the following results (<i>ESARP</i>): <ul style="list-style-type: none"> - Area under SFM/PFM increased by an additional 1 million hectares; - A 25% reduction of unsustainable timber harvesting rate from 2010 baseline; - Increased benefits to local communities. - By the end of FY2015, 80% of timber exports from/within CEA (focus on Tanzania and Mozambique) are from sustainable sources, and shifting sources of timber from DRC are being contained (link with GHoA) |
| | Sustainable Shrimp Management | - By the end of FY2015, the recovery of the tropical shrimp fishery in Mozambique is showing a positive trend, and both deep and shallow water shrimp fisheries are MSC certified (adding value to shrimp fisheries sector and increased benefits to the coastal population) |

| CONSERVATION STRATEGIES And 2025 Goals | SUB-STRATEGY | OBJECTIVES |
|--|--|---|
| By 2025, a healthy and productive population of Tuna supports sustainable fisheries stocks in WIO region, by reducing over-fishing (effort/capacity) and the threats on non-target species. | Sustainable Management of Tuna | - By the end of FY2015, WIO States are effectively controlling and equitably benefiting from a new sustainable tuna fisheries governance regime (based on a new Fisheries Accord between a political coalition of WIO States) |
| 3. Securing High Conservation Value Areas By 2025, Key biological targets (habitats and species) in CEA are being effectively conserved and these continue to provide goods and services to the dependent populations. | Pro-poor conservation, protected area management & CBNRM | - By the end of FY2015, protected areas, community and private management areas in 6 out of 9 CEA priority landscapes/seascapes are effectively managed, and deliver equitable benefits for the local population |
| | Climate Resilience and Adaptation | - By the end of FY2015, all group 1 (6 out of 9) priority landscapes are implementing climate change adaptation components in their programmes |
| | Improved Land and Resource Use Decision Making in HCV Areas | - By the end of FY2015, high quality and widely available information systems (GIS, databases, sensitivity maps etc) have proactively influenced equitable and sustainable decision making on land and natural resource use in HCV areas in all priority 1 landscapes in CEA |
| | Sustainable Financing for Conservation | - By the end of FY2015, the contribution of sustainable financing mechanisms (including Trust Funds, REDD+ and other PES) to the management of protected areas, community and private management areas within CEA1 priority land/seascapes has increased by at least 50% against 2010 baseline |
| 4. Low Carbon Development By 2025, CEA countries have developed and are implementing integrated energy strategies that include a shift towards efficient use of energy and the use of renewable sources. | Sustainable Energy | - By the end of FY2015, renewable energy resources provide a larger share of the energy use of CEA countries and dependence on biomass is reducing |
| KEY SUPPORTING ELEMENTS | | OBJECTIVES |
| 5. Establishing a high performing operational team and systems for outstanding conservation delivery <i>In conjunction with ESARP*: one integrated team working at regional and country levels delivering synergies and efficiencies</i> | Delivering Effective Communications | - By the end of FY2015, awareness and understanding of the importance of conservation, and sustainable management of natural resources in CEA is increased among key national and international audiences - By the end of FY2015, WWF's profile, image and credibility, especially regarding our ability to provide solutions to the region's conservation and natural resource management challenges, is increased in the CEA region - By the end of FY2015, any significant progress made by the region's governments, and other key stakeholders towards conservation and sustainable management of CEA's natural resources is recognised and promoted |
| | Developing and Strengthening Strategic Partnerships & Fundraising | - By the end of FY2015 secure new funding from existing GAA and multilateral sources for at least 10 Million USD - By the end of FY2015, secure funding from Major Donors/Foundations and from the business sector of at least 1 Million USD - By the end of FY2012, existing partnerships are operational and at least two new partnerships with key regional organisations are developed |
| | Ensuring Effective Financial Management and Administration | - By the end of FY2011, CEA in collaboration with TCO and ESARP has integrated and efficient financial systems & practices and processes reflective of applicable standards, and best practice |
| * See also ESARP Strategic Plan FY 2011-15 | | |

| | | |
|--|--|---|
| | <i>Effective Monitoring & Evaluation and Reporting at Sub-regional and Field Portfolio Levels</i> | - By the end of FY2012, CEAI in collaboration with ESARP, has developed and is implementing an efficient and integrated monitoring, evaluation and reporting system |
|--|--|---|

Annex VI – Revised CEAI programme design (WWF-CEAI, 2015, page 4)



Annex VII – Revised WWF Coastal East Africa Initiative FY2011-2015 Strategic Framework Summary (WWF-CEAI, 2014a, pages 8 and 9)

| GPF 2050 META-GOAL: BIODIVERSITY | | GPF 2050 META-GOAL: FOOTPRINT |
|--|---|--|
| The integrity of the most outstanding natural places on earth is conserved, contributing to a more secure and sustainable future for all. | | Humanity's global footprint stays within the earth's capacity to sustain life and the natural resources of our planet are equitably shared. |
| GOAL for Coastal East Africa (CEA) | | |
| By 2025, the governments and peoples of the CEA region are effectively controlling decisions over their natural resources and exercise their responsibility for ensuring that key ecosystems and habitats are sustainably managed. | | |
| CONSERVATION STRATEGIES And 2025 Goals | SUB-STRATEGY | OBJECTIVES |
| 1. Governance and Empowerment By 2025, CEA governments have transformed natural resource (or environmental) decision-making processes to be more democratic, participatory, equitable and transparent in order to enable effective policy implementation and the rule of law, to deliver sustainable development. | Addressing governance failure by strengthening institutions | - By the end of FY15, national and regional institutions function to ensure that natural resource governance regimes (public and private) across CEA are more democratic, participatory, representative, accountable, transparent and inclusive |
| | Mainstreaming the environment in policy making and regulatory frameworks | - By the end of FY15, policies and regulatory frameworks explicitly account for environmental costs and benefits |
| | Empowering Civil Society | - By the end of FY15, Government policies, plans and programmes include civil society's concerns and interests (related to natural resources) at national and regional level |
| | Enabling Responsible Trade and Investment | - By the end of FY15, governments and private sector apply appropriate environmental and socio-economic standards to trade and investment decisions including the implementation and enforcement of EIAs and SEAs |
| 2. Responsible Trade By 2025, the majority (>70%) of indigenous timber traded within and exported from CEA is derived from sustainable sources, conforms to legal and socially responsible practices, and does not threaten high conservation value forests. By 2025, CEA will achieve high-value export markets for vibrant and commercially sustainable shrimp fisheries (<i>in Mozambique</i>) that integrate environmental and socio-economic concerns, with at least 1 example of an independently certified fishery successfully exporting into the global marketplace. | Timber and Sustainable Forest Management | - By the end of FY15, CEA countries have developed and are implementing an agreed long-term forestry trade and investment plan/strategy that is regionally harmonized in terms of economics, legal/regulatory aspects, benefit sharing, etc. - By the end of FY15, Sustainable forest management and forest certification in Kenya, Tanzania and Mozambique has led to the following results: <ul style="list-style-type: none"> - Area under SFM/PFM increased by an additional 500,000 hectares; - Increased benefits to local communities. - By the end of FY15, an increased proportion of timber exports (Indicator: >10% reduction in illegal trade) from/within CEA (focus on Tanzania and Mozambique) are in conformity with legal regulations and guidelines for sustainable forest management and trade |
| | Sustainable Shrimp Management | - By the end of FY15, both shallow and deep water shrimp fisheries management plans (incorporating EAF, RBM and MSC principles) are finalized and adopted, safeguarding sustainability and progress towards eventual MSC certification |

| CONSERVATION STRATEGIES And 2025 Goals | SUB-STRATEGY | OBJECTIVES |
|--|--|---|
| By 2025, a healthy and productive population of Tuna supports sustainable fisheries stocks in WIO region, by reducing over-fishing (effort/capacity) and the threats on non-target species. | <i>Sustainable Management of Tuna</i> | - By the end of FY15, SWIO States are increasingly controlling and benefiting from a reformed sustainable tuna fisheries governance regime |
| 3. Securing High Conservation Value Areas By 2025, Key biological targets (habitats and species) in CEA are being effectively conserved and these continue to provide goods and services to the dependent populations. | <i>Pro-poor conservation, protected area management & CBNRM</i> | - By the end of FY15, protected areas, community and private management areas in 6 out of 9 CEA priority landscapes/seascapes are effectively managed, and deliver equitable benefits for the local population |
| | <i>Climate Resilience and Adaptation</i> | - By the end of FY15, at least 5 out of the 9 priority landscapes are implementing climate change adaptation components in their programmes |
| | <i>Improved Land and Resource Use Decision Making in HCV Areas</i> | - By the end of FY15, spatial planning tools and approaches (GIS, databases, sensitivity maps etc) have proactively influenced equitable and sustainable decision making on land and natural resource use in HCV areas in all priority 1 landscapes in CEA |
| | <i>Sustainable Financing for Conservation</i> | - By the end of FY15 sustainable financing mechanisms (including Trust Funds, REDD+ and other PES) increasingly contribute to the management of protected areas, community and private management areas within CEAI priority land/seascapes |
| KEY SUPPORTING ELEMENTS | | OBJECTIVES |
| 5. Establishing a high performing operational team and systems for outstanding conservation delivery <i>In conjunction with ARO*:</i> <i>One integrated team working at regional and country levels delivering synergies and efficiencies</i> | <i>Delivering Effective Communications</i> | - By the end of FY15, awareness and understanding of the importance of conservation, and sustainable management of natural resources in CEA is increased among key national and international audiences - By the end of FY15, WWF's profile, image and credibility, especially regarding our ability to provide solutions to the region's conservation and natural resource management challenges, is increased in the CEA region - By the end of FY15, any significant progress made by the region's governments, and other key stakeholders towards conservation and sustainable management of CEA's natural resources is recognised and promoted |
| | <i>Developing and Strengthening Strategic Partnerships & Fundraising</i> | - By the end of FY15 secure new funding from existing GAA and multilateral sources for at least 10 Million USD - By the end of FY15, secure funding from Major Donors/Foundations and from the business sector of at least 1 Million USD - By the end of FY15, existing partnerships are operational and at least two new partnerships with key regional organisations are developed |
| | <i>Ensuring Effective Financial Management and Administration</i> | - By the end of FY15, CEA in collaboration with TCO and ESARP has integrated and efficient financial systems & practices and processes reflective of applicable standards, and best practice |
| | <i>Effective Monitoring & Evaluation and Reporting at Sub-regional and Field Portfolio Levels</i> | - By the end of FY15, CEAI in collaboration with ESARP, has developed and is implementing an efficient and integrated monitoring, evaluation and reporting system |

Revised objectives in comparison with the original FY2011-2015 Strategic Framework Summary concern (WWF-CEAI, 2014a):

Marine thematic area

| Original objective | Revised objective |
|--|--|
| By the end of FY15, the tropical shrimp fishery in Mozambique is showing recovery and, both deep and shallow water shrimp fisheries are MSC certified. | By the end of FY15, both shallow and deep water shrimp fisheries management plans (incorporating EAF, RBM and MSC principles) are finalized and adopted, safeguarding sustainability and demonstrating progress towards eventual MSC |

Terrestrial thematic area

| Original objective | Revised objective |
|--|--|
| By the end of FY15, Sustainable forest management and forest certification in Kenya, Tanzania and Mozambique has led to the following results : <ul style="list-style-type: none"> • Area under SFM/PFM increased by an additional 1 million hectares; • 25% reduction of unsustainable timber harvesting rate from 2010 baseline; • Increased benefits to local communities. | By the end of FY15, Sustainable forest management and forest certification in Kenya, Tanzania and Mozambique has led to the following results: <ul style="list-style-type: none"> • Area under SFM/PFM increased by an additional 500,000 hectares; • Increased benefits to local communities. |
| By the end of FY15, 80% of timber exports from/within CEA (focus on Tanzania and Mozambique) are from sustainable sources, and shifting sources of timber from DRC are being contained | By end of FY15, an increased proportion of CEA timber exports ¹ from CEA (focus Tanzania and Mozambique) are in conformity with legal regulations and guidelines for sustainable forest management and trade |

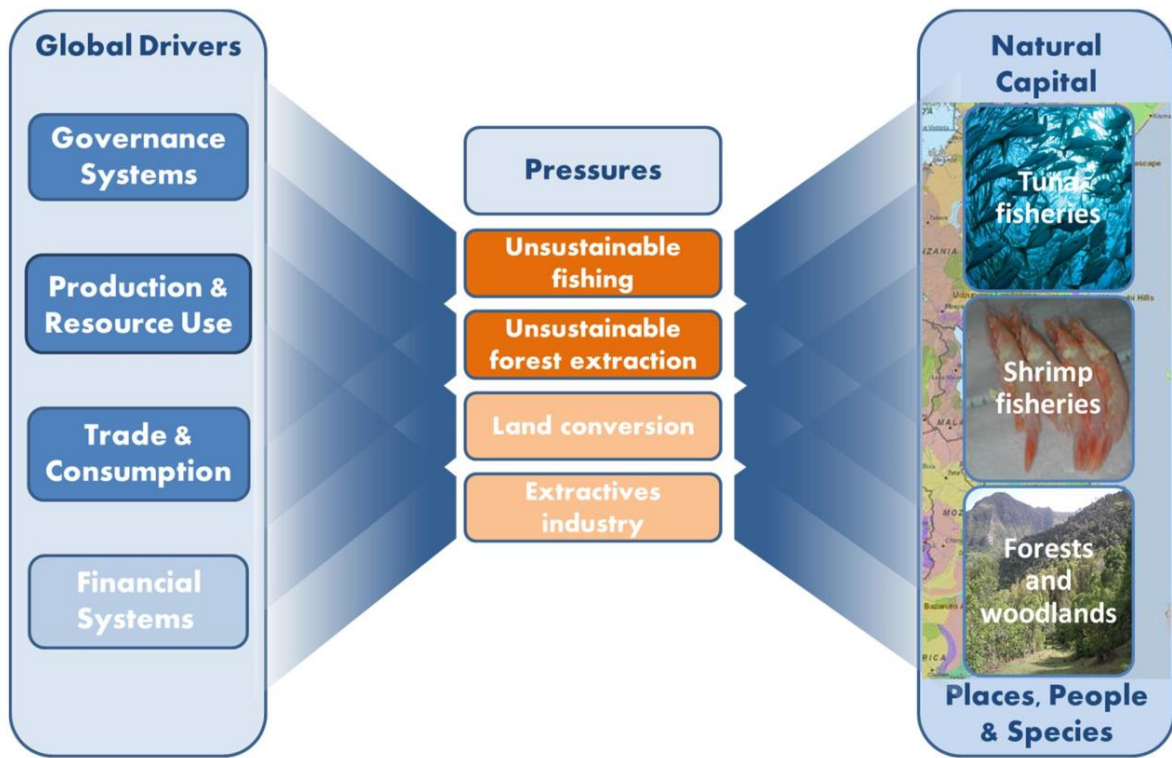
1 Indicator: at least 10% reduction in illegal trade

High Conservation Value Areas

| Original objective | Revised objective |
|---|--|
| By the end of FY15, high quality and widely available information systems (GIS, databases, sensitivity maps etc.) have proactively influenced equitable and sustainable decision making on land and natural resource use in HCV areas in all priority 1 landscapes and seascapes in CEA countries | By the end of FY15, spatial planning tools and approaches (GIS, databases, sensitivity maps etc) have proactively influenced equitable and sustainable decision making on land and natural resource use in HCV areas in all priority 1 landscapes in CEA |
| By the end of FY15, the contribution of sustainable financing mechanisms (including Trust Funds, REDD+ and other PES) to the management of protected areas, community and private management areas within CEAI priority land/seascapes has increased by at least 50% against 2010 baseline | By the end of FY15, sustainable financing mechanisms (including Trust Funds, REDD+ and other PES) increasingly contribute to the management of protected areas, community and private management areas within CEAI priority land/seascapes ¹ |

1 Indicators: at least one new trust fund and at least 2 new PES schemes operating and contributing to financing conservation.

Annex VIII – CEAI Conceptual Framework aligned with the Global WWF Conceptual Framework (WWF-CEAI, 2014a, page 11)



The framework lays out the key global drivers that put pressures on the existing natural capital, places, people and species in the region. The main drivers being considered by the CEAI are Governance Systems, Production & Resource Use and Trade & Consumption; a study of Financial Systems is being initiated and possibly making this a future focus. The focus on natural capital of the CEAI is firstly on tuna and shrimp fisheries, as well as the forests and woodlands, and at a second level on the 9 priority land- and seascapes. In terms of immediate pressures, the current focus is on unsustainable fishing and forest extraction, with land conversion (for agriculture and other purposes) and extractives industry at a second tier.

Annex IX- CEAI Phase 2, An Overview of the vision and overall goal, and goals & objectives & strategies for the three thematic areas (WWF-CEAI, 2015, page 9)

| | | | |
|--|---|---|--|
| Vision | | | |
| <i>Coastal East Africa’s unique and globally significant natural resource base provides the essential goods and services that support biodiversity as well as economic development and the livelihoods of present and future generations.</i> | | | |
| Overall Goal | | | |
| <i>By 2025, CEA governments have transformed environmental decision-making processes to be more democratic, participatory, equitable and transparent in order to enable effective policy implementation and the rule of law, to deliver sustainable development.</i> | | | |
| | Sustainable Fisheries | Sustainable Investments | Sustainable Forests |
| <i>Goal</i> | <i>By 2025, healthy and productive populations of commercial fisheries stocks in SWIO region are contributing to food security and national economies of CEA countries, and supporting the livelihoods of local communities</i> | <i>By 2025, Government and private investors better integrate environmental and social considerations in decision making around key investments impacting WWF priority areas²⁹, thereby minimizing negative implications and maximizing benefits to natural assets and local communities</i> | <i>By 2025, the majority (>70%) of indigenous timber traded within and exported from CEA is derived from sustainable and legal sources, protecting the integrity of natural forests, including the provision of ecosystem services critical to human well-being</i> |
| <i>Objectives</i> | <p>By FY20, SWIO Governments are effectively controlling and securing benefits from sustainable tuna fisheries for national economies and local communities</p> <p>By FY20 key coastal fisheries³⁰ in CEA are being managed based on socially inclusive and environmentally sustainable approaches and are</p> | <p>By 2020, green economy principles integrated into national development plans and influencing implementation of priority resource corridors across all CEA countries.</p> <p>By 2020, environmental and social standards are guiding key investments in priority resource corridors³¹</p> | <p>By 2020, illegal and unsustainable logging and trade of timber in CEA is decreased by at least 25%³²</p> <p>By 2020, promotion of Sustainable Forest Management has resulted into improved business and investment options for locally controlled forest enterprises contributing to improved well-being of local communities³³</p> |

²⁹ Primarily the 9 land- and seascapes within the CEAI geography

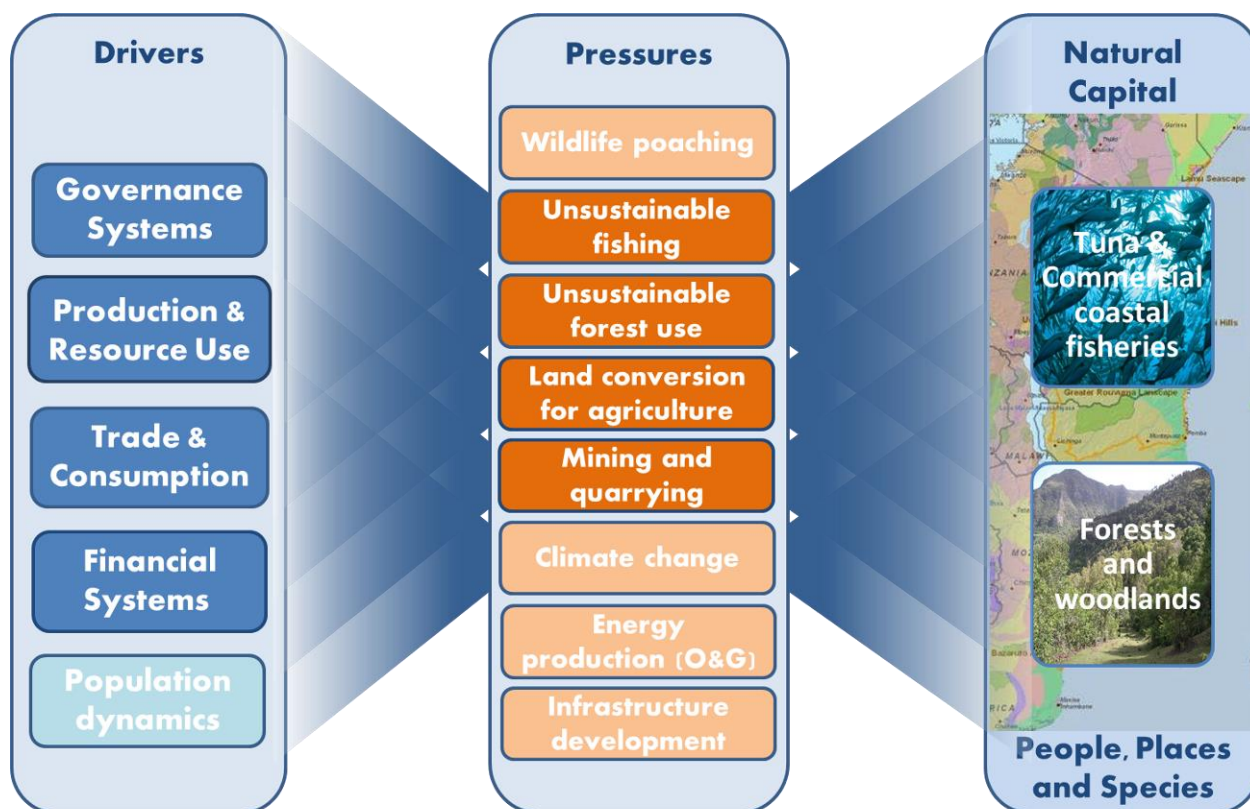
³⁰ Shrimp in Mozambique, octopus in Tanzania and lobster in Kenya.

³¹ LAPSSSET, SAGCOT, and Ruvuma-Mtwara having been indentified so far as priority resource corridor of focus

| | | | |
|----------------|---|---|--|
| | showing signs of recovery and increased benefits to local fishing communities. | | |
| Key strategies | <p>Strengthening national and regional fisheries governance</p> <p>Promoting more sustainable fishing practices through improving transparency and social/environmental sustainability of supply / value chains</p> | <p>Promoting Green Economy based integrated planning approaches</p> <p>Promoting responsible investment</p> | <p>Strengthening forest governance and inter-governmental collaboration</p> <p>Improving transparency and sustainability of timber trade supply/value chains</p> <p>Promoting investment in and delivery of effective sustainable forest management approaches</p> |

³² The 25% was decided based on the target for 2025 assuming that one-third of the target is spread across 15 years (2010-2025). The regional assessment to be produced in 2016 will inform the baseline for this strategy and recommend any necessary changes.

³³ This objectives will add value to the efforts currently being implemented by WWF-Tanzania and partners (MJUMITA, MCDI and Tunduru District Council) in Ruvuma landscape



This conceptual model for the CEAI Conservation Strategy is inspired and based upon the global WWF Driver-Pressure-State Model. The model recognizes first of all on the right side, the natural capital aimed to be conserved, the fisheries and forest resources of the region, including the people that depend on them. This natural capital is under threat by a number of pressures (seven in total), of which the most important ones are:

- **Unsustainable fishing**, including overfishing, inappropriate fishing methods, Illegal, Unregulated and Unreported (IUU) fishing, etc.
- **Unsustainable forest use**, which includes wood extraction for biomass and timber among others; as argued before, a specific emphasis focus for the CEAI herein is the unsustainable logging and illegal timber trade.
- **Agriculture and mining and quarrying**, as the main cause of large-scale land conversion and infrastructure development.

This is not say that other pressures, such as climate change, energy production, wildlife poaching and general infrastructure development are not factors as well. However, it is felt that within the context of the specific thematic focus of the CEAI, the above are most relevant (this is justified further by the conceptual models in Annex 1 to the Phase 2 Strategic Plan). At the basis of these pressures there are a number of common drivers, which are presented on the left. The CEAI Theory of Change defines that, in order to succeed on its mission, the CEAI should work to:

- Address the **governance shortfalls**;

- Promote **sustainable resource use and extraction** in the fisheries and forest sector;
- Drive sustainability along several key supply/value chains at both national and international levels by promoting **responsible trade**; and
- Influence the financial sector towards more **sustainable investments**.

With regard to the fifth driver, **population dynamics**, although it is generally considered that addressing population growth, urbanization trends, etc., are beyond WWF's realm, it is of general importance to consider the **people-environment nexus** throughout our strategy. In this regard, the **livelihoods, gender and human rights vision** of the CEAI is based on the following principles:

- All people (men and women) are entitled to a sustainable and dignified livelihood in harmony with their surrounding environment;
- Environmental conservation is paramount to achieving sustainable development; and,
- Conservation and development efforts cannot succeed without the involvement and empowerment of citizens and civil society.

This vision and related set of principles recognizes that livelihoods, human rights and the environment are inextricably linked and are natural allies for achieving sustainable development. Ecosystem services are indispensable for the wellbeing of all men and women, especially for poor segments of society. Addressing the human dimension of its interventions is therefore paramount to achieving the CEAI goals³⁴.

³⁴ And as such also embedded in the programme's overall vision: "Coastal East Africa's unique and globally significant natural resource base provides the essential goods and services that support biodiversity as well as economic development and the livelihoods of present and future generations".

Annex XI – Scoring table on GI relevance as per the Midterm Review

Scoring: 1 to 4, with 1 lowest compliance and 4 highest compliance

| Component / Sub-component | Conservation Committee Key Criteria for Global Initiatives (1) | | | Total score | Part of Big Wins? |
|---|--|--|--|-------------|-------------------|
| | Transformational? | Focused on trans-boundary action and delivering at the regional level? | Cannot be delivered by national actions alone? | | |
| Governance/empowerment | | | | | |
| Governance Barometer | 3 | 2 | 2 | 7 | Yes |
| Constitutional reforms | 3 | 1 | 1 | 5 | No |
| Green Economy | 4 | 3 | 2 | 9 | No |
| SEAs | 3 | 2 | 2 | 7 | No |
| Sustainable investments | 3 | 2 | 2 | 7 | No |
| Strengthening CSOs | 2 | 2 | 1 | 5 | No |
| Policy influencing (national / supranational) | 1 / 2 | 1 / 4 | 1 / 4 | 3 / 10 | No/Yes |
| Responsible trade - Shrimps | | | | | |
| Deep water – industrial | 4 | 2 | 4 | 10 | Yes |
| Shallow water - artisanal | 4 | 1 | 3 | 8 | Yes |
| Responsible trade - Tuna | | | | | |
| Deep water – industrial | 4 | 4 | 4 | 12 | Yes |
| Shallow water – artisanal | 4 | 2 | 3 | 9 | No |
| Responsible trade - Timber | | | | | |
| Timber trade | 4 | 4 | 4 | 12 | Yes |
| SFM & FSC | 4 | 3 | 3 | 10 | Yes |
| HCVAs | | | | | |
| National HCVAs | | | | | |
| CBNRM | 2 (2) | 1 | 1 | 4 | Yes |
| PA management | 2 | 1 | 1 | 4 | Yes |
| Climate change adaptation | 3 | 1 | 2 | 6 | No |
| Land use/scenario planning | 2 | 1 | 1 | 4 | No |
| Sustainable financing | 4 | 1 | 2 | 7 | Yes |
| Transboundary HCVAs | | | | | |
| CBNRM | 2 | 2 | 2 | 6 | Yes |
| PA management - METT | 2 | 3 | 2 | 7 | No |
| Climate change adaptation | 3 | 2 | 3 | 8 | No |
| Land use/scenario planning | 2 | 3 | 3 | 8 | No |
| Sustainable financing | 4 | 2 | 3 | 9 | No |

Explanatory notes:

- (1) Note that criteria 2 and 3 are very similar: activities that score well on “transboundary action and delivering at regional level” should normally also score well on “cannot be delivered by national actions alone”. The reverse is not always the case though, e.g. in the case of national actions that require international engagement on the market side of things. The work on sustainable shrimp is an example of this. It cannot be done by actions in Mozambique alone, but does not necessarily have transboundary or regional aspects.

Within the context of the CEAI the MTR team added an element of scale to the definition. Transformational change may occur from local to global levels. In the view of the MTR team, isolated success in local level transformational change (e.g. an empowered community) does not constitute real transformational change within the context of the CEAI, unless it is change that can easily and relatively rapidly be scaled up across landscapes or if it is an integral part of a broader transformational change in the same landscape.

- (2) The MTR team believes the potential of CBNRM to be transformational beyond national scale is severely limited by different national realities and institutional context, which doesn’t allow for innovative models to be applied across countries. This is also evident in for example the Kavango-Zambezi TFCA where the successful Namibian model cannot simply be replicated in community areas in Zambia.

Annex XII – Overview of transition of CEAI Phase 1 to Phase 2 Strategic Plans (WWF-CEAI, 2015)

| FY11-FY15 Strategic Plan | | FY16-FY20 Strategic Plan |
|--|---|---|
| 2025 Goals | Sub-Strategy | |
| <p>Governance and Empowerment</p> <p>By 2025, CEA governments have transformed environmental decision-making processes to be more democratic, participatory, equitable and transparent in order to enable effective policy implementation and the rule of law, to deliver sustainable development</p> | <i>Addressing governance failure by strengthening institutions</i> | - Discontinued as a separate workstream, but rather integrated into specific thematic strategies on forests, fisheries and investments. Majority of work devolved to Country Offices. |
| | <i>Mainstreaming the environment in policy making and regulatory frameworks</i> | - Discontinued as a separate workstream, but rather integrated into specific thematic strategies on forests, fisheries and investments. Majority of work devolved to Country Offices. |
| | <i>Empowering Civil Society</i> | - Remains strongly at the core of the CEAI, but to be discontinued as a separate workstream and rather integrated into specific thematic strategies on forests, fisheries and investments. Majority of work devolved to Country Offices. |
| | <i>Enabling Responsible Trade and Investment</i> | - This component is more prominently featuring as a separate strategy (Sustainable Investments), addressing the larger emerging threats related to agriculture and extractives driven resource corridors. |
| <p>Responsible Trade</p> <p>By 2025, the majority (>70%) of indigenous timber traded within and exported from CEA is derived from sustainable sources, conforms to legal and socially responsible practices, and does not threaten high conservation value forests.</p> <p>By 2025, CEA will achieve high-value export markets for vibrant and commercially sustainable shrimp fisheries (<i>in Mozambique</i>) that integrate environmental and socio-economic concerns, with at least 1 example of an independently certified fishery successfully exporting into the global marketplace.</p> <p>By 2025, a healthy and productive population of Tuna supports sustainable fisheries stocks in WIO region, by reducing over-fishing (effort/capacity) and the threats on non-target species.</p> | <i>Timber and Sustainable Forest Management</i> | <ul style="list-style-type: none"> - Continued under the Sustainable Forests thematic. - Focus of the CEAI Core Team to be on timber trade, in partnership with TRAFFIC. - SFM work to be focused on Ruvuma landscape and devolved to TCO-MCO. |
| | <i>Sustainable Shrimp Management</i> | <ul style="list-style-type: none"> - Continued under the Sustainable Fisheries thematic but fully devolved to country offices. - Scope expanded to include three near-shore commercial fisheries: shrimp (Mozambique), Lobster (Kenya) and Octopus (Tanzania) |
| | <i>Sustainable Management of Tuna</i> | <ul style="list-style-type: none"> - Continued under the Sustainable Fisheries thematic. - Scope expanded to address artisanal tuna fisheries; work on these aspects devolved to country offices. |
| <p>Securing High Conservation Value Areas</p> <p>By 2025, Key biological targets (habitats and species) in CEA are being effectively conserved and these continue to provide goods and services to the dependent populations.</p> | <i>Pro-poor conservation, protected area management & CBNRM</i> | - Discontinued as a separate workstream, and fully devolved to country offices (with some facilitate functions remaining with CEAI Core). |
| | <i>Climate Resilience and Adaptation</i> | - Discontinued as a separate workstream, Follow climate change adaptation work fully devolved to country offices. |
| | <i>Improved Land and Resource Use Decision Making in HCV Areas</i> | - Discontinued as a separate workstream, but spatial planning work and integrated planning becomes a central part of the new Sustainable Investments thematic. |
| | <i>Sustainable Financing for Conservation</i> | - Discontinued as a separate workstream, but aspects of sustainable financing integrated into all three thematic. |
| <p>Low Carbon Development</p> <p>By 2025, CEA countries have developed and are implementing integrated energy strategies that include a shift towards efficient use of energy and the use of renewable sources.</p> | <i>Sustainable Energy</i> | - Discontinued. |

Annex XIII – Synergies between CEAI Phase 2 Strategic Plan and WWF new Global Goals

| GLOBAL GOALS | GLOBAL OUTCOMES - BY 2025 | CEAI CONTRIBUTION |
|---|---|---|
| <p><i>Oceans:</i></p> <p>The world's [most important] fisheries & ocean ecosystems are productive and resilient, and improve livelihoods and biodiversity</p> | <ul style="list-style-type: none"> • Integrated networks of MPAs, covering 20% of the world's oceans & coasts contribute to improved human wellbeing and biodiversity protection • [Priority fisheries] are sustainable or recovering, supporting livelihoods and biodiversity • Illegal & destructive fishing practices in [priority fisheries] are eliminated | <ul style="list-style-type: none"> • CEAI will be delivering mainly on outcomes 2 and 3: Ensuring that tuna and selected nearshore commercial fisheries are sustainable, including combatting illegal and destructive fishing practices as well as contributing to enhanced economic opportunities and livelihoods opportunities in this regard. |
| <p><i>Wildlife:</i></p> <p>The world's [most iconic] and endangered species are secured and recovering in the wild</p> | <ul style="list-style-type: none"> • Habitats and landscapes of [priority species] are protected and expanding, and human wildlife conflicts are minimised • Conservation stewardship approaches deliver benefits to populations of [priority species] and people • Illegal wildlife trade is eliminated for [priority species] | <ul style="list-style-type: none"> • CEAI will contribute to outcome 1, through the conservation of coastal and Miombo forests, which are habitats for several priority species. |
| <p><i>Forests:</i></p> <p>The integrity of the world's [most important] forests, including their benefits to human well-being, is enhanced and maintained</p> | <ul style="list-style-type: none"> • At least [25%] of the world's forests are protected or under improved management practices, benefiting biodiversity and forest dependent communities • Deforestation and degradation is removed from supply chains of [key commodities] • GHG emissions from deforestation and degradation are stabilised through REDD+ and other mechanisms | <ul style="list-style-type: none"> • CEAI will be delivering on all three outcomes by addressing forest degradation as a result of illegal and unsustainable logging, by promoting models and finance for SFM and by influencing the course of several large-scale resource development corridors that would otherwise potentially results in substantial loss of critical forests together with related loss of livelihoods opportunities for forest dependent communities. |
| <p><i>Water:</i></p> <p>Freshwater ecosystems & flow regimes in [key river basins] provide water for people & nature</p> | <ul style="list-style-type: none"> • [Critical freshwater habitats] are protected or restored in [priority river basins] • Effective transboundary water governance is operational in [key river basins], securing biodiversity and ensuring equitable access • Flow regimes and connectivity are maintained or restored in [priority river basins], including through improved infrastructure development standards | <ul style="list-style-type: none"> • CEAI will be contributing to some extent to the management of freshwater in selected resource development corridors (SAGOT in particular), as part of integrated planning. |

| GLOBAL GOALS | GLOBAL OUTCOMES - BY 2025 | CEAI CONTRIBUTION |
|---|--|---|
| <p><i>Climate & Energy:</i></p> <p>A global shift towards a low carbon & climate resilient future is achieved</p> | <ul style="list-style-type: none"> • Renewable energy provides 50% of global energy supply and is the basis of improved energy access and security in developing nations • Governments and [key partners], including WWF, are implementing effective strategies that build climate resilience for communities and ecosystems • At least USD 100 Billion invested annually in low carbon and climate resilient futures, and an appropriate price on carbon secured | <ul style="list-style-type: none"> • CEAI during phase 1 has undertaken climate change vulnerability assessments that provide the basis for adaptation measures at land- and seascape level. The implementation of these adaptation plans will happen through the land- and seascape programmes within the CEAI geography. |
| <p><i>Food:</i></p> <p>Sustainable food systems conserve nature and maintain food security</p> | <ul style="list-style-type: none"> • Agriculture & aquaculture production is managed sustainably to ensure biodiversity conservation, resilience to climate change, and benefits to rural communities • Food waste is halved along value & supply chains • [Major markets] shift towards consumer choices that are environmentally and socially sustainable | <ul style="list-style-type: none"> • CEAI will be contributing through its work on resource development corridors, in particular in the case of SAGCOT in Tanzania. |

Annex XIV – Overview of synergies between CEAI Strategy and Country Strategic Plans (WWF-CEAI, 2015)

| | | CEAI Strategic Plan | TCO Strategic Plan | MCO Strategic Plan | KCO Strategic Plan |
|-----------------------|------|--|--|--|--|
| Vision | | Coastal East Africa’s unique and globally significant natural resource base provides the essential goods and services that support biodiversity as well as economic development and the livelihoods of present and future generations. | By 2030, Tanzania’s outstanding and globally significant natural wealth and biodiversity are sustained, and support local livelihoods and national economic development for present and future generations. | The natural capital is well maintained and thriving ensuring a sustainable and equitable development for the wellbeing of the people of Mozambique. | A healthy natural environment supporting people and growth in Kenya. |
| Sustainable fisheries | Goal | By 2025, healthy and productive populations of commercial fisheries stocks in SWIO region are contributing to food security and national economies of CEA countries, and supporting the livelihoods of local communities | By 2020, healthy and productive WIO tuna stocks support sustainable socio-economic benefits to artisanal fishers and the national economy in Tanzania By 2020, nearshore fisheries in 5 target districts are optimally & sustainably productive, thriving on healthy nearshore ecosystems and contributing to improved livelihoods for men & women in coastal communities | Goal 4: By the end of 2020, priority coastal and marine habitats and species populations are at least maintained at the 2016 levels and shrimp stocks have recovered by at least 20% from 2016 | - |

| | | CEAI Strategic Plan | TCO Strategic Plan | MCO Strategic Plan | KCO Strategic Plan |
|---------------------|------------|---|--|--|--|
| | Objectives | <p>By FY20, SWIO states are effectively controlling and benefiting from sustainable tuna fisheries</p> <p>By FY20 key coastal fisheries in CEA are being managed based on sustainable approaches and showing signs of recovery and increased benefits to local fishing communities.</p> | <p>Regional policy & legal frameworks for tuna fisheries strengthened</p> <p>Strengthened national and regional monitoring, control and surveillance (MCS) programmes</p> <p>Increased benefit to Tanzania from tuna fisheries through equitable fisheries access arrangements & productive artisanal fishery</p> <p>Fishery certification incentivises better management in one nearshore fishery</p> | <p>SS: By 2020, at least 3 commercial fisheries are managed according to Ecosystem Approach to Fisheries (EAF)</p> | <p>Objective 1: By 2020, key policy and legal frameworks are influenced to create an enabling environment for sustainable management of natural resources.</p> <p>Objective 3: By 2020, agricultural and fisheries production systems are based on environmentally and socially sustainable practices.</p> |
| Sustainable forests | Goal | <p>By 2025, the majority (>70%) of indigenous timber traded within and exported from CEA is derived from sustainable and legal sources, protecting the integrity of natural forests, including the provision of ecosystem services critical to human well-being</p> | <p>By 2020, six high conservation-value forest landscapes (Udzungwa Mountains; Usambara lowland coastal forests; Matumbi-Kichi, Kilwa & Rondo coastal forests; and Selous-Ruvuma miombo woodland) are contributing to improved rights and livelihoods of forest resources-dependent men & women, and have sustained biodiversity values.</p> | <p>Goal 2: By the end of 2020, the rate of illegal harvesting of natural resources and impacts from unsustainable agricultural practices and infrastructure developments have minimal impact on biodiversity.</p> <p>Goal 3: By the end of 2020, the adverse impacts of agriculture, mining and logging on ecosystems are minimised bringing ecological, economic and social benefits.</p> | - |

| | | CEAI Strategic Plan | TCO Strategic Plan | MCO Strategic Plan | KCO Strategic Plan |
|-------------------------|------------|---|--|--|--|
| | Objectives | <p>By 2020, illegal and unsustainable logging and trade of timber in CEA countries is decreased by at least 25%, resulting in improved forest integrity and increase benefits to communities</p> <p>By 2020, the level of investment in Sustainable Forest Management is increased by 40% resulted in increased benefits to local communities</p> | <p>Participatory forest management (PFM) in 6 target forest landscapes increased in area and management is more effective and equitable</p> <p>Illegal off-take of timber & other forest products from target forest landscapes is reduced</p> | <p>ZLS: The levels of illegal logging in the lower Zambezi are reduced by X % from the base line of 2015.</p> <p>RLS: By 2020, sustainable management of forestry resources is promoted resulting in a reduction of deforestation</p> <p>RLS: By 2020, the deforestation rate in all Miombo forest in Rovuma Landscape is reduced in (---) % in relation to 2015 levels</p> <p>RLS: By 2020, the deforestation rate in coastal forest is reduced in (---) % in relation to the 2015 levels</p> | <p>Objective 1: By 2020, key policy and legal frameworks are influenced to create an enabling environment for sustainable management of natural resources.</p> <p>Objective 4: By 2020, key freshwater, marine and terrestrial ecosystems are secured and populations of flagship and priority wildlife species in target places are stable and/or increasing.</p> |
| Sustainable investments | Goal | <p>By 2025, Government and private investors better integrate environmental and social considerations in decision making around key investments impacting WWF priority areas, thereby minimizing negative implications and maximizing benefits to natural assets and local communities.</p> | - | <p>Goal 1: By the end of 2020, the level of integration of natural capital valuation in the policies and strategic plans has increased compared to the 2016 levels</p> <p>Goal 3: By the end of 2020, the adverse impacts of agriculture, mining and logging on ecosystems are minimized bringing ecological, economic and social benefits.</p> | - |

| | | CEAI Strategic Plan | TCO Strategic Plan | MCO Strategic Plan | KCO Strategic Plan |
|--|------------|---|--|--|---|
| | Objectives | <p>By 2020, green economy principles integrated into national development plans and influencing implementation of priority resource corridors across all CEA countries.</p> <p>By 2020, key investments in priority resource corridors (starting with LAPSSSET, SAGCOT, and Ruvuma-Mtwara) incorporate appropriate environmental and social considerations.</p> | <p>Communities, civil society, local govt and private sector engage more effectively in integrated planning, management & use of water resources (freshwater)</p> <p>Large scale investments in target forest landscapes are based on national land-use planning & EIA regulations and informed by economic value of forest resources (Forests)</p> <p>Reduced degradation, fragmentation and encroachment of wildlife and forest habitats and reduced human-wildlife conflict (Selous-Ruvuma)</p> | <p>RLS: By 2020, sound spatial land use planning is promoted to support sustainable agriculture and agro-forestry production systems</p> <p>RLS: By 2020, large-scale infrastructure developments in the Provinces of Niassa and Cabo Delgado are influenced to minimize adverse environmental and social impacts</p> <p>ZLS: By the end of 2020, the levels of pollution and deforestation from subsistence and commercial agriculture and oil & gas investments are reduced by 5% from the base line of 2015</p> | <p>Objective 1: By 2020, key policy and legal frameworks are influenced to create an enabling environment for sustainable management of natural resources.</p> <p>Objective 2: By 2020, large-scale infrastructure developments in Kenya are influenced to minimise adverse environmental and social impacts.</p> |

Annex XV – Overview of donor contributions by fiscal year (US\$ and %)

| DONOR | CONTRIBUTIONS IN US\$ AND % | | | | | | | | | | | |
|---------------|-----------------------------|-------------|------------------|-------------|------------------|-------------|------------------|-------------|------------------|-------------|-------------------|---------------|
| | FY11 | | FY12 | | FY13 | | FY14 | | FY15 | | TOTAL | |
| | amount | % | amount | % | amount | % | amount | % | amount | % | amount | % |
| DFID/WWF UK | 489,596 | 19% | 710,049 | 17% | 443,229 | 11% | 607,914 | 13% | 475,414 | 9% | 2,726,202 | 13.1% |
| WWF SE | 115,044 | 4% | 89,457 | 2% | 151,482 | 4% | 31,413 | 1% | 271,080 | 5% | 658,476 | 3.2% |
| WWF CH | 129,204 | 5% | 187,558 | 4% | 261,495 | 7% | 45,851 | 1% | 0 | 0% | 624,108 | 3.0% |
| WWF UK | 158,985 | 6% | 312,123 | 7% | 528,592 | 14% | 310,740 | 6% | 374,410 | 7% | 1,684,850 | 8.1% |
| WWF US | 103,346 | 4% | 259,509 | 6% | 192,321 | 5% | 220,589 | 5% | 302,772 | 6% | 1,078,537 | 5.2% |
| SIDA/WWF SE | 250,312 | 10% | 359,286 | 8% | 920,406 | 24% | 1,177,997 | 24% | 1,691,877 | 32% | 4,399,878 | 21.1% |
| NORAD/WWF NO | 1,018,453 | 39% | 1,228,193 | 29% | 541,293 | 14% | 1,465,643 | 30% | 1,040,186 | 20% | 5,293,768 | 25.3% |
| DANIDA/WWF DK | 340,537 | 13% | 1,081,754 | 25% | 658,887 | 17% | 713,394 | 15% | 647,702 | 12% | 3,442,274 | 16.5% |
| OAK | 0 | 0% | 24,747 | 1% | 25,393 | 1% | 0 | 0% | 0 | 0% | 50,140 | 0.2% |
| USAID | 0 | 0% | 0 | 0% | 5,161 | 0% | 62,170 | 1% | 23,746 | 0% | 91,077 | 0.4% |
| MFA/WWF FI | 0 | 0% | 0 | 0% | 1,681 | 0% | 41,921 | 1% | 293,676 | 6% | 337,278 | 1.6% |
| WWF DE | 0 | 0% | 0 | 0% | 135,856 | 4% | 185,178 | 4% | 176,533 | 3% | 497,567 | 2.4% |
| Total | 2,605,476 | 100% | 4,252,676 | 100% | 3,865,796 | 100% | 4,862,810 | 100% | 5,297,396 | 100% | 20,884,154 | 100.0% |

Annex XVI – Findings and recommendations concerning the Tanzanian side of the Ruvuma Landscape

1. INTRODUCTION

As part of the ToR for the Final Evaluation of the Coastal East Africa Initiative (CEAI) phase 1 a field visit to the Ruvuma landscape in Tanzania was to be undertaken “to sample agreed programme sites specifically to seek beneficiary feedback on the program around change that the work has brought about for them, and to verify on the ground information from document review.” A brief field visit was undertaken to Tunduru and surroundings between the 18th and 21st of October, 2015 at which time meetings were held with WWF staff and key partner organisations (Tunduru District Government, MCDI, MJUMITA) and community representatives (Machemba, Marumba, Sautimoja villages). The reflections in this report represent findings from the field visit and a few additional interviews with WWF staff and partners involved in the work in the Ruvuma landscape, together with recommendations. It thereby covers the same aspects and clusters of the main report, although combined at times.

2. MAIN FINDINGS

Overview, Relevance and Quality of the Approach and Adaptive Capacity

From 2008 to 2013 WWF operated a small satellite project office out of Masasi in Mtwara Region with one Project Executant, a Monitoring and Evaluation Officer and a driver. The work focused on wildlife and support to Wildlife Management Areas (WMAs) and was reporting to the office in Kilwa, Lindi Region. WMAs are established for conservation purposes and they do not allow for the harvesting of natural resources. However, generating income from WMAs is challenging and does take time, subject to a combination of factors as for example community organisation, the “product” on offer, access to the area, interest by investors, number of people to benefit from the area and actual equity and benefits for community members from activities undertaken. Despite this legal setting and because of the lack of patrolling and significant benefits for communities derived from the WMAs, a lot of illegal timber harvesting, shifting cultivation, livestock grazing, charcoal production and wildlife poaching takes place in the WMAs. Continuation of this situation will be detrimental for the transboundary connectivity between Selous Game Reserve in Tanzania and Niassa Game Reserve in Mozambique over time.

Following recommendations from several CEAI reviews and evaluations in 2012 and 2013 it was decided that the programme should refocus its work under the High Conservation Value Areas (HCVAs) component on two main transboundary areas i.e., the Ruvuma landscape and the Northern Mozambique Channel as principle testing grounds for the application of innovative and effective approaches. It was also identified that by focusing the work in the Ruvuma landscape on wildlife only it seemed to be largely disconnected from the work on timber trade, while there could and should be strong synergies and opportunities for the communities thereby mitigating the rapid deterioration of forest habitat relevant for the wildlife concerned. This was subsequently addressed by the CEAI through the establishment of a critical partnership with the Tunduru District

Government, the Mpingo Conservation and Development Initiative (MCDI) and MJUMITA³⁵ initiating a joint programme to scale-up sustainable forest management in this landscape. This resulted partly in a gradual growth in resources for the Ruvuma landscape and the successful roll-out of Participatory Forest Management (PFM) in the last year-and-a-half of the CEAI phase 1 in this landscape. Further strategic support to this landscape was provided by the CEAI in the form of for example the signing of a MoU in 2012 between the governments of Tanzania and Mozambique to address the illegal trade of timber, the development of a Climate Vulnerability Assessment & Adaptation Strategy for the Greater Ruvuma Landscape (2014), the development of scenarios³⁶, the establishment and development of the Southern Development Forum³⁷, a Strategic Environmental Assessment (SEA), and a Ruvuma Landscape Programme Strategy (last two under development).

In support of these decisions and to move from a project to a programmatic approach in the Ruvuma landscape the Masasi office was moved to Tunduru, Ruvuma Region in March 2013. Building on the work undertaken in Kilwa and Masasi and given the need for additional support for forestry work, staff was added including a Project Executant Forestry, a Transboundary Ruvuma Coordinator, and a new M&E Officer (although not all operating full-time out of Tunduru).

The consultant commends the CEAI's adaptive capacity and working with donors as partners instead of as just financiers. This resulted in a revised focus under the HCVA component on the transboundary Ruvuma landscape, the strategic addition of the PFM work in the Ruvuma landscape building on approaches and achievements in other sites in Tanzania, and the establishment and roll out of the PFM strategic partnership. However, as many villages have already established WMAs (particular in the western and central part of the landscape) WWF continues the work with those villages and it would in particular be critical to identify most efficient approaches to generate substantial benefits from the natural resource base for the communities concerned. This will, however, at least partly depend on their management plans and related zonation or the need for revising it, and possibly good examples of sustainable forestry management in non-WMA areas may open up the opportunity for allowing this in WMAs as well.

Efficiency

Staff and other resources for the Ruvuma landscape in Tanzania before 2013 were rather limited, after which time the CEAI was able to recruit a number of dedicated staff for work in this landscape (see above). However, the departure of the Ruvuma Coordinator and delays regarding his replacement also impacted on the progress in this priority landscape.

The Tunduru office seems to operate under very strict accountability and control systems, with funds only being provided by cheque and, due to a WWF International rule, specifying a signatory limit of CHF 5,000 at Programme Manager levels, unless prior authorization is given by the Country

³⁵ MJUMITA is a network of thousands of community members from over 400 villages across Tanzania and provides it members with technical assistance regarding forest management, governance and advocacy.

³⁶ WWF-CEAI, 2014. The Ruvuma Landscape Scenarios. Strategy Towards Integrated Planning to Secure a Future for the Rapidly Changing Ruvuma Landscape. Written and edited by M. Murphree, G. Mwanjela, S. Anstey, and R. Zolho.

³⁷ This is a government forum in Ruvuma and Mtwara Regions mainly to discuss and address pressures from oil & gas and extractive industries and infrastructural developments on other development and livelihood needs.

Director (who has signatory authorization up to 100,000 CHF). Also, advances provided need to be cleared before new advances are being provided. This is further compounded by the fact that the Tunduru office bank account is not in use – as it does not have the appropriate signatories, a situation which is related to the staff turnover in the office, impeding confirmation of signatories (not allowed for the duration of probation period). For this reason staff’s individual accounts are being used which generally allows up to about CHF 9,000 for multiple activities (to limit risk/exposure of individual staff; although exceptions are made). Given the development of an overall Ruvuma landscape strategy the consultant proposes that WWF should consider if staff could be expected to deliver under such stifling banking rules, even more so if the problems that emerged in the Tanzania Country Office (TCO) were not caused by this office.

Picture 1 – Staff and partners at WWF’s office in Tunduru (with from left to right: John Haule (Driver), Francis Rusengula (Project Executant Forestry), Nalimi Madatta (Project Executant WMAs), Azaria Kilimba (MCDI Assistant Manager Tunduru PFM Upscaling Project), Faustine Innocent (Programme Accountant), Aklei Albert (MJUMITA, Zonal Coordinator); missing are Ngoyeji Dotto (Driver) and Angel Mkonya (Office Attendant).



The consultant expects that these restrictions could be addressed and resolved relatively easily and that it would enhance the capacity for delivery by the Tunduru office, regardless of the achievements made to date (see next section).

Effectiveness

The brief visit focused in particular on the PFM partnership, and the perception of beneficiaries regarding (i) the support provided by WWF and the partnership, and (ii) regarding SFM and WMAs.

Participatory Forest Management Partnership

The most recent allocation of 26,578 hectares under SFM / community ownership in the Ruvuma landscape in Tanzania was achieved through the collaborative efforts of a much appreciated and effective partnership of WWF, MCDI, MJUMITA, and the Tunduru District Government (building on earlier community sensitisation work undertaken by WWF and PFM work by the Tunduru District

Government). The partnership was initiated by the CEAI, works towards integrated conservation and community livelihood improvement, operates under one MoU, and optimises the expertise and mandates each of the four partners brings to the partnership which justifies the higher transaction costs of a partnership. All partners involved are pleased with how the partnership operates.

As the budget provided by the *Tunduru District Government* regarding the management of Natural Resources is very limited the support provided by WWF and other partners is received very positively. Without this support hardly anything would be undertaken. This concerns, for example, raising awareness with communities regarding their natural resource base and potential for income generation, assistance with addressing the illegal harvesting of timber, the development of Village Land-Use Plans (VLPs), support towards conservation agriculture, alternative methods to address human-wildlife conflicts, and supporting beekeeping. The partner role of the Tunduru District Government is to be fully engaged and provide general and political support to the strategy and approach being implemented including the development of Village Land-Use Plans and the granting of legal ownership of Village Land Forest Reserve (VLFR) to communities concerned. *MDCI* is involved to undertake the appropriate steps and processes from establishment of the PFM including the Participatory Forest Resource Assessment and management plan to harvesting of the timber, while *MJUMITA's* role concerns in particular the community organisation and the relationship with communities and the government. *WWF* is responsible for the overall coordination, undertaking initial stages of the work and sensitisation, introducing *MDCI* and *MJUMITA*, coordinating study tours, and liaison with the district government.

The partnership is formally organised under a MoU which was signed about two years ago. The first year of operations helped to obtain further clarifications regarding certain responsibilities which were not included in the MoU. If issues arose they were discussed and resolved professionally providing clarity and a shared understanding regarding who should be undertaking what by when.

The *organisation of communities* in democratic, representative, transparent and accountable entities is critical to ensure the whole community receives incentives and shares in the benefits obtained from sustainable resource management. *MJUMITA* facilitates these processes for PFM (not for WMAs) through the establishment and development of Community-Based Organisations (CBOs). Each village has a Village Natural Resource Committee and PFM is also organised per village. One CBO is established per two up to 11 villages with an average of 70-80 members which elect one chair, one vice-chair, one secretary, one vice-secretary, and one treasurer. These are elected for three years at a time and could be re-elected two to three times. To avoid having to start with a complete new team only recently “staggered elections³⁸” were introduced to ensure continuity in the operations of the elected officials. The CBOs use a Village Dashboard Tool to train the villagers regarding forest governance. This has proven to be quite relevant as villagers often perceive that organisations are coming to grab their land, instead of supporting them towards sustainable natural resource-based livelihoods.

³⁸ To avoid that all elected members resign from their position at the same time thereby causing for new elected members to start all over again, continuity and institutional memory could be ensured by replacing a third of half of existing members at the same election.

A *Participatory Forest Resource Assessment* is undertaken which assesses the tree species, their diameter and height, coverage, and takes into account the growth rate on which basis the wood stock in the Village Land Forest Reserve (VLFR) is calculated. This helps to determine the amount of wood which can be harvested over the next five years. The government has indicated that only trees with a minimum diameter of 75 centimetres at chest height are allowed to be harvested. Only two tree species are currently being harvested and sold for the timber to a private sector operator.

The support received is seen by partners and beneficiaries as being provided by WWF, not necessarily CEAI or TCO. The work on PFM is seen as transformational as earlier on the focus was on WMAs only and PFM is seen as a more feasible and timely approach to support community livelihoods. In 10 years the WMAs have hardly generated benefits for the communities while with PFM it happened within one to two years. It also opened up partner organisations to a wider scope of operation, either geographically or thematically, and it exposed all to a successful partnership and business model through PFM.

Community perceptions and reflections

Machemba village with approximately 2,900 residents was approached by the District Forest Department in 2007 regarding PFM; if they would conserve the area the District would bring benefits to the community. Initially the support was mainly focusing on wildlife management to address conflicts between the village and the neighbouring National Forest Reserve. Between 2007 and 2014 the District supported financially and technically the development of a land-use plan (including residential area, agriculture, livestock, forest reserve, cemetery, and land set aside for processing industry) and the establishment of a VLFR (4,612 hectares). No benefits were generated for the community during that time. The community started its collaboration with the PFM partnership in 2014 as the villagers and the District were not aware of the potential benefits from sustainable timber harvesting.

Picture 2 – Meeting with community representatives from Machemba village (with 6 members of the Village Council, the Chairman of the Village Natural Resource Committee, a member of the village game scouts, and a community member)



Since 2014 a first payment of TSh 9 million (approximately US\$ 4,100) has been received from a private operator to sustainably harvest trees. In line with the village management plan 75% is allocated to the Village Council, which in turn presents proposals to the village General Assembly for decisions regarding the actual allocation, 20% to the Village Natural Resource Committee in support of forest management, and 5% is donated to the District as a voluntary contribution and to improve the relationship. Staff employed to harvest the trees are partly from Machemba village. This village also seems to have a gazetted WMA of about 2,000 hectares which has not generated any benefits for the community yet. As the community would rather like to add the WMA to the VFR and to be allowed to also undertake joint SFM in that area, the responses to questions about the WMA were rather evasive or contradictory.

Pictures 3 to 6 – Machemba village surroundings (from left top clockwise: forest area burned for shifting cultivation; sign marking the VLFR; camp with staff undertaking the timber harvesting; wood log being cut into planks)



The community is very pleased with the support being received from the PFM partnership. They would like to receive continuing support as they are not “matured” yet and this could include further training regarding the implementation of the village management plan, application of their by-laws, how to come to most appropriate decisions, and furthermore the marketing of their timber and support towards additional activities to diversify their income such as beekeeping, how to add value to their natural resources before selling them, and maybe over time construct a lodge.

The Chingole WMA was gazetted in 2007 comprising four villages, including Marumba village. Main attractions are the forests, wildlife (elephant, leopard, lion, wild pig, sable antelope, buffalo,

warthog, greater kuddu, and eland) and the scenery. The latter includes both the landscape and geology including the *Jiure la Bwana* (or the *Stone of the Lord* – “as the slave master was sitting on the rock in the old days”).

Pictures 7 and 8 – View of Chingole WMA from “Jiure la Bwana”



In 2009 one overall village land-use plan was developed and approved (residential, agriculture, cemetery, social services including schools, WMA, hunting, beekeeping, fish farming, and land set aside for processing industry) and a WMA Natural Resources Zone Management Plan was developed. Before the existence of the WMA community members were cultivating within it, but after they were sensitised and trained they moved their plots outside the WMA. However, after the WMA had not generated any benefits for the majority of the community for a long time community members moved back in again. As the WMA is not well protected and political leaders allow cultivation inside the WMA for their personal gain it was not possible to observe any wildlife in the area. To illustrate the tensions amongst community members about the WMA and their perceptions further, in 2013 village game scouts patrolling the WMA burned down illegal camps, and subsequently the game scouts’ houses in the village were burned down without any repercussions. As a consequence the enforcement of rules and legislation has become a lame duck for now.

On an individual level some community members have benefitted from the WMA. With support from KfW offices were constructed in all four villages where community members received training in conservation, micro-economics and community village banks, fisheries and beekeeping. The fisheries and beekeeping projects are still going on and community members actively involved generate personal benefits.

The community representatives are appreciative of the support provided by WWF since 2013 in the form of providing training and allowances to village game scouts. They would like to receive support for scaling up the beekeeping and fisheries projects, training, and to engage an investor in support of photographic tourism and sport hunting.

Sautimoja village, with approximately 930 residents, did get involved in SFM with WWF and partners in 2014 as it was not clear for the District how to generate benefits. Their Village Land-Use Plan includes a residential area, and zones for agriculture, livestock, beekeeping, a forest reserve, cemetery, social services (such as a school, a hospital, a mosque, a soccer field) and land set aside for processing industry (e.g. to process timber). Their VLFR encompasses 21,966 hectares of which

10% is total protection area and the other 90% can be harvested based on a resource inventory undertaken. The VFR is being patrolled three times per month (and based on information received also by surprise patrol) by six village scouts. Before the PFM and patrols were undertaken poaching did happen but that does not seem to be the case any longer.

Picture 9 – Representatives of the Sautimoja village (with 3 members of the Village Council, Chair and Secretary of the Village Natural Resource Committee, and a community member)



Since 2014 a first payment of TSh 9 million (approximately US\$ 4,100) has been received through the District from a private operator to sustainably harvest trees. Of this income 65% is allocated to the Village Council, which in turn presents proposals to the village General Assembly (GA) for decisions regarding the actual allocation, 30% to the Village Natural Resource Committee in support of forest management and its actual allocation is also subject to approval by the village GA, and 5% is donated to the District government. Staff employed to harvest the trees are all from outside the village as Sautimoja residents were not available, were not qualified or had no interest. According to their five-year harvesting plan they should be able to generate TSh 500 million per year, subject to all species and available quantities finding a market.

The consultant was pleasantly surprised how young all representatives in this village were and their open mind and interest towards diversification of sources of income as they are dependent on the sale of timber only now. Ideas shared concerned:

- Marketing of other natural resources such as bamboo, honey, mushrooms, wild fruits, grasses to make baskets, and traditional medicine.
- Adding value to the natural resources by processing them instead of selling the raw materials.
- Development of photographic tourism with Inselbergs, caves, Baobabs, birds and wildlife (lion, elephant, sable antelope, duiker, baboons, hippos, and pangolins) as product.
- Allocating a certain percentage of the VLFR to possibly establishing a WMA over time.

The community representatives very much recognize their own limitations in understanding requirements, processing, marketing etc. and would very much appreciate support in exploring and developing these ideas.

This community is also very positive about the support received from the PFM partnership and indicated the need for continuation. This concerns the need for further training for example how to supervise the harvesting of timber and governance aspects such as record keeping, financial management (in general for a larger group and in detail for 4-5 people) and transparency, support regarding how to address crop damage by wild animals and the need for additional motor bikes in support of patrolling the area.

Pictures 10 and 11 – Harvested planks in Sautimoja’s Village Council office (with private sector operator and WWF’s Francis Rusengela) and **Inselbergs**



Wildlife Management Areas

The field visit did not focus nor did time allow for visiting WMAs. However, based on some brief discussions, it seems that in the Western corridor between the Selous and Niassa Game Reserves two of the WMAs are showing improved management while three WMAs are deteriorating as communities do not have the means to undertake anti-poaching activities. This is also a consequence of no benefits being generated from those WMAs. This differs hugely from WMAs in northern Tanzania where communities generate substantial income based on photographic tourism, which is also being paid directly to the communities. However, opportunities for photographic tourism are limited in the southern WMAs due to the vegetation being mainly Miombo woodland which limits visibility. Also, payments generated from hunting go to the government and of that only a small amount of approximately US\$ 1,500 per village is provided to the community (this seems to equal about 60% of the benefits allocated to communities, with the other 40% being allocated towards the management of the WMA).

It therefore requires a different approach to support WMAs in the Ruvuma landscape than in other parts of Tanzania. PFM and allowing communities to hunt for own use could offer a solution to this situation but would require a change in mind-set within the Wildlife Department. With positive results from PFM and VLFRs in Tunduru Region re-zoning of one of the WMAs as a pilot and demonstration site should therefore be considered. Such an approach would have to be facilitated very carefully though with both government representatives and community members as interests

in continuation and support for WMAs has diminished significantly due to the lack of benefits generated for the community at large, even more so in comparison with PFM. It may also require tailoring specific types of tourism based on what the landscape has to offer and which may not be well known to people such as Inselbergs, gorges, caves, Baobabs, birds (riverine and migratory species), elephant migration and cultural tourism.

Cross-cutting issues

A training on human resources, gender and livelihoods was given by the CEAI organised through the Tunduru office and included District Officials. Village Natural Resource Committees have a requirement to have at least five women elected out of 15 members in total. Some of the villages decided to add more women than men. Women are also motivated to become chair and are encouraged to be involved in demarcation processes.

The PFM approach ensures communities' rights through the establishment of VLFRs and the management of those areas by the communities themselves, and supports the conservation of those areas while generating benefits in support of communities' livelihoods through the sale of timber and employment. While these benefits could be enhanced this is a commendable achievement obtained in a relatively short time.

A climate change vulnerability assessment and adaptation strategy for the landscape was developed and was completed by March 2014. It includes specific strategies for miombo and coastal forests, montane habitat / Inselbergs, freshwater systems, species, and agricultural systems. Subsequently funding was made available (US\$ 70,000) for adaptation activities particularly concerning agriculture based on a work plan through June 2016. The duration of the field trip did not allow visiting those activities. Furthermore, the relevance and impact of climate change was being discussed during workshops and trainings when appropriate, including the relevance of conserving and managing the forests. In general the PFM work reduces the vulnerability for climate change by improving ecosystem health.

Challenges

Based on the field visit and discussions held a number of challenges were identified as follows:

- The organisation of communities with the support of MJUMITA and CBOs works well in some communities, more or less in others, and not well in other communities. This seems to be more subject to individuals involved rather than the approach as such. As this is very critical for the longer-term sustainability of the outcomes and impacts of the programme it would benefit from a systematic review of the approach in support of community organisation.
- The land-use planning with villages will need to be more detailed and focused as currently the lack of detail causes problems at times. The plans are put together by the land-use team of the District and due to limited budgets it is a challenge to organise the required meetings, transport, per diem etc. Such plans should also take into account growing population numbers and competing interests such as cattle herding, agriculture, forestry and conservation. This would require integrated land-use plans, however, the capacity to develop such plans at the district is lacking.

- The product on offer in the WMAs in the Ruvuma landscape is different from other parts in Tanzania for which reason it has been a challenge to generate significant benefits to date for the communities concerned. Also, WMAs have to share benefits across all villages within the WMA concerned, while beneficiation derived of PFM is organised by individual villages based on their respective VLFRs.
- Due to political issues, the interest of other parties (e.g. illegal loggers, pastoralist paying communities or their leaders), and boundary disputes it may be a challenge to achieve PFM in 15 villages in three years time.
- Benefits for the communities from the wood harvested could be increased subject to Forest Stewardship Council (FSC) certification (but such certified wood has a limited market in Tanzania and the big market outside Tanzania would need to be accessed) or through reduced emissions from deforestation and forest degradation (REDD+) but faces challenges such as a costly and complex verification process and fluctuations in the carbon pricing.
- Forest fires are caused by wild honey collectors, poachers, charcoal producers and vegetation being cleared for shifting cultivation. Particularly the intensity of late dry season fires are very high.
- As the partnership is relatively new it is still quite dependent on WWF / CEAI regarding the provision of technical and financial support. The partners would therefore possibly benefit from meeting a bit more regularly to discuss technical aspects of the approach and thematic issues in support of becoming a stronger team and less dependent of WWF over time.

Outcomes and Impacts

Initial impact has been achieved by securing 26,578 hectares under SFM / PFM, by creating temporary employment and generating first income from timber sales for the communities of Mchemba and Sautimoja (each approximately US\$ 4,100 in 2015), and increasing government income from timber trade. Based on the five-year management plan developed for Sautimoja village the income from selling timber could be increased significantly (up to 50X annually) assuming that (a) reliable market partner(s) could be identified and contracted with interest in harvesting all tree species being marketed.

WWF and partners made a strategic choice by promoting and supporting Community Based Forest Management (CBFM), and not Joint Forest Management (JFM). In the case of CBFM communities do get to retain 95% of the revenue generated from forest sales and 5% is granted to the district council as a service provision fee. Also, all contacts with buyers and supervision are handled by villagers. Joint Forest Management means owned by the government and a community under which only 40% of the benefits is granted to the community³⁹.

³⁹ Note: this should raise questions about the communities' fair share and the allocation of the government's share of 60% as they do not seem to allocate this back into the management of the areas concerned (not even partly). It also seems that under JFM payment from the private sector operator is made to the government, who in turn pays the community. This should in turn raise questions regarding communities' perception concerning the direct link between the natural resource managed sustainably and being sold and the actual revenue generated with it. Altogether a good reason this model is not supported.

The METT analysis⁴⁰ indicated in general “that in areas where WWF is active, there seems to be some improvement in management effectiveness, in particular so for the WMAs and VLFRs in the Ruvuma landscape in Tanzania.” While no data are available to support this yet it is anticipated that by securing the habitat and patrolling the VLFR wildlife numbers would increase as well.

An important output that was initiated and has been supported by the CEAI has been the signing and implementation of the MoU between Tanzania and Mozambique to address the transboundary illegal timber trade. The actual outcomes and impacts to be achieved under this MoU are subject though to the actual commitments by governments concerned regarding their effective implementation. Due to the lack of data it was not possible to assess if that is the case already, but anecdotal information seems to suggest that the illegal off-take of timber has come down. Also, Tanzanian and Mozambican government representatives have been meeting without much WWF technical and financial support, and Tanzania has undertaken 14 court cases concerning illegal timber movements of which five were attended by Mozambican officials as witnesses. The MoU is one critical component of the support that was provided by the CEAI regarding the development of a much needed transboundary approach for the Ruvuma landscape.

Interestingly, four villages which originally wanted to be part of the PFM approach were not interested later on due to political interference and individuals investing in illegal harvesting offering money to the communities concerned. However, as they are now seeing the benefits being provided to the communities of Mchemba and Sautimoja they seem to be changing their position yet again. Therefore it seems that the sharing of these initial successes by community members is a very powerful mechanism to scale up the desired outcomes and impacts.

It is also noteworthy that the scaling up of PFM to Tunduru Region has taken only about one to two years for local communities to achieve legal ownership of their Village Land Forest Reserve (VLFR) and secure buyers for timber in comparison with 4-5 years in Kilwa District (also as the local government there did not want to allow communities to sell forest products). This was possible because of the PFM partnership approach, lessons from Kilwa, local government support, earlier sensitisation of those communities by WWF and PFM preparatory work by Tunduru District government, and the skills of field staff.

The Strategic Environmental Assessment (SEA) which is being undertaken with the Ruvuma and Mtwara Regions in Tanzania aims to mainstream environmental considerations and cumulative effects in the early planning stages. This has become rather critical given the major investments foreseen in this landscape. As the capacity at local government level is limited the appropriate application will require long-term training. The relevance of financial and technical support provided by the CEAI to TCO in this process is well recognized and considered relevant. Outcomes and impacts resulting from this strategic engagement with the government will be subject to the actual application of the tool.

⁴⁰ WWF-CEAI, UNEP WCMC. 2015. *Protected Areas in Coastal East Africa, Management effectiveness and outcomes for species, habitats and livelihoods.*

Finally, a general value addition credited to the CEAI and its well qualified staff is the capacity that has been build in COs, strengthening both (support) programmes and individuals, including the continuation and strengthening of for example the forestry programme in TCO and the Ruvuma programme. This should hopefully contribute over time to more outcomes and impacts in this landscape.

Sustainability

No sustainability has been achieved yet, as was to be expected. This is due to combination of reasons such as the PFM approach in this landscape is relatively new, the WMAs have only been marginally successful regarding their income generating activities, the area is large, community organisation is complex and often political, and the issues the programme is trying to address are challenging and engaging people in new approaches and gaining their trust does take time. With the successful application of PFM in two villages in Tunduru Region which are generating benefits for communities it is expected though this will have made obtaining the interest and engagement of other communities easier assuming the appropriate market linkages will be able to absorb the volume of timber produced.

As the PFM partnership is relatively new it is still quite dependent on WWF / CEAI regarding the provision of technical and financial support and would require specific efforts to make the partners operate more independently over time. The partnership MoU and its further operationalisation have already been instrumental in this respect. For now, for two of the partners continuation of the operation in Tunduru and other regions is subject to the availability of funding and does require due consideration how to address this when current funding ends. Another need is to discuss monitoring and evaluation aspects of the work including a few simple indicators, the need for baseline data and how and when to collect data most effectively. This should concern both biological and socio-economic aspects.

Two other critical aspects of sustainability are community organisation and their capacity to sustainably manage the natural resources which generate livelihood benefits and how best to optimise them. Given the mixed results of community organisation and the requests by all communities interviewed for ongoing support more work is to be undertaken before the communities will be able to operate on their own (e.g. with the appropriate financial and technical capabilities to harvest timber themselves, to explore and manage other sources of income beyond PFM). This concerns the ongoing need for sensitisation, organisation, and capacity building of communities in areas prioritized in order to support zonation and clear demarcation of areas, to address illegal activities, and to provide alternative income generating strategies.

Another measure in support of longer-term sustainability is if and how much of the benefits generated from a natural resource are allocated back into the actual management of these resources. Initial investments may have to be provided from outside sources in support of “kick-starting” an approach, however, real sustainability will only be achieved if the management is financed over time out of the benefits generated. In this respect it is commendable that the communities allocate a percentage of their income to the Village Natural Resource Management Committee. In contrast, it is worrying to note that the government hardly does seem to allocate

financial resources in support of natural resource management and does request further support with for example anti-poaching, (district vehicles, intelligence gathering, storage etc.) and biodiversity conservation research, visitor centres in WMAs, while they receive the majority of income generated from sport hunting in WMAs. That is not an approach in support of longer-term sustainability.

Finally, all of the achievements to-date and anticipated could be in vain due to (potential) large investments foreseen in this landscape concerning for example oil and gas exploration and exploitation, mining and infrastructural developments by for example opening up the area or jeopardizing connectivity. This is not to say that all developments should be stopped, rather planned and integrated keeping other equally important interests in mind. The establishment of the Southern Development Forum and interest in and development of the SEA for Mtwara and Tunduru Regions are anticipated to address these concerns.

Pictures 12 through 15 – Examples of new and existing threats to the Ruvuma landscape (with from top left clockwise: major road upgrade on the new and to be tarred road from Masasi to Songea; confiscated logs at the border customs office at Mtambaswala; major new road under preparation to connect Masasi to the border town of Mtambaswala and the Unity Bridge into Negomano, Mozambique; charcoal for use in towns and cities.)



3. RECOMMENDATIONS

Independent from ones personal opinion about this, the strongest incentives for conservation are often not determined by nature's intrinsic value but by the (financial) benefits derived thereof. This

is in particular the case for people living with those natural resources and being dependent on them for their livelihoods. Such benefits should be clearly and directly linked to the natural resource base and should be partly re-invested in the sustainable management of those natural resources. It would also be critical that they support the livelihoods of the majority of the people within a community at least at a minimal level in support of “social fencing” the area – often seen as the strongest form of protection – and to withstand the need for alternative uses on the same land which are destructive, either by the community or parties from outside.

Building on the achievements to date and observations made during the field visit and put in the general context of the requirements for sustainable natural resource management shared above, the following recommendations are provided. These are relevant for PFM and (pilot / demonstration) WMAs but will require tailor made responses subject to the actual circumstances and opportunities at a particular site.

1. Review the successes and failures of **the process of community organisation**, and based on it strengthen the approach. This could be undertaken by the PFM partner organizations and / or with outside advisor(s). It should consider for example the capacity needed to achieve longer-term sustainability of the approach and the process steps needed to ensure appropriate check and balances within the community entities including regular follow-up. It should at least ensure that the **communities are organised** in democratic, representative, transparent and accountable entities as this is a critical aspect if to ensure the whole community receives incentives and shares in the benefits obtained from sustainable natural resource management. This should concern the community institutions established already and newly to-be-established ones.
2. Explore and support the **optimisation of benefit generation** for the communities concerned from **natural resource-based enterprises** – in support of generating sufficient livelihood benefits for most community members concerned and thereby help to tip the balance towards conservation and the sustainable management of natural resources – by a combination of:
 - a. ensuring that each NR-based enterprise is meeting the triple bottom-line of ecological integrity, fair and equitable socio-economic development and benefits, and being viable businesses as without it there will be no longer-term sustainability;
 - b. market optimisation by selling more than the current two tree species under PFM and ensuring market linkages can absorb the volumes proposed under the harvesting plans, or by meeting FSC criteria and ensuring access to FSC markets. Also, as saw timber normally represents only 30% of the volume of a standing tree explore uses for the other 70%, or parts thereof, for other purposes such as sustainably harvested firewood or charcoal?;
 - c. diversifying natural resources and type of activities from which benefits are derived (such as game farming, tourism, harvesting of different natural resources; to be supported by the appropriate zoning in their Village Land-Use Plan). This should help avoiding becoming too dependent on one source of income which could be subject to unforeseen changes over time;
 - d. adding value to the product being sold such as planks instead of trees, or processed honey, wild fruits or baskets instead of the raw material;
 - e. addressing the legal and governance issues concerning the government receiving the majority of income from sport-hunting while the communities are the actual custodians of the natural resources. This concerns the limited direct contributions to communities from

hunting in WMAs, which differs significantly from photographic tourism which is, at least not yet, very feasible in the WMAs in Southern Tanzania; and,

- f. ensuring the communities do receive payments directly instead of through the government. Given its complexity and relevance, work on natural resource-based enterprises would require a concerted and dedicated effort by staff or a facility with specialised skills in this type of work.
3. Encourage full engagement with the principle of needing to **re-invest in the sustainable management of the natural resource base** from which the benefits are obtained. Given the longer-term sustainability of the approach aimed for this should be financed (over time) from the income being generated, as part of a natural resource-based business approach. This concerns both the income the government receives and the share of the community, and will most likely require engaging with departments other than forestry and across levels (and engaging TNRF and their forums which discuss policies may be helpful in this respect).
4. The **selection and prioritisation of communities to work with** is most likely being guided by multiple criteria, however, at least one important criterion should be how this helps to ensure the integrity of corridor and / or migratory routes for key species based on appropriate biological data.
5. Guided by the needs identified under the previous recommendations **enhance and strengthen the PFM partnership** with all parties involved and discuss the feasibility for, and if so how to add another 13 communities over the next two years (thereby keeping in mind that (i) if to achieve longer-term sustainability it will be critical to focus initially more on the quality of the approach instead of the quantity of deliverables; (ii) exchange visits or study tours between communities could be helpful in this respect, and (iii) strengthen the monitoring of biological and socio-economic aspects.
6. Guided by the needs identified under the previous recommendations **enhance the capacity of the WWF Tunduru office** and appoint as soon as possible a full-time Ruvuma Landscape Coordinator.
7. Given the scale and complexity of the work concerned in this landscape and the growth anticipated discuss and reconsider the **financial arrangements and authority for payments** under which the Tunduru office operates and make the **Tunduru office bank account active** again as soon as the circumstances allow, all in support of enhancing implementation efficiency.
8. Ensure **continuation of the work** initiated under the Tanzania-Mozambique MoU regarding the illegal trade of timber, the implementation of the Climate Adaptation Strategy, the further development of the Southern Development Forum, application of the Strategic Environmental Assessment, and implementation of the Ruvuma Landscape Programme Strategy.
9. **Address specific issues** identified such as the further enhancement of gender aspects, minimizing forest fires, increase of the population, and improving the capacity for integrated land-use planning and SEAs at local government level.

10. Consider potential contributions from the **WWF-CARE partnership** under development to address several of the recommendations listed, and when needed **explore additional partnerships or engage advisory services**.

4. CONCLUSIONS

The provision of technical and financial support and guidance by the CEAI to TCO regarding the implementation of work in the Ruvuma landscape (and for that matter to the WWF Mozambique Country Office) has been significant, has helped to focus on this (transboundary) HCVA, and is being recognized and much appreciated.

The consultant commends the CEAI with establishing and rolling out an effective and successful PFM partnership with partners most critical to achieve efficiently the establishment of VLFs and the generation of benefits thereof for the communities concerned. These achievements hold merit on their own, but in comparison with WMAs these achievements are significant and timely. This is not to say that WMAs do not function and that all should be replaced with PFM rather than the approach and efforts required should be reconsidered.

It is expected that both PFM and WMAs would be more successful through enhancing the organisation of communities and increasing the generation of income from their natural resource-base through the diversification of NR-based enterprises and the optimisation of benefits for communities. This will require, however, significant and consistent efforts and support as in this kind of work there are no quick wins when aiming for longer-term sustainability, and does also require that part of the income generated be allocated back into the management of natural resources. It is therefore advised to focus initially more on the quality of the approach instead of the quantity of deliverables, thereby laying a solid foundation to scale up over time.

In general, the move from a project to a programme approach in this landscape is recommendable. Given its relevance from a biodiversity perspective and natural resources-based livelihoods and the large-scale economic developments anticipated a SEA and a Ruvuma Landscape Programme Strategy are under development. Both are critical to ensure continuity and sustainability of the work in this HCVA and regarding collaboration between TCO and MCO (and related needs regarding staff and other resources).

The consultant hopes that this report on the field trip to the Tanzanian side of the Ruvuma landscape, its findings and the resulting recommendations will support the CEAI and WWF to achieve real transformational change in the transboundary Ruvuma landscape for years to come, as the conservation community at large is in need of great successes.

Annex XVII – Achievements against targets set

| Goals & Objectives | CEAI Indicators | Baselines | FY 15 | | Achievement | Comment |
|--|---|---|--|---|--|---|
| | | | Target | Result | | |
| Component 1: | Governance and Empowerment | | | | | |
| Sub-component 1.1: | Addressing governance failure by strengthening institutions | | | | | |
| Objective 1.1: By the end of FY15, national and regional institutions function to ensure that natural resource governance regimes (public and private) across CEA are more democratic | Level of natural resources governance in three CEA countries | NR Governance in CEA has weak institutional mandates and arrangements | At least 10% improvement in NR governance performance | Applied in all three countries with only repeat in Tanzania | Not possible to assess | It is hard to make a judgement regarding %-wise level of improvement based on the existing tool and information |
| Sub-component 1.2: | Mainstreaming the environment in policy making and regulatory frameworks | | | | | |
| Objective 1.2: By the end of FY15, policies, and regulatory frameworks explicitly account for environmental costs and benefits | Number of key policies and laws addressing environmental issues revised and adopted by the respective Governments | Zero | At least 5 NR and/or development policies/strategies expressing environmental costs and benefits are developed or strengthened in CEA region | 30 in total (Kenya 21, Mozambique 6, Tanzania 3) | Over achieved its target five times | |
| Sub-component 1.3: | Empowering Civil Society | | | | | |
| Objective 1.3: By the end of FY15, Government policies, plans and programmes take into account civil society's concerns, and interests (related to natural resources) at national and regional level | Number of cases where CSOs are demonstrably influencing Government policies and decisions, changing the course of Government action | Zero | At least 3 cases where CSOs have demonstrably influenced Government policies and decisions, changing the course of Government action | At least 13 cases across all three countries and regionally | Over achieved its target more than three times | |

| Goals & Objectives | CEAI Indicators | Baselines | FY 15 | | Achievement | Comment |
|--|--|--|--|--|---|---|
| | | | Target | Result | | |
| | Number of national CSO coalitions / platforms formed and strengthened, as evidenced by active engagement and lobbying activities | Zero | At least 3 new CSO coalitions formed and active, as evidenced by active engagement and lobbying activities | 14 cases in total (Tanzania 4, Mozambique 3, Kenya 7) | Over achieved its target over three-and-half times | |
| Sub-component 1.4: | Enabling Responsible Trade and Investment | | | | | |
| Objective 1.4: By the end of FY15, governments and private sector apply appropriate standards to trade and investment decisions including the implementation and enforcement of EIAs | Number of policies, plans and programs subjected to SEA | Zero | At least 3 Government policies, plans and programmes subjected to full SEAs | In Kenya about 45 SEAs have been scoped, of which 20 have been undertaken, of which 11 have been finalized and approved; in Tanzania SEA for Ruvuma landscape is supported | Over achieved its target over two-and-a-half to five-and-half times | Overachievement subject to interpretation of "subjected" to full SEAs i.e. if that does mean to include approval or not |
| | Number of new Government or private sector guidelines on responsible investment in key sectors adopted | Variable adoption (fair to good) of existing guidelines in the three countries | At least 3 new guidelines and/or tools for responsible investment adopted by corporate sector | 6 guidelines were developed having an impact in one way or another on corporate sector operations | Over achieved its target | The six guidelines are not as strict as per the target definition |
| Component 2: | Responsible Trade | | | | | |
| Component 2.1 - Timber and Sustainable Forest Management | | | | | | |
| Sub-component 2.1.1 | Good Forest Governance | | | | | |

| Goals & Objectives | CEAI Indicators | Baselines | FY 15 | | Achievement | Comment |
|---|---|--|---|---|-----------------------------------|--|
| | | | Target | Result | | |
| Objective 2.1.1: By the end of FY15, CEA countries have developed and are implementing an agreed long-term forestry trade and investment plan/strategy that is regionally harmonized in terms of economics, legal/regulatory aspects, benefit sharing, etc. | Number of transboundary/regional agreements on sustainable forestry governance and trade signed and operationalised | Zero | 3 new agreements | 4 transboundary trade-related agreements | Over achieved its target with 33% | Additionally a MoU between CEA countries and China was drafted but not signed yet |
| Sub-component 2.1.2 | | | | | | |
| Sustainable Forest Management and Forest Certification | | | | | | |
| Objective 2.1.2: By the end of FY15, Sustainable forest management and forest certification in Kenya, Tanzania and Mozambique has led to the following results: * Area under SFM/PFM increased by an additional 500 thousand hectares * Increased benefits to local communities | Area (hectares) under under SFM as evidenced by certification or equivalent | 1,886,491 hectares across all three countries | 500,000 hectares additional | A total of 376,893 hectares additional since 2011 of which around 1/3 FSC certified | Met target for 75% | Original target was 1 million hectares additional |
| | Level of benefits to dependent population from sustainable forest management in priority landscapes | Limited benefits in the Ruvuma Landscape. Population mainly dependent on Agriculture | Benefits from sustainable forest management to dependent population in priority land/seascapes notably increased (>10%) | Communities in Tunduru have been paid for labour and received cash for the timber harvested (two villages received each about US\$ 4,100 for the timber). | Not possible to assess | Not possible to assess due to formulation of the target in combination with lack of actual baseline data (instead of the actual achievement) |
| Sub-component 2.1.3 | | | | | | |
| Responsible Timber Trade | | | | | | |
| Objective 2.1.3: By end of FY15, an increased proportion of CEA timber exports (Indicator: >10% reduction in illegal trade) from CEA (focus Tanzania and Mozambique) are in conformity with legal regulations and guidelines for sustainable forest management and trade | Level of illegal timber trade in Tanzania and Mozambique | Tanzania: (up to 90%); Mozambique (up to 90%) | Measurable reduction (at least 10%) in illegal timber trade | Difficult to obtain accurate data due to illegal nature of the activities; assessing status indirectly indicates improvement | Not possible to assess | Not possible to assess due to formulation of the target in combination with lack of actual baseline data (instead of the actual achievement) |

| Goals & Objectives | CEAI Indicators | Baselines | FY 15 | | Achievement | Comment |
|---|--|--|---|--|---|---------|
| | | | Target | Result | | |
| Component 2.2 | Sustainable Shrimp Management | | | | | |
| Objective 2.2: - By the end of FY15, both shallow and deep water shrimp fisheries management plans (incorporating EAF, RBM and MSC principles) are finalized and adopted, safeguarding sustainability and progress towards eventual MSC certification | Number fisheries management plans applying EAF, RBM and/or MSC standards | Zero | Two management plans developed and approved (both deep and shallow water shrimp fisheries) with standards in line with MSC criteria | One plan developed (shallow water shrimp) and one under development; The BMT index for the shallow-water shrimp has increased from 0.36 to 0.66, and from 0.39 to 0.56 for deep water | Achieved target for approximately 50% | |
| | Income and value of shrimp fisheries to local communities in Mozambique | 2010 data Mozambique: deep water industrial shrimp: 1,261 Ton, US\$ 6,305,000; shallow water industrial shrimp: 5,654 Ton, US\$ 45,252,000; shallow water artisanal shrimp: 4,320 Ton, US\$ 21,600,000 | Economic benefits from sustainable shrimp fisheries to local communities measurably increased (> 10%) | 2014 data Mozambique: deep water industrial shrimp: 1,718 Ton, US\$ 6,597,000; shallow water industrial shrimp: 4,037 Ton, US\$ 24,742,000; shallow water artisanal shrimp: 3,166 Ton, US\$ 12,154,000 | Did not meet target at all: shallow water artisanal shrimp fishery catch had gone down by 28% by 2014 compared with 2010 data while the total value had decreased by 45% due to also a reduced price for shrimp on the market | |

| Goals & Objectives | CEAI Indicators | Baselines | FY 15 | | Achievement | Comment |
|---|--|---|--|--|--|--|
| | | | Target | Result | | |
| | Health status of shrimp stock | Deep shrimp fishery stocks underexploited, stable but with some fluctuations; shallow water shrimp stocks overexploited | The recovery of the tropical shrimp fishery in Mozambique is showing a positive trend | The first signs of recovery are beginning to show | Achieved target for approximately 50% | Would require firmer data to confirm the positive trend for all shrimp fisheries |
| Component 2.3 | Sound Tuna for Sustainable Development | | | | | |
| Objective 2.3: By the end of FY15, SWIO States are increasingly controlling and benefiting from a reformed tuna fisheries governance regime | Level of sustainability of tuna fisheries | Bigeye tuna: fully exploited; yellowfin tuna: overexploited; Albacor tuna: overexploited | All tuna stocks fished at sustainable levels (no over-exploitation) | Three of the four tuna species are fished sustainably, yellowfin is being overfished and subject to overfished | Achieved target for 75% | Baseline status is incomplete and inconsistent regarding years used. Achievement based on info included in report |
| | Economic benefits from tuna fisheries by WIO states | 2010 data license fees: Kenya US\$ 1,102,000; Tanzania US\$ 1,500,000; Mozambique US\$ 1,333,000 | Economic benefits from tuna fisheries by WIO states increased by at least 10% | 2014 data license fees: Kenya US\$ 2,034,147; Tanzania US\$ 2,050,000; Mozambique US\$ 1,199,000 | License fees increased 37% overachieving the target with 27% | Additional financial and employment benefits are expected from for example provision of port services (Mozambique) and tuna processing plant (Kenya) |
| | Effective regional fisheries governance system, as measured by existence of a regional fisheries accord, national fisheries management plans, and functioning MCS system | Not existing | At least 50% of the SWIO states commit to implement an agreed SWIO Regional Fisheries Accord | The process of development of a SWIO Fisheries Accord for shared stocks was endorsed by all the SWIO countries | Over achieved its target one time | |

| Goals & Objectives | CEAI Indicators | Baselines | FY 15 | | Achievement | Comment |
|---|--|---|--|---|--|---------|
| | | | Target | Result | | |
| | | | At least 3 national tuna fisheries management plans developed, adopted and under implementation by Governments | All the CEAI countries (Tanzania, Kenya, Mozambique and Madagascar) are now implementing their respective national tuna fishery management plans | Over achieved target with 1 plan (33%) | |
| Component 3: Securing High Conservation Value Areas | | | | | | |
| Sub-component 3.1: Pro-poor conservation, protected area management and Community Based Natural Resources Management (CBNRM) | | | | | | |
| Objective 3.1: By the end of FY15, protected areas, community and private management areas in 6 out of 9 CEA priority landscapes / seascapes are effectively managed, and deliver equitable benefits for the local population | Number of new protected areas and CBNRM areas in CEA priority land / seascapes | 134 protected areas in Coastal Tanzania; 24 in Coastal Kenya; 41 conservation areas in Mozambique | At least 2 new protected areas and 5 new CBNRM areas established in CEA priority land/seascapes | Additional 7 WMAs and 2 VLFRs in Tanzania (Ruvuma Landscape) and 7 VLFRs (Kilwa); 2 Forest Reserves in Kenya (Dzombo Hill Forest and Boni Forest); 1 seascape and 2 sanctuaries in Mozambique (P&S) | Over achieved targets one-and-half to over two times | |

| Goals & Objectives | CEAI Indicators | Baselines | FY 15 | | Achievement | Comment |
|--|--|--|---|--|--------------------------------|---|
| | | | Target | Result | | |
| | Management effectiveness of protected areas, community and private management areas | See for detail FY15 KPI performance report | Overall Management effectiveness of protected areas, community and private management areas measurably improved (>10%) | See for detail FY15 KPI performance report | Not possible to assess | Based on data available (certain areas had no baseline and results second survey showed variable results) and as per summary METT report target was difficult to assess |
| Sub-component 3.2 | | | | | | |
| Create climate resilience and adaptation | | | | | | |
| Objective 3.2: By the of FY15, at least five (5) out of nine (9) priority landscapes / seascapes are implementing climate change adaptation components in their programmes | Number of land and seascape vulnerability assessments completed | None (July '11) | At least five (5) landscapes incorporate and implements climate change adaptation strategies in their projects and programmes | Ruvuma, Lamu, RUMAKI all 100%, Qurimbas and P&S 60% | Met target for about 85% | |
| | Number of adaptation plans & strategies completed | None (July '11) | | Ruvuma 100%, Lamu and RUMAKI both 80%, Qurimbas and P&S 0% | Met target for about 50% | |
| | Number of landscapes that have developed and are implementing climate change adaptation strategies | None (July '11) | | Ruvuma, Lamu, RUMAKI all yes, Qurimbas and P&S no | Met target for 60% | |
| Sub-component 3.3: | | | | | | |
| Improved Land and Resource Use Decision making in High Conservation Value areas | | | | | | |
| Objective 3.3: By the end of FY15, spatial planning tools and approaches (GIS, databases, sensitivity maps etc.) have proactively influenced equitable and sustainable decision making on land and natural resource use in HCV areas in all priority 1 landscapes and seascapes in CEA countries | Number of landscapes and seascapes effectively applying land use and management plans | Zero | Landuse and management planning tools applied in at least 5 priority landscapes and seascapes | Was applied in 6 areas across all three countries | Over achieved targets with 20% | Overachieved target but due to formulation not clear if it did meet the objective |

| Goals & Objectives | CEAI Indicators | Baselines | FY 15 | | Achievement | Comment |
|--|---|--|---|---|-------------------------------|---------|
| | | | Target | Result | | |
| Sub-component 3.4: | Sustainable Financing for Conservation | | | | | |
| Objective 3.4: - By end of FY15 sustainable financing mechanisms (including Trust Funds, REDD+ and other PES) increasingly contribute to the management of protected areas, community and private management areas within CEAI priority land/seascapes | Number and value of operational trust funds for conservation | One (1) Eastern Arc Mountains | At least 1 new conservation Trust Fund operational and funded | Trust fund (BioFund) in Mozambique further operationalised and donor pledges confirmed; Marine Legacy Fund for Tanzania still being discussed as part of new World Bank programme | Achieved target | |
| | Number and value of ongoing PES projects (including Water, REDD+ and Blue Carbon) | One (1): pilot Water PES (Uluguru Mountains) | At least 2 new PES projects operational and sustainable financing base for HCVA increased | A Project Design Document (PDD) has been developed and used to market carbon credits for Dzombo forest, in Kwale District; Blue carbon project in Zambezi now part of new UNEP Blue Forests project | Achieved target for about 50% | |

Annex XVIII – Overall Evaluation Table

- **Very Good/4:** The project/programme embodies the description of strong performance provided below to a *very good* extent.
- **Good/3:** The project/programme embodies the description of strong performance provided below to a *good* extent.
- **Fair/2:** The project/programme embodies the description of strong performance provided below to a *fair* extent.
- **Poor/1:** The project/programme embodies the description of strong performance provided below to a *poor* extent.
- **N/A:** The criterion was *not assessed* (in the 'Justification,' explain why).
- **D/I:** The criterion was considered but *data were insufficient* to assign a rating or score (in the 'Justification,' elaborate).

| Rating/Score | Description of Strong Performance | Evaluator Rating/ Score | Evaluator Brief Justification |
|--------------------------|--|-------------------------|--|
| Relevance | The project/programme addresses the necessary factors in the specific programme context to bring about positive changes in conservation targets – biodiversity and/or footprint issues (i.e. species, ecosystems, ecological processes, including associated ecosystem services supporting human wellbeing). | 3/4 | Key habitat and species targets for the region were not included in the programme design, without a clear explanation, but the chosen conservation targets (timber, tuna, shrimp) are addressed comprehensively. |
| Quality of Design | 1. The project/programme has rigorously applied key design tools (e.g. the WWF PPMS). | 4 | Programme follows PPMS accurately, including (later on) the development of Theories of Change |
| | 2. The project/programme is hitting the right 'pressure points' to meet necessary and sufficient conditions for success | 4 | Within the limitations of the relevance (see above), the programme has been focusing on the right issues guided by Theories of Change and a partnership strategy, which for GIs that strive for behavioural change is important. |
| Efficiency | 1. Most/all programme activities have been delivered with efficient use of human & financial resources and with strong value for money. | 4 | The CEAI operated with a lean team, annual budget increased with 70% while the annual expenditure doubled with just over 50% allocated for CEAI work through COs. CEAI developed the efficient basket funding model and related reporting. It addressed efficiently challenges outside its own control. Roles and responsibilities were further clarified. |
| | 2. Governance and management systems are appropriate, sufficient, and operate efficiently. | 4 | SHG / SET working well; CEAI management assessed as good and transparent and generally with high level of networking and facilitation skills (important given the high number of stakeholders to deal with, internally and externally) |

| Rating/Score | Description of Strong Performance | Evaluator Rating/ Score | Evaluator Brief Justification |
|----------------------------|---|-------------------------|--|
| Effectiveness | 1. Most/all intended outcomes—stated objectives/intermediate results regarding key threats and other factors affecting project/programme targets—were attained. | 3/4 | Average CEAI KPI score is 6.1 with work on sustainable shrimp management (4), HVCAs (5.38), and SFM (5.5) lagging for obvious reasons. This is a commendable improvement against 5.6 in December 2013. |
| | 2. There is strong evidence indicating that changes can be attributed wholly or largely to the WWF project or programme | 4 | Confirmed by all stakeholders (see also nr 2 under impact) |
| Impact | 1. Most/all goals—stated desired changes in the status of species, ecosystems, and ecological processes—were realised. | 2/3 | Information and data start to indicate impact; however, the score for this description is still relatively low for now due to the fact that the programme was designed with a 15-year horizon. The first phase of five years has provided a solid foundation to deliver more impacts in years to come. One could only reasonably expect limited impact yet to date. |
| | 2. Evidence indicates that perceived changes can be attributed wholly or largely to the WWF project or programme. | 4 | While it is impossible to provide hard evidence, based on interviews with both WWF staff and partners the consultant concludes that it is very plausible to attribute achievements to the CEAI (see also section 3.3.5 on What if there would not have been a CEAI?). This is also supported by the findings from the stakeholders' feedback report. |
| Sustainability | 1. Most or all factors for ensuring sustainability of results/impacts are being or have been established. | 3 | The CEAI understands well its own time-limited mandate and its role in supporting partners to obtain sustainability. Set within its overall 15-year timeframe the programme has achieved what could have reasonably been expected at this stage. Also, the CEAI secured ongoing and increased financing by NOs for the region, and continuity of WWF's operations in the region during challenging times. Note: Sustainability depends for now largely on how WWF will consider and guide the transition of the CEAI into the COs. |
| | 2. Scaling up mechanisms have been put in place with risks and assumptions re-assessed and addressed. | 3/4 | Work on for example Green Economy and SEAs has resulted in requests from other countries for support, and SFM could be scaled up over next few years. Risks and assumptions are reviewed and addressed through (semi-)annual reports. |
| Adaptive Management | 1. Project/programme results (outputs, outcomes, impacts) are qualitatively and quantitatively demonstrated through regular collection and analysis of monitoring data. | 3/4 | Monitoring system is working well, but could still be improved regarding incorporation of LGHR aspects and more accurate formulation of objectives, targets and indicators. Good quality of |

| Rating/Score | Description of Strong Performance | Evaluator Rating/ Score | Evaluator Brief Justification |
|--------------|--|-------------------------|--|
| | 2. The project/programme team uses these findings, as well as those from related projects/ efforts, to strengthen its work and performance | 4 | reports. The team's capacity for regular self-reflection and -evaluation in combination with making time to reflect and agree on how best to address recommendations from reviews through management responses is seen as one of its strengths. Findings are reflected in annual work plans and (revised) SPs. The CEAI's response to accommodate specific donor requests, developing and testing new tools, applying its geographical boundary flexibly, and addressing challenges in two COs are all clear signs of high adaptive capacity. |
| | 3. Learning is documented and shared for project/programme and organisational learning | 3 | This area has been developed over time particularly for internal use and guided by a KM framework, but could be expanded on by adding more systematically learning and sharing with partners and making this more an integral part of the communications approach. |