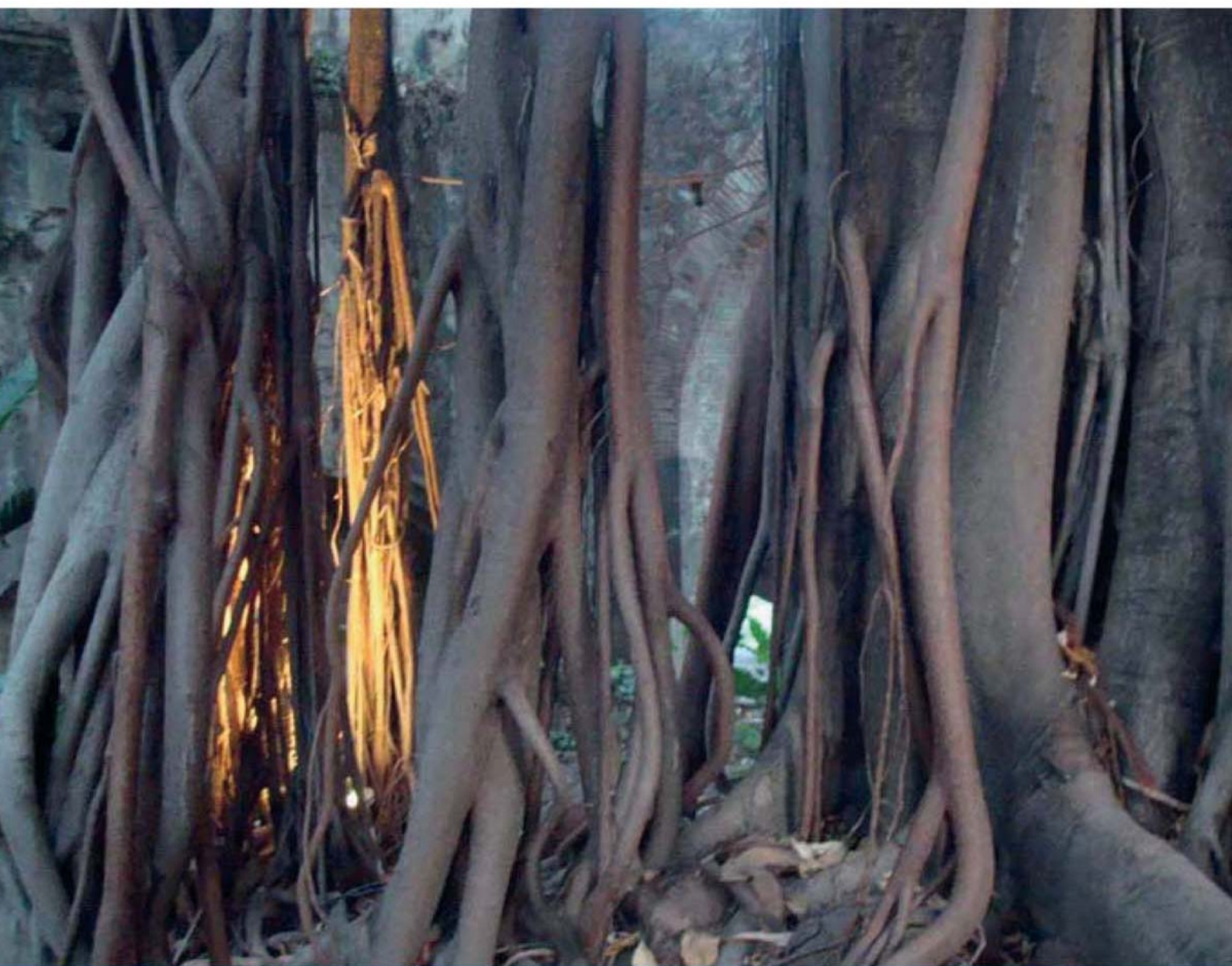




# Small grants for conservation

Inventory of small grants to biodiversity projects in Central and West Africa with analysis of the funding model

S. Powell, L. Mesbah



PAPACO Study n°22



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Central and West Africa Programme (PACO)  
01 PO Box 1618  
Ouagadougou 01  
Burkina Faso  
Phone +226 25 37 42 16 / 25 40 99 42 / 25 37 46 85  
E-mail: [paco@iucn.org](mailto:paco@iucn.org)

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## 1. Abbreviations

**CSO:** Civil Society Organisation

**IUCN:** International Union for the Conservation of Nature

**(IUCN) PACO:** (IUCN) Programme Afrique centrale et occidentale

**GEF:** Global Environment Facility

**GEF-SGP:** Global Environment Facility Small Grants Program

**GIZ:** Deutsche Gesellschaft für Internationale Zusammenarbeit - German Agency for International Co-operation

**NGO:** Non-Governmental Organisation

**PA:** Protected Area

**PPI:** Le Programme de Petites Initiatives

**SG:** Small grant

**SGP:** Small grants project or programme

**ToR:** Terms of Reference

**WCA:** West and Central Africa

**WWF:** World Wide Fund for Nature

## 2. Terminology

Project, Program and Intervention:

In this report, "project" refers to a single, time-limited endeavour and "program" refers to a larger initiative that usually includes many smaller projects, in particular "small grants programmes", which are programmes with the main aim of administering a large number of small grants. "Intervention" can be used to mean either project or programme.

Indicator:

The term "indicator" in biological sciences often refers to bioindicators which are actual biological entities such as specific species (Niemi and others 2000), but in evaluation, it refers to any variable which reflects a key outcome (Rice 2003), which is the way the term will be used here.

## 3. Acknowledgements

The evaluators would like to sincerely thank all the partners and stakeholders in Burkina Faso, Ghana and Niger, listed on p. 106, who took the time to meet us and talk to us about their experiences with small grants. We would also like to thank the 30 colleagues from across West and Central Africa who filled in our online questionnaire. Finally we would like to thank IUCN staff and Sébastien Regnaut in particular for their support.

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### Detailed conclusions and recommendations

Conclusion: The total volume of funding and the number of projects for protection of conservation and biodiversity in Western and Central Africa has been significantly increasing during the last 10 years. This follows a world trend, driven by GEF. This is not necessarily good news because this increasing funding occurs in parallel with an increasing threat to biodiversity worldwide, and the funds are far from matching the increasing needs to protected biodiversity with often in increasing growing human population in Westerns and Central Africa. .... **46**

Conclusion: Comparing the amount of funds available for small conservation / biodiversity grants with total funds, small grant funds are only around 5% of the total, though the proportion is growing. Non-GEF small grants represent only about 1% of all funding. .... **46**

Finding: Over the whole period 2004-2012, non-GEF small grants were 1.17% of full-scale funding. This proportion has been increasing, reaching 1.59% in 2012. .... **46**

Conclusion: small grants programmes are remarkably diverse and complementary in terms of grant sizes and implementation model. However, GEFSGP represents about 5/6 of all small-scale funding. This is not an optimal balance. For example, GEFSGP is not active in every country on every topic, so adequate funding for other programmes can help to fill in the gaps. .... **46**

Conclusion: A couple of the countries like Ghana, Senegal, Cameroon and Togo have been covered well by different small grants programmes. Other countries have only had projects from one programme, in most cases GEF. Gabon, RoC and Rwanda have relatively small GEFSGP budgets but instead are well served by CARPE. **47**

Conclusion: Comparing Yale EPI data and OECD data, it seems that small grants and especially large grants go to countries with better environmental health data. However, the analysis around p. 65 suggests that this connection might be caused by a hidden third variable, namely perceived government transparency. .... **47**

Conclusion: On average, small-grant funding goes to the same countries in the same years as full-scale funding, even allowing for influence of land area, population, environmental need etc. However, there is a weak tendency that more small grants are given by year to larger countries and poorer countries and countries with lower populations, i.e. small grants do contribute somewhat to filling in the gaps. .... **47**

Recommendation: Small-grant funding could try harder to fill in the gaps in countries and years where full-scale funding is weaker. .... **47**

Recommendation: Programmes should try to use at least 2-5 of the most important indicators as highlighted in the new CEPFM&E guidelines (CEPF 2013) which are most suitable for covering progress on many or all of the projects. See also GEF biodiversity guidelines (GEF 2011). .... **52**



Conclusion: in their communications and PR material, programmes tend to focus on a small number of best-practice projects. In standard monitoring practice, it would be very misleading to focus only on a few outstanding projects out of many and highlight their individual achievements. But in the case of SGPs this is legitimate providing it is made clear that these results are probably not typical and cannot be generalised to the other projects. ....	52
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Recommendation: Planning of projects and programmes should try to identify how they intend to add value – if what they do is looking for future leaders and/or innovation, then they should have indicators that help accordingly and they should organize their technical support in this objective. ....	59
Recommendation: Wherever possible and appropriate, projects should at least track 1-3 key project-specific indicators that are important to the project and are easy to measure, to be recorded at least once during the project as well as at baseline and endline. These should be indicators which are useful for internal project management to answer the question "how are we doing?" ....	59
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Conclusion: programme-level successes such as the identification of and support to "star CSOs" are probably at least equal in value to the direct environmental benefits due to each of the individual projects. ....	62
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Conclusion: There is some strong evidence of impact on "intermediate outcomes", i.e. those which are desirable mainly because they should help influence goal-level variables such as establishment of CSO networks, mainly as collected by larger programmes such as GEF and CEPF. Small grants often contribute to the development of individual NGOs and help to nurture a small number of "star" NGOs in each country. Positive impact on intermediate outcomes means it is highly likely that small grants programmes do ultimately positively impact on external goals like biodiversity; however this cannot be demonstrated conclusively. ....	63
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## B. Executive Summary

This study was commissioned by IUCN Programme Aires Protégées – UICN-PACO in late 2014 to develop comprehensive understanding for the scaling potential of the “small grants for biodiversity” model, and to improve the design and/or targeting of future investments. The objectives of the study are to assess the effectiveness and efficiency of delivery of the planned outcomes from small grants programmes in West and Central Africa during the past 10 years as well as their impact on biodiversity. After over 15 years of SGP without evaluation of the model, we ask whether the SG model has delivered conservation outcomes efficiently and effectively, if it has had an impact on its objectives and how may it be optimized by users (donors).

The grants included in the study are those valued at under 50,000 USD since the 1<sup>st</sup> of January, 2004, made available to any recipient, including civil society organizations, private individuals, academic institutions and the public sector, i.e. national / local government in Central and West Africa. Gathering data from public databases, donors databases, donor reports, global surveys and a short survey from a number of recipients in the region, we found that in WCA about 15 programmes were identified that have provided 5 or more small grants to environmental projects in the region over the last 10 years, totalling at least 80 million USD, which is approx. 5% of the total funds dedicated to biodiversity conservation and 1% of total environmental funding. During this period, small grant funding has increased more than total funding, although northern parts of the region and poorer countries with lower ecosystem vitality seem to attract more small grants than larger funds. Biodiversity appears less as a central theme in project titles and documentation than in the past, losing ground a little to climate change. A list of programmes is constructed and available for providing funding for small grants in the region, which should be useful for NGOs or others seeking grants<sup>1</sup>.

Looking at theories of change and achievements, the report distinguishes clearly between the project and programme levels: the impact of a small grants programme consists of the aggregated impacts of its projects plus programme-level achievements. Similarly, a small grants programme's theory of change is not only an amalgam of the constituent projects but is, over and above that, an explanation of how providing grants in this way to these projects can support environmental outcomes. We find that small grants programmes can demonstrate success at the programme level, which often goes beyond the aggregate successes of their constituent projects, such as supporting development of new ideas, emergence of CSOs in a country or individuals who end up having some impact locally or nationally. However, an overall evaluation of the impact of these projects and programmes is inherently challenging, as although such data is available at present for current and past programmes, there is not enough of it to be able to make very solid claims about the impact in general.

Some monitoring and evaluation frameworks at the global and programme scale are available, however the conception of each of them appears mostly insufficient and they are not compatible between programs. At the level of individual projects they mostly do not go beyond the level of reporting on some successes at the output level, e.g. number of hectares protected. Working with available indicators and the database that was produced by the present study, it will in future become necessary for SGPs to be able to demonstrate and monitor their impacts and their effect on society and on conservation, and also to develop a culture of learning from both successful and failed projects.

Furthermore, the efficiency of the model remains under-determined. If SGP address activities that are not costly in general, the rate of unreported failures is unknown and the total administration cost does not seem to be very different from large funds/programs. We note that economies of scale can be significantly achieved when the SGP is attached to a larger fund and targeted at niches that the large fund does not address. There seems to be little relationship between the size of small project grants and their impact. On the other hand, there is some evidence that larger programmes can be more efficient than small programmes due to a reduced proportion of overheads.

Several models and formats of SGP are reported in this study, which enabled the identification of different factors and mechanisms that affect the ability of programmes and projects to add value and maximise environmental/biodiversity benefits. It appears that four main factors had a critical influence on SGP delivering positive outcomes: i) supplementary technical support and management provided to the recipients, ii) adaptation to the local context through a diverse way of engaging with the local CSO and youth, iii) the longer duration and sustainability of the investment, and finally iv) through clearly established objectives and transparent values especially when the SGP is leveraged to affect some specific niches such as science focus actions, emergencies, nurturing future leaders and innovation or investing in best practices.

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<sup>1</sup>A version of the list itself can be found in [Appendix: List of most important programmes](#)

## Conclusions and Recommendations

There is substantial evidence that Small Grants Programmes in West and Central Africa are an efficient and effective use of donor funds. They represent a very small proportion of overall funds for biodiversity and they have helped to fill niches that larger projects were unable to cover. Perhaps most importantly, they have helped identify and support some very promising, high-performing CSOs and CSO networks (“star CSOs”) which have a disproportional influence on biodiversity protection. However, small-grant funding could try harder to fill in the gaps in countries and during years in which full-scale funding is weaker. Alongside small grants programmes per se, larger programmes can benefit from including one or more smaller projects.

Funding of small-grants adds value to environmental aid through their unique abilities such as:

- The ability to fill in even short-term gaps in countries and niches where full-scale funding is weaker;
- The provision of opportunities to take risks and experiment, with tolerance of failure;
- The capacity to engage local people and communities in actions that are meaningful to them and to their governments as well as to donors

Programmes should reflect on, clarify and share their strategic vision and theory of change for their own small grants programmes, and ensure that, in most cases, approved projects fit into this strategy.

Programmes should make more effort to share past and present experiences with particular project implementation models in order to constantly improve on previous approaches and support real innovation rather than be constantly “re-inventing the wheel”. IUCN could provide support to a mechanism for sharing project models, experiences with them, and ways to monitor their progress.

Programmes should make a much greater effort to understand biodiversity protection from the point of view of young people and find innovative ways to develop projects together with them.

Partner CSOs often lack capacity, and yet their capacities are key to the unique strengths of the small grant model. Accordingly, programmes should keep their partner CSOs in focus and help them to develop, whilst easing the administrative burden of project participation.

Especially in biodiversity and conservation, most projects are far too short-term and we found that 85% of grant recipients have never received a grant from the same programme before. Programmes should provide a longer-term perspective for implementing partners while preserving conditionality, i.e. with contracts renewable on the basis of good performance. They can also help CSOs forge long-term partnerships with specialist and technical partners and not only funding agencies.

IUCN should help identify potential shared indicators for project impact (“external outputs”) such as those highlighted in the new CEPF M&E guidelines (CEPF 2013), which are easy to directly attribute to a project but at the same time represent meaningful and externally valid contributions towards biodiversity. Examples for external outputs are CSOs achieving a certification in project management, or the number of hectares protected to a particular standard.

Projects should at least track 1-3 key project-specific indicators that where possible could include such “external outputs” but also include other easily measured indicators important to the project.

---

## C. Introduction and background

### 1. About IUCN<sup>2</sup>

- Founded in 1948 as the world's first global environmental organisation;
- Today's largest professional global conservation network;
- A leading authority on the environment and sustainable development;
- More than 1,200 member organizations including 200+ governmental and 900+ non-governmental organizations;
- Almost 11,000 voluntary scientists and experts, grouped in six Commissions in some 160 countries

### 2. Terms of reference

#### a. Title

The title of this report is

Inventory of small grants to biodiversity projects in Central and West Africa with analysis of the funding model.

#### b. Goal

The goals of this study are to develop comprehensive understanding of the scaling potential for the "small grants for biodiversity" model, and improve the design and/or targeting of future investments.

#### c. Objectives

The objectives of the study are to assess the effectiveness and efficiency in delivering the planned outcomes from small grants programmes in West and Central Africa during the past 10 years and their impact on biodiversity.

#### d. Scope

Financial grants (not loans) valued at under 50,000 USD since the 1<sup>st</sup> of January, 2004, made available to any recipient, including civil society organizations, private individuals, academic institutions and the public sector, i.e. national / local government. Only commercial institutions are excluded as recipients.

The parameters of the scope are explained below:

##### Size of projects

The original Terms of Reference left the exact upper limit for the definition of "small grants" flexible. The cut-off should depend partly on an examination of the actual funds available and whether they themselves have any strict upper limits. Looking at actual grants awarded, the cut-off of 50,000 USD (upper dotted line) seems to make most sense as most of the programmes have a small grants limit at around 50K USD. However, nearly half of the PPI projects are over that value, and most Darwin and CEPF projects are well above this level - see the table below.

On the other hand there is a distinct and perhaps newer category of sub-5,000 USD projects, which might be called "micro-projects" and will also be included.

Note that these figures refer to the size of the grant; some projects may be larger in total. Projects in the last ten years within Central and West Africa are included in this table.

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<sup>2</sup><http://www.iucn.org/about/>

	under_50000USD	over_50000USD
CARPE	129	0
CEPF	2	0
CFH	22	0
CLP	18	0
Darwin	13	20
FFEM_PPI	87	44
Fondation_Ensemble	18	0
GEF-not-SGP	27	381
GEF_SGP	2218	0
MAVA	5	35
Mohamed_bin_Zayed	71	0
Rufford	219	0
SOS	11	10
Veolia	6	2
Whitley_Award	8	0

Projects under and over 50K USD, by Program

### Date of projects

Projects are included if the date of the funding agreement is later than the 1<sup>st</sup> of January 2004. This date was chosen to approximately provide a ten-year span for the research and because there is much less data available from older projects.

### Recipients

Grant recipients can be anybody except commercial actors, so this includes individuals, NGOs and educational institutions as well as the private sector.

### Donor

Grants may be from any donor including private firms and individuals, in Central and West Africa, for the purposes of biodiversity.

### Topic

This research will focus on projects with a subject matter of "biodiversity" in a broad understanding of the term. It should also include work on related aims such as sustainable forest management and climate change, which are likely to also have a strong impact on biodiversity such as pollution reduction even if it is not the stated main aim. The term "conservation" was not used as the scope should certainly include some projects aimed at restoration and sustainability, which are usually considered to be separate categories and not sub-categories of conservation.

### Country list

Lists of those countries that belong to West and Central Africa can vary slightly from agency to agency; this is the list approved by IUCN<sup>3</sup>

Angola; Benin; Burkina Faso; Burundi; Cameroon; Cape Verde; Central African Republic; Chad; Democratic Republic of the Congo; Equatorial Guinea; Gabon; Gambia; Ghana; Guinea; Guinea Bissau; Ivory Coast; Liberia; Mali; Mauritania; Niger; Nigeria; Republic of Congo; Rwanda; Saint Helena; Sao Tome and Principe; Senegal; Sierra Leone; Togo.

<sup>3</sup>source: <http://cmsdata.iucn.org/downloads/paco20092012.pdf>; though this report also covers Angola



Countries in the Region

### 3. Brief overview of research questions and methods used

How can impact, effectiveness and efficiency of small grants programmes be assessed, individually and collectively?

#### a. Understanding two different levels: Programmes and Projects

The main research question is not "small grants versus larger grants". It is more useful to look at these two overlapping questions:

- Programme-level question: how good are small grants programmes at protecting biodiversity? Is it better to fund a small grants programme or invest the money another way, for example in a large grant or some other kind of programme? Usually that is not a yes-or-no question but can be formulated as: where do small grant programmes make sense?
- Project-level question: how good are individual small projects, funded by small grants, at protecting biodiversity?

An answer to the programme-level question also depends on the answers to the project-level question.

This report tries to distinguish clearly between the project and programme levels when looking at theories of change and achievements. So the impact of a small grants programme consists of the aggregated impacts of its projects plus programme-level achievements. Similarly, a small grants programme's theory of change is not only an amalgam of the constituent projects but is, over and above that, an explanation of how providing grants in this way to these projects can support environmental outcomes.

To understand how small grants programmes work we have to understand two interrelated kinds of mechanism: the larger-scale functioning (or "business model") of the programme and also the micro-level of the projects.

All the small grants programmes considered here identify more or less explicitly their theory of change: how does this programme via support to small projects, positively influence biodiversity?

#### b. Efficiency

Efficiency concerns how well inputs such as funds are converted into outputs and outcomes, so it is a key question for this piece of work.

#### c. Effectiveness

The standard definition of effectiveness is the extent to which an intervention achieves its objectives. This can be assessed at the project level provided that project data gives the original planned targets and also records performance against those targets. It can also be assessed at the programme level, i.e. do the project-level and other results feed into completion of programme objectives? It is likely that in many cases, projects and even



programmes did not in fact set targets or establish baselines, which would make it impossible to calculate effectiveness. In any case, though the reaching of targets is very important information for internal management, it means almost nothing from an external perspective without information on two more things:

- How ambitious the targets were. Suppose we know, for example, that of 100 projects, 90% achieved 90% of their goals. This sounds like good information, which reports excellent effectiveness<sup>4</sup>. But in fact this claim gives us almost no information because we do not know how ambitious the goals were - perhaps they were trivially easy to reach or very difficult, and/or perhaps the level of difficulty varied from project to project. In summary, even given this information we have no idea how much we should celebrate.
- What would have happened without the intervention<sup>5</sup>?

So it seems that assessment of effectiveness will be both difficult to do and will also not offer very much useful information. Perhaps impact will offer a better alternative.

#### d. Impact

The ToR for this evaluation asks what impact the projects have on:

- Conservation/the environment (Bio-geo-physical effects);
- Human populations (livelihood, well-being - collateral benefits).

The issue of measuring or demonstrating impact on environmental variables has been widely addressed in literature (Belna et al 2012) and the issue will not be debated in much depth here; a few remarks, as follows, will suffice. Judging impact in evaluation usually means being able to make a statement about the net value of the outcomes: how much did the project bring benefit to conservation and human populations, taking into account all and any of those variables generally agreed to reflect environmental protection. This implies a couple of things:

- First, assessing impact implies being able to understand the effects in comparison with a counterfactual, what would have happened if the project had not taken place, which is very difficult to do in a systematic way with small projects. Baseline values of key variables provide some kind of estimate of the counterfactual, but of course they do not take into account how things might have changed anyway during the life of the project. In any case, most projects seem not to have baselines and do not have much other opportunity for comparison;
- Second, assessing impact means being able to take into account differences from the counterfactual not only on variables suggested by the project but potentially on all relevant variables, unintended as well as intended, and in particular negative unintended effects. So a project would be judged to have negative impact if, while having achieved good progress on some intended outcome, it had a bigger negative side effect. In practice, systematic measurement of a sufficient range of relevant variables is never going to happen at the level of a small project. Suitable data might exist at the national level but on the other hand it is not realistic to expect an average small project or even a medium-sized programme to have a clearly measurable positive effect on national-level variables.

Counterfactuals have to be taken very seriously in conservation projects. In some sectors it is possible to use a baseline as a plausible approximation to the counterfactual, but in conservation the key indicators like numbers of endangered species are always on the move anyway, mostly deteriorating (e.g. population sizes) but sometimes improving (e.g. the strength of environmental CSO networks or the comprehensiveness of legislation). No-one seriously thinks the baseline level is a decent estimate of the counterfactual, i.e. of the level the final indicators would have had if the project had not taken place.

#### e. Aggregation of effectiveness and impact

One final complication is the need to aggregate disparate indicators. Both effectiveness and impact are particularly challenging to assess and report in the evaluation of a programme like this one that involves many small projects. Even if we were given clear and reliable impact or effectiveness reports for each small project, it would not be obvious how to combine this multitude of different kinds of impacts, reported in different contexts - how to put things of a different nature on the same scale, even if that is possible, then to weight their relative importance.

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<sup>4</sup>Though in practice being able to say this would depend on the projects at least having published goals, which most often they do not

<sup>5</sup>Assuming that, which is nearly always the case, targets are expressed as raw scores and not as differences from a counterfactual

## f. External variables

There are some internationally agreed variables that can measure environmental and biodiversity protection at the national and sub-national levels, such as overall forest cover. However, for the reasons set out above it is notoriously difficult to be able to attribute changes under these headings to individual interventions.

Even the more ambitious programme M&E systems understandably do not claim to be able to attribute changes to programmes.

Through result and impact monitoring, IUCN will show its contribution to changes, but cannot attribute these changes directly to its programmatic and project activities (IUCN 2013, p2).

### EPI

Probably the richest country-level environmental dataset is provided at <http://epi.yale.edu>, which includes many relevant indicators as well as an overall environmental index for most of the countries in this study, with data points from the past decade.

The Environmental Performance Index (EPI) was born out of a recognition that environmental policymaking lacked scientific, quantitative rigor. While Millennium Development Goal 7 – to ensure environmental sustainability – first placed the notion of sustainable development on the global policy agenda, that particular goal lacked relevant or dependable metrics. To address this gap, the Yale Center for Environmental Law & Policy (YCELP) and the Center for International Earth Science Information Network (CIESIN) at Columbia University partnered with the World Economic Forum to develop indices assessing environmental sustainability (the Environmental Sustainability Index) and environmental performance (the EPI). Both were created with an eye toward shaping data-driven environmental policymaking.<sup>6</sup>

For looking at historical data points, EPI offers two sets of variables. One is the raw historical data and this is the basis for the "ten-year improvement" indicator used below. However some of these changes are due to changes in the way data is defined and aggregated. More valid scores for historical comparison are given by the EPI "back-casted" data<sup>7</sup>: historical data for each country recalculated according to current definitions. This back-casted data shows much less change than the raw data.

### CBD

Probably the most authoritative database on the biodiversity situation in each country is collated by the CBD (Convention on Biological Diversity) itself, using a comprehensive country-level reporting tool: <http://www.cbd.int/reports/analyzer.shtml>.

### GEF Biodiversity Benefits Index

The GEF Benefits Index is a measure of the potential of each country to generate global environmental benefits in a particular focal area, and therefore could be a useful predictor of where environmental aid actually flows to, see section [Small grants in relation to total funding](#). Separate indices are determined for the biodiversity and climate change focal areas. It seeks to measure the potential global benefits that can be realized from biodiversity related activities in a country. It is aligned with the 2010 targets of the Convention on Biological Diversity (see above).

## g. "External outputs"

Some of the above indicators represent a useful compromise between these two extremes:

- The extreme case of variables, which are totally internal to particular interventions (like the number of frog corridors constructed in a particular village). These are not useful for the present report because they are almost impossible to aggregate across interventions; and
- The other extreme, variables that are external to all interventions (like total forest cover) and are measured completely independently of any particular intervention. These are also not very useful for the present report because it is almost impossible to show that any given intervention has contributed to them.

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<sup>6</sup><http://epi.yale.edu/why-measurement-matters>

<sup>7</sup>Notes for processing data from website. Backcasted data: "The 2014 EPI website provides back-casted indicator scores wherever logical. The term "back-casted" refers to the application of the 2014 EPI framework, indicators, and aggregation method to historic data, starting from year 2002. In this way, countries can see how their performance from year to year may have changed on each indicator and what their scores and ranks would have been in years past". Analysis for the present study uses downloaded Excel files: 2014epi\_backcasted\_scores\_0.xls; Standard data: Excel file 2014\_epi\_framework\_indicator\_scores\_friendly.xls, both downloaded from [epi.yale.edu](http://epi.yale.edu). XV.

This third, compromise a class of variables we will call external outputs. An example of this useful compromise type of variable is "number of NGOs reaching standard certification XYZ for environmental NGOs". This concerns an agreed standard and is independently verifiable but it is relatively easy to attribute impacts to an intervention, providing the NGO's (lack of) ability to reach the certification is established at baseline. Such impacts could also be indirectly related to a national survey of NGO capacity independent of any intervention, though of course there are some difficulties such as the fact that some NGOs might gain and then lose a certain level and also when more than one intervention or other factor contributes to some NGOs gaining the qualification. Nevertheless, these external outputs probably represent the best bet for monitoring and evaluation in this field.

### Examples of external outputs

CEPF/GEF (CEPF 2013): Indicator 18: [Change in the] number of sites (protected areas) with improved management. The purpose of this indicator is to track the management effectiveness of protected areas with CEPF investment. The tool that CEPF uses to collect this information is the Management Effectiveness Tracking Tool (METT). The METT was developed by the Global Environment Facility (GEF), one of CEPF's donors. The methodology is a rapid assessment based on a scorecard questionnaire of all six elements (context, planning, inputs, process, outputs and outcomes) of protected area management identified in the IUCN World Commission on Protected Areas (WCPA) Framework, with an emphasis on context, planning, inputs and processes. It is basic and simple to use, and provides a mechanism for monitoring progress toward more effective management over time. It is used to enable park managers and donors to identify needs, constraints and priority actions to improve the effectiveness of protected area management.

There is also a sister instrument the Civil Society Tracking Tool (CSTT), developed by CEPF. CEPF has the most developed methods but even these are not yet completed (CEPF 2013). Some of these such as the biodiversity indicators (Species, Sites and Corridors) lend themselves to being measured and interpreted collaboratively at least in Hotspot areas. But even with this type of indicator, CEPF warns that using these scores to measuring impact of individual projects is very difficult due to other positive contributions on the one hand and a trend of decline on the other. In order to use these indicators across programmes, it would be necessary to ensure that their definitions are free of any reference to particular programmes. For example, CEPF Indicator 20: "Change in the number and percentage of CEPF grantees with improved organizational capacity" (CEPF 2013:22) is defined in terms of CEPF activities.

### h. Not to rely only on standard variables

These standard indicators make it easier for projects to compare and combine their results. But organisations should not rely only on a small set of standard indicators. Either this small set of indicators will never adequately capture what is special about a good project, or the project changes to fit the indicators ("teaching to the test"), which is usually a bad idea.

### i. Summary

It is unlikely that the set of small grant projects under consideration had a sufficiently similar set of aims and/or a large enough breadth and depth of coverage that it would be possible to aggregate individual impacts into a common metric. Moreover, using only these would be very likely to undersell an actually wider but diverse range of project impacts. Even at the level of individual projects it is likely that indicator data is not really of sufficient quality to allow rigorous analysis of impact or even of effectiveness.

In general, CEPF regional programs, like most ecoregion- or global-scale conservation programs, are generally lacking in the tools needed to rigorously evaluate conservation interventions (Ferraro & Pattanayak 2006) both (CEPF).

If CEPF with its relatively sophisticated resources and approach itself says it is not (yet) possible to assess its own impact on its main outcomes, it is probably not realistic to expect smaller programmes or even projects to be able to do it either.

However the best chance is with "external outputs", i.e. those that can be directly related to an intervention but are also externally defined.

## D. Analysis of small grants programmes and projects

### 1. Programme-by-programme analysis

Appendix: “[List of most important programmes](#)” gives an overview of the programmes included in this study from the point of view of NGOs or others looking for grants.

This section will return to the same programmes but looks at them from the point of view of the research questions, see [Brief overview of research questions and methods used](#).

#### a. Method and reproducibility

A database was constructed of all the small grants made which fit the criteria (size, topic and country). It was filled in on the basis of email invitations to the programmes to contribute to the database and, where no response is received, by “scraping” the programmes’ websites using the R software<sup>8</sup>. Actually, the present report including all graphics and tables is generated from the text and computer code in a single source file. This use of a source file means that this report is in principle reproducible: when projects are added to the same sites, the code can be quickly re-run and the inventory automatically updated – providing the overall structure of the website is not changed.<sup>9</sup>

In some cases small grants were included in the initial table, which are somewhat over our limit of 50,000 USD because the programme in question had a somewhat higher limit. This was useful to answer the question on p. 16 onwards of whether 50,000 USD is a natural and meaningful limit.

The main fields in the combined database are these:

- Year in which grant was made, usually taken as the date the project started;
- USD value of the grant converted where necessary from other currencies and converted at 2014 conversion rates;
- Country in which the grant was utilised, or “Multiple Countries” or “West Africa unspecified”, where appropriate;
- Recipient;
- Type of recipient;
- Theme of the grant, e.g. biodiversity;
- Title of project;
- Details of project;
- Report - text version, where available.

In each case there are some assumptions, compromises, problems and hacks. For example, in some cases the country is not specified but it can be guessed quite well by automatically searching for the names of the Central and West African countries in the title of each project. Some of these assumptions are mentioned in the programme-by-programme analysis below, in “Data Processing” footnotes.

#### b. Research questions for programme-by-programme analysis

So for each programme analysed here, a database of projects was constructed. Where project-level data for a given programme include indicators on project impact or success, it was possible to extract some information on typical project success from the database. In other cases it was necessary to resort to secondary information from annual reports, evaluations etc.

At the end of this section, this information is consolidated, compared and contrasted to see what evidence there is of the impact, efficiency and effectiveness of each programme.

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<sup>8</sup>[www.r-project.org](http://www.r-project.org)

<sup>9</sup>The source file and one or two other necessary files has been placed at github, <https://github.com/stevepowell99/IUCN> where other researchers can use or adapt the same code. It is worth noting that the same code, with a few changes, could in principle create an inventory covering the whole world and not just C W Africa.

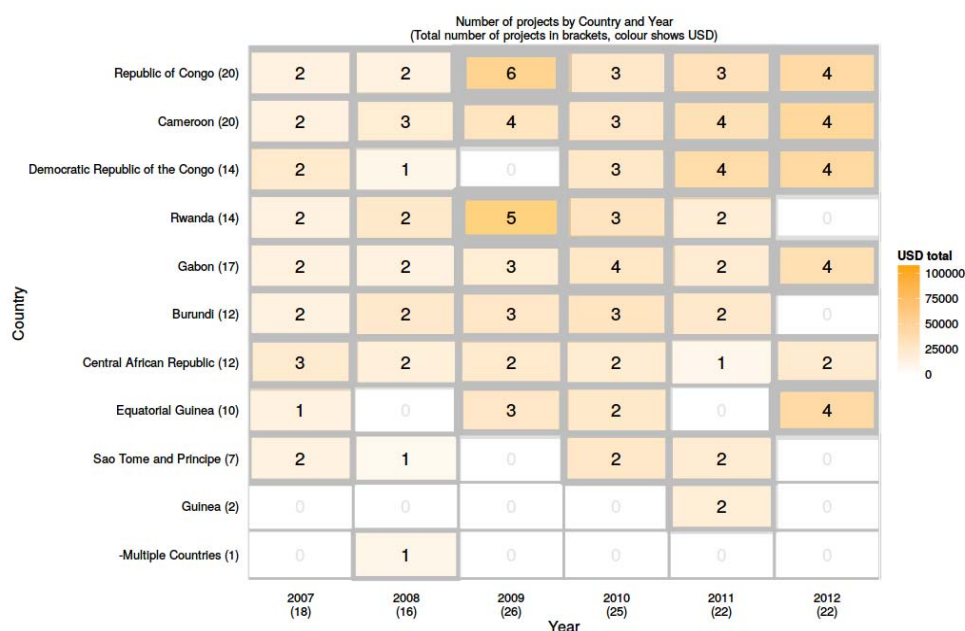
### c. Results of programme-by-programme analysis

The following pages consist of sub-sections for each programme which has at least 5 projects fitting the criteria, with some basic information on the data that was collected on the programme and then some analysis, either derived from the programme's own reporting and/or combined with analysis of the data collected. For some programmes, it was not clear if they fit the criteria. These are listed in [Appendix: Other relevant programmes not included in database](#).

#### CARPE<sup>10</sup>

Central Africa Regional Program for the Environment (CARPE)<sup>11</sup>

The small grants programme is only part of CARPE; they are however covered in an evaluation of all CARPE activities (ECODIT 2010). CARPE does not publish evaluations or other reporting at its website<sup>12</sup>, but does include 56 PDF project-level final reports<sup>13</sup>. USAID funding for small grants to CARPE are administrated by IUCN. IUCN as a whole has a new M&E plan (IUCN 2013) which promises richer information on impacts.



CARPE: Number and total USD value of projects by country and year

#### CEPF

Critical Ecosystem Partnership Fund<sup>14</sup>

CEPF is a leader in the attempt to document and quantify impact on the environment, which is why the initiative is mentioned here even though it is the case that less than five small projects were funded in the region since 2004. Over the period for which data is available, 2001-9, 57 out of 77 projects in the Region were under 50,000 USD but nearly all of those were before 2004. So small grants are a big part of the CEPF model even though they are not directly conceived as such, i.e. there is no major distinction made between small and large projects.

<sup>10</sup>Notes for processing data from website: Downloaded PDFs from website

[https://www.iucn.org/fr/propos/union/secretariat/bureaux/paco/programmes/paco\\_forest/thematiques\\_et\\_projets/central\\_african\\_regional\\_program\\_for\\_the\\_environment\\_carpe\\_small\\_grants\\_program/list\\_of\\_funded\\_small\\_grants\\_projects/](https://www.iucn.org/fr/propos/union/secretariat/bureaux/paco/programmes/paco_forest/thematiques_et_projets/central_african_regional_program_for_the_environment_carpe_small_grants_program/list_of_funded_small_grants_projects/). Some files were image files, so for these used optical character recognition (OCR), so some texts are imperfect

<sup>11</sup>Details:

[https://www.iucn.org/fr/propos/union/secretariat/bureaux/paco/programmes/paco\\_forest/thematiques\\_et\\_projets/central\\_african\\_regional\\_program\\_for\\_the\\_environment\\_carpe\\_small\\_grants\\_program/](https://www.iucn.org/fr/propos/union/secretariat/bureaux/paco/programmes/paco_forest/thematiques_et_projets/central_african_regional_program_for_the_environment_carpe_small_grants_program/). Reports:

[https://www.iucn.org/fr/propos/union/secretariat/bureaux/paco/programmes/paco\\_forest/thematiques\\_et\\_projets/central\\_african\\_regional\\_program\\_for\\_the\\_environment\\_carpe\\_small\\_grants\\_program/list\\_of\\_funded\\_small\\_grants\\_projects/](https://www.iucn.org/fr/propos/union/secretariat/bureaux/paco/programmes/paco_forest/thematiques_et_projets/central_african_regional_program_for_the_environment_carpe_small_grants_program/list_of_funded_small_grants_projects/)

<sup>12</sup>Apart from just four country-level reports for 2007 at

[https://www.iucn.org/fr/propos/union/secretariat/bureaux/paco/programmes/paco\\_forest/thematiques\\_et\\_projets/central\\_african\\_regional\\_program\\_for\\_the\\_environment\\_carpe\\_small\\_grants\\_program/national\\_press\\_review\\_and\\_quarterly\\_reports/](https://www.iucn.org/fr/propos/union/secretariat/bureaux/paco/programmes/paco_forest/thematiques_et_projets/central_african_regional_program_for_the_environment_carpe_small_grants_program/national_press_review_and_quarterly_reports/)

<sup>13</sup>[https://www.iucn.org/fr/propos/union/secretariat/bureaux/paco/programmes/paco\\_forest/thematiques\\_et\\_projets/central\\_african\\_regional\\_program\\_for\\_the\\_environment\\_carpe\\_small\\_grants\\_program/final\\_small\\_grants\\_reports\\_by\\_beneficiaries/](https://www.iucn.org/fr/propos/union/secretariat/bureaux/paco/programmes/paco_forest/thematiques_et_projets/central_african_regional_program_for_the_environment_carpe_small_grants_program/final_small_grants_reports_by_beneficiaries/)

<sup>14</sup>Details: <http://www.cepf.net/grants/Pages/default.aspx>. Reports: [http://www.cepf.net/grants/project\\_database/Pages/default.aspx](http://www.cepf.net/grants/project_database/Pages/default.aspx)

A portfolio profile with M&E documentation is provided for each CEPF region, e.g. for [the Guinean Forests](#), the only CEPF critical ecosystem in the Region.

### Programme-level M&E

CEPF theory of change is clearly developed and set out. Programme interventions are seen as investments– and there is a clear definition of target areas with particular vulnerability. Ecosystem profiles are prepared before allocating the funds for biodiversity hotspots. This process takes around two years on average at a cost of around 378,000 USD and a total cost of 9.2 Million USD or 4.6 % of CEPF spending during the period. Each grant awarded is an integral part of a regional investment strategy and helps meet a specific strategic direction from that strategy.

"Reconciling ecosystem conservation with sustainable development on different scales across complex jurisdictional boundaries, often in situations of weak governance, is perhaps the major challenge facing the conservation and development communities. Mobilizing civil society to play a more effective role in this process is the CEPF niche." CEPF Strategic Framework 2007 only recently adopted a comprehensive M&E Framework (CEPF 2013). Impact (Olson 2010)

CEPF evaluations say their efforts have influenced major governmental policies in dozens of countries, many international conventions, reduced threats, and protected sites and species, for example helping protect more than 10 million hectares of globally important land (since the programme's creation in 2000). They claim to have a leadership position in innovation, documenting how other programmes follow suit. They moreover claim to provide a direct contribution to the CBD goal and an improved outlook for at least 55,000 species. However, claims like these regarding impact on species are difficult to verify without a way of quantifying "improved outlook".

Quite strong evidence is offered on the effect on community effectiveness including an estimate of the counterfactual, with the support to over 1,500 conservation groups.

Thirteen of 18 CEPF investment regions show improvements using a simple index of conservation community effectiveness. Only 2 of the 16 Hotspots that have not yet had CEPF investments improved significantly over the last decade, although 3 of the 16 of these already had 'highly effective' conservation communities. If these estimations are even close to the real situation, then one can confidently conclude that the application of a CEPF program, or a programme modelled on CEPF, does improve the effectiveness of the conservation community, particularly the civil society component, and sometimes markedly.

However the same report makes the further and important claim that this improvement in CSO capacity "will have a sustained role and impact. Over the past decade, CEPF has demonstrated that investing in civil society works well for conservation "without really showing how [the second part of the causal chain, the link] from capacity to environmental improvement, should work".

From the point of view of duration, CEPF includes a consolidation phase - at least a quarter of funds to be retained for the last 3 years of a 8-10 year project.

The same CEPF report (Olson 2010) also attempts a counterfactual argument in the sense of eliminating alternative explanations (Stern et al, 2012) "Without CEPF's intervention, it is highly unlikely that other conservation programmes extant a decade ago could have, or would have, stepped in to begin meaningful conservation in these largely neglected regions, many with high investment risk and uncertainty."

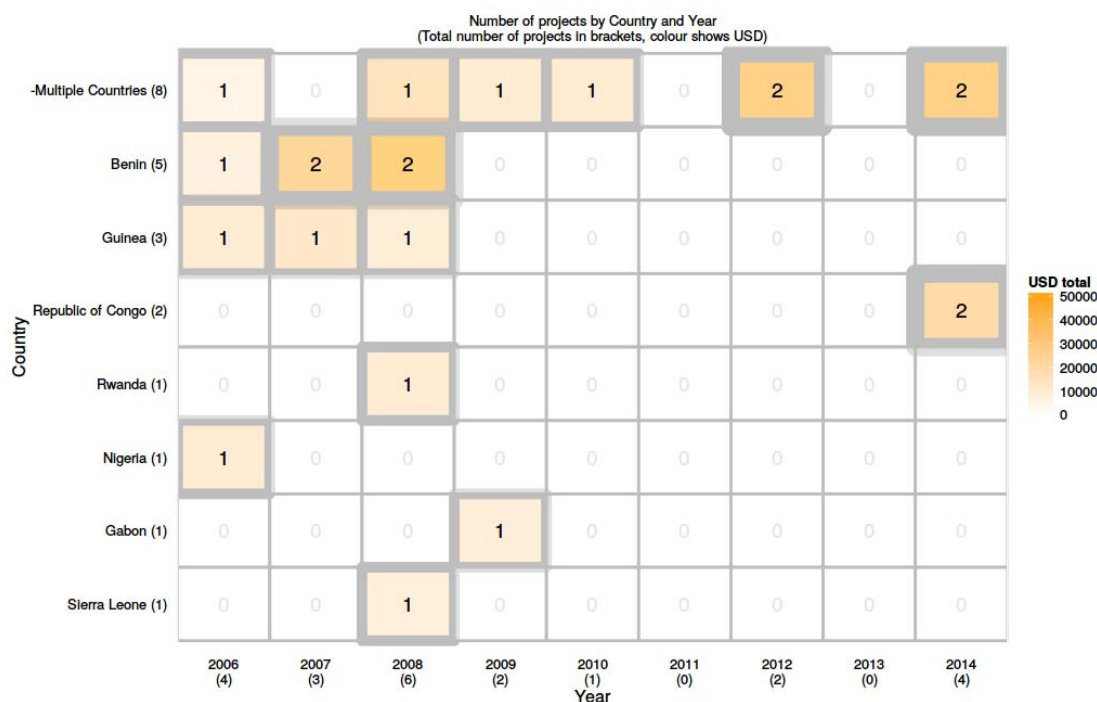
Benefits to human communities are also listed and are mentioned in the new M&E Framework too, but indicators amount to not much more than counting beneficiaries and communities, without providing a way to quantify these contributions beyond merely counting them.

In summary, CEPF provides enough evidence and appropriate argumentation for what seems at face value to be sizeable impact on intermediate outcomes like change of law and improved networks. But there is less actual evidence of impact on more fundamental outcomes, because that kind of evidence is hard to come by.



## CFH

The Conservation, Food & Health Foundation<sup>15</sup>  
CFH does not publish evaluations or other reporting on its website.



CFH: Number and total USD value of projects by country and year

## CLP<sup>16</sup>

Conservation Leadership Programme<sup>17</sup>  
CLP has a clear theory of change (CLP 2013):

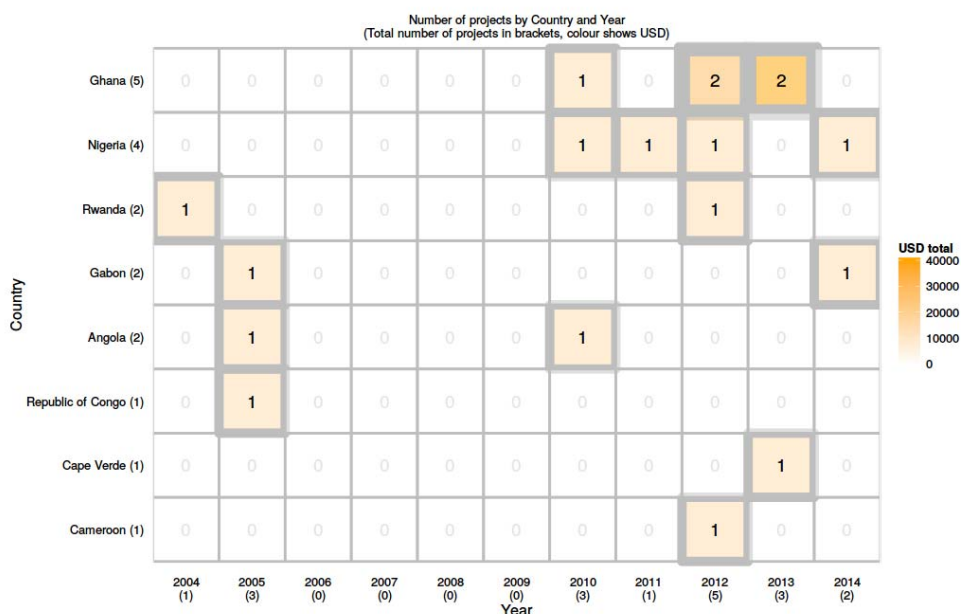
- Identify and engage individuals from around the world who are early in their career, display a strong commitment to conservation and sustainable development and demonstrate leadership potential;
- Invest in leadership development of these individuals to expand their capabilities in areas that will make them effective conservation leaders at all stages in their career;
- Position these individuals to multiply their impact across the conservation sector.

CLP conducts alumni surveys (CLP 2010). The Annual Report also includes an overview of data collected in end-of-project reports that are submitted by some not all projects. CLP: "To date, CLP has supported more than 600 projects through Conservation Awards and Internships. As a result, CLP alumni have: Contributed to conservation science, with 130 species discovered or rediscovered; Influenced the designation of 75 globally important sites for conservation; Established nongovernmental organizations, with 25 currently attributing their inception to CLP support"

<sup>15</sup>Details: [http://cfhfoundation.grantsmanagement08.com/?page\\_id=6](http://cfhfoundation.grantsmanagement08.com/?page_id=6). Reports: [http://cfhfoundation.grantsmanagement08.com/?page\\_id=8](http://cfhfoundation.grantsmanagement08.com/?page_id=8)

<sup>16</sup>Notes for processing data from website: There are several phases with a maximum amount for each phase. Although the individual grant awards in USD were not specified, it was possible to estimate them using the specified maximum for each type of award. This almost certainly results in an *overestimate* of total grant amounts.

<sup>17</sup>Details: <http://www.conservationleadershipprogramme.org/Apply.asp>. Reports: <http://www.conservationleadershipprogramme.org/Search.asp>



CLP: Number and total USD value of projects by country and year

## Darwin

### Darwin Initiative<sup>18</sup>

The Darwin Initiative website has some reviews of individual projects, and 8 evaluations of individual projects at a country level, but none of these cover Central and West Africa. Central to the Darwin Initiative learning process is a series of learning notes (Darwin Initiative (d) 2014; Darwin Initiative (c) 2014; Darwin Initiative (b) 2014; Darwin Initiative (a) 2014) and other studies (Wortley and Wilkie 2005; Dawson, Berry, and Perryman 2008), as follows.

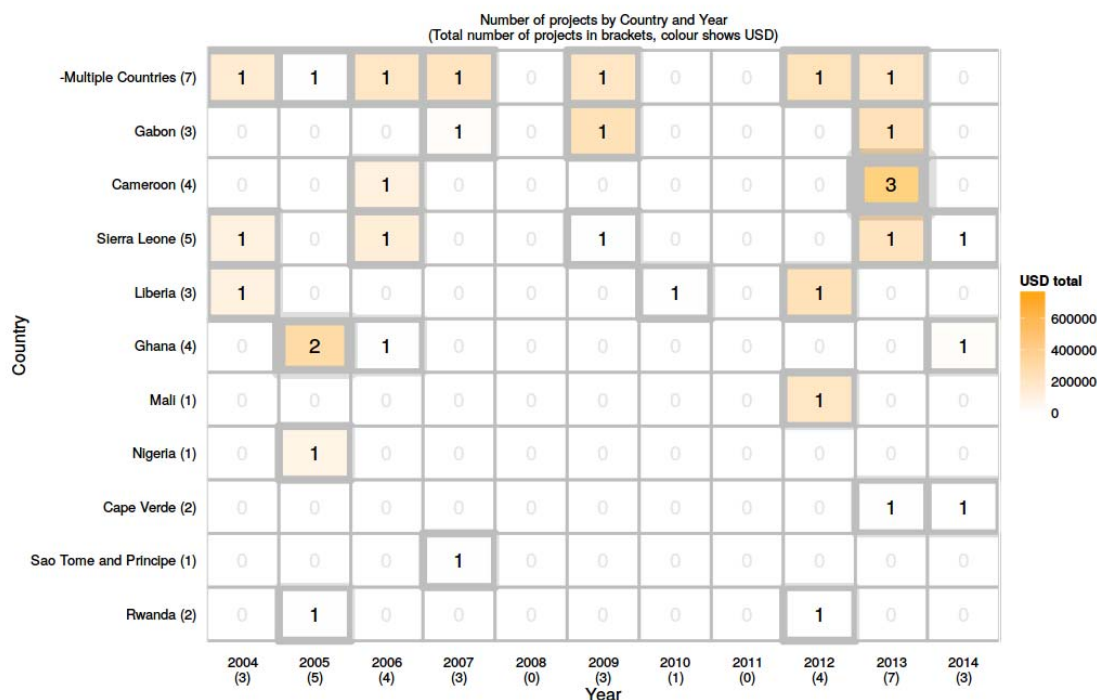
- Capacity (Darwin Initiative (a) 2014): questionnaire to alumni in which over half said the project had had a significant impact on their careers
  - Career impact most pronounced for early-career alumni.
  - Alumni say their increased personal capacity produced positive downstream impact on the environment even in areas only partially related.
- Climate Change (Dawson, Berry, and Perryman 2008)
  - 70% of projects were in areas vulnerable to climate change
  - Most do not focus on CC but about 20% include adaptation.
  - Not able to provide assessment of actual performance against targets or any other standard, though many pieces of one-off evidence of impact e.g. on legislation.
- Publications (Darwin Initiative (d) 2014)
  - 286 of 615 produced a final report, with 112 still in the pipeline.
  - These gave details of 501 journal articles and several hundred other documents like manuals, working out at around one article per project.
- Nagoya Protocol (Darwin Initiative (c) 2014)
  - not intended to provide evidence of impact
- Poverty (Darwin Initiative (b) 2014)
  - "All Darwin projects must contribute to building capacity in biodiversity conservation; All DFID funded Darwin projects must also demonstrate how they contribute to poverty alleviation (c. 90% of projects)"
  - "Most projects are able to demonstrate a relationship between biodiversity and poverty for the context in which they plan to work. Many applicants are struggling to demonstrate how they will capture these positive changes to this relationship (such that there are improvements both in capacity for biodiversity conservation and in reduced poverty). Without defining the how, projects are less able to measure and evidence their work."

<sup>18</sup>Details: <http://www.darwininitiative.org.uk/project/location/region/sub-saharan-africa/>.  
Reports: <http://www.darwininitiative.org.uk/project/location/region/sub-saharan-africa/>

A 2005 review by Wortley and Wilkie (2005) reports: "Overall, this review found that the DI delivers good value for money, having a significant impact on GTI objectives for a modest investment of funds."

## Summary

Challenges are noted in systematically demonstrating or even measuring impact. Projects contributed to a large number of publications, and alumni said their careers benefited. Many useful case studies are provided alongside some discussion of theories of change.



Darwin: Number and total USD value of projects by country and year

## Fondation Ensemble

Fondation Ensemble<sup>19</sup>

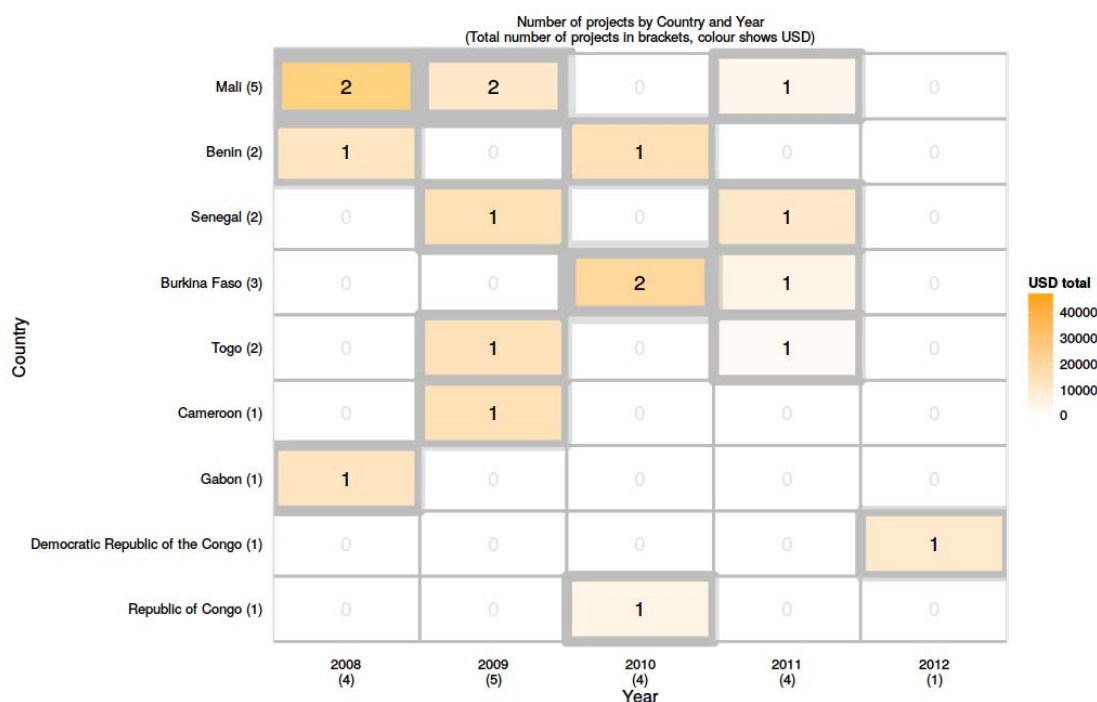
The Foundation publishes annual reports as well as technical reports and guidelines, but not separately for small projects.

These clearly separate small (under 20K USD) from large (over 50,000USD) projects and present a total portfolio success in terms of the following external outputs:

- Number of hectares protected (610,000);
- Number of trees replanted (1.6 million);
- Number of animal species protected (25);
- Number of beneficiaries (4 million).

However small grants represent only about 10% of the total portfolio and these impacts are not broken down by grant size.

<sup>19</sup>Details: <http://www.fondationensemble.org/> . Reports: [http://www.fondationensemble.org/micprog\\_soutenus/Liste\\_micro\\_termes\\_janv14.pdf](http://www.fondationensemble.org/micprog_soutenus/Liste_micro_termes_janv14.pdf)



Fondation Ensemble: Number and total USD value of projects by country and year

## FFEM-PPI

Fonds Français pour l'Environnement Mondial-FFEM: Petits Projects PPI<sup>20</sup>

PPI is managed by the French IUCN committee for FFEM. PPI/FFEM are working on a new monitoring system and indicator set for 2016 as well as a high-level evaluation. At the moment, there are no indicators used across projects.

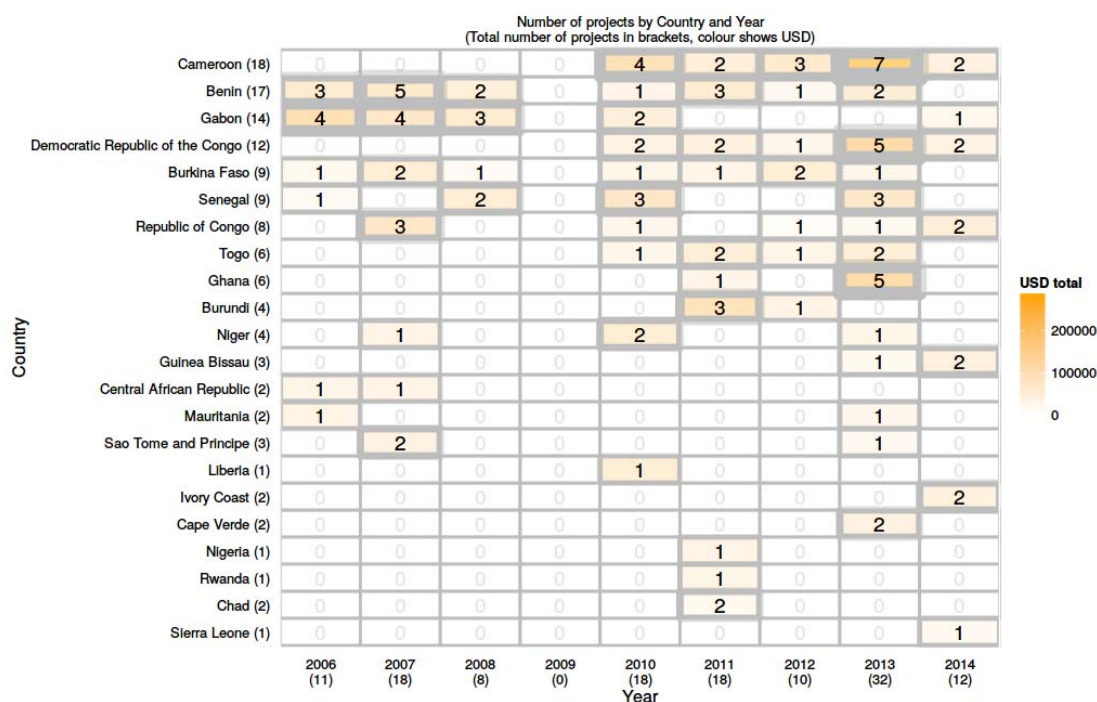
Individual project reports do contain some individual success measures like number of hectares protected, but without original targets.

Some key successes are listed on the website<sup>21</sup> and in a booklet (IUCN French Committee 2014).

Co-financing: total grant value is around half of total projects value (IUCN French Committee 2014).

<sup>20</sup>Details: <http://www.ffem.fr> . Reports: [http://www.ffem.fr/accueil/PPI/recherche\\_Projets-PPI/ppi-afrique-centrale-orientale-australe](http://www.ffem.fr/accueil/PPI/recherche_Projets-PPI/ppi-afrique-centrale-orientale-australe)

<sup>21</sup><http://www.ffem.fr/lang/en/accueil/PPI/ppi-phase1>, also -phase2 etc.



FFEM PPI: Number and total USD value of projects by country and year

Year	USD
2006	485120
2007	701796
2008	336768
2010	879887
2011	821632
2012	439402
2013	1368271
2014	480221
2015	140006
2016	44323

Value of PPI projects by year

### Global Environmental Fund - Small Grants Projects (GEFSGP)<sup>22</sup>

GEF is one of the oldest global environmental funds, having started in 1992.

A pilot phase was followed by six more; the fifth phase is the current one and the sixth is planned to start in January 2015.

Upgrading strategy: Countries go through levels 1, 2a, 2b and 3. 10 countries already completely graduated through the last phase of the system. Countries are supposed to then move on to larger projects, often again funded by UNDP (which is one of the GEF partners anyway). The assumption is that countries which have been in the programme longer either no longer need small environmental grants or can and should be able to provide their own. This "graduation procedure" is complemented also by the GEF STAR programme in which larger funds are provided directly to the government.

<sup>22</sup>Notes for processing data from website: This data only covers the SG fund itself, it does not include small grants provided as part of the larger GEF programmes in each country, though these should be covered in section [Overview of full-scale funding](#)

## GEF-SGP: own evaluation and learning reports

There are global-level evaluations but the most recent is 2008, eight years ago (UNDPGEF 2008a). There are a few country-level evaluations but only one (UNDPGEF 2008b) from this region, Benin. The Benin report underlines the problem of limited capacity in country to develop project ideas.

Joint Evaluations of the Small Grants programme (GEFIEO 2014; UNDPGEF 2008a):

Country programmes maintained transparent, credible, and accountable operations, with nearly 14,000 grants awarded, supervised, and monitored since 1992, in often quite difficult and demanding conditions. A number of interesting conclusions are listed, as follows.

- Conclusion 1: The SGP has a slightly higher success rate in achieving global environmental benefits and a significantly higher rate in sustaining them than GEF medium and full-size projects;
- This is a very valuable result because it is based on a direct comparison of otherwise similar projects using comparable criteria;
- Conclusion 3: The SGP has contributed to direct global environmental benefits while also addressing the livelihood needs of local populations. But the variables considered are not terribly persuasive measures of impact - they include a number of countries that have "activities" in biodiversity. There is no useful way to qualify or quantify these particular measures in terms of impact;
- Conclusions 9+11 say that SGP is more cost-effective than some comparable instruments but that country programmes which are too small, below about 1 Million USD, lose this efficiency benefit. The increase in programme size from phase 2 to 3 resulted in a substantial proportional increase in efficiency.

Shift in country focus:

During the fourth operation phase (2007-2011) the programme improved its ability to reach the poor or poorest communities, which received 72 percent of SGP projects, a significant gain from the 57 percent in the earlier phases.

Increasing grant making directly to CBOs:

Increased grant making has been used to strengthen community organizational and institutional capacities to implement projects. As a result, 39 percent of grants were awarded to CBOs (compared to 27 percent initially), 60 percent to NGOs, and the remaining one percent to other CSOs.

## M&E

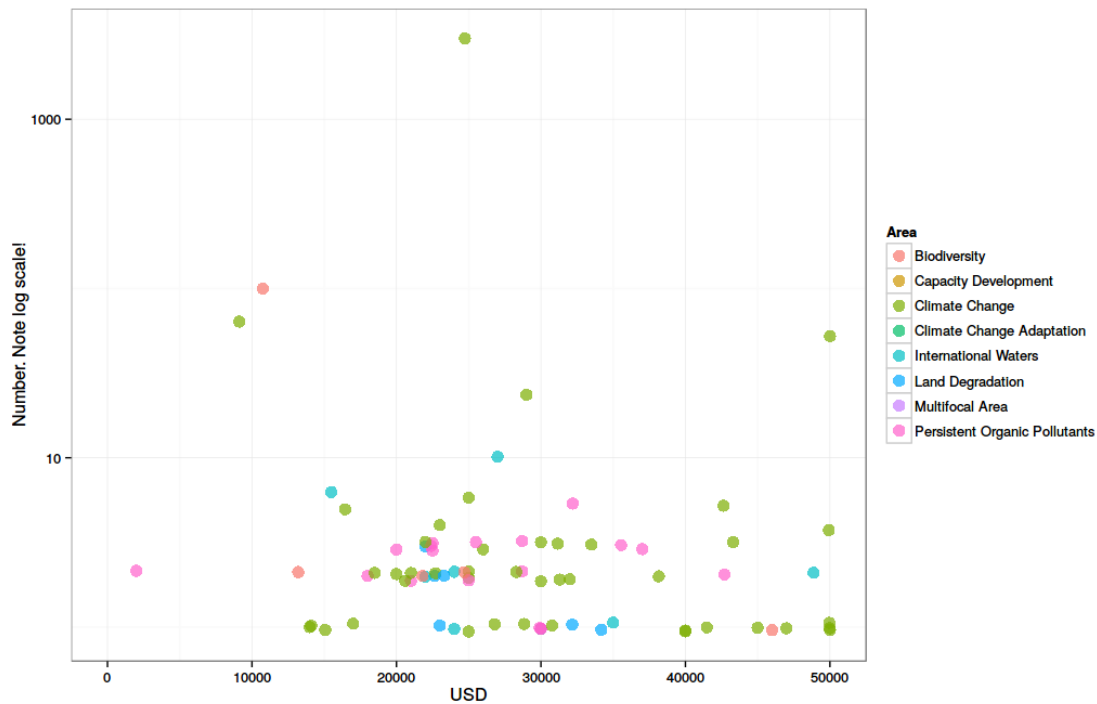
GEF provides a set of relevant and clearly defined indicators.

54 percent of the completed project grants in OP3 had specified sufficient relevant indicators and reported on all (or almost all) of these indicators in the project completion reports; more than half of the project grants were visited three times or more (UNDPGEF 2008a). The same report provides evidence that small grants awarded as part of larger programmes suffer from a lack of focus on them. The report also mentions the increased need for oversight and provision for whistle blowing and ombudsperson functions, alongside general improvements in M&E.

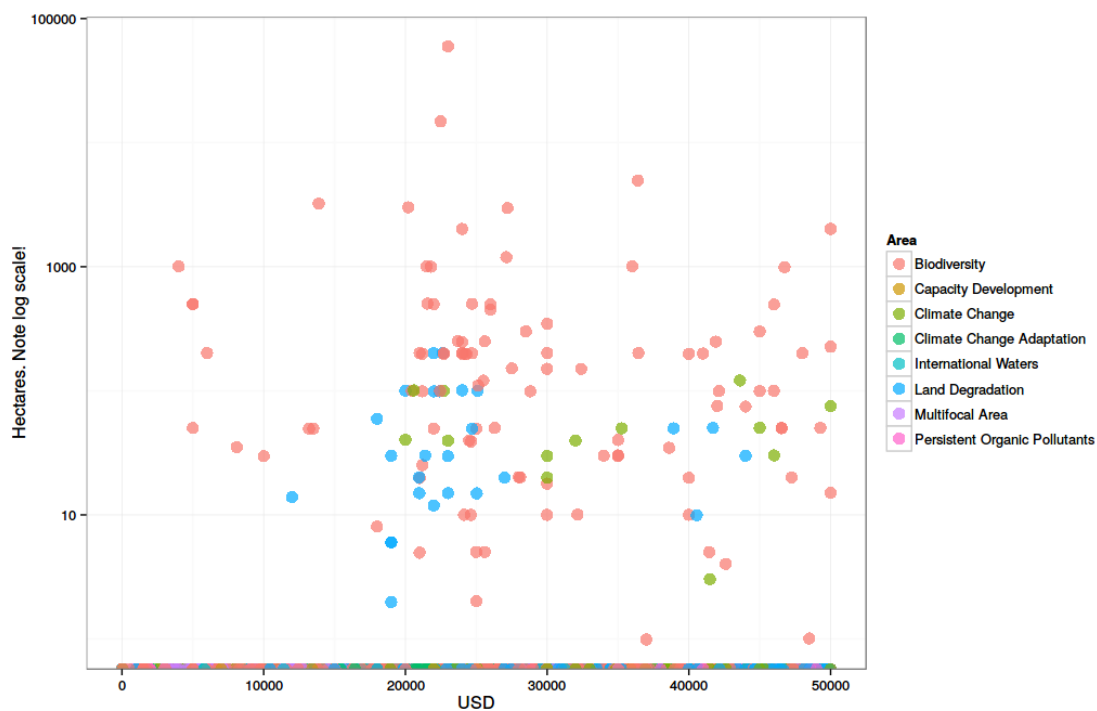


### GEF-SGP internal indicators

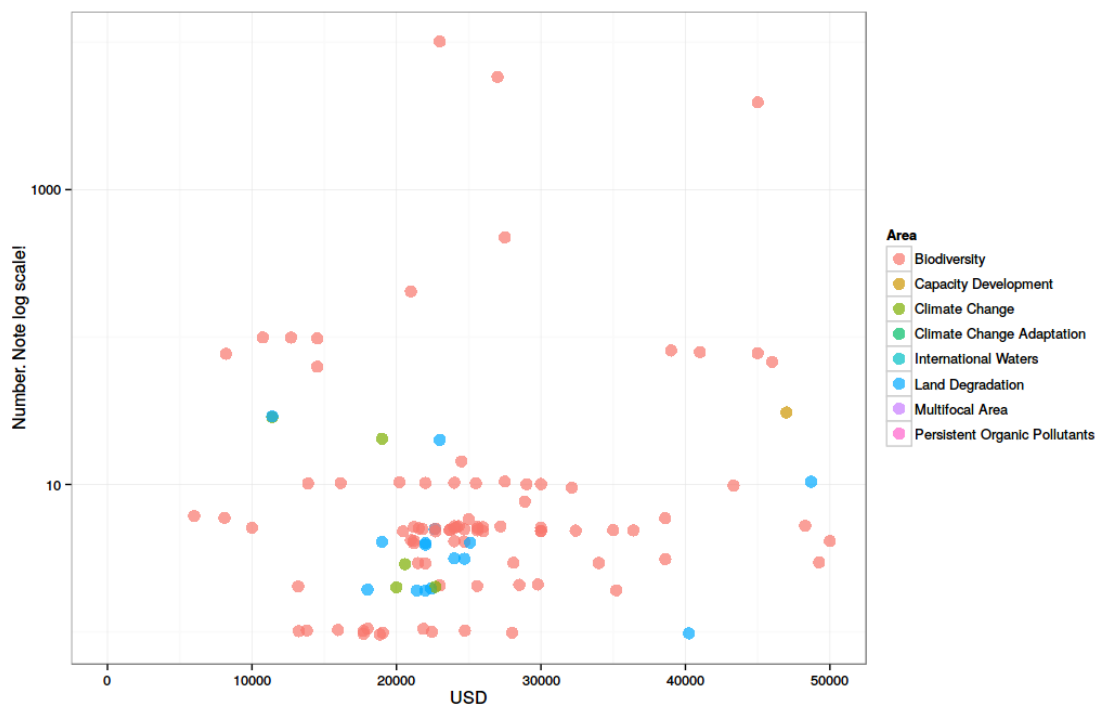
Nearly all GEF-SGP projects include at least some of a standard set of internal indicators.



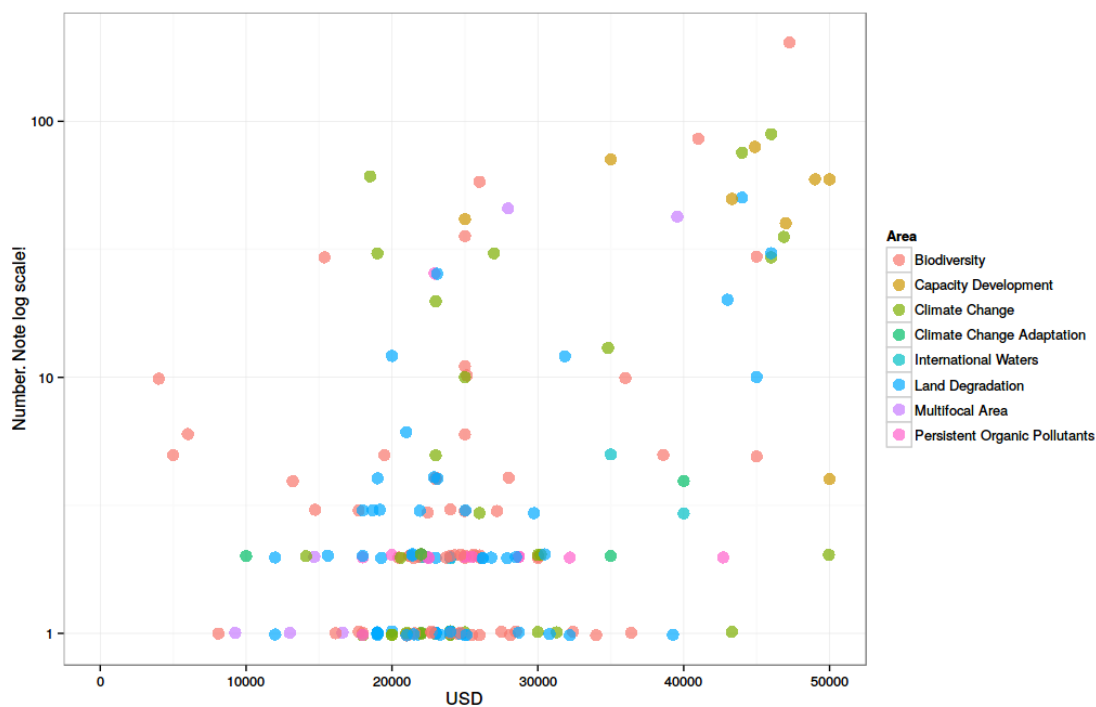
GEFSGP: Number of innovations or new technologies developed / applied - in relation to grant value and type of project. Total Number: 3,403



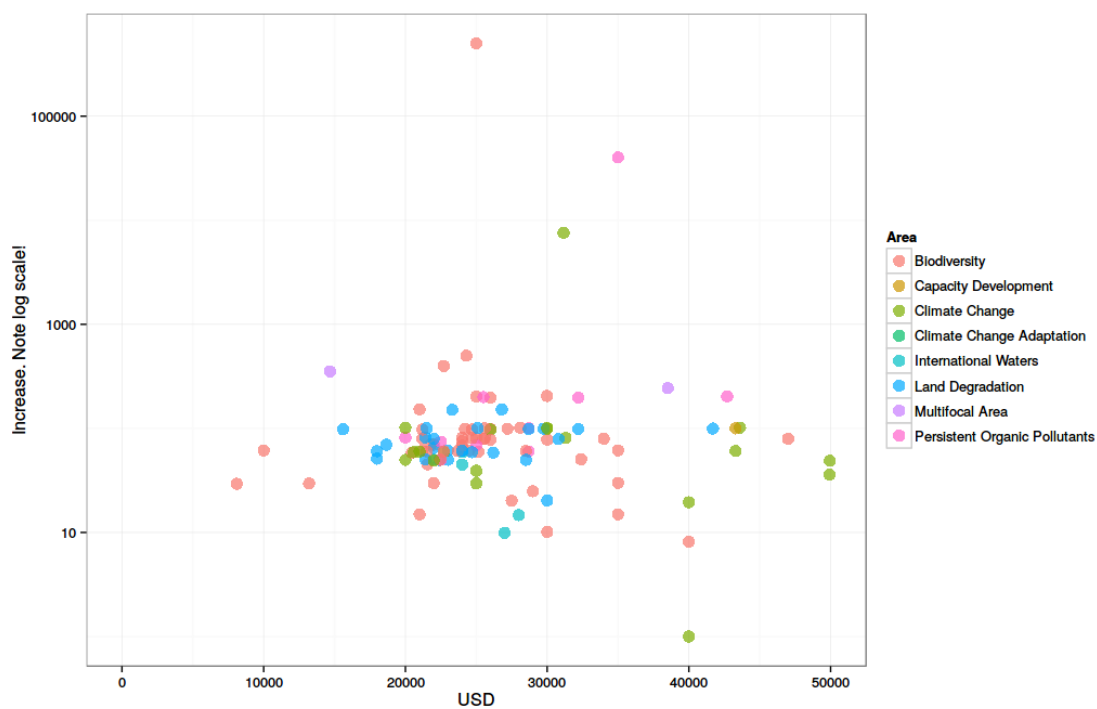
GEFSGP: Hectares of globally significant biodiversity area protected or sustainably managed by project - in relation to grant value and type of project. Total Hectares: 112,838.



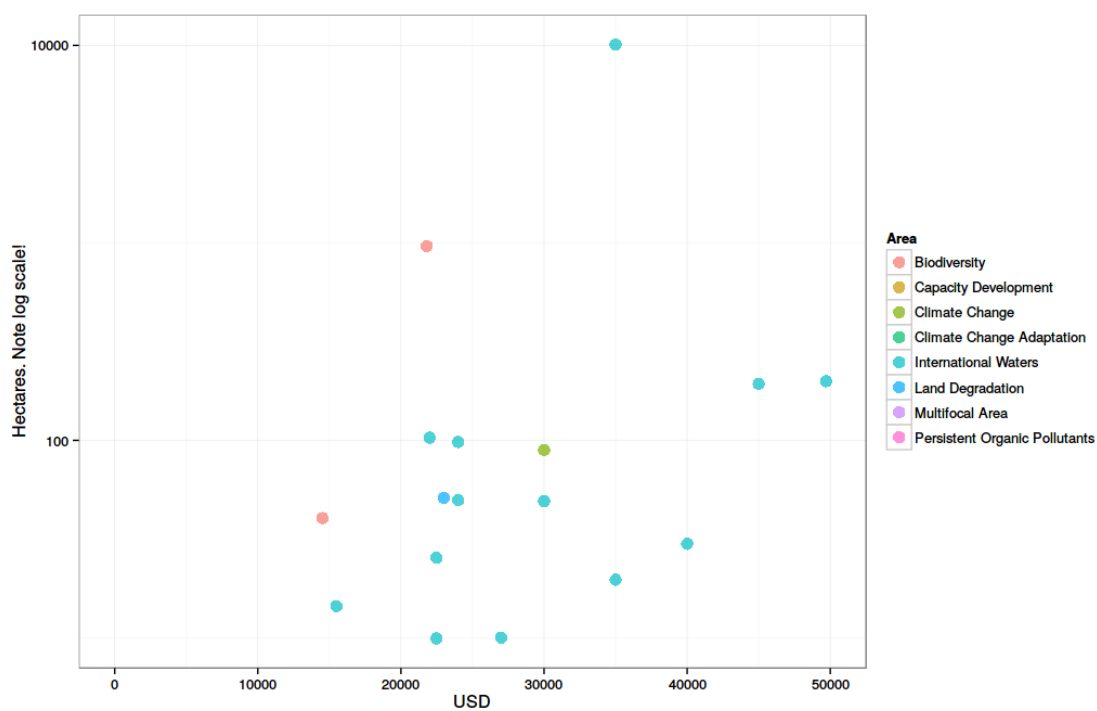
GEFSGP: Number of globally significant species protected by project - in relation to grant value and type of project. Total Number: 21,991



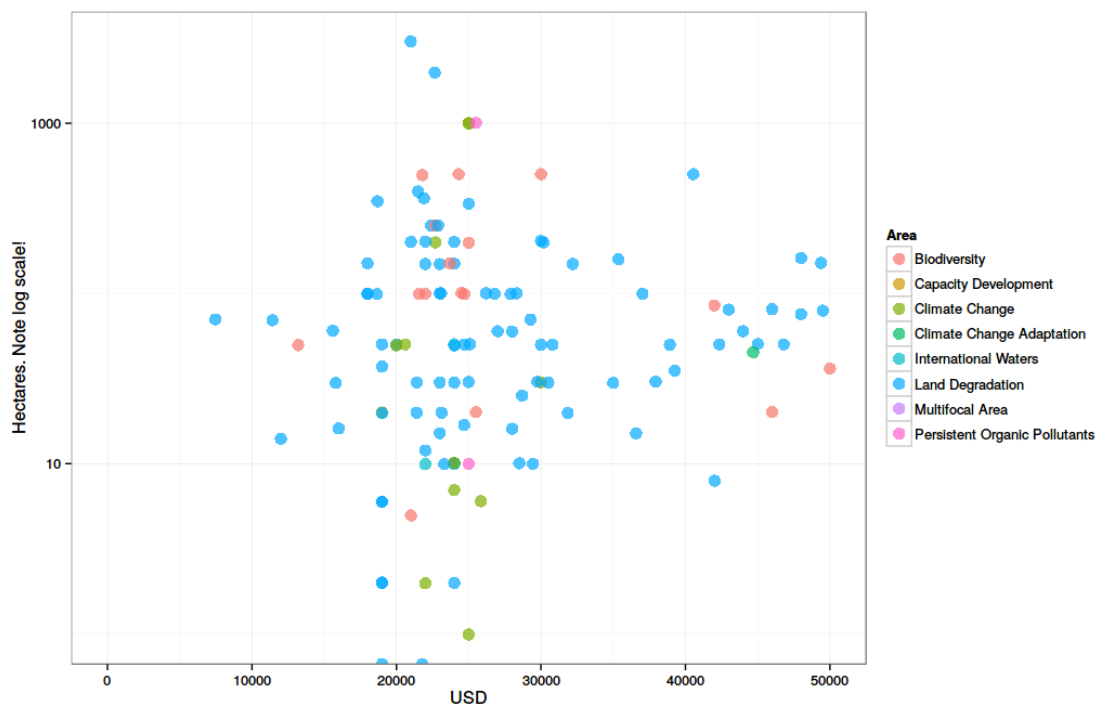
GEFSGP: Number of CBOs / NGOs participated / involved in SGP project. Total Number: 1,857



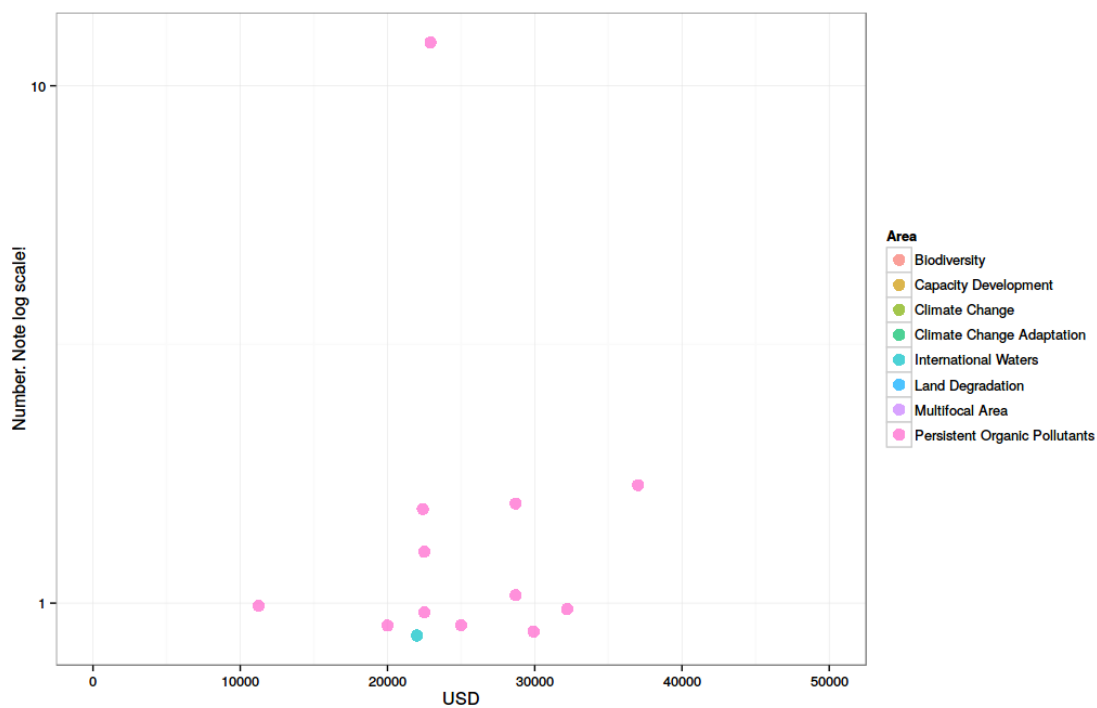
GEFSGP: Increase in household income by increased income or reduced costs due to SGP project. Total Increase: 556,919



GEFSGP: Hectares of globally significant international water body or marine and coastal protected area sustainably managed or protected by SGP project - in relation to grant value and type of project. Total Hectares: 11,990.



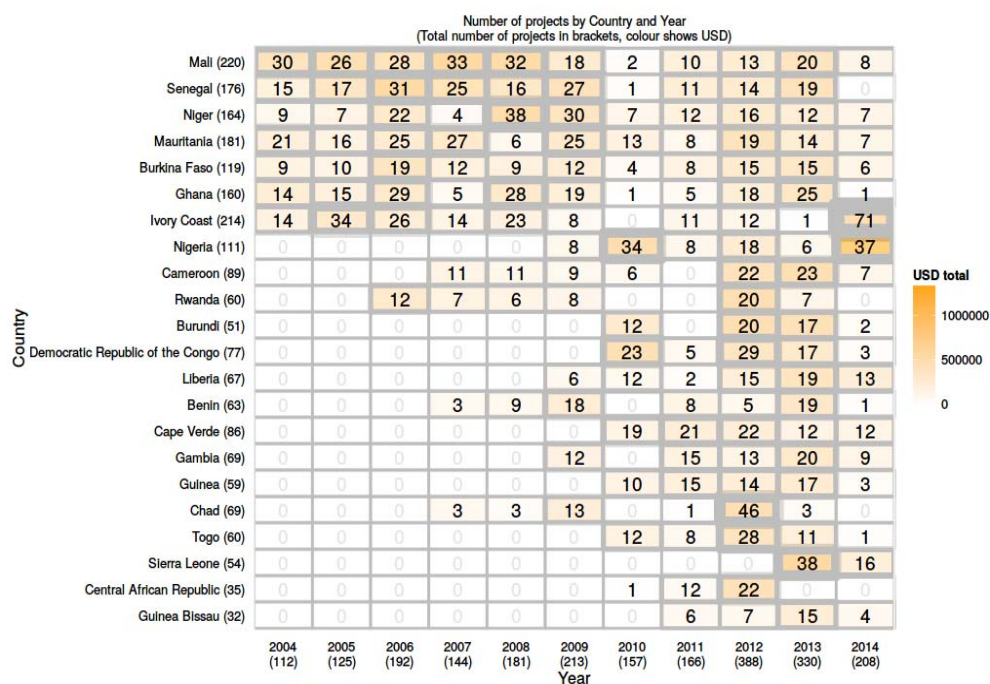
GEFSGP: Hectares of degraded land restored. Total Hectares: 18,825



GEFSGP: Number of local policies informed in POPs focal area. Total Number: 30

Finding: There is no obvious relationship between financial size of project and internal indicators such as the number of hectares protected. In fact, smaller projects of around 10-25K USD seem to report somewhat bigger areas than those up to 50K USD; there seems to be another tendency for those close to 50K USD to again report larger areas. Only in the case of number of CBOS / NGOs involved does there seem to be any relation between grant size and outputs.

### GEF-SGP Number and value of projects

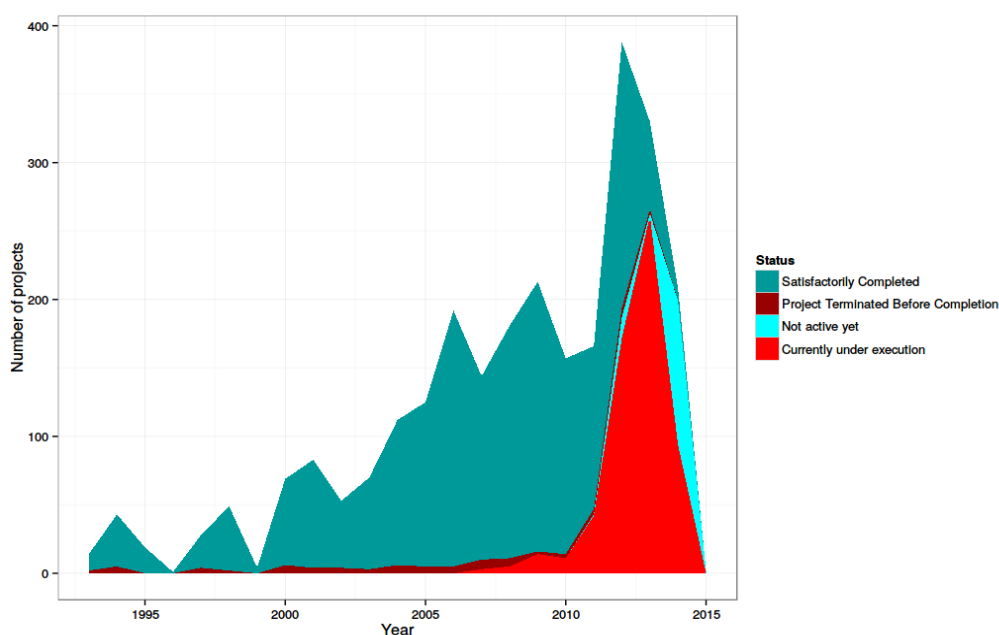


### GEF-SGP focus by Year

Finding: With the exception of capacity development, there has been a steady increase in both value and number of GEF small projects.

There were a few larger projects which were over the 50K limit and were excluded.

## GEF-SGP Status of projects



### GEF-SGP Project Status by Year

Analysis of project status shows again how the number of projects is growing but also that the small number of projects which are terminated before completion is reducing.

## MAVA<sup>23</sup>

Fondation MAVA pour la nature <sup>24</sup>

### Theory of change

The MAVA theory of change includes a hotspot model - Coastal West Africa represents about 20% of total grants - and tries to take into account motivation of individuals and businesses (MAVA Foundation 2013).

Annual Reports focus on highlights and examples of best practices. Project or programme specific indicators are not mentioned.

A 2013 external review concludes MAVA could take more risks with innovative projects, and collect and share lessons learnt from across its portfolio (MAVA 2014).

While it is difficult to systematically demonstrate and aggregate impacts from MAVA's collective portfolio because of a lack of consistent objective monitoring, MAVA's legacy is evident. (MAVA 2014)

## Mohamed bin Zayed<sup>25</sup>

The Mohamed Bin Zayed Species Conservation Fund <sup>26</sup>

Here are some findings displayed at the fund website:

- 40% of grants completed all their objectives set out in their application and 39% completed over half of their objectives;
- 12 projects resulted in a new species or sub-species being discovered. Further to this, 33% of grants resulted in a species range extension and new species populations were discovered in 27% of grants received;

<sup>23</sup>Notes for processing data from website: Note MAVA USD value is a big approximation as only bands are given. Although there are 40 projects, nearly all are over our USD limit. Year is not given, which means that MAVA projects to not appear in any charts or analyses which include Year.

<sup>24</sup>Details: <http://en.mava-foundation.org/>. Reports: <http://en.mava-foundation.org/what-we-fund/list-of-projects/coastal-west-africa/>

<sup>25</sup>Notes for processing data from website: For all the projects, the Theme is set as "Biodiversity", and Type as "Individual".

<sup>26</sup>Details: <http://www.speciesconservation.org/case-studies-projects/>. Reports: <http://www.speciesconservation.org/case-studies-projects/index.php>



- 14 % of grants resulted in the creation of a new protected conservation area and 12% of grants contributed to the expansion of an existing protected area;
- 32% of grants awarded contributed to the completion of academic qualifications. Half of these qualifications were at postgraduate level.

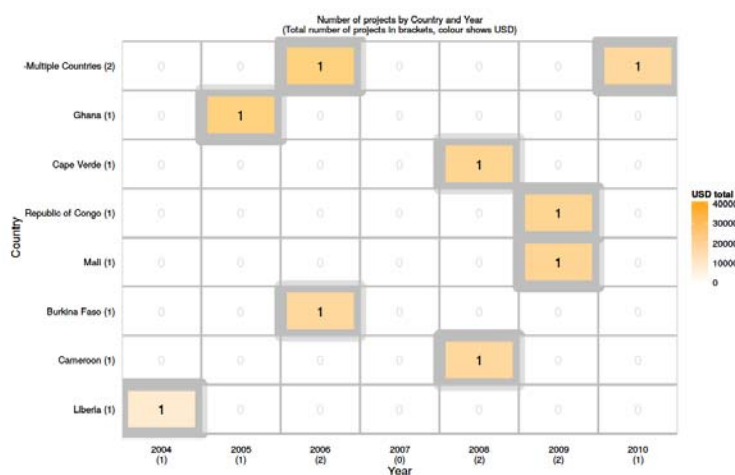


MBZ: Number and total USD value of projects by country and year

## Ramsar<sup>27</sup>

### Ramsar Small Grants Fund<sup>28</sup>

The Ramsar website does not list any systematic evaluations since 2002<sup>29</sup>, though it does list some news items. There is a technical report on valuing the benefits of wetlands (De Groot et al. 2006).



Ramsar: Number and total USD value of projects by country and year

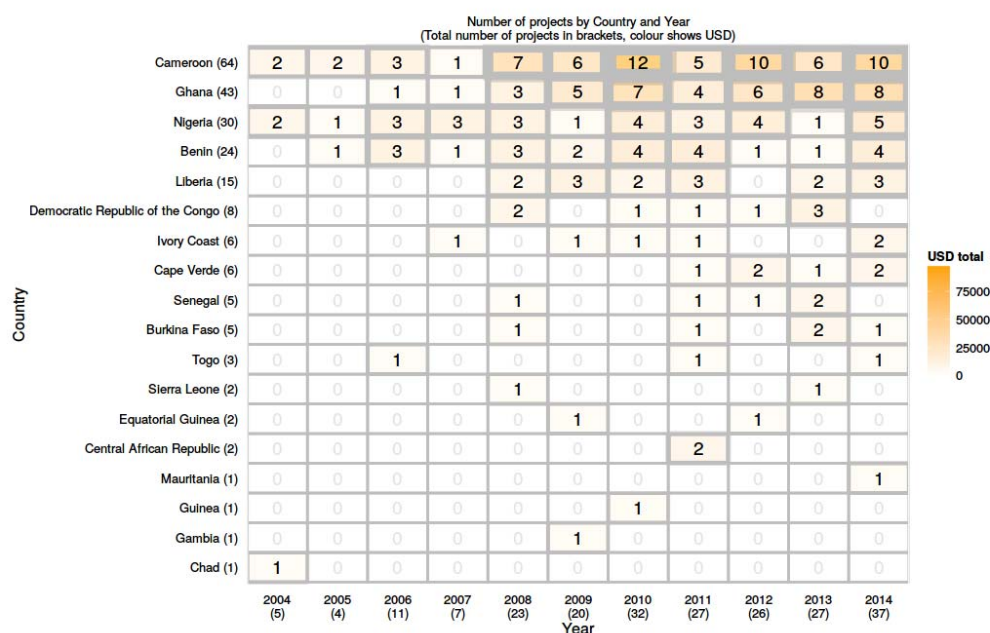
<sup>27</sup>Notes for processing data from website: only limited data available at website, some information last updated 2012. Grant totals for 2009 and 2010 given in separate documents.

<sup>28</sup>Details: <http://ramsar.org>. Reports: —

<sup>29</sup>[http://www.ramsar.org/sites/default/files/documents/pdf/res/key\\_res\\_viii\\_29\\_e.pdf](http://www.ramsar.org/sites/default/files/documents/pdf/res/key_res_viii_29_e.pdf)

Rufford Foundation<sup>31</sup>

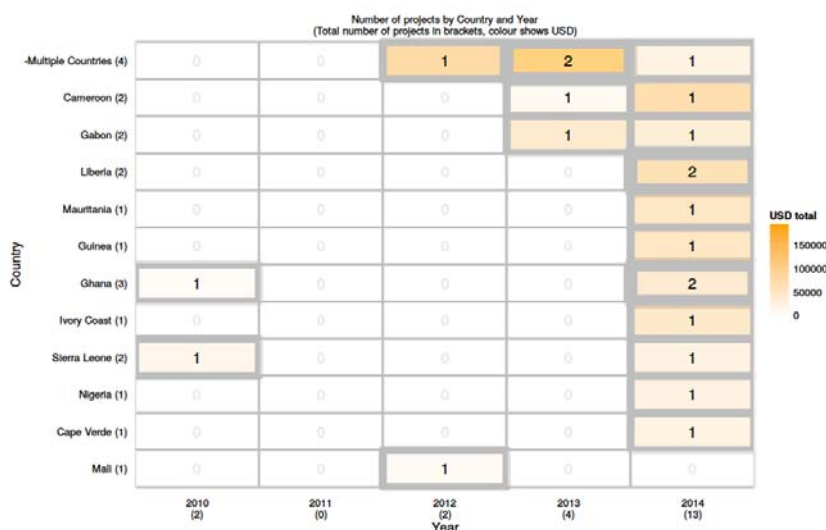
The Foundation does contribute to individual monographs, some of which involve evaluation e.g. (Omar 2014). Final reports including PDF files are provided for all of the 245 projects listed on the website. However, the Foundation does not seem to conduct independent project evaluations or any evaluations at a programme level.



Rufford: Number and total USD value of projects by country and year

Save Our Species (SOS) Fund<sup>33</sup>

The SOS website includes details of many standout projects but does not appear to include independent project evaluations or any evaluations at programme level.



<sup>30</sup>Notes for processing data from website: Grant amounts are not given but estimated: Rufford Small Grant (up to £5,000). 2nd Rufford Small Grant (up to £5,000). Booster Grant (up to £10,000). Continuation Grant (up to £25,000). Completion Grant (up to £25,000). But there seem to be only 12 projects which go into the third phase, so as the first two phases are both 5000 GBP, this sum seems a reasonable estimate.

<sup>31</sup>Details: <http://www.ruffordsmallgrants.org/rsg/>. Reports: <http://www.rufford.org/rsg/map>

<sup>32</sup>Notes for processing data from website: There are quite a few projects which are not at the website. Data kindly provided via email. Dataset provided sometimes combines several country-level projects as listed at the website into one.

<sup>33</sup>Details: [http://www.sospecies.org/sos\\_projects/apply\\_for\\_a\\_grant/](http://www.sospecies.org/sos_projects/apply_for_a_grant/). Reports: [http://www.sospecies.org/sos\\_projects/overview/](http://www.sospecies.org/sos_projects/overview/)

SOS: Number and total USD value of projects by country and year

#### Veolia<sup>34</sup>

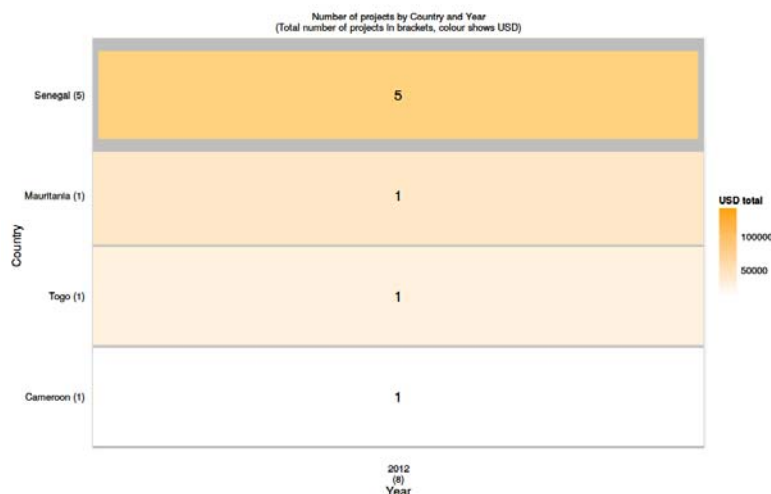
The Veolia Foundation<sup>35</sup>

The Foundation only supports projects that are sponsored by a Veolia employee.

It pays close attention to the technical and financial feasibility of each project, the experience of the project leader and the quality of its partners. It gives priority to projects that are original, set an example and can be replicated.

The website<sup>36</sup> provides over 50 monographs.

Annual reports are issued, e.g. (Veolia Foundation 2012; Veolia Foundation 2013), however these are brief and include large as well as small-scale activities in many sectors, so programme-level information on small grants for biodiversity is not accessible.



Veolia: Number and total USD value of projects by country and year

#### Whitley<sup>37</sup>

Whitley Award<sup>38</sup>

This award is a good example of a "hands-off" approach in funding, summed up by a David Attenborough quote at the website:

The Whitley Fund for Nature is Unique. It doesn't put its own people on the ground but seeks out local leaders who are already succeeding. It puts its money where it really counts, where every penny counts. Sir David Attenborough, Trustee<sup>39</sup>

The theory of change is quite clear: programme effects are to be channelled exclusively through support to, and maintaining relationships with, successful individual leaders in conservation.

The Whitley Fund for Nature (WFN) is a UK registered charity offering awards and grants to outstanding nature conservationists around the world. We locate and recognise some of the world's most dynamic conservation leaders and support projects founded on good science, community involvement and pragmatism. Above all, we champion passionate individuals who are committed to precipitating long-lasting conservation benefits on the ground.

Through a process of reference, application and interview, WFN identifies effective national and regional conservation leaders and celebrates them through Whitley Awards of up to £35,000, now amongst the most high profile of conservation prizes.

Winning a Whitley Award does not have to be a one-off and Continuation Funding of up to £70,000 is available for previous Whitley Award winners who have proved themselves and their work to be truly exceptional.

<sup>34</sup>Notes for processing data from website: Information all available at website on separate pages..

<sup>35</sup>Details: <http://fondation.veolia.com/en/>. Reports: <http://fondation.veolia.com/en/actions/projects/>

<sup>36</sup><http://fondation.veolia.com/en/commitments/summaries/>

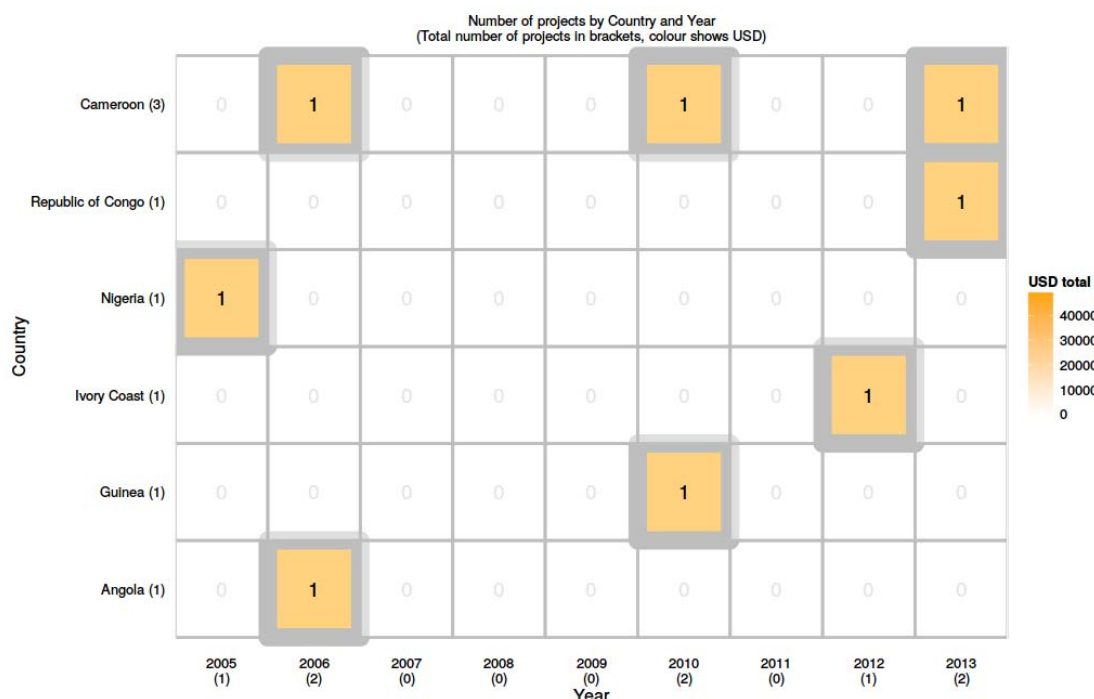
<sup>37</sup>Notes for processing data from website: Whitley has just 8. Website says each award in 35,000 GBP, which is approximately 50,000 USD. So set as 49,000 to ensure they stay in

<sup>38</sup>Details: . Reports: <http://whitleyaward.org/winners/>

<sup>39</sup><http://whitleyaward.org/>

As well as providing winners with significant financial support, WFN strives to accelerate the career paths of recipients by helping them to raise their profile, network and inspire others. Many of our previous winners have been able to scale up their work from local to national and international level as a result of WFN Awards and funding. We maintain close contact with our winners, doing all we can to ensure their conservation work is ongoing and increasingly effective.

However, once again almost no programme-level evaluation information is supplied.



Whitley: Number and total USD value of projects by country and year

## 2. Analysis of combined projects data

### a. Method

The computer code in the source file for this report, described above in [Method and reproducibility](#) then takes the resulting per-programme project databases, whether contributed by the programmes or scraped from their web pages, adjusts them to be compatible with one another and finally combines them into one single database. Some standard variables are available for all or nearly all of the programmes, whereas other variables (like "Status") are often not given and so are not very suitable for cross-programme analysis. Only the common variables are considered in the preliminary analyses below.

The original merged database includes many more grants, but when this is trimmed to only include grants under 50,000USD in Central and West Africa from 2004 onwards, the trimmed database includes 2,915 grants.

### b. Data collected

The table below summarises the data and sources actually used for each of the programmes, i.e. including only projects in Central and West Africa under 50000 USD since 2005.

Program	Nr projects in CWAfrica	max USD	min USD	First	Last	Nr countries	Has URLs	Has Reports	Has Recipient Names
CARPE	129	30000	10000	2007	2012	11	No	No	Yes
CEPF	2	18450	9000	2004	2005	2	Yes	Yes	Yes
CFH	22	30000	11000	2006	2014	8	No	No	No
CLP	18	25000	15000	2004	2014	8	Yes	No	Yes

Darwin	13	39805	0	2005	2014	9	Yes	No	No
FFEM PPI	130	64000	9335	2006	2016	21	No	No	Yes
Fondation Ensemble	18	30000	4500	2008	2012	9	No	No	No
GEFSGP	2218	50000	0	2004	2015	22	Yes	No	Yes
GEF-not-SGP	32	94760	0	NA	NA	18	No	No	No
MAVA	9	96000	32000	NA	NA	2	Yes	No	Yes
Mohamed bin Zayed	71	25000	2000	2009	2014	20	No	No	No
Rufford	219	8059	8059	2004	2014	18	Yes	Yes	Yes
SOS	18	99560	12500	2010	2014	12	No	No	Yes
Veolia	8	80000	10000	2012	2012	4	Yes	No	No
Whitley Award	8	49000	49000	2005	2013	6	Yes	No	Yes

Notes:

- The column "has URLs" states whether separate web pages are also given for each project. In some cases the source code also scrapes and includes the contents of these pages, in some cases not;
- The column "has Reports" states whether the full-text of the project reports is also included in the database<sup>40</sup>.

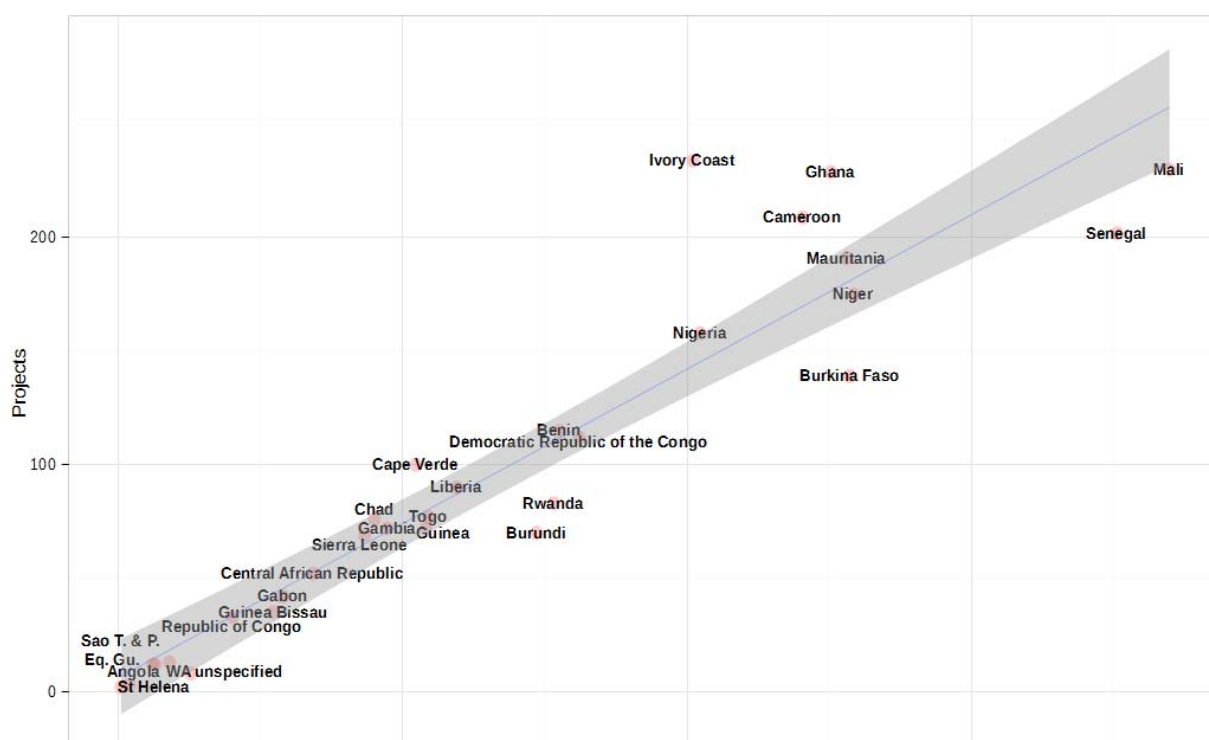
### c. List of countries included

The table below shows the distribution of the number of projects and the total amount invested in each country included in the study

Country	Projects	Total_Million_USD
Ivory Coast	234	4.04
Mali	230	7.39
Ghana	229	5.01
Cameroon	209	4.81
Senegal	202	7.02
Mauritania	191	5.12
Niger	175	5.17
Nigeria	158	4.09
Burkina Faso	139	5.14
Benin	115	3.1
Democratic Republic of Congo	112	3.24
Cape Verde	100	2.09
Liberia	90	2.38
Rwanda	83	3.06
Togo	77	2.18
Chad	76	1.8

<sup>40</sup>So for example for the CEPF website, the text of the attached project PDFs is automatically added to the database. In principle it would be possible to also scan this text to extract key data but this depends on how systematically the reports have been written.

Gambia	72	1.89
Guinea	72	2.16
Burundi	70	2.94
Sierra Leone	69	1.73
Central African Republic	52	1.37
Gabon	42	1.16
Guinea Bissau	35	1.09
Republic of Congo	33	0.8
-Multiple Countries	13	0.36
Equatorial Guinea	12	0.24
Sao Tome and Principe	12	0.26
west africa unspecified	8	0.51
Angola	3	0.08
Saint Helena	2	0.02

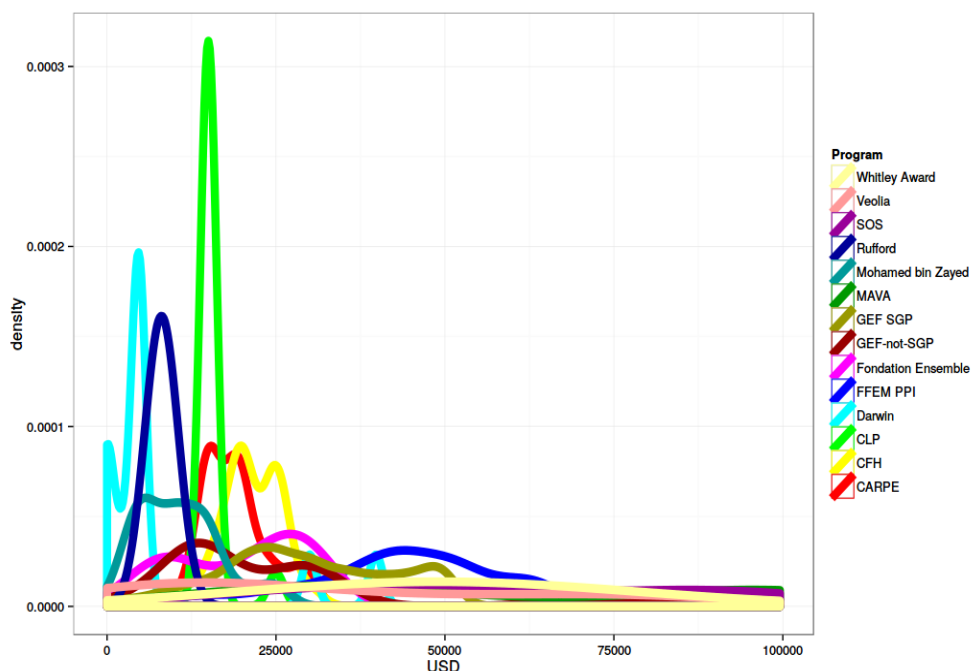


All small projects - total value against total number of projects, by country

Those countries like Ghana above the blue regression line received a somewhat larger number of projects with a somewhat lower average value. So Ghana actually had more projects than Mali although the total value of projects in Mali was about 40% higher.

Finding: overall, the relationship of total value to total number of projects remains quite constant from country to country.

#### d. Grant size by programme



Grant size by programme

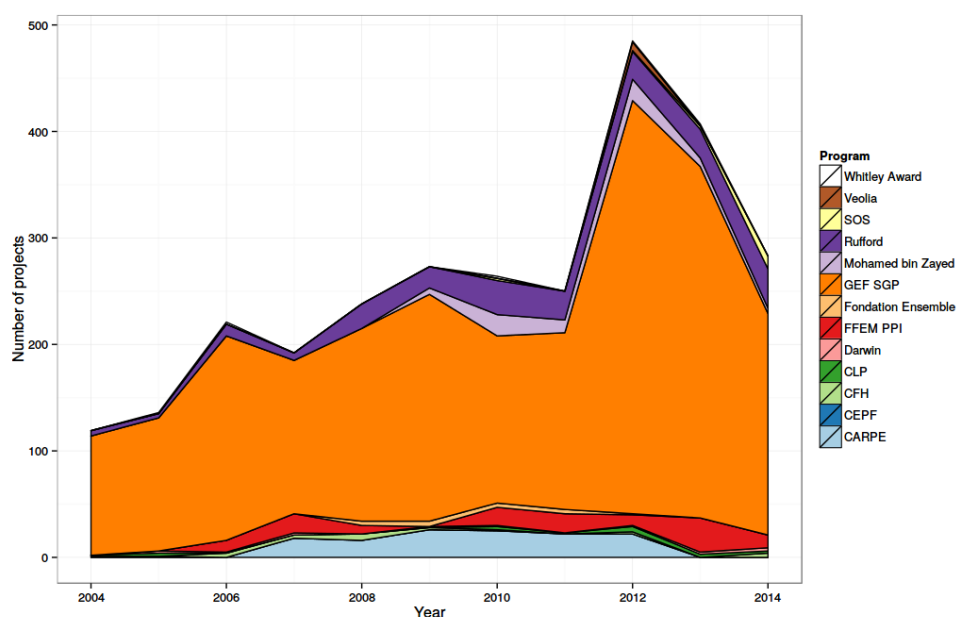
The lines in the graph are normalised to show only the proportion of projects with different grant sizes within one programme. Please note the graph also includes some grants larger than 50,000 USD for comparison.

Finding: each programme has its own funding profile in terms of grant sizes, with Darwin Foundation providing nearly all its funding at the "micro" end of the scale while others like CFH provide nearly all their funding in the mid-range, and still other programmes like FFEM/PPI have a wide range of grant sizes.

#### e. Projects by programme over time

Finding: GEF-SGP dominates funding in all years, though CARPE and Rufford Foundation also provide a large number of projects. The number of small grants projects has been climbing rapidly, doubling in the six years 2006-12.

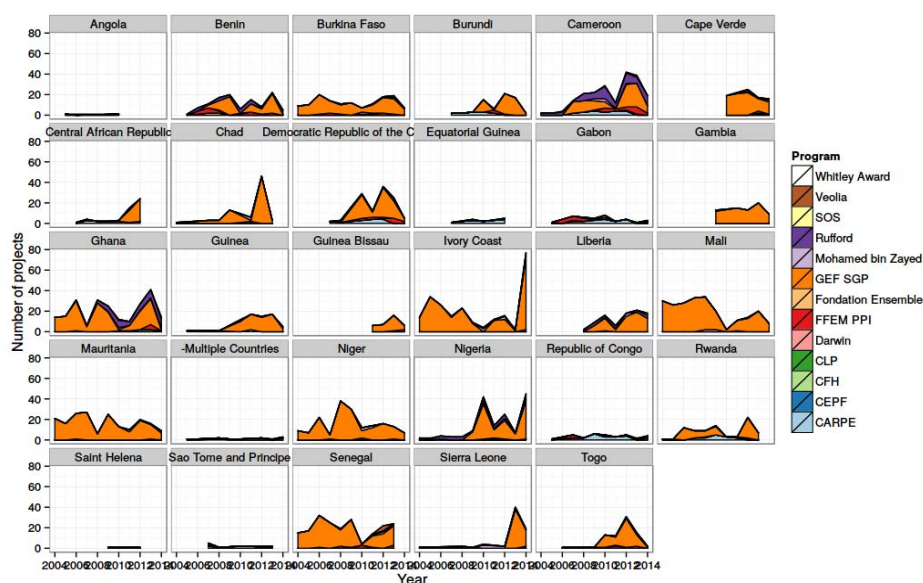




Projects by programme over time

#### f. Projects by programme and Country over time

Finding: A couple of the countries like Ghana, Senegal, Cameroon and Togo have been covered well by different programmes. Other countries have only had projects from one programme, in most cases GEF.

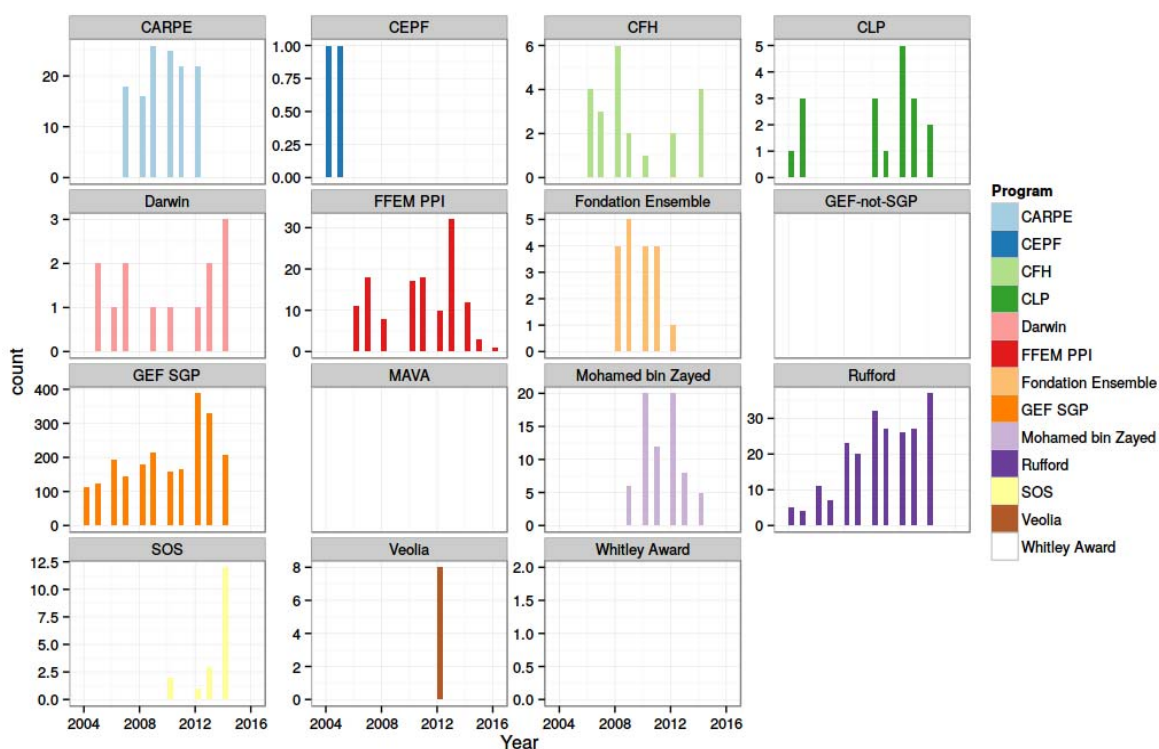


Projects by programme and Country over time

#### g. When did each programme give most grants

Finding: Again, the programmes seem to complement each other in the sense that the dynamic of how they have been providing funding differs from one to the next. So some programmes like FFEM-PPI and Rufford Foundation have been generally increasing their small grants support to the region, while others like CEPF have more or less ceased.

Some of these differences may be artefacts due to the fact that not all project-level data was available to this analysis. So for example if a website has not been recently updated it may appear that the programme has stopped supporting projects.



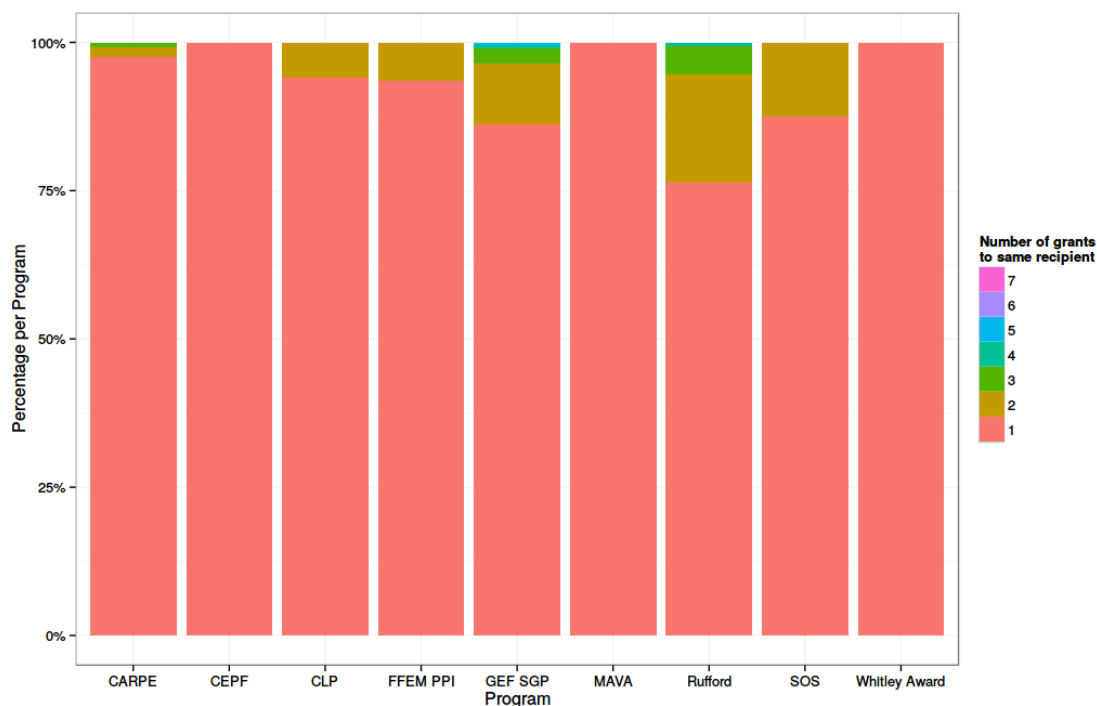
When did each programme give most grants?

#### h. Do programmes give grants to the same recipient more than once?

	1	2	3	4	5	6	7	Sum
<sup>41</sup> CARPE	122	2	1	0	0	0	0	125
CEPF	2	0	0	0	0	0	0	2
CLP	16	1	0	0	0	0	0	17
FFEM PPI	114	8	0	0	0	0	0	122
GEFSGP	1561	187	47	8	7	1	1	1812
MAVA	9	0	0	0	0	0	0	9
Rufford	129	31	8	1	0	0	0	169
SOS	14	2	0	0	0	0	0	16
Whitley Award	8	0	0	0	0	0	0	8
Sum	1975	231	56	9	7	1	1	2280

Number of times an award was given to the same recipient, per programme

<sup>41</sup>So for example the number 122 in the first cell means that 122 different recipients received CARPE grants on one occasion only. Programmes that do not list recipients are not included here



#### Number of grants given to same recipient, by programme

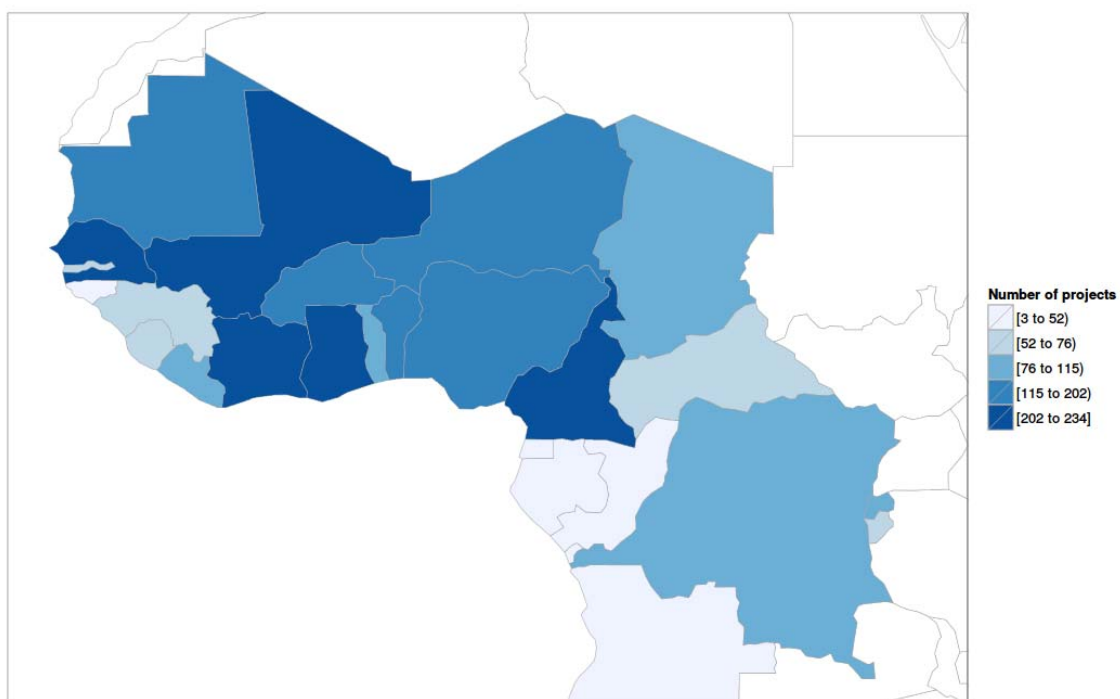
Finding: It is quite rare that a grant is given to the same recipient more than once, (13.4%), with only 0.789% receiving over 3 grants.

Monaco has 9 recipients with a second grant, and Rufford goes up to three. Only CEPF consistently programmes recipients more than two or three times, in fact in general more than half of their grants go to NGOs with more than one grant - but as there are only a few CEPF grants which actually fit our criteria of size and country, this is not particularly relevant to the present report.

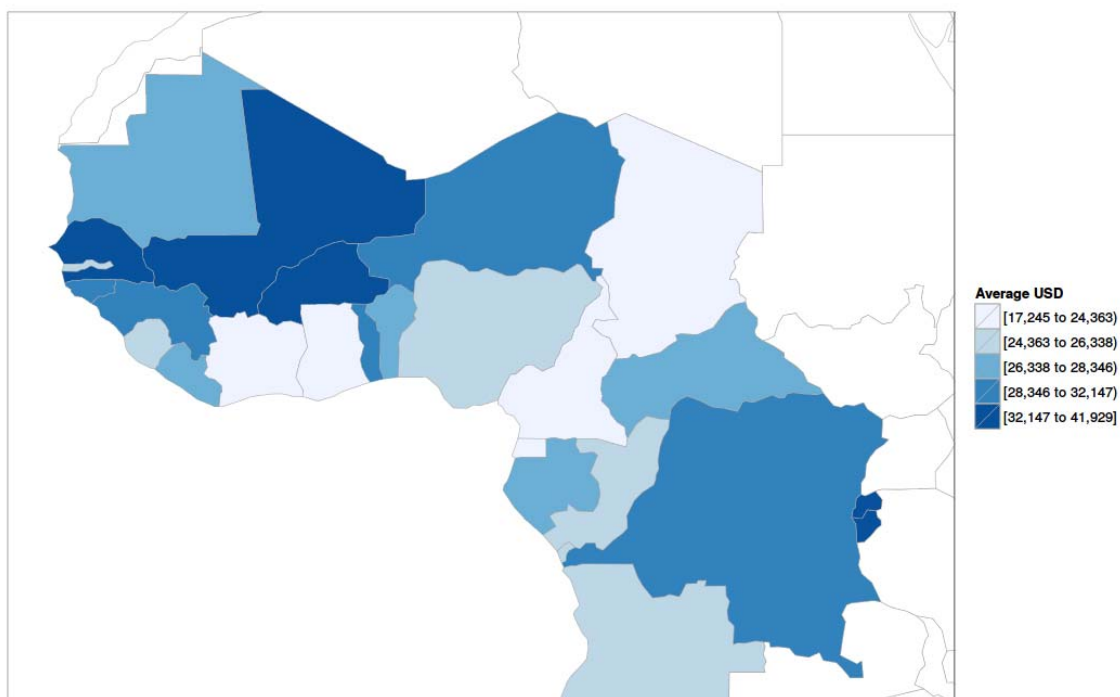
Of course, the recipient name might have changed slightly or be spelt differently, which would result in underestimates of the number receiving more than one grant.

In a few cases a programme may specify that a grant is repeat funding but the recipient name is different from the original grant.

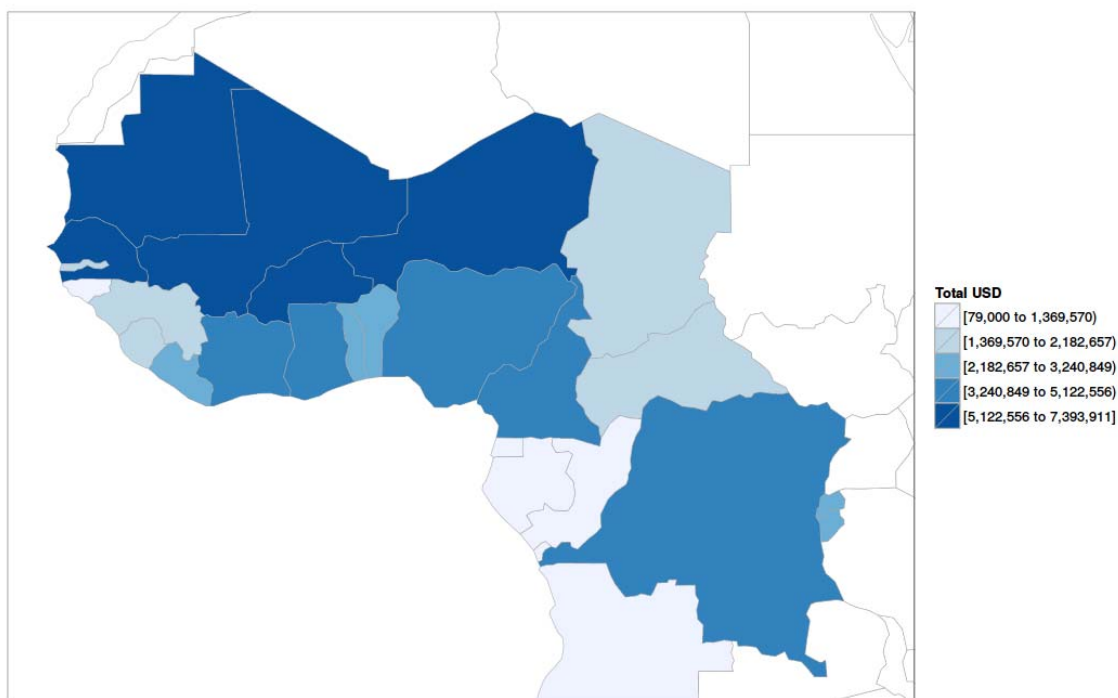
i. Maps: Number, average and total value of grants by country



Number of small grants



Average value of small grants

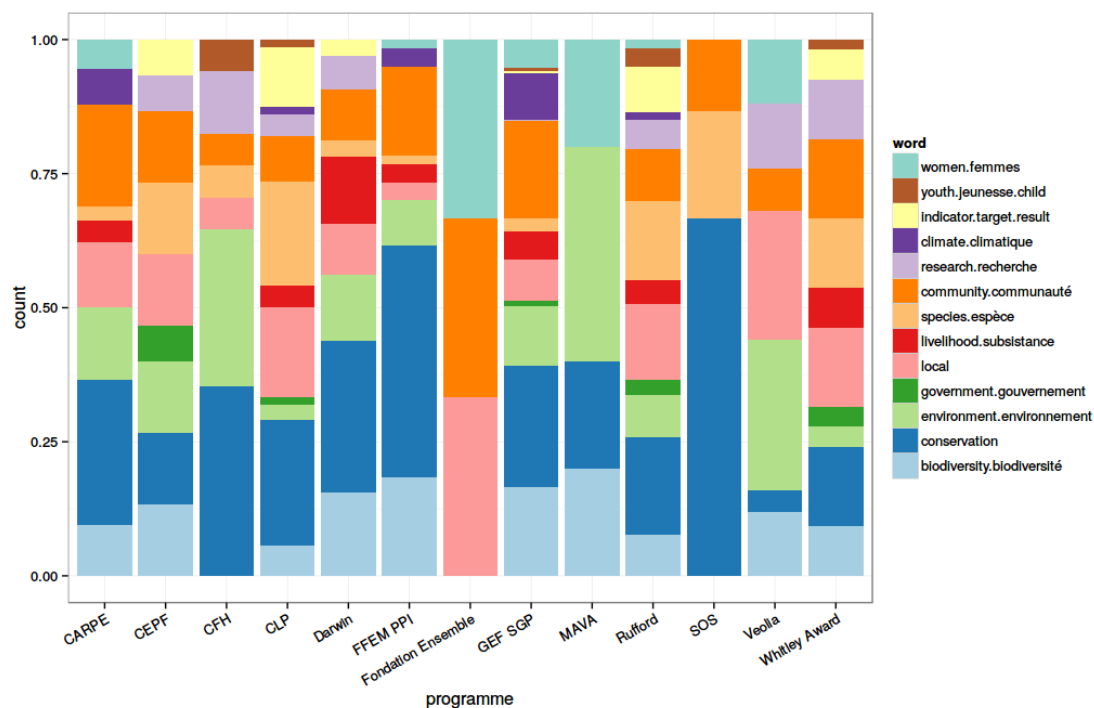


Total value of small grants

Notice in the third map, total funding is clearly high right across the northern part of the Region, i.e. Sahel. There also seems to be less funding in Central Africa, perhaps partly because of conflict zones.

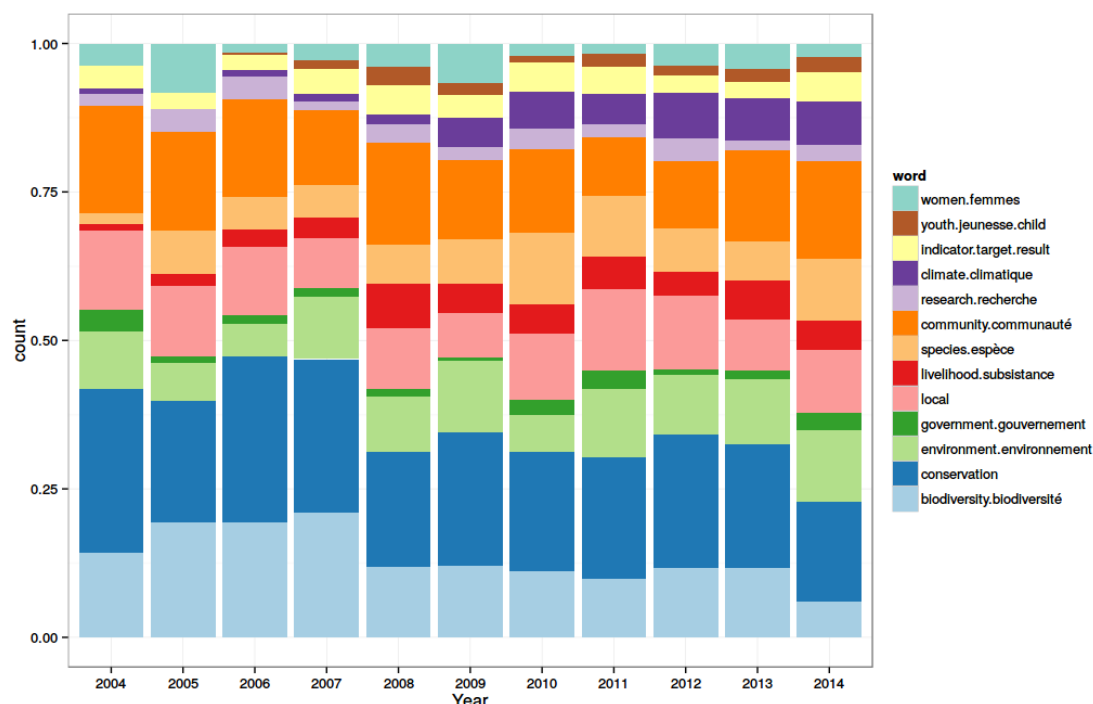
## j. Themes

These analyses are based on automated searches for keywords (and French-English keyword pairs) in the text description of each project. In some cases this search also includes the full text of the corresponding project reports.



Key themes mentioned in the project descriptions of different programmes, by programme

There are some distinct differences between the subjects covered in the project descriptions. Apart from those to be expected, it is notable that Darwin mentions "Livelihood" very frequently. One or two of the programmes, in particular Fondation Ensemble, have only a small amount of text available for this analysis so the results should be treated with caution.



Key themes mentioned in the project descriptions of different programmes, by year

It seems that the climate theme is growing in popularity perhaps at the expense of biodiversity. The same observation was noted in a CEPF evaluation: "The pendulum of conservation focus has swung heavily towards ecosystem services and climate change in recent years." and also in a GEF evaluation of small projects: "For the post-2007 period, the percentage in US\$ terms of grants to biodiversity (43%) is less than for the pre-2007 period (54%)" (GEFIO 2014).

It is also notable that although the themes "women" and "local" do occur quite frequently, there is very little mention of youth.

### 3. Small grants in relation to total funding

Data from OECD CRS, which monitors aid flows globally, can give insights on total aid for the environment in the region.

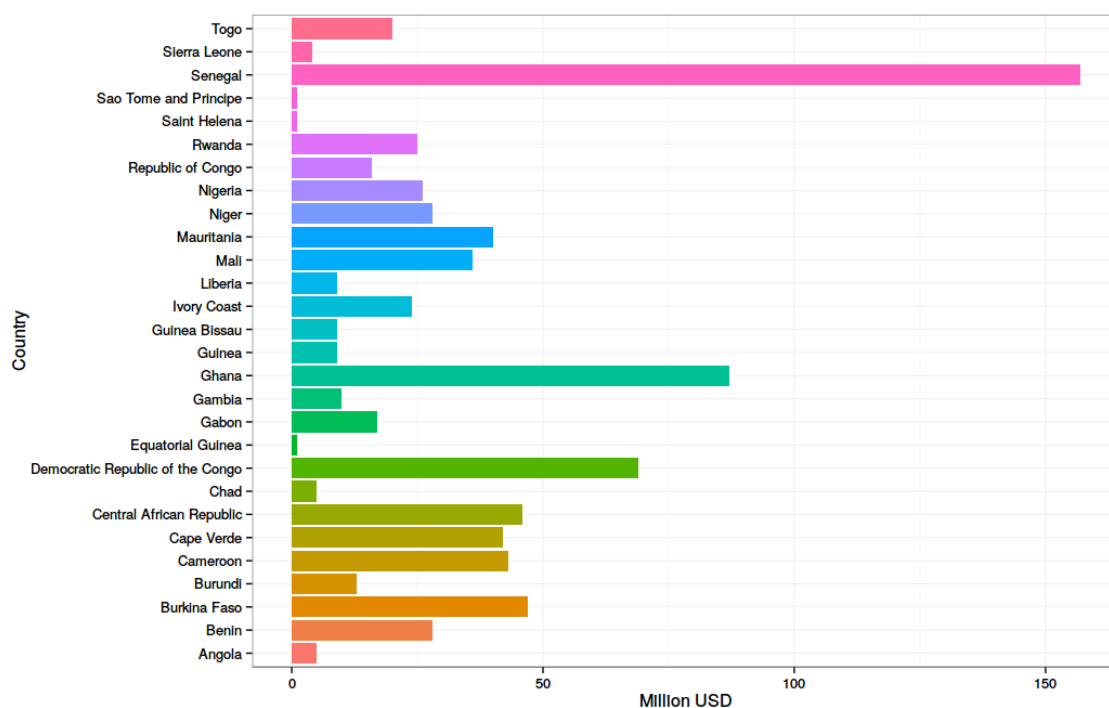
Data was gathered from aiddata.org, which gathers and refines the OECD data, using the aiddata API (Tierney et al. 2011).

This data may actually include some of the funding for small grants already reported above. However, as small grant funding is so small in relation to these total flows, this does not matter very much.

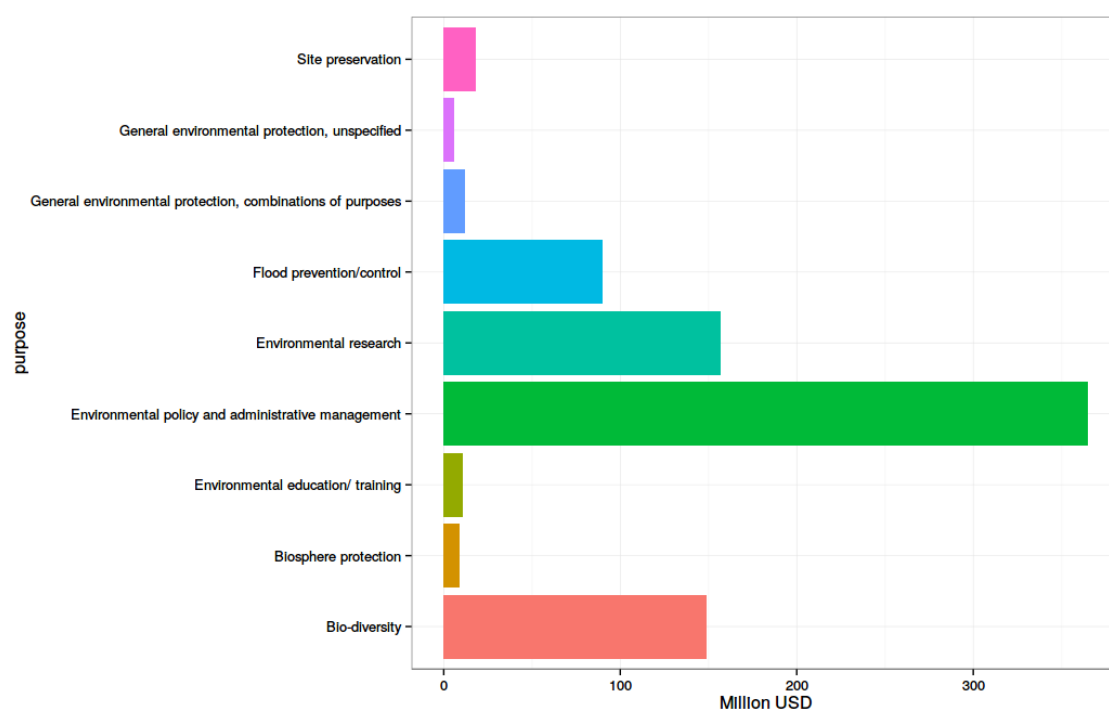
The data was downloaded from aiddata.org using the following parameters:

- Sector: 410, GENERAL ENVIRONMENTAL PROTECTION;
- Organisation: just the countries in CWA;
- Years: 2004-12 - the data gets thin after 2012;
- Transaction type: disbursements (rather than commitments);
- Sources: all AidData sources.

The graphs below provide a graphical overview of full-scale funding:



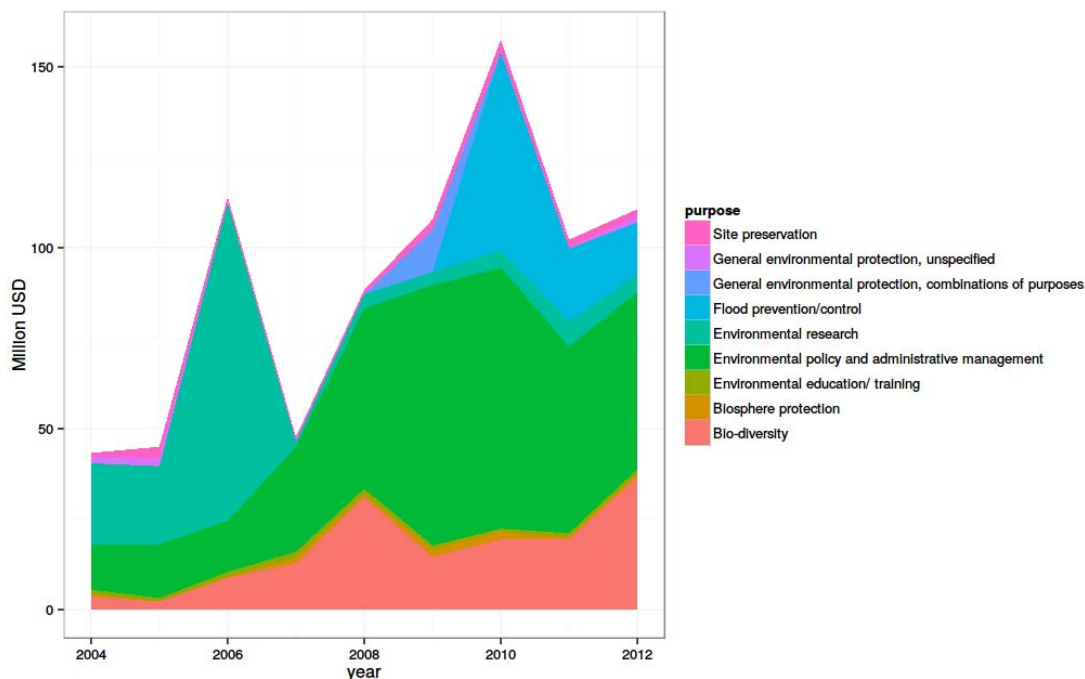
Full-scale funding by country



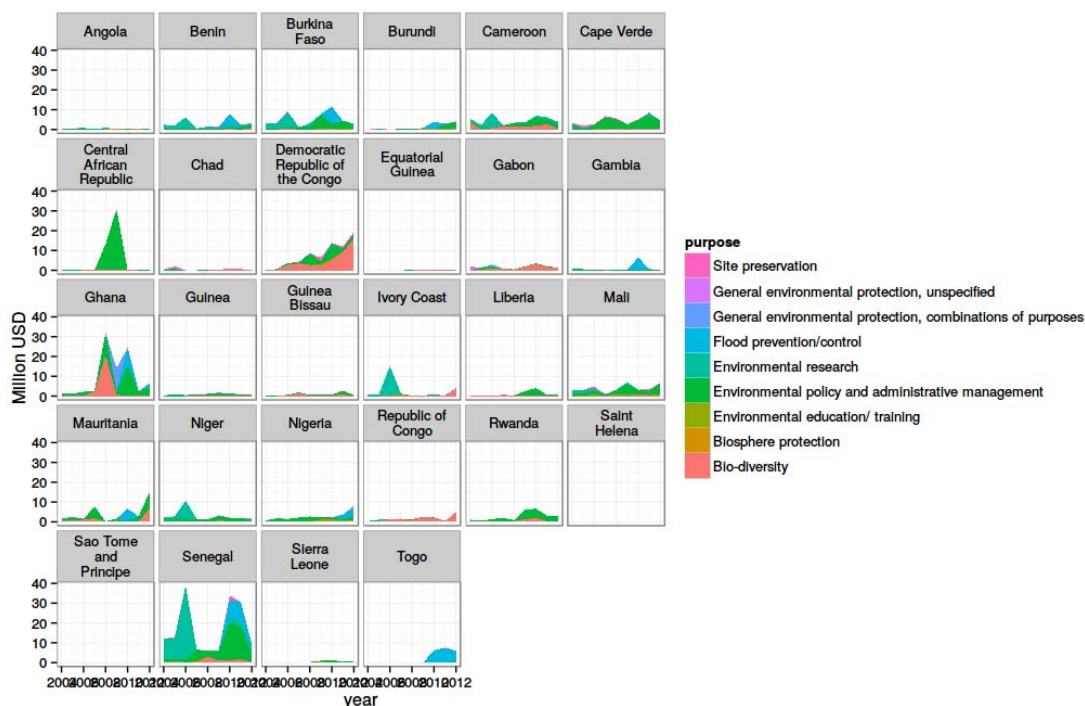
Full-scale funding by theme

Senegal, Ghana and DRC are the top three recipients.





Full-scale funding: purpose by year



Finding: Funding allocated to flooding only started recently (perhaps related to climate change); the funding for biodiversity has been increasing over the last 10 years, even as a proportion of overall funding. Funding for environmental policy and administration has also increased significantly.

Finding: The funding for individual countries seems to be quite erratic.

To some extent these fluctuations are due to funding cycles, but it is worth noting that the dates of the aid data represent dates of disbursement, not commitment.

Finding: Large-scale funding spent on biodiversity has risen from 8.4% in 2004 to 33% in 2012.

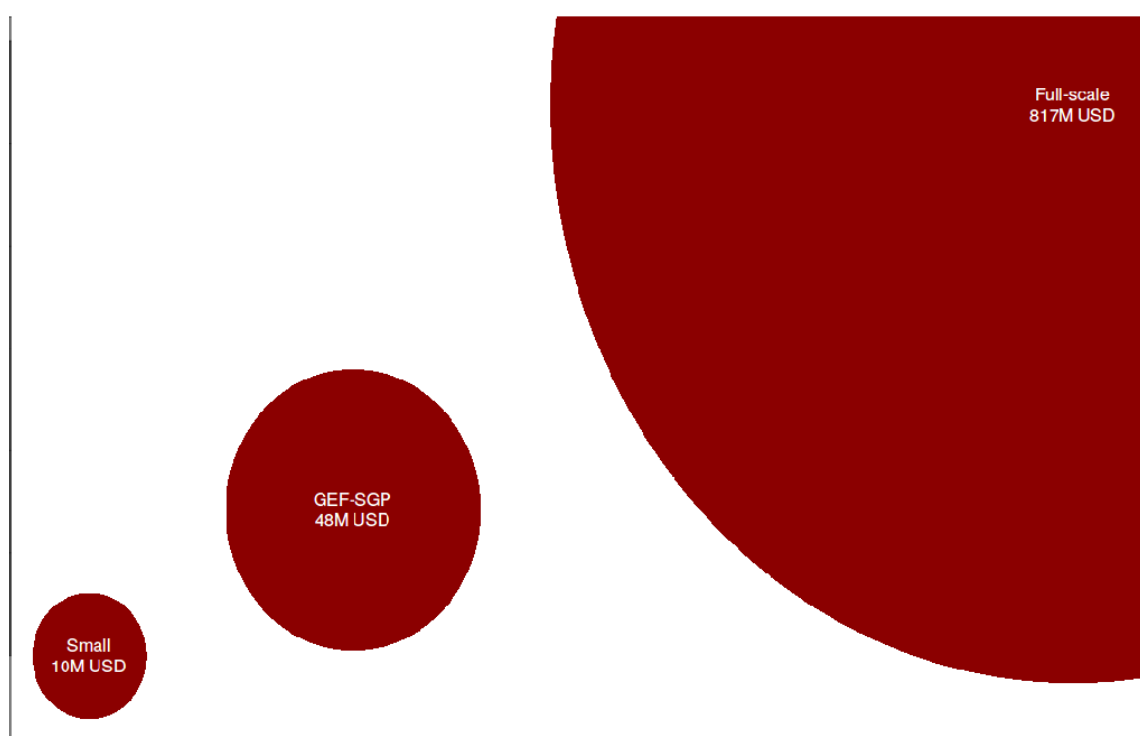
## 4. Comparison of small grants and overall funding

About 15 programmes were identified that have given 5 or more small grants to environmental projects in the region over the last 10 years, with a total value of around 80 million USD.

Conclusion: The total volume of funding and the number of projects for protection of conservation and biodiversity in Western and Central Africa has been significantly increasing during the last 10 years. This follows a world trend, driven by GEF. This is not necessarily good news because this increasing funding occurs in parallel with an increasing threat to biodiversity worldwide, and the funds are far from matching the increasing needs to protected biodiversity with often in increasing growing human population in Westerns and Central Africa.

Conclusion: Comparing the amount of funds available for small conservation / biodiversity grants with total funds, small grant funds are only around 5% of the total, though the proportion is growing. Non-GEF small grants represent only about 1% of all funding.

Small grant programmes present a good opportunity to complement large-scale funding with smaller, more flexible, innovative and diverse programming.



Visualisation showing how small the non-GEF small grants is 2004-2012 in proportion to GEF-SGP and in turn how small both are in comparison to full-scale environmental aid.

Finding: Over the whole period 2004-2012, non-GEF small grants were 1.17% of full-scale funding. This proportion has been increasing, reaching 1.59% in 2012.

### a. Range of programmes

Conclusion: small grants programmes are remarkably diverse and complementary in terms of grant sizes and implementation model. However, GEFSGP represents about 5/6 of all small-scale funding. This is not an optimal balance. For example, GEFSGP is not active in every country on every topic, so adequate funding for other programmes can help to fill in the gaps.

### b. Purpose of funding

While there is some indication that biodiversity funding is falling as a percentage of small grants funding, it is more frequently mentioned as a main purpose of full-scale funding.

### c. Gaps

A fuller analysis of large-scale versus small-scale funding is given in section “Linear models of small and full-scale funding”

Conclusion: A couple of the countries like Ghana, Senegal, Cameroon and Togo have been covered well by different small grants programmes. Other countries have only had projects from one programme, in most cases GEF. Gabon, RoC and Rwanda have relatively small GEFSGP budgets but instead are well served by CARPE.

### d. Relevance to need

Conclusion: Comparing Yale EPI data and OECD data, it seems that small grants and especially large grants go to countries with better environmental health data. However, the analysis around p. 70 suggests that this connection might be caused by a hidden third variable, namely perceived government transparency.

Conclusion: On average, small-grant funding goes to the same countries in the same years as full-scale funding, even allowing for influence of land area, population, environmental need etc. However, there is a weak tendency that more small grants are given by year to larger countries and poorer countries and countries with lower populations, i.e. small grants do contribute somewhat to filling in the gaps.

Recommendation: Small-grant funding could try harder to fill in the gaps in countries and years where full-scale funding is weaker.

## E. Factors influencing success of small grants programmes and projects

How can we do a lot with a little? What specific ways does a small project or a small grants programme have, which can allow it to "punch above its weight"? Here we will look at some more typical and important features of small-grants projects and programmes that might help them positively influence biodiversity.

These features are ways to leverage their own and others' resources to produce environmentally valuable outcomes via their specific way of providing small grants.

This chapter will cover both factors that might make small grants projects and/or programmes in general more successful than other kinds of support, the so-called "small grant niche", as well as factors that might differentiate between small grants projects and/or programmes and which might explain why one is more successful than another of the same type.

We have divided them between programme-level factors and project-level factors, but there can be a lot of overlap.

In this section, a range of factors emerging from the research that appear to affect the success of Small Grants programmes will be highlighted. Most programmes highlight one or two such factors. Such factors might include for example the size or special location or timing of the program, and/or business models or procedures. Procedures could be those which have been shown to work in the past and/or by tweaking or improving them, and/or by underlining their ability to implement a tried-and-tested method in a more effective way, and/or suggesting new ideas / ways of working. The focus here will be on common, generic features rather than trying to decide definitively which programme or project uses which factor.

Of course individual projects usually also make use of project-specific features, like for example a particularly good connection with a university, as well as technical strategies and techniques, whether one-off or generic, like a particular way of working with a river ecosystem. What we list below are features which are a) generic to many small grants programmes and/or projects, and b) which are (arguably) specific or most effective in small projects.

### 1. Factors: program design

A first category of facilitating factors that our research has identified highlight the added value that SGP can bring over simply financing actions and funding small projects. All the organizations implementing or managing SGP have acquired technical expertise that is necessary to execute their own objectives. Some of them have found that sharing this expertise to help their final beneficiaries achieve their common objectives was relevant to their mission, and they offer technical support, training, or affect positively the operational environment.

#### a. Factor: Intermediate layer

Some programmes included an additional localised organisational layer between large fund and small project. So rather than dealing directly with small projects they looked to identify and/or create intermediate and more localised partners. One such programme is the Programme d'Appui au Parc de l'Entente (PAPE).

The long-term funding for the cooperative management of trans boundary protected areas in the WAP complex (Niger, Burkina Faso, Benin) ensured by linking three programmes: European Union (EU) project Ecosystèmes Protégés en Afrique Soudano-Sahélienne (ECOPAS), the Ecosystem Management project, WAP-Global Environment Fund (GEF) and the Programme d'Appui aux Parcs de l'Entente (PAPE) provided opportunity for different partners to build a robust network of experience sharing among parks managers across borders and create a bridge between different management systems in different countries governing shared biodiversity<sup>42</sup>. This cooperative experience for shared resource management has impacted management of WAP primarily by establishing the Agreement of regional and concerted management of the WAP complex involving three countries, establishing a regional institution to direct conservation actions within the WAP protected areas, and establishing and supporting of regional patrol activities in the WAP complex. Additionally, the aforementioned programmes focused on capacity enhancement of local community and development of activities respectful of biodiversity conservation, alleviating negative pressure from populations mitigated with cost-benefit balance favorable to them. To this end the PAPE programme included three components, one focusing on enhancing administration and governance, the second on providing support for the core protected areas (the parks) and the third one on funding for NGOs representing communities living near the park.

<sup>42</sup>[https://cmsdata.iucn.org/downloads/parks\\_19\\_2\\_amahow\\_.pdf](https://cmsdata.iucn.org/downloads/parks_19_2_amahow_.pdf)

Significant results are achieved such as creation of the regional technical coordination unit, enhanced strategic planning skills and land management in cross border areas, raised capacity of protected areas managers, and proficient monitoring of biodiversity in the protected areas including keas species. Moreover, the programme also ensured the nearby local population support the protected areas and benefit from them, enabling the development of touristic activities around the protected areas thus providing economic benefits to the local populations. Likewise, the programme likewise worked on enhancing the capacity of the local community and development of activities respectful of biodiversity conservation.

Whilst there are indeed visible results achieved in coordination and in enhancing strategic planning, the issue that needs to be addressed urgently is the allocation of resources within the national budgets for daily operation and running of the WAP complex. Continuous and consistent budgetary allocations in all countries, to ensure resources for the WAP complex, are needed to counter the obstacles such as different structures and institutions in charge of protected area management in each country and unequal management capacity in the protected areas of the WAP complex.

At the same time as the external funding is viewed as vital to continue the good practices developed by this programme, the senior WAP managers are not opposed to the decision that it not to be used for the running costs for the park, as it creates dependency. Indeed, they are in favor of self-sufficiency, requiring from governments not just budgetary support but also stronger focus on developing robust tourism strategies.

### **b. Factor: Critical mass**

CEPF: "CEPF's underlying philosophy, albeit not explicitly defined, suggests there is a threshold for strengthening civil society's role in conservation above which its influence is considerable and sustained". In contrast, perhaps the most frequently mentioned disadvantage associated with small grants is their scattered nature (short in duration and dispersed randomly and thinly on the ground), which leads to inefficiencies and frustration. In particular, there is criticism that projects are too small, too short, too unpredictable and too far apart to have any chance of reaching the critical mass necessary for sustainability. "Critical mass" is not the same as economies of scale; rather, it suggests that some processes develop in a non-linear fashion such that return on investment is low up to a certain point beyond which it accelerates strongly. This can happen for instance when a certain kind of behaviour (for example, separating waste for recycling) which has been suggested as desirable for years becomes a social norm within the space of a few months.

"I felt like I was on my own for years with my project and the problems I had, and I think there were many others who felt the same. But when we started going to the regional meetings we were able to exchange contact details and suddenly it is like we are all part of a real network". Local CSO.

### **c. Factor: Availability of technical support**

Most programmes offer some kind of support, whether in administrative or technical areas. However, they differ strongly on whether this support is available on the ground in project countries or only remotely and/or in donor countries, which was typical for programmes more academic in nature. Respondents reported that while it was possible to launch projects with only remote support, the quantity and quality of on-the-ground support was important for project impact and sustainability in the local environment - factors which were less important for more academic programmes. Perhaps surprisingly, the type of support most frequently mentioned as important was basic support to NGO management: administration, HR, PR etc.

### **d. Factor: Recipient capacity**

This factor can also be located at the project level. However, insofar as it is programmes that select projects and recipients, recipient selection criteria can be seen as a programme-level issue. Capacity to administer projects as well as implement them technically differs widely from small grant recipient to recipient, but was seen by most respondents as being absolutely critical to project success. In the course of this research, 30 respondents completed an online questionnaire.

Finding: respondents do not consider most of the scale and scalability issues such as trying to do too much or activities too spread out geographically to be very important threats. The top five threats are mostly related to internal capacity, as follows:

variable	Average_threat
lack of cooperation from local people	2.6
lack of technical expertise	2.6
poor management of the grant by the implementing organisation	2.6
lack of a good plan and big idea	2.5
staff in implementing organisation lose interest	2.4

Most donors said that from their perspective, the collective capacity of CSOs to absorb funding was very limited, to such an extent that some have reached saturation. For example, CEPF provided more grants to international NGOs than to local NGOs<sup>43</sup>, usually explained by the lack of capacity of local NGOs. There is a very small increase in the number of local NGO receiving funds from CEPF, which indicates a limited impact of CEPF to build their capacity. Maybe the size of grants proposed remains too large compared for the capacities of these local NGOs (BEUCHER et al. 2014, p 78).

This means that programmes investing in countries where technical capacity for reporting is weak will have more difficulties finding suitable recipients capable of formulating, and executing the tasks and reporting, resulting higher rate of failure.

### e. Factor: Format and duration of small grants

There is an often-repeated belief that conservation takes a particularly long time - at least 10 years (Conservation Finance Alliance 2008). Respondents both from NGOs and the donor community frequently mentioned that they thought longer projects were more effective; this theme was mentioned much more often than scale or budget amount. Nevertheless, multilateral small grant donors are obviously reluctant to make long-term commitments whilst the bilateral and large grant donors are in general more likely to be able to make a longer-term commitment. Examples of compromise solutions to this problem are many.

In the optimal situation, a donor is prepared to provide the prospect of very long-term small-scale support over more than a decade, though conditionality might be included with a reapplication procedure required every couple of years. Swiss Development Cooperation (SDC) support is one such example of funding for sustainability of projects. Some projects of the SDC projects went up to the 6th phase, lasting 4 years each phase. Some projects have been funded for more than 20 years.

SDC believes that some successful projects need to be scaled up geographically or intensively in order to increase their impact and that funding does not necessary have to decrease at those stages of the programme. Indeed, an important challenge remains that when a project or programme becomes sizable, when it reaches the national level, it often needs a national institution/s as a main partner. In this case the problem remains similar: a key factor is the commitment of the national or a local institution as part of the decentralization strategy. To ensure this commitment, more work is needed for strengthening administrative and political capacities of National level state institutions. In other words, the bigger the projects, the more capacities are needed for the relevant institutions at each level, but also the capacity of local institutions, individual beneficiaries and stakeholders. In these circumstances SDC tries to work with what is already on the ground, ensuring that there is no creation of unnecessary parallel structures. Too many projects failed because NGOs were created for the sake of the project, and cease to be active or to exist after the funding stops. Therefore the SDC strategy includes the involvement of local authorities (municipalities for example or villages or community representatives) that are already engaged in responsibilities in their communities.

Experience from the SDC Programme in Niger, an agro-forestry project near Gaia with Palmyra Palm trees (*Borassum Aethopium*), provides supportive evidence on the benefits of the longer-term approach to individual programmes. SDC got involved in supporting this programme in the early 80s, with the involvement of the IUCN as implementing agency, and then again in the 1990 until early 2000 with a total funding of 7.5 Million Swiss Francs through 4 implementation phases. This specific support could also be viewed as a long series of small grants of 285 000 CHF per year. The fact that the project has lasted for more than 20 years might not be very appealing to some donors, but it was necessary to obtain lasting results<sup>44</sup>.

<sup>43</sup>A formal classification of recipients into local / international was not conducted as part of this study, but data for C and W Africa at the CEPF project database [http://www.cepf.net/grants/project\\_database/Pages/default.aspx#](http://www.cepf.net/grants/project_database/Pages/default.aspx#) show that over half the grants were to international organisations.

<sup>44</sup>The number of trees increased significantly after a planting programme was implemented.

Whether seen as a series of small grants or long term large funding, in both what is essential for good lasting results is the ownership of the implementers and beneficiaries and a sense of responsibility. The beneficiaries of the small grants view them as enabling, more flexible and with faster implementation cycles, whilst they consider heavy and slow administration of larger programmes a potential major obstacle to project implementation. Indeed, they view that the needs and various aspects of individual projects should be taken into consideration when deciding on the type of funding support. Programmes such as those supported by the SDC (agro-forestry in Gaya), the GIZ (ATAWA) and Luxembourg development cooperation are praised for their targeted approach through decentralization. As mentioned before, such long-term support is hard to secure and, failing this, NGOs often manage to piece together support in different forms and formats from different donors in order to keep a project running. In fact much of the small-scale environmental protection in the region is actually delivered in this way. It is reasonable to assume that this process is less efficient than planned, phased support from a single donor.

#### f. Factor: Transaction costs

The small environmental grants programmes that are the topic of this report present particular challenges in terms of understanding across cultures - national and regional cultures including differing understandings of the role of government, civil society, and the individual - as well as such basic questions as: What is a project? What is transparency? Is it acceptable to bring or not bring a present when visiting a village? What is the environment? What is development? What is a sustainable livelihood? Should volunteers expect to be paid? How much should we hide unpleasant facts when talking to journalists? When and how much should a donor close their eyes to what seems to them like, say, inefficiency or laziness? What counts as a reasonable amount of controlling and checking?

Reaching enough mutual understanding on these types of points between stakeholders from vastly different backgrounds demands that meaningful and sustainable professional relationships are built up between and among stakeholders - donor staff, project staff, national programme staff, local authorities etc. It means that donor staff members need a certain amount of genuine field experience. It means establishing and sustaining rich two-way channels of communication and personal contact, not only vertically from say a single NGO through a single municipality to the head office of a donor in, say, a European capital, but also horizontally between stakeholders.

And all this incurs costs, which can be classed as "transaction costs". "Transaction costs" can be broken down into search and information, negotiation and monitoring<sup>45</sup>, just those functions that are mentioned above. "Transaction costs" are usually seen as negative and avoidable. However, the concept of "transaction costs" is problematic; it is derived from economic analysis in which there is a good to be sold at an end-point; the entire value is recovered there. In the case of donor-funded environmental projects, the "transactions" are only part of what the project does; "the transaction costs" are a necessary part of completing the project successfully.

Respondents often said that donor-funded projects without a real meeting of worlds are doomed to fail, and that some "transaction costs" are necessary for funding face-to-face meetings and open fora for communication and debate.

"Only when the donor is prepared to come up-country with us and actually spend a few days to understand the scene, that is the kind of partnership that works." (NGO respondent)

The function of "translating" the different ideas, values, priorities and experiences not only at the two end-points but also at the various levels in between (e.g. national offices) has to cost money. This process should perhaps not be referred to as "transaction costs" but rather as, say "communication and understanding". This is a necessary function which can be conducted, like every other function, more or less efficiently or wastefully but which is not intrinsically wasteful.

#### g. Factor: clarity of focus

A range of factors that we found facilitate the success of SGP pertain to how its objectives are defined and expressed. These factors all facilitate the understanding from beneficiaries, the strategic decisions and measurement of outcomes. Above and beyond a summary of project level goals (such as the number of projects successfully completing or even the number of additional hectares protected to a given standard), additional programme goals should be clearly formulated according to the programme theory of change, such as number of very promising, high-performing new or relatively new CSOs and CSO networks, ("star CSOs") identified and supported, number of innovations adopted by third parties, etc.

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<sup>45</sup>See [https://en.wikipedia.org/wiki/Transaction\\_cost](https://en.wikipedia.org/wiki/Transaction_cost)



## External outputs

Assessing impact of any programme is difficult. The best chance is with "external outputs", i.e. those which can be directly related to an intervention but which are also externally defined.

Recommendation: Programmes should try to use at least 2-5 of the most important indicators as highlighted in the new CEPF M&E guidelines (CEPF 2013) which are most suitable for covering progress on many or all of the projects. See also GEF biodiversity guidelines (GEF 2011).

One useful example is having one or two levels of quality certificates (e.g. very basic and advanced) for environmental NGOs.

This could mean trying to ensure that this data is gathered as part of project-level M&E (responsibility is with projects), or it could mean gathering the data as a programme-level exercise (responsibility is with programmes). At the programme level, a representative subsample of all projects could be investigated in more detail rather than expecting each project to make impact-level measurements.

Data collection on these tools could be relatively simple. It should present no great problem if different organisations conduct METT and CSTT surveys for their own projects as overlap is easy to spot (simply by asking/checking if the organisation for CSTT or the PA for METT has recently completed the survey). Perhaps IUCN could play a role in collating data collection and conducting analysis.

Other indicators like number of beneficiaries "reached" are not so useful for impact measurement if they leave key parts of the indicator definition (in this case "reaching") undefined.

## Focussing on best cases

Conclusion: in their communications and PR material, programmes tend to focus on a small number of best-practice projects. In standard monitoring practice, it would be very misleading to focus only on a few outstanding projects out of many and highlight their individual achievements. But in the case of SGPs this is legitimate providing it is made clear that these results are probably not typical and cannot be generalised to the other projects.

## 2. Factors: project design

A range of enabling factors also emerged from the research concerning closeness to the issues addressed: flexibility, effort to adapt to context, showing values and acting upon them, all features that might not be found to the same extent in other financing vehicles.

### a. Factor: "Mass production"

All programmes can be understood as, amongst other things, mass production of small projects delivering environmental benefits. This is a kind of default or generic approach in which a Programme at least carries out the functions of identifying, selecting and administering a large number of small projects. This approach makes use of some economies of scale through having some standardised procedures without which it might be very expensive to deal with a large number of small projects.

The most effective programmes however seem to understand their role as not limited to only a mass-production approach.

### b. Factor: Closeness to civil society and communities

Civil society in general and CSOs in particular are often presented as key to success in environmental protection, and small grants provide a good way of interacting with them.

CEPF: "Patterns of biodiversity loss around the world have shown us that without civil society's well-being and long-term support for conservation, natural habitats will inevitably be eroded over time, especially as the demand for land and resources grows."

Also, the claim is often made that small grants especially to local actors are better able to adapt to specific local contexts, to gain support of local actors, etc. There is general agreement that environmental projects are very likely to fail if local people do not understand, identify with and benefit from them.

Community is key, and closeness to the community is potentially one of the most important advantages of small projects.

CEPF: "Innovative approaches to reduce habitat loss and degradation are abundant in CEPF activities. For example, in the Succulent Karoo, the Namaqualand Wilderness Initiative subsidized the building of waterpoints (watering structures), but only if they located such that they diverted heavy grazing pressure away from important biodiversity areas."

Small grants may be better at finding solutions at the community level that benefit the communities directly as well as the environment, at establishing a two-way dialogue with the communities, which are often at one of the forefronts of ecological maintenance or loss.

Example from fieldwork: a project in Ghana has been working on protecting mangrove forests by encouraging local people to use other sources of wood, by helping provide other sources of income and by replanting. While most of the local people are now starting to cooperate and identify with the project goals, the project has found it hard to reach an understanding with a marginal community who have migrated from another area of the country. Project success is endangered if this small community continues to harvest mangrove timber.

Many NGOs are generally much closer to local people than a larger-scale operation could ever be, though this is not always the case. There are many quite professional NGOs in the region that certainly have strengths (familiarity with donor procedures, concepts and language, experience and perhaps technical expertise) and that run multiple projects often on very different themes. They may be successful in grant applications but do not necessarily have roots in local communities. The situation might be rather better if the potential implementing organisation has a real network in place, like the Red Cross movement's volunteer network, which could help in interacting in a meaningful way with specific communities.

Finding from the online survey of experts (see p. 78): Lack of cooperation from local people was rated as a frequent threat to project success by expert respondents. If in fact sustainable environmental impact revolves around the inclusion of local people, this finding suggests there is much room for improvement. Project designs may also suffer from an over-simplified or romantic view of community (Robinson and Sasu 2013).

### c. Factor: inclusion of youth

Conclusion: Problems that really appeal to and capture the imagination of young people (as opposed to including them compulsorily e.g. via schools) are rare. Most of the projects seem to be fighting a rear-guard action to defend and enhance traditional ways of life. Yet the goalposts are now shifting very rapidly due to the very same forces such as urbanisation, which provide the most acute threats to biodiversity.

Recommendation: Programmes should make a much bigger effort to understand biodiversity protection from the point of view of young people and find innovative ways to develop projects together with them.

### d. Factor: taking a stand

Conclusion: Successful projects often tend to adopt core values and stick to them. They have unusual courage when it is necessary to take a political stance and "speak truth to power".

Recommendation: improve channels and protection for whistleblowers. Encourage projects to address systemic and political obstacles and improve their skills to address them.

### e. Factor: Nurturing CSOs

Programmes that include this factor try to incubate star CSOs, to identify and nurture exceptional (potential) CSOs – to find a few individuals or small groups who have not previously been active on a large scale, and/or to support successful CSOs to develop further. The argument is that it is very cost-effective to identify such CSOs that are not yet active and/or to help them with initial funding. An SG programme (say 50 grants of 20K USD) which succeeded in identifying and assisting just one or two new "star" CSOs could easily be considered a great success even if all the other grants fail. The important thing is: the main result is the potential CSO. The environmental results from the demonstration project are not in focus. So the donor should be focused on identifying those recipients who really have that "special magic" and then on helping the selected CSO(s) take its next step.

This factor is best understood at the level of programmes rather than projects. The success of the programme is not just a linear function of the success of many small projects. Rather, it depends on identifying one or two star CSOs which themselves represent the success of the program; the impact of the other projects is of course welcome but is not the main focus.

Example: PPI; though in fact most of the programmes mention this factor.

#### f. Factor: Niches and emergencies

Small grants can also be effective where economies of scale don't apply because they apply to contexts which are limited or unique in space and time e.g. an emergency intervention. In these cases, grants cannot be provided at scale because there aren't many comparable contexts and the context itself is relatively small but the needs are urgent.

Example: Mohamed bin Zayed, CEPF.

#### g. Factor: Visibility advantage

Most programmes claim that small grants provide more effective publicity for environmental issues and also for the programmes and organizations themselves. There is also a related argument that working in small areas means more visible results. If limited resources are spread out over a large area, and/or time period and/or set of objectives, results might be literally imperceptible even if they are on aggregate effective.

However, small grants do not always in fact realise their potential to improve the visibility of programmes and back-donors, with donors sometimes asking projects to increase the exposure they give to the programme and the donor (see e.g. BEUCHER et al. (2014)).

#### h. Factor: Lobbying, watchdogs

Small grants projects can be a very effective way to organise campaigning and lobbying as well as keeping watch over business and government actions.

CEPF: "...functioning as vigilant advocates and on-the-ground, long-term stewards for biodiversity, and a strong constituency can collectively address a diverse range of conservation issues relevant at local to international scales. ... They are not beholden to government policies, budgets, bureaucracy, and timelines allowing for flexibility of relationships and actions, innovation, and rapid action. An organized and credible community gets invited to the negotiating table and brings a voice for the people interacting directly with ecosystems." (Olson 2010)

#### i. Factor: Scientific focus

Some programmes emphasize that their way of working and selecting projects is derived more from theory, such as a focus on species, and do not focus so much on directly targeting environmental/biodiversity benefits. So these programmes as a whole argue that they have substantial indirect impact through nurturing future scientific leaders, supporting local expertise and improving the knowledge base on local and general factors affecting biodiversity and the environment.

For example, The Mohamed bin Zayed Species Conservation Fund is explicit that two of its three main goals do not involve influencing the environment directly:

- Provide targeted grants to individual species conservation initiatives;
- Recognize leaders in the field of species conservation;
- Elevate the importance of species in the broader conservation debate<sup>46</sup>.

Examples: Rufford Foundation, Darwin Initiative, and to a lesser extent MAVA.

#### j. Factor: Optimised templates for best practice in community intervention

Programmes using this factor make use of pre-existing templates or partial templates for best practice in projects, particularly in community intervention. There is plenty of knowledge about best practices but not all of it is well-documented or simple to use. So this approach should also make sure that best practices are well documented and periodically revised and extended.

Case study: An example of template for best practice in community intervention can already be found in Ghana's Community Resource Management Area (CREMA) approach. As the implementation of conservation policies has met with challenges, including opposition from indigenous people deprived of access to natural resources, in 2000 the Wildlife Division of the Forestry Commission developed the Collaborative Wildlife Management Policy to address this (Ghana Wildlife Division, 2004) thus devising CREMA approach to involve communities in conservation initiatives (Ghana Wildlife Division, 2004). Following nearly 20 year evolution from an intellectual concept to an approved pilot initiative and finally to an authorized mechanism requiring full legal

<sup>46</sup><http://www.speciesconservation.org/about-us/>

backing from Parliament, the CREMA concept now offers an innovative natural resource management and landscape-level planning tool and mechanism by which the transfer of authority and responsibilities for wildlife is passed onto the rural communities. CREMA denote a geographically defined area endowed with sufficient resources where the people had organized themselves for the purpose of sustainable management of their natural resources. The aim was to encourage local people to integrate wildlife management into their farming and land management systems as a legitimate land-use option.

A brief overview of CREMA approach and the key achievements around Mole National Park (NP) in Ghana can provide better insight into the main implementation approaches and key benefits of the programme for community and parks themselves. Mole National Park, the largest protected area in Ghana, is more than ever confronted with threats and pressure from out with its boundaries, which undermine the ecological integrity of its existence. Communities, in an effort to meet their livelihood needs, continue to use resources in the park through hunting, harvesting of trees and other plants, cattle grazing and conversion of park lands into farming areas. Most of these problems are a result of inadequate livelihood opportunities for communities living on the fringes of the park. Since 2007, Ghana Wildlife Division has facilitated the establishment of two CREMAs around Mole NP that need to be optimized to achieve their full potential and bridge the gap between the conservation needs of Mole National Park and the livelihoods needs of communities around the park. The Muguru-Mognori CREMA and the Kumbo CREMA have seen the establishment of physical structures that constitute the CREMA and development of a variety of livelihood interventions and projects with five main objectives in mind, which are: 1) Extending and establishing two new CREMAs in Kpulumbo, Bawena, Grubagu and Wawato; 2) Making the regulatory and legislative frameworks of the CREMAs effective for long-term conservation of the areas; 3) Empowering communities to undertake local off-reserve biodiversity monitoring and regulate access and utilisation for accelerated fauna recruitment and flora regeneration in the CREMA areas; 4) Facilitating the evolution of CREMAs into REDD+ initiatives at the sub-national project level; and 5) Providing support for the diversification of traditional production systems and value added commercialisation of traditional non-timber savannah products (NTSPs). The International Union for Conservation of Nature Netherlands (IUCN NL) has supported the CREMA approach in Kaden and Yazori communities on the south eastern border of Mole National Park, and has established two CREMAs of around 40,000 hectares and works on an extension of that area with another 55,000ha. The two CREMAs have resulted in clear regulations for the management of natural resources on the fringes of the National Park. It contributed to an improved relationship between park management and the communities and has stimulated community participation in the national park management. This involved building local capacity to report on illegal activities and the results are now seen in increased community monitoring and regulation of illegal activities like chainsaw and illegal bush meat trade. Community and district level institutions have been created to provide management support for sustainable natural resource management at both levels. The project also supported communities to diversify local production systems, on the one hand by introducing a micro-lending scheme, and on the other hand by improving the capacities of institutions responsible for the management of natural resources in and around Mole National Park. Over 50 households have benefited from up scaling of beekeeping activities, introduction of donkey cart systems, improvement of agricultural seed stock varieties and market linkages. The microcredit scheme is now up and running to support small-scale initiatives of local community members. For the first time in 10 years, these remote villages were able to access agricultural and veterinary extension services. The project has also led to an increase of certified organic Shea nut production. Recent deregulation of the trade in Shea nuts and Shea butter combined with the increased demand for Shea as a cocoa butter substitute and as a 'natural' cosmetic product has led to acquiring of premium pricing through fair trade markets and has facilitated the certification process for Shea in its project areas. Savanna Fruits Company (SFC) buys directly from the communities at a price 15% higher than what is offered on the local market and this has significantly increased local incomes.

Whilst the CREMA was originally developed to facilitate community-based wildlife management and habitat protection, it offers a promising community-based structure and process for managing African forest resources for REDD+ and similar programmes. The CREMA model furthermore provides a good template for leveraging "production-line" advantages and although mainly used in Ghana, it has been suggested as suitable for wider applicability. At a theoretical level, it conforms to the ecological, socio-cultural and economic factors that drive resource-users' decision process and practices. And from a practical mitigation standpoint, the CREMA has the potential to help solve many of the key challenges for climate change mechanisms in Africa, including definition of boundaries, smallholder aggregation, free prior and informed consent, ensuring permanence, preventing leakage, clarifying land tenure and carbon rights, as well as enabling equitable benefit-sharing arrangements (Asare, Kyei, and Mason 2013).

Example: Biorights model from Wetlands International

"Market-driven:

Bio-rights adds a market-based incentive to conservation and development action. Communities that normally have few if any financing opportunities receive micro-credits for environmentally-friendly economic development,

such as sustainable farming or fishing, or ecotourism. As a condition for support, these communities also agree to refrain from activities that damage the environment, such as logging or poaching.

Conservation activities:

Instead of paying interest, the communities undertake environmental actions, such as replanting a degraded flood forest, restoring abandoned shrimp ponds or patrolling national parks to prevent illegal activities.

Converting microcredit to payment:

When the conservation action turns out to be a long-term success, for example if the replanted trees are in good shape after a year, the microcredits are converted into a definitive payment to the communities. In some cases this payment is managed as a revolving fund providing long-term capital for sustainable development. <sup>47</sup>

Conclusion: Programmes usually make clear which particular approaches they are most skilled in and are interested in supporting. This is less clear at the project level. For example the project database includes 105 projects related to mangroves, but some of them seem to be "reinventing the wheel" in the sense that one approach does not learn from previous approaches. In many cases a project presented as a pilot or experiment in one place by one programme is very similar to another project in another place with a different programme.

Recommendation: The project database constructed for the present report could be useful for programme technical support and by individual applicants to identify such similar projects and learn from their experience. It is probably not very useful to repeat different pilots of similar ideas in different places without clear differentiation or refinement of the purpose of the pilot. Each small project should make it clear which particular features it plans on employing; of the various different features typical for small projects, which will be most important in the way the project in the short or medium term contributes to biodiversity / environmental protection. IUCN could provide an easily searchable version of the database created for the present report (currently there is a slow version at <https://stevepowell.shinyapps.io/IUCN/>) to find previous projects which have addressed similar problems to learn from their experiences.

Conclusion: Programmes and projects often benefit from making use of best-practice optimised templates as a contribution to implementation design.

Recommendation: IUCN could coordinate a toolkit of best practices - from community involvement practices to technical approaches like species conservation - at the programme and project levels. This could be based on an evaluation of the best approaches contained within the project database mentioned above. Projects in the initial phases could refer to this toolkit to see where best practice in their intended intervention area already exists. Ideally, such a project would then register its intention to use the toolkit with IUCN, so that the project's own experiences and adaptations could be added to the toolkit record.

## k. Factor: Risk taking

Conclusion: Small grants are a fantastic opportunity to experiment and take risks. Compared to the amounts spend on large-scale environmental support, risk-taking and experimentation in small projects can be very cost-effective.

Recommendation: Programmes should take more risks - this means accepting that small projects which aim for innovation may also fail. It could be worth, for example, using all the grants from one entire funding cycle to identify, nurture and bring to fruition just one really world-class new innovation or technology, even completely disregarding the results of all the other grants.

Especially (but not only) if a programme is going to explicitly support innovation-focused projects, it has to develop a culture of risk-taking and also of being open and about failure and keen to learn from it (Edmondson and Cannon 2005).

## l. Factor: Nurturing future leaders

This is a similar factor to the above, but the focus is on individual (future) environmentalists rather than organisations.

We know that really effective CSOs and other initiatives often depend on a core of just one or two individuals. Encouraging them to continue to work and specialise in environmental protection can be very cost-effective.

Example: Conservation Leadership Programme.

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<sup>47</sup><http://www.wetlands.org/Aboutus/Howwework/Bio-rights/tabid/2732/Default.aspx>

### m. Factor: Nurturing innovations

The key idea is to identify and nurture exceptional potential ideas/technologies; ones that might "go viral". Here, the result is the potential idea / technology. For this factor to be effective, the grants need to be scientifically monitored and documented: what is the idea exactly, what is its scalability. As with the "NGO incubator" model, a small grants programme could easily be considered a resounding success if its only output was one world-class new idea from one single grant.

Example: PPI, GEF-SGP, in fact most of the programmes mention this factor.

## 3. Summary

Conclusion: Our research show that 4 main strategies have been, by design or by adaptation, followed by various SGPs to enhance results and outcomes, beyond and above providing funds. The main factor that enhances the leverage of small grants to achieve results on the ground is of course 1) focus and niche. But we also found that SGP do not solely act on geographical or biological factors, but that they also act on the actors themselves and on their societal environment by 2) providing technical support, 3) adapting strongly to the local context, or 4) re-investing in successful approaches.

We found that there are many additional features specific to small grants programmes and projects which are effective ways to get environmental/biodiversity benefits. Many programmes mention several of these ways to add value. However, often the programmes in their reporting do not provide enough support specific to ensuring that all these mechanisms are really in fact working to add value and focus too much only on the "production-line" aspect: how many projects have we supported, which of them are the most impressive or have the best stories to tell.

Conclusion: Some programmes like GEF, in their efforts to be holistic in approach, seem to insist too often on projects including many different components like livelihoods. While this may seem to make sense on paper, and is often required by donors, in practice it can dilute programme and project focus.

Recommendation: In light of this analysis, it appears that there is a range of tools or approaches that can be used in combination in order to enhance the outcomes and impact of SGP. Many projects (and indeed programmes) could potentially be advised to demonstrate unique and innovative focused approaches and leave the larger projects to replicate and scale up their successful key features, adding in a broader palette of complementary approaches. Others might consider investing in their beneficiaries, who will in the long term add value and leverage to the SGP's investments to positively impact the environment.



## F. Conclusions and Recommendations on programme and project design

### 1. Capacity and management

Programmes sometimes find a shortage of local capacity to implement projects. If in fact sustainable environmental impact revolves around the inclusion of local people, this finding suggests there may still be a long way to go. However, there are a number of good practice examples in ensuring the development and enhancement of the capacity and the motivation of the partners who are carrying out the project, which seem to be essential for the objectives to be achieved.

Examples: In some cases, such as the Conservation Leadership Programme (CLP), the entire programme is conceptualised as a training and capacity building initiative that targets individuals from developing countries who are early in their career in conservation and demonstrate leadership potential. Other programmes, like CARPE, have had specific capacity-building themes/domains included in all segments of their work and thematic training programs/sessions were developed and conducted by WRI, OSFAC, NASA, UMD, SDSU, USFS, USWFS, management units consultancy firms, NGOs, etc. The beneficiaries were the representative of ministries in charge of forests and wildlife, ministries of health, ICCN and other country-level conservation agencies, and OSFAC, as well as regional scientists, university students, logging companies' mid-level and senior staff, NGO staff, etc. Lastly, there are numerous examples of programmes like Darwin Initiative, which have modest but targeted capacity building but result in meaningful impact on the capacity of local partners, institutions and individuals.

Conclusion: Projects run with small grants often have inadequate capacity (financial, technical and human resources) to effectively implement projects.

Recommendation: increase existing efforts to simplify the management challenges faced by small grant recipients on the one hand and also increase management capacity on the other.

Recommendation: A two-stage application procedure in which the first phase is a short, non-bureaucratic concept note of 2-3 pages (what, why, who, how much) was seen as an advantage everywhere it was tried. This makes sense anyway as the initial investment of time and effort is worth making even for newcomers and small organisations; it makes even more sense where the funding organisation is able to provide technical support to those successful in round 1 to write the more detailed proposal, perhaps including a simple baseline.

Conclusion: CSOs' seem often to not be very good at addressing conflict - between themselves and other organisations, within the CSO, etc.; yet conflict was named in several interviews not only with partners but with CSOs' themselves as a frequent problem.

Recommendation: conflict management skills should be strengthened via technical support to recipients.

### 2. Taking "community" seriously

Conclusion: Both small projects and large programmes succeed or fail depending not only on their commitment, skills and values and willingness to learn but also on their connections and networks, ability to make contact and spend time with and get to know key partners.

Recommendation: Project and programme budgets must leave space for partners to network and spend time together.

### 3. Duration and sustainability

Conclusion: most projects are far too short-term, which represents an enormous threat to sustainability. It is quite rare that a grant is given to the same recipient more than once.

Recommendation: Short-term projects of say 18 months' duration are suitable only in specific cases. Otherwise, longer-term perspectives are both more valued and more effective.



Programmes with a longer-term approach always include a measure of conditionality, such as a phased approach as with CLP, Rufford, and Darwin.

**Conclusion:** Long-term partnerships with specialist and technical partners beyond funding agencies are particularly important.

In the long term, as it has been observed in some cases like with SDC in Niger (See case study in Section "Factor: Format and duration of small grants") following a time period of more than 30 years, managing continuity is a challenge and needs to be ensured with proper training and capacity building, for example when some leading figures need to be replaced.

#### **4. Integrating projects into a coherent strategy ("Flat, scattered" model of small grants programmes is a bare minimum)**

All the programmes use to some extent a flat, scattered model, in which the programme consists basically of a list of small projects, and each project plays essentially the same role in the programme, namely the delivery of environmental benefits, scattered fairly randomly in different areas and on different topics.

While there is plenty of evidence that these scattered projects do produce benefits, in most cases where a programme has a more distinctive implementation model, similar benefits are accrued alongside additional benefits at a multi-project or programme level.

**Conclusion:** small grant projects are often too isolated from a coherent strategy, even though the parent programme is aware of strategic issues.

**Recommendation:** More attention should be paid to integrating small grant projects into a coherent strategy, for example by increased involvement of governmental or international partners as part of the grant proposal, and/or by seeing individual projects as part of a broader solution, an approach exemplified by CEPF.

**Recommendation:** Planning of projects and programmes should try to identify how they intend to add value – if what they do is looking for future leaders and/or innovation, then they should have indicators that help accordingly and they should organize their technical support in this objective.

#### **5. Performance Measurement and learning: need for investment**

##### **a. At the project level**

**Recommendation:** Wherever possible and appropriate, projects should at least track 1-3 key project-specific indicators that are important to the project and are easy to measure, to be recorded at least once during the project as well as at baseline and endline. These should be indicators which are useful for internal project management to answer the question "how are we doing?"

Programmes will have to accept that these most meaningful and sensitive indicators at the project level will usually not be very suitable for measuring programme-level impact.

The practice of focusing on case studies at the project level is understandable, but they should not be presented as typical. Case studies of what went wrong and what we learned from it should be prepared in parallel.

##### **b. Stating original targets**

**Conclusion:** Original targets, and performance against those targets, are hardly ever presented at the project or even at programme level.

**Recommendation:** programmes and projects should make more effort to make their original aims and progress against them more explicit, while retaining flexibility to make adaptations to the content and levels of targets where necessary in a transparent way.

##### **c. Learning and learning from failure**

**Conclusion:** Face-to-face contacts with peers and with experts are most valued by grant recipients and are essential to learning.

Conclusion: programmes and projects very rarely discuss failure or even disappointments, at least in public fora. Further, evaluation approaches used were virtually never capable of systematically assessing unexpected negative impacts, though some negative impacts were recorded.

Recommendation: Especially but not only in projects with an innovation focus, learning including learning about failure, has to be explicitly sought after as an outcome; and this learning should be supported, reported and synthesised.

Recommendation: Programmes should increase their existing technical support in networking with other organizations and in linking with other resources. Where face-to-face meetings are not possible, online learning resources should be improved.

#### d. Unreported projects

Conclusion: Many of even the best programmes have quite a large proportion, up to 50%, of projects that have no reporting or poor reporting. It can be assumed that the effectiveness of these projects is considerably worse than of those for which reports exist.

Recommendation: Programmes should endeavour to always require and publish at least very brief reports for every project including those with challenges.

#### e. Role of IUCN

Conclusion: IUCN does conduct and publish a considerable number of evaluation reports but not on small grants<sup>48</sup>.

At the moment, we have examples where GEF reporting requirements for small grants are more sophisticated than IUCN's<sup>49</sup>.

Recommendation: IUCN could offer more leadership in reaching consensus on a small and flexible package of impact measurement tools and show the way by using them more frequently in its own projects and programmes.

Recommendation: the project database constructed for the present report could be submitted to eConservation to enable wider access. The database could also be fairly easily updated on an annual basis as most of the process of compiling it from spreadsheets and websites is automated.

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<sup>48</sup>[http://iucn.org/knowledge/monitoring\\_evaluation/database/all\\_iucn\\_evaluations/](http://iucn.org/knowledge/monitoring_evaluation/database/all_iucn_evaluations/)

<sup>49</sup>For GEF projects, two aspects of GEF guidance extend beyond current IUCN evaluation practice: a) all GEF-financed projects must receive a final (terminal) evaluation; and b) terminal evaluations of GEF projects must include, at a minimum, ratings on a project's relevance, effectiveness, efficiency, monitoring and evaluation implementation, and the likelihood that results (outputs and outcomes) can be sustained.(IUCN 2014).

## G. Conclusions and Recommendations on Impact, Effectiveness & Efficiency

### 1. Impact and Effectiveness

The challenge of measuring impact has already been outlined on p. 10: counterfactuals are hardly ever available. Also, impact should take into account unplanned positive and negative effects; again, this information is very rarely available. Effectiveness should describe the way in which a project reaches planned outcomes rather than just report what activities were carried out and as such should be an easier target than impact; so this section will cover both impact and effectiveness together. However, as we saw in section D, outcomes are not usually distinguished from outputs or activities.

#### a. Effectiveness reaching project-internal outcomes

The monitoring and evaluation data available gives plenty of evidence of project-internal positive effects, for example "support for / restoration of 12 corridors for frogs", "100 man days (average) of patrolling per month", numbers of magazines published, number of broadcasts transmitted, teachers trained in project specific methodologies, numbers of volunteers involved in projects etc. Some of this evidence of project-internal effects is also synthesised in programme reports.

However, it has proved very difficult to conceptualise and record such effects in such a way that they are both relevant and reliable and can be aggregated or rated for comparative performance. It is also difficult to know how much these project-level effects had broader impact. In short, there were undoubtedly many significant positive effects but it is very hard to say what they all add up to, and whether this performance should be rated as, say, poor or outstanding measured by some other standard such as typical performance in, say, the development sector.

#### b. Impact on external variables

Looking at variables measured independently from project implementation, and then correlating that data with data on projects (present/absent in a given area or time range; amount of money spent or number of projects) could be a way to provide counterfactuals necessary for impact analysis.

Conclusion: Using Yale EPI data and OECD data, the analyses in the appendix beginning on p. 64 do not show strong evidence of macro-level impact in the sense that grant funding is associated with or followed by an improvement in environmental status. And there is little strong evidence using counterfactuals for impact of small grants on other standard, goal-level variables like species diversity. But this kind of evidence is essentially very hard to gather and its absence does not necessarily mean that SGPs have no impact.

#### c. Impact on intermediate outcomes

Happily there are a few cases, as mentioned above, where direct project effects reported by projects can also be considered "external variables", see Section "Examples of external outputs".

#### d. Programme-level effects

There is significant evidence for programme-level effects such as "star CSOs" identified and nurtured.

Example: Indeed, the principal strategy of the Central African Regional Program for the Environment (CARPE) of creating sustainable natural resource management (NRM) practices in the field was to implement a "People-Centred Approach" to conservation in the field and foster improved environmental governance in the region. Since 1995, CARPE's long-standing strategy was to do so by focusing on strengthening local NGOs. The underlining assumption is that the conservation efforts will not be sustainable without a strong constituency within civil society as well as government. Hence, CARPE has, since its inception, devised and implemented a small grants component as a mechanism to build civil society capacity to: a) mobilize national and regional constituents to advocate for a strong regulatory framework for good NRM practices; b) engage in robust dialogue with governments to reform forest management policies through the application of empirical data from landscape programmes and field research; c) promote livelihood and income-generating activities in a rural setting; and d) integrate gender considerations into conservation strategies and policies (Tchamou 2010).

## 2. Cost-Effectiveness

Where it is possible to compare, e.g. by looking at the GEF data on p. 23 and following, the differences in outputs between otherwise similar projects with grants of similar size can be of orders of magnitude. While this is certainly due in part to measurement effects, comparing the text of individual project reports suggests that the differences are probably also very real. So the benefit to be expected from an individual project is very unpredictable. Perhaps it is reasonable to accept that with small projects, a large proportion, in spite of the best efforts of project and programme staff, will fail or produce insignificant results; from an aggregated standpoint, the loss of investment can be disregarded if, as seems likely, even a small proportion of small projects over-perform.

There are many plausible arguments as to why small grants projects might be more effective than larger-scale funding. The key disadvantage is likely to be scale-ability. There is not sufficient evidence to say definitively that small projects are particularly efficient; there are some examples where this is certainly true, while others are lamentably inefficient and ineffective.

### *Feature: Marketising environmental outputs*

Market thinking and mechanisms such as REDD+ have been around for a while in environmental protection in Africa.

Indeed, contribution to REDD+ is specifically mentioned by 11 projects in Ghana, Cameroon and Equatorial Guinea.

Programmes can be seen as, implicitly or explicitly and in a rather different way, creating and/or nurturing markets for environmental outputs. So for example there are dozens of projects in the project database which aim to protect a (varying) number of hectares of mangroves for a (varying) project budget. So it could be that this situation creates competition between small grant applicants such that programmes select those applicants which quote the lowest "price", given other assurances of quality etc., and that with time, it becomes common knowledge that a mangrove preservation project which costs, say, 50 000 USD, should be able to cover a certain minimum number of hectares.

But do small grants programmes in fact do this? Do they play a key part in commoditisation of outputs commonly produced by small projects (like e.g. "protecting a hectare of mangroves") which NGOs "sell" via grant applications?

If there is a market it does not appear to be very good at lowering prices and standardising quality - the GEF-SGP project-level indicators like number of hectares protected does not appear to correlate with the grant size at all, see p. 23 and following. Similarly, an external evaluation of MAVA (MAVA 2014) concluded "No correlation was found between project/partner performance and any of the continuous variables analysed. In other words, it made no apparent difference to overall performance whether a project was large or small, fully or only partly MAVA-funded, of long or short duration, focused on any particular category (be it capacity building, applied research or anything else), concentrated in one category or spread across many, or based in any particular biome."

Recommendation: Explore the possibility and utility of marketisation of a few key relatively generic environmental services, e.g. those for which it is meaningful and useful to calculate typical unit costs and specify quality

Conclusion: on balance, small grants projects are probably more effective at what they do than larger scale projects, though of course there are many topics such as state assistance, which they are too small to tackle.

Equally important is that most small grants programmes can point to successes at the programme level, which often go beyond the aggregate successes of the projects, such as supporting the development of new ideas, CSOs and individuals.

Conclusion: programme-level successes such as the identification of and support to "star CSOs" are probably at least equal in value to the direct environmental benefits due to each of the individual projects.

### **a. Issue: Is scale an advantage or disadvantage for small grants programmes?**

Scale is often mentioned as a feature of both projects and programmes, and it is mentioned as both an advantage and a disadvantage.

### At the level of projects

in general, if all other factors were held constant, some argue that we would expect small grants to be less cost-effective (i.e. less results for the same money) than implementing a larger version of the same project because of economies of scale, for example in communication and administration. On the other hand, others argue that small projects can be more efficient even at the project level because salaries and expectations are lower.

Our projects are not successful because they get a big grant or a small grant. It depends on doing the right thing at the right time (national CSO).

At the level of programmes: On the other hand there is some evidence that including small projects into larger programmes can offset these losses due to scale: the larger programme acts like a production line (Beucher et al. 2014, pp 76 ff). It should be cheaper to replicate an intervention many times in many places because e.g. technical and administrative support can be supplied in bulk, purchasing of raw materials can be done in bulk, etc.

These economies are strongest if a programme can be set up in such a way that a set of small grants is given to projects where the contexts and recipients are sufficiently similar to one another that economies of scale can apply, e.g. through generic technical support.

## 3. Cost-Efficiency

Annual reports<sup>50</sup> provide some information on efficiency but not enough to be able to compare across programmes or between models inside programmes. All indirect costs at the programme level are probably around 25%, which is similar to figures from the for-profit sector and the charitable sector.<sup>51</sup> Management costs at least for CEPF remained fairly constant even when grants volume increased, which is an argument for economies of scale at the programme level.

Conclusion: Efficiency of small grants programmes is probably around a level typical in both the non-profit and for-profit sectors.

Conclusion: There is some strong evidence of impact on "intermediate outcomes", i.e. those which are desirable mainly because they should help influence goal-level variables such as establishment of CSO networks, mainly as collected by larger programmes such as GEF and CEPF. Small grants often contribute to the development of individual NGOs and help to nurture a small number of "star" NGOs in each country. Positive impact on intermediate outcomes means it is highly likely that small grants programmes do ultimately positively impact on external goals like biodiversity; however this cannot be demonstrated conclusively.

### a. Impact according to project size

Conclusion: At the project level, referring to at least to the large database of GEF projects discussed on p. 23 onwards, there is no strong evidence that small projects with a larger budget have more impact than small projects with a smaller budget. This is quite a surprising finding.

Recommendation: small grant programmes should explore the option of systematically giving a range of more, smaller grants and comparing results with larger-scale small grants.

### b. Issue: Avoiding corruption: small grants better?

The claim is often made that small grants are particularly effective because they are well suited to small NGOs and CSOs which are in turn less susceptible to wastage and corruption that is more typical for funding via public structures (ministries, municipalities). In general this seems to be true, though the methods employed in this research are not sufficient to answer the question definitively. Many respondents did point out that corruption is still an issue even with small grants, though of course on a smaller scale than with larger grants. The most successful small projects seemed to often have unusual courage to, when necessary, take a political stance and "speak truth to power" and challenge corruption and nepotism relevant to environmental issues.

'In an unprecedented move in January 2014, Senegalese authorities seized the 108m Russian supertrawler Oleg Naydenov over suspected illegal fishing in the country's Exclusive Economic Zone. Described by the Senegalese Fisheries Minister as a "repeat offender", the vessel is one of several supertrawlers operating in waters off West Africa; and USAID estimates Senegal alone loses 150 billion CFA (over 220 million euros) annually as a result of illegal fishing by foreign vessels' (page 18) (MAVA Foundation 2013).

<sup>50</sup>So IUCN spends about 25% of its budget for corporate functions at global level (IUCN, 2014); Management costs for three programmes are given in (BEUCHER et al. 2014, pp 76 ff): CEPF (25% including ecosystem profiles, FFEM (31%) and PPI2 (23%).

<sup>51</sup>US Charities Review Council has maintained a Use of Funds standard that calls for no more than 30% of expenses on admin and fundraising combined. Overhead rates across for-profit industries vary, with the average rate falling around 25 percent (Gregory and Howard 2009)

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## H. Limitations

This study has many limitations.

First, it was only possible to conduct a small number of face-to-face interviews and site visits in just three countries. Though a wide range of secondary literature was taken into account, the number of primary sources is

Issue: Tackling under-performance: small grant programmes worse?

A bigger problem than out-and-out corruption is probably the tolerance of obvious failure particularly of small grant recipients to meet goals and targets. There are cases in which a grant recipient, knowingly or unknowingly, is not capable of carrying out the project tasks but manages to have an application accepted; some of these cases become known to the programmes and in some cases the grant is stopped. Sometimes programmes can be very lenient with small grantees and individual grantees. It is very difficult to gather information about such cases because programmes tend not to report them, because, as with most development and environmental aid, the culture of reporting and learning from failure (Edmondson and Cannon 2005) is not well developed.

So this problem of hidden under-performance silently sucks effectiveness from small grants programmes, but it is difficult to estimate the magnitude of the problem.

small. So the study relies a lot on the quantitative study of project grant information. A thorough assessment of outcome or impact is almost impossible because, with a few exceptions, there is little or no data at that level. The analysis of project grant information also has some weaknesses. There are most likely other similar programmes that have not been included. Some donors and agencies did not reply to requests for more information. The biggest gap in this sense is bilateral donors. While emails were written to the head offices of all the major bilaterals and also to all their embassies in all the capitals in the region, hardly any responses were received.

Where data is available, it is probably from a highly biased selection of "showcase" projects. Many projects have no endline data at all, not even on actually achieved outputs.

The inclusion criteria for the project database are generally clear but there are a few edge cases, e.g. where different programmes define Central or Western Africa a little differently, or where some data ends in different years, sometimes extending to 2013 but sometimes only to 2012. Delimitation of programme themes and areas was quite difficult, as the terms are not universal: it is not always clear whether, say a theme in one programme like "environmental protection / biodiversity" is congruent with "biodiversity protection" in another.

## Appendix I. Models using combined data

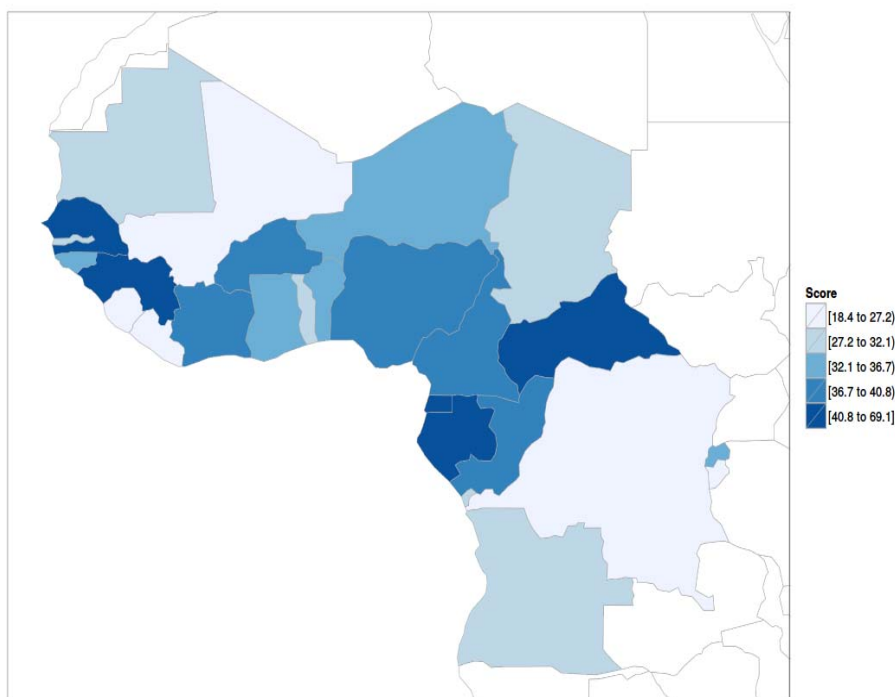
For this chapter, various datasets are merged into one:

- Yale EPI scores per country and year for Ecosystem Vitality and Environmental Health;
- Data on population (2005), GDP and land area as included in Yale EPI data files;
- GEF biodiversity benefits index for 2008;
- Large-scale funding per country and year from OECD data;
- Corruption Perceptions Index for 2013 (transparency.org). Data used is just the simple ranking, so higher scores mean more (perceived) corruption.

### a. Global indicators of Biodiversity in Central and West Africa

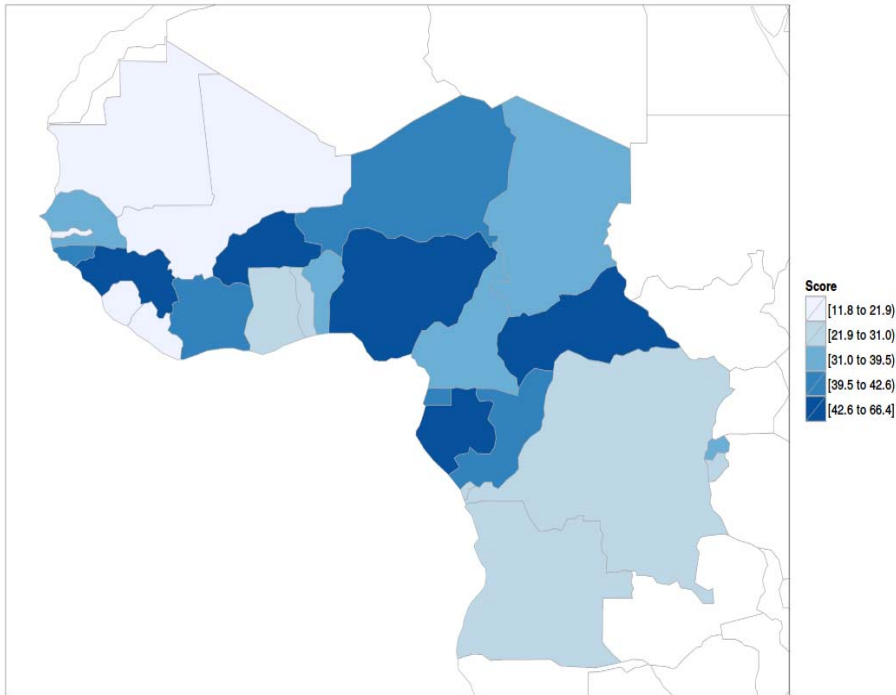
This section provides some background information on biodiversity in the region in order to contribute some context to the report and also to investigate possible external, country-level variables for possible use in impact analysis. Three maps and three charts show some of the EPI data mentioned above. The indicators are:

- Overall EPI score, composed of Environmental Health and Ecosystem Vitality, which are in turn composed of sub-indicators;
- Ecosystem Vitality, one of the two sub-indicators of the overall EPI score;
- Biodiversity and Habitat, one of the sub-indicators of Ecosystem Vitality;
- Backcasted EPI scores for these three indicators for 2002-11, per country.

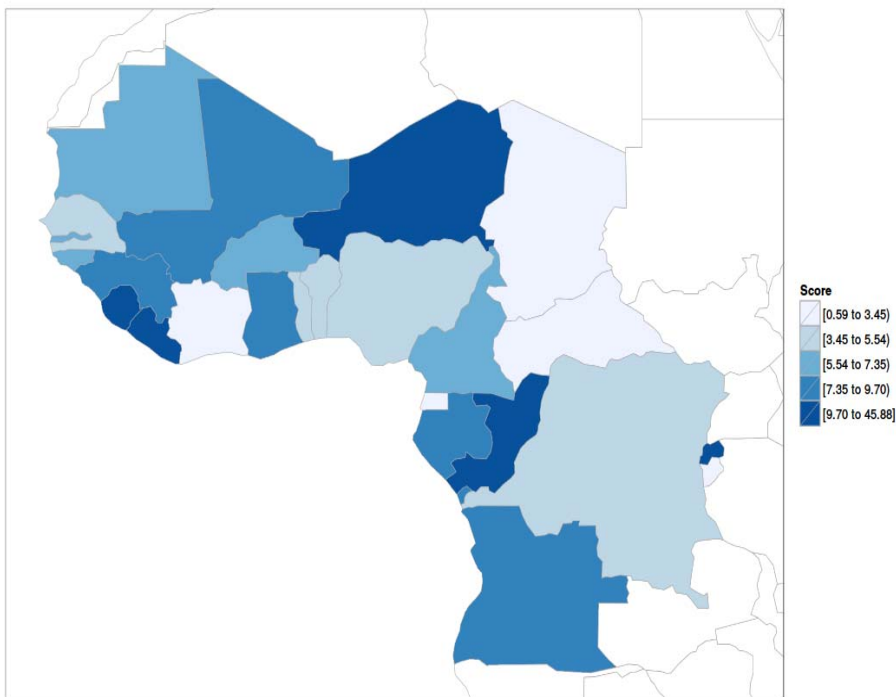


Overall EPI Score 2014. Higher scores are better

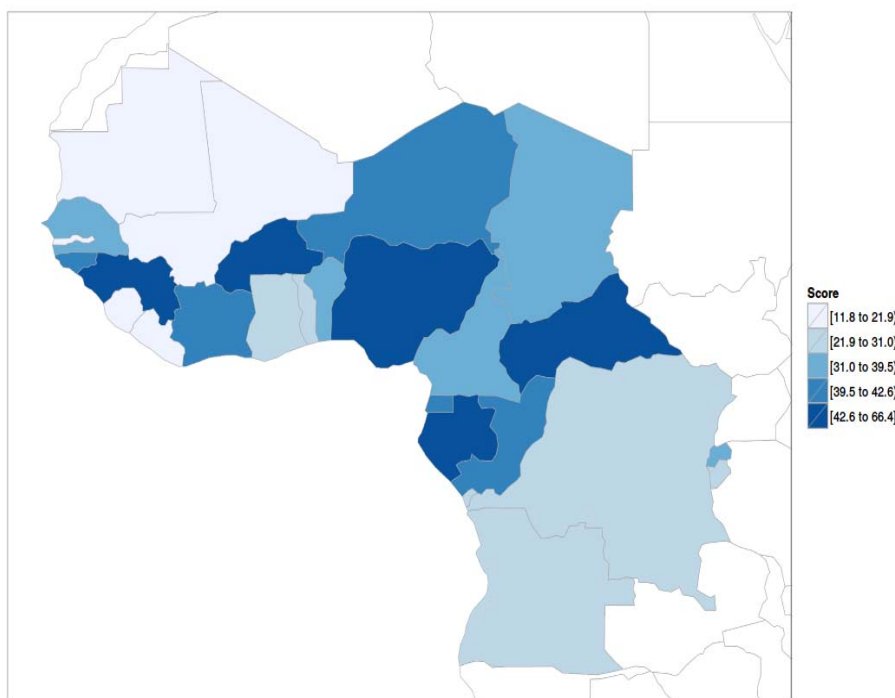




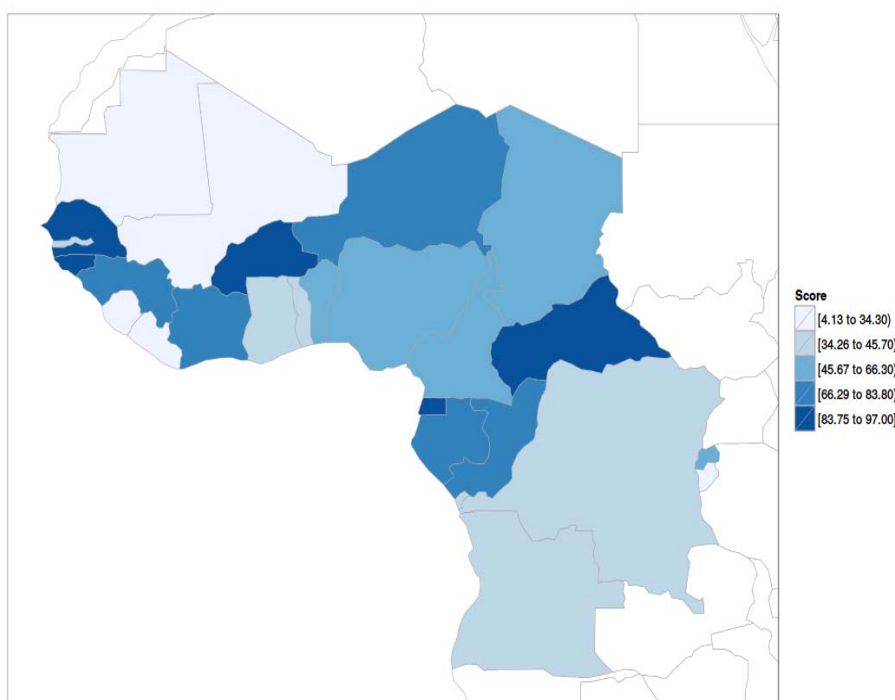
Overall Ecosystem Vitality Score 2014. Higher scores are better



10 Year Percent Improvement in EPI Score, 2004-2014. Higher scores are better



Ecosystem Vitality 2014. Higher scores are better

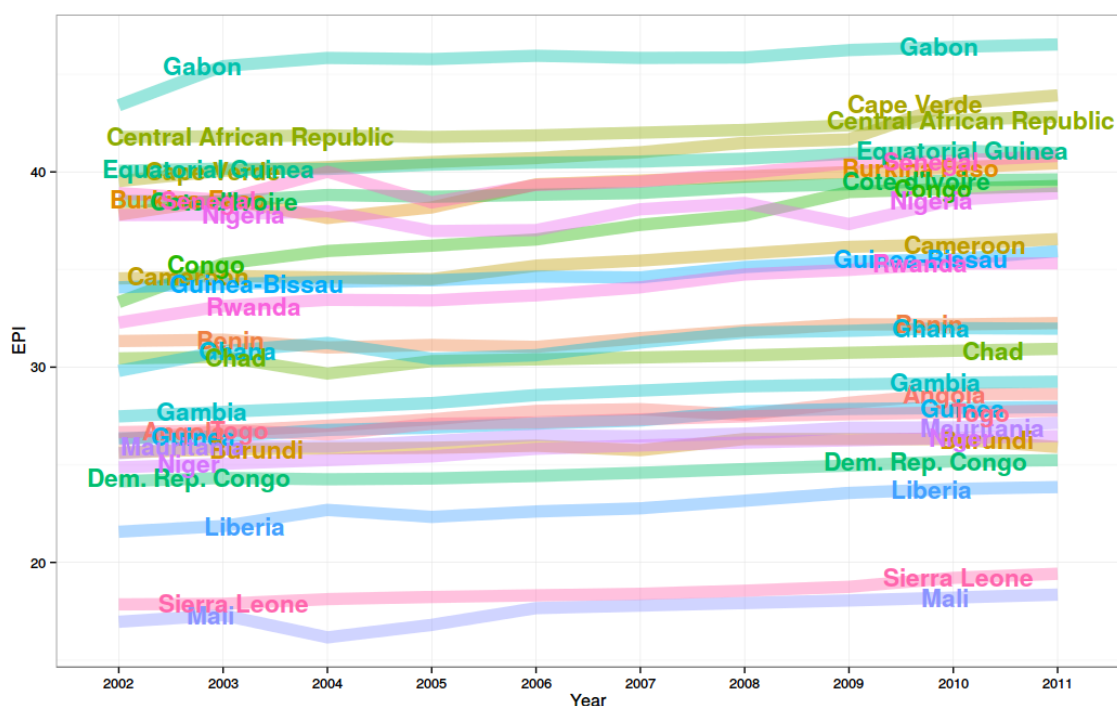


Biodiversity and Habitat 2014. Higher scores are better

Country	Overall Score	Ten Year Improvement	Ecosystem Vitality	Biodiversity and Habitat
Gabon	46.6	7.35	44.28	82.94
Cape Verde	44.07	11.48	29.85	7.32
Central African Republic	42.94	2.75	50.85	97
Guinea	41.09	2.04	41.17	25.68
Equatorial Guinea	41.06	2.5	42.54	91.32

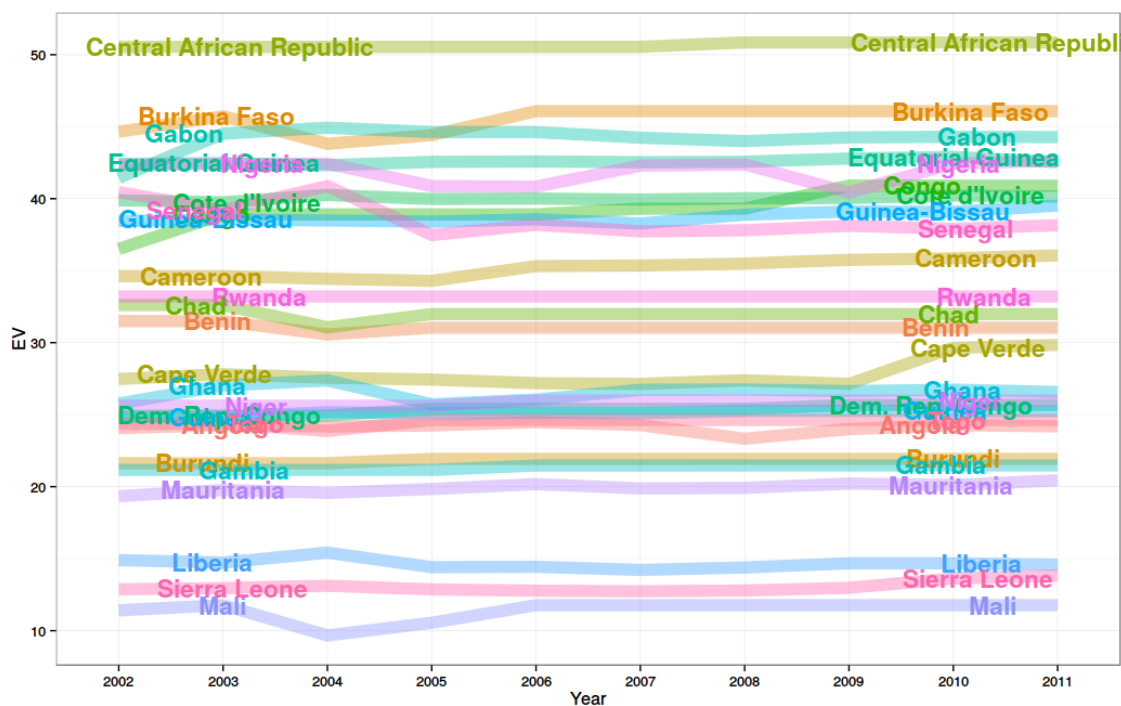
Senegal	40.83	4.91	38.16	85.36
Burkina Faso	40.52	7.17	46.08	83.75
Ivory Coast	39.72	3.14	40.15	81.23
Republic of Congo	39.44	18.33	40.91	66.29
Nigeria	39.2	3.73	42.63	57.54
Cameroon	36.68	6.16	36.06	45.67
Niger	36.28	45.88	42.19	77.21
Guinea Bissau	35.98	5.54	39.52	89.87
Rwanda	35.41	9.7	33.21	56.32
Benin	32.42	3.45	31.04	65.88
Ghana	32.07	7.58	26.58	34.26
Chad	31.02	1.87	31.99	55.34
Gambia	29.3	6.62	21.48	37.05
Angola	28.69	9.09	24.19	41.7
Guinea	28.03	6.34	25.25	41
Togo	27.91	4.65	24.63	44.23
Mauritania	27.19	6.25	20.44	32.63
Burundi	25.78	0.59	21.93	30.29
Democratic Republic of Congo	25.01	3.56	25.75	44.85
Liberia	23.95	11.03	14.59	4.13
Sierra Leone	21.74	21.79	17.64	23.54
Mali	18.43	8.67	11.77	14.3

Overall EPI score, 10-year change, Biodiversity and Habitat, and Ecosystem Vitality



Overall EPI, backcasted scores 2002-11. Higher scores are better

There is some improvement in most countries in the region on the overall EPI score over the last 10 years, which includes both Environmental Health and Ecosystem Vitality. However the backcasted figures do not show as much change as in the 10-Year improvement figures in the table above.



Overall Ecosystem Vitality, backcasted scores 2002-11. Higher scores are better

There is not much change in the overall Ecosystem Vitality scores.

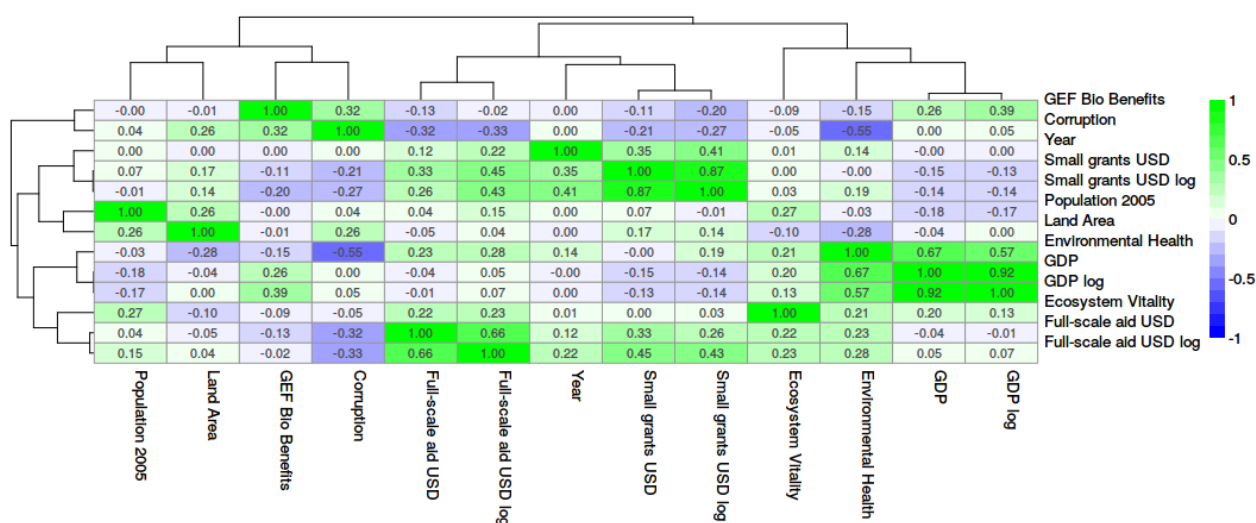


Biodiversity and Habita, backcasted scores 2002-11. Higher scores are better

There is also not much change in particular in the Biodiversity and Habitat scores.

The fact that these indicators are relatively stable for the countries in the region means that it will be more difficult to use them as criteria to assess the possible impact of grants programmes.

## b. Overview of correlations between main variables



Heatmap table of correlations between main variables in combined datasets.

The chart shows how the main variables of interest are related to one another. The data consists of one row for each combination of year and country.

As the grant totals are very left-skewed with one or two outliers, they are also log transformed, along with GDP. Biodiversity and Habitat is a sub-indicator of Ecosystem Vitality.

In the rest of this section, the log-transformed variables will be preferred.

Note the EPI Score is a combination of Ecosystem Vitality and Environmental Health.

Finding: Environmental Health is much better in richer, smaller countries and also improves from year to year.

Finding: The same is true for Ecosystem Vitality but the connections are much weaker.

Finding: Dollar spend in small projects is related to dollar spend in large projects in a given country and year.

Finding: Spend on small projects has increased more than spend on larger projects.

Finding: The GEF benefits index for biodiversity is negatively correlated with full-scale and small-scale spend. This is a little surprising especially as the Benefits Index does not primarily measure need, but rather the benefits likely to accrue from environmental interventions.

## c. Linear models of small and full-scale funding

These next two analyses endeavour to predict firstly the amount of full-scale grant funding per country and year using population, EPI scales, year, GDP, and land area, etc. and the second tries to predict small grant funding on the basis of the same parameters plus full-scale funding.

These analyses are similar in idea to the simple correlation analysis above but use linear models to account for the mutual influence of different variables.

Call:

```
lm(formula = USD_aid_log ~ Year + Population2005 + GDP_log +
land area + Bio Benefits + EV + EH + Corruption, data = cpmerge)
```

Residuals:

Min	1Q	Median	3Q	Max
-3.4302	-0.5430	-0.0039	0.7282	3.1286

Coefficients:

Estimate	Std. Error	t value	Pr(> t )

```

(Intercept) -303.1646368203 78.5098986741 -3.861 0.000154 ***
Year         0.1579819391 0.0390224887 4.048 0.0000749956 ***
Population2005 0.0000047934 0.0000039456 1.215 0.225922
GDP_log      0.0687165052 0.2920194332 0.235 0.814218
land area    0.0000008210 0.0000002356 3.485 0.000610 ***
Bio Benefits 0.0234406518 0.0117723275 1.991 0.047896 *
EV           0.0204096514 0.0102903458 1.983 0.048766 *
EH           0.0357116420 0.0312401838 1.143 0.254422
Corruption   -0.0225561393 0.0037726222 -5.979 0.0000000109 ***
---
Signif. codes: 0 '***' 0.001 '**' 0.01 '*' 0.05 '.' 0.1 ' ' 1

```

Residual standard error: 1.172 on 190 degrees of freedom  
 (89 observations deleted due to missingness)  
 Multiple R-squared: 0.3623, Adjusted R-squared: 0.3355  
 F-statistic: 13.49 on 8 and 190 DF, p-value: 2.098e-15

Finding: Substantially less aid is given to countries perceived as corrupt; this is especially true of large-scale aid. The more corrupt countries seem to be those with the worse environmental / public health.

Finding: the contribution of environmental health to predicting the (log) amount of grant aid given to a country in a particular year vanishes when corruption is included in the model. This suggests the hypothesis that it is actually perceived transparency rather than environmental health that attracts aid money, and less corrupt countries have better environmental health. However, including corruption in the model seems to make other connections stronger, in particular the year-on-year increase and the tendency for money to go countries with more land area. There is a weak connection between amount of large-scale aid and positive ecosystem vitality.

Call:  
 lm(formula = USD\_small\_log ~ USD\_aid\_log + Year + Population2005 + GDP\_log + land area + Bio Benefits + EV + EH + Corruption, data = cpmerge)

Residuals:

Min	1Q	Median	3Q	Max
-3.7362	-0.7067	-0.0732	1.0355	1.8374

Coefficients:

	Estimate	Std. Error	t value	Pr(> t )
(Intercept)	-455.6890956393	91.6569676908	-4.972	0.00000178 ***
USD_aid_log	0.3033464002	0.0859867016	3.528	0.000555 ***
Year	0.2321079812	0.0456517413	5.084	0.00000108 ***
Population2005	-0.0000050209	0.0000040592	-1.237	0.218041
GDP_log	-0.3395286404	0.3289761379	-1.032	0.303686
land area	0.0000012375	0.0000002767	4.472	0.00001517 ***
Bio Benefits	-0.0012725150	0.0134447239	-0.095	0.924720
EV	-0.0041641216	0.0112920952	-0.369	0.712820
EH	0.0261599137	0.0342907362	0.763	0.446722
Corruption	-0.0142489127	0.0043454349	-3.279	0.001293 **

---  
 Signif. codes: 0 '\*\*\*' 0.001 '\*\*' 0.01 '\*' 0.05 '.' 0.1 ' ' 1

Residual standard error: 1.157 on 151 degrees of freedom  
 (127 observations deleted due to missingness)  
 Multiple R-squared: 0.4409, Adjusted R-squared: 0.4076  
 F-statistic: 13.23 on 9 and 151 DF, p-value: 1.85e-15

Smaller grants programmes are also less likely to give money in countries seen as corrupt, but the effect is less strong, suggesting that smaller grants might be seen as a way to continue to support countries in which transparency is problematic. The (log) amount of small-scale grant aid given to a country in a particular year is not strongly predicted by environmental indicators, though it is strongly connected to the amount of full-scale aid.

#### d. Is there any evidence that aid is followed by improvement in environmental indicators?

This analysis is problematic because there is no way of knowing how long the lag might be between funds being dispersed and improvement to environmental indicators. A lag of five years was chosen; a longer lag might be preferable but would be difficult to calculate because it would require using older data, which tends to be less available, reliable and comparable.

So in this final analysis, aid data is compared with environmental indicators five years later. If aid produces medium-term improvements, one could expect amount of aid would make a positive unique contribution to predicting environmental indicators. However this is not the case:

Call:

```
lm(formula = EV ~ USD_small_log + Year + Population2005 + GDP_log +  
land area + USD_aid_log + Corruption, data = cpmerge5)
```

Residuals:

Min	1Q	Median	3Q	Max
-14.952	-6.168	-1.335	4.942	29.099

Coefficients:

	Estimate	Std. Error	t value	Pr(> t )
(Intercept)	388.187489736	1144.765126645	0.339	0.735220
USD_small_log	0.865471890	0.822998160	1.052	0.295417
Year	-0.191439718	0.572591443	-0.334	0.738797
Population2005	0.000140255	0.000034973	4.010	0.000114 ***
GDP_log	4.948494384	1.744328431	2.837	0.005477 **
land area	-0.000004589	0.000002477	-1.852	0.066803 .
USD_aid_log	-0.921254971	0.834209645	-1.104	0.271992
Corruption	-0.055443287	0.034639401	-1.601	0.112502

---

Signif. codes: 0 '\*\*\*' 0.001 '\*\*' 0.01 '\*' 0.05 '.' 0.1 ' ' 1

Residual standard error: 9.539 on 104 degrees of freedom

(167 observations deleted due to missingness)

Multiple R-squared: 0.2019, Adjusted R-squared: 0.1481

F-statistic: 3.758 on 7 and 104 DF, p-value: 0.00114

Call:

```
lm(formula = EH ~ USD_small_log + Year + Population2005 + GDP_log +  
land area + USD_aid_log + Corruption, data = cpmerge5)
```

Residuals:

Min	1Q	Median	3Q	Max
-4.3172	-1.8943	-0.2195	1.3735	7.6608

Coefficients:

	Estimate	Std. Error	t value	Pr(> t )
(Intercept)	-431.6091976586	382.1181691347	-1.130	0.26128
USD_small_log	0.1824048150	0.2747136010	0.664	0.50817
Year	0.2050271594	0.1911288079	1.073	0.28588
Population2005	0.0000281015	0.0000116738	2.407	0.01784 *
GDP_log	6.8473190754	0.5822500798	11.760	< 2e-16 ***
land area	-0.0000026836	0.0000008269	-3.245	0.00158 **
USD_aid_log	0.3324585773	0.2784559510	1.194	0.23522
Corruption	-0.0385356140	0.0115624981	-3.333	0.00119 **

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Signif. codes: 0 '\*\*\*' 0.001 '\*\*' 0.01 '\*' 0.05 '.' 0.1 ' ' 1

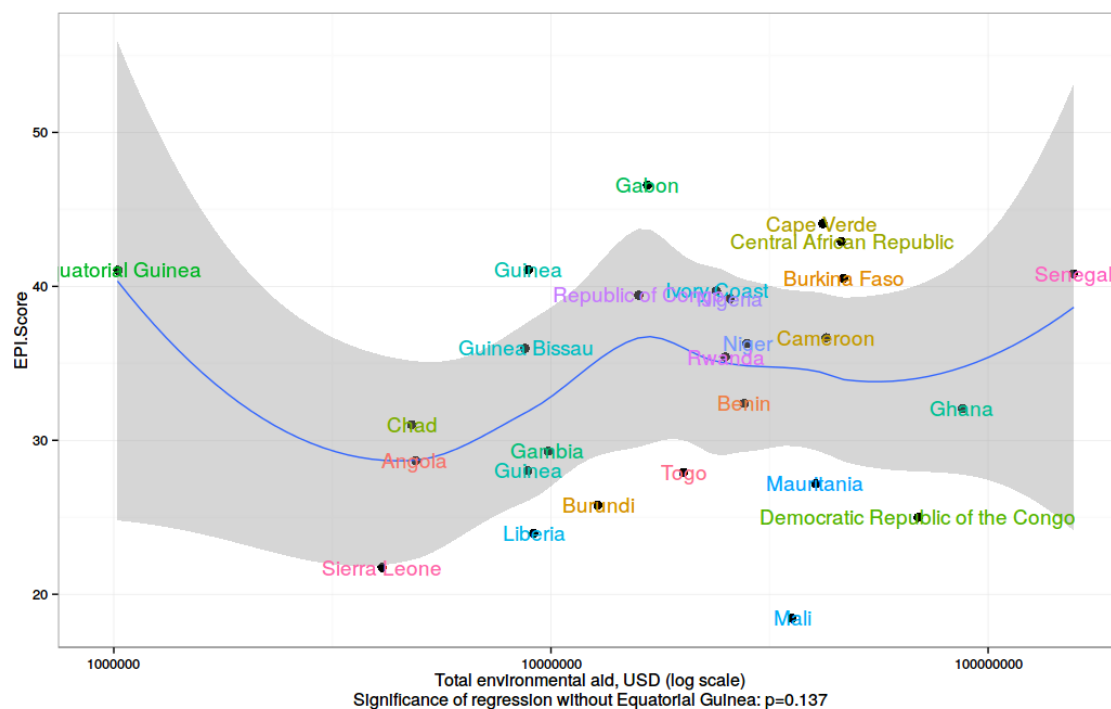
Residual standard error: 3.184 on 104 degrees of freedom



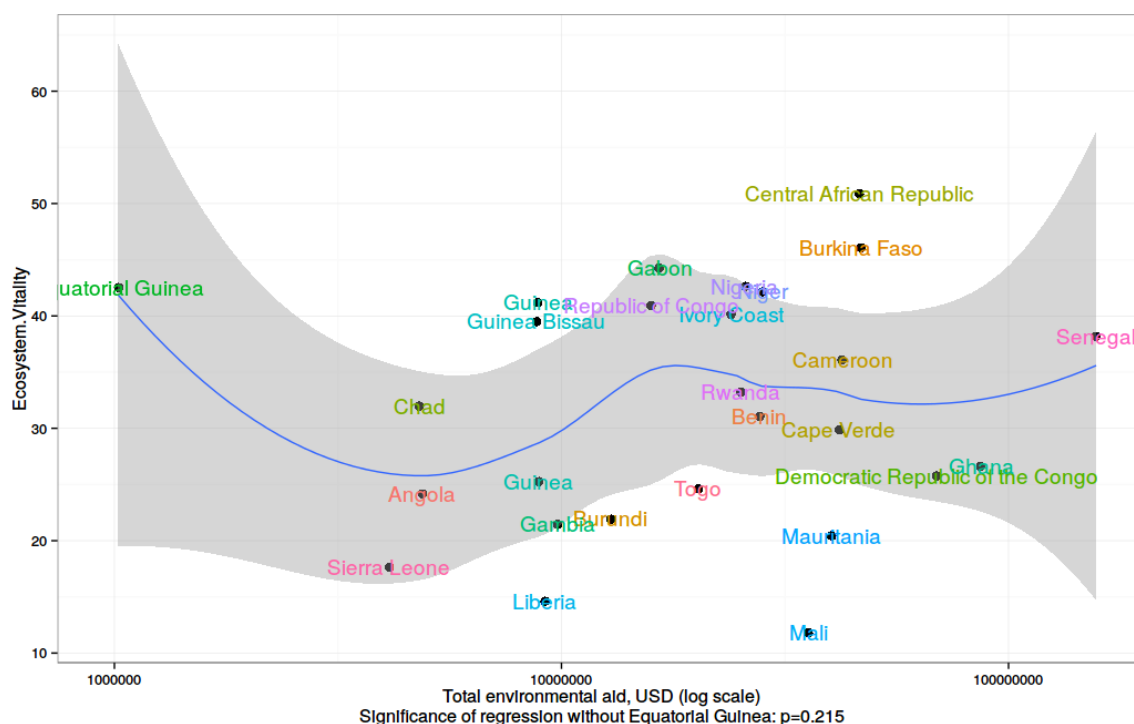
(167 observations deleted due to missingness)  
 Multiple R-squared: 0.661, Adjusted R-squared: 0.6382  
 F-statistic: 28.97 on 7 and 104 DF, p-value: < 2.2e-16

Finding: there is not much evidence from these analyses that environmental aid, small or large, improves country-level environmental indicators. However, these few analyses do certainly not exhaust possible ways to answer these questions so this issue should be regarded as still open.

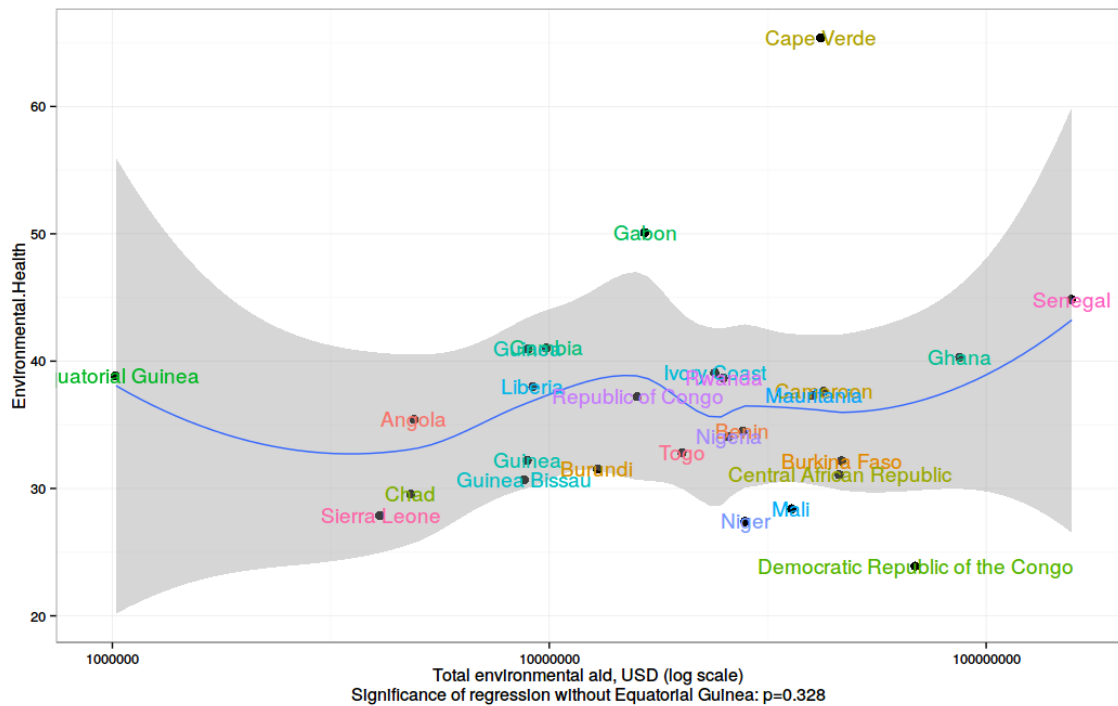
Finally, some graphs are displayed showing the connection between some pairs of key variables.



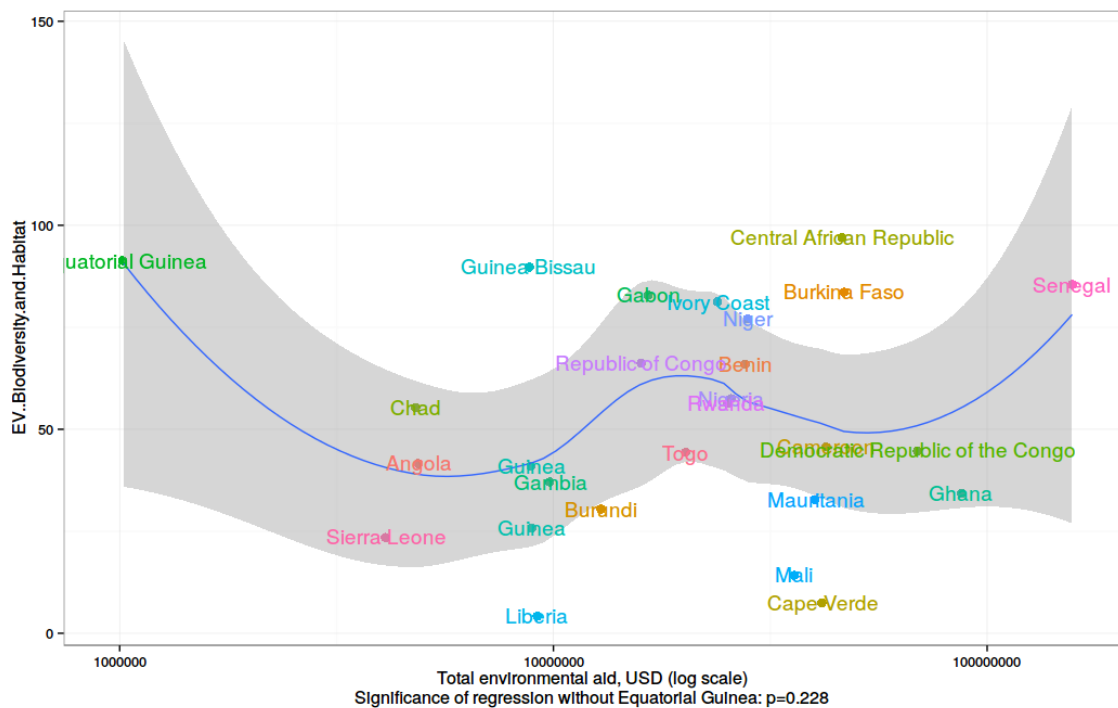
Total environmental aid, USD against Overall EPI score



Total environmental aid, USD against Ecosystem Vitality



Total environmental aid, USD against Environmental Health



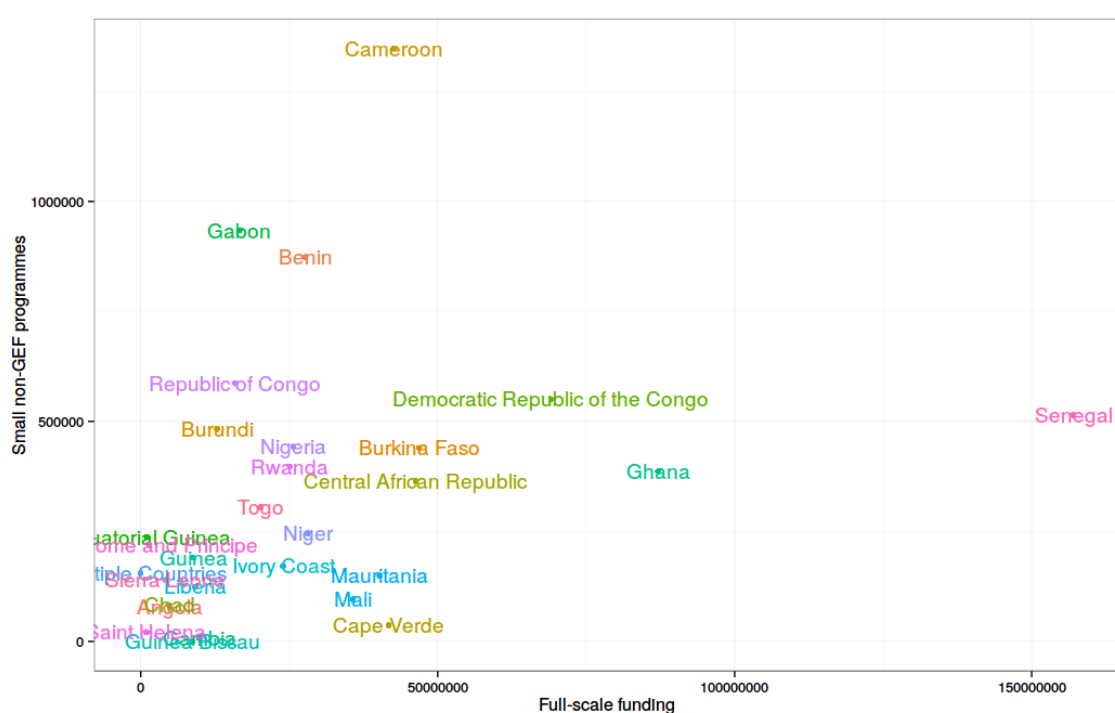
Total environmental aid, USD against Biodiversity and Habitat

Note the EPI Score is a combination of Ecosystem Vitality and Environmental Health. Biodiversity and Habitat is a sub-indicator of Ecosystem Vitality.



Year	GEFSGP	large	small_not_GEF
2004	6.31	93.55	0.14
2005	7.31	92.38	0.31
2006	4.48	94.90	0.62
2007	8.28	89.52	2.21
2008	5.27	93.62	1.11
2009	5.11	94.16	0.73
2010	2.77	95.93	1.30
2011	4.19	94.26	1.55
2012	9.63	88.96	1.41
Total	5.51	93.39	1.10

Percentage of total annual funding: GEFSGP, large funds and non-GEF small grants

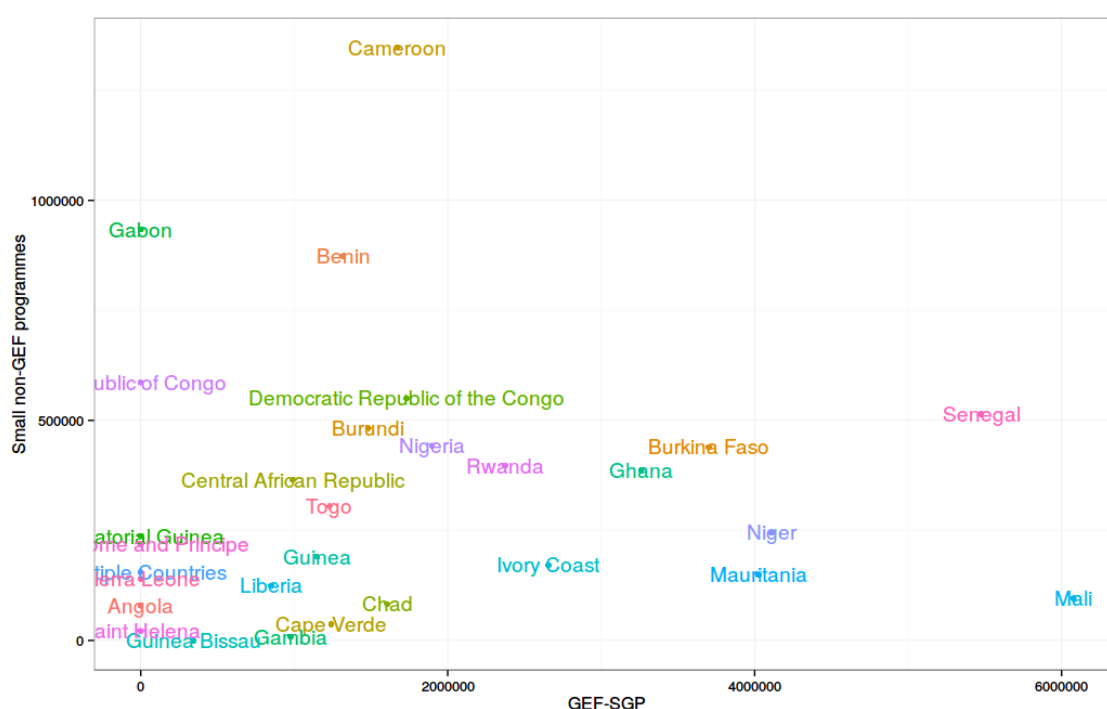


Relationship between total full-scale and small-scale funding by country

Country	large	GEFSGP	small_not_GEF
Angola	489	0	8
Benin	2771	132	87
Burkina Faso	4686	370	44
Burundi	1285	148	48
Cameroon	4259	167	135
Cape Verde	4174	124	4
Central African Republic	4629	99	36
Chad	481	161	8
Democratic Republic of Congo	6907	173	55
Equatorial Guinea	102	0	24
Gabon	1660	0	93

Gambia	983	98	1
Ghana	8708	326	39
Guinea	889	115	19
Guinea Bissau	876	34	0
Ivory Coast	2397	266	17
Liberia	914	85	12
Mali	3573	608	10
Mauritania	4022	402	15
Multiple Countries	0	0	16
Niger	2812	411	25
Nigeria	2569	190	44
Republic of Congo	1591	0	59
Rwanda	2508	237	40
Saint Helena	96	0	2
Sao Tome and Principe	145	0	22
Senegal	15705	548	51
Sierra Leone	411	0	14
Togo	2019	123	31
Total	81661	4817	959

Full-scale, GEF and non-GEF small grants in 10,000 USD



Relationship between GEF and other small-scale funding by country

Finding: It is encouraging that the choice of countries for non-GEF-SGP small grants is generally speaking independent of the countries where most GEF grants are given; there are some countries like Cameroon which are popular with the other small programmes but which are some way down the list in terms of GEF funding.

Finding: There are some countries that seem to be poorly covered by all like Sierra Leone and others like Gabon that are neglected by GEF but are quite well covered by other small grants.

---

## Appendix II. Expert opinions on small grants (survey)

An online questionnaire was designed and sent to about 150 NGOs from the region found by Google searches. Information from structured interviews carried out during the fieldwork is also included.

### a. The questions

Questions about the success of small environmental projects

Please help IUCN by answering the following few questions about the success of small environmental projects (less than 50,000 USD) in Central and West Africa. There are less than 20 questions that should take no more than 2-3 minutes to answer.

What kind of organisation do you work for? <sup>\*52</sup>

- National NGO
- International NGO
- Bilateral donor
- Multilateral donor
- State / Government

What country do you work in? \*

Now please think about factors that tend to make projects less successful than planned.

How much are the following factors a threat to the success of typical small environmental projects in Central and West Africa (with budgets of no more than 50,000 USD).

- too much administration
- conflicts within the implementing organization
- conflicts with other organizations
- staff in implementing organisation lose interest
- lack of technical expertise
- lack of coordination with other actors (municipality, businesses,
- trying to do too much
- lack of cooperation from local people
- not trying to do enough
- lack of a good plan and "big idea"
- activities too spread out over time
- activities too concentrated on one time
- activities too spread out geographically
- activities too concentrated geographically
- poor management of the grant by the implementing organisation

Options:

- A big threat to project success
- A medium threat to project success
- Only a small threat to project success

Please describe any other threats to project success that you think are important.

Which size of project do you think provides the best value for money, i.e. the more significant environmental results per dollar - a small project around 40,000 USD or a larger project around 400,000 USD?

---

<sup>52\*</sup> = Required

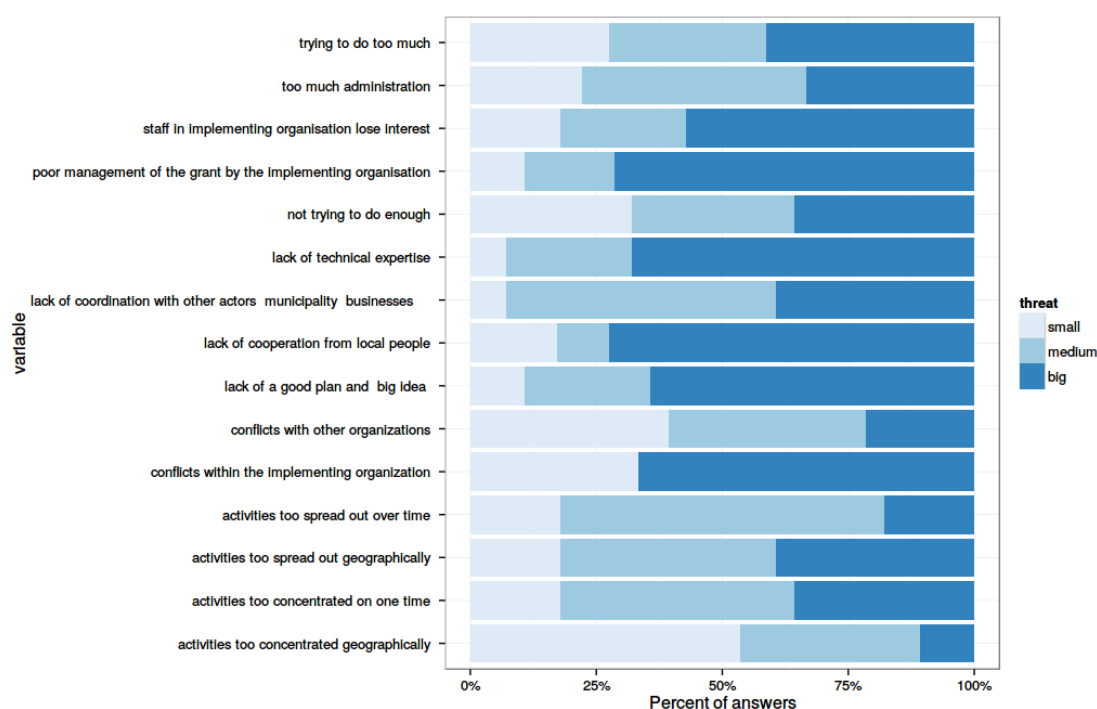
- The smaller project is definitely better value for money
- Probably about the same
- The larger project is definitely better value for money
- Not sure / it depends

Finally, something positive! Please describe in your opinion the one factor that contributes most to the SUCCESS of small environmental projects.

Anything else you would like to add about small environmental projects?

Thank you! Steve Powell (steve@promente.org) and Laurent Mesbah (laurent.mesbah@gmail.com)

## b. The responses



Answers to online questionnaire: How much are the following factors a threat to the success of typical small environmental projects in Central and West Africa (with budgets of no more than 50,000 USD)

### Responses by country

- Benin: 1
- Burkina Faso: 4
- Burundi: 1
- Cameroon: 3
- Democratic Republic of the Congo: 3
- Ghana: 8
- Guinea: 1
- Ivory Coast: 2
- Niger: 1
- Rwanda: 2
- Togo: 4

30 respondents completed the questionnaire. The results are quite striking.

Finding: respondents do not consider most of the scale and scalability issues such as trying to do too much or activities too spread out geographically to be very important threats. The top five threats were as follows:



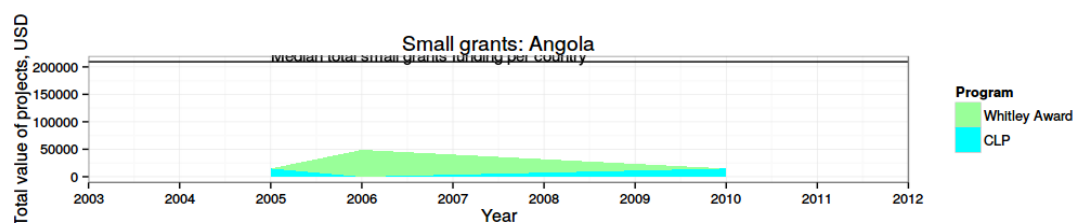
variable	Average_threat
lack of cooperation from local people	2.6
lack of technical expertise	2.6
poor management of the grant by the implementing organisation	2.6
lack of a good plan and big idea	2.5
staff in implementing organisation lose interest	2.4

Finding: It is remarkable that lack of cooperation from local people is rated with such a degree of importance to expert respondents. If in fact sustainable environmental impact revolves around the inclusion of local people, this finding suggests there may still be a long way to go.  
The number of responses is too small to be able to compare results across countries.

## Appendix III. Country focus

Each of the following pages features small grants data for each of the countries in the region.

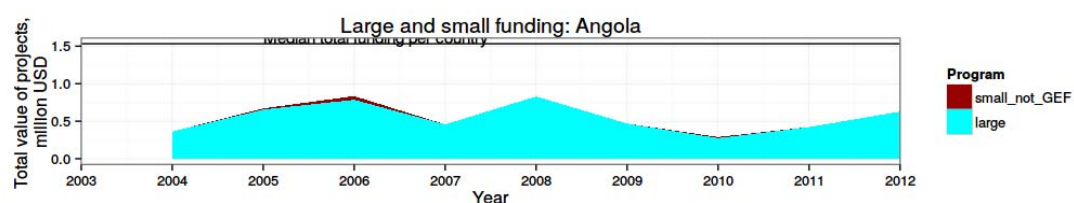
### 1. Angola



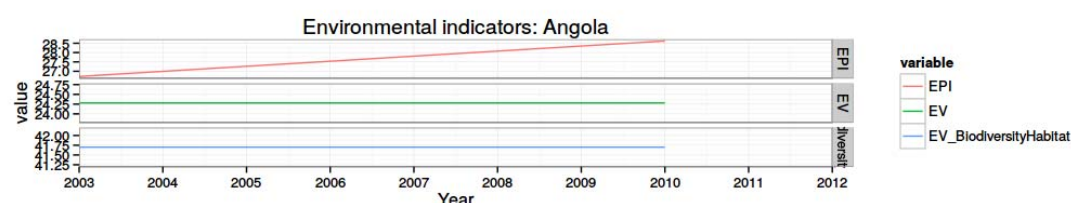
Small grant funding by programme and year: Angola

Fund	Total USD
CLP	30000
Whitley Award	49000

Total small grants in Angola by Program

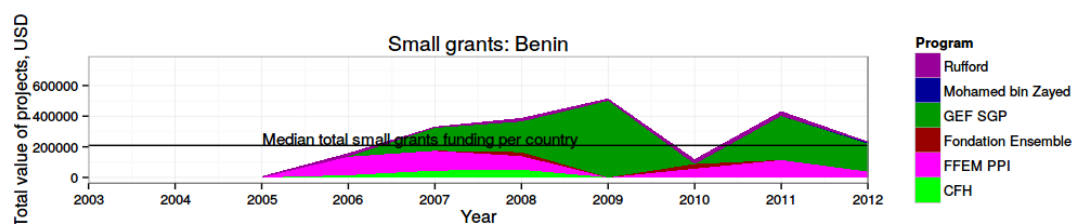


Large and small funding by year: Angola



Environmental indicators by year: Angola

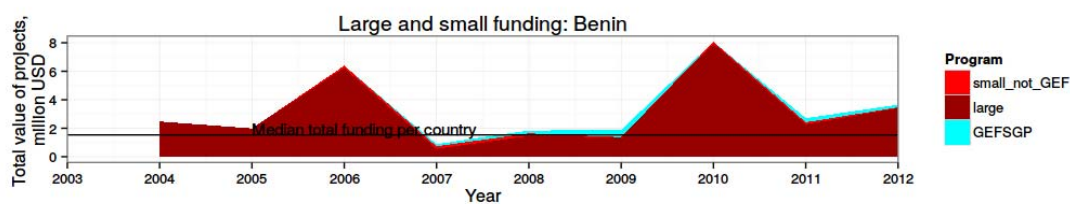
### 2. Benin



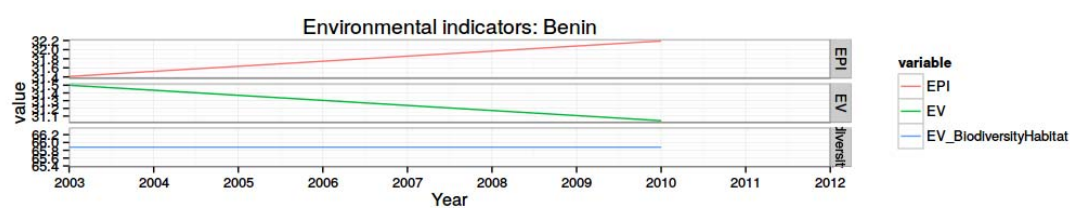
Small grant funding by programme and year: Benin

Fund	Total USD
CFH	111000
FFEM PPI	692716
Fondation Ensemble	55682
GEFSGP	1999872
Mohamed bin Zayed	6000
Rufford	193416

Total small grants in Benin by Program

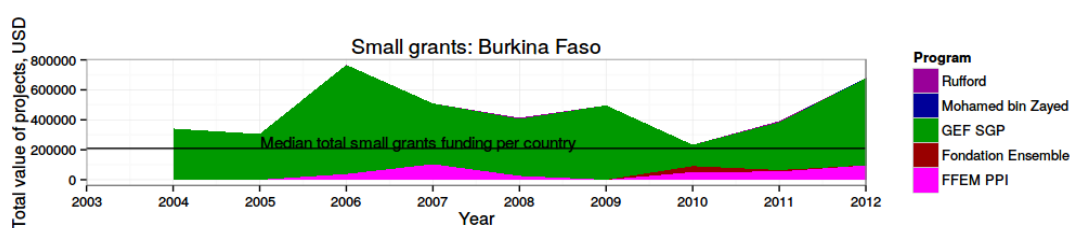


Large and small funding by year: Benin



Environmental indicators by year: Benin

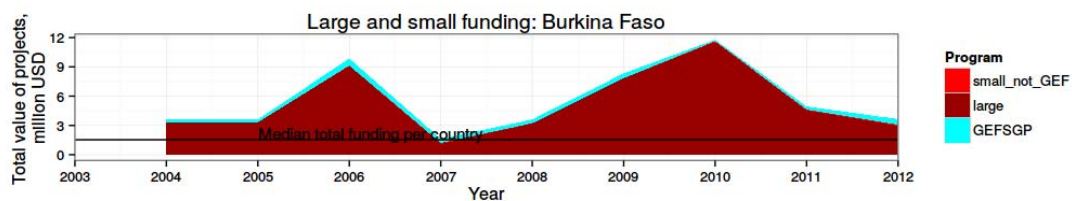
### 3. Burkina Faso



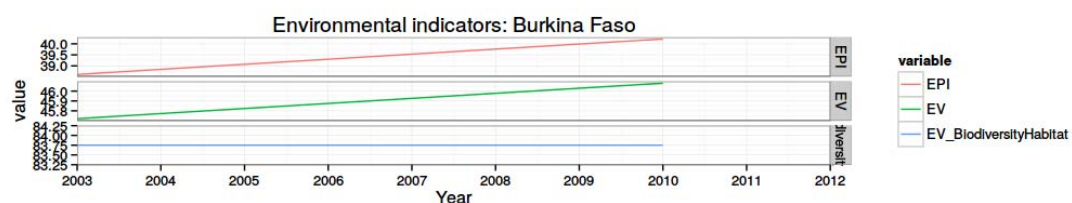
Small grant funding by programme and year: Burkina Faso

Fund	Total USD
FFEM PPI	419328
Fondation Ensemble	50000
GEFSGP	4606331
Mohamed bin Zayed	15000
Rufford	40295

Total small grants in Burkina Faso by Program

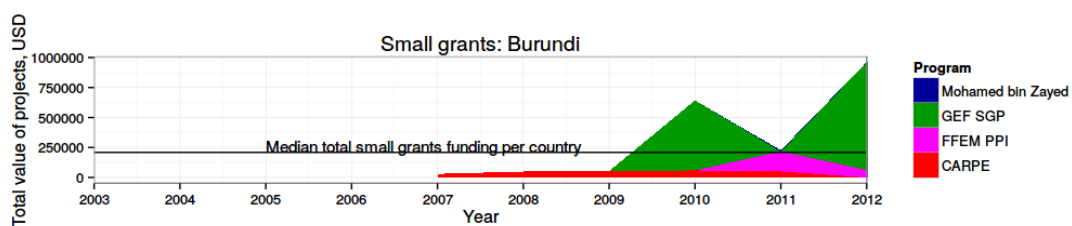


Large and small funding by year: Burkina Faso



Environmental indicators by year: Burkina Faso

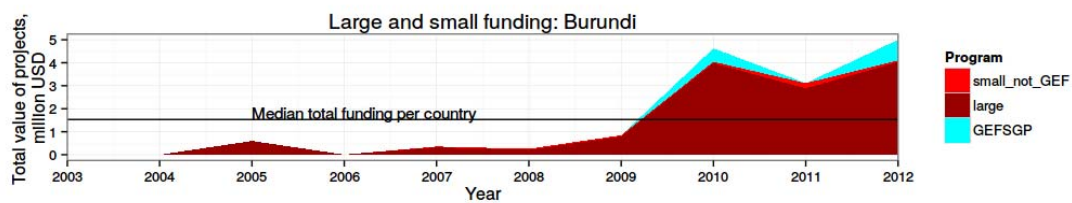
## 4. Burundi



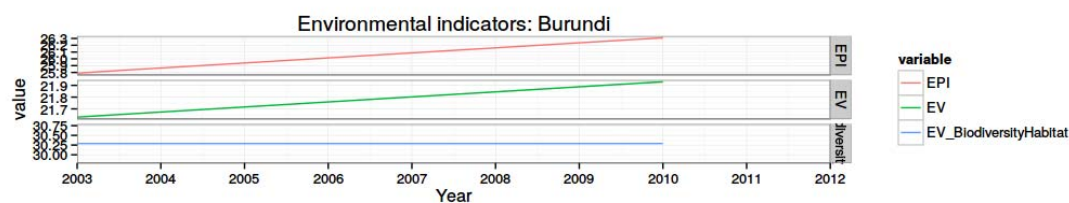
Small grant funding by programme and year: Burundi

Fund	Total USD
CARPE	242665
FFEM PPI	230016
GEFSGP	242253
Mohamed bin Zayed	10000

Total small grants in Burundi by Program

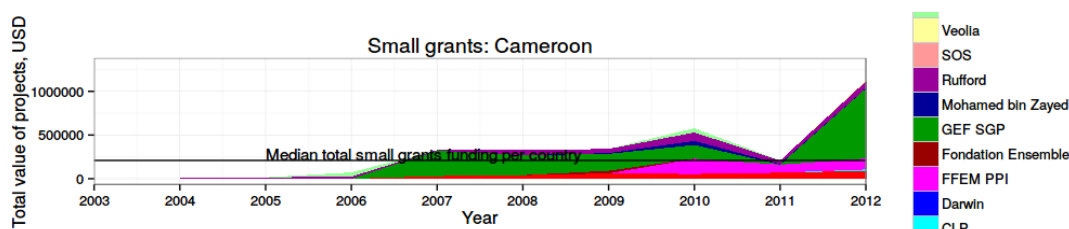


Large and small funding by year: Burundi



Environmental indicators by year: Burundi

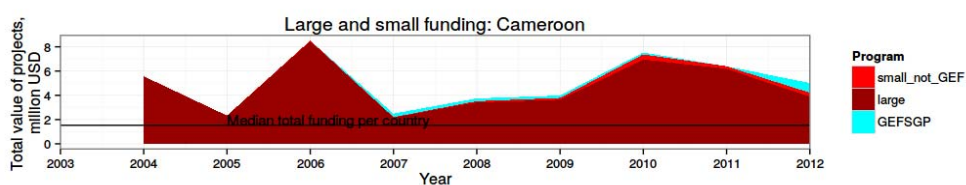
## 5. Cameroon



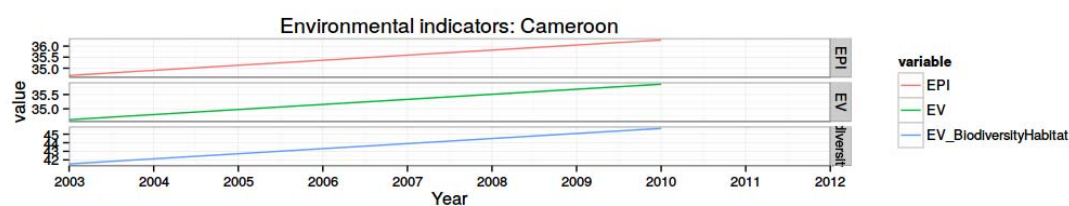
Small grant funding by programme and year: Cameroon

Fund	Total USD
CARPE	346952
CLP	15000
Darwin	4646
FFEM PPI	801508
Fondation Ensemble	30000
GEFSGP	2804934
Mohamed bin Zayed	64099
Rufford	515776
SOS	25000
Veolia	12000
Whitley Award	147000

Total small grants in Cameroon by Program

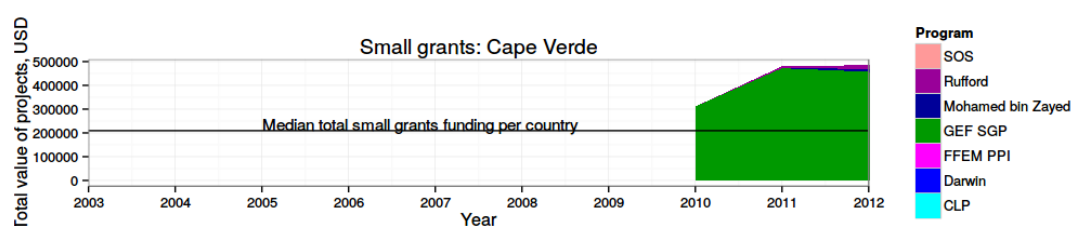


Large and small funding by year: Cameroon



Environmental indicators by year: Cameroon

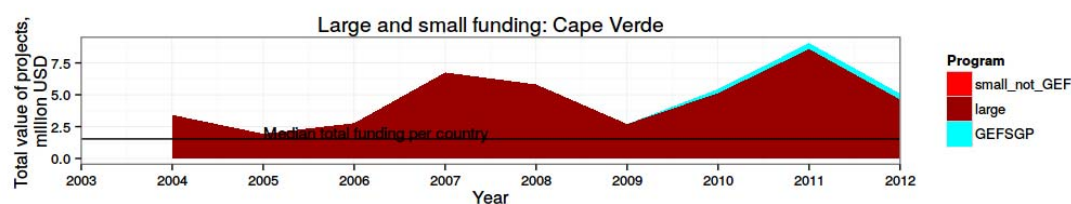
## 6. Cape Verde



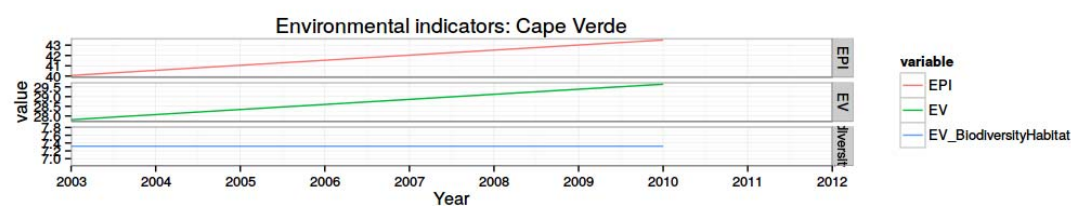
Small grant funding by programme and year: Cape Verde

Fund	Total USD
CLP	15000
Darwin	4890
FFEM PPI	77469
GEFSGP	1851175
Mohamed bin Zayed	12500
Rufford	48354
SOS	49750

Total small grants in Cape Verde by Program

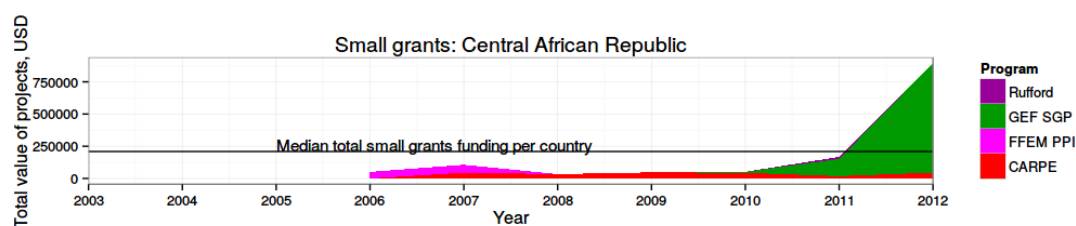


Large and small funding by year: Cape Verde



Environmental indicators by year: Cape Verde

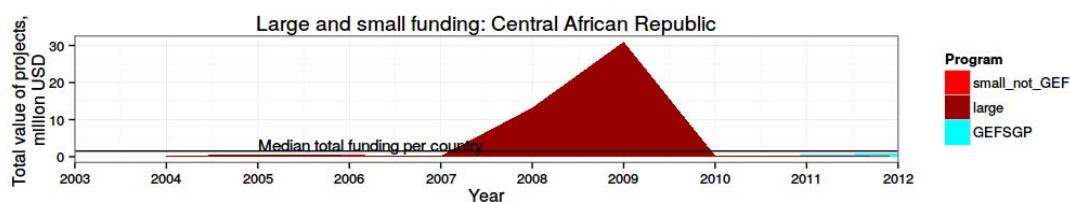
## 7. Central African Republic



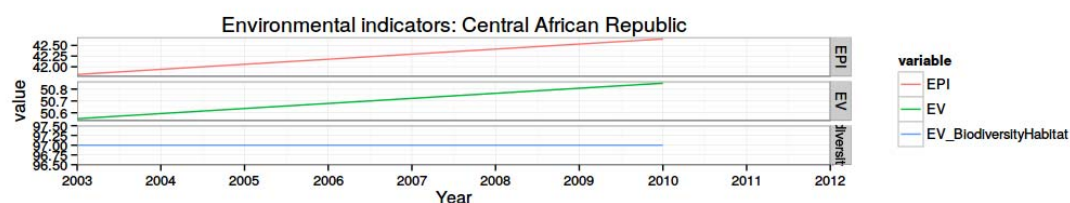
Small grant funding by programme and year: Central African Republic

Fund	Total USD
CARPE	235370
FFEM PPI	113024
GEFSGP	991458
Rufford	16118

Total small grants in Central African Republic by Program

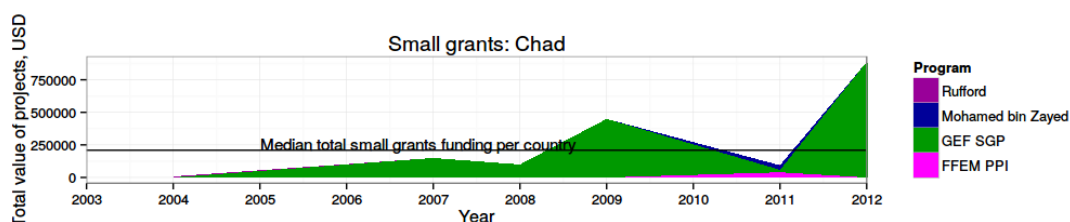


Large and small funding by year: Central African Republic



Environmental indicators by year: Central African Republic

## 8. Chad

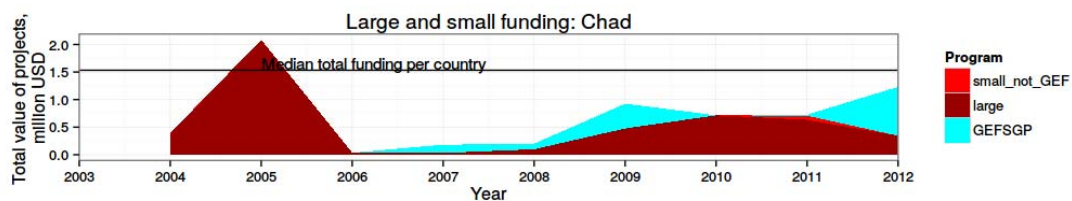


Small grant funding by programme and year: Chad

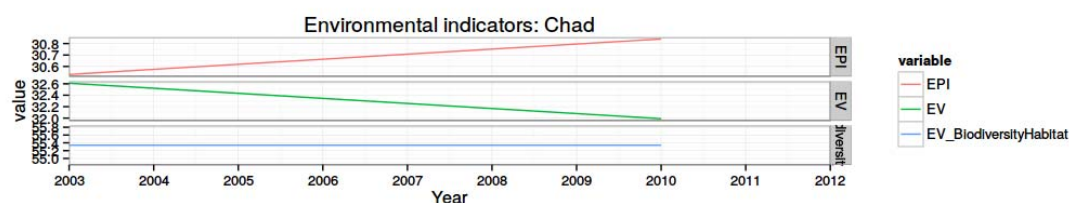
Fund	Total USD
FFEM PPI	39808
GEFSGP	1701073
Mohamed bin Zayed	35000
Rufford	8059

Total small grants in Chad by Program



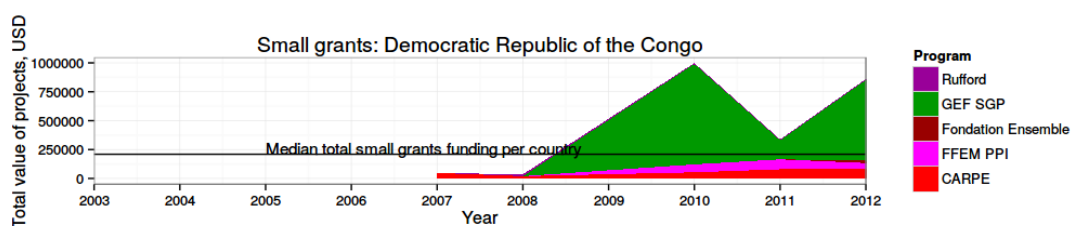


Large and small funding by year: Chad



Environmental indicators by year: Chad

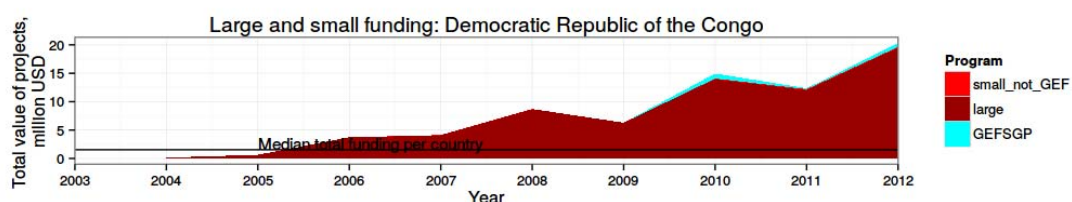
## 9. Democratic Republic of Congo



Small grant funding by programme and year: Democratic Republic of Congo

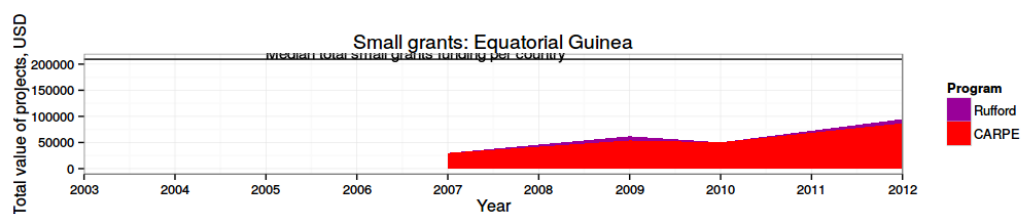
Fund	Total USD
CARPE	290203
FFEM PPI	481210
Fondation Ensemble	20815
GEFSGP	2384149
Rufford	64472

Total small grants in Democratic Republic of Congo by Program



Large and small funding by year: Democratic Republic of the Congo

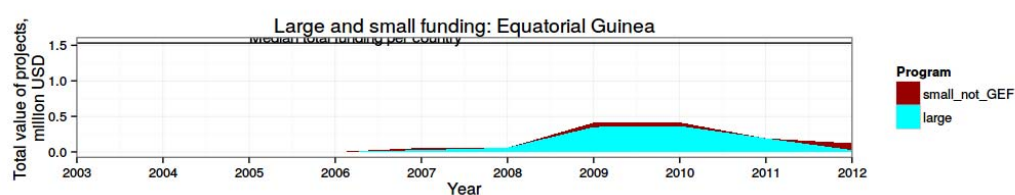
## 10. Equatorial Guinea



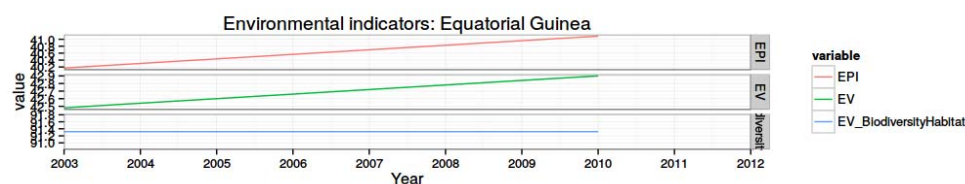
Small grant funding by programme and year: Equatorial Guinea

Fund	Total USD
CARPE	221230
Rufford	16118

Total small grants in Equatorial Guinea by Program

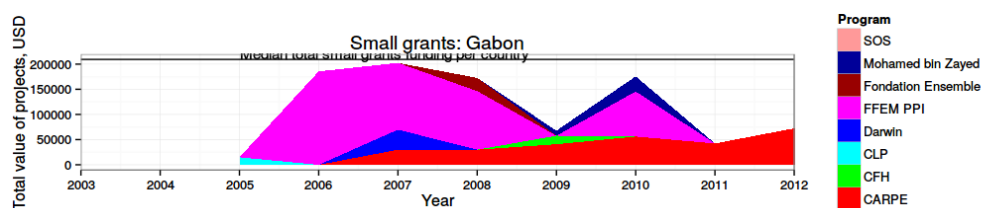


Large and small funding by year: Equatorial Guinea



Environmental indicators by year: Equatorial Guinea

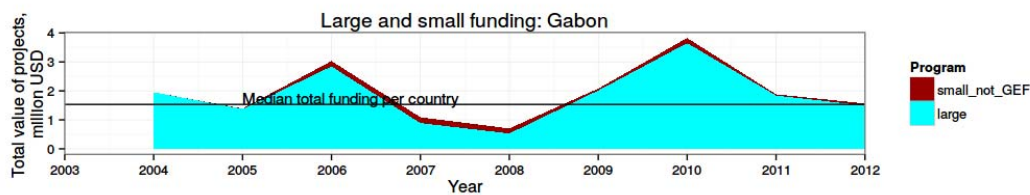
## 11. Gabon



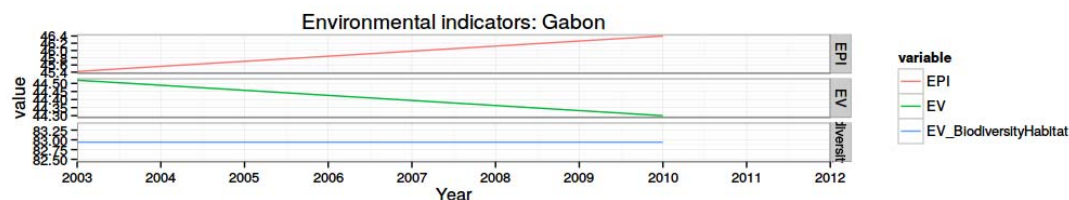
Small grant funding by programme and year: Gabon

Fund	Total USD
CARPE	271810
CFH	17000
CLP	30000
Darwin	39805
FFEM PPI	566656
Fondation Ensemble	26147
Mohamed bin Zayed	40000
SOS	152178

Total small grants in Gabon by Program

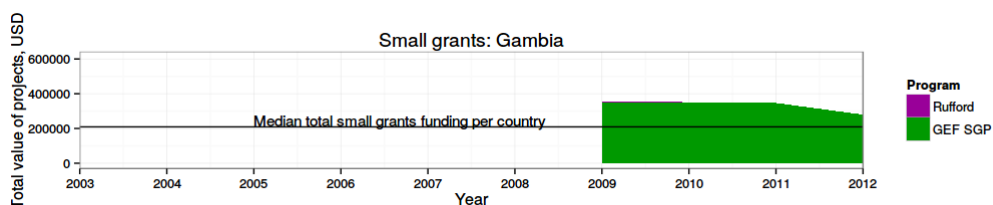


Large and small funding by year: Gabon



Environmental indicators by year: Gabon

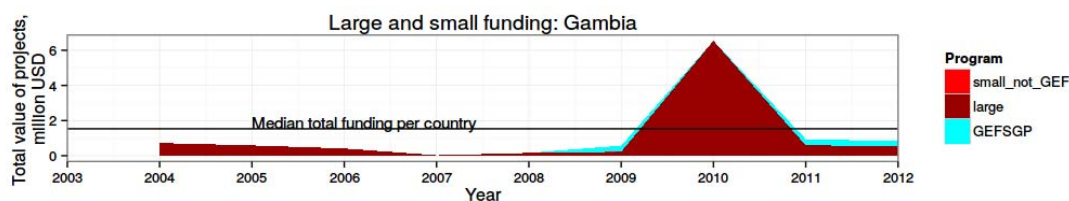
## 12. Gambia



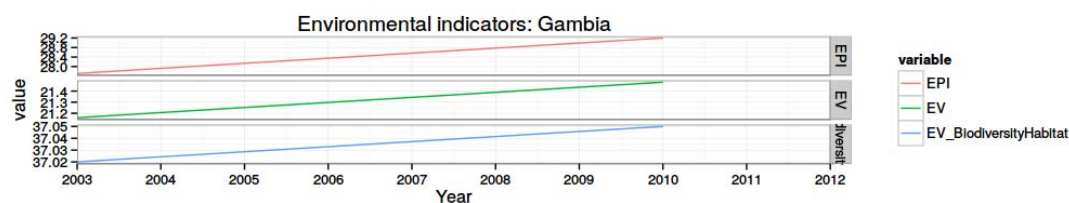
Small grant funding by programme and year: Gambia

Fund	Total USD
GEFSGP	1837760
Rufford	8059

Total small grants in Gambia by Program

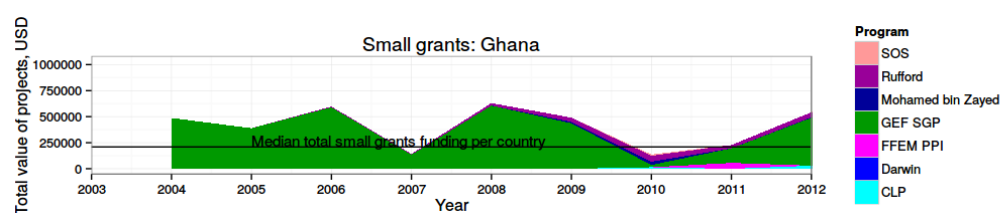


Large and small funding by year: Gambia



Environmental indicators by year: Gambia

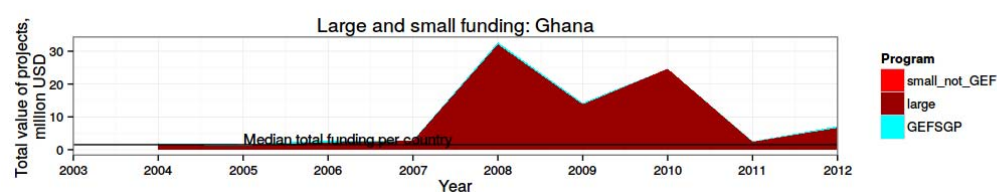
## 13. Ghana



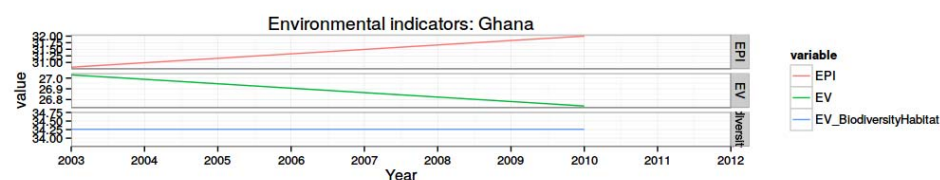
Small grant funding by programme and year: Ghana

Fund	Total USD
CLP	85000
Darwin	34691
FFEM PPI	273024
GEFSGP	3992645
Mohamed bin Zayed	65200
Rufford	346537
SOS	92500

Total small grants in Ghana by Program

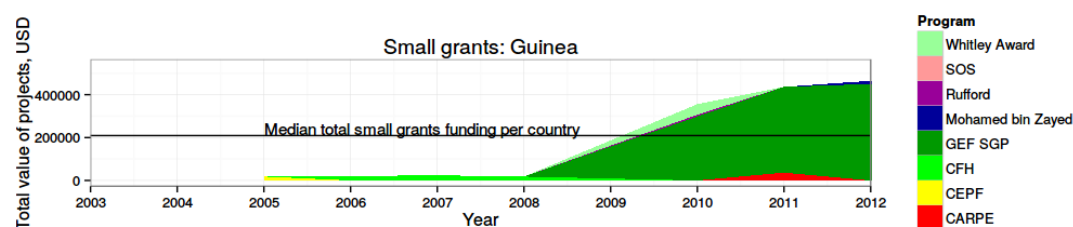


Large and small funding by year: Ghana



Environmental indicators by year: Ghana

## 14. Guinea

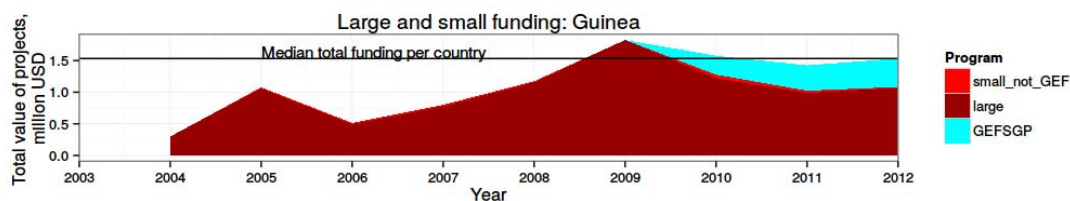


Small grant funding by programme and year: Guinea

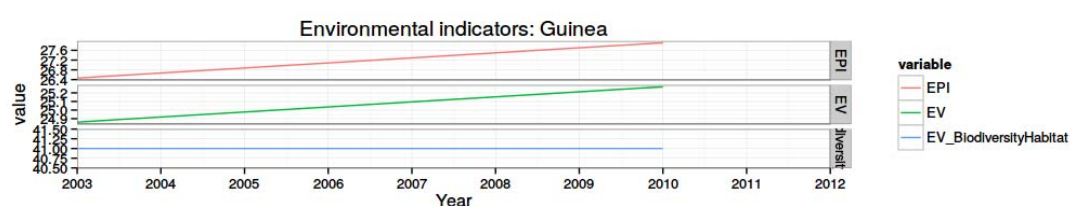
Fund	Total USD
CARPE	36730
CEPF	18450
CFH	63355
GEFSGP	1775350

Mohamed bin Zayed	24900
Rufford	8059
SOS	99000
Whitley Award	49000

Total small grants in Guinea by Program

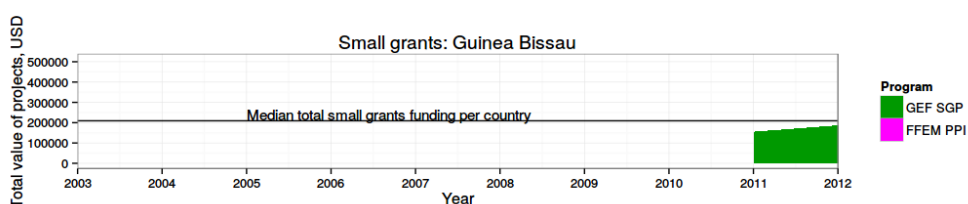


Large and small funding by year: Guinea



Environmental indicators by year: Guinea

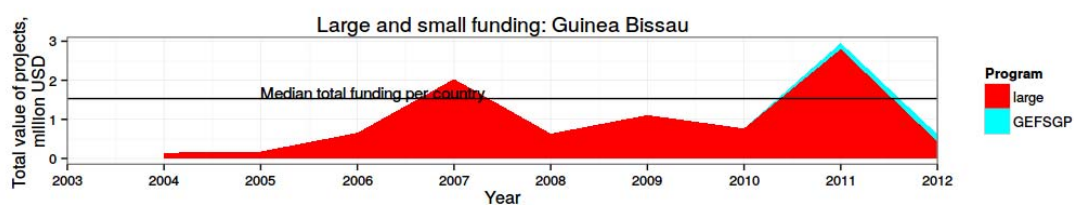
## 15. Guinea Bissau



Small grant funding by programme and year: Guinea Bissau

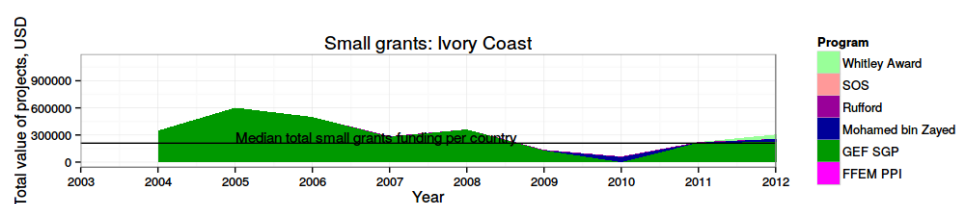
Fund	Total USD
FFEM PPI	118528
GEFSGP	973590

Total small grants in Guinea Bissau by Program



Large and small funding by year: Guinea Bissau

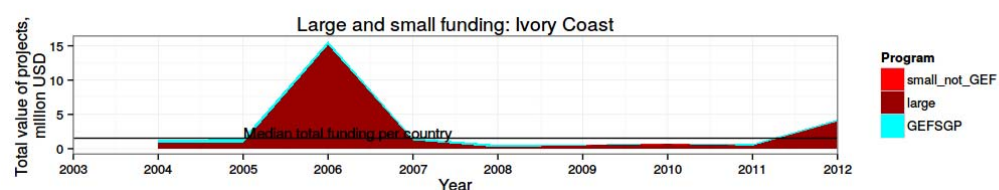
## 16. Ivory Coast



Small grant funding by programme and year: Ivory Coast

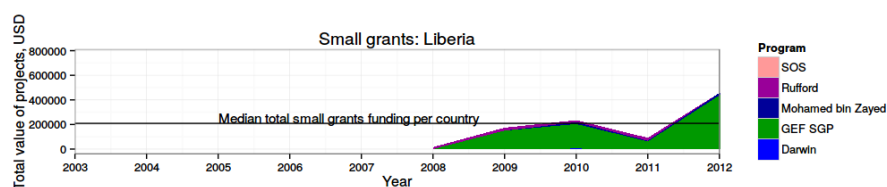
Fund	Total USD
FFEM PPI	79427
GEFSGP	3656047
Mohamed bin Zayed	112497
Rufford	48354
SOS	90000
Whitley Award	49000

Total small grants in Ivory Coast by Program



Large and small funding by year: Ivory Coast

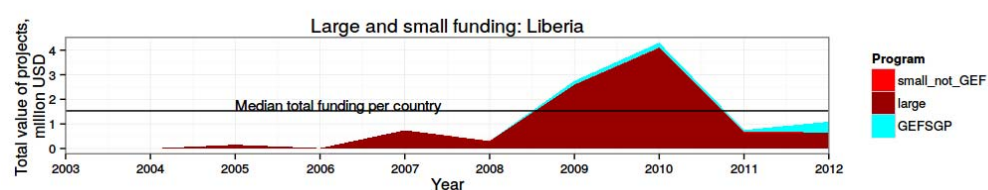
## 17. Liberia



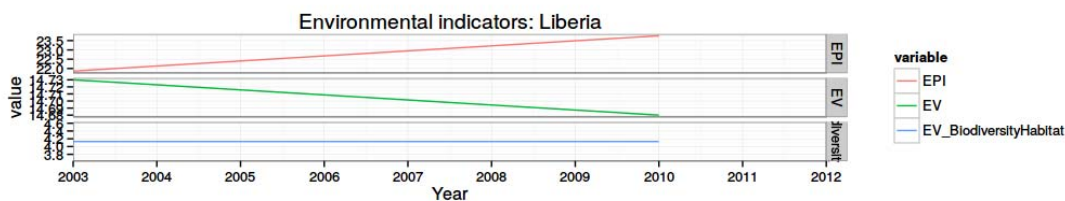
Small grant funding by programme and year: Liberia

Fund	Total USD
Darwin	4042
GEFSGP	2090000
Mohamed bin Zayed	39750
Rufford	120885
SOS	125000

Total small grants in Liberia by Program

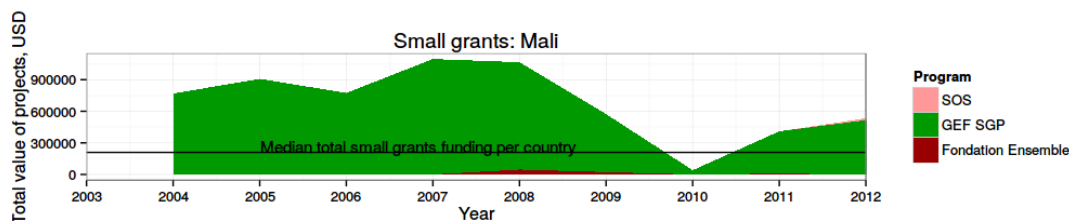


Large and small funding by year: Liberia



Environmental indicators by year: Liberia

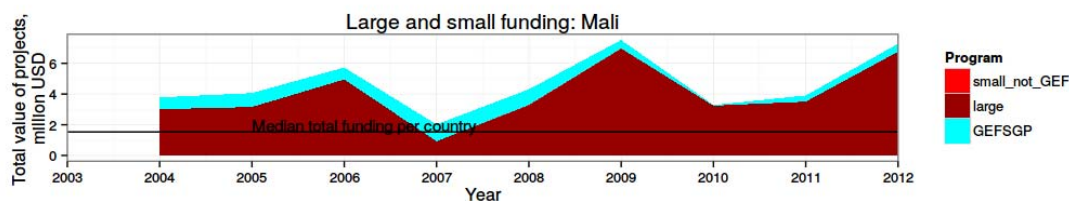
## 18. Mali



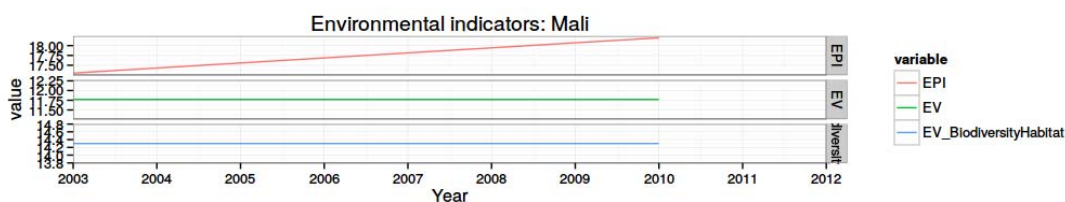
Small grant funding by programme and year: Mali

Fund	Total USD
Fondation Ensemble	77584
GEFSGP	7071981
SOS	18000

Total small grants in Mali by Program



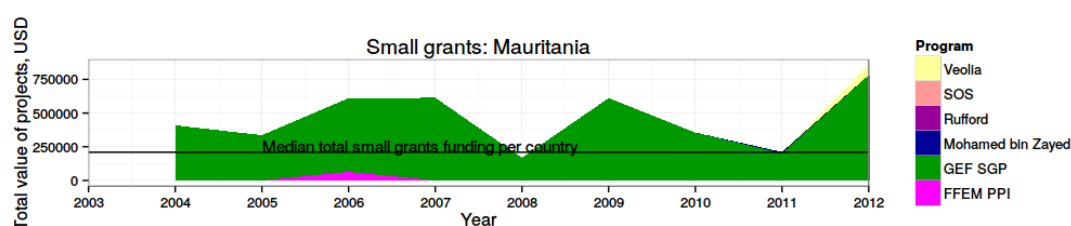
Large and small funding by year: Mali



Environmental indicators by year: Mali



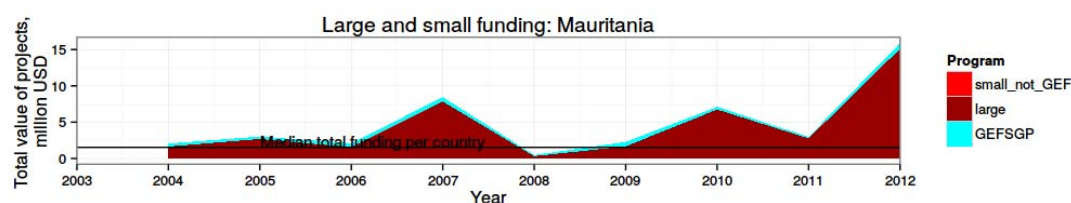
## 19. Mauritania



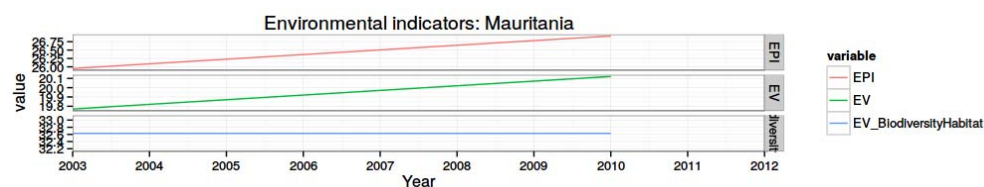
Small grant funding by programme and year: Mauritania

Fund	Total USD
FFEM PPI	108800
GEFSGP	4768297
Mohamed bin Zayed	20000
Rufford	8059
SOS	99560
Veolia	75000

Total small grants in Mauritania by Program

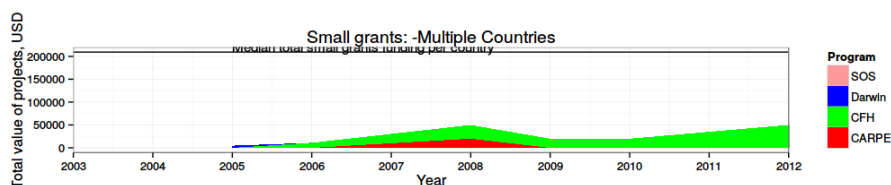


Large and small funding by year: Mauritania



Environmental indicators by year: Mauritania

## 20. Multiple Countries

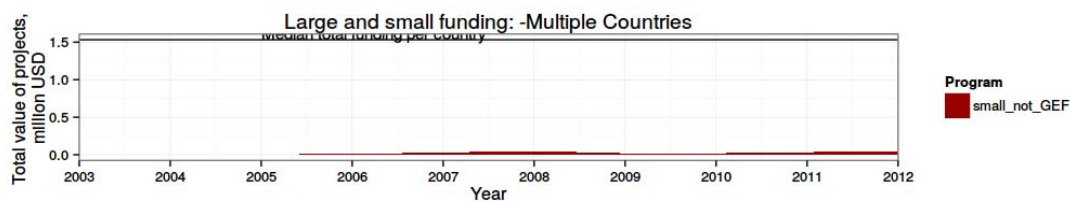


Small grant funding by programme and year: -Multiple Countries

Fund	Total USD
CARPE	20000
CFH	181000
Darwin	4750
SOS	137665

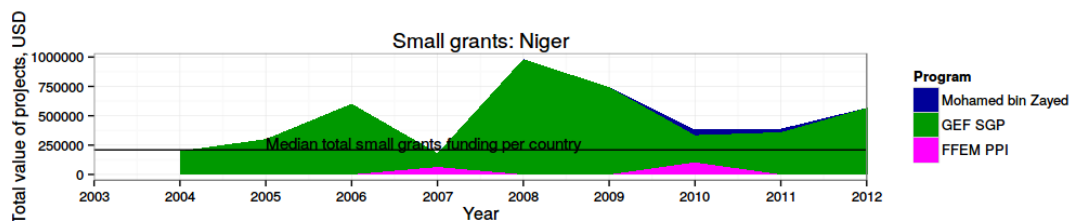
Total small grants in -Multiple Countries by Program





Large and small funding by year: -Multiple Countries

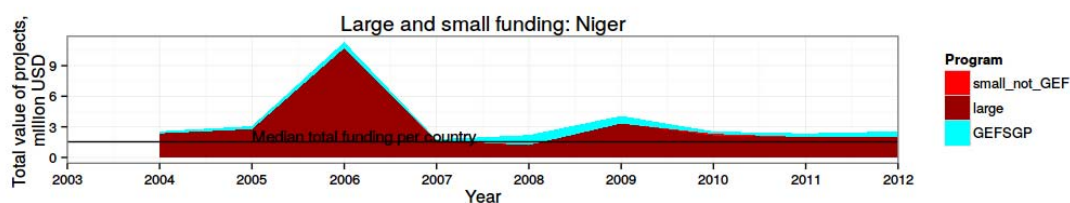
## 21. Niger



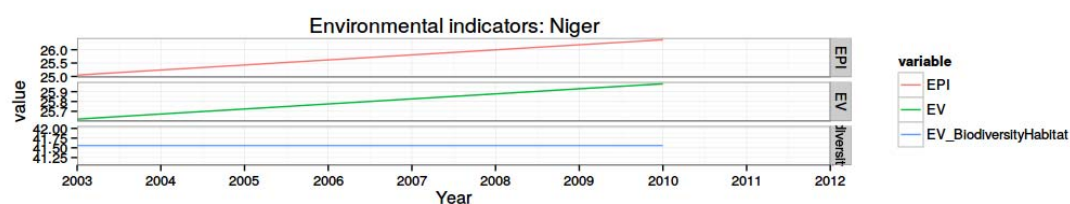
Small grant funding by programme and year: Niger

Fund	Total USD
FFEM PPI	218240
GEFSGP	4833818
Mohamed bin Zayed	78100

Total small grants in Niger by Program

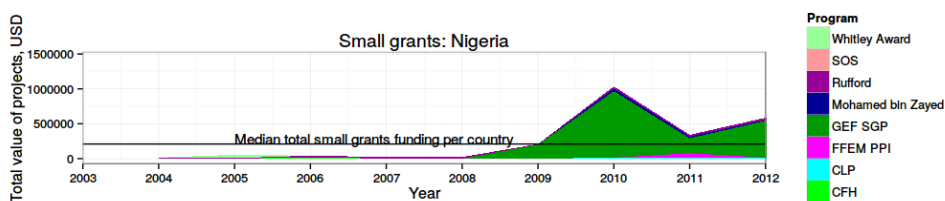


Large and small funding by year: Niger



Environmental indicators by year: Niger

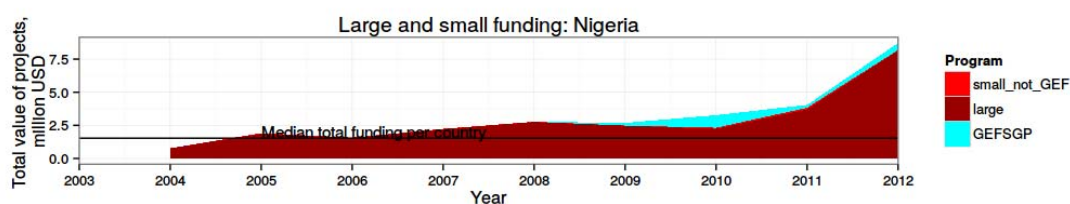
## 22. Nigeria



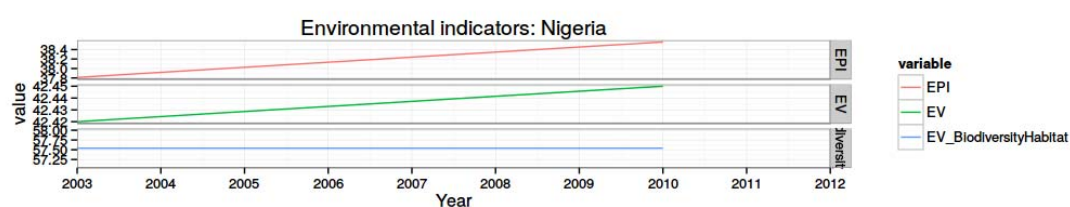
Small grant funding by programme and year: Nigeria

Fund	Total USD
CFH	20000
CLP	60000
FFEM PPI	114278
GEFSGP	3442869
Mohamed bin Zayed	80050
Rufford	241770
SOS	49972
Whitley Award	49000

Total small grants in Nigeria by Program

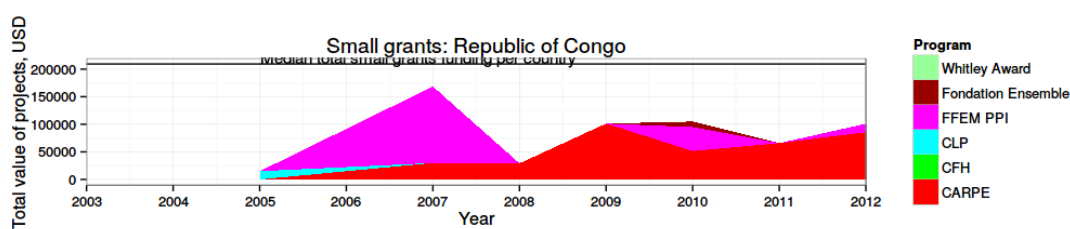


Large and small funding by year: Nigeria



Environmental indicators by year: Nigeria

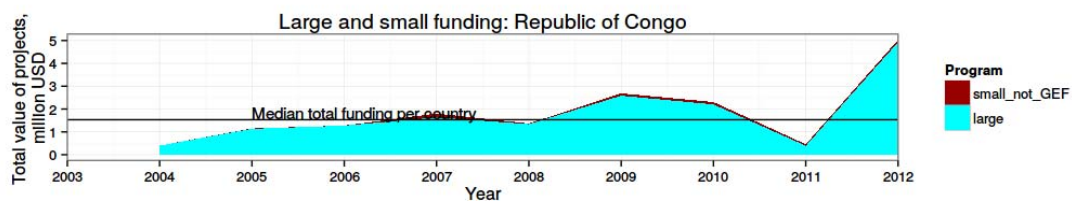
## 23. Republic of Congo



Small grant funding by programme and year: Republic of Congo

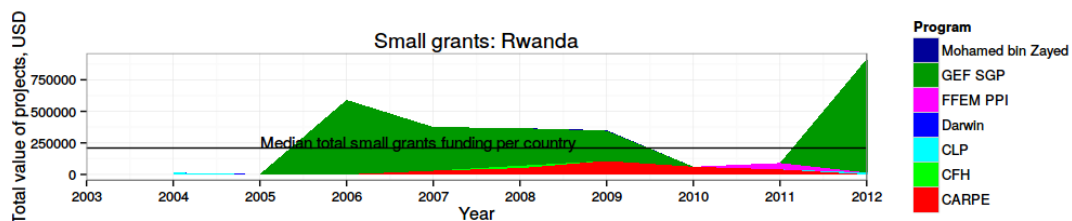
Fund	Total USD
CARPE	364024
CFH	39704
CLP	15000
FFEM PPI	326241
Fondation Ensemble	10000
Whitley Award	49000

Total small grants in Republic of Congo by Program



Large and small funding by year: Republic of Congo

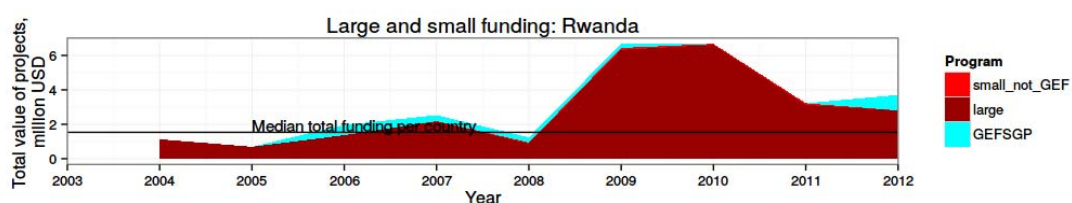
## 24. Rwanda



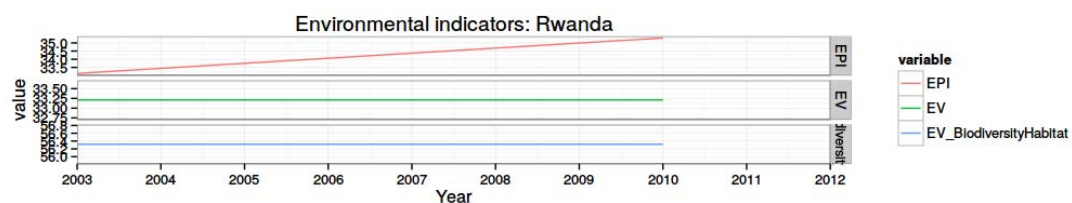
Small grant funding by programme and year: Rwanda

Fund	Total USD
CARPE	289122
CFH	20000
CLP	30000
Darwin	2168
FFEM PPI	51200
GEFSGP	2624127
Mohamed bin Zayed	4600

Total small grants in Rwanda by Program

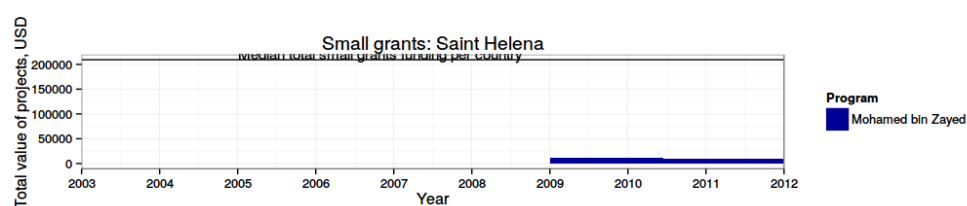


Large and small funding by year: Rwanda



Environmental indicators by year: Rwanda

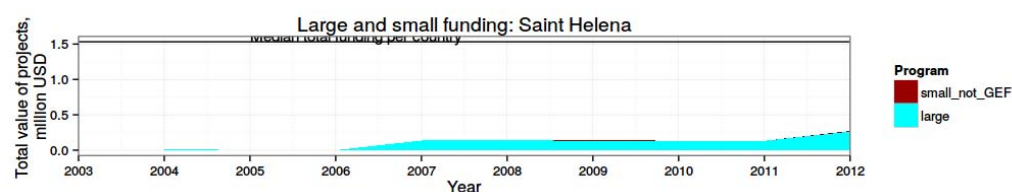
## 25. Saint Helena



Small grant funding by programme and year: Saint Helena

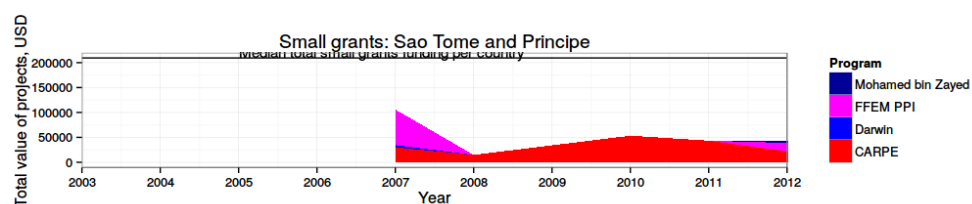
Fund	Total USD
Mohamed bin Zayed	21495

Total small grants in Saint Helena by Program



Large and small funding by year: Saint Helena

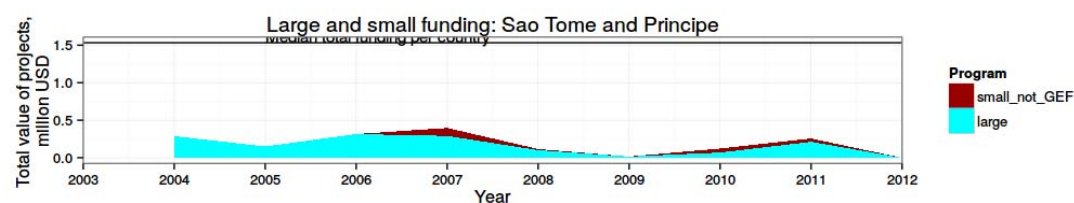
## 26. Sao Tome and Principe



Small grant funding by programme and year: Sao Tome and Principe

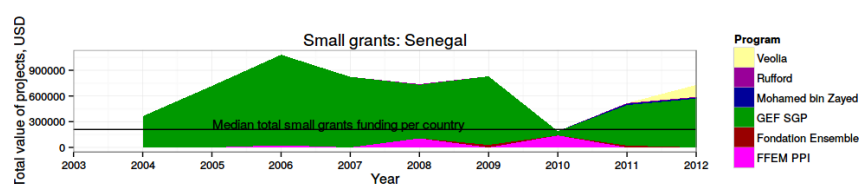
Fund	Total USD
CARPE	141844
Darwin	4727
FFEM PPI	105600
Mohamed bin Zayed	7850

Total small grants in Sao Tome and Principe by Program



Large and small funding by year: Sao Tome and Principe

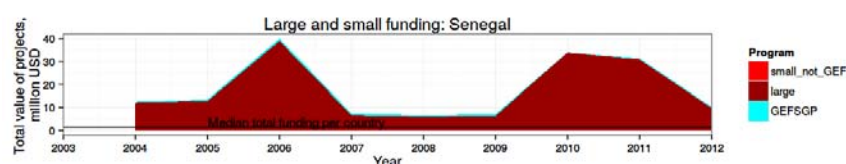
## 27. Senegal



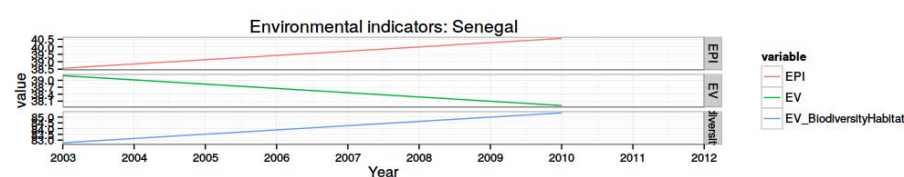
Small grant funding by programme and year: Senegal

Fund	Total USD
FFEM PPI	403840
Fondation Ensemble	52000
GEFSGP	6273880
Mohamed bin Zayed	27000
Rufford	40295
Veolia	140000

Total small grants in Senegal by Program

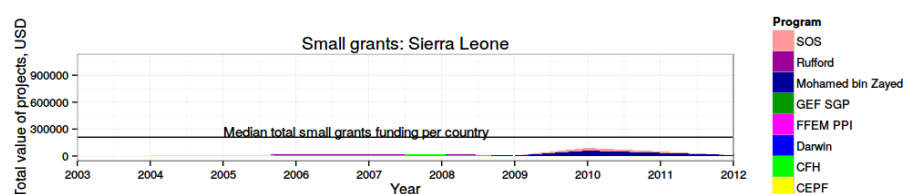


Large and small funding by year: Senegal



Environmental indicators by year: Senegal

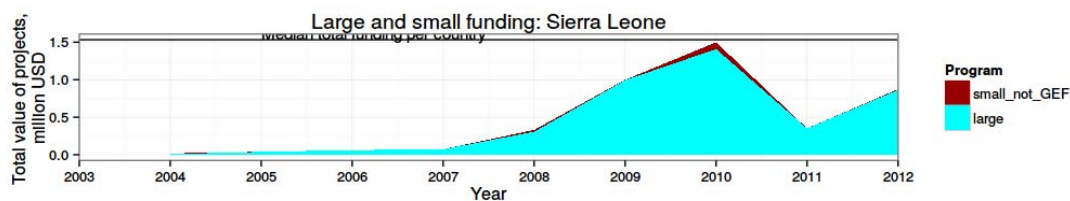
## 28. Sierra Leone



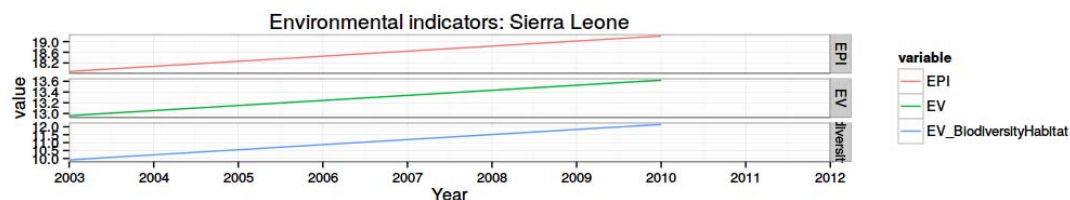
Small grant funding by programme and year: Sierra Leone

Fund	Total USD
CEPF	9000
CFH	16225
Darwin	4817
FFEM PPI	32000
GEFSGP	1493022
Mohamed bin Zayed	74500
Rufford	16118
SOS	81113

Total small grants in Sierra Leone by Program

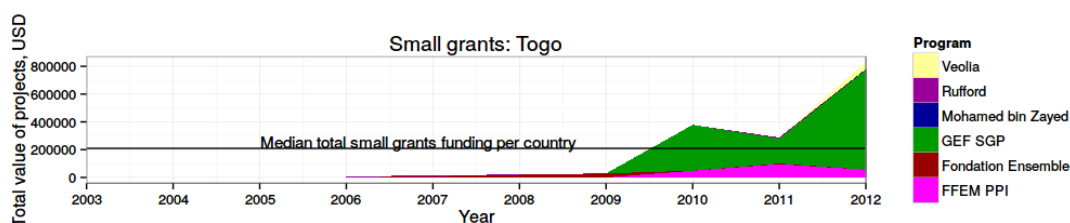


Large and small funding by year: Sierra Leone



Environmental indicators by year: Sierra Leone

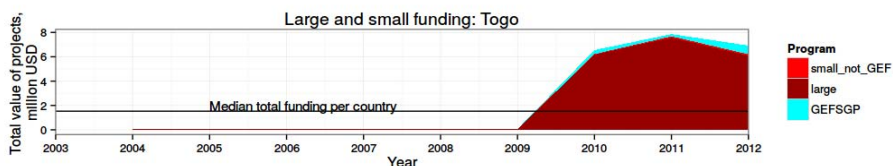
## 29. Togo



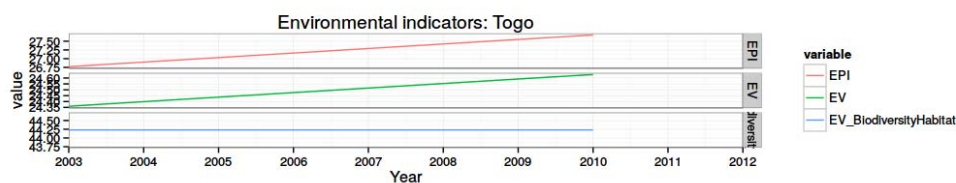
Small grant funding by programme and year: Togo

Fund	Total USD
FFEM PPI	342115
Fondation Ensemble	33738
GEFSGP	1675627
Mohamed bin Zayed	27000
Rufford	24177
Veolia	50000

Total small grants in Togo by Program



Large and small funding by year: Togo



Environmental indicators by year: Togo

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## Appendix IV. List of programmes

This section provides a list of programmes available to provide funding for small grants in the region, so it could be useful for NGOs or others looking for grants. It includes a few more programmes that narrowly missed the criteria for the inclusion in the study which informs most of the main report.

This list was originally conceived and constructed as an update of "REPERTOIRE DES BAILLEURS POUR LA CONSERVATION ENAFRIQUE DE L'OUEST"(FIBA 2014).<sup>53</sup>

Programmes have been included if they seem to have provided more than 5 grants below 50,000 USD in the region during the last 10 years. In addition CEPF is listed, even though it has only two small projects in the region. The information on number and size of grants comes from the data aggregation process, see below, and is almost certainly not completely accurate.

The biggest gap is bilaterals. While emails were written to the head offices of all the major bilaterals and also to all their Embassies in all the capitals in the Region, hardly any responses were received, and all of these were negative. The responses which were received are listed in the Appendix.

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### Central Africa Regional Program for the Environment (CARPE)

Web:

[https://www.iucn.org/fr/propos/union/secretariat/bureaux/paco/programmes/paco\\_forest/thematiques\\_et\\_projets/central\\_african\\_regional\\_program\\_for\\_the\\_environment\\_carpe\\_/small\\_grants\\_program/https://www.iucn.org/fr/propos/union/secretariat/bureaux/paco/programmes/paco\\_forest/thematiques\\_et\\_projets/central\\_african\\_regional\\_program\\_for\\_the\\_environment\\_carpe\\_/small\\_grants\\_program/programme\\_des\\_microfinancements/](https://www.iucn.org/fr/propos/union/secretariat/bureaux/paco/programmes/paco_forest/thematiques_et_projets/central_african_regional_program_for_the_environment_carpe_/small_grants_program/https://www.iucn.org/fr/propos/union/secretariat/bureaux/paco/programmes/paco_forest/thematiques_et_projets/central_african_regional_program_for_the_environment_carpe_/small_grants_program/programme_des_microfinancements/)

Description: IUCN small grant program using CARPE fund has the objective to strengthening civil society for sustainable forest conservation in Central Africa. Detailed objectives are as follows: 1- Promote and build constituency for conservation among civil society; 2- Foster partnerships between landscapes consortia and local civil society in the field; 3- Fill gaps in conservation's analytical agenda including the design of a suitable mechanism to provide feedback to local communities on conservation strategies, exchanges of field experiences and success stories between and within landscapes; 4- Facilitate the participation of Central African institutions and governments in CARPE activities; 5- Reinforce the capacities of local civil society in institutional development and strategic planning; 6- Effectively integrate CARPE activities in the field with host country institutions; 7- Identify Natural Resources Management policies that require country team advocacy for policy reform or development; 8- Raise local, national and regional awareness of CARPE objectives and achievements; 9- Foster gender equity. DOMAIN OF INTERVENTION To meet the objectives of this program, the following domain of intervention will be given priorities: - Capacity Building; - Natural Resources Management Policy; - Natural Resources Management governance; - Capitalization and sharing of lessons learned; - Gender equity; - Landscape issues related to policy and to build constituency for its sustainable management; - Bush meat management in term of Policy and regulation to set forth for advocacy. The maximum amount per grant award will be \$30,000.

Previous Projects:

[https://www.iucn.org/fr/propos/union/secretariat/bureaux/paco/programmes/paco\\_forest/thematiques\\_et\\_projets/central\\_african\\_regional\\_program\\_for\\_the\\_environment\\_carpe\\_/small\\_grants\\_program/list\\_of\\_funded\\_small\\_grants\\_projects/](https://www.iucn.org/fr/propos/union/secretariat/bureaux/paco/programmes/paco_forest/thematiques_et_projets/central_african_regional_program_for_the_environment_carpe_/small_grants_program/list_of_funded_small_grants_projects/)

Number of grants below 50,000 USD in Central and West Africa 2004-2014: 129; Total value approx: 2,460,000 USD. , in the following countries: Burundi; Cameroon; Republic of Congo; Gabon; Equatorial Guinea; Central African Republic; Democratic Republic of the Congo; Rwanda; Sao Tome and Principe; -Multiple Countries; Guinea

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### Conservation Leadership Programme

Web: <http://www.conservationleadershipprogramme.org/Apply.asp>

Description: The Conservation Leadership Programme (CLP) is a partnership initiative that includes four conservation organisations – BirdLife International, Conservation International, Fauna & Flora International, and the Wildlife Conservation Society - and BP plc. The mission of the Conservation Leadership Programme is to promote the development of future conservation leaders and provide them with the capacity to address the most significant conservation issues of our time. Grant Information. The CLP offers three different grants for team projects each year. The Future Conservationist, Conservation Follow-up and Conservation Leadership Awards

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<sup>53</sup>It is hard to be sure if our list is really complete. The internet is replete with lists of funders for conservation NGOs, many of them running into hundreds of entries - the "Directory of Conservation Funding Sources for Developing Countries: Conservation Biology, Education & Training, Fellowships & Scholarships" lists 510 sources (Owino and Oyugi 2009).



are arranged in a tiered system, which allows progression -- from encouraging and supporting inexperienced teams who are undertaking small-scale, basic surveying and awareness-raising projects, to the stage where teams are learning to command much more complex decision-making, communication and leadership skills. Additionally, each year a small add-on grant, the Kate Stokes Award, is awarded to an exception team receiving the Follow-up or Leadership Award. Future Conservationist Awards are offered to teams that demonstrate leadership potential and a commitment to biodiversity conservation. Management and leadership skills will be developed in all team members through the management of small-scale, practical conservation projects. Grants are up to \$15,000 each. Conservation Follow-up Awards are aimed at exceptional teams with individuals who want to address a conservation issue raised by recommendations in their previous CLP project. Grants are up to \$25,000 each. Conservation Leadership Award: The idea of the Conservation Leadership Award is to enable teams that have been supported in the past to consolidate (or connect together) their previous project successes by creating something longer-term, which is more practical and conservation oriented than research oriented. One to two grants are offered for up to \$50,000 each. Kate Stokes Award. Through this fund, one additional \$5,000 grant is awarded on an annual basis to an exceptional Follow-up or Leadership Award winning team supported by the Conservation Leadership Programme Awards, with particular emphasis on teams that show passion, enthusiasm and a long-term commitment to conservation. Additional Support Alumni Grants: In addition to these awards, we offer ongoing support through our Alumni Network in the form of Alumni Grants to provide individuals who have previously been supported by the CLP with additional small grants to attend short-term trainings or conferences.

Previous Projects: <http://www.conservationleadershipprogramme.org/Search.asp>

Number of grants below 50000 USD in Central and West Africa 2004-2014: 18; Total value approx: 280,000 USD. , in the following countries: Republic of Congo; Rwanda; Gabon; Angola; Ghana; Nigeria; Cameroon; Cape Verde

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#### Critical Ecosystem Partnership Fund

Web: <http://www.cepf.net/grants/Pages/default.aspx>

Description: Although the Guinea Forests are a CEPF priority area, the Fund has not given small grants in C or W Africa recently. [http://www.cepf.net/where\\_we\\_work/regions/africa/guinean\\_forests/Pages/default.aspx](http://www.cepf.net/where_we_work/regions/africa/guinean_forests/Pages/default.aspx). "Every grant helps implement an investment strategy found in the ecosystem profile for each region where we invest. Our grant recipients range from small farming cooperatives and community associations to international organizations. With our support, hundreds of civil society groups have achieved significant outcomes. For example, their efforts have influenced major governmental policies in dozens of countries and helped protect more than 10 million hectares of globally important land since the program's creation in 2000."

Previous Projects: [http://www.cepf.net/grants/project\\_database/Pages/default.aspx](http://www.cepf.net/grants/project_database/Pages/default.aspx)

Number of grants below 50000 USD in Central and West Africa 2004-2014: 2; Total value approx: 27,000 USD. , in the following countries: Guinea; Sierra Leone

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#### Darwin Initiative

Web: <http://www.darwininitiative.org.uk/project/location/region/sub-saharan-africa/>

Description: "The Darwin Initiative is a UK government grants scheme that helps to protect biodiversity and the natural environment in developing countries and UK Overseas Territories (Ots). Darwin-funded projects usually aim to help preserve biodiversity and the local community that lives alongside it. Most projects will include one or more of: - building environmental knowledge- capacity building- research- implementing international biodiversity agreements. Project funding in developing countries: Funding from the Darwin Initiative is available for projects that will benefit biodiversity and local communities in developing countries. There are 4 separate schemes: - main projects- post projects- scoping projects- fellowship awards"

Previous Projects: <http://www.darwininitiative.org.uk/project/location/region/sub-saharan-africa/>

Number of grants below 50000 USD in Central and West Africa 2004-2014: 13; Total value approx: 105,000 USD.

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#### Fondation Ensemble

Web: <http://www.fondationensemble.org/>

Description: - What are the eligible focus countries? In 2014, for our four focus sectors, the following countries are eligible: Mozambique, Cambodia, Laos, Ecuador and Peru. For proposals related to Sustainable Fishing and Biodiversity Conservation only, certain West African coastal countries are also eligible: Mauritania, Senegal and The Gambia for the 2015 Call for Proposals. The coastal areas of West Africa in this context include the coasts of Mauritania, Senegal and The Gambia, including river estuaries – deltas, in particular – as well as coastal lagoons and any ecosystem bordering the coast that is of ecological interest. For 'Threatened Animal Species' small grants projects, there are no country restrictions. The Foundation can provide funding to any non-profit organization engaged in project implementation in our focus sectors. Not only NGOs but also operating foundations, local authorities, research institutes, etc. are eligible to apply. - Is it correct that, in order to be eligible, an organization must have existed for at least three years and have a minimum annual budget of € 500 000? Yes, the organizations that implement the projects must be capable of managing large sums of money.



This requires proven experience and sound administrative and accounting tools. These rules do not apply to 'Threatened Animal Species' small grants projects, which are open to any organization, irrespective of annual budget, that has been in existence for at least two years.

Previous Projects: [http://www.fondationensemble.org/micprog\\_soutenus/Liste\\_micro\\_terminees\\_janv14.pdf](http://www.fondationensemble.org/micprog_soutenus/Liste_micro_terminees_janv14.pdf)

Number of grants below 50000 USD in Central and West Africa 2004-2014: 18; Total value approx: 356,000 USD. , in the following countries: Benin; Burkina Faso; Mali; Togo; Senegal; Republic of Congo; Gabon; Cameroon; Democratic Republic of the Congo

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Fondation MAVA pour la nature

Web: <http://en.mava-foundation.org/>

Description: "What We Look for in Project Submissions: About 65% of the MAVA funds to be allocated in 2013-2015 will be in the form of regional grants aligned to our strategy. Geographically, that means we support projects in the Mediterranean, Coastal West Africa and the Alpine Arc including all of Switzerland. Substantial, long-standing commitments in these regions have established MAVA as a key and credible conservation partner for local stakeholders and communities. Capitalising on these successes, and the long-term ties that bind them, gives us a base from which to tackle the many challenges still facing these important ecosystems."

Previous Projects: <http://en.mava-foundation.org/what-we-fund/list-of-projects/coastal-west-africa/>

Number of grants below 50000 USD in Central and West Africa 2004-2014: 5; Total value approx: 544,000 USD.

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Fonds Français pour l'Environnement Mondial-FFEM: Petits Projects PPI

Web: <http://www.ffem.fr>

Description: A programme to help civil society to : Carry out field projects in West and Central Africa, Madagascar,

Build up technical capacities for project processing, management and monitoring, Strengthen a network for monitoring small-scale projects in West and Central Africa, Strengthen its capacities to influence local and global environmental policies, Share and disseminate its experiences, lessons learned and success stories. Two calls for projects are issued each year. 15 to 18 of the best projects are selected following each call. The FFEM contributes to a maximum of €50,000 for each project. The grant covers a maximum of 50% of the total cost when the project is co-financed by international agencies or NGOs, and up to 75% when it is co-financed by local sources only (populations, local NGOs, local government or local financial partners).

Previous Projects: [http://www.ffem.fr/accueil/PPI/recherche\\_Projets-PPI/ppi-afrique-centrale-orientale-australe](http://www.ffem.fr/accueil/PPI/recherche_Projets-PPI/ppi-afrique-centrale-orientale-australe)

Number of grants below 50000 USD in Central and West Africa 2004-2014: 87; Total value approx: 5595,000 USD. , in the following countries: Burkina Faso; Benin; Central African Republic; Republic of Congo; Gabon; Mauritania; Niger; Senegal; Sao Tome and Principe; Cameroon; Democratic Republic of the Congo; Burundi; Ghana; Togo; Rwanda; Chad; Nigeria; Cape Verde; Guinea Bissau; Sierra Leone; Ivory Coast

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Global Environment Facility's Small Grants Programme

Web: <http://www.sgp.undp.org>

Description: Maximum 50,000 USD, duration 2-3 years. Initial application with a Concept Note.

Previous Projects:

[https://sgp.undp.org/index.php?option=com\\_sgpprojects&view=allprojects&limit=100&limitstart=0&paging=1](https://sgp.undp.org/index.php?option=com_sgpprojects&view=allprojects&limit=100&limitstart=0&paging=1)

Number of grants below 50000 USD in Central and West Africa 2004-2014: 2156; Total value approx: 65270,000 USD.

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Ramsar Small Grants Fund

Web: <http://ramsar.org>

Description: The opportunity to apply to the Ramsar Small Grants Fund is open once a year in spring. Projects may be proposed and implemented by any agency, NGO, or individual, but proposals MUST be endorsed and monitored by the Administrative Authority (the Ramsar implementing agency) in the Party's government. The Ramsar Small Grants Fund is intended to assist developing countries and those with economies in transition in implementing the Convention and to support the conservation and wise use of wetland resources, with a strong human and social dimension. Funds may also be used to provide emergency management assistance for Ramsar Sites under threat and to provide 'preparatory assistance' to allow non-Contracting Parties to progress toward accession when such needs arise. Eligibility criteria- The project proposal should contribute to the implementation of the Convention's Strategic Plan 2009-2015 for the conservation and wise use of wetlands- Your country is on the List of Aid Recipients established by the Development Assistance Committee (DAC) of the Organization of Economic Cooperation and Development (OECD)- The project proposal is endorsed by the Administrative Authority of your Country- The project proposal is submitted using the Ramsar form. The Secretariat's regional teams offer an advisory service to help with the preparation of suitable proposals.

Previous Projects: \_\_

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Rufford Foundation

Web: <http://www.ruffordsmallgrants.org/rsg/>

Description: "The Grant-Making Process: The Rufford Foundation provides a staged funding process with five different types of grant. In sequence, these are: Rufford Small Grant (up to £5,000). 2nd Rufford Small Grant (up to £5,000). Booster Grant (up to £10,000). Continuation Grant (up to £25,000). Completion Grant (up to £25,000). Applicants can apply for more than one grant but need to have completed a previous stage of funding before moving on to the next stage. For example, an applicant can only apply for a 2nd Rufford Small Grant after they have received a Rufford Small Grant"

Previous Projects: <http://www.rufford.org/rsg/map>

Number of grants below 50000 USD in Central and West Africa 2004-2014: 219; Total value approx: 1765,000 USD.

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#### Save Our Species (SOS) Fund

Web: [http://www.sospecies.org/sos\\_projects/apply\\_for\\_a\\_grant/](http://www.sospecies.org/sos_projects/apply_for_a_grant/)

Description: "Threatened Species Grants (25,000 to 800,000 USD) for which calls with specific Strategic Directions are issued on a regular basis. Projects above 200,000 USD will be awarded on an exceptional basis. Rapid Action Grants (up to 25,000 USD) support conservation actions in case of emergency situations. These grants are awarded to support a special class of projects aimed at addressing immediate threats that require targeted specific action, with high chance of generating rapid positive results."

Previous Projects: [http://www.sospecies.org/sos\\_projects/overview/](http://www.sospecies.org/sos_projects/overview/)

Number of grants below 50000 USD in Central and West Africa 2004-2014: 9; Total value approx: 1020,000 USD. , in the following countries: Ghana; Sierra Leone; Gabon; Mali; Guinea; Mauritania; Cape Verde; -Multiple Countries; Liberia; Ivory Coast; Nigeria; Cameroon

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#### The Conservation, Food & Health Foundation

Web: [http://cfhfoundation.grantsmanagement08.com/?page\\_id=6](http://cfhfoundation.grantsmanagement08.com/?page_id=6)

Description: "Incorporated in 1985, the Conservation, Food and Health Foundation seeks to promote the conservation of natural resources, improve the production and distribution of food, and improve health in the developing world. The foundation helps build capacity within developing countries in its three areas of interest with grants that support research or projects that solve specific problems. The foundation supports projects that demonstrate strong local leadership, promote professional development in the conservation, agricultural, and health sciences; develop the capacity of local organizations; and address a particular problem in the field. It prefers to support projects addressing under-funded issues and geographic areas. Geographic Focus: The foundation's geographic focus is the developing world. It prefers to support organizations located in developing countries or to developed country organizations whose activities are of direct and immediate benefit to developing countries. The foundation does not consider the states of the former Soviet Union or former Eastern Bloc countries as within its geographic focus. Fields of Interest the Conservation, Food & Health Foundation supports special projects and programs of nongovernmental organizations in three primary fields of interest: conservation, food, and health. Examples of areas of interest within these fields follow, but are not meant to be exclusive. Conservation grants help improve ecological and environmental conditions in the developing world. The foundation supports field research and related research activities, training, and technical assistance efforts that:- help conserve viable ecosystems and protect biological diversity in developing countries- train local leaders in conservation and protection of resources, with an emphasis on technical and scientific training...."

Previous Projects: [http://cfhfoundation.grantsmanagement08.com/?page\\_id=8](http://cfhfoundation.grantsmanagement08.com/?page_id=8)

Number of grants below 50000 USD in Central and West Africa 2004-2014: 22; Total value approx: 468,000 USD.

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#### The Mohamed Bin Zayed Species Conservation Fund

Web: <http://www.speciesconservation.org/case-studies-projects/>

Description: Grant maximum 25000 USD. "The Fund was established to support species conservation work, and so if your project is not about an endangered species it is probably not worth your while submitting an application. The Fund will use the IUCN Red list ([www.iucnredlist.org](http://www.iucnredlist.org)) as the primary guide to the conservation status of a given species, although documented variations for sub-species, distinct populations and sub-populations will be taken into account. Please note that this is a very competitive process and sadly the vast majority of applicants do not receive grants. The Fund has limited amounts of money to spend each year and receives far more applications for good projects than could possibly be supported. In 2013 just over 10% of applicants received any kind of a grant and around 1,400 were turned down."

Previous Projects: <http://www.speciesconservation.org/case-studies-projects/index.php>

Number of grants below 50000 USD in Central and West Africa 2004-2014: 71; Total value approx: 766,000 USD. , in the following countries: Guinea; Ghana; Nigeria; Ivory Coast; Mauritania; Sierra Leone; Burkina Faso; Sao Tome and Principe; Togo; Cape Verde; Liberia; Saint Helena; Cameroon; Benin; Senegal; Chad; Niger; Burundi; Gabon; Rwanda

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#### The Veolia Foundation

Web: <http://fondation.veolia.com/en/>

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Description: Ten years after it was created, the Foundation is embarking on a radical shift in a world that is itself in constant flux. For environmental conservation and biodiversity projects, we will focus more particularly on restoration of very degraded coastal and sub-Saharan eco-systems. Nature of the projects The Foundation acts within the framework of corporate philanthropy to support community-oriented, not-profit initiatives in Environmental conservation and biodiversity .... Unlike other types of sponsoring or patronage, no commercial gain is sought in return for the financial assistance granted. Project leaders They are generally international outreach organizations (NGOs), structures active in the social and inclusive economy, and institutions. The Foundation does not award grants for projects that are personally led by a Company employee. Employee involvement The Foundation only supports projects that are sponsored by a Veolia employee. It pays close attention to the technical and financial feasibility of each project, the experience of the project leader and the quality of its partners. It gives priority to projects that are original, set an example and can be replicated. Nature and amount of the grant The Foundation considers all requests, regardless of scale. There is no maximum or minimum limit to the amount of the grant, which is intended to supplement public subsidies or other private grants and the organization's own resources. The Foundation's aim is to give project leaders additional leverage through grants intended primarily to cover investment expenditures, whether tangible or intangible, rather than salaries. Guided by a desire for social innovation, the Foundation supports experimental initiatives and feasibility studies to contribute to the emergence of ambitious new projects. Selection of projects After examination by the Foundation, the projects are submitted to the Selection Committee (for grants of under €150,000) or the Board of Directors (for grants above €150,000). They decide which projects will be supported and the amount of the grant.

Previous Projects: <http://fondation.veolia.com/en/actions/projects/>

Number of grants below 50000 USD in Central and West Africa 2004-2014: 5; Total value approx: 277,000 USD. , in the following countries: Cameroon; Mauritania; Senegal; Togo

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#### Whitley Award

Web:

Description: "Whitley Awards are worth £35,000 GBP in conservation funding to be spent on projects over a period of one year. Up to eight Whitley Awards will be available in 2015."

Previous Projects: <http://whitleyaward.org/winners/>

Number of grants below 50,000 USD in Central and West Africa 2004-2014: 8; Total value approx: 392,000 USD.

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Finding: About 15 programmes were identified which have given 5 or more small grants to environmental projects in the Region in the last 10 years.

## Appendix V. List of face-to-face interviews and field visits

### List of contributors

Organisation	Interviewer	Country	Location	Name	Date
GEF Grantee A Rocha: Community Mangrove Restoration and Sustainable Utilization of Natural Resources	SP	Ghana	Muni-Pomadze Ramsa Site, Winneba	Jacqueline Kumadoh	3.10.14
Forestry Commission (Wildlife Division)	SP	Ghana	Muni-Pomadze Ramsa Site, Winneba	Andrews Agyekumheue	3.10.14
GEF Grantee - Restoration of Degraded Lands through Sustainable Land Management, Biodiversity Conservation and Sustainable Livelihood Activities	SP	Ghana	Ga West Municipality	Josephine Agbo-Nettey	9.10.14
GEF Grantee - Community-based waste management to prevent open burning and release of Persistent Organic Pollutants; and management of pesticide among Vegetable producers	SP	Ghana	Kasoa	Elizabeth Ewuraesi Jeffrey-Amoako	7.10.14
IUCN	SP;LM	Burkina Faso	Ouagadougou	Sébastien Regnaut	27.09.14, 05.10.14
IUCN/PPI West Africa	SP;LM	Burkina Faso	Ouagadougou	Arsène Sanon	29.09.14
IUCN/TCAO West Africa	SP	Burkina Faso	Ouagadougou	Clémentine Laratte	29.09.14
ASE (Association pour la Sauvegarde de l'Environnement)	SP and LM	Burkina Faso	La Toden	René OUIBGA	29.09.14
AFAUDEB (Association Faune et Développement au Burkina)	SP	Burkina Faso		Alexis KABORE	30.09.14
Nature Conservation Research Centre	SP	Ghana	Accra	John Mason	08.10.14
GEF Niger operational focal point	LM	Niger	Niamey	Seydou Yaye	02.10.14
GEF Ghana	SP	Ghana	Accra	George Ortsin, Anna Mensah	07.10.14
DGESS/Coordination nationale du PASF	SP	Burkina Faso	Ouagadougou	Fabien Pousse	1.10.14
Swiss Development cooperation (SDC)	SP	Burkina Faso	Ouagadougou	Laurence von Schulthess	30.09.14
OFINAP (Office National des Aires Protégées)	LM	Burkina Faso	Ouagadougou	Amade Ouedraogo	30.09.14
GEF small grant programme in Burkina Faso	LM	Burkina Faso	Ouagadougou	Rosalie Congo	30.09.14
W. Niger National Park.	LM	Niger	W Park	Mr. Zoumari Salifou	01.10.14
Swiss Development cooperation (SDC)	LM	Niger	Niamey	Stefano Berti	01.10.14 and 02.10.14

## Fieldwork methods

Countries for field visits were determined on the basis of the table of grants awarded, and unfortunately, on the Ebola situation. Field visits were not intended to gather data representative for all the countries but rather to look at individual case studies and to explore in-depth some of the themes emerging from the research. A variety of kinds of data types were gathered in order to improve triangulation of evaluation findings.

A questionnaire was prepared with relatively global questions, equivalent to the web questionnaire on page 78.

To interview respondents (face-to-face and telephone), these questions were asked directly, in a semi-structured way, and not in paper-and-pencil form.

These same questions were also given to a wider group of respondents via an online questionnaire. Each question also asks the respondent to elaborate giving evidence for and comments on each question, though these will be optional in the online version.

Numerical analysis of this data can also highlight differences in opinion between kinds of respondent, see page 78.

Emails were sent to all the organisations with an email address in : - NGO Brochure Overview of environmental and forestry sector NGOs in Ghana (December 2008, Tropenbos International Ghana) - 29 out of 69 were returned as permanent failures.

In addition to the standard questions, more sophisticated hypotheses were developed, refined, and presented to respondents as the research proceeds. Emerging questions were built upon the detailed answers given by respondents to the standard questions.

On-site inspection. Field trips (see above) allowed more thorough on-site inspection of a few key projects and more in-depth exploration of preliminary hypotheses.

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## Appendix VI. Author profiles

Dr. Steve Powell has a PhD in psychology and specialises in social research, in particular in monitoring and evaluation of a wide variety of different programmes in development and disaster relief.

Dr. Laurent Mesbah is a French native-speaker with a PhD in Plant Genetics, with an MSc in Molecular Biology and a Certificate of Advanced Studies in Environmental Diplomacy.

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Regional Office  
Central and West Africa Program (PACO)  
01 PO Box 1618 Ouagadougou 01  
Burkina Faso  
Phone +226 25 40 99 42  
E-mail: [paco@iucn.org](mailto:paco@iucn.org)  
[www.iucn.org/paco](http://www.iucn.org/paco)