EVALUATION OF THE DAVID AND LUCILE PACKARD FOUNDATION GULF OF CALIFORNIA SUBPROGRAM

Summary of Results Chains Developed and Used for Evaluation

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PURPOSE OF THIS DOCUMENT

The Gulf of California ecoregion is incredibly rich in biodiversity. The Gulf harbors more than 4,000 species of marine invertebrates, 34 species of marine mammals, five species of marine turtles, over 900 species of fish, and 530 species of birds. In addition, it is one of the most productive areas on Earth, sustaining numerous commercial and artisanal fisheries.

When the Packard Foundation's Gulf of California Subprogram (GOC) began making grants in the mid 1990's, its goals were to support the establishment of a network of protected areas and to conserve coastal sites critical to the marine ecosystem. After a 2006 evaluation, the Subprogram developed a new five-year strategy with the goal of assisting Mexican business, civil society, and government in efforts to chart a course to sustainability that would conserve the region's marine richness and productivity. To achieve this goal, the Subprogram focused on three main strategies:

1. Support Mexican efforts to reduce the environmental impact of the shrimp trawl fishery while maintaining or enhancing its economic benefits.
2. Assist in fisheries sustainability improvements and the conservation of marine resources in Marine Protected Areas and other conservation priority areas.
3. Help Mexico to maintain the ecological integrity of key coastal sites.

In 2010, the Packard Foundation commissioned Foundations of Success (FOS) to conduct an evaluation of the Gulf of California Subprogram that focused primarily on the period 2006-2010. We based this evaluation on the retrospective development of results chains (or theories of change) that explicitly link funding strategies to specific short-, medium-, and long-term outcomes through a series of underlying assumptions (see Appendix I for a more in-depth description of results chains). In this way, we could deconstruct expected pathways to anticipated results and also analyze the extent to which these expected results were actually achieved. In essence, we used this tool as a framework to search for evidence that Packard Foundation support indeed contributed to the reduction of key threats and the conservation of important biodiversity targets in the Gulf.

This document is meant to be a stand-alone summary of the results chains developed and used for the evaluation (Evaluation Summary Report is available at the Packard Foundation's Gulf of California subprogram webpage). In particular, it shares the results chains that FOS developed in collaboration with Packard Foundation program staff and grantees. Results for each factor in each results chain were obtained through a combination of reviewing existing data and documents, interviewing key informants, and incorporating results of an online survey. These results chains cover the following themes:

- MPAs and small-scale fisheries strategies
- Strategies to reduce the impact of industrial shrimp trawling
- Site-based conservation
- Capacity building
- Overall role of the Packard Foundation in the region

The information presented in this document is based on progress through late 2010 and early 2011. The evaluation results have since fed into the Packard Foundation's refreshed 2012-2016 strategy. In addition, there has been more progress since 2011 on some of the expected results. Thus, these results chains do not fully represent the current situation of results and grant making strategies in the region.

1. RESULTS OF PACKARD GOC SUBPROGRAM SUPPORTED INITIATIVES

In this chapter we describe progress, challenges and lessons learned related to the GOC Subprogram's three programmatic areas:

1. MPAs and small-scale fisheries strategies
2. Strategies to reduce the impact of industrial shrimp trawling, and
3. Site-based conservation strategies

1.1 MPAS AND SMALL-SCALE FISHERIES STRATEGIES

Based off the Subprogram's 2006 logic model and adjustments made to its support since then, there are five basic categories of strategies related to MPAs and small-scale fisheries:

1. Design an MPA network and support declaration of new MPAs
2. Strengthen management of MPAs
3. Strengthen law enforcement in MPAs
4. Strengthen financial sustainability of MPAs
5. Support protection of vaquita and strengthen fisheries management in the upper gulf
6. Strengthen fisheries management outside of MPAs

This section discusses the theory of change, progress, challenges, and lessons learned within these six categories.

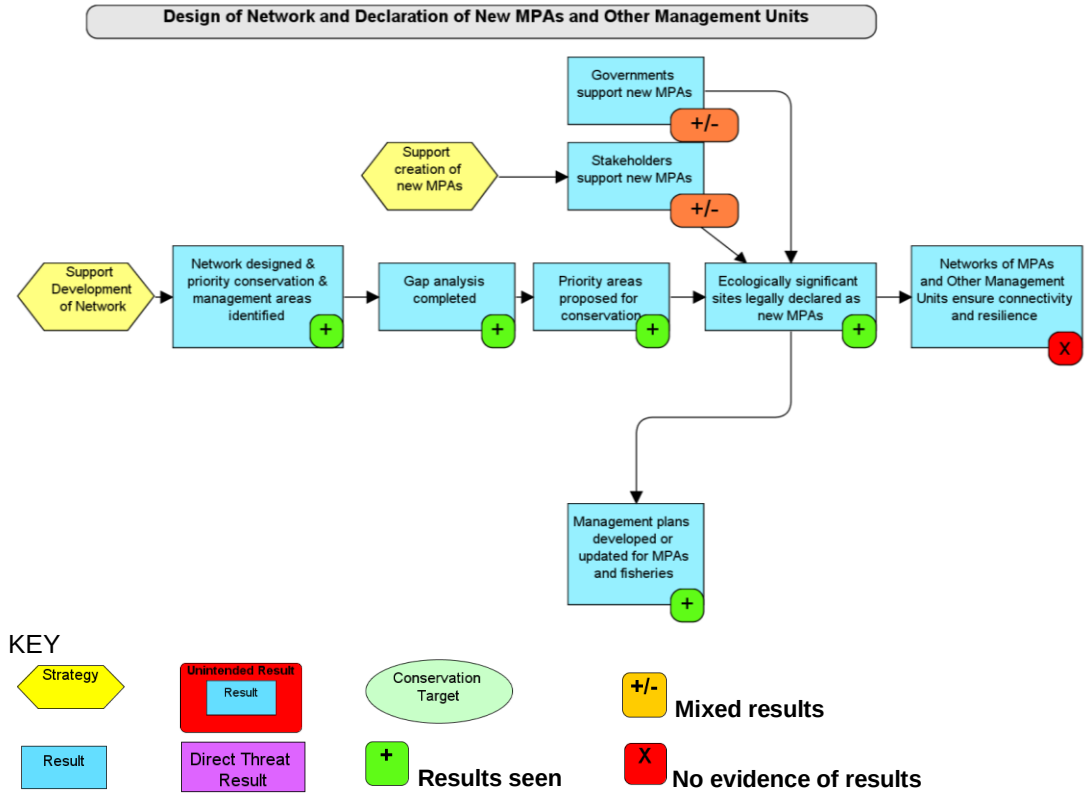
1.1.1 Design an MPA network and support declaration of new MPAs

(i) Overview of the theory of change

This results chain is the first of four interrelated chains developed to capture Packard's theory of change related to the following MPA strategies: (1) the design of a network and declaration of new MPAs, (2) strengthen management of MPAs (through participatory management planning), (3) strengthen enforcement in MPAs, and (4) strengthen financial sustainability of MPAs.

The theory of change, as outlined in Figure 1, is that if an ecologically functional network of MPAs is designed and priority areas identified for conservation and management, then this will lead to the completion of a gap analysis and the formal proposal of priority areas for conservation. If there is sufficient government and stakeholder support for proposed new MPAs, then the areas proposed will be legally declared as new MPAs. These new MPAs will become part of ecologically functional networks that ensure connectivity and resilience. Once the areas are declared, management plans will be developed for them and this links into the "strengthen management of MPAs" chain (see Figure 2) through the result: management plans developed or updated for MPAs and fisheries. Progress on the development of management plans is discussed in section 1.1.2.

Figure 1. Theory of Change for Design of an MPA Network and Declaration of New MPAs



(ii) Progress made toward GOC Subprogram outcomes and goals

Based on the results outlined in Figure 1, evaluation data suggest that there has been at least some **evidence of progress** for the following results:

- Packard grantees designed a network and identified priority conservation and management areas
- Grantees also completed a gap analysis
- Grantees have also proposed priority areas for conservation
- During this period some ecologically significant sites were legally declared as new MPAs and others have been proposed and are currently in the "pipeline."

There have been **mixed results** in terms of the following results:

- The level of government and stakeholder support for new MPAs varies from site to site.

Finally, there is **little or no evidence of progress** on the following results:

- Achieving networks of MPAs and other management units that ensure connectivity and resilience. This is a very ambitious result and it has not been reached yet.

1.1.2 Strengthen management of MPAs

(i) Overview of the theory of change

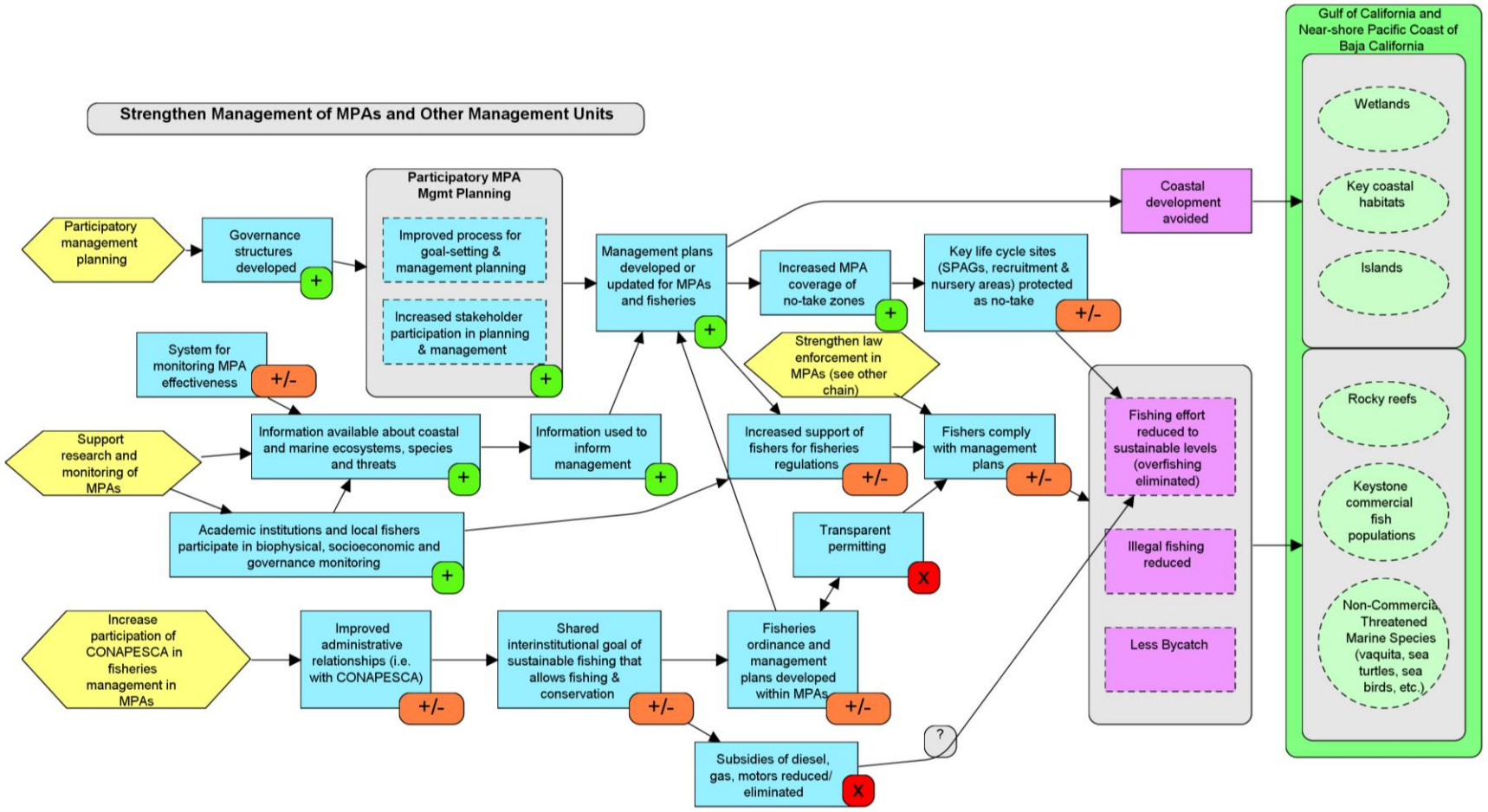
As mentioned earlier, the 2006 GOC Subprogram logic model focused on improving the regulation of small-scale fisheries by strengthening management of MPAs. As shown in Figure 2, this theory of change includes three strategies that contribute to strengthening MPA management: participatory management planning, research and monitoring of MPAs, and participation of CONAPESCA in fisheries management in MPAs.

For participatory planning, the theory is that if effective governance structures are developed and participatory management planning processes are undertaken, then management plans will be developed or updated for MPAs and fisheries. At the same time, research and monitoring will provide information about coastal and marine ecosystems, species and threats that will be used to inform management and incorporated into the management plan. The management planning process will lead to an increase in no-take zones that will contribute to the protection of key life cycle sites.

Meanwhile, involving fishermen in monitoring will lead to increased support among fishermen for fisheries regulations, which, along with transparent permitting, will contribute to increased compliance with management plans and reduced threats from fishing, including a reduction in fishing effort, illegal fishing and bycatch.

Finally, increased participation of CONAPESCA in fisheries management will lead to an improved administrative relationship with CONAPESCA and a shared goal of sustainable fishing that allows both fishing and conservation, which will contribute to the development of fishery ordinance plans and management plans within MPAs. Parallel to this, the elimination of subsidies would reduce fishing effort.

Figure 2. Theory of Change for Strengthening Management of MPAs and Other Management Units



(ii) Progress made toward GOC Subprogram outcomes and goals

Based on the results outlined in Figure 2, evaluation data suggest that there has been at least some **evidence of progress** for the following results:

- Grantees have facilitated the development of governance structures for several MPAs, including Bahía de los Ángeles, Cabo Pulmo, Bahía de Loreto, and others.
- Packard grantees have facilitated numerous participatory management planning processes and developed management plans and fisheries management plans.
- There are now over 306,000 hectares in no-take zones in MPAs and community-managed reserves.
- Research and monitoring efforts have provided vital information about coastal and marine ecosystems, species and threats that has been used to develop management plans.

There have been **mixed results** in terms of the following results:

- Significant progress has been made to protect key life cycle sites as no-take, but more no-take zones are needed to protect key life cycle sites.
- An effort is underway to develop common protocols for monitoring MPA effectiveness and this is moving forward but has not been completed yet.
- Support of fishers for fisheries regulations and compliance with management plans varies from site to site.
- There is no question that several Packard grantees are working more closely and have improved relationships with CONAPESCA compared to five years ago.
- Progress is being made, but in many sites a shared inter-institutional goal of sustainable fishing that allows fishing and conservation still seems elusive.
- Fisheries ordinance and management plans have been developed in some MPAs but more are needed.

Finally, there is **little or no evidence of progress** on the following results:

- Transparent permitting and subsidies of diesel, gas, and motors are factors that are outside of the control of Packard grantees. They depend on CONAPESCA.

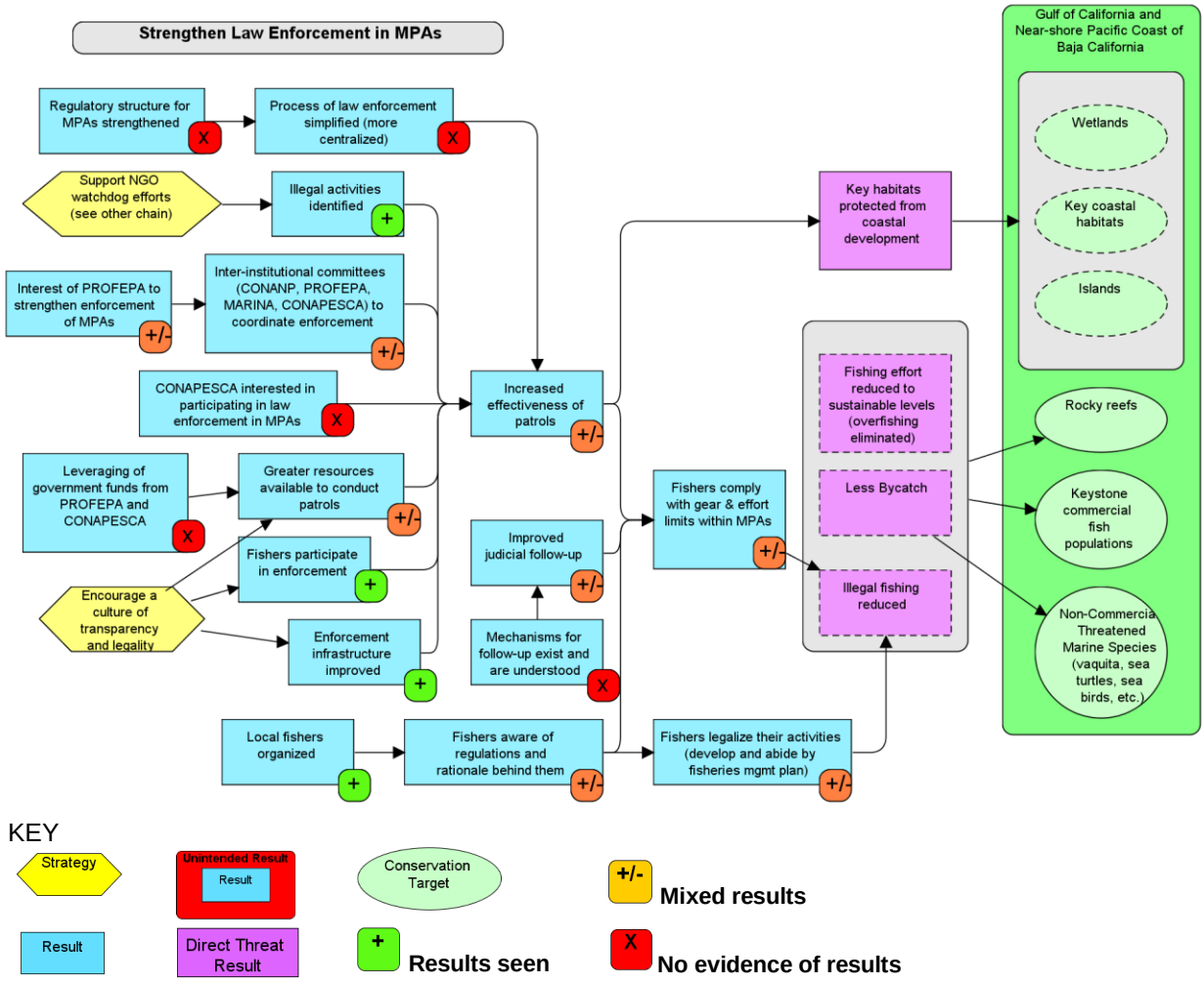
1.1.3 Strengthen law enforcement in MPAs

(i) Overview of the theory of change

According to this theory of change, making patrols effective requires several short-term results. As shown in Figure 3, it is necessary to identify illegal activities, organize inter-institutional committees to coordinate enforcement, increase resources for enforcement, improve enforcement infrastructure and increase fishermen's participation in enforcement. It is also important for Procuraduria Federal de Proteccion al Ambiente (PROFEPA; Mexican Federal Prosecutor for the Protection of the Environment) and CONAPESCA to show interest in participating in and contributing funds for law enforcement.

For patrols to contribute to fishers complying with gear and effort limits within MPAs (and thus reduce fishing effort, bycatch and illegal fishing), it is necessary to have improved judicial follow-up and for fishers to have greater awareness of fisheries regulations and the rationale behind them.

Figure 3. Theory of Change for Strengthening Law Enforcement in MPAs



At the bottom of the results chain we include a series of three results needed for fishermen who are operating without permits to legalize their activities. For this part, the theory is that if fishers organize and understand fisheries regulations then they will legalize their activities and abide by fisheries management plans.

(ii) Progress made toward GOC Subprogram outcomes and goals

Based on the results outlined in Figure 3, evaluation data suggest that there has been at least some **evidence of progress** for the following results:

- Progress was made to identify illegal activities and improve enforcement infrastructure in several sites, including Cabo Pulmo, Espíritu Santo, Isla Natividad, and Loreto.
- Local fishers were organized in specific sites.

There have been **mixed results** in terms of the following results:

- A high level of interest and commitment from PROFEPA to strengthen enforcement contributed significantly to improving enforcement in specific sites.

- Niparajá and several other Packard grantees have worked together with CONANP and PROFEPA to develop institutional arrangements for collaborative enforcement in specific sites. and they conducted outreach about regulations and supported enforcement activities.
- The effectiveness of patrols and compliance with regulations are mixed – good in a few sites, but not adequate in others.
- Judicial follow-up has improved but there is still room for greater improvement on this front.
- In specific sites, such as Bahía de los Ángeles, Packard grantees have helped fishers to organize themselves and legalize their activities by obtaining permits for sustainable harvesting activities.

Finally, there is **little or no evidence of progress** on the following results:

- Key informants mentioned the need to simplify the process of law enforcement by strengthening the MPA regulatory structure but no progress was made toward this.
- Except for efforts to protect the vaquita in the Upper Gulf, in general it has not been possible to leverage government funds from PROFEPA or CONAPESCA to provide greater resources for enforcement,
- Key informants claimed that mechanisms for follow-up are often not well understood – and in some cases do not exist.

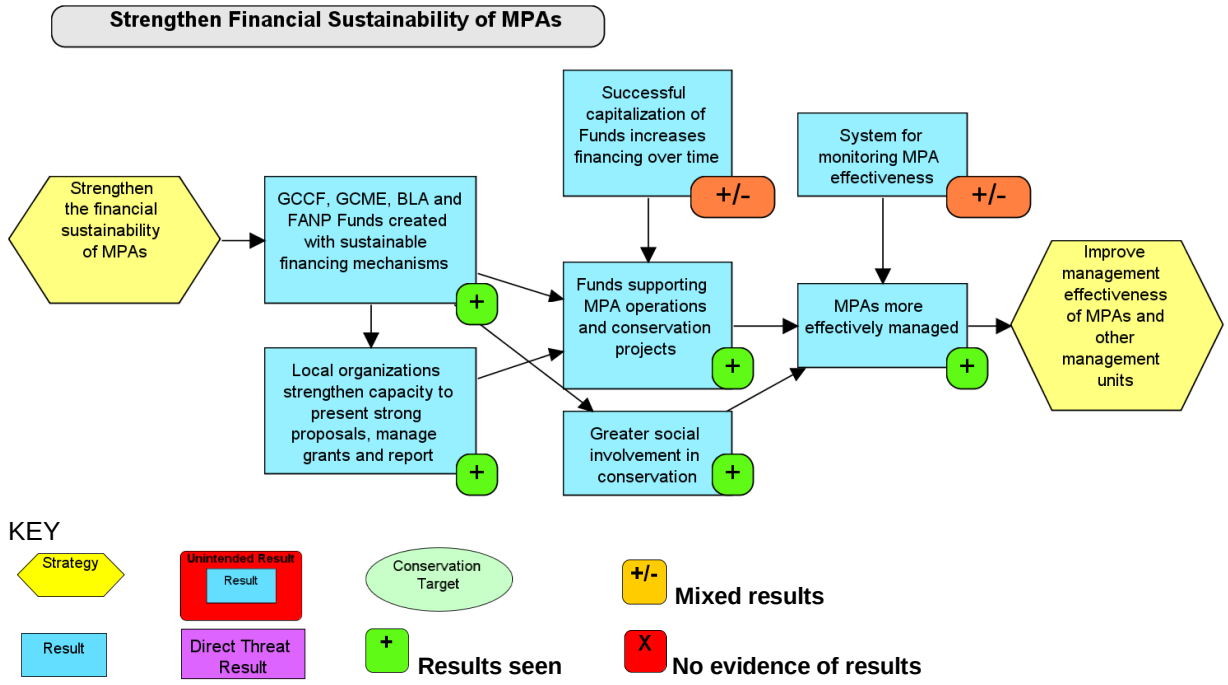
Some of the above assessments are broad summaries based on what we heard from evaluation participants. In the following sections, we provide more detail where we have data for specific results and examples to support the above assessments.

1.1.4 Strengthen financial sustainability of MPAs

(i) Overview of the theory of change

Although it is not easy to achieve long-term financial sustainability for MPAs, this theory of change is fairly simple. As shown in Figure 4, the theory is that if environmental funds are created with sustainable financing mechanisms this will not only provide funds to support MPA operations and conservation projects, but they will also strengthen the capacity of local organizations to present strong proposals and manage grants and increase social involvement in conservation. Capitalizations campaigns will increase funds and ensure financial sustainability and the funds will increase the effectiveness of MPA management. A system for monitoring MPA effectiveness will assess progress toward more effective MPA management.

Figure 4. Theory of Change for Strengthening the Financial Sustainability of MPAs



(ii) Progress made toward GOC Subprogram outcomes and goals

Based on the results outlined in Figure 4, evaluation data suggest that there has been at least some **evidence of progress** for the following results:

- Packard grantee Fondo Mexicano Para la Conservación de la Naturaleza (FMCN) has created sustainable financing mechanisms for the Gulf.
- More funds are available to support MPA operations and conservation projects.
- Local organizations have strengthened their capacity to present strong proposals, manage grants and report effectively
- There is greater social involvement in conservation.
- There is more effective MPA management as a result of the previous results.

There have been **mixed results** in terms of the following results:

- Financing from the funds has increased over time, but a stronger capitalization campaign needs to be implemented to assure financial sustainability of the MPAs.
- A system for monitoring MPA effectiveness is being built but does not exist yet.

1.1.5 Support the protection of vaquita and strengthen fisheries management in the Upper Gulf

(i) Overview of the theory of change

To conserve the vaquita and, in the process, improve fisheries management in the Upper Gulf, the theory of change is that it is necessary to implement four lines of work that coincide with sections of the results chain (See Figure 5):

1. Develop, implement and enforce the buy-out, rent-out, and switch-out mechanisms,
2. Support economic alternatives for those who take advantage of the buy-out,

3. Promote less damaging gear, and
4. Establish trawl-free zones in the Upper Gulf.

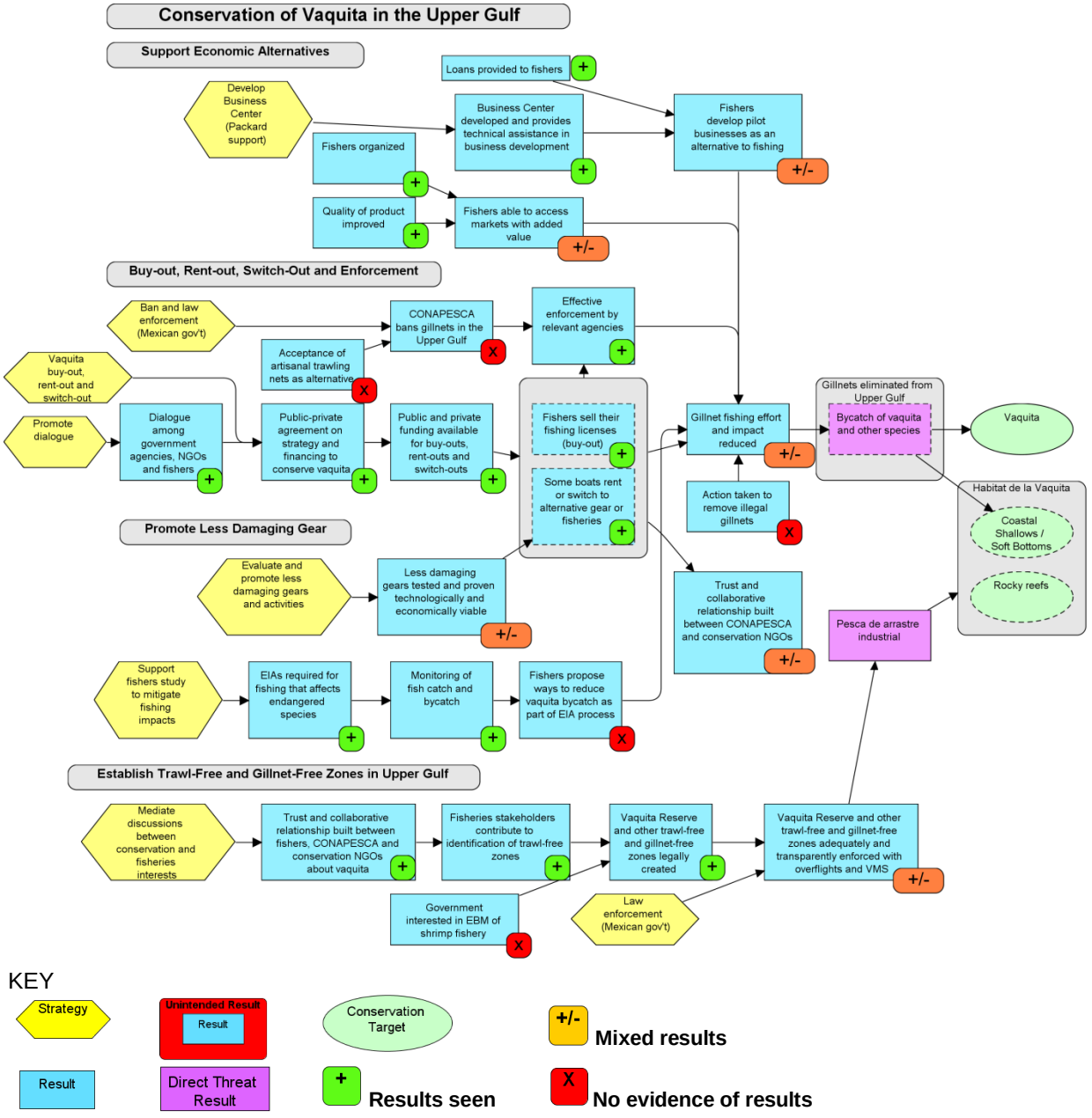
For the buy-out, rent-out, and switch-out and for enforcement, the theory is that dialogue among government agencies, NGOs and fishers is necessary to reach public-private agreement on the strategy and obtain financing to conserve the vaquita. Once funding is available, then it is possible to buy out some fishermen and rent out and switch out alternative gear, all of which will reduce gillnet fishing effort and impact in the short term. Over the longer term, once adequate alternatives are found for the fishermen, the idea is that CONAPESCA will ban gillnet fishing in the Upper Gulf and there will be effective enforcement of all agreements, zoning and fishing regulations.

Supporting economic alternatives is intended to help fishermen who have participated in the buy-out program to permanently transition to economic alternatives that will not threaten the vaquita. The Business Center was designed to provide technical assistance in business development and loans are provided to help fishermen to develop pilot businesses as an alternative to gillnet fishing. Assistance is also being given to help fishermen to organize themselves and improve the quality of their product to help them access markets with added value.

In theory, there are two possible means to identify less damaging gear that could substitute gillnets. First, the government is evaluating less damaging gears. Second, because environmental impact assessments (EIAs) are required for fishing in the biosphere reserve, fishermen are monitoring their fish catch and bycatch and will propose ways to reduce vaquita bycatch.

The final part of the theory of change relates to the creation of trawl-free and gillnet-free zones. If mediated discussions between conservation and fisheries sectors contribute to building a trusting relationship, then fisheries stakeholders will contribute to identifying trawl-free and gillnet-free zones that will be legally declared and enforced, which will reduce trawling and gillnet fishing in the Upper Gulf. Government interest in ecosystem-based management could also contribute to the creation of trawl-free and gillnet-free zones.

Figure 5. Theory of Change for Vaquita Conservation and Improvement of Fisheries Management in the Upper Gulf



(ii) Progress made toward GOC Subprogram outcomes and goals

Based on the results outlined in Figure 5, information gathered during the evaluation suggests that there has been at least some **evidence of progress** for the following results:

- Dialogue among government agencies, NGOs and fishers made it possible to reach public-private agreement on the strategy and financing to conserve vaquita.
- With funding available, it has been possible to buy out some fishermen and rent out and switch out alternative gear.

- Loans and technical assistance have been provided to fishermen that have participated in the buy-out.
- Assistance has also been provided to help fishers to organize and improve the quality of their product.
- Environmental impact assessment (EIA) requirements are pushing fishermen to monitor their fishing effort and bycatch to assess their environmental impact and identify ways to eliminate the risk of vaquita bycatch.
- Finally, through multi-sectoral dialogue it was possible to agree on trawl-free and gillnet-free zones in the Upper Gulf

> *"2005 was the first time that the three parties at war [the conservation sector, fisheries agencies and fishermen] signed an agreement that works for everybody." – Key informant*

There have been **mixed results** in terms of the following results:

- Pilot businesses seem to be surviving, but it is still too early to evaluate their effectiveness.
- Similarly, it is too early to evaluate the ability of fishers to access markets with added value.
- INAPESCA and Packard grantees have tested new gear for artisanal shrimp fishing (RS-INP), with mixed results.
- Trawl-free and gillnet-free zones are enforced but not transparently – VMS data are not publicly available.
- Overall, key informants believe that, despite all of the results achieved to date, gillnet fishing effort and impact have not been sufficiently reduced yet. There has been progress, as shown in Figure 6, but this is a process that will take some time.

Finally, there is **little or no evidence of progress** on the following results:

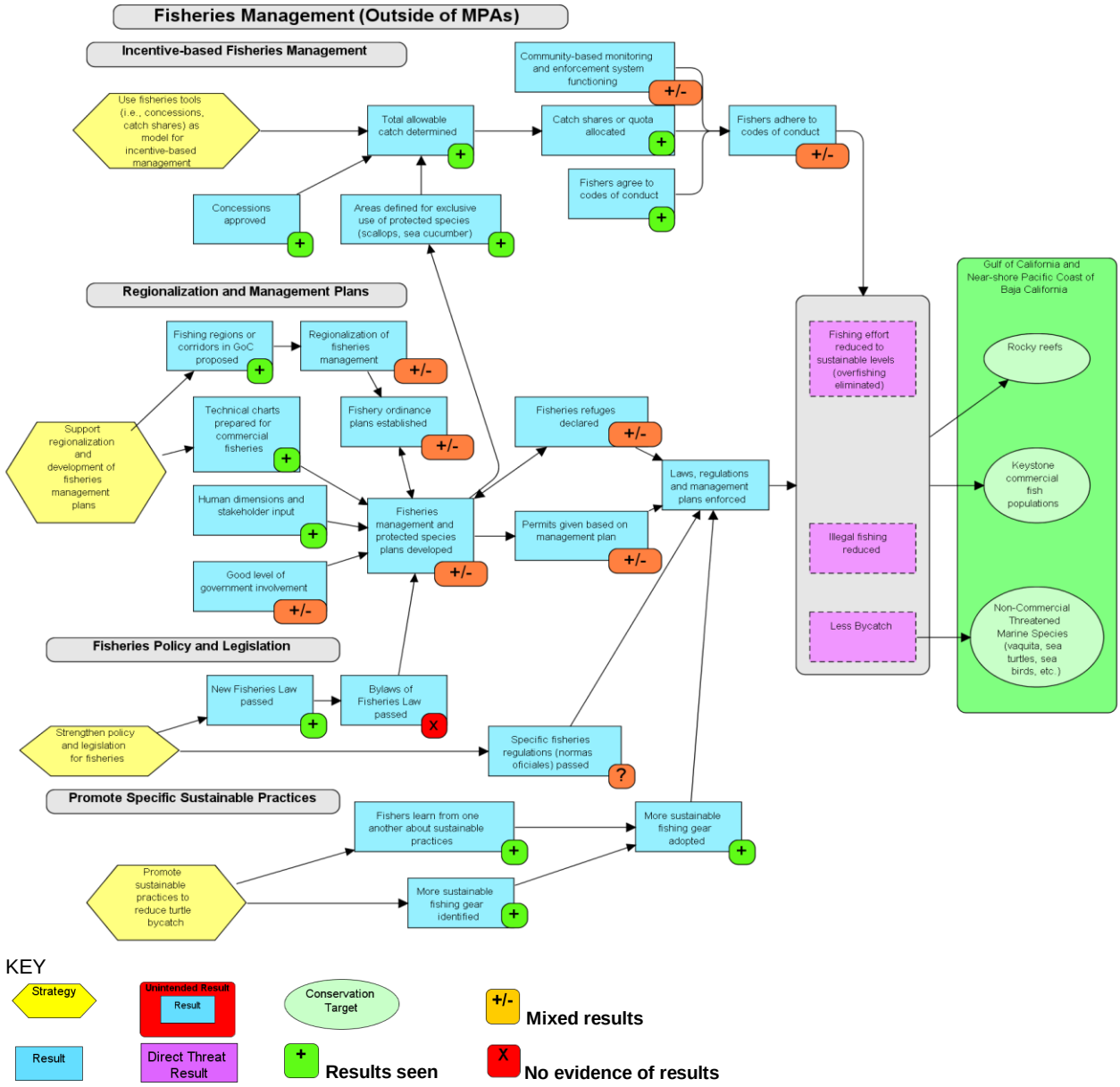
- NGO key informants told us that gillnets should be banned in the Upper Gulf, but there has not been progress toward this result because viable alternatives have not been identified.
- Artisanal trawling nets could be used by fishermen but fishermen are not accustomed to using them and there is opposition to their use.
- Fishermen have not yet proposed ways to reduce vaquita bycatch as part of the EIA process.
- This is in part because illegal fishing has not been adequately controlled and in part because economically attractive alternatives to gillnets have not yet been introduced.
- Key informants also believe that the Mexican government's lack of interest in ecosystem-based management of the shrimp fishery impeded progress on the establishment of trawl-free and gillnet-free zones.

1.1.6 Strengthen management of small-scale fisheries (outside of MPAs)

(i) Overview of the theory of change

The results chain in Figure 6 describes the Packard GOC Subprogram's theory of change for fisheries management outside of MPAs and summarizes progress to date. Outside of protected areas the Packard GOC Subprogram is supporting efforts to strengthen fisheries management through the following four strategies: (1) incentive-based fisheries management, (2) regionalization of fisheries management and the development of management plans for specific species, (3) fisheries policy and legislation and (4) promotion of specific sustainable practices.

Figure 6. Theory of Change for Fisheries Management Outside of MPAs



In incentive-based fisheries management, the theory is that if fishermen have exclusive access rights, either through concessions or areas defined for exclusive use of protected species, then it will be possible to determine a total allowable catch that is both ecologically and economically sustainable. This is expected to lead to an allocation of quotas or catch shares and if the participating fishermen agree to codes of conduct and participate in community-based monitoring and enforcement, then fishermen will adhere to these codes of conduct and this will reduce fishing effort, illegal fishing and bycatch.

In the area of fisheries law and policy, the new Fisheries Law requires the development of fisheries management plans. Development and passage of the bylaws and specific fisheries regulations (normas oficiales) are both needed.

The theory of change related to regionalization and the development of fisheries management plans is that if fishing regions are defined and fisheries are administered regionally, this will facilitate the development of fishery ordinance plans and management plans for fisheries and protected species. Technical charts, stakeholder input and a good level of government involvement are also necessary for successful management planning.

Finally, Packard has helped to promote specific sustainable practices. The theory here is that if more sustainable fishing gear is identified and fishermen have the opportunity to learn from one another about more sustainable practices, then more sustainable fishing gear will be adopted. If this gear is used within the context of a management plan that is enforced, then this will contribute to reducing bycatch.

(ii) Progress made toward GOC Subprogram outcomes and goals

Based on the results outlined in Figure 6, information gathered during the evaluation suggests that there has been at least some **evidence of progress** for the following results:

- Some fishing communities have obtained concessions or exclusive access rights to sustainably harvest some species currently managed by the Environmental Ministry (SEMARNAT), such as rock scallop, sea cucumber, and fish destined for the aquarium industry.
- Catch share systems are being tested with the shrimp fishery in Sinaloa, the rock scallop and goeduck fishery in the upper Gulf.
- Passage of the Sustainable Fisheries Law was a major accomplishment during this period.
- Specific sustainable practices have been promoted and adopted to reduce sea turtle bycatch.
- Some progress has been made toward regionalization and the development of fisheries management plans. Packard grantees have proposed fishing regions or corridors, prepared technical charts for commercial fisheries, gathered stakeholder input and helped to prepare some fishery ordinance plans and management plans for specific fisheries.

There have been **mixed results** in terms of the following results:

- The extent of adherence to the catch shares agreements is mixed and there needs to be greater enforcement. Greater enforcement is also needed for some concession or exclusive access rights agreements in which outsiders fish illegally.
- Although some fisheries management plans and ordinance plans have been developed more are needed and more government involvement is needed.
- Some fisheries refuges have been proposed but much more needs to be accomplished to regionalize fisheries management and develop many more fisheries ordinance and management plans with more fisheries refuges.

Finally, there is **little or no evidence of progress** on the following results:

- The Bylaws of the Fisheries Law have not been passed and some specific fisheries regulations are also needed.

1.2 STRATEGIES TO REDUCE THE IMPACT OF INDUSTRIAL SHRIMP TRAWLING

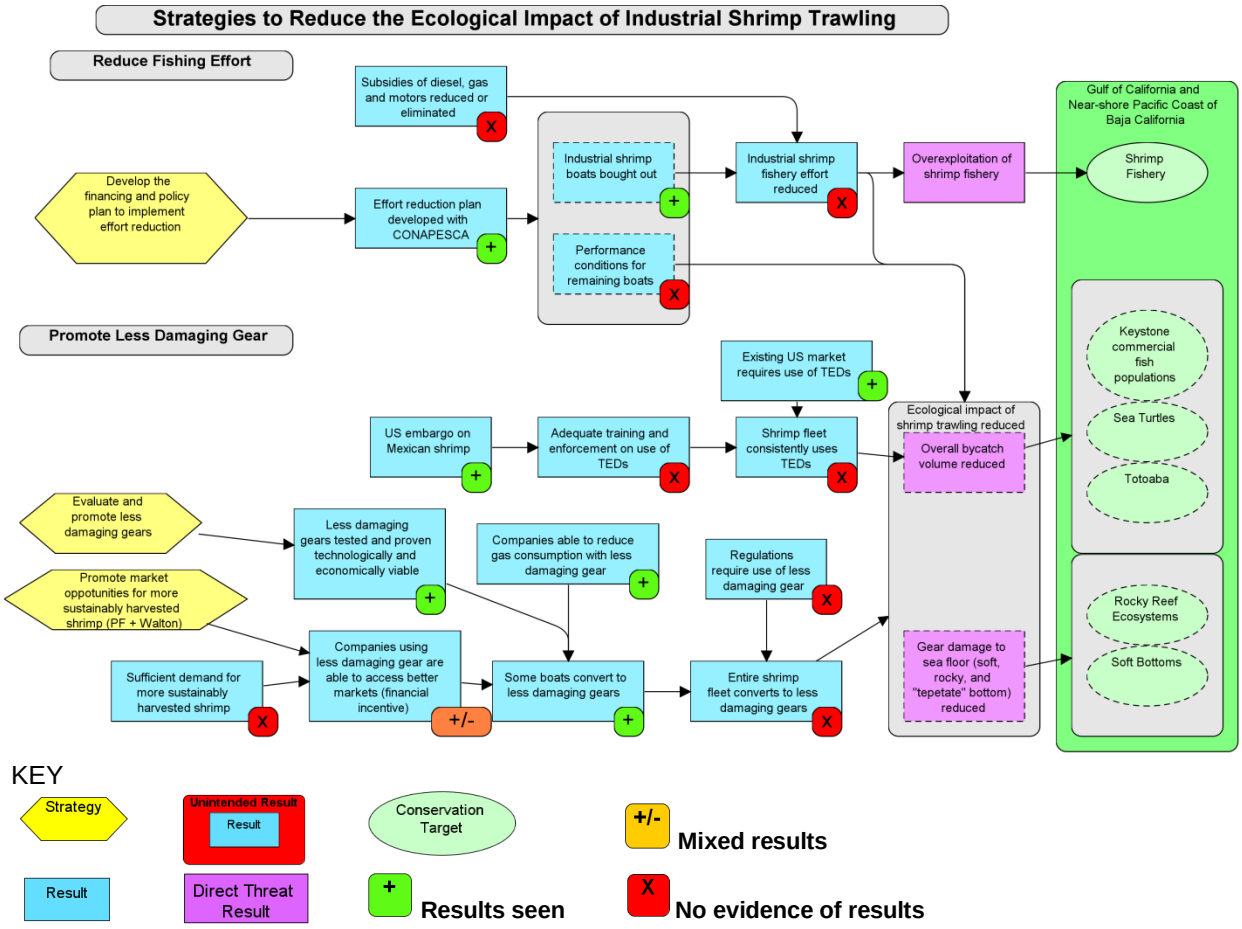
1.2.1 Reduce fishing effort and promote less damaging gear

(i) Overview of the theory of change

Under the first part of this theory of change (see Figure 7), industrial shrimp fishing effort would be reduced through a buy-out program and performance conditions for the remaining boats. Reduction or elimination of subsidies would also contribute to effort reduction.

The second part of this theory of change focuses on promoting less damaging gear. Under this theory, if less damaging gear is tested and proven technologically and economically viable and companies using less damaging gear are able to access better markets (if there is sufficient demand for more sustainably harvested shrimp) or reduce their gas consumption, then some boats will adopt the less damaging gear. Getting the entire shrimp fleet to convert to less damaging gears, however, will only occur if regulations require that all shrimp boats use less damaging gear.

Figure 7. Theory of Change for Reducing the Impact of Industrial Shrimp Trawling



Another part of this chain focuses on the use of TEDs. The theory is that if the market requires the use of TEDs and there is adequate training and enforcement, then shrimp boats will consistently use TEDs.

(ii) Progress made toward GOC Subprogram outcomes and goals

Based on the results outlined in Figure 7 information gathered during the evaluation suggests that there has been at least some **evidence of progress** for the following results:

- Packard grantees helped establish the mechanisms for the Mexican government to be able to retire 52% of the industrial shrimp trawling fleet operating in the Gulf of California (from 1,467 to 711 boats).
- Packard grantees tested alternative gear and proved that it was technologically and economically viable. Some boats converted to the less damaging gear, in one case to be able to access better markets and in several cases to reduce their gas consumption.
- The market requires the use of TEDs.

There have been **mixed results** in terms of the following results:

- One industrial shrimp boat that uses less damaging gear has been able to access better markets, but other boats have not followed his lead.

Finally, there is **little or no evidence of progress** on the following:

- Not enough boats were bought out to achieve a substantial (ecologically meaningful) reduction in fishing effort at a Gulf-wide level.
- No performance conditions were placed on remaining boats.
- Key informants believe that reducing or eliminating subsidies would contribute to reducing fishing effort but this did not happen.
- The entire shrimp fleet did not convert to less damaging gear, because regulations did not require its use.
- Key informants say that TEDs are not consistently used due to inadequate enforcement.

1.3 SITE BASED CONSERVATION

The Packard Foundation's support of "site based conservation" efforts has focused on strategies designed to address the threats of coastal development, invasive species and, in the case of the lower Colorado River Delta, poor watershed management. Based off its 2006 logic model and adjustments made to its support since then, there are five basic categories of strategies supported through site based conservation:

1. Land protection
2. Tourism and development planning and mitigation
3. Policy, legal, and watchdog efforts (which also span into MPA- and fisheries-related strategies)
4. Island restoration
5. Lower Colorado River Delta restoration

This section discusses the theory of change for each category of strategies, as well as progress, challenges, and lessons learned. While we present these sections separately, grantees have often used strategies within and across these categories together to help achieve conservation goals.

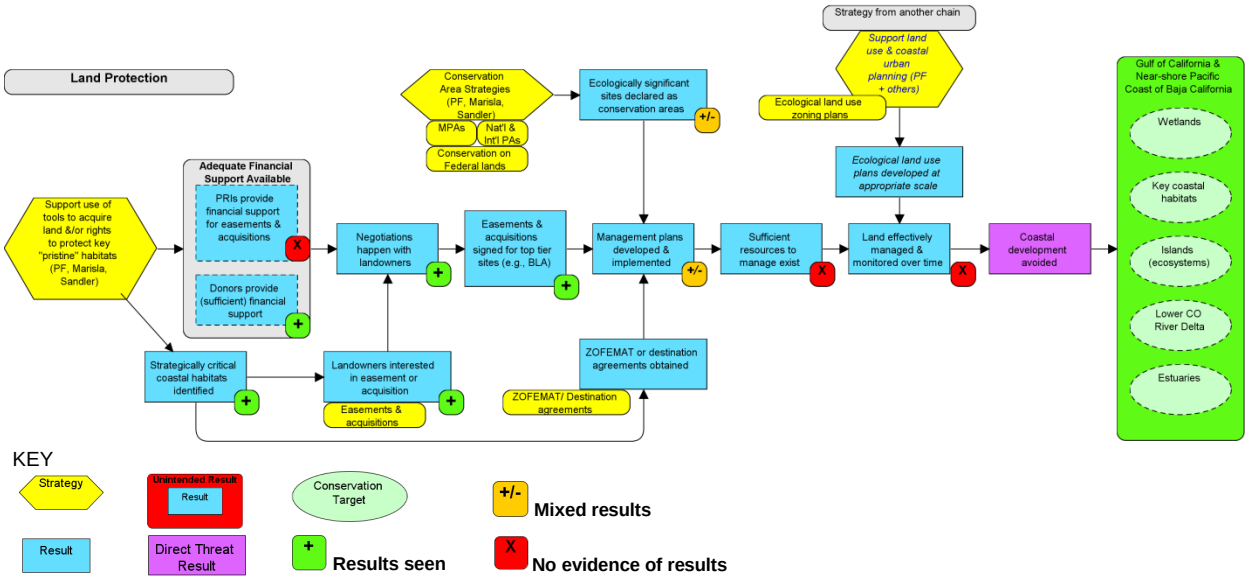
1.3.1 Land protection

(i) Overview of the theory of change

The GOC Subprogram logic model includes a strategy supporting conservation easements and land acquisitions. Initially, the Foundation directed funding primarily toward these tools and had considered

partially funding them via the use of Program Related Investments (PRIs)—investments to support charitable activities that involve the potential return of capital within an established time frame. The PRI concept, however, was abandoned when the Packard Foundation (through its Western Conservation Subprogram), Marisla Foundation, and Sandler Foundation decided to jointly provide significant funding for land protection and acquisition in Northwest Mexico (Figure 8). This support was outsourced to the Resources Legacy Fund.

Figure 8. Theory of Change for Land Protection



The general theory of change, as outlined in Figure 8, holds that adequate financial support is needed, in combination with a suite of tools, including easements and acquisitions, ZOFEMAT[1] concessions and associated management agreements, protected area establishment, and conservation on Federal lands. Once these tools are effectively implemented, then the assumption is that management plans would be developed and implemented. Over time, sufficient resources are needed for ongoing management. If these are in place, then the land would be effectively managed and monitored over time. In other words, it is not sufficient to merely put the different land protection tools in place; they must have ongoing management and monitoring in order to avoid coastal development impacts and improve the health of the various habitats, ecosystems, and species affected by coastal development. The theory of change is also influenced by ecological land use zoning plans, a topic which is discussed in more detail under strategies related to tourism and development planning and mitigation. Amongst this suite of tools, Foundation support has focused primarily on easements, acquisitions, MPAs, and ZOFEMAT/conservation concessions. The Foundation has also provided limited support for ecological land use zoning plans.

[1] ZOFEMAT refers to Mexico's Zona Federal Marítimo Terrestre (Federal Maritime-Terrestrial Zone), the first 20 meters of shoreline above the high tide mark, which is under the jurisdiction of the Federal government. Historically, concessions to the ZOFEMAT have been granted for development and mining activities. More recently, NGOs have explored the use of ZOFEMAT concessions for conservation purposes. When a concession is granted to CONANP within a protected area, it is referred to as an "acuerdo de destino" or management agreement/ conservation concession.

(ii) Progress made toward GOC Subprogram outcomes and goals

Work related to land protection and acquisition has been supported through a mix of grants from the Gulf of California Subprogram and the Northwest Mexico Land Conservation Program (managed by Resources Legacy Fund, combining resources from Packard Foundation's Western Conservation Subprogram, Marisla, and the Sandler Foundation). Obviously, this situation makes it difficult to distinguish progress made by the GOC Subprogram per se. Given this situation, we present more broadly what has been done and discuss how much of this work serves as a model for protecting land throughout the Gulf of California. A full evaluation of the impact of the Northwest Mexico Land Conservation Program is underway and will provide more detail on coastal areas secured via these various institutions and management instruments.

Based on the results outlined in Figure 8, evaluation data suggest that there has been at least some **evidence of progress** for the following results:

- Donors provide (sufficient) financial support: Donors include the Packard Foundation, Marisla, and Sandler.
- Strategically critical coastal habitats identified: Many scientific studies supported with Packard funding have helped groups in the region identify critical coastal habitats.
- Landowners interested in easement or acquisition; Negotiations happen with landowners; Easements and acquisitions signed for top tier site.

There have been **mixed results** in terms of the following results:

- Ecologically significant sites declared as conservation areas.
- Management plans developed and implemented: These tend to be in varying stages of development or implementation, with some not yet under development.

Finally, there is **little or no evidence of progress** on the following results:

- PRIs provide financial support for easements and acquisitions: The Packard Foundation abandoned this concept when other sources of funding became available.
- Sufficient resources to manage exist: This is a longer term, ongoing challenge.
- Land effectively managed and monitored over time: A lack of resources has made this a challenge. In addition some areas are too new to expect to see progress on this result yet.

1.3.2 Tourism and development planning/mitigation

(i) Overview of the theory of change

During the administration of President Vicente Fox, development policies at the federal and state levels moved away from environmental concerns. The Mexican government promoted large-scale investment which promised to bring employment opportunities and revenue to the country. From an environmental perspective, this approach was likely to have disastrous impacts on ecosystems and species in the Gulf of California. Survey results reflect this reality: according to respondents, the greatest factor driving coastal development is the Mexican government's promotion of tourism as one of the main revenue generators for the country.

Consideration of this driving factor is clearly reflected in the Foundation's Strategy Update and logic model. In particular, the Foundation considered support for four main areas related to tourism and development planning/mitigation, as illustrated in Figure 9. Due in part to the economic downturn in

the US and reduced grantmaking abilities, however, the GOC Subprogram scaled back its support in the areas outlined in its initial logic model (see Table 1).

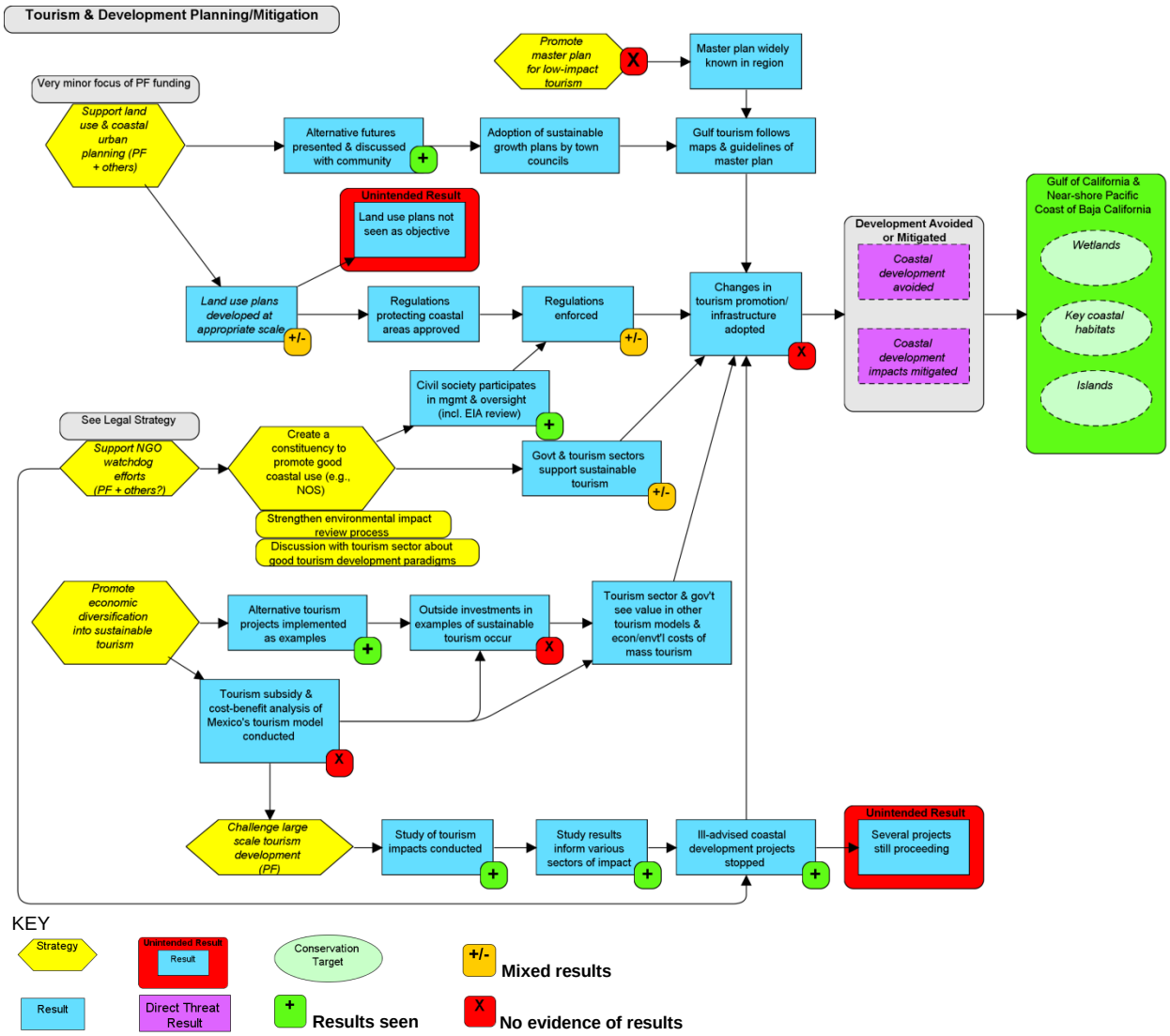
Table 1. Areas of Support Considered for Tourism and Coastal Development Planning and Mitigation

Area	Level of GOC Support	Rationale for Scaling Back Support
Promote master plan for low-impact tourism	Support delayed and shifted to RLF with GOC Subprogram oversight	Wanted to take this more slowly and also address through RLF; Economic downturn and reduced budgets
Support land use & coastal urban planning	Very limited grant making for zoning plans (RLF provided support for San Quintin and Ensenada); Limited support for studies on alternative futures	It was not clear how much of an impact the Foundation could have with zoning plans, as the tool was not yet mature; Economic downturn and reduced budgets
Promote economic diversification into sustainable tourism	Limited support for models of development (CEDO's NaturArte and Red Turismo Sustentable (funded in late 2010))	Determined it was difficult to do anything at scale for the region; Economic downturn and reduced budgets
Challenge large scale coastal development	Broad support, including challenging projects such as: Escalera Nautica, El Mogote, Puerto Libertad Liquid Gas Plant, Cabo Cortés, Mayan Palace, Sandy Beach Resort, and CIP-Teacapán (Marismas Nacionales)	Not in original logic model but an area which did receive support

In addition to the areas outlined in Table 1, the Packard Foundation has supported cross-cutting efforts to strengthen civil society and governance, primarily through its support of Noroeste Sustentable (NOS). These efforts also tie in with much of the policy and legal work and are addressed more comprehensively in that section of the report. Nevertheless, because these strategies tend to work hand-in-hand with one another, we provide examples of their combined impact in this section.

Figure 9 thus represents the theory of change for the main strategies the Gulf of California Subprogram considered or supported related to tourism and development planning and mitigation. It involves several separate strategies, all of which are designed to lead to changes in tourism promotion and infrastructure, minimizing or avoiding coastal development impacts and positively impacting coastal habitats and ecosystems.

Figure 9. Theory of Change for Tourism and Development Planning and Mitigation Strategies



Working from the top, the logic model and strategy update for 2006 included a strategy related to promoting a master plan for low impact tourism, in which the Foundation did not ultimately invest (see Table 1). The Foundation did provide some very minimal support for land use and coastal urban planning efforts. These efforts included two paths – one focused on the participatory development and then formal adoption of sustainable growth plans; the second path involves the use of land use zoning plans being developed and then adequately enforced. Some key informants also suggested that this second path could lead to an unintended result in which the land use plans are not seen as objective because they are funded with or led by conservation interests.[2] The second path is also influenced by

[2] Most key informants spoke of "ordenamientos territoriales," or land use zoning plans, which should accommodate both development and environmental interests. There are also "ordenamientos ecológicos territoriales," which are land use zoning plans that have an explicit intent to incorporate ecological concerns in a land use plan. Presumably, there would be less of an objectivity concern with a conservation interest funding or

cross-cutting strategies to support watchdog efforts and create a constituency to promote good coastal use. These together are designed to increase civil society participation in management and oversight, leading to regulations being enforced, as well as getting broader support for sustainable tourism from key government and tourism actors. Another strategy focuses on promoting economic diversification into sustainable tourism. In combination with a cost-benefit study on Mexico's tourism model, the strategy aims to implement alternative tourism projects as models that would lead to additional investments in sustainable tourism and in turn help the tourism sector and government see the value of other tourism models. The final strategy involves challenging large scale tourism development to stop ill-advised development projects.

(ii) Progress made toward GOC Subprogram outcomes and goals

Based on the results outlined in Figure 9, evaluation data suggest that there has been at least some **evidence of progress** for the following results:

- Alternative futures presented and discussed with community: Under the previous five year strategy, an alternative futures study was presented in La Paz by Harvard University, the Universidad Autónoma de Baja California Sur, the University of Arizona and the Centro Interdisciplinario de Ciencias Marinas. It was discussed with the community though it is not clear if this led to any further results.
- Civil society participates in management and oversight, including environmental impact review: DAN and CEMDA have worked closely with many organizations and community groups to increase their participation in monitoring and holding accountable actors responsible for ill-advised coastal development.
- Alternative tourism projects implemented as examples: The GOC Subprogram has supported some limited examples of alternative tourism projects, such as CEDO's NaturArte ecotourism corridor and RED Sustainable Tourism.
- Study of tourism impacts conducted, study results inform various sectors of impact, ill-advised coastal development projects stopped: A few evaluation participants mentioned the value of the Escalera Náutica study (conducted under the previous five year strategy) and its role in stopping this mega Project. This is the primary example for this strategy, though the Foundation is supporting various actions to challenge large scale coastal development, primarily through its legal and policy strategy, discussed later. Nevertheless, as Figure 9 shows, there has also been an unintended result that several projects are still proceeding. We discuss this further in the following pages.

There have been **mixed results** in terms of the following results:

- Land use plans developed at appropriate scales: Land use plans have been developed, though the Packard Foundation has only helped support a couple of plans on the Pacific coast of Baja. In general, the land use plans that have been developed throughout the Gulf have rarely been at an appropriate scale; most key informants thought the municipal level was the most appropriate scale.
- Regulations enforced: Several key informants mentioned that one of the biggest problems with land use plans was that they "lacked teeth" and as such, are rarely enforced.
- Government and tourism sectors support sustainable tourism: There are some cases of government and tourism developers supporting sustainable tourism (e.g., NaturArte), but such examples are limited and scattered.

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coordinating the development of an ecological land use zoning plan. Some key informants felt that ecological land use zoning plans were the more effective of the two plans for conservation purposes.

Finally, there is **little or no evidence of progress** on the following results:

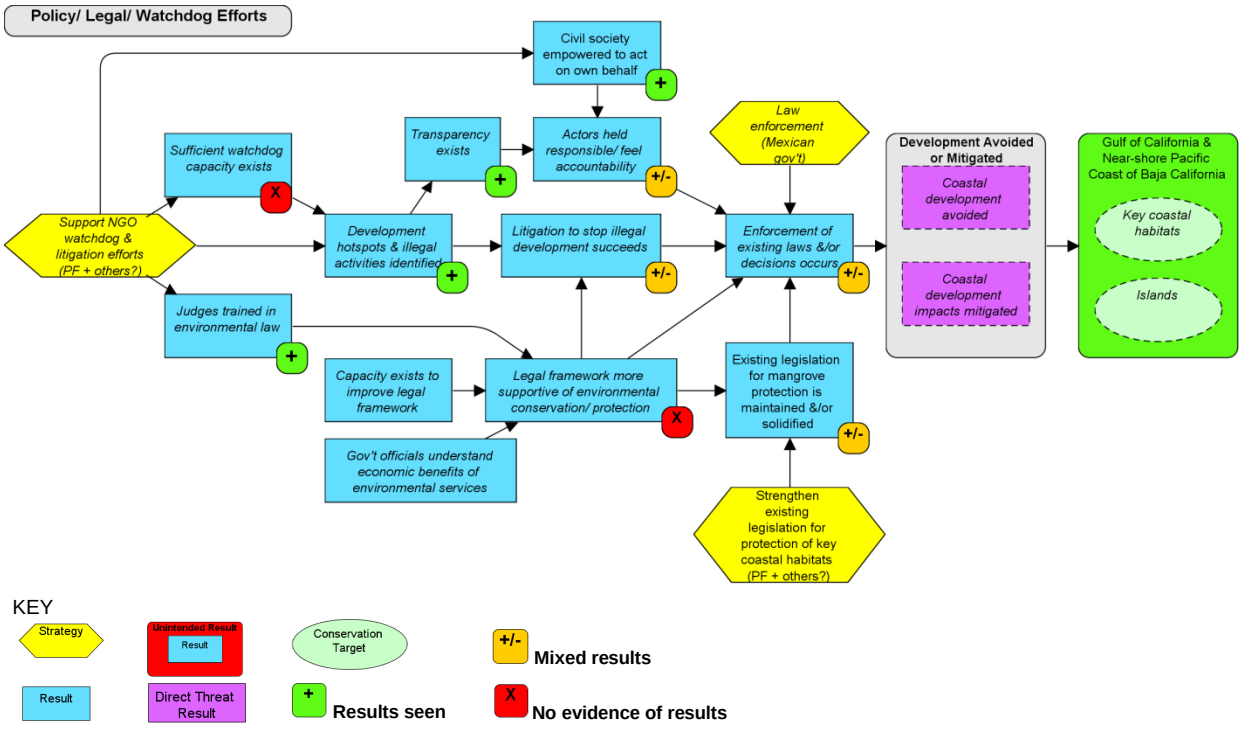
- Promote master plan for low-impact tourism: This is a strategy the GOC Subprogram decided to outsource to RLF but is providing oversight through the donor advisory group of RLF's Northwest Mexico Land Conservation Program. RLF was beginning to embark on this strategy in early 2011.
- Changes in tourism production/ infrastructure adopted: The lack of progress here is likely due to the fact that the GOC Subprogram scaled back its original support for many of the strategies feeding into this result and/or perhaps enough time has not passed to see an impact this far down the chain.
- Outside investments in sustainable tourism occur: The GOC Subprogram has only invested in a few small scale alternative tourism projects, and there is not much evidence that these have led to any significant external investments in sustainable tourism.
- Tourism subsidy and cost benefit analysis of Mexico's tourism model conducted: This study was never carried out.

1.3.3 Policy/Legal/Watchdog efforts

(i) Overview of the theory of change

Foundation support in the legal and watchdog arena has focused primarily on two organizations: Defensa Ambiental del Noroeste (DAN) and Centro Mexicano de Derecho Ambiental (CEMDA). These two organizations have worked individually and collaboratively to use legal and policy mechanisms to prevent or stop activities that threaten coastal habitat and fisheries resources. The efforts fall into three inter-related categories: 1) the implementation of legal instruments in priority areas; 2) litigation against those who do not adhere to the legal instruments; and 3) strengthening existing instruments. Some of the key instruments and approaches used (individually or in combination) include: the creation of natural protected areas, Ramsar decrees, urban and ecological ordinances, technical standards, environmental impact assessment, fishery plans, and litigation. Figure 10 summarizes the general theory of change for legal and policy efforts supported by the GOC Subprogram. All efforts funnel through the enforcement of existing laws, leading to coastal development avoided or mitigated and the improvement of the health of key coastal habitats and islands. The main emphasis has been on the central portion of the theory of change: identifying hotspots and illegal activities, leading to litigation to stop illegal development. There has also been, until now, an implicit assumption that sufficient watchdog capacity exists to support this central portion of the chain. Another result of development hotspots and illegal activities being identified is that transparency will exists and, consequently, actors will be held responsible and/or feel accountability. Pressure for accountability also comes from efforts to empower civil society to take on a watchdog role as well. The bottom portion of the chain includes efforts to train judges in environmental law. If they are trained, the theory is that the legal framework will be more supportive of environmental conservation and protection, leading to better enforcement of existing laws, as well as the solidification of existing legislation to protect mangroves. According to key informants, a supportive legal framework also depends upon capacity existing to improve the legal framework and government officials understanding economic benefits of environmental services. To date, GOC support has not been directed toward these results. Finally, for this theory of change to be successful, there is a need to strengthen existing legislation and effectively enforce the law for the protection of key coastal habitats.

Figure 10. Theory of Change for Policy, Legal, and Watchdog Strategies



(ii) Progress made toward GOC Subprogram outcomes and goals

Based on the results outlined in Figure 10, evaluation data suggest that there has been at least some **evidence of progress** for the following results:

- Development hotspots and illegal activities identified: Packard grantees working on this strategy have clear processes to review records to learn about proposed development projects.
- Transparency exists: CEMDA and DAN both reported that their work has created an atmosphere of transparency.
- Civil society empowered to act on own behalf: CEMDA and DAN work closely with several NGOs and communities to give them the tools and legal arguments they need to challenge development projects.
- Judges trained in environmental law: Packard grantees have been successful in training judges.

There have been **mixed results** in terms of the following results:

- Actors held responsible/feel accountability: Though transparency has improved, many developers continue to propose and attempt to push through projects that violate laws.
- Litigation to stop illegal development succeeds: There are numerous examples of projects that have been halted, but many are also stuck in a cycle of appeals and counter appeals.
- Enforcement of existing laws and/or decisions occurs: Some laws are being enforced, but in other cases, key informants noted that developers can find ways around laws either via corruption or simply ignoring laws.
- Existing legislation for mangrove protection is maintained and/or solidified: Packard grantees have been successful at strengthening the protected status of mangroves at the Federal level.

Finally, there is **little or no evidence of progress** on the following results:

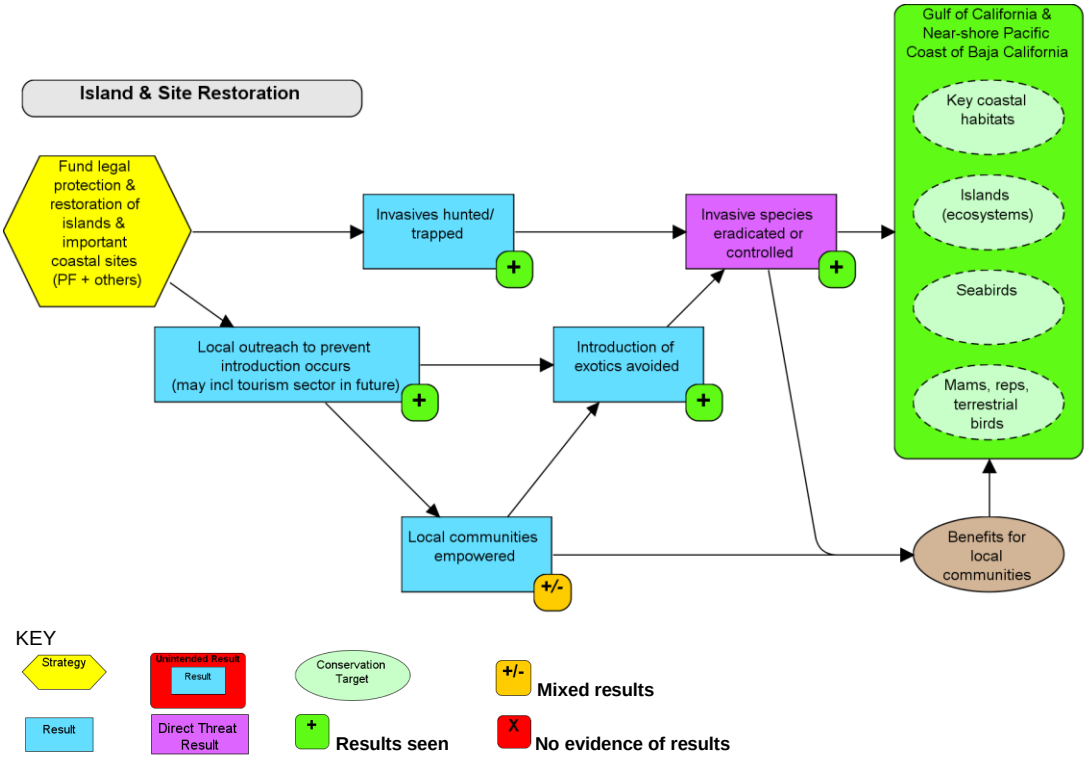
- Sufficient watchdog capacity exists: DAN and CEMDA have made impressive accomplishments, but there is a need for more groups like them.
- Legal framework more supportive of environmental conservation/protection: Though judges have been trained, they have been reluctant to challenge the current system and apply what they have learned.

1.3.4 Island restoration

(i) Overview of the theory of change

To date, island restoration efforts have focused on targeted eradication of introduced invasive species (mainly mammals) at select sites and outreach efforts to prevent ongoing local sources of introduction (Figure 11). In the future, GECI, the main institution the Foundation has supported in these efforts, intends to expand prevention efforts to the tourism sector. In addition, it would like to explore the use of incentives (e.g., access to lower cost renewable energy technologies) to encourage ongoing practices supportive of introduction prevention and conservation efforts. The underlying theory is that if relevant actors perceive a benefit above and beyond conservation, they will be more likely to engage in the desired conservation practices. This section, however, focuses on what the Packard Foundation has supported to date: eradication of invasives and outreach to prevent sources of introduction.

Figure 11. Theory of Change for Island and Site Restoration



(ii) Progress made toward GOC Subprogram outcomes and goals

Based on the results outlined in Figure 11, evaluation data suggest that there has been at least some **evidence of progress** for the following results:

- Invasives hunted/trapped; Invasive species eradicated or controlled: There have been several successful eradications.
- Local outreach to prevent introduction occurs; Introduction of exotics avoided: GECI has worked on environmental education initiatives with communities in the Islas Marías Archipelago. They have also worked with fishermen of various communities that use islands to prevent the introduction of invasive species.

There have been **mixed results** in terms of the following result:

- Local communities empowered for sustainable development: On some islands, local communities have learned about how to avoid introduction of exotics and have become empowered to care for their areas. GECI has longer term interests in empowering communities to participate in other conservation activities, such as sustainable fishing and sustainable energy, but this has not yet occurred.

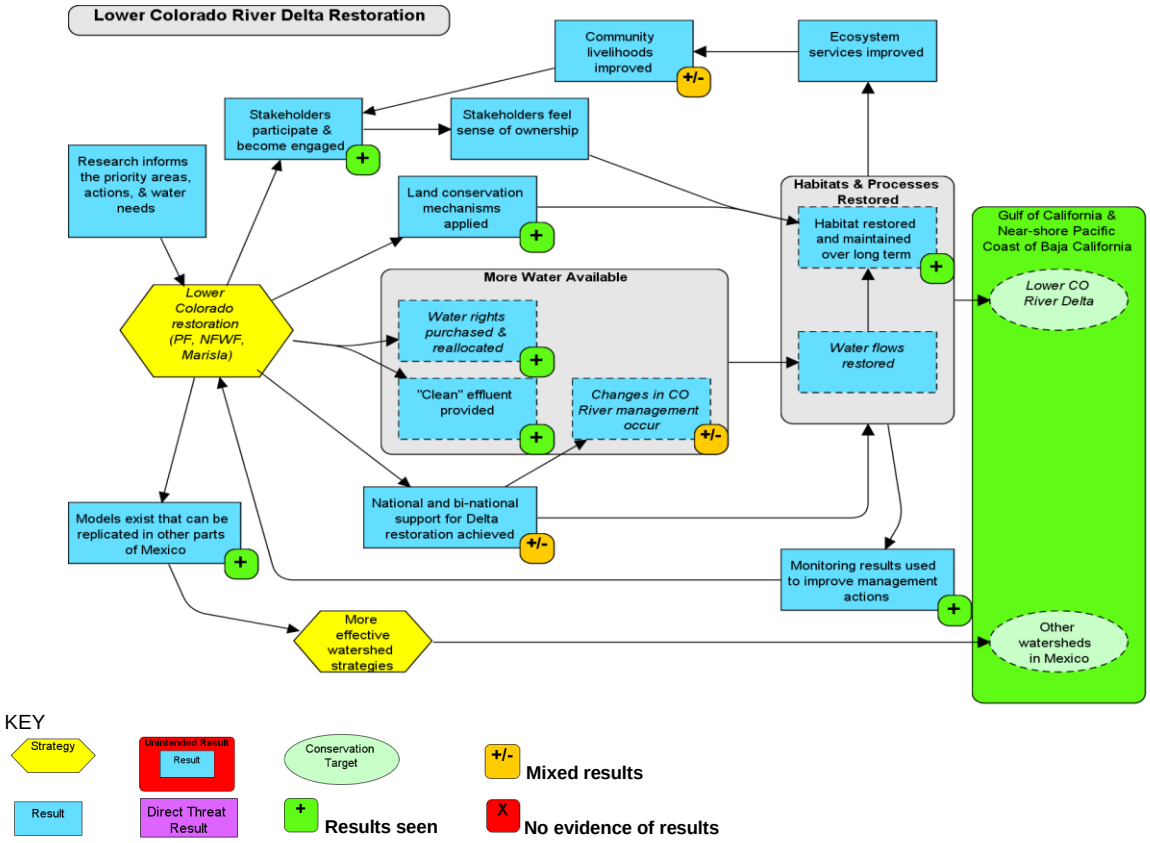
1.3.5 Lower Colorado River Delta restoration

Many of those we interviewed stated a need for those working in the Gulf to focus on watershed issues and go beyond a strictly marine or coastal focus. Clearly, what happens in the watershed impacts the condition of ecosystems and species downstream. To date, the GOC Subprogram has focused primarily on marine and coastal issues, with the work in the Lower Colorado River Delta being an exception. This work was not explicitly included within the original logic model, though the Strategy Paper does refer to it and indicates that without major changes in Colorado River flood management in the U.S., wetland restoration using agricultural runoff is largely insignificant from the marine perspective.

(i) Overview of the theory of change

Figure 12 shows the grantee-vetted theory of change for work supporting the Lower Colorado River Delta restoration. The chain assumes that research conducted in the region informs priority areas and actions. From there, restoration efforts follow several different courses. The central portion of the figure is where most emphasis has been placed – specifically to increase water availability, be it through the purchase/ reallocation of water rights, the provision of clean effluent, and/or changes in the Colorado River management. This last result is also a product of increasing national and bi-national support for Delta restoration. Collectively, the theory holds that these results will lead to the restoration of habitats and water flows, improving the health of the Lower Colorado River Delta. Restoration is also achieved via the application of land conservation mechanisms. The upper portion of the chain also indicates the importance of stakeholder engagement so that they feel a sense of ownership and restore and maintain habitat over the long term. This includes a feedback loop where if habitats and water flows are restored and maintained over the long term, there is an assumption that ecosystem services (and therefore community livelihoods) will improve, and stakeholders will be even more inclined to participate and become engaged. The bottom portion of the chain shows that ongoing monitoring of water flows and habitats will be used to improve management actions and feed directly back into the restoration strategy. Finally, grantees also pointed out that an important aspect of this work is that it is creating models that can be replicated in other parts of Mexico, thus leading to more effective watershed strategies that improve the health of watersheds throughout Mexico.

Figure 12. Theory of Change for Lower Colorado River Delta Restoration



(ii) Progress made toward GOC Subprogram outcomes and goals

Based on the results outlined in Figure 12, evaluation data suggest that there has been at least some **evidence of progress** for the following results:

- Stakeholders participate and become engaged: Several environmental groups, including Packard grantees Sonoran Institute and Pronatura Noroeste, are officially part of the bi-national discussions on water management.
- Land conservation mechanisms applied: Pronatura Noroeste has managed to get no-cost concessions for public wellbeing to protect important areas in the Delta.
- Water rights purchased and reallocated: Pronatura and the Sonoran Institute established a water trust and secured water rights in the Mexicali Valley that provide 1,013 acre-feet per year for environmental restoration purposes.
- Clean effluent provided: In 2007, the state of Baja California committed to dedicate effluent from the Las Arenitas wastewater treatment plant to the Hardy River, a tributary of the Colorado River. This was a major accomplishment by grantees Sonoran Institute and Pronatura.
- Models exist that can be replicated in other parts of Mexico: Many of the approaches and tools used (e.g., water trust, no-cost concessions, supplemental effluent) are new approaches that can serve as a model for other areas in Mexico.
- Habitat restored and maintained over long-term: Grantees felt there had been many successes in terms of wetland restoration. Riparian restoration has been a bit more challenging, while marine conservation has shown few results to date.

- Monitoring results used to improve management actions: Key informants indicated that they have been monitoring habitat improvements and water flow and use this information to help them adjust their strategies.

There have been **mixed results** in terms of the following results:

- Community livelihoods improved: Grantees consulted felt the progress here had been slower than they hoped. They also have not developed indicators to get at this result, so they have not measured anything directly. There have been efforts to establish an eco-camp/tourism venture, and they hope to see results within the next 1-2 years.
- National and bi-national support for Delta restoration achieved: Changes in Colorado River management occur: Environmental groups are now part of the bi-national discussions and have achieved important agreements, including Minute 316, which represents the first time both countries have dedicated water for environmental purposes to the Delta. Still, there is much to be achieved to ensure that long-term changes in river management continue to occur.

2. PACKARD FOUNDATION ORGANIZATIONAL SUPPORT AND OVERALL ROLE IN THE REGION

This portion of the evaluation is divided into two main sections: capacity support and role of the Packard Foundation in the region. While these are not explicit strategies of the GOC Subprogram, they do, in fact, represent a suite of activities in which the Foundation has invested to promote conservation in the Gulf. For each of these sections, we discuss progress, challenges, and lessons learned.

2.1 CAPACITY SUPPORT

The Packard Foundation has been the most influential private foundation in the Gulf for many years. Since the beginning of its support, the Foundation has made significant investments in capacity development in the region although it has not been an explicit, stand-alone strategy of the GOC Subprogram, (that is, it is not listed in the 2006 GOC strategy document). However, components of organizational and capacity support pervade all of the strategies undertaken by the Foundation.

2.1.1 Capacity support strategy

(i) Overview of the theory of change

We developed a theory of change for capacity support similar to the way we developed chains for the strategies we have discussed previously. Unlike the other chains, however, there were no preliminary chains or logic models we could rely on to develop the first draft. This chain, therefore, is a less refined chain than the others. It is, however, based on specific factors taken from various portions of the GOC strategy-level logic models and thus contains factors previously targeted by Packard Foundation funding in the region. In addition, we discussed this chain with Packard Foundation staff only, as the purpose of the capacity development strategies was to support grantees and not provide them with funds to implement a specific strategy. For these reasons we have not rated each specific factor in terms of evidence supporting its achievement as we did for the explicit GOC strategies,

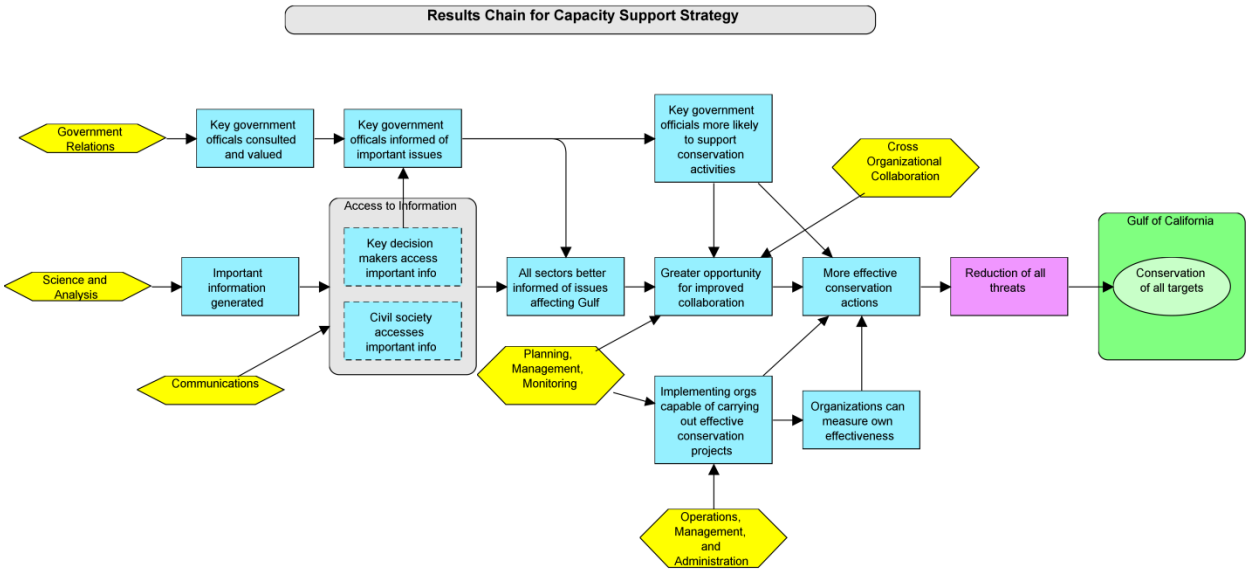
Based on the key informant interviews and the online survey, we identified six sub-strategies that Foundation partners report as being important Foundation contributions on the Gulf. These include:

1. Operations, management, and administration

2. Communications
3. Science and analysis
4. Cross organizational collaboration
5. Government relations
6. Program planning, management, and monitoring

The results chain in Figure 13 below shows the linkages that are supported by the interviews we conducted and the documents we reviewed.

Figure 13. Results Chain for Capacity Building



(ii) Progress made toward GOC Subprogram outcomes and goals

In this section, we highlight the main achievements the Foundation has accomplished through its organizational and capacity support efforts.

"Capacity is a necessary condition for success." We put this in quotes because many key informants said this almost verbatim. Grantees mention this as a "basic principle" that many other funders often overlook. The Packard Foundation has the reputation of supporting capacity development of their partner organizations as a way for them to be prepared to implement programmatic activities in the future.

The Foundation has contributed to strong *local* capacity. Key informants report (and a review of Foundation files supports) that the Packard Foundation has been responsible for catalyzing a very important process in the Gulf. In the 1980s and 1990s, conservation in the Gulf was dominated by big international non-governmental organizations (BINGOs), including WWF, TNC, and CI. There was very little local capacity in the Gulf. But the Foundation began to make deliberate grants to smaller local NGOs.

Packard "partnered" with NGOs to build capacity. Many key informants commented on the unique way the Packard Foundation worked to create capacity in the Gulf. In particular, many key informants mentioned the words "partners" or "partnership" – rather than grantee-grantor – when they talked about their relationship with the Foundation.

Packard Foundation support contributed to a healthy civil society. Many key informants mentioned the growth of civil society – and real local participation in Gulf of California affairs – over the past 15 years. They attribute this change in great part to the support the Foundation has provided directly to local NGOs and individuals – and indirectly to local and regional government (through NGO and Foundation-funded training opportunities).

The Packard Foundation covers basic operating costs of most of the region's NGOs for the implementation of their projects. The Packard Foundation GOC Subprogram either directly – or indirectly through Organizational Development grants – supported grantees' general administrative costs not normally covered by donors. These administrative grants were used to pay management salaries, contract accounting work, purchase computers – or do anything else programmatic grants often do not cover.

The Foundation supported other organizations to provide capacity support in the Gulf. Not only did the Foundation support capacity of individual organizations to be able to implement conservation actions, but also it supported other organizations in the region whose mission is to provide further capacity and technical support. For example, the foundation supported organizations such as CEMDA and DAN to help local organizations with legal issues and work with lawyers and judges. Other examples include:

- Support of NOS and Centro para Colaboración Civica (CCC; Center for Civic Collaboration) to help on issues related to mediation.
- Support and training in sustainable fisheries management
- Support and training in communications and networks

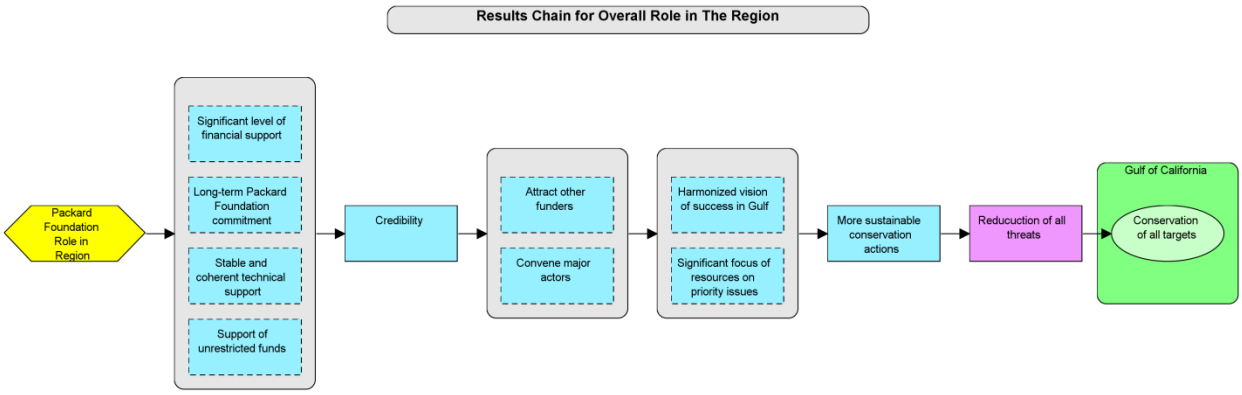
2.2 OVERALL ROLE IN THE REGION

2.2.1 Overall role in the region

(i) Overview of the theory of change

The GOC Subprogram had no explicit written strategy related to this "value-added" function and so we attempted to develop a results chain based on key factors we identified throughout the GOC logic model and discussions with GOC Subprogram staff and grantees. We have necessarily interpreted and generalized key functions that we believe pervade the overall GOC strategy in the Gulf and therefore, the following results chain may appear to be somewhat simplified. It did, however, provide us with an effective framework to assess retrospectively the effects of the Foundation on important issues and actors in the Gulf.

Figure 14: Results Chain for Overall Role of Foundation/Value-Added



The most direct and tangible aspects of the Foundation's role in the region have been funding and technical support. As we described in the previous section, funding has been for programmatic work as well as general, administrative, and management-related activities (what are often classified as overhead). As we have also mentioned previously, the Foundation's support has been unique because it has been very consistent and represents a deep and long-term commitment to the region. Taken together, these factors give the Foundation unique credibility in the region to undertake or facilitate other processes, including convening key partners on important issues and attracting other funders who wish to take advantage of the good work the Foundation has done and the relationships it has built before them. These factors, in turn, lead to a greater shared vision of what must be achieved and what resources are required to achieve this vision, leading to improved conservation.

Given that we developed this chain based on our own perceptions and analysis and did not validate it with grantees, we did not attempt to rate Foundation achievement on each of the intermediate results included in the chain. Instead, we use the chain as a framework for a more general discussion of the perceived added value of the role of the Foundation in the Gulf of California.

(ii) Progress made toward achieving results

In this section, we highlight the main achievements related to the overall role of the Foundation in the region.

The Foundation is a very credible actor in the region. Over the past 12 years, the Packard Foundation has built a very sound and credible reputation.

The Foundation attracts and facilitates support from other funders. The Gulf of California is a unique conservation area in that it enjoys tremendous support from many major private funders in addition to the Packard Foundation, including the Walton, Sandler and Marisla Foundations and, more recently, the Helmsley Trust. In the eyes of most people with whom we spoke, the Packard Foundation is seen as the lead Foundation in the Gulf and is responsible for attracting other donors to the region.

The Foundation is a leader in convening important actors and partners. Perhaps because of its long history in the Gulf and credibility, the Foundation is seen as a leader in convening important actors. Not only has the Foundation been successful bringing together NGOs, but it has also been able to bring government agencies to the table.

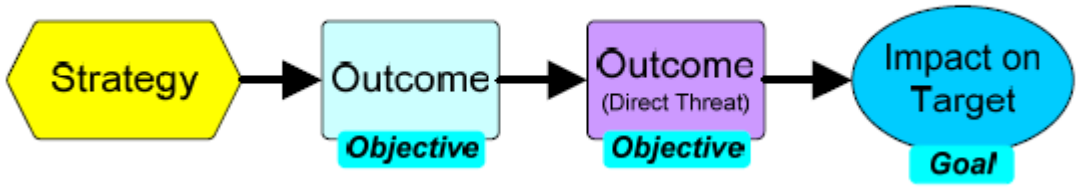
Packard has promoted a harmonized vision and "language" for the Gulf. Most people we talked to for this evaluation feel that there is a shared vision for what the Gulf should look like in terms of conservation outcomes, but what is less clear is exactly how to realize this vision. The Foundation is seen as a leader in promoting a shared vision and working on shared goals.

APPENDIX I. USE OF RESULTS CHAINS IN EVALUATIONS

What are Results Chains?

A results chain is a tool that shows how a project team believes a particular action it takes will lead to some desired result. More specifically, for conservation projects, a results chain represents a team's assumptions about how project or program strategies will contribute to reducing important threats, leading to the conservation of priority targets. In essence, results chains are diagrams that map out a series of causal statements that link short-, medium-, and long-term results in an "if…then" fashion. As shown in Figure 1, there are three basic components of a results chain: a strategy, expected outcomes, and desired impact. Using these components, a project team can then go on to define objectives and goals that describe desired future outcomes and impacts, respectively (see Box 1 for a definition of these terms).

Figure 1. The Basic Components of a Results Chain



Results chains are often derived from conceptual models. But they differ in that conceptual models show the state of the world before the project takes action, while a results chain shows the state of the world resulting from this action. Results chains are similar to the logic models used by many organizations, but results chains have the added benefit of showing more detail and the direct relationship between one result and another.

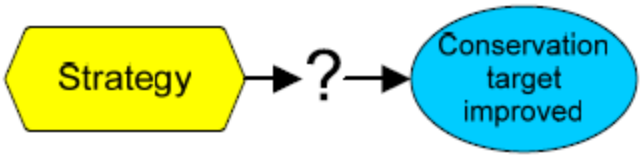
Why Results Chains Are Useful

Results chains help conservation project teams accomplish three things:

1. Discuss and Refine Their Theories of Change

Often, project teams implement strategies without really knowing for sure how these actions will lead to conservation. They rely on past experience, expert knowledge, or wishful thinking to guide their selection of strategies. Whatever the reason, they rarely formally state their assumptions about exactly how their strategies will achieve their desired outcomes and impacts. As shown in Figure 2, it is likely that they have many implicit assumptions about how their strategies will contribute to achieving conservation – these series of assumptions represent their "theory of change." At the same time, it is not uncommon for members from the same team to hold different assumptions that they have not communicated with one another. Because the assumptions are not explicit, the project team cannot come to an agreement on their theory of change or test it and learn over time whether it is valid.

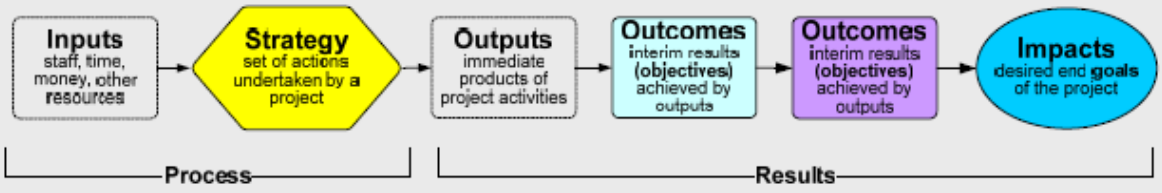
Figure 2. Implicit Assumptions



For example, a team may decide that they will help build community capacity for forest resource management and that this will decrease illegal logging in indigenous communities and conserve the state of primary forest in those communities. But, how will they know if that has happened? They may assume that stronger community capacity will increase community knowledge about their rights, and with these rights, they will exert more control over external actors, including those responsible for the illegal logging. The team may also assume this control will result in more illegal wood confiscated and less illegal logging. It is quite likely, however, that they have not made their assumptions explicit – and that they are not testing them. As such, they have little chance of systematically testing whether their actions are contributing to less illegal logging and the conservation of primary forest.

Box 1. An Overview of Terms Used to Describe Results

There is a great deal of confusion over the different terms used to describe the results of a project. What one person calls an "outcome," another calls a "result," and yet a third person calls an "impact." The following figure shows the terms as they are most commonly used by evaluation experts in different fields such as development and public health.



Note: Results chains do not generally show inputs and outputs but rather focus on performance-oriented results

Based on the above figure, the following terms can be defined for use in results chains in biodiversity conservation projects:

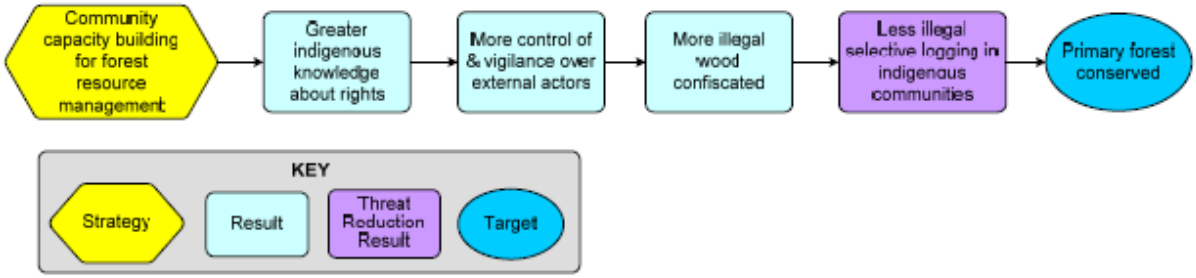
- **Strategies** – The actions or interventions that a project implements.
- **Outcome** – The desired future state of a threat or opportunity factor. An **objective** is a formal statement of the desired outcome.
- **Impact** – The desired future state of a conservation target. A **goal** is a formal statement of the desired impact.
- **Result** – A generic term used to describe the desired future state of a target or factor. Includes impacts, outcomes, and outputs.

The above terms refer primarily to a sequence of results in a logical sense. There is also a sequence of results in a temporal sense:

- **Final result** – The ultimate desired result over time.
- **Intermediate result** – A milestone along the way to that final result.

If, however, the team members make their assumptions explicit using a results chain as shown in Figure 3, then they can debate their theory of change both internally and with external stakeholders and advisors. They can see if the results they expected to see actually materialize. They can also look outside of their results chain to see if other external factors might be influencing the degree to which they are achieving their expected results. For instance, in the community capacity building example, there are many points at which this project team's logic could break down – for example, just because the community has greater knowledge about its rights does not mean that they will take the next step and exert more control over illegal loggers. Perhaps there are security concerns that would prevent them from taking action. Or maybe they are able to reduce the amount of illegal selective logging that happens, but the government has just designated a block of forest for clear cutting. So, the primary forest would still not be conserved. This new knowledge may prompt the project team to revise their theory of change to take into consideration these other influences, or it may prompt the team to modify or abandon this strategy because it is not likely to be successful under the current conditions.

Figure 3. Results Chain for Community Capacity Building for Forest Resource Management

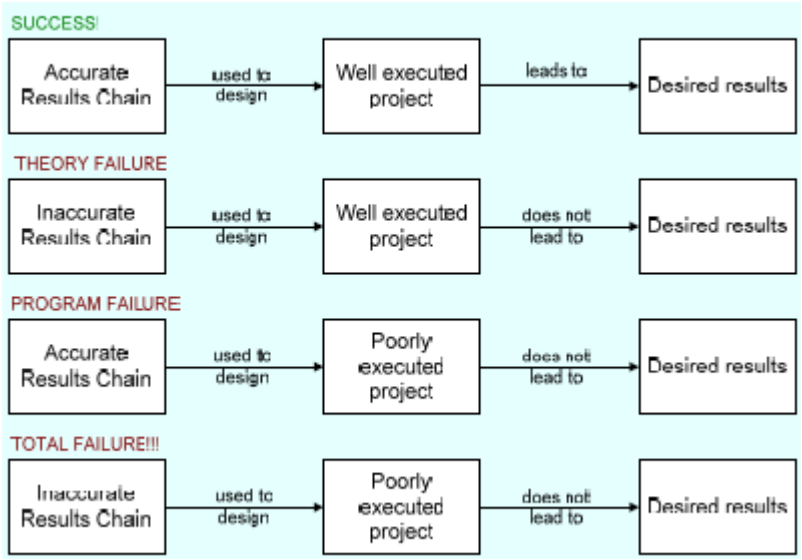


To be successful, a project must be based on both sound project theory – in other words, an accurate results chain – and good implementation. When a project does not produce desired results, people usually assume that the project team did not carry out the planned activities well enough. As shown in Figure 4, however, even when the project team does an excellent job implementing the project activities, they may still fail because the theory of change was wrong. Results chains can be used to help diagnose this theory failure once it has happened, or better yet, before the project is fully designed and implemented.

2. Measure Effectiveness

Once a project team has come to agreement on their theory of change, they can use their results chain to define their project objectives and indicators needed to measure effectiveness. An objective is a desired result that is specific, measurable and time-bound (See FOS guidance on objectives for more detail, forthcoming at www.fosonline.org). Determining a project's objectives is often a struggle for project teams. It is quite common for teams to try to develop objectives that are merely shorter-term versions of their goals. It is also quite common for teams to just try to brainstorm objectives without considering what should qualify as an objective. Results chains help teams avoid both of these common errors because they explicitly lay out all the results that a team should consider for setting objectives. Because objectives should be tied directly to results, the team should only set objectives for the results they specified in their results chains. Thus, results chains help teams narrow down a huge universe of potential objectives to those that will help them determine if their theories of change hold.

Figure 4. Necessary Ingredients for Project Success



For example, returning to the chain in Figure 3, if a project team wants to achieve the result of "more indigenous knowledge about rights," they can convert this result into an objective by specifying who needs to have more knowledge (how many individuals and communities), what knowledge they need to have, and by when. They can then identify indicators to measure whether or not they achieve this desired change. Establishing objectives and indicators along the chain will set the project team up to collect the data needed to test their assumptions and learn whether their theory of change is valid.

In addition to project-cycle monitoring, results chains are also useful to help set up more formal experimental monitoring designs where appropriate. By laying out hypotheses in a results chain, project teams and researchers can then develop and implement the appropriate research design to test these hypotheses.

3. Develop a Common Framework for Cross-Site Learning

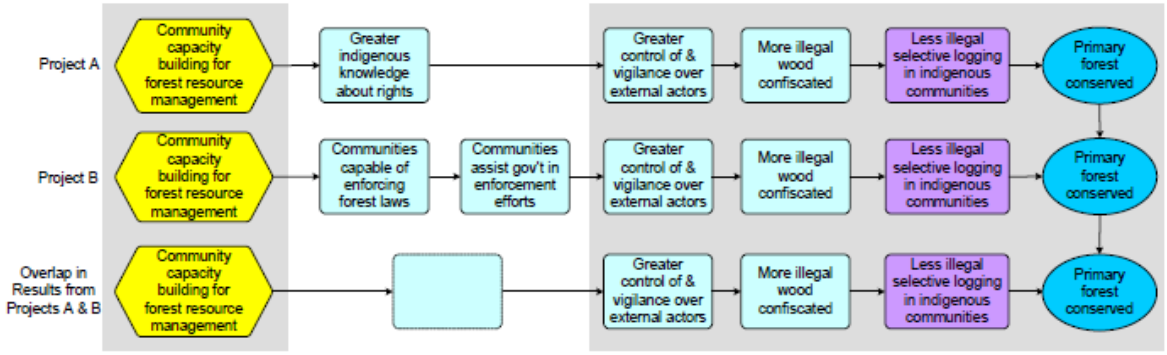
Finally, results chains can help practitioners learn across sites. Project teams working in different sites are often implementing the same strategies and have common assumptions about how these strategies will contribute to conservation. Results chains can provide a framework for defining and testing these common assumptions and learning about the conditions under which a strategy is or is not effective, and why.

For example, two projects operating in different parts of the country or even the world might be using a similar community capacity building strategy for forest resource management to ultimately influence the direct threat of illegal selective logging and ensure the conservation of primary forest (Figure 5). Project A is using the strategy to help indigenous communities understand their legally-granted rights and assert these rights The team assumes this will lead to greater control over external actors and this, in turn, will help communities confiscate illegal wood, thus reducing illegal selective logging and conserving the primary forest.

Project B is using the community capacity building strategy to train indigenous community members to enforce forestry laws. Trained members would then work directly with government enforcement

officials to enforce forestry laws. As with Project A, the team assumes this would lead to more control and vigilance over external actors, more illegal wood confiscated, and less illegal selective logging. As Figure 5 illustrates, these two projects operating at separate sites share many assumptions in common. By explicitly laying out those assumptions in a results chain, they would have a framework for defining and testing the common assumptions and learning about the conditions under which this community capacity building strategy is or is not effective, and why.

Figure 5. Overlap in Results Chains for Community Capacity Building in 2 Projects



When to Use Results Chains

Results chains are an important tool to use in Developing Your Action Plan (Step 2A of the CMP *Open Standards for the Practice of Conservation*). In particular, results chains help you make your assumptions explicit about how your strategies will help you achieve your conservation results. You will also use the results chains for Designing Your Monitoring Plan (Step 2B) and for the Analyze, Use and Adapt step (Step 4), when you will analyze the extent to which you have achieved your goals and objectives and why you have or have not seen progress. If you have implemented your project as planned but have not achieved your desired results, you should examine what assumptions in the results chain may not be valid and make necessary changes to strengthen your project theory. The results chains will also be important inputs for external evaluations (Step 5C), because they define your project theory, which provides evaluators with a framework for measuring the progress of your project.