IFAW

OPEN
STANDARDS

GUIDE FOR LEARNING AND IMPLEMENTATION

2016

IFAW

The International Fund for Animal Welfare
saves individual animals, animal populations
and habitats all over the world.

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2016

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IFAW Open Standards Module One

1.0: *IFAW OPEN STANDARDS –* BACKGROUND

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IFAW Open Standards – Background

OVERVIEW AND OBJECTIVES

Summary

The *IFAW Open Standards for the Practice of Conservation (Open Standards)* is a planning and adaptive management framework that has been adapted by IFAW, and used by conservation and development organizations around the world. In this introductory lesson, you will explore the history and creation of the *Open Standards* as well as key components of good project planning and management.

By the end of this lesson you will be able to:

✔ Name the five main steps of the *Open Standards* cycle.
....

✔ Identify key benefits of adopting the *IFAW Open Standards.*
....

✔ Describe the principles of adaptive management.
....

✔ Identify differences and similarities between previous IFAW planning and *IFAW Open Standards.*

Activity 1.0.1: Introductions

Prepare answers to the three questions about yourself, as given to you by the instructors. Rotate in pairs for brief, introductory conversations.

Group discussion

Activity 1.0.2: Steps of the *Open Standards*

Work in your teams to put the steps of the *Open Standards* in order.

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Overview of the *Open Standards*

The *Open Standards* bring together common concepts, approaches, and terminology in project design, management, and monitoring in order to help **practitioners** around the world improve their work. In particular, these standards are meant to provide the steps and general guidance necessary for successful implementation of conservation, animal welfare, and development projects.

The *Open Standards* were developed when a community of practitioners and organizations came together as the **Conservation Measures Partnership (CMP)**, wanting to make the most of their extensive experience gained in designing, implementing and appraising their projects. As a result, they developed the **adaptive management** project planning cycle called *the Open Standards for the Practice of Conservation*. Often referred to as simply *"Open Standards"* and referenced throughout this book as the *IFAW Open Standards*, this planning cycle continues to evolve as organizations adopt and adapt the *Open Standards*, learning and sharing their experiences with each other.

[1]The text for the Overview of the *Open Standards* borrows heavily from introductory text to the *Open Standards for Conservation*, Version 2.0, available at *www.conservationmeasures.org*.

The *Open Standards* clearly outline what is needed to achieve quality project management, and provide a transparent basis for a consistent and standardized approach to external evaluation of projects. However, these standards are less a recipe that must be followed exactly and more a framework or guidance for conservation and animal welfare action.

Many member organizations within the CMP have worked hard to operationalize the *Open Standards,* and their efforts have been a driving force behind the standards becoming a common and accepted practice within the global conservation and development communities. Member organizations have been adapting the standards to their unique contexts and needs for a variety of projects and programs around the world.

Moreover, the **Conservation Coaches Network (CCNet)** and its regional franchises are increasingly serving as a mechanism to promote and refine the *Open Standards* globally. This wide-scale application of the *Open Standards* has provided CMP with helpful feedback and suggestions for improvement—much of which is reflected in Version 3.0 of the *Open Standards*, released in 2013.

The *Open Standards* have also served as the framework for the development of the ***Miradi* Adaptive Management Software Program** (**Box 1.0.1**). Most of the figures throughout these guides were generated with *Miradi*. The software walks practitioners through several steps of the *Open Standards*, and you will use *Miradi* for many of the assignments in this guide.

Box 1.0.1: Miradi Adaptive Management Software

Miradi, which means "project" in Swahili, is a continuously evolving software program that helps project teams implement Open Standards. Miradi guides users through a series of steps to conduct analysis, and helps teams capture their work by providing a way to document the outcomes and outputs of their project planning process. CMP representatives and Sitka Technology Group are leading the ongoing development of Miradi.

If you haven't yet downloaded your copy of the Miradi software, contact Helpstar@ifaw.org

Steps in the *Open Standards*

The *Open Standards* are designed to provide practitioners with the step-by-step guidance needed for the successful implementation of conservation, development, and animal welfare projects.

The *Open Standards* involve five steps that comprise the project management cycle (**Figure 1.0.1**):

1: CONCEPTUALIZE what you will achieve in the context of where you are working.

2: PLAN both your **ACTIONS** and **MONITORING**.

3: IMPLEMENT both your **ACTIONS** and **MONITORING**.

4: ANALYZE your data to evaluate the effectiveness of your activities. **USE** your results to **ADAPT** your project to maximize impact.

5: CAPTURE AND SHARE your results with key external and internal audiences to promote **LEARNING**.

These main steps and the planning tools that support them have been adapted to IFAW's needs and, as such, all future references to the *Open Standards* for this workbook will be called the *IFAW Open Standards*.

1. Conceptualize
- Define planning purpose and project team
- Define scope, vision, targets
- Identify critical threats
- Analyze the conservation situation

5. Capture and Share Learning
- Document learning
- Share learning
- Create learning environment

Conservation Measures Partnership Open Standards

2. Plan Actions and Monitoring
- Develop goals, strategies, assumptions, and objectives
- Develop monitoring plan
- Develop operational plan

4. Analyze, Use, Adapt
- Prepare data for analysis
- Analyze results
- Adapt strategic plan

3. Implement Actions and Monitoring
- Develop work plan and timeline
- Develop and refine budget
- Implement plans

Figure 1.0.1: CMP *Open Standards* Project Management Cycle Version 3.0

Although CMP and this guide present the *IFAW Open Standards* as a sequential series of steps, the entire process is rarely applied in a linear fashion from start to finish. Instead the steps are a rough approximation of the more complex series of back-and-forth movements that a project goes through. Moreover, the *IFAW Open Standards* are not meant to be a rigid set of standards that every project must blindly follow, but rather a set of best practices that practitioners can use to make their work more effective and efficient. You will be working through each of these steps as you go through the development and planning of an IFAW project.

The *IFAW Open Standards*

IFAW recognized the need for a more rigorous and effective system of planning, and after a 2-year piloting and testing phase chose to adopt the *Open Standards* to meet IFAW's needs. We created the *IFAW Open Standards* for a number of practical and institutional reasons:

- It offers a results-based, adaptive management approach to project monitoring and evaluation (PME).

- It is a rigorously tested industry standard adopted by NGOs, funders, and government agencies around the world (3.0 version).

- The use of common terminology promotes communication and shared learning.

- The inclusion of human wellbeing aligns with IFAW's commitment to working with people and communities.

- It allows for customization that meets IFAW's unique approach to animal welfare and conservation.

- It is aligned with robust communities of practice including the Conservation Measures Partnership and the Conservation Coaches Network.

- It provides for a rigorous monitoring and evaluation framework required to secure restricted funding opportunities.

Using the *IFAW Open Standards* will allow staff to develop specific adaptive management, project planning, and monitoring and evaluation skills that will support the implementation of impactful, successful, and funded projects.

▶ Presentation 1.0.1: Background on the *Open Standards*

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Activity 1.0.3: Adapting and Learning

Working in pairs, follow directions to improve the activity or object which you've been given.

Group discussion

What is Adaptive Management?

The *IFAW Open Standards* is an **adaptive management** approach and process that helps project teams systematically plan their projects, determine if their projects are on track, why they are on track or not, and what adjustments they need to make. Adaptive management is the integration of design, management, and monitoring to systematically test assumptions in order to adapt and learn.

To be successful a project must be based on both sound project assumptions (theory) and good implementation. Consequently, as shown in **Figure 1.0.2**, projects may also fail for several reasons. For example, project teams are often not explicit about the assumptions behind the strategies they choose and when their projects do not produce desired results the conclusion is often that the project team did not do a good job implementing strategies. However, a project team can do an excellent job implementing project activities but projects may not succeed due to theory failure. An adaptive management approach helps teams plan their projects so they can trace their success and failures back to poor theory, poor implementation, or a combination of the two.

SUCCESS!

| Accurate assumptions | Used to design → | Well-implemented project | Leads to → | Desired results |

THEORY FAILURE

| Inaccurate assumptions | Used to design → | Well-implemented project | Does not lead to → | Desired results |

PROGRAM FAILURE

| Accurate assumptions | Used to design → | Poorly-implemented project | Does not lead to → | Desired results |

TOTAL FAILURE!

| Inaccurate assumptions | Used to design → | Poorly-implemented project | Does not lead to → | Desired results |
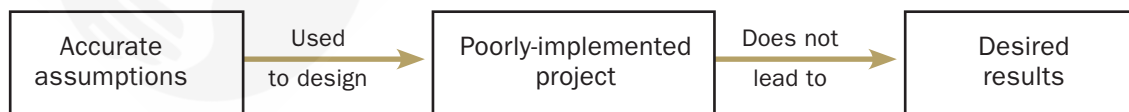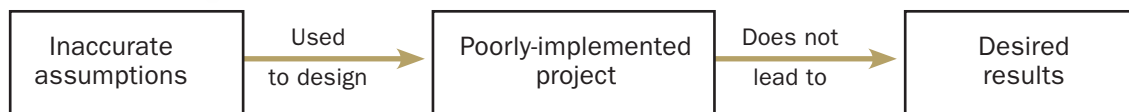
Source: Margoluis and Salafsky (1998)

Figure 1.0.2. Necessary Ingredients for Project Success

The adaptive management process proposed by the *IFAW Open Standards* is designed to help teams and managers develop accurate assumptions that support a well-implemented project leading to desired results. Teams and managers plan, revisit, and continually improve their work, and there is emphasis on learning from both success and setbacks. The primary aim is to improve conservation and animal welfare projects on the ground, but donors and other external audiences are also interested in seeing project learning and adaptation.

Adaptive management requires that project teams explicitly identify the assumptions under which they are operating and then systematically test each assumption to see if it holds in their project context. This explicit and systematic testing of assumptions is the key facet that helps project teams uncover *why* they have project successes and setbacks.

IFAW Open Standards Adaptive Management Principles

Conservation and animal welfare projects take place in complex systems influenced by biological, political, social, economic, and cultural factors. Practitioners operating within these complex systems must make important project and program decisions, yet they often have limited information and must operate in the face of uncertainty. Adaptive management supports these challenges by providing a method for making more informed decisions about strategies, testing their effectiveness, and improving them through ongoing learning and adaptation. Generally, adaptive management can be described by looking at its three components:

TESTING ASSUMPTIONS are about systematically trying different actions to achieve a desired outcome. It is not a random trial-and-error process. Assumption testing involves:

1: Thinking about the situation at your project site.

2: Identifying what is occurring at your site and what actions might be used to reduce problems, overcome challenges, or take advantage of opportunities.

3: Outlining the assumptions about how you believe your actions will help you achieve your goals and objectives.

4: Implementing these actions and monitor the actual results to see how they compare to the ones predicted by your assumptions.

The key is to develop an understanding of not only which actions work and do not work, but also why they work or do not work.

| Consider Situation | Identify Actions | Document Assumptions | Monitor Results |
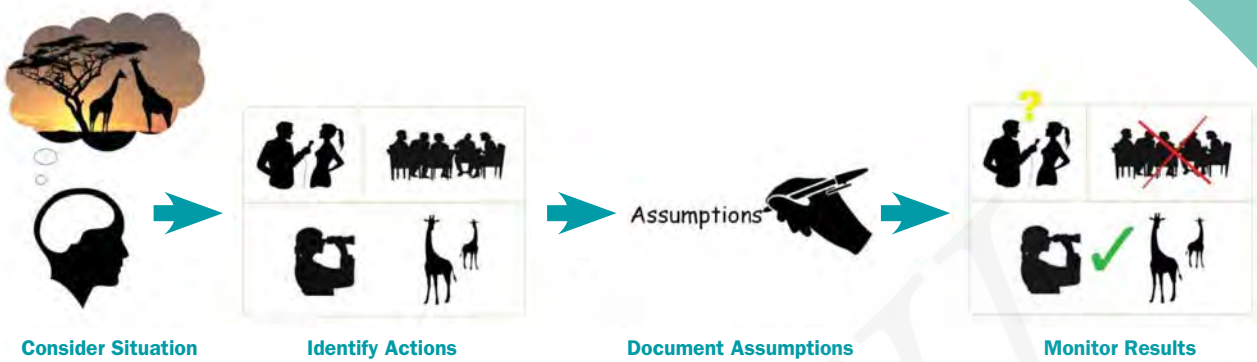
Figure 1.0.3 Testing Assumptions

Adaptation is about taking action to improve your project based on the results of your monitoring. If your project actions did not achieve the expected results, it is because:

- The assumptions were wrong.
- The actions were poorly executed.
- The conditions at the project site have changed.
- The monitoring was faulty.
- Some combination of these problems.

Adaptation involves changing your assumptions and your interventions to respond to the new information obtained through monitoring efforts.

| Consider New Information | Change Assumptions | Revise Actions |
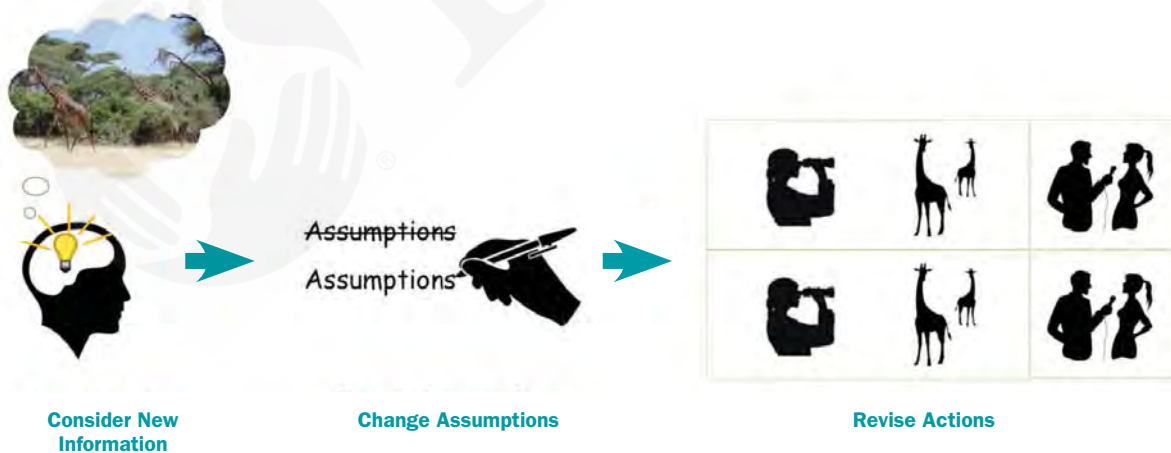
Figure 1.0.4 Adaptation

Learning is about systematically documenting your team's planning and implementation processes and the results you have achieved. This documentation will help your team avoid making the same mistakes in the future. Furthermore, sharing these lessons will enable those in the broader conservation and animal welfare communities to benefit from your experiences. Other practitioners are eager to learn from your successes and failures so that they can design and manage better projects and avoid some of the perils you may have encountered.
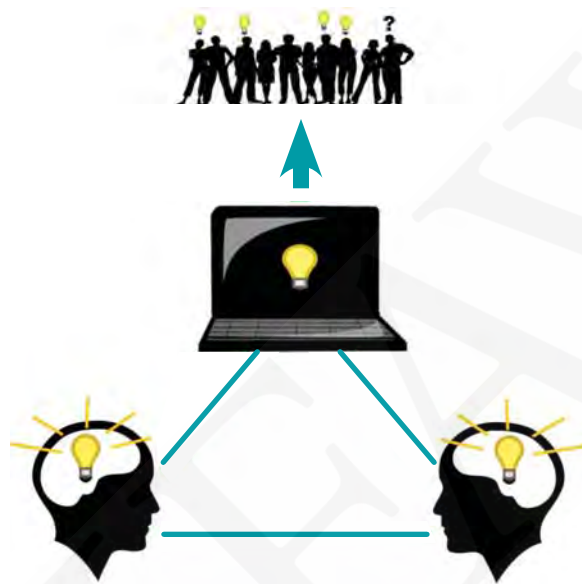
Figure 1.0.5 Learning

By using the *IFAW Open Standards*, project staff at all levels can have:

- Greater confidence that they are addressing the right conservation or animal welfare problems.

- An ability to adaptively manage their project.

- Mechanisms to share with others what works and what does not work.

- More effective tools to communicate to investors and constituents that they are improving the way they manage projects, applying what they learn within their teams as well as from others.

▶ Presentation 1.0.2: *IFAW Open Standards* **Principles and IFAW**

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Activity 1.0.4: What is *IFAW Open Standards* Adaptive Management? A Case Study

STEP 1: Work on your own to review the lesson content on IFAW Open Standards and Adaptive Management Principles

STEP 2: Work with your table to review the case study provided and discuss the following questions:

- Were the IFAW *Open Standards* adaptive management principles being applied in this example? If so, in what ways? In what ways were they not being applied?

- If you were running this project, what are some things you might do differently?

- Based on what you currently know about the IFAW *Open Standards*, what benefits might there be in applying this framework to the example? Feel free to refer back to your *Open Standards* planning cycle.

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IFAW's Previous System

IFAW's previous approach, "Making Impact," was an organization-wide training program that aimed to standardize campaigning approaches by ensuring that existing and acquired skills, knowledge, and methodology were distributed throughout all functions and departments.

"Training camps" were the fundamental module of the Making Impact training program where colleagues from all over IFAW came together to develop campaigning skills that included: team work and decision-making, problem analysis, integrated campaigning, power analysis, developing a campaign plan, and an introduction to evaluation.

Making Impact was successful in breaking down barriers between departments. Integrated training sessions brought people together, aligning them on skill-sets and creating inter-departmental linkages. And for the first time, a common project plan template was used by program staff.

Making Impact's strength in breaking down barriers to internal communication was also its greatest challenge. Because the program was intended to reach a broad internal audience it was not tailored to specific individual and team skill levels and context. Despite training, project planning and management skills remained uneven across program staff. In the years since, staff members have continued to use the framework and template in various ways to plan and document their work.

Activity 1.0.5: What's the Same, What's Different?

STEP 1: Work on your own to review the lesson content on previous planning approaches at IFAW. Take out your copy of the IFAW *Open Standards* Case Study Plan (CSP) and spend some time reviewing.

STEP 2: Circle all of the things that are similar to project plan components you've had in the past. Once complete, share your findings with the broader group.

STEP 3: Now go through and star anything that is unfamiliar. Once complete, sharing findings with the broader group.

Group discussion

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Introduction to IFAW projects, *Miradi*, Team, Project Context, Scope, and Vision

OVERVIEW AND OBJECTIVES

Summary

The first step when initiating project planning is to think about the context of the project and conditions that have led to planning. Teams should also consider their vision for the changes they would like to see, as well as the area in which the project will be implemented and any species that may be specifically impacted. These steps help orient planning efforts large and small and ensure relevant, involved staff are aligned on what the team is trying to accomplish. During these steps, you can also start using *Miradi* to track your team's discussions and record key decisions and outputs.

By the end of this lesson you will be able to:

✓ Identify what constitutes an IFAW project
....

✓ Identify your project team
....

✓ Identify project description and purpose will planning your project
....

✓ Work with your project team to discuss project context and vision, and to define scope
....

✓ Use *Miradi* to capture planning discussions and outputs

DIFFERENT TYPES OF IFAW PROJECTS AND REQUIREMENTS

▶ Presentation 1.1.1: *IFAW Open Standards Planning Requirements*

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What is an IFAW Project?

A **project** is a set of actions aligned along a common focus that are undertaken by a defined group of practitioners—including managers, researchers, community members, or other stakeholders—to achieve defined goals and objectives.

Multiple projects roll up into a program which similarly aligns them along a common focus, such as an overarching strategy or **theory of change**, which is a comprehensive description and illustration of how and why a desired change is expected to happen in a particular context. At IFAW, "project" can also be used in place of the term "campaign".

Expectations for Different Sizes or Types of Projects

Projects at IFAW vary tremendously in their size, scope, and context. As a result, not every project will require the exact same components within the project plan. While all projects will require certain essential elements, some other elements will be optional and dependent on project needs as well as level of funding. These requirements are relevent to IFAW's adoption of the Open Standards in the first year and may change over time.

Essential Elements

Below is a list of the essential elements of any *IFAW Open Standards* project plan. While many of the items listed may be unfamiliar right now, they are offered here as a reference as you move forward.

- Date of authorship
- Programs involved
- Brief background/summary of project context
- Project scope
- Direct threats
- Research questions and uncertainty
- Results chain(s)

- Work plan and budget
- Contact person
- Image from project
- List of team members
- Animal targets
- Conceptual model
- Strategies
- Table of objectives, indicators, and activities

Optional Elements

Any components that are "optional" depend on the project context, the specific planning needs, and/or the size of the project budget. As with the list of "essential elements," you will see many terms that are new, but that will become familiar and can serve as a reference for your planning efforts later on.

Some elements depend on the <u>context of the project and elements of the plan</u>:

- **HUMAN WELLBEING:**
  - Human wellbeing targets are needed if they are relevant to the project context, funders, or partners.
  - Human wellbeing goals are needed if they will enhance project monitoring.
- **SIMPLE THREAT RATING:** A rating of threats is necessary if there are more than two.
- **ANIMAL WELFARE:** Stresses should be included if they exist in the project context.
- **STRATEGY RANKING:** A ranking of strategies is needed if there are more than two.

Some elements depend on whether or not the program is species-based. The two elements listed below are only required if the program is focused on a particular species:

- **VIABILITY ASSESSMENT**

- **TARGET GOALS**

Some elements depend on the size of the project budget. The two elements listed below are only required if the project budget is greater than $250,000 in one fiscal year:

- **PLAN FOR MONITORING AND EVALUATION:** This comprehensive monitoring plan must be developed with a monitoring expert and will involve research and sampling designs for key animal, habitat, social, or ecological indicators.

- **DATA ANALYSIS AND ADAPTIVE MANAGEMENT PLAN:** Data analysis must be done in collaboration with a monitoring and evaluation expert, and the plan for adaptive management should demonstrate how the results of monitoring efforts will be used to systematically learn and adapt project planning and implementation efforts.

It's important to note that in developing the "essential elements" of your *IFAW Open Standards* plan, you will be laying a foundation for project monitoring, regardless of the size of your budget. All project teams are encouraged to collect data, monitor, and evaluate their projects, even if it is not mandated based on the size of project budget. All project teams are also encouraged to develop their plans with the support of monitoring experts but it will not be required until future years. Even without formal plans for monitoring and evaluation, projects with smaller budgets will benefit from work plan and activity monitoring, which is explored and explained later in the guide.

Project Planning Requirements Summary

Below is a table that summarizes the required elements of an *IFAW Open Standards* project plan. These requirements may change over time, but are relevant to the first year of IFAW's adoption of the Open Standards. Mandatory and optional requirements are based on the size of the project budget:

TYPE	ANNUAL BUDGET	MANDATORY	OPTIONAL	EXAMPLE
Large project	>250K USD	Essential and Optional Elements (as relevant) Plan for M&E	.	Amboseli Landscape; China Demand Reduction
Medium Project	50-250k USD	Essential and Optional Elements (as relevant)	Plan for M&E	Playa del Carmen Dog and Cat Project; PWTT Trainings; End Canadian Seal Hunt
Small Project	<50K USD	Essential Elements	Plan for M&E Optional Elements (as relevant).	US Big Cats; Blijf van min Dier; EU Wildlife Trade Policy; Fox Hunt; Pangolin

INTRODUCTION TO *MIRADI*

In the pre-work, you were exposed to the basic functioning of *Miradi* and were able to navigate some key components of the software. Now it's time to apply some of those skills to your project! Throughout the project planning process, you will be using *Miradi* to record key elements and outputs as you go through the remaining activities. Let's get started…

Activity 1.1.1: Introduction to *Miradi* – Project Summary

STEP 1: Open up the software program *Miradi* (Follow instructor lead).

STEP 2: Create a new project from scratch and name your file using a title that works for you, then *Miradi* will take you to Project Summary.

STEP 3: In "Project Summary", fill out "Project Name" and "Project Effective Date".

STEP 4: Review the other aspects of the Project Summary to get a sense for where you are going. We will be revisiting this and other tabs throughout this lesson.

CORE PROJECT TEAM

The first step in planning is to be clear about who is on your project team. Initially, you may start with a small **core team** to launch the planning process. These team members should have important skills and a solid knowledge of the context within which the project will take place. Over time, you will likely grow the team to include others with specialized knowledge and/or skills, or with access to resources and contacts that will be necessary for you to successfully implement your project.

Who is on your team is an important decision and will impact the direction of your project. The members of your team will influence various factors including: roles and responsibilities, expertise, work planning, understanding of context, as well as levels and types of investment.

HOW TO DEFINE YOUR PROJECT CORE TEAM

1. Determining core team

Your core team is comprised of the individuals most responsible for managing and implementing a project. To determine the core team, bring together the people who are charged with initiating or managing an existing project, or first begin by drafting on your own. Then, brainstorm all of the people who will have significant influence over the project and their role, whether as an expert, project manager, key implementer, or decision maker. This is your core team.

2. Highlight key expertise and roles

Where possible, work with the team to identify the roles and responsibilities of key members. If critical decisions can be anticipated in the short term or ongoing basis, highlight those individuals that will serve as key decision makers, and what they will be responsible for deciding.

3. Missing expertise

As you go through the project planning effort, think about whether you have the right expertise, knowledge, and insights on your core team. Think about how you might engage or find missing expertise to ensure your project is a success.

Activity 1.1.2: Core Team

STEP 1: Review lesson content on Core Team

STEP 2: Using the recommended steps and the IFAW CSP as a guide, brainstorm all of the people who you believe are on your team and what skills they bring. Work with other team members to develop this list if they are available.

STEP 3: Use the *"Miradi* Project Summary: Team" tab to fill out relevant information about your team. "Create Member" for each new team member.
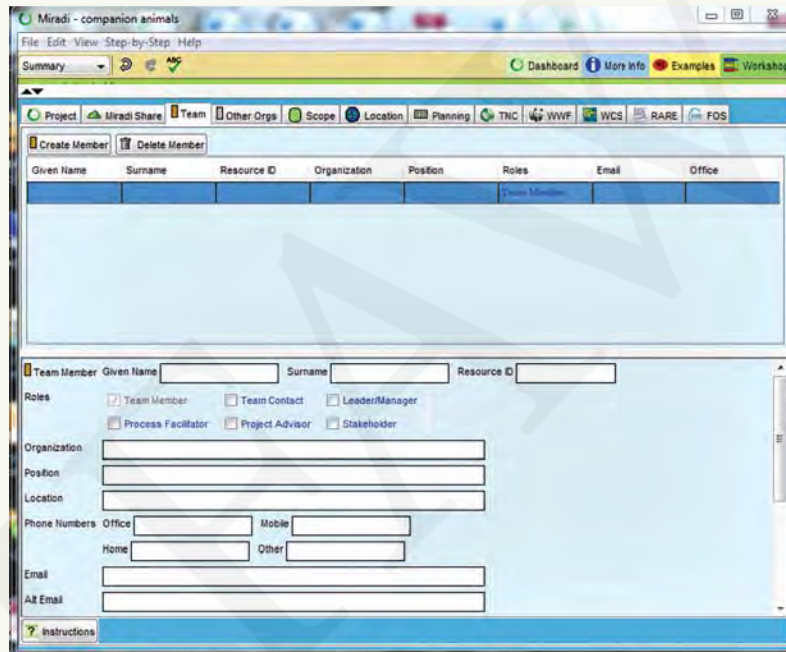
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PROJECT DESCRIPTION AND CONTEXT

You and your team have likely discussed the conditions under which you are planning and different aspects of the project, even before planning has officially begun. Ensuring everyone on the team has a common understanding of the planning conditions and context is an important initial planning step, and helpful to document as it allows someone reading your project plan to understand, at a high level, why the project is being undertaken. This information is what forms your **project description and context**, which is a general overview of the internal and external conditions under which the project is occurring. In drafting your project description and context you may want to review some of the following questions with your team.

First, it can be helpful to review the conditions within IFAW that impact your team's planning efforts. Key questions may include:

- Are there any key decisions that have already been made about the project? If so, what are they and how do they influence the project and planning process?

- What types of resources, both financial and technical (staff) are available for this project?

- What is our overall direction?

- Are there specific priorities to consider?

- Is there potential for integration of other IFAW programs?

- What are the key time frames for project/program planning?

- What opportunities exist for fundraising and IFAW branding efforts?

It is can also be helpful to review materials about external conditions, which may include the history and experiences of people, the history of the local environment, and previous or current activities by other organizations or stakeholders. There are often materials or resources that can be shared *prior* to project planning that will allow team members to enter the planning process with a shared understanding of certain issues and conditions. The content of these materials and resources should be objective and may include:

- Data collected from the project site and related reports.

- Journal articles relevant to conditions within the project.

- Articles or reports documenting the history and experiences of people.

- Articles or reports documenting the history and status of the local environment.

- Information about previous or current activities by other organizations or stakeholders.

Later on in the planning process you will be spending significant time exploring the external project context, impacted habitats and species, in detail. Right now, you are just exploring previous project conditions generally to help your team start the planning process from a similar point of understanding.

If this is the first time you are planning for your project, writing a project description and context may take more time than if you are engaging in ongoing planning and implementation. Especially if it is a new project for the team, you may find that it is easier to write your project description *after* you have completed other steps in the *IFAW Open Standards*. This is a step you may easily come back to and update later, before finalizing your plan.

Activity 1.1.3: Planning Context

STEP 1: Work on your own to review lesson content on planning description and context and any pre-reading assigned to your project.

STEP 2: Work with your team members to discuss and record the planning context using the list of key questions in the lesson content to guide your discussion as well as any relevant pre-work.

STEP 3: Record any key relevant decisions or discussions in "*Miradi*: Project Summary".

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VISION

Before projects can be planned in detail it is helpful to get your team aligned on what the project is working to accomplish. In *IFAW Open Standards* this is the project **vision**, which is the desired state or ultimate condition that the project is working to achieve.

Vision is typically expressed as a **vision statement**, which is a clear and brief summary of the vision articulated by project team members and their partners. Defining a vision enables the core project team members to discuss and agree on what the broad purpose of their project will be. However, what's most

important about visioning is the discussion that occurs between team members. The statement is just an output of this conversation.

For most conservation projects, the vision will describe the desired state of the biodiversity or resources in the project area, although it will often reference stakeholder interests as well. A vision for an animal welfare project might describe positive aspects of animals' care or their welfare in target areas or communities. Your project's vision should guide your project team and help you communicate what you are trying to accomplish to outside stakeholders.

Although this sounds like a relatively easy task, many teams struggle to agree on a clear, focused, and concise vision. To guide your thinking there are some criteria that can be used to define a good vision statement:

- **RELATIVELY GENERAL** – Broadly defined to encompass a wide range of potential project activities

- **VISIONARY** – Inspirational in outlining the desired change in the state of the animals or habitats the project aims to protect or conserve.

- **BRIEF** – Simple and succinct so that all project participants can remember it

If you are part of a multi-sectoral team, then you may find it challenging to draft a shared vision statement. For example, if there are members of your project team (including partners) who believe that the ultimate vision of the project should not be biodiversity conservation or improving animal welfare, but instead other aims such as "improving human wellbeing" or "conserving open space," then agreeing on a vision becomes a much more difficult exercise. This is especially challenging if realizing different visions ultimately requires implementing different (and potentially conflicting) strategies. If necessary you can go through a much more formal process of developing a vision statement that might include:

1: Soliciting unique submissions from individuals on paper.

2: Crafting a draft proposal based on the submissions, attempting to include elements of the major ideas in the submissions.

3: Vetting the draft with the larger group.

4: Redrafting the vision statement.

5: Securing final approval by the group.

While a vision statement is a meaningful component of a project plan, it is more important for a team to have a productive discussion about their vision rather than spend many hours creating a perfectly articulated vision *statement* together. Many teams find it helpful to take a bit of time to agree on key phrases or words related to their vision, and then allow one team member or two to later draft the full statement and share it back with the team for review and finalizing. This latter step can easily be done remotely.

Activity 1.1.4: Visioning for Your Project

STEP 1: Use your whiteboard paddle to answer the two questions given by the instructor.

STEP 2: Brainstorm various words or phrases you think capture the essence of your vision.

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STEP 3: Discus key elements of the vision that are important.

STEP 4: Determine some key words or phrases that should be included in the vision.

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STEP 5: Put any key insights and elements into the Vision text box under the "Scope" tab in _Miradi_.

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Activity 1.1.5: What is Scope?

Guess what the instructor is drawing on the flipcharts.

Group discussion.

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SCOPE

Defining your **project scope** is also an important first step in the planning process, and defines the broad parameters of the project. A clear scope sets the rough boundaries for what the project will attempt to do, and can be defined as either a thematic scope, or a thematic scope with geographic focus.

A **thematic scope** includes efforts to address specific species, animal welfare, or conservation threats. Thematic scope can also operate under some broad geographic boundary, which means that the focus is on a problem or species in a certain area. When the scope is also confined by geographic location, it is a **thematic scope with geographic focus**.

A project with a thematic scope to decrease the threat of elephant poaching for tusks makes it clear that the project team will focus only on elephants (not rhinos or other horned or threatened species) and that it is concerned about the poaching of elephants for tusks. In reality, there may be some fuzzy boundaries, but a project scope should help a team focus its efforts and provide valuable alignment between projects and program.

If there is any doubt about the basic scope of your project, then discuss the options with the members of your project team and see if you have at least a general consensus. If you cannot arrive at some basic consensus, then you need to seriously consider whether you should split into multiple projects.

Here are some examples of potential IFAW project scopes:

1: COMPANION ANIMALS: Dogs in targeted Bosnian communities

2: WILDLIFE TRADE: Illegal wildlife trade in Europe

3: ANIMAL RESCUE: Rescued and released elephant orphans in Zambia

4: ELEPHANTS: Elephants in the Amboseli, Tsavo, Kilimanjaro landscape

Activity 1.1.6: Drafting Project Scope

STEP 1: Using the lesson content as guidance and IFAW CSP as reference, work in project teams to draft your project scope.
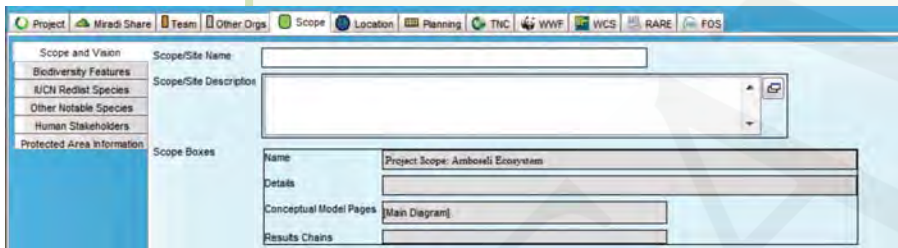
STEP 2: Input your scope into *Miradi* in the (Scope) tab

MAPPING YOUR PROJECT

Most place-based conservation and animal welfare projects will typically focus on a defined project area and have a geographic scope. In these cases, it can be helpful to map out the area and include any relevant features (e.g., different ecosystems or habitats, corridors, villages). You can use something as sophisticated as mapping software or as simple as a rough hand-drawn sketch. Not every project needs a map of their project area, and the core team can determine whether or not this would be a valuable addition to their plan.

It is not always obvious where the team should draw the project boundaries, but the choice that the project team makes will have important consequences for the ongoing structure and functioning of the project. This is because you define your project by the project area you select, rather than vice versa.

Note that in many cases, project actions may take place outside of the defined project area—for example, political action designed to affect a protected area in a remote province would take place in a national capital.

TIP! *It is not required to provide a map for your IFAW project but it can be helpful. If you have an existing map or image it should be provided in your project plan. You can also use Google Maps to develop a rough sketch of your project area. See http://maps.google.com (select My Maps, and then Create New Map). Even a very rough map will serve as a powerful visual tool.*

Activity 1.1.7: Draft Project Plan Template and Exporting *Miradi* Files

Follow the instructor review of exporting reports and graphics from *Miradi*.

STEP 1: Open your *IFAW Open Standards* Project Plan template, saving it under a relevant title name.

STEP 2: In a relevant location, create a folder for your *Miradi* exports/reports.

STEP 3: In *Miradi*, go to "View" and then "Reports".
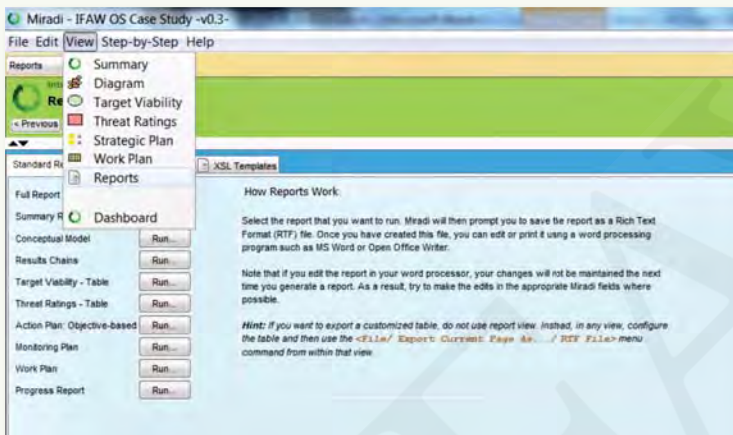
STEP 4: Click on "Run Summary Report" and save the report in your relevant folder.

STEP 5: Open your report. Using the IFAW CSP as a guide, copy and paste relevant scope, vision, team, stakeholder outputs into your draft project plan. Save. Take a few minutes to modify the details or make more graphically appealing as needed.

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Animal and Habitat Targets, Viability, and Goals

OVERVIEW AND OBJECTIVES

Summary

Fundamental to any planning process is figuring out what it is you are aiming to achieve. In the *IFAW Open Standards*, identifying the animal and habitat targets, as well as what we want to achieve for those targets, are the first steps towards articulating relevant goals.

By the end of this lesson you will be able to:

✔ Define animal targets for your project

....

✔ Articulate the difference between a Key Ecological Attribute (KEA) and a target

....

✔ Use guidance material to select appropriate KEAs for your targets

....

✔ Define indicators and draft status for each KEA

....

✔ Use KEA indicators and status to determine target viability

....

✔ Use target viability to draft SMART goals for your targets

....

✔ Distinguish between poorly and well-written goals using best practices

....

✔ Use *Miradi* to input targets, KEAs, and draft goals

INTRODUCTION TO *IFAW OPEN STANDARDS* TERMINOLOGY FOR STEP ONE

Activity 1.2.1: Word Wall Match-Up: Animal/Habitat Target, Key (Ecological) Attribute, Indicator, Goal

Take some time to review the cards on the sticky wall before getting started. When the instructor says to start, work in your groups to match the *Open Standards* vocabulary to the appropriate graphic and definition. The first team to get them right wins!

Once one team has finished and explained, work in your teams to develop a new example for each definition and new term. Share in plenary and get feedback.

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◼ Presentation 1.2.1: *IFAW Open Standards* terminology for Step One

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ANIMAL AND HABITAT TARGETS

Introduction to Animal and Habitat Targets

Now that you are clear about your project scope and vision, it's time to think about the important elements within that scope that you are working to conserve and protect. This module introduces the concepts of **animal and habitat targets**.

Animal and Habitat Targets Defined

Conserving or protecting animals from critical threats is a complex challenge that requires thinking about species and their health or habitat needs. Although most teams want to tackle many species or supporting habitats, they typically lack the staff, financial resources, and time to explicitly focus on aspects of the system. For this reason, when planning and monitoring conservation or animal welfare projects, it is useful to select a handful of animal or habitat targets that reflect the needs of IFAW's priority species, such as elephants or dogs. Doing so helps teams focus their efforts and resources, and more easily assess whether their strategies are effective over the long-term.

> ### Box 1.2.1: Companion animals and the *Open Standards*
>
> *In traditional Open Standards language, targets are called "conservation targets" because the organizations that created these tools were focused only on conservation of imperiled species. At IFAW, we also focus on protecting and improving the lives of companion animals such as dogs and cats across the globe. As such, we have modified the traditional Open Standards language to "animal or habitat targets" to better reflect our work.*

> ### Box 1.2.2: A note on Animal Welfare and the *Open Standards*
>
> *IFAW is the first animal welfare organization to adopt the Open Standards. As such, it has required careful consideration about how and where the aspects of animal welfare are included in the process. In this case animal welfare is considered a characteristic of the animal target we are trying to achieve (e.g. free from suffering) or as a stress to the animal target (e.g. suffering). We will identify these in later steps.*

Choosing animal and habitat targets is a valuable step for projects at any scale and sets the groundwork for subsequent steps, such as a practical and focused threats analysis, strategy development, and long-term monitoring.

In addition, agreeing on animal or habitat targets will help teams set goals for their project, as each target should have a goal that is a specific, measurable, and formal statement detailing a desired impact of a project on your target.

Animal and habitat targets can be species or their associated habitats:

- **HABITATS** – These targets include habitats that characterize the terrestrial, aquatic, and/or marine ecosystem components that support target species. Examples include grasslands, riparian forest, or wetlands.

- **SPECIES** – This category will include IFAW's priority species, as well as additional species facing critical conservation or animal welfare threats within the project scope.

HOW TO DEVELOP ANIMAL OR HABITAT TARGETS

Developing and using animal or habitat targets involves identifying conservation or animal welfare relevant species as well as any associated habitats critical for the species' survival. Because many of IFAW's programs are species focused (e.g. "Elephants") choosing the priority animal targets may not be as challenging. However, it will still be critical to also identify relevant habitat components that are critical for those species to survive over time.

Steps for Selecting Your Target

1: *List specific IFAW or priority species or animals associated with your project*

2: *Identify any relevant habitat components within your scope (habitat not applicable for some projects)*

3: *Review your initial list of targets and "lump" or "split" targets as necessary*

4: *Finalize your list (no more than about 8 targets)*

Step 1: List Potential Animal Targets

There is no prescribed way to develop a list of animal and habitat targets that are critical for safeguarding species survival or improving animal welfare. At IFAW, our priority species such as elephants, whales, or dogs, will clearly guide the initial selection of animal targets.

Step 2: Identify any relevant habitat components

Once selected, identify any associated habitat targets that are critical for the survival of the priority species within your scope. The number of targets to identify depends on the size of your project site, its ecological complexity, and amount of resources you have to evaluate and monitor impact over time. Since most conservation and animal welfare programs are limited by resources such as financing and human capacity, it is important to keep the overall number of targets to a manageable level.

Begin by listing any habitat targets critical for species survival, such as "Amboseli wetlands". Select or prioritize those which, if lost, would critically threaten the survival of the species over time.

TIP! *Working on habitat components may be outside of the scope or irrelevant for some IFAW projects, such as Wildlife Trade or Companion Animals. As such, this step can be skipped for those projects.*

Table 1.2.1 Example animal and habitat targets within typical IFAW scope

SCOPE	TARGETS	COMMENTS
Dogs in First Nations communities	Roaming dogs; Confined dogs	The animal targets in this community are explicitly stated in the scope, but are split as the strategies and threats for confined dogs may differ from those of roaming dogs.
Elephants in the Amboseli, Tsavo, Kilimanjaro region	Elephants, Amboseli Wetlands, Water sources across the landscape	This project operates on the landscape scale and will need to identify both elephants as well as the associated habitats that are critical for their survival.
Demand reduction China	Elephants	Although the target here is elephants because the scope is specifically geared towards ivory, this may be a special case as the project is not likely to measure changes in elephant populations as a result of the project.
Enhanced wildlife trade policy Europe	High value priority species (including elephants, tigers, rhinos)	This selection demonstrates that the specific species are not as important as grouping them to align with the scope — which addresses wildlife trade issues more broadly. They can be split later if necessary to further clarify strategies.
Orphan and released elephants in Zambia	Orphan elephants in captivity, Released elephants	There are two targets here because the strategies and threats to orphan elephants differ from those of the released elephants.

NOTE: *Lumping (and not splitting) animal targets may be most relevant for a program like Wildlife Trade, where the focus is not necessarily species-specific, but ultimately focused on reducing illegal wildlife trade.*

Step 3: Review your initial list of targets and "lump" or "split" targets as necessary

As a general rule, you will want to split an animal or habitat target into multiple targets if they:

- Differ in where they occur or how they are behaving within the scope of the project
- Differ in the critical, human behavior driven threats to their animal welfare or conservation status

CONCEPTUALIZING, PLANNING, AND IMPLEMENTING IFAW PROJECTS

Example Target Selection

Selecting animal and habitat targets is almost always a group effort. A group of people with broad knowledge of the region should discuss and reach agreement on some limited combination of targets that are representative of the region as a whole.

Figure 1.2.1 shows a simplified teaching example from the IFAW Gorillas CSP in which the team identified gorillas and gorilla habitat as their targets within the geographic project scope of the Zapata Region, Gabon. An additional example for companion animals can be found to in the IFAW Companion Animals CSP.
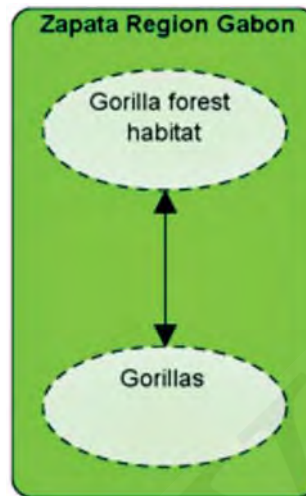
Figure 1.2.1 Targets for IFAW Gorilla CSP

Activity 1.2.2: Selecting Animal or Habitat Targets

STEP 1: Review the lesson content on "Introduction to and Selecting your Animal or Habitat Targets".

STEP 2: Using the target selection steps, the lesson content, and IFAW/CSP, work with your project team to brainstorm your project's targets here:

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STEP 3: Put each of your targets on green half–sheets.

STEP 4: Use the sticky wall to present your targets to the group in plenary.

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Activity 1.2.3: Targets in *Miradi*

STEP 1: Follow the guidance on using *Miradi* for graphically creating targets.

STEP 2: Then work on your own or with your partner to graphically create targets. If you have two people working on one project, have both team members complete the exercise.

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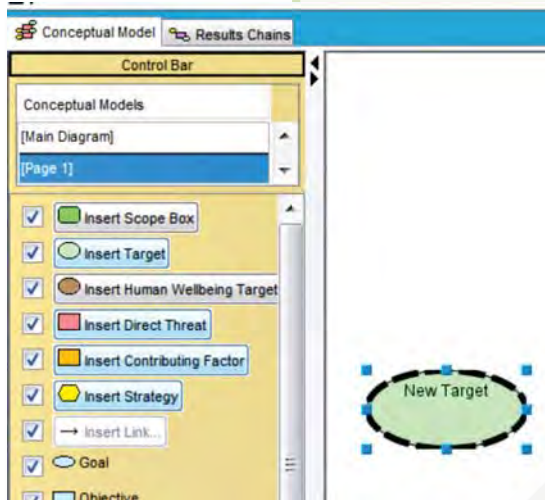
VIABILITY ASSESSMENT USING KEY ECOLOGICAL ATTRIBUTES

Activity 1.2.4: What aspects of our target do we care about?

Before we get into the details of the next section, take a moment to think about your animal or habitat targets. Review the questions below and brainstorm some answers that are relevant for your project or context:

1: What qualities or characteristics of your animal or habitat targets do you think would be good indicators of their conservation or welfare status? *(Size? Condition?)*

_____

_____

_____

_____

_____

2: For each of these, do you have a sense for their current status? If so, what is it?

_____

_____

_____

_____

_____

3: If your project is successful, how do you hope these characteristics will change in the future? _(Increase? Improve? Maintain?)_

_____

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Group Discussion

KEY ECOLOGICAL ATTRIBUTES, VIABILITY AND INDICATORS

◼️ Presentation 1.2.2: Key Ecological Attributes, Viability, and Indicators

Notes: _____

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Overview of Viability Assessment using Key Ecological Attributes

A key step in managing any system is to be clear about what you are trying to accomplish. In particular, you need to be able to assess the current status of your targets today, define specific future goals, and measure your progress as you move towards these goals. A useful analogy can be found in the medical field where doctors define healthy individuals as having, among other things, a pulse rate and blood pressure within an appropriate range for their age and condition. If a patient is outside of the normal range, then the doctor can prescribe therapy and monitor the patient's condition over time as they hopefully move towards a desired goal in the normal range.

This process of setting measurable goals is particularly challenging for animal or habitat targets. Most targets are complex systems that vary naturally over time, making it difficult to define or measure their health in a systematic and repeatable fashion.

A **viability assessment** is a flexible and powerful methodology based on ecological principles that helps address the challenges of defining healthy targets and setting appropriate and measurable goals. The general purpose of conducting a viability assessment is to determine how you will measure the health of your animal or habitat targets over time. It helps you determine:

- How your target is doing today.

- What a "healthy" target would look like.

- What status of your target you would like to see in the future as a result of your project actions.

Viability assessment uses the best available information on the target's biology, ecology, or welfare status in an explicit, objective, consistent, and credible manner. Viability assessment does not, however, require "perfect" information. Instead it provides a way for your project team to specify — to the best of your knowledge — what you think healthy targets will look like. We encourage you to go through at least an initial iteration of a viability assessment. This may require bringing in scientific experts who can help guide you toward defining the impact you need to achieve.

Viability assessment involves identifying **key ecological attributes (KEAs)** for each animal or habitat target (see **Box 1.2.5** for a list of viability assessment-related terms).

Box 1.2.4. Key Ecological Attributes (KEAs) and IFAW

Although the term "ecological" in KEA may not seem as relevant for animal welfare or companion animal attributes, we have kept the terminology because it is aligned with Miradi and we wanted to reduce confusion while managing the software. However, it may be valuable for those teams working on animal welfare and/or companion animal projects to just consider KEAs as ***attributes*** *— those aspects of your animal target that are important indicators of their health.*

These key ecological attributes are aspects of a target's biology, ecology or welfare that if present, define a healthy target and if missing or altered, would lead to the outright loss or extreme degradation of that target over time. For example, a key attribute for an animal target might be some aspect of population size. If the population size becomes reduced to a sufficient degree, then the animal target is no longer viable. To identify key ecological attributes, it is helpful to think of three attribute categories that often collectively determine the health of an animal or habitat target (note: not all classes apply to all targets):

- **Size** is a measure of the area of the target's occurrence (for a habitat target) or *abundance* of the target's occurrence (for an animal target).

- **Condition** is a measure of the animal welfare status, biological composition, structure or biotic interactions that characterize the target.

- **Landscape context** is an assessment of the target's environment including: *a) ecological processes and regimes* that maintain the target occurrence such as flooding, fire regimes and other kinds of natural disturbance; and *b) connectivity* that allows species targets to access habitats and resources or allows them to respond to environmental change through dispersal or migration.

Key ecological attributes are generally still too broad to measure in a cost-effective manner, so it is important to develop **indicators** to assess the attribute over time. In many cases an indicator can be the same as the attribute itself.

Box 1.2.5 Important Terms for Viability Assessment

Viability – *Broadly, the status or "health" of a population of a specific plant or animal species. In particular, viability indicates the ability of an animal or habitat target to withstand or recover from most natural/human disturbances or animal welfare threats, and thus to persist for many generations or over a long period of time.*

Key Ecological Attribute (KEA) – *An aspect of a target's biology, ecology or animal welfare that, if missing or negatively altered, would lead to the loss of that target over time or a serious degradation of the animal's welfare.*

Indicators – *A unit of information measured over time that documents changes in a specific condition (here, changes in a KEA).*

Acceptable Range of Variation – *The limits of a target's naturally-occurring variation that constitute the minimum conditions for the target's persistence (note that persistence may still require human management interventions). The acceptable range of variation establishes the minimum criteria for identifying a target as "conserved" or "protected". If the attribute lies outside this range, it is a degraded attribute.*

Current Status – *An assessment of the current "health" of a target as expressed through the most recent measurement of an indicator for a KEA of the target.*

Desired Future Status – *A desired measurement or rating of an indicator for a KEA that describes the level of viability/integrity that the project intends to achieve. This forms the basis for a project goal.*

Selecting KEAs

With your team, select one of your targets to assess — start with a relatively simple and straightforward target. There is an almost infinite number of attributes that could describe some characteristic of a target. The challenge is to identify a small selection of critical attributes that if degraded, would seriously jeopardize the target's ability to persist for more than a few decades or maintain adequate health status over its lifetime.

In our IFAW CSP example, the team chose "forest extent" and "species diversity" as KEAs for gorilla forest habitat. Likewise, they chose "population size" as a KEA for gorillas (see table below for information recorded in *Miradi* — KEAs marked by the green key symbol). See the IFAW Companion Animals to see which KEAs were selected for that project.

Table 1.2.2. KEAs for IFAW Gorilla CSP

TARGET	KEA
Gorilla forest habitat	Forest extent
Wild gorilla populations	Population size
Gorilla orphans	Adequate nutrition

Activity 1.2.5: What are Some Draft KEAs?

STEP 1: Work on your own to review the lesson content on Viability Assessment using Key Ecological Attributes.

STEP 2: Work with your team to review activity 1.2.4 and identify which one of those aspects are aligned with the definition of KEAs?

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Indicators Tied to KEAs

For each KEA it will be important to determine an **indicator** to assess the attribute over time. In some cases the indicator can be the same as the attribute itself (e.g., an attribute of population size may have an indicator of number of individuals in the population). If you cannot count this number directly, then you may need a proxy indicator – for example, for a gorilla population, you may use the number of sleeping nests as a proxy for total population size if it is too hard to count.

In other cases, however, developing a good indicator will require a bit more thinking to find a way of measuring the attribute over time. For example, if your attribute is the welfare of an orphaned gorilla, it may not be possible to measure every parameter. Instead, you would select a few representative parameters that you feel can represent the overall quality of the gorilla's life, such as its body condition score or presence of disease. You can also combine several measurable properties into a composite indicator or index. For example, you may want an "animal welfare index" that combines: body condition, presence of disease, ability to socialize, and ability to move/exercise. As you develop your project plan, you will be identifying several indicators, so it is a good idea to keep your viability indicators focused.

Indicators frequently involve some type of quantitative assessment – such as *number* of acres, age class *sizes*, *percent* of cover, or *frequency* of fire of a given intensity. Other indicators may involve measurable elements that are not numerical, such as the seasonality of fire or flooding. Box 1.2.6 provides some tips for selecting good indicators.

In many cases, you may be able to measure a key attribute using just a single indicator. However, sometimes there may be no single best indicator, in which case you may need to track several indicators to get a better picture of your target's status. For example, field surveys and analyses of aerial photographs together may provide complementary information on forest tree composition that would be more accurate and reliable than either one could provide on its own.

> ### Box 1.2.6. Criteria for a Good Indicator
>
> *Indicators should meet the following criteria:*
>
> • **Aligned** – *explicitly connected to the KEA and target*
>
> • **Measurable** – *Able to be recorded and analyzed in quantitative and qualitative terms*
>
> • **Precise** – *Defined the same way by all people*
>
> • **Consistent** – *Not changing over time so that it always measures the same thing*
>
> • **Sensitive** – *Changes proportionately in response to the actual changes in the condition being measured*
>
> *In addition, the best indicators will be technically and financially feasible and of interest to partners, donors, and other stakeholders.*

Table 1.2.3 Indicators for IFAW Gorilla CSP Zapata Region

TARGET	KEA	INDICATOR
Gorilla forest habitat	Forest extent	# of hectare protected
	Species diversity	Species diversity index
Wild gorilla populations	Population size	# of adults
Gorilla (orphans)	Adequate nutrition	Survivorship of orphans past 6 months – 2 years

Activity 1.2.6: Mix and Match: Targets to Attributes and Indicators

STEP 1: Work on your own to review your notes from the presentations and lesson content on Viability Assessment using Key Ecological Attributes (KEAs) and Indicators Tied to KEAs.

STEP 2: Based on the presentation and overview content on Viability Assessment and KEAs, work with a partner to choose an appropriate KEA and Indicator for each of the below targets:

Target	KEA	Indicator
Tigers (wild)	_	_
Domestic Cats	_	_
Wetlands	_	_ _

Notes: _____

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Activity 1.2.7: KEA and Indicator Classification

STEP 1: Using the lesson content, presentation, and the IFAW CSP, put your key attributes and draft indicators from the previous activity into the correct column in the table below. Feel free to modify based on your new experiences with KEAs and indicators.

TARGET	KEY ATTRIBUTE	POTENTIAL INDICATOR	CURRENT STATUS?

STEP 2: Work with your team to answer the following:

Given the information that you have, are these attributes the ones most tied to the long-term health of your targets?

Are there any assumptions here? If so, what are they?

Do your indicators meet the best practices criteria?

Do you know what the current status is?

Notes: _____

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HOW TO DO A VIABILITY ASSESSMENT IN *MIRADI*

■◀ Presentation 1.2.3: Viability Assessments in *Miradi*

Notes: _____

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Although the viability assessment process can seem complex and overwhelming, it is only meant to be a systematic process that allows you to use your best available knowledge to define and measure the health of your animal and habitat targets. In effect, if your indicators are in their acceptable range, then you can say that your KEAs are doing fine, which in turn means your targets are healthy. If your indicators are not in their acceptable range or are headed out of that acceptable range, then you have problems that you need to address.
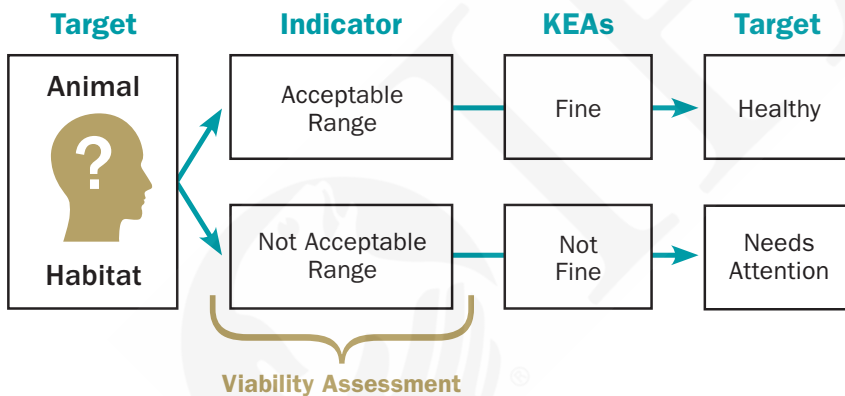
Viability assessments involve estimating the acceptable range of variation for your indicators for each key attribute. Doing so helps answer two crucial questions:

- *How much alteration of a key attribute is too much?*

- *How much improvement or change is enough?*

Figure 1.2.2 Viability Assessment Process

Viability Assessment Next Steps

1: Put your KEAs and Indicators into *Miradi.*

2: Identify an acceptable range of variation, record assumptions/questions.

3: Record current status, record assumptions/questions.

4: Identify desired future state and record any assumptions or questions.

Viability Step 1 - Putting your KEAs and Indicators into Miradi

Activity 1.2.8: Viability Step 1 - Putting your KEAs and Indicators into *Miradi*

Follow the tutorial to put your KEAs and Indicators into *Miradi*

STEP 1: Double click on your Conservation Target.

STEP 2: Click on the "Viability" tab (if that is not visible change Viability Analysis Mode to Key Attribute).
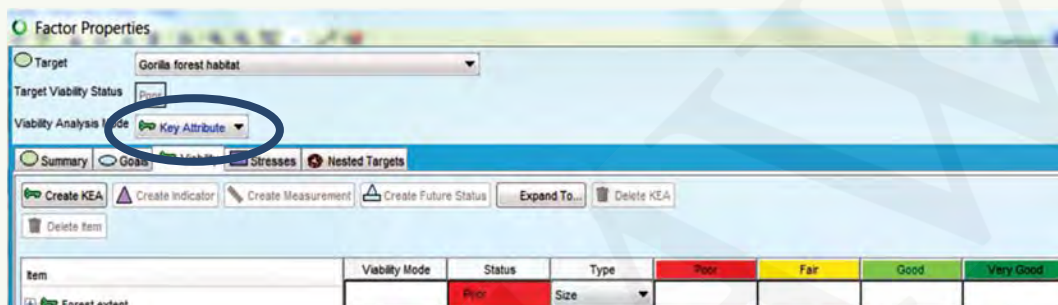
STEP 3: Create KEA and name it then Create Indicator and name.

STEP 4. Repeat for all draft KEAs and indicators.

Type Name of KEA

Notes: _____

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VIABILITY ASSESSMENT

Viability Step 2: Determining an Acceptable Range of Variation and Rating Scale for Each Attribute

Viability assessment also includes a **rating scale** that takes into consideration the acceptable range of variation for each indicator. The scale requires that teams determine thresholds, and classify potential KEA indicators into one of these four categories:

VERY GOOD: Desirable status ➡ requires little intervention for maintenance

GOOD: Within acceptable range of variation ➡ some intervention required for maintenance.

FAIR: Outside acceptable range of variation ➡ requires human intervention.

POOR: Improvement increasingly difficult ➡ may result in extirpation of target or severe animal welfare concerns.

Although a team ideally would define all four classifications of the rating scale, often teams are only able define one or two key classifications—for example the threshold between fair and good. Remember the example of the doctor monitoring pulse rate and blood pressure to determine health of the patient? The above, four point rating scale is directly analogous to those ranges. A doctor uses established pulse rate and blood pressure ranges to determine whether a patient's circulatory system—and thus by extension the entire patient—is healthy.

The final component of a viability assessment is determining and rating the *current* status of an animal or habitat target (where the target is today) and the *desired future* status of a target (where a team would like it to be at some point in the future). This desired status forms the basis for goal-setting.

KEA INDICATOR CATEGORIES			
POOR	**FAIR**	**GOOD**	**VERY GOOD**
Improvement increasingly difficult; may result in extirpation of target or severe animal welfare concerns	Outside acceptable range of variation; requires human intervention	Indicator within acceptable range of variation; some intervention required for maintenance	Ecologically or biologically desirable status; requires little intervention for maintenance

Figure 1.2.3. Definitions for Key Ecological Attribute Indicator Categories

Although you ideally want to get the categories right, you should not get so bogged down in this detail that you cannot move on to other equally important steps in the project planning process. With this in mind, you should consider your work as the first step in an iterative process and simply record your initial thinking. For example, for the IFAW CSP, the team could have started with **Figure 1.2.4** before getting into greater detail.

     CONCEPTUALIZING, PLANNING, AND IMPLEMENTING IFAW PROJECTS

TARGET	KEY ATTRIBUTE	INDICATOR	INDICATOR RATINGS			
			POOR	FAIR	GOOD	VERY GOOD
Gorilla Forest Habitat	Forest extent	Hectares under protection	Current		Double current area	

Figure 1.2.4 IFAW CSP First Indicator Ratings

This loosely defined, qualitative categorization is perfectly acceptable for a first attempt. Later on in the process you can do a more in-depth assessment of what is needed. For example, **Figure 1.2.5** offers greater detail.

TARGET	KEY ATTRIBUTE	INDICATOR	INDICATOR RATINGS			
			POOR	FAIR	GOOD	VERY GOOD
Gorilla Forest Habitat	Forest extent	Hectares under protection	<50,000	50,000 – 99,000	100,000 – 179,000	180,000+

Figure 1.2.5 IFAW CSP Second Indicator Ratings

Most attributes vary naturally over time, but we can define an **acceptable range of variation**. This is the range of variation for each KEA indicator that would allow the target to persist over time or maintain adequate health status —a range in which we would say the attribute has Very Good or Good status (see **Figure 1.2.3** for definitions of these criteria). If the attribute falls out of this acceptable range (dropping below or sometimes rising above), it is a **degraded attribute** that has Fair or Poor status.

Your challenge is to specify—to the best of your current knowledge—your assumption as to what would constitute an acceptable range of variation.

Ideally, and over time, you will identify a set of thresholds or boundaries for the four rating classifications for each KEA: Very Good, Good, Fair, and Poor. These thresholds should state clearly where the indicator being measured would fall within each level of the rating scale. For example, is a "good" size for a gorilla population 5,000 or 50,000?

The scientific information needed to establish these types of benchmarks, however, is often lacking or inadequate. In these cases, project teams can rely on general concepts, comparisons to other similar systems, well-informed expert opinion—or failing that, the team members' best estimate—to determine a "credible first iteration" of the benchmarks for the current assessment.

Activity 1.2.9 Viability Step 2: Defining an Acceptable Range of Variation

STEP 1: Work on your own to review the lesson content and determine an Acceptable Range of Variation and Rating Scale for Each Attribute and the IFAW CSP.

STEP 2: Start with one indicator associated with your KEA that you feel you know a lot about. Then in *Miradi*:

STEP 3: Click on that indicator and the "viability ratings" tab

STEP 4: Provide your best guess on value ranges for Poor, Fair, Good, and Very Good. If you have to do only two, focus on the differences between Fair and Good

STEP 5: Collect any comments, questions, or assumptions you are making in the "comments" tab.

STEP 6: Review with a partner — what challenges did you face? How will you get new information?
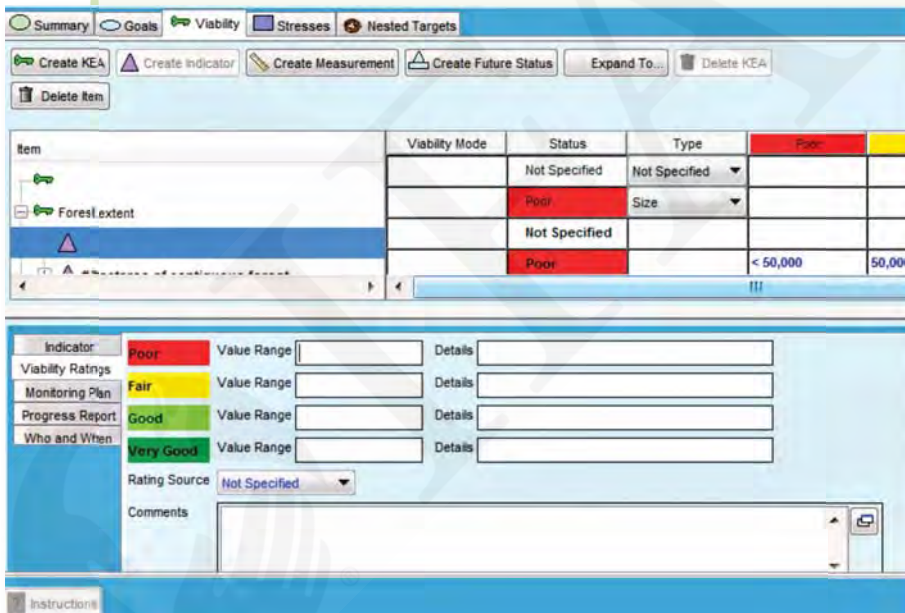
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Viability Step 3: Determine Current and Desired Future Status of Each Attribute

Your next task is to determine what should be the *current* status rating, and set the **desired future status** rating of each attribute relative to your rating scale:

- **CURRENT STATUS RATING:** This rating describes the indicator rating category where your key ecological attribute is today

- **DESIRED FUTURE STATUS:** This rating describes what you want your target to look like in the future.

In most cases, you would want the desired future status of your animal or habitat target to be classified as Very Good or Good on each indicator. In some cases though, you might be at Fair or Poor and, for a variety of reasons, the best you can hope to achieve is to maintain the target status at Fair. The important point here is that you need to look at your viability assessment for each indicator and determine what category you want and need to achieve over several years or even decades.

You should also consider the appropriate spatial extent and time frame for achieving the desired status, keeping in mind that some changes may require long time periods (50-100 years). If you know the actual current indicator status information, record it as well as the desired indicator rating category. For example, if a "Very Good" size indicator rating is greater than 30,000 acres of a grassland target, and you know the current extent is 55,000 acres, record the specific acreage as well as a "Very Good" classification for that indicator.

Figure 1.2.6. Partial IFAW CSP Viability Assessment Showing Current and Future Desired Status

Activity 1.2.10 Viability Step 3: Determine Current and Desired Future Status

STEP 1: Work on your own to review the lesson content "Determine Current and Desired Future Status of Each Attribute" and the IFAW CSP.

STEP 2: Start again with one indicator associated with your KEA that you feel you know a lot about. Then in *Miradi*:
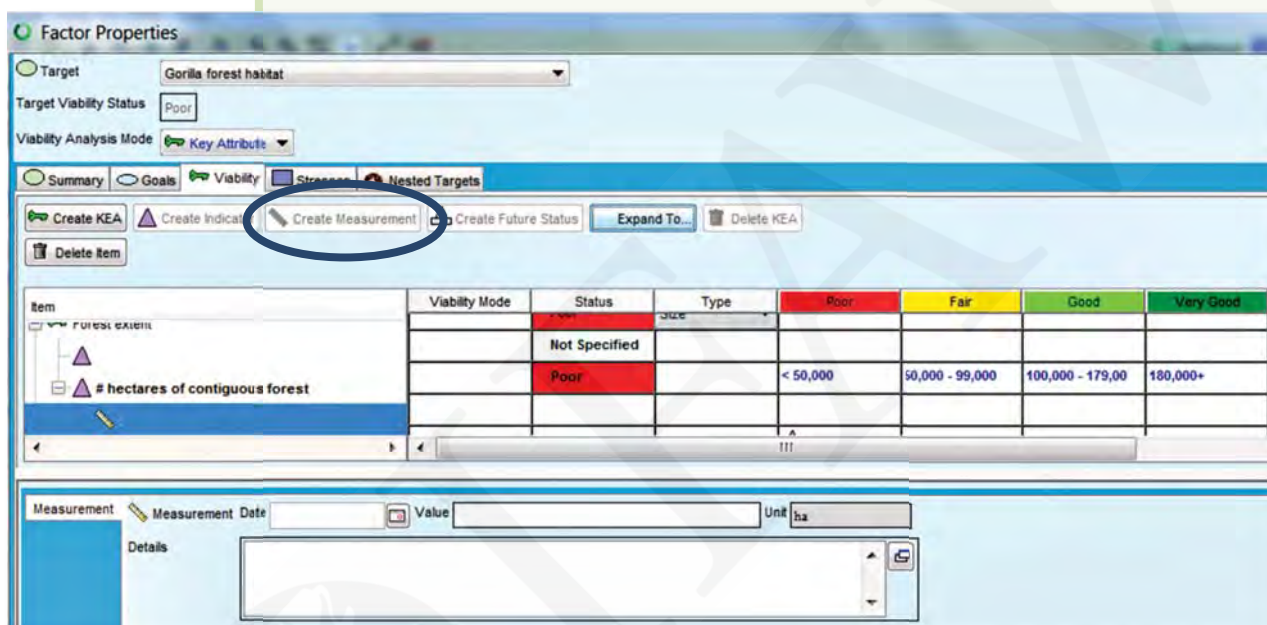
STEP 3: Highlight the Indicator on the left and click on "Create Measurement".

STEP 4: Below, provide the measurement date (current), the value, and where it sits on the Poor, Fair, Good, Very Good scale by clicking on "Current Status".

STEP 5: Once the current measurement has been provided, click back on your indicator and then use the "Create Future Status" to articulate your desired future state.

STEP 6: Repeat for all other relevant indicators.

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Record Any Assumptions

As you go through this process, make sure you write down any relevant issues or comments that emerge. In particular, you should note how you arrived at your viability assessments including references and experts consulted, data analyzed, assumptions made, your level of confidence in your assessments, and suggested research needs. You can capture this information in the comments fields in *Miradi*.

Review Your Viability Assessments and Adjust As Necessary

Review the results of the viability assessments for all of your targets and discuss with your team. If necessary, you may have to revisit some of your attributes or even your choice of targets. The end product should be a completed viability table in *Miradi*.

Activity 1.2.11: Which of these goals is the best and why?

Work with your group to review the three draft goal statements provided.

Which goal do you think is best and why? What's wrong with the other two goals?

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SETTING GOALS

Overview of Goals

Nearly everyone who has worked on a project or in an organization or company is familiar with goals. The word "goal," however, is a term that is typically used very loosely. Yet, in the *IFAW Open Standards*, it has a very specific meaning and when developed properly, meets a specific set of criteria (SMART: Specific, Measurable, Action-oriented, Reasonable, Time-limited). The *IFAW Open Standards* define a **goal** as a formal statement detailing the desired impact of a project, such as the desired future status of an animal or habitat target. A goal should be ambitious yet realistic and meet the criteria outlined in Box.

One of the most important criteria is that your goal *must* be linked to your animal or habitat target. Thus, it must describe the desired future state of the species, ecosystem, or habitat you wish to protect or conserve. You may wonder why it is necessary to be so strict about how a goal is defined and whether it meets certain criteria. A well-defined goal ensures that your project team has an explicit understanding of the project and how you want to influence your animal or habitat target. Consider, for instance, the following two fictitious goals for a watershed conservation project:

Goal 1: Conserve forest areas within the watershed.

Goal 2: By 2028, all rivers and tributaries in the Clear River Watershed have forest coverage that extends at least 100 meters on both sides.

With Goal 1, you have a general understanding of what your project is trying to achieve, but you are not really sure how to narrow your focus or how you will know if you have conserved the forest areas. In contrast, Goal 2 provides your project team with very specific conditions you must work to achieve. Also, when it comes to determining whether you have achieved those conditions, what you need to measure is very clear.

As such, well-defined goals focus monitoring efforts. In many cases, a project team monitors their project by simply collecting as much information as they can without a clear idea of how they will use it. If you look at the two goals above, with Goal 1, you might come up with an extensive list of how you will measure if the watershed's forests are conserved. With Goal 2, it is clear that you just need to measure forest coverage along the rivers and tributaries.

Box 1.2.7. Criteria for a Good Goal (SMART)

•**Specific** – *Clearly defined so that all people involved in the project have the same understanding of what the terms in the goal mean*

•**Measurable** – *Definable in relation to some standard scale (numbers, percentage, fractions, or all/nothing states)*

•**Action Oriented** – *Directly associated with one or more of your animal or habitat targets*

•**Reasonable** – *Represents the desired future status of the target that is achievable over the long-term*

•**Time Limited** – *Within a specific period of time*

How to Use Your Viability Analysis to Set Good Goals

Now that you have done a viability assessment, you are well-prepared for developing goals for your targets. Your viability assessment provides the key elements for what makes a healthy target. Moreover, you defined your desired future status for your target on each indicator associated with a KEA. In essence, the desired future status for each of these indicators collectively represents the goal(s) for your target.

You have a couple of options for how you can translate your viability assessment information into a goal. If you have only one or two KEAs, you could define one goal that encompasses those attributes. For example, in the IFAW CSP, you could define a single goal for gorillas that includes the number of adult gorillas, as well as the number of abandoned babies/year—the two key ecological attributes for gorillas.

You can use the goal best practices to walk through an iterative process of development. For the IFAW CSP, the goals evolved in the following way:

Increase in gorilla population size. → By the end of 2025, there is an increase in gorilla population size. → By the end of 2025, there are at least X adult gorillas in the Sokwe Reserve and buffer zone in the Zapata Region, up from Y.
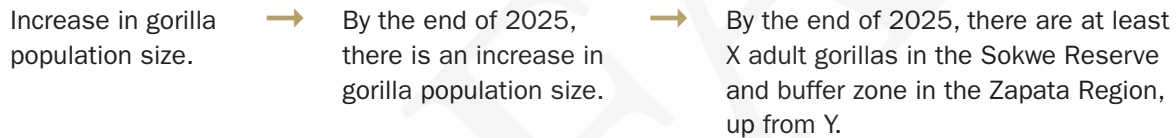
Activity 1.2.12: Building your Goals from Viability Assessment

Review the lesson content and the IFAW CSP goals. Then, work on your own first to draft a goal.

STEP 1: Start with one of your desired future status ratings and write an initial draft goal. Don't worry yet about complying with all the goal best practices criteria right away.

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STEP 2: Review the criteria for a good goal and determine whether your goal meets the criteria.

STEP 3: Modify your draft goal as needed to make sure it complies with the criteria for a good goal.

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STEP 4: Repeat for all relevant targets.

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STEP 5: Once you have drafted at least two goal statements, share your goals with your project team and make any last modifications based on their input.

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Activity 1.2.13: Putting Your Goals into *Miradi*

STEP 1: Follow the demonstration of putting your goals in *Miradi.*

STEP 2: Go to the diagram or conceptual model page in your *Miradi* document.

STEP 3: Double click on your animal or habitat target.

STEP 4: Click on the "goal" tab and "create goal".

STEP 5: Use the ID space to provide a unique qualifier, e.g. POP1.

You can use the "name" space to describe the goal in a few words, such as "INCREASE POPULATION".

STEP 6: Use the "details" tab to provide the specific measurable goal statement.

GOALS IN MIRADI

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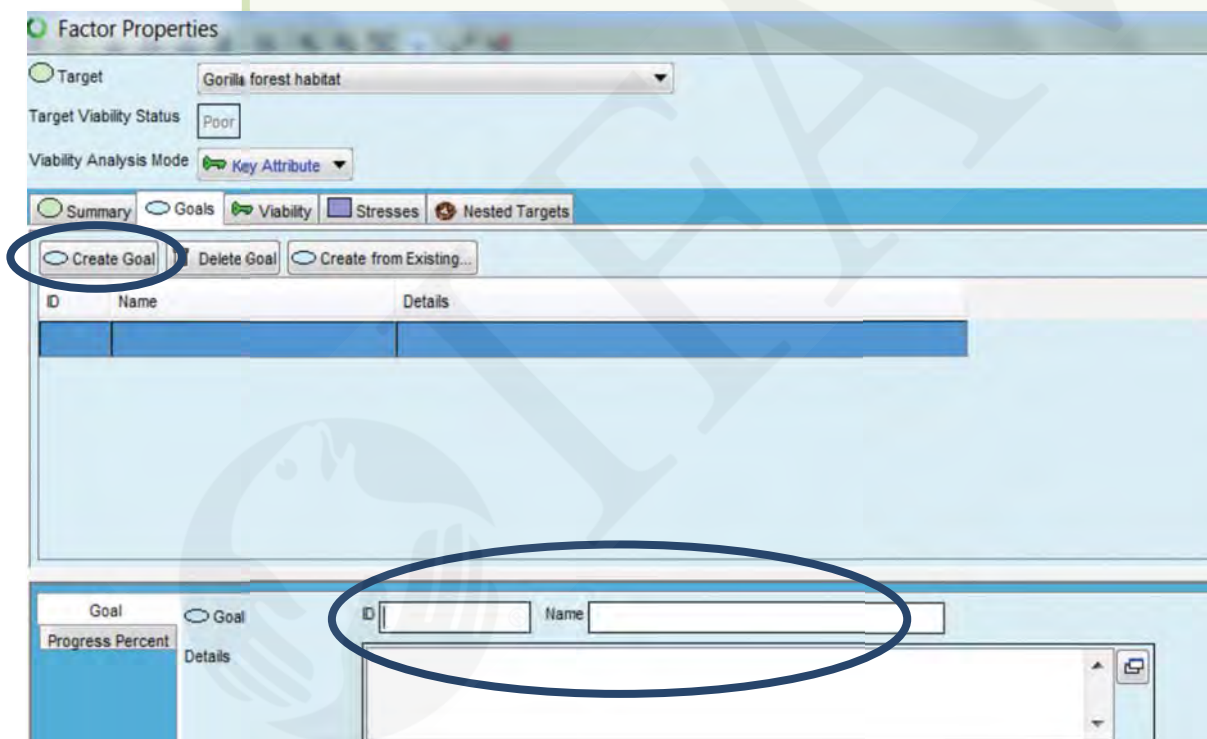
Direct Threats and Stresses – Identification and Rating

OVERVIEW AND OBJECTIVES

Summary

Animals across the globe are being threatened by numerous human-caused issues such as poaching, habitat destruction, culling, or cruelty. Although we may be able to catalogue these numerous threats, understanding their magnitude and context is critical for prioritizing strategies to improve the status or health of the animal/habitat targets we care about.

By the end of this lesson you will be able to:

✓ Identify animal welfare and other stresses associated with your KEAs and targets.

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✓ Identify direct threats to your targets.

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✓ Understand the differences among a stress, a KEA, and a direct threat.

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✓ Rate and prioritize direct threats to your targets.

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✓ Identify priority threats, as well as the most threatened targets.

DIRECT THREATS

Activity 1.3.1: Word Wall Match-Up 2: Animal/Habitat Target, Key (Ecological) Attribute, Goal, Indicator, Direct Threat, Stress

Take some time to review the cards on the sticky wall before getting started. When the instructor says to start, work in your groups to match the *Open Standards* vocabulary to the appropriate graphic and definition. The first team to get them right wins!

Once one team has finished and explained, work in your teams to develop a new example for each definition and new term. Share in plenary and get feedback.

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Activity 1.3.2: What Threatens Your Target?

STEP 1: Review the word wall match up definition and example for direct threat.

STEP 2: Based on your understanding of this definition and example, work with your team to brainstorm any direct threats to your animal or habitat targets.

Report out and feedback

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Introduction to Direct Threats

Our work to protect and conserve animals takes place in the face of a wide variety of **threats** to species, habitats, and animal well-being. A threat is anything that could compromise the status, health, or well-being of a target. A common challenge for conservation and animal welfare practitioners is determining which of these threats they will try to address.

Part of the challenge is that there are so many different kinds of threats. There are threats that directly impact the target (like poaching that leads to mortality) but there are also other types of threats that impact the welfare or conservation context of a species like lack of awareness, indifference, or limited economic resources.

Direct threats are primarily human activities that immediately affect an animal or habitat target (e.g., poaching, construction of roads, pollution, introduction of exotic invasive species, inadequate care) but they can be natural phenomena whose impact is increased by other human activities (e.g., a tsunami that threatens the last remaining population of an Asian rhino).

In some cases, you may find yourself evaluating both actual and potential threats. In the case of potential threats, it is best to only include them in your rating if they are threats that are realistic and likely to occur within a reasonable time period (10 years, for example). So, you might include a road that a local logging company is negotiating with the government as a real potential threat, but you would not include mining as a potential threat if no companies plan to mine in the area over the next ten years.

Questions you should try to answer for this step include:

- What human activities are currently taking place in and around your target habitats and species, and how do they affect these targets? Do they occur throughout the site or just in specific areas?

- Are there any natural phenomena that represent significant direct threats to these habitats and species?

◼◀ Presentation 1.3.1: Direct Threats

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Activity 1.3.3: Categorizing Your Threats

STEP 1: On your own, review the content on Direct Threats and your notes from the presentation.

STEP 2: Work with your table or group. Based on the presentation and the lesson content which one of the threats on your list is a direct threat? Write these on red cards.

STEP 3: Work with your team to define if there are any additional direct threats that need to be articulated and write those on red cards. Use the lesson content questions as a guide.

STEP 4: Put each of your cards up on the sticky wall connecting them to your animal and habitat targets. Be prepared to discuss and review in plenary.

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STRESSES/BIOPHYSICAL FACTORS

▶ Presentation 1.3.2: Stress/Biophysical Factor

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Introduction to Stresses/ Biophysical Factors

A **stress** or **biophysical factor** is an attribute of an animal or habitat target that is directly or indirectly impaired by human activities (e.g., reduced population size, forest habitat fragmentation, malnutrition). They are often the negative version of a key ecological attribute (KEA) and are usually determined by first identifying and classifying all of your direct threats, and then identifying how those threats cause stresses to the KEAS of your targets. For example, in the IFAW CSP, the direct threat of poaching causes specific stress such as increased mortality which directly influences the KEA of population size. In addition, injury due to poaching can be described as an animal welfare stress with a KEA of "free from injury".

TIP! *The terms "stress" and "biophysical factor" can be used interchangeably as the concepts reflect the same idea. However, Miradi offers different ways to input each into the system. There is no need to worry about those different ways right now. All you need to know is that they are the same idea with different names. This workbook will guide you to use a button named "biophysical factor" in Miradi.*
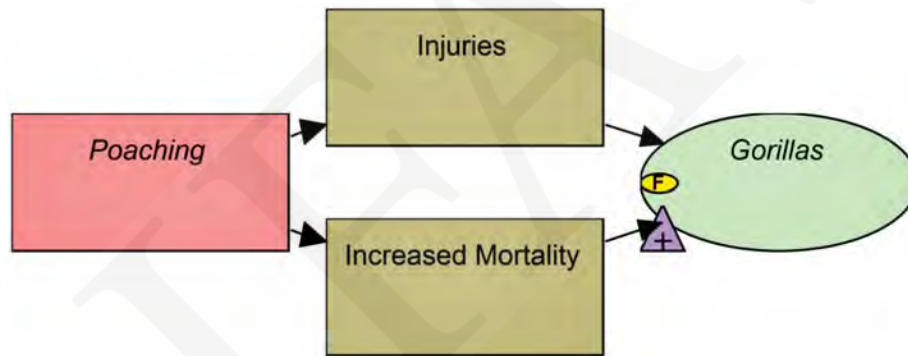
Figure 1.3.1 Stresses and Biophysical Factors

Teams commonly confuse direct threats, stresses, and KEAs. While the difference may seem minor, it can impact many of your next steps. Here is some guidance to help you use the concepts consistently.

DIRECT THREAT	EXAMPLE STRESS(ES)	EXAMPLE KEA	EXAMPLE TARGET AFFECTED
Illegal Hunting	Altered population structure	Balanced population structure (males/females)	Monkeys, Rhinos
Unsustainable grazing	Fragmentation	Habitat connectivity	Forests, Grasslands
Neglect	Malnutrition	Nourished	Dogs
Climate change	Coral bleaching	Unbleached corals	Coral reefs

Steps for Developing Your Stresses

Given the relationship between direct threats, stresses, and KEAs, it is valuable to go through the following steps once your direct threats and KEAs have been identified.

STEP 1: Lay out your direct threats, targets, and KEAs (on a sticky wall or in *Miradi*).

STEP 2: Choose one of your direct threats and using the KEAs as a guide, identify any stresses that direct threat causes to your target. Focus primarily on those that explicitly link to a KEA, however, if others emerge that are important be sure to record them.

STEP 3: Repeat for each of your direct threat/target combinations.

These stresses will then inform the prioritization or ranking of your direct threats as well as help you identify potential strategies to reduce those stresses over time.

Activity 1.3.4: Identifying Your Stresses

STEP 1: Review the lesson content on Introduction to Stresses and Stresses and KEAs as well as your notes from the presentation.

STEP 2: Using the IFAW CSP and the lesson content as a guide work from your sticky wall to identify relevant stresses for at least two of your direct threat/target combinations.

Report out and provide feedback to teams.

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Activity 1.3.5: Direct Threats and Stresses in *Miradi*

STEP 1: Working on your own or in your project team open your *Miradi* project.

STEP 2: Working from your brainstormed list of direct threats identified in the previous activity, insert each into *Miradi*. Provide a name for each one (capture any assumptions in the details as needed).
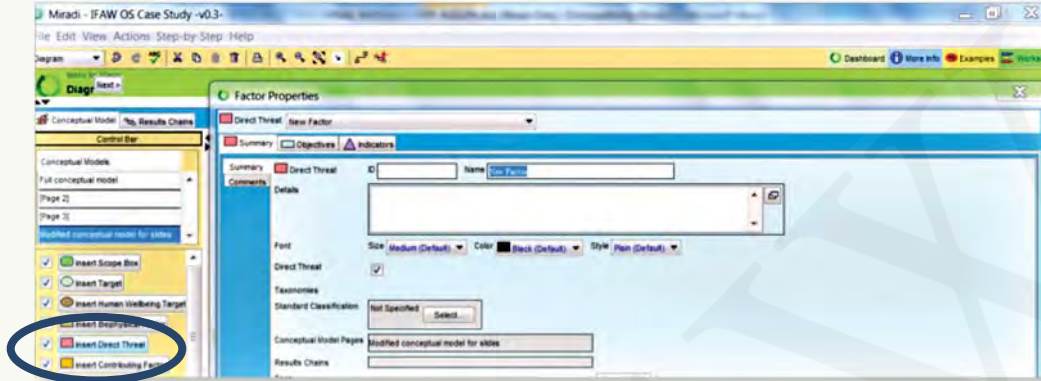
STEP 3: Once you have all your direct threats, start adding some stresses using the "Insert Biophysical Factors" button. If you don't have the button in your list, the instructor will guide you on how to add this option.
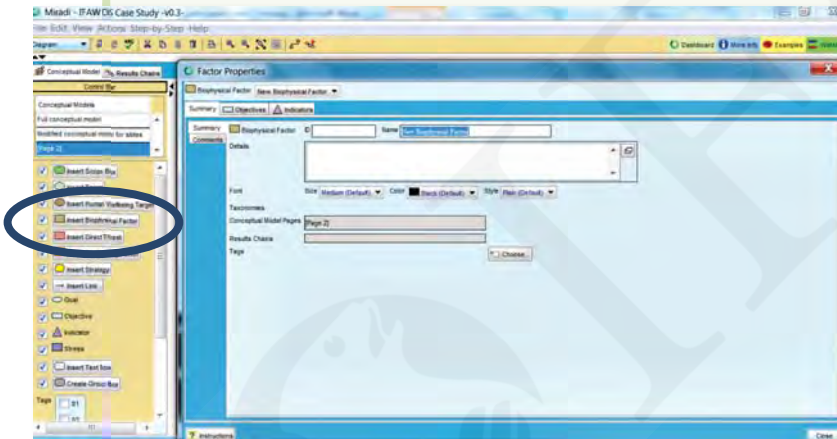
Don't worry about the arrows until you have gotten all your direct threats and stresses into *Miradi*!

STEP 4: Once you have all your direct threats and stresses in *Miradi* you can add the arrows by highlighting the threat, clicking on "Insert Link" and selecting the appropriate biophysical factor.

STEP 5: Review and make sure you don't have any additional threats or stresses to add.

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THREAT RATING

Introduction to Rating Your Threats

Often projects have so many direct threats that it is unmanageable to address all of them. As we often have limited funds, staff time, and management capacity it is helpful to understand which threats are most critical to address. This means, which of our threats is currently having the greatest negative impact on our targets, causing stresses and damaging **key ecological attributes** (KEAs).

Threat rating is a rapid assessment method that uses criteria to compare your threats to one another in relation to more objective criteria. It involves determining and defining a set of criteria and then applying those criteria systematically to the direct threats to a project's animal and/or habitat targets so that conservation or welfare-focused actions can be directed where they are most needed. Once you have identified your **direct threats**, and associated stresses, you and your project team can evaluate each direct threat and the impact it has on the target(s).

It is important to note that threat rating is a tool to <u>inform</u> decision-making, not to make decisions for you and your team. It gives teams a structured approach to consider any information they may have about critical threats and use it to guide decisions or conversations about how to move forward.

Here we introduce a simple tool based on specific criteria often used in our field, however, there are more decision making and rating tools that can be applied depending on what works for your project and context. Additional resources can be found in the reference section at the end of your workbook.

Criteria for Threat Rating

The results of any threat rating will depend on the **criteria** used to rate the threats. In most cases, it is important to know:

- how much of your target is affected by the threat (scope);
- how severe the threat is (severity); and
- whether or not the effect of the threat can be reversed (irreversibility).

Applying a threat rating method helps you determine where to act—an often difficult decision when working in complex sites that have multiple threats and multiple animal/habitat targets. In general, the threats that fall into the Very High and High categories will be the ones on which you should focus your project strategies, because they are causing the greatest impact to your targets.

Figure 1.3.2 Criteria for Threat Rankings Using an Absolute Target-by-Target System

Scope: Most commonly defined as the proportion of the target that can reasonably be expected to be affected by the threat within ten years if current circumstances are to continue unchanged.

For habitats, scope is measured in terms of space and the proportion of the target's occurrence.

For species, scope is measured in terms of the proportion of the target's population.

1 - LOW	2 - MEDIUM	3 - HIGH	4 - VERY HIGH
The threat is likely to be very narrow in its scope, affecting the target across a small proportion (1-10%) of its occurrence or population.	The threat is likely to be restricted in its scope, affecting the target across some (11-30%) of its occurrence or population.	The threat is likely to be widespread in its scope, affecting the target across much (31-70%) of its occurrence or population.	The threat is likely to be pervasive in its scope, affecting the target across all or most (71-100%) of its occurrence/population.

Severity: Within the scope, the level of damage to the target from the threat that can reasonably be expected given the continuation of current circumstances and trends.

For habitats, it is typically measured as the degree of destruction or degradation of the target within the scope, as highlighted by stresses.

For species, it is the degree of reduction of the population within the scope. Can also reflect the effect on animals' welfare, as highlighted by stresses.

1- LOW	2 - MEDIUM	3 - HIGH	4 - VERY HIGH
Within the scope, the threat is likely to only slightly degrade the target or its welfare, or reduce its population by 1-10% within ten years or three generations.	Within the scope, the threat is likely to moderately degrade the target or its welfare, or reduce its population by 11-30% within ten years or three generations.	Within the scope, the threat is likely to seriously degrade the target or its welfare, or reduce its population by 31-70% within ten years or three generations.	Within the scope, the threat is likely to destroy, eliminate or significantly affect the target or its welfare t, or reduce its population by 71-100% within ten years or three generations.

Irreversibility: The degree to which the effects of a threat can be reversed and the target affected by the threat restored, if the threat no longer existed. Is also understood in terms of relative cost and time required for restoration.

For habitats, it is typically measured as the degree to which an affected area can be restored.

For species, it is the degree of restoration of the population within the scope, or reversal of an animal from a state of poor welfare, as highlighted by stresses.

1- LOW	2 - MEDIUM	3 - HIGH	4 - VERY HIGH
The effects of the threat are easily reversible and the target can be easily restored at a relatively low cost and/or within 0-5 years (e.g., off-road vehicles trespassing in wetland).	The effects of the threat can be reversed and the target restored with a reasonable commitment of resources and/or within 6-20 years (e.g., ditching and draining of wetland).	The effects of the threat can technically be reversed and the target restored, but it is not practically affordable and/or it would take 21-100 years to achieve this (e.g., wetland converted to agriculture).	The effects of the threat cannot be reversed and it is very unlikely the target can be restored, and/or it would take more than 100 years to achieve this (e.g., wetlands converted to a shopping center).

◼ **Presentation 1.3.3: Threat Rating**

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Activity 1.3.6: Threat Rating

STEP 1: On your own, review your lesson content on Threat Rating, your presentation notes, and the IFAW CSP.

STEP 2: Find a (new) partner to work with. Using **Figure 1.3.2** and the Lesson Content as a guide, review the below case study and fill out the scope, severity, and irreversibility as Low, Medium, High, or Very High based on the information provided.

In the Zapata Region of West Africa, gorillas and gorilla habitat are threatened by a number of direct threats including poaching, unsustainable grazing, and logging. Based on the data that they have:

Poaching

- Poaching is severe in 6 of the 8 critical gorilla habitat areas in the region.

- Estimates in those 6 areas suggest that at least 50 gorillas are taken per year, with a remaining population of approximately 300 across all areas; with multiple animal welfare stresses such as injuries due to snares and abandoned young have been reported in these areas.

- If all poaching is stopped, the population across the Zapata region could recover in the next 15–20 years.

Logging

- Logging has been identified in 4 of the 8 critical gorilla habitat areas in the watershed.

- In the areas that logging occurs, the gorilla habitat is completely lost.

- When left alone or restored, regrowth happens rapidly and would be suitable within 5 years.

THREAT TO GORILLA AND HABITAT	SCOPE	SEVERITY	IRREVERSIBILITY
Poaching			
Logging			

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Discuss with a partner:

Review each other's rating, what was the same, what was different?

Which ratings were confusing? Which were more challenging?

Based on your assessment, which 2 threats would you prioritize your work on if you needed to choose?

What will this be like applying to the threats in your project?

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Activity 1.3.7: Conducting Your Threat Rating

STEP 1: Follow the instructions for opening and completing the Threat Rating tool in Miradi.

STEP 2: Working on your own, complete threat ratings for a few target/direct threat combinations.

STEP 3: Review and discuss your ratings with the project team. Consider the following:

Are the ratings sound based on what you know?

What are some of the assumptions or limitations? Record these in your project plan.

Are there any research questions that surfaced? Record those in your workbook or in the relevant sections of your project plan.

How might you prioritize your threats based on the discussion and assessment? Use colors or other notations to highlight these in your draft project plan and provide any relevant insights.

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Complete Situation Analysis, Create Conceptual Model

OVERVIEW AND OBJECTIVES

Summary

Before you begin to think about what you should do to protect animals and habitats in your site, you need to have a clear understanding of what is happening there. A situation analysis is a process that will help you and your project team create a common understanding of your project's context—including the biological environment and the social, economic, political, and institutional systems that affect the animal and habitat targets you want to conserve and protect.

This practice is often overlooked or not explicitly addressed, yet it is one of the most important steps to consider. By understanding the biological and human context, you will have a better chance of developing appropriate goals and objectives and designing strategies that will help you achieve them. The challenge here is to make your logic explicit without spending too much time trying to develop a perfect model of reality. Once you have conducted a situation analysis, you create a model to document and diagram your team's understanding of the context of your project, as well as threats and other factors impacting your animal/habitat target.

By the end of this lesson you will be able to:

✔ Identify and understand the relationships between factors affecting your direct threats and animal/ habitat targets.

✔ Understand how factors negatively (indirect threats) or positively (opportunities) influence direct threats and animal/habitat targets.

✔ Document the results of your situation analysis in a conceptual model.

SITUATION ANALYSIS

Activity 1.4.1: The 5 Whys

Work in teams of 3–4 people.

Use the orange cards to write each underlying reason why people don't exercise every day. To the extent possible, use each card as a prompt to ask why that underlying reason occurs, what causes it?

Once you feel like you have diagnosed the problem, identify some new strategies to get people to exercise every day.

Group discussion.

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Introduction to Situation Analysis

A **situation analysis** involves an analysis of the key factors affecting your targets, including:

- **DIRECT THREATS:** Human activities that immediately affect an animal/habitat target, but can also be natural phenomena whose impact is increased by other human activities.

- **CONTRIBUTING FACTOR:** A factor identified in an analysis of the project situation that is a driver of direct threats. Often an entry point for conservation or animal welfare actions. Sometimes referred to as an "indirect threat" or "underlying driver".

- **OPPORTUNITY:** A factor identified in an analysis of the project situation that potentially has a positive effect on one or more targets, either directly or indirectly. Often an entry point for conservation or animal welfare actions. In some senses, the opposite of a threat.

- **ENABLING CONDITIONS:** A broad or high-level opportunity within a situation analysis. For example, the legal or policy framework within a country.

This process of analyzing the underlying drivers of your threats, as well as opportunities, is similar to the 5 whys exercise in that you work backwards from your problem (direct threats to your targets) to diagnose why they are occurring.
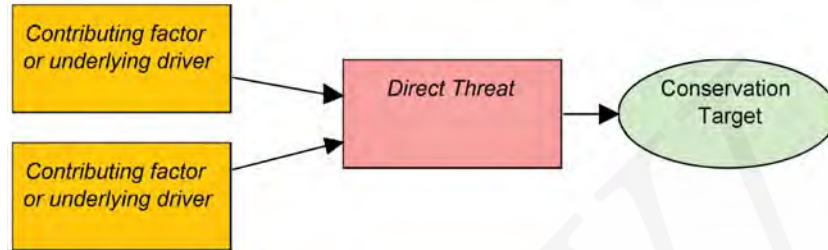
Figure 1.4.1 Contributing Factors

Using the IFAW CSP as a guide, an example of direct threat, contributing factors and animal target can be seen in **Figure 1.4.2**:
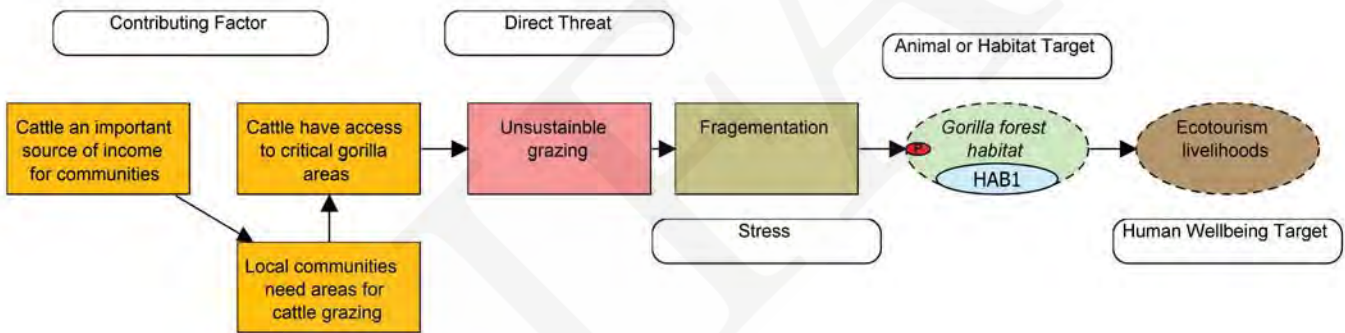
Figure 1.4.2 Contributing Factors Chain

Conceptual model (or "concept model") is the tool, either built from sticky notes or in *Miradi* (or both!) that puts all of these pieces together in one graphic or visual display. It maps out a set of causal relationships between factors that are believed to impact one or more targets. A good model should explicitly link the animal/habitat targets to the direct threats impacting them and the factors (indirect threats and opportunities) influencing the direct threats. A conceptual model provides the basis for determining where you can and should intervene with your strategies.

A good concept model:

✓ Explicitly links animal/habitat targets to direct threats and the factors influencing the direct threats.

✓ Demonstrates social, economic, and biological conditions within your project scope.

✓ Highlights key assumptions as well as key areas of uncertainty.

✓ Has appropriate level of detail for project needs.

> **TIP!** *Don't strive for perfection — strive for a product that will help you and your team members effectively summarize what is happening at your site and decide what to do in a strategic fashion.*

▶ Presentation 1.4.1: Situation Analysis and Gathering Information

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Gather Information about the Factors Affecting Your Conservation Targets

Often project teams *think* they have a shared understanding of their project's context and what the main threats and opportunities are. In going through a formal process to gather information about the site and using it to document underlying assumptions about the project's context, however, project teams often find they have somewhat different perceptions of the same situation. For example, biologists tend to focus on the biological aspects of the site, whereas development organizations tend to focus on the socioeconomic aspects. A situation analysis helps all project team members come to a common understanding of your site's context, its critical threats, and the underlying factors (contributing factors and opportunities) you should be considering in your project planning.

SITUATION ANALYSIS

Analysis of an Existing Project

The project team can conduct a situation analysis at varying levels of detail, depending on how much knowledge they have about the site, the animal/habitat targets, and the biological, social, economic, political, and cultural factors that may influence the health of the targets. Whether you are starting a new project or conducting a situation analysis of an ongoing project, the process takes time and generally requires ongoing adaptation and collection of information.

For example, a team that has been working for several years on forest habitat management may have a good idea about the current condition of the forests and the extent to which they are threatened by clearcutting, selective logging, slash-and-burn agriculture, road construction and other actions. This same team, however, may feel the need to gather information or consult with specialists about issues driving direct threats, such as national and international demand for high-value timber, local community livelihood strategies, and how the policy environment influences resource use and extraction.

Analysis of a New Project

A project team that is just beginning to work in a site will generally need to dedicate several months to their situation analysis before planning their project. While we list this as a single step in building a conceptual model, it actually may be a more detailed process, depending on the existing knowledge of the area. Conducting a thorough situation analysis is a key step that lays the foundation for your team to build an accurate conceptual model.

Sources of Information for Your Situation Analysis

Sources of information for a situation analysis can include:

1: Existing literature (e.g., scientific publications, theses, gray literature)

2: New or primary research conducted by your team

3: Key informants, such as resource users, community members, scientists, project managers or others who know something about the current and historic status of each target and what practices are affecting (or have historically affected) these habitats and species

Thus, a situation analysis can involve anything from a cursory review of existing information and a fairly brief discussion with key informants to an in-depth analysis of documents and a more lengthy process of consultation with key informants. Use your judgment to decide how much time and energy to devote to a situation analysis. Though it is very important as it lays the groundwork for all subsequent steps in your planning process, projects should not get caught in "planning paralysis," spending months or even years gathering information without implementing activities.

Activity 1.4.2: Situation Analysis and Conceptual Model for Your Project

Work with you project team to follow instructor guidance. Each team will be working to build a conceptual model for their project.

STEP 1: Make sure you have your scope, directs and direct threats aligned on the sticky wall using the half sheets.

STEP 2: Work backwards from one direct threat and brainstorm contributing factors. Be sure to allow new team members to ask clarifying questions to help identify new ideas about current context.

STEP 3: Write each factor on an orange card.

STEP 4: Clarify relevant stakeholders and motivations (ie, why they are/aren't doing something?) Who are they?

STEP 5: Identify opportunities where relevant.

STEP 6: Repeat for additional direct threats where there is time.

STEP 7: Using the lesson content as a guide, stop when you and your team feel like they have a "good" conceptual model.

STEP 8: STAR any cards that reflect key areas of Uncertainty—factors that are critical to your situation analysis but you are uncertain about.

> **TIP!** *If your team identified more than 10 direct threats, you may want to leave your low rated threats out of the model — although important, they are less critical to address for planning purposes.*

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SITUATION ANALYSIS

Activity 1.4.3: Putting Your Conceptual Model into *Miradi*

Following the guidance from the instructor, use your photos to rebuild your concept model in *Miradi*.

STEP 1: Make sure you are in diagram mode "Conceptual Model", with all of your relevant threats and targets displayed.

STEP 2: Start by adding all of the contributing factors for one or two threats, using "Insert Contributing Factor".

STEP 3: Move the boxes around so that they flow/fit in the way you'd like. Then start adding arrows using "Insert Link".

Note that if you highlight the contributing factors you want to connect, hold the "Ctrl" key and right click "Insert: Link" you can move more quickly to connect your factors.

STEP 4: Continue until all of your factors are included—to distinguish opportunities sometimes use a +++ sign as needed.

STEP 5: Flag the instructors if you need any help!
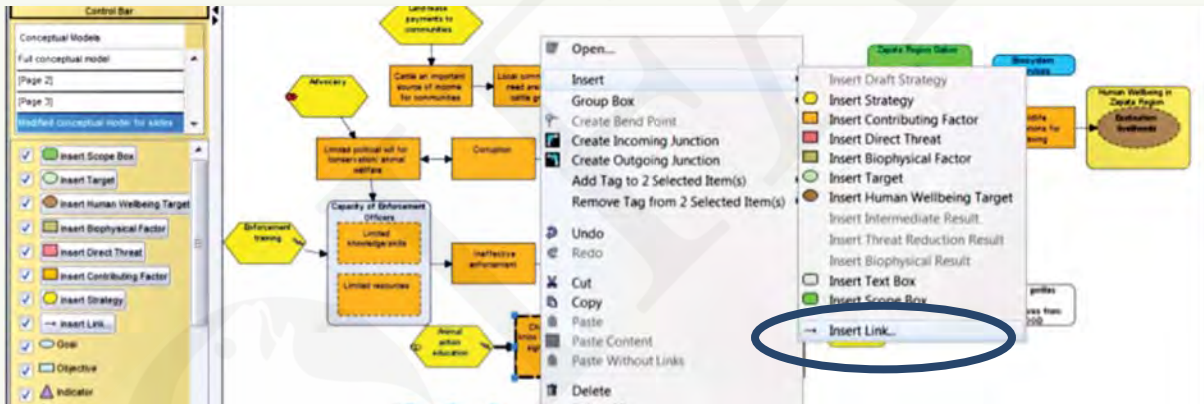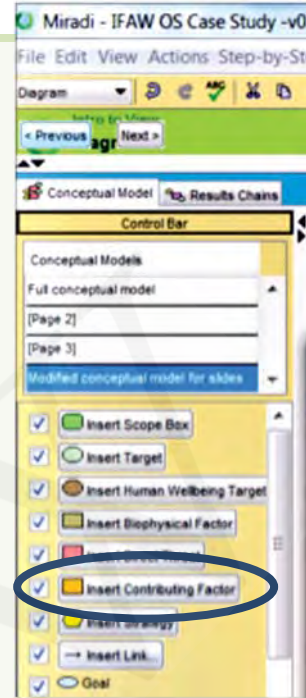
Ensure You Have All the Information You Need

To complete your situation analysis and concept model, you should make sure you have information on the indirect threats and opportunities affecting your direct threats. These factors may include economic, political, institutional, social, or cultural influences. Examples of common indirect threats include weak legislation and enforcement, strong market demand, and limited environmental awareness or conscience. Conversely, you may have opportunities around similar issues — for example, strong legislation, markets for certified products, a high level of awareness of animal welfare issues, and cultural values that support conservation and sustainable resource management. Some questions to consider include:

- Who is involved in this direct threat? What exactly are they doing? Why are they conducting these activities?

- What incentives and disincentives influence this direct threat?

- What economic, political, institutional, social, or cultural factors contribute to this threat?

- Are there positive factors (opportunities) that currently contribute or potentially could contribute to decreasing this threat?

You can use these questions to identify any critical next steps or research questions in the back of your workbook.

Human Wellbeing Targets and Goals

OVERVIEW AND OBJECTIVES

Summary

Having worked on your situation analysis, you now have a better sense for how humans and their actions fit into your *IFAW Open Standards* plan. So far, you have articulated where people can create the problems as well as the opportunities for your animal and/or habitat targets. However, there is an additional dimension where we can specifically consider the wellbeing of people within our project scope. In this next module we explore how human wellbeing can become part of our strategies as well as our goals.

By the end of this lesson you will be able to:

✓ Identify if human wellbeing targets are relevant for your project.

....

✓ Articulate the connection between healthy animal/ habitat targets and human wellbeing targets.

....

✓ Identify how human wellbeing outcomes derived from development strategies are different.

....

✓ Draft human wellbeing goals where relevant for your project.

HUMAN WELLBEING TARGETS

Introduction to Human Wellbeing Targets

When we evaluate the challenges and opportunities in improving the welfare or conservation status for our animal and habitat targets, humans are always part of the problem…and the solution. So far we have only identified how human behaviors and enabling conditions have led to serious threats for animals or habitats. But what about the role of healthy, happy human populations in achieving conservation and welfare goals? Don't we have goals for the people and communities we work with?

The *IFAW Open Standards* process helps to clarify our approach to what we want to achieve for human communities in a number of ways:

1: IFAW distinguishes itself from a development organization in that we don't initiate human development strategies (e.g. clean water or malaria nets) unless they have positive impact for animals. We are an animal welfare and conservation organization and, as such, our strategies need to benefit animals as well as people.

> **EXAMPLE:** The Bill and Melinda Gates Foundation has a goal of reducing malaria to improve human health and wellbeing in impoverished communities in Africa. They are only concerned with how their strategies reduce malaria, regardless of how those strategies may negatively or positively influence animals or habitats.

2: We may use development and human relief strategies to open doors, create opportunities, and reinforce compassion for animals and people in order to work with communities in key animal or habitat priority areas; with the ultimate goal being an effort to improve animal and habitat targets.

> **EXAMPLE 1:** We may be working to improve the lives of elephants in a certain area, but where human communities are also experiencing serious challenges such as access to clean water. In these instances, we may initiate a strategy to improve human wellbeing—like building a pipeline for water—but ultimately this strategy is being used to allow us to work in an area to achieve our goals for elephants.

> **EXAMPLE 2:** People may suffer alongside animals, and efforts to cultivate compassion and improve the lives of animals can be impossible if we don't recognize how humans may be suffering too. This can mean offering basic necessities such as clean water and rice to people as well as their animals after a disaster.

3: We believe that healthy animal and habitat targets can benefit people in a number of ways: emotionally when they experience good animal welfare in and around their community, spiritually in the existence of animals in and around their community, or tangibly through positive livelihoods due to tourism or payment services.

EXAMPLE: People may have strong negative reactions and emotional disturbance when regularly exposed to negative animal welfare imagery or experiences, such as witnessing the poisoning of dogs in a community or poaching of elephants in a surrounding park. On the other hand, having positive interactions such as the companionship of a healthy dog or cat, can support emotional and spiritual wellbeing for the humans who care for them.

Although these examples are not exclusive, the differences among them have important implications for how we draft our project plans, prioritize strategies, and measure our success.

Activity 1.5.1: Human Wellbeing for IFAW Projects

STEP 1: Review the lesson content on "Introduction to Human Wellbeing" and the three scenarios.

STEP 2: Discuss with your team which context of human wellbeing you may be addressing in your project, if at all. For each, describe the relevant context/concepts.

Group discussion

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How Animal Targets Benefit Human Wellbeing

What is **human wellbeing** in relation to animals and habitats? The Millennium Ecosystem Assessment (2003) offers a useful framework for thinking about human wellbeing in relation to animal and habitat targets. They define human well-being as "the benefits received from healthy animal and habitat targets," and provide some useful categories to consider when thinking about what may be appropriate for IFAW, including:

- **NECESSARY MATERIAL FOR A GOOD LIFE:** secure and adequate livelihoods, income and assets, enough food at all times, shelter, furniture, clothing, and access to goods

- **HEALTH:** being strong, feeling well, and having a healthy physical and emotional environment

- **GOOD SOCIAL RELATIONS:** social cohesion, mutual respect, good gender and family relations, and the ability to help others and provide for children

- **SECURITY:** secure access to natural and other resources, safety of person and possessions, and living in a predictable and controllable environment with security from natural and human-made disasters

The *IFAW Open Standards* define **human wellbeing targets** as aspects of human wellbeing on which a project chooses to focus that are associated with healthy animal or habitat targets. In the context of a conservation or animal welfare project, human wellbeing targets focus on those components of human wellbeing that benefit from healthy animal or habitat targets. This last aspect offers an important clarification. Though a team may care about all aspects of human wellbeing, if its ultimate aim is conservation or animal welfare, it can only reasonably claim to influence human wellbeing as it is derived from or dependent upon conservation or animal welfare targets. However, some projects may directly intervene to support human wellbeing in order to gain community acceptance for other activities (e.g. building a clean water pipe) or to build capacity to address conservation or animal welfare issues in a community (e.g. train local leaders to run participatory workshops). The results of these types of human wellbeing outcomes will be identified separately and later on in the planning process.

> **TIP!** *There are a number of ways in which people and their needs will be incorporated into your project plans and strategies. At this step we are just articulating those aspects of human wellbeing that benefit directly from healthy animals or habitats. Later steps will address additional aspects of people and human wellbeing for your project.*

When considering human wellbeing targets, your team may find it wants to expand or refine the interpretations. For example, you could think of health as including physical, emotional, mental, and spiritual dimensions. Again, keep in mind that the categories should serve as a framework for thinking about human wellbeing; where one categorizes the element is less important.

Why is this Distinction Important?

Distinguishing **human wellbeing targets** that benefit from healthy animal and habitat targets is important for demonstrating the relationship between people and animals. As an animal welfare and conservation organization it is important for IFAW to be clear about which of our projects A) address peoples' needs in order to conserve or improve the welfare of animal targets (e.g., alternative livelihoods), versus B) conserve or improve the welfare of animal or habitat targets which will ultimately serve people (e.g., rabies vaccinated dog populations).

For the *IFAW Open Standards*, you will identify **human wellbeing goals** for each of those targets that uniquely benefit from happy healthy animal or habitat targets.

▣◀ Presentation 1.5.1: Human Wellbeing Targets and *IFAW Open Standards*

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Examples of *IFAW Open Standards* Human Wellbeing Targets
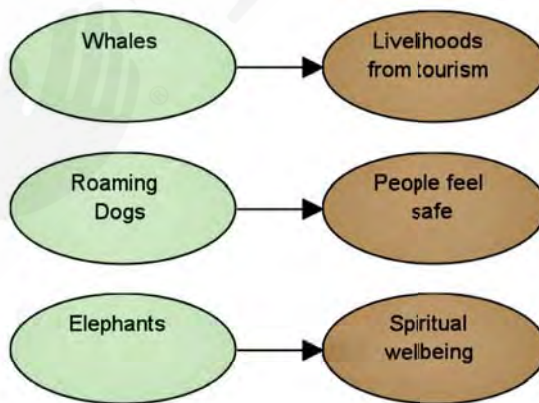
Figure 1.5.1 Connecting IFAW targets with human wellbeing targets

In the examples provided in **Figure 1.5.1**, each target provides benefits to human wellbeing. For example, when healthy populations of whales exist, they provide opportunities for tourism in the region that potentially create jobs and improve livelihoods associated with tourism. If roaming dogs are free from disease such as rabies, then people in the community may feel safer interacting with their dogs. Finally, many communities in Africa are happy to have elephants around and get spiritual satisfaction from them. Healthy happy elephants could lead to spiritually fulfilled communities (when they are not experiencing human-elephant conflict!).

Activity 1.5.2: Human Wellbeing Targets for Your Project

STEP 1: On your own, review the lesson content on "Introduction to Human Wellbeing", the IFAW CSP, and your presentation notes as well as examples.

STEP 2: Work with your team to brainstorm any human wellbeing targets that may benefit from happy, healthy animal or habitat targets.

STEP 3: Write each target on a brown half sheet of paper.

Group discussion

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Developing Goals for Your Human Wellbeing Targets

Similar to your animal and habitat targets, if you have human wellbeing targets you should develop measurable goals for them. Although you won't be using the structured process of viability and KEAs for this step, human wellbeing goals will be directly tied to the targets identified in the previous step.

Steps in developing your human wellbeing goals:

1: Identify human wellbeing targets that benefit directly from healthy/ happy animal and habitat targets.

2: Use the best practices for goal setting in Module 1.2 (including SMART) to identify specific measurable attributes of the human wellbeing target that may be achievable in the long-term.

3: Draft a measurable goal statement for each human wellbeing target.

4: Work with a monitoring expert to define appropriate indicators and measurement approaches.

Example 1 goal setting for human wellbeing:

HUMAN WELLBEING TARGET: People feel safe.

DRAFT 1: Increase in the number of people in the community who feel safe.

DRAFT 2: Increase in the number of people in the community who feel safe from dog bites.

FINAL DRAFT 3: By 2025, there is a 20% increase in the number of people who report feeling safe from dog bites in their community (up from 30%).

Activity 1.5.3: Human Wellbeing Goals

STEP 1: On your own, review the lesson content and steps on developing goals for your human wellbeing targets, Module 1.2 on goals, the IFAW CSP and your presentation notes as well as examples.

STEP 2: Work on your own to draft one human wellbeing goal. Follow the steps outlined in **Activity 1.2.11** and identify a time frame and desired future condition for the human wellbeing target in draft 1:

Initial Draft:

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STEP 3: Review the best practices criteria and adjust your draft goal

Draft 2:

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STEP 3: Review drafts with your project team to finalize. Discuss any implications

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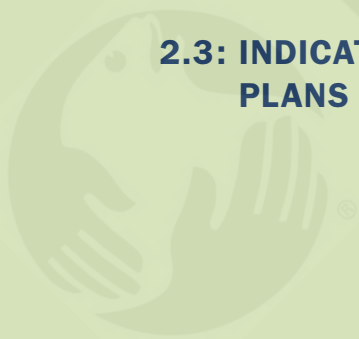_____

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IFAW Open Standards Module Two

2.0: STRATEGY IDENTIFICATION AND PRIORITIZATION

2.1: RESULTS CHAINS AND ACTIVITIES

2.2: OBJECTIVES, INDICATORS, AND METHODS

2.3: INDICATORS AND MONITORING PLANS

Strategy Identification and Prioritization

OVERVIEW AND OBJECTIVES

Summary

Now that you have completed Step 1 of the *IFAW Open Standards,* you are ready to start planning your actions and monitoring. When teams do project planning this is often where they start, but all of the work up until this point is critically important and will continue to feed the planning process. For example, while some individuals might have their own idea of what is happening at their project site, they have not explicitly shared and agreed upon that understanding with their team. If you have been applying the guidance in the *IFAW Open Standards*, you and your core team should have a very clear idea of your site's context, the project vision, what you ultimately want to conserve or protect, and what is affecting the health of your animal or habitat target. With all of this information in hand, you are in a good position to choose relevant strategies and set objectives that are well-suited for your circumstances.

By the end of this lesson you will be able to:

✔ Distinguish between strategies, activities, and tasks.

....

✔ Determine where current strategies fit into your conceptual model.

....

✔ Recognize key intervention points.

....

✔ Prioritize project strategies.

....

✔ Put project strategies into *Miradi.*

....

✔ Export relevant information from *Miradi* into a draft project plan.

STRATEGY IDENTIFICATION

Activity 2.0.1: Thinking Outside the Box

Follow instructor guidance

Group discussion

Activity 2.0.2: Strategy, Activity, Task?

Follow instructions for sticky wall breakout groups

Put half sheets into the right category

Group discussion

Introduction to Strategies

Determining which **strategies** to implement is arguably the most important step in the project planning process. Yet, often, project teams develop their conservation and animal welfare projects based on what they know how to do—not necessarily what is most *strategic* to do.

For example, if an organization has staff with skills in environmental education, it may automatically plan on doing an environmental education project. Or if there are team members who have experience running alternative livelihoods projects, they may assume their project should focus on helping a community generate income through products that don't require timber from a local protected forest. While this might seem like a good idea, such an approach is driven by the supply of skills and expertise available rather than by what the project area really needs to conserve and protect its animals or habitats.

In Module 1.5 of the *IFAW Open Standards*, you developed a conceptual model that portrays what is happening at your site, including what you are trying to conserve or protect (your targets), the main direct threats, and the factors (indirect threats and opportunities) that are driving your direct threats. You may have also chosen to include human wellbeing targets, and/or biophysical factors. True strategic planning involves using your conceptual model to determine where you will intervene…and where you will not.

STRATEGIES

Box 2.0.1: Clarifying Direct Threats, Factors, Intervention Points, and Strategies

Key Intervention Point: *A factor (indirect threat, opportunity, direct threat, biophysical factor, or target) in your conceptual model where you could develop a strategy to ultimately improve the conservation or welfare status of one or more animal/habitat targets.*

Strategies: *A group of actions with a common focus that work together to reduce threats, capitalize on opportunities, or restore natural systems. Strategies include one or more activities and are designed to achieve specific objectives and goals. Strategies are generally developed at key intervention points.*

Identifying Key Intervention Points

The first decision you must make in determining your intervention points is to prioritize which factors in your conceptual model you will need to influence. Fortunately, you have already done most of this work by developing a conceptual model and rating your direct threats.

YOUR INTERVENTION POINTS MIGHT BE…	SUCH AS…
A stress/biophysical factor	*a strategy to provide rescue or relief to individual animals*
The direct threat to the target	*a strategy to reduce the occurrence of the threat*
Indirect threats and opportunities affecting the direct threats	*a political, social, economic, or livelihood strategy*
On the target itself	*a reintroduction or restoration strategy*

The process of identifying where to intervene helps you narrow down the potential strategies you could take at your site.

To identify the key intervention points on your conceptual model, prioritize those factors that:

1. Contribute to threat abatement

2. Can influence multiple factors in the model

3. Urgently need to be addressed (the factor itself or related factors)

TIP! *When brainstorming strategies for your project, the key is to not limit your thinking, but to try to quickly brainstorm as many ideas as you can. When working in a group, it's also important to be open to others' ideas. Even if the first thought isn't perfect, it can inspire new ideas that are the right fit.*

You should also keep in mind what others are already doing when brainstorming. If another group is already implementing a strategy and doing it well, you may only want to include that strategy in your brainstormed list if you can somehow support or complement what is already being done.

Example: Using your concept model to identify key intervention points and strategies

In our IFAW CSP, the threat of poaching and relevant contributing factors is highlighted (**2.0.1**) as the highest rated threat. When considering stakeholders, poaching is driven by four different groups: the individuals that do the poaching, crime networks that buy and sell gorillas, local and national governments that are not enforcing laws effectively, and the general public that lacks awareness about the wellbeing of gorillas. Thinking about each of these stakeholder groups, you might identify a suite of strategies to change what these groups are doing. See **Figure 2.0.2**.
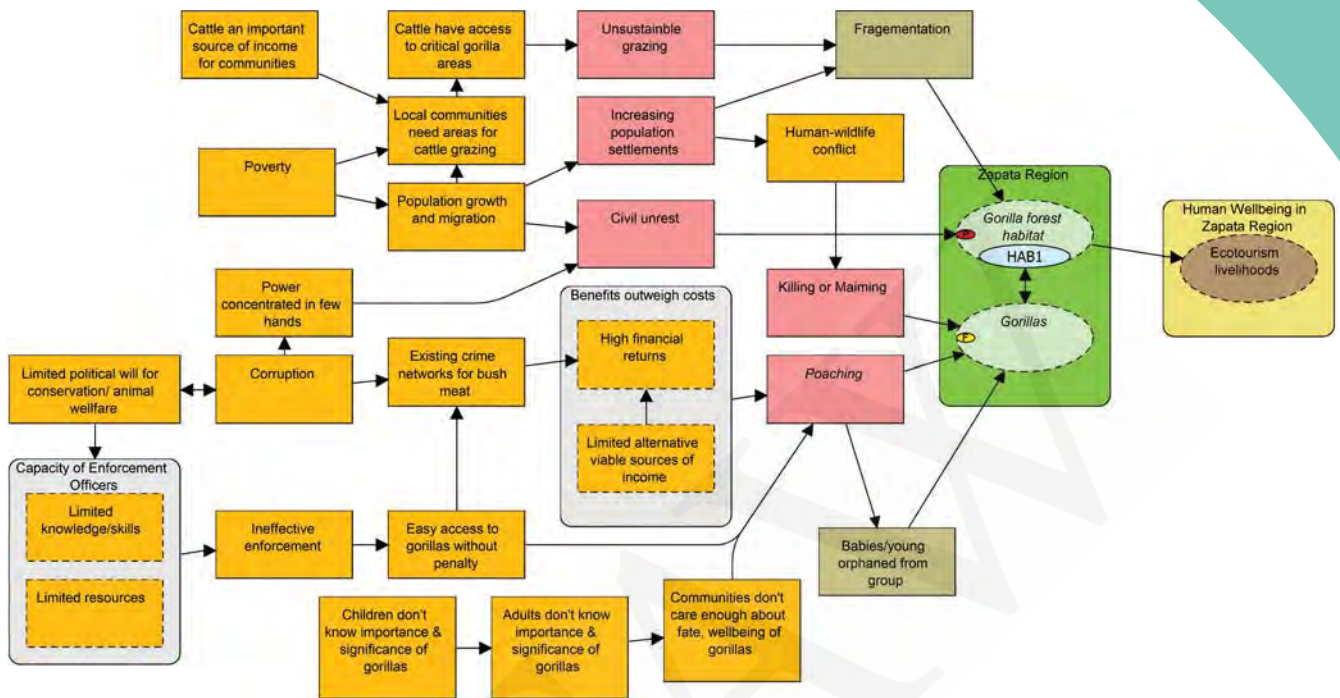
Figure 2.0.1 CSP Conceptual Model
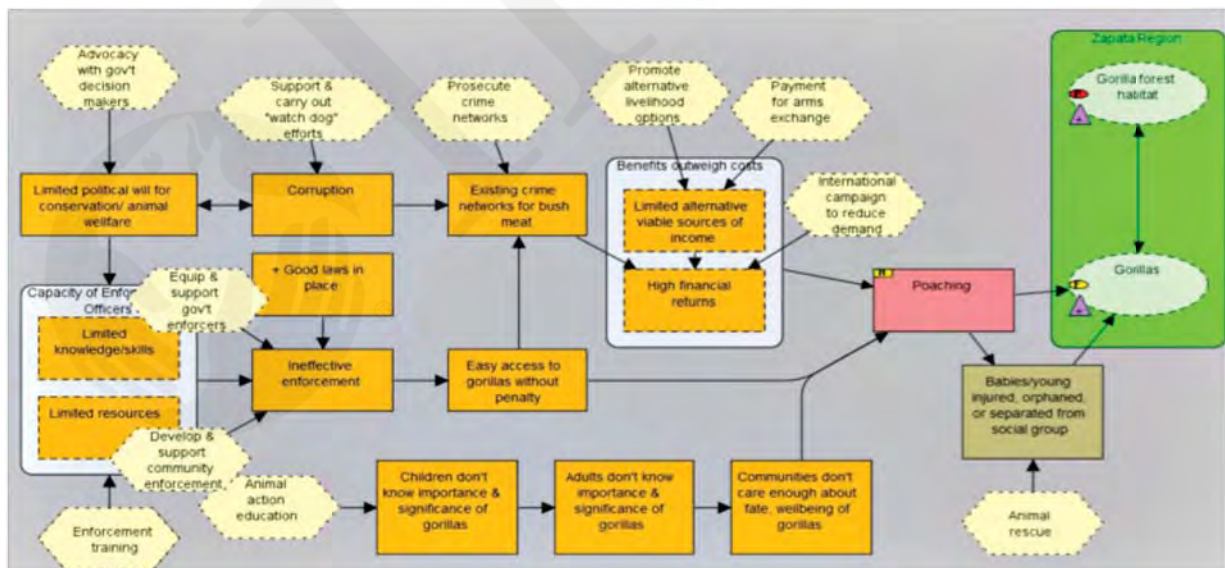
Figure 2.0.2 CSP Conceptual Model with Draft Strategies

Activity 2.0.3 Identify Your Key Intervention Points and Strategies

Review the lesson content and the IFAW CSP.

STEP 1: Using the criteria for key interventions and printout of your conceptual model, consider intervention points.

STEP 2: Circle what you think are the key intervention points for each project.

STEP 3: With those identified, brainstorm some new or existing strategies that will reduce threats to your animal or habitat targets. Don't be afraid to get creative, and don't limit your thinking.

STEP 4: In your project teams, review everyone's strategies. Be sure to highlight or write down new and possible strategies suggested by your teammates for consideration in your project.

Group Discussion

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Activity 2.0.4 Putting Your Strategies into *Miradi*

STEP 1: Open your *Miradi* project

STEP 2: In diagram mode "Conceptual Model" click on "Insert Strategy"
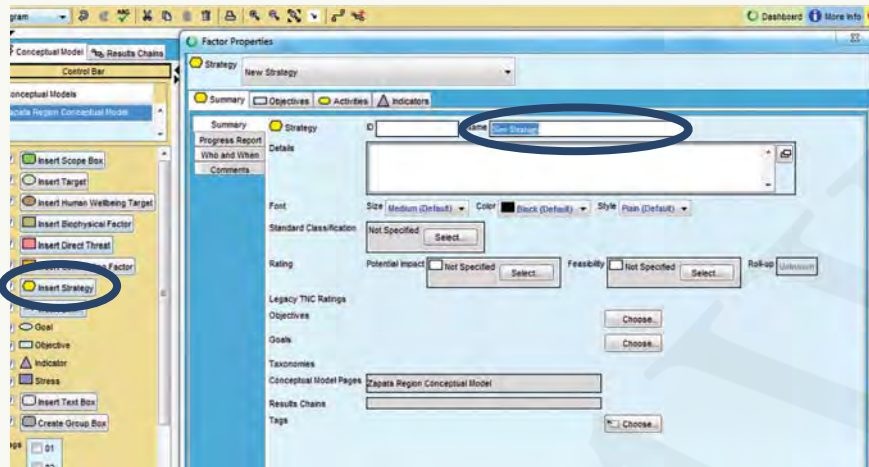
STEP 3: Put all strategies drafted in the diagram and connect using "Insert Link" to your key intervention points.

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STRATEGY RATING

▶ Presentation 2.0.1: Strategy Rating

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Criteria to Narrow Strategy Choices

Now that you have analyzed your conceptual model, you have likely identified several key intervention points that you need to affect and even more potential strategies for doing so. Depending on the human, financial, and political resources available to your project, you will likely have to limit the number of intervention points you can try to affect.

> ### Box 2.0.2: Rating Strategies in *Miradi*
>
> *If you are using Miradi, the software has a rating process that will help you narrow down your strategies. By double clicking on a strategy, you can do a qualitative rating for both potential impact and feasibility. Miradi then rolls up the ratings and assigns an overall rating -Very Effective, Effective, Less Effective, Not Effective - and corresponding color rating for the strategy, (similar to those used in the threat rating process) for the strategy. If you are not using Miradi, you can create your own simple spreadsheet using the same definitions and rating categories:*

Selecting which factors to address and which strategies to use can seem like a daunting task. For each threat, however, you will probably be able to easily identify several strategies that are likely to be the most effective and the most feasible, in terms of the available and necessary resources.

There are two criteria by which you can start narrowing down your initial choices. These aren't the only criteria you need to use, but provide a starting point to refine your list of potential strategies.

POTENTIAL IMPACT – Degree to which the strategy (if implemented) will lead to desired changes in the situation at your project site. Note that you will be provided additional tools in the next step of the IFAW Open Standards that will help you more deeply assess potential impact.

LOW	MEDIUM	HIGH	VERY HIGH
The strategy will **probably not contribute** to meaningful threat mitigation or target restoration.	The strategy **could possibly help** mitigate a threat or restore a target.	The strategy is **likely to help** mitigate a threat or restore a target.	The strategy is **very likely to completely** mitigate a threat or restore a target.

> **NOTE:** *There are at least two dimensions rolled into this rating — probability of positive impact and magnitude of change. Users should mentally integrate these into their rating.*

FEASIBILITY – Degree to which your project team could implement the strategy within likely time, financial, staffing, ethical, and other constraints

LOW	MEDIUM	HIGH	VERY HIGH
The strategy is **not ethically, technically, or financially feasible**.	The strategy is **ethically feasible, but either technically or financially difficult** without substantial additional resources.	The strategy is **ethically and technically feasible, but may require some additional financial resources**.	The strategy is **ethically, technically, and financially feasible**.

Figure 2.0.3 Example Strategy Rating Window in *Miradi*
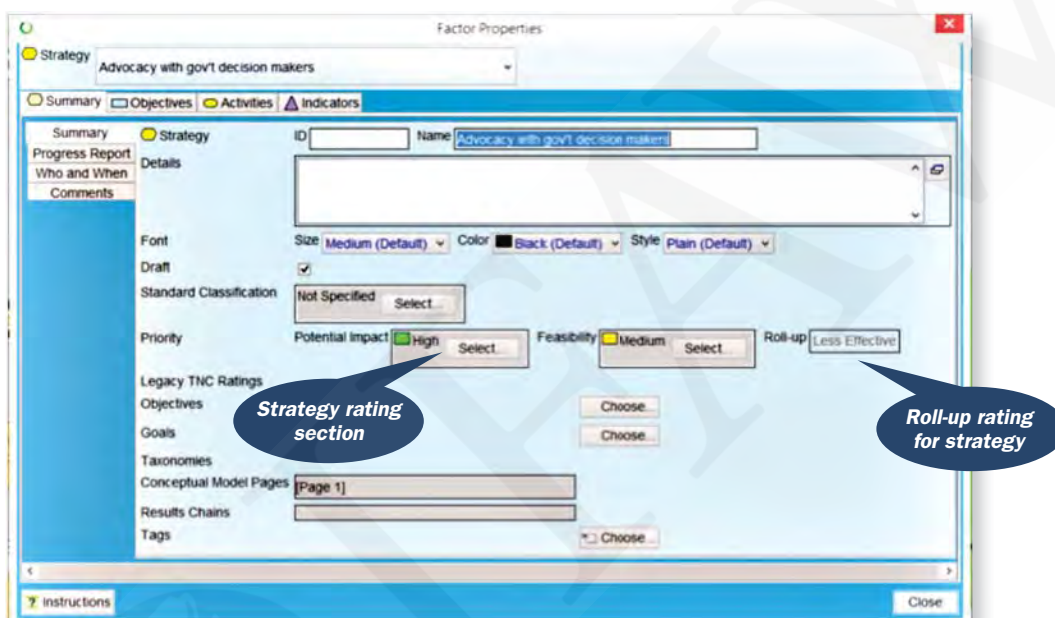
Once you have the roll-up rating for all of your strategies, you should discard any of your "Ineffective" (or "low") draft strategies. If you are using *Miradi*, it will place a small red hexagon on these strategies to indicate they have been rated ineffective. You should also abandon many or most of your draft strategies rated as "Less Effective" (indicated by a yellow hexagon), but not all of them. While it may seem that you should abandon these strategies, *Miradi*'s initial prioritization is very coarse and many strategies with promise may be rated as "Less Effective" given your current knowledge and resources. The strategies that definitely remain should be the ones rated as "Effective" or "Very Effective".

STRATEGY RATING

More Criteria to Narrow your Strategy Choices

You now have a narrowed-down list of strategies for addressing the greatest threats at your project. Still, it is possible the list will have more strategies than you can realistically address with your project. The strategy ratings in *Miradi* will give you an initial prioritization but you may want to consider other criteria to make your final choice. At this point, it is often helpful to do another prioritization process.

Depending upon your project's needs, you could narrow down the strategies under consideration through a team discussion, or you could do a relative ranking exercise to help you choose your strategies. Both approaches have their benefits and challenges. A discussion with your team could be quicker and more efficient, but a more formal ranking process will help your team more objectively consider and choose from the different strategies.

During a formal discussion with your team, your analysis should include the same criteria you used for the initial rating exercise. In addition to potential impact and feasibility, you should pick one or more criterion for this second prioritization. We recommend the following:

NICHE/GAP THE STRATEGY WOULD FILL – The extent to which your strategy will fill a gap not addressed by another project or organization.

- You may find that you have the perfect strategy to address a particular threat, but another team is already implementing that strategy and doing it effectively. If this is the case, you need to consider whether your resources would be better spent implementing a different strategy and addressing a key intervention point where nothing is currently being done, or whether you could support existing work.

- You ideally want to choose intervention points where you can add the most value for conservation or animal welfare in general. This may mean filling a gap by implementing an entirely new strategy or filling a gap by providing additional resources to an existing strategy implemented by another group or project.

URGENCY - The need to act to address the threat immediately because the consequences of delaying action are too great.

- Working on preventing invasive species is a good example of an "urgent" strategy. Action now could avoid significant impacts the invasive species would have in the future, and reduce overall resources devoted to this threat.

- Another example of an "urgent" strategy would be work to prevent a new road or dam from being constructed. Once the infrastructure plans are in full motion, it can be very hard to prevent or mitigate the construction.

POTENTIAL FOR FUNDRAISING – As IFAW transitions to a new philanthropy model, an ability to fundraise on a strategy may be viable criteria for selection. However, the strategies still need to be impactful given our priorities! This is a good opportunity to work with our Development teams to identify fundraising potential or consider how opportunities to secure funding may be a valuable step in your planning process.
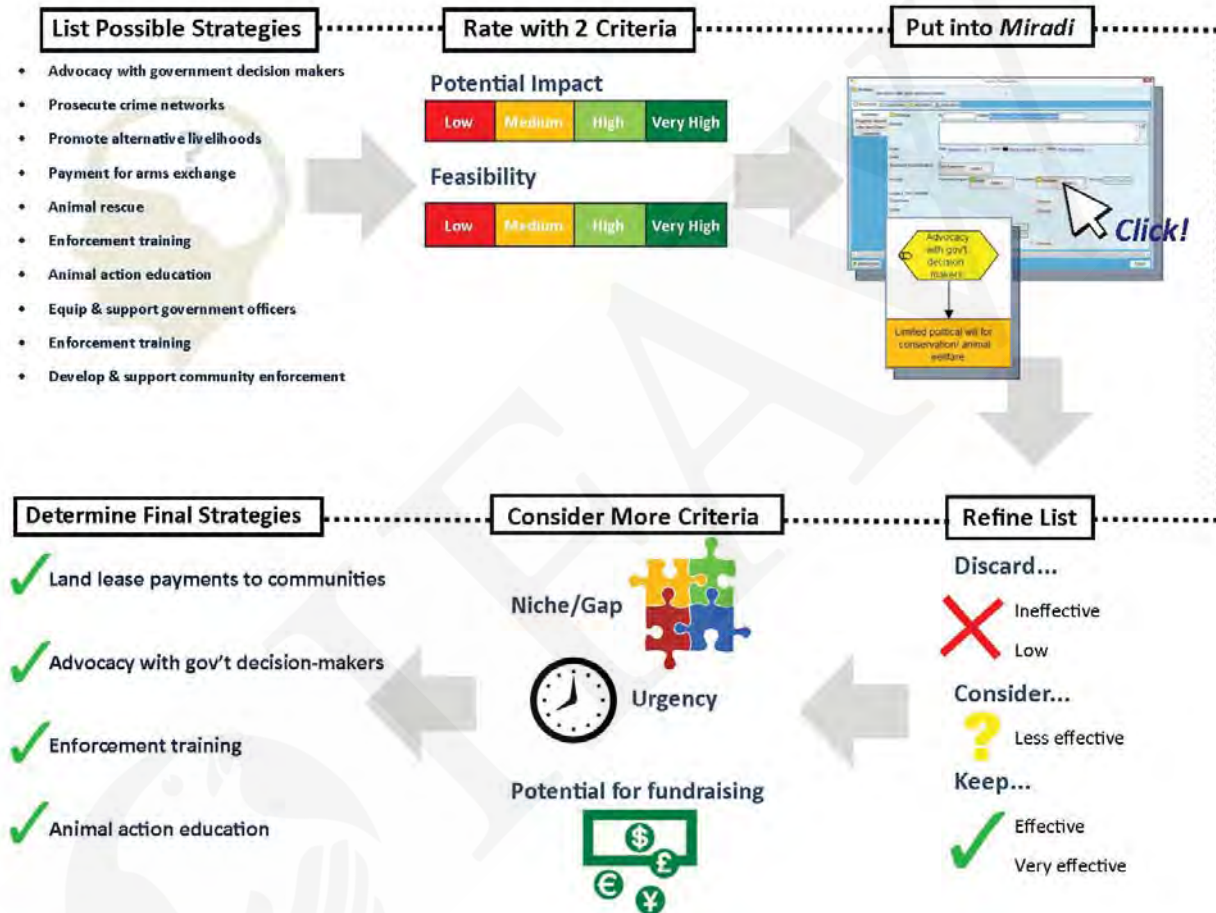

Figure 2.0.4 Strategy Selection Process

Based on your analysis above, choose your "final" set of strategies. We have used quotes around the word "final" as a reminder to your team that, when practicing adaptive management, you will be regularly updating your model and your strategic plan based on new knowledge you gather as you go along.

Activity 2.0.5 Rating Strategies

Based on the presentation, a review of the lesson content, and the IFAW CSP, use *Miradi* to rate your strategies using the criteria of "feasibility" and "potential impact".

STEP 1: In "diagram mode", click on one of your strategies. Using the guidance in the lesson content and in *Miradi*, rate the strategy. Repeat for each of your strategies.

STEP 2: Once complete, be prepared to discuss with your project team the results of your rating.

STEP 3: In project team groups, review each project's strategies, identifying those that are likely to be prioritized and those that are not. In addition, discuss:

1. Do remaining strategies need additional ranking given resource limitations?

2. If so, which of the strategies:

    a. Maximizes our niche?

    b. Are urgently needed?

    c. Have fundraising potential?

    d. Are not being done by anyone else?

STEP 4: After discussing with your project team, "finalize" your set of strategies for your project.
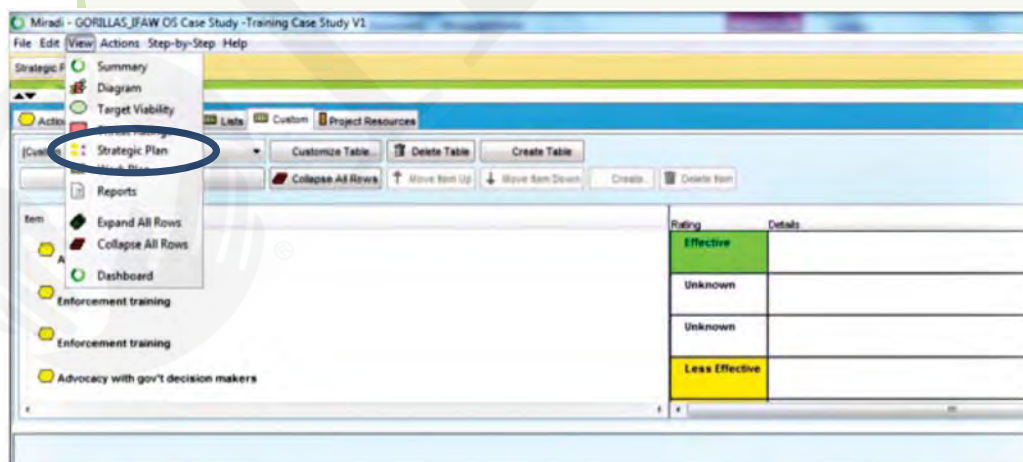
STEP 5: Export your strategies from Miradi by:

1. In diagram view, click on "View" and "Strategic Plan" "Custom Table"

2. In Custom Table view, click on "Customize Table" and select "Strategy" in row and "Rating" in column.

3. Export the table by clicking "File" "Export Page As" "RTF" and saving to a relevant location. Open the file and copy and paste the table into your project plan.
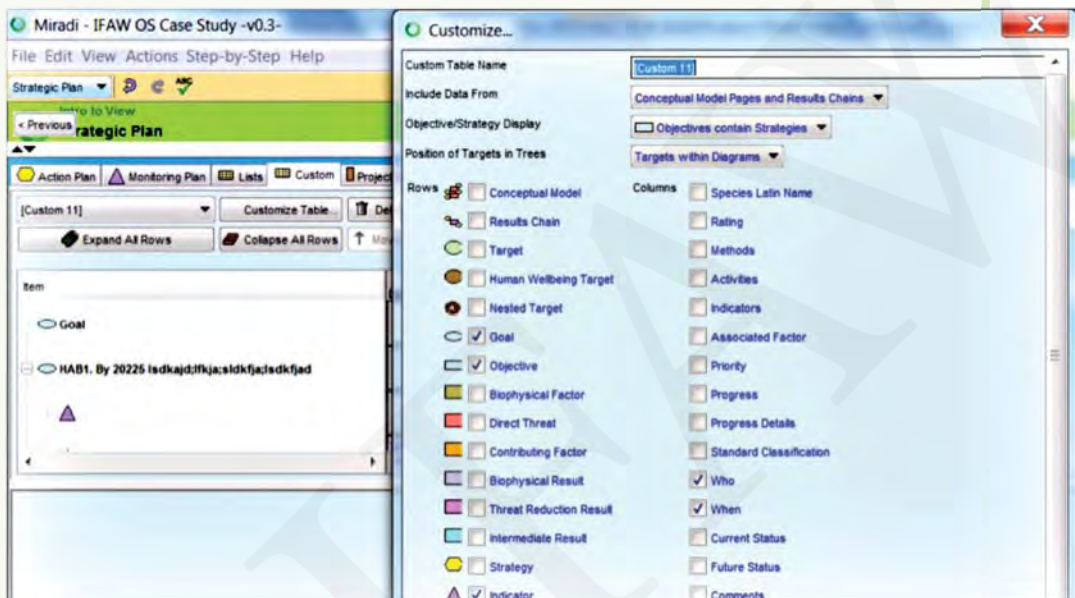
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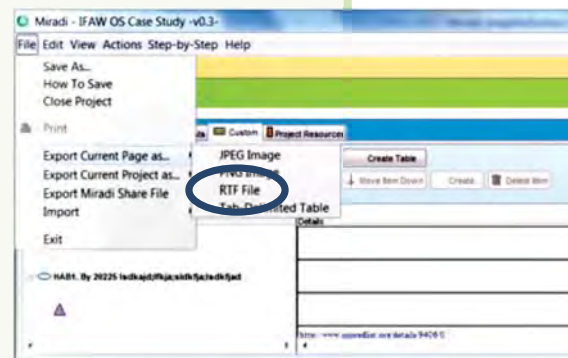
Results Chains and Activities

OVERVIEW AND OBJECTIVES

Summary

Project teams often implement strategies without really knowing how they will lead to conservation or animal welfare results. They rely on past experience, expert knowledge, or even wishful thinking to guide the selection of strategies, and rarely formally state their assumptions about exactly how the strategies will achieve desired results and impacts. This chapter unearths what is valuable about our assumptions and how to capture them, allowing us to later consider their implications for effective monitoring and evaluation.

By the end of this lesson you will be able to:

✔ Identify what a good results chain looks like.

✔ Work independently and with a team to create a good results chain.

✔ Identify where there are key assumptions in the results chain that may be important to test.

✔ Put project results chains into *Miradi.*

✔ Export results chains into your project plan.

DEVELOPING RESULTS CHAINS

Activity 2.1.1: If This Happens Then…

Follow instructions to put the cards your receive into logical "if then" results.

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📹 Presentation 2.1.1: Results Chains

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Introduction to Results Chains

As shown in **Figure 2.1.1**, it is likely that there are many implicit assumptions about how strategies will contribute to achieving a conservation or animal welfare result. These series of assumptions represent a **theory of change**, a comprehensive description of how and why a desired change is expected to happen.

At the same time, it is not uncommon for members of the same team to hold different assumptions that they have not shared with each another. Since the assumptions are not explicit, the project team cannot formally agree on their theory of change and therefore test it, learn, and determine over time if it is valid.
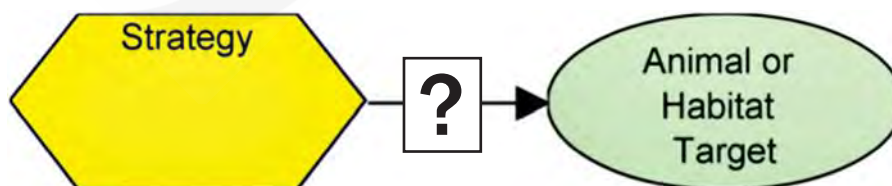

Figure 2.1.1 Implicit Assumptions

A **results chain** is a tool that clarifies assumptions about how strategies are believed to contribute to threat reduction and achieve the conservation or protection of targets. They are diagrams that map out a series of causal statements that link factors in an "if…then" fashion. For example:

> *If* an opportunity is taken or a threat is reduced, *then* an animal or habitat target is improved.

Some organizations use logic models, which are similar to results chains, but tend to include less detail and do not explicitly tie the results from one box to those in another.

As shown in **Figure 2.1.2**, results chains are composed of a strategy, desired results and threat reduction, and the ultimate impact that these results will have on the animal or habitat target. They are also tied to your goals and objectives. The basis for a results chain comes from your conceptual model, but you will build on that model to make it more detailed and to change the boxes from neutral factors to results you want to see.

A conceptual model shows what the project context looks like today, whereas the results chain shows the desired future state.
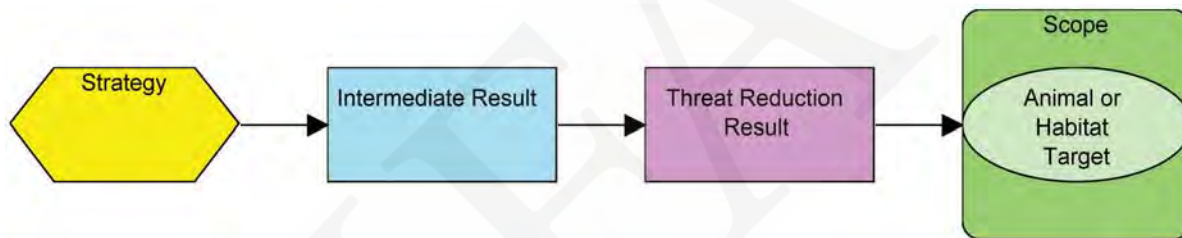
Figure 2.1.2 The Basic Components of a Results Chain

To be successful, a project must be based on both sound project theory—in other words, an accurate results chain – and good implementation. When a project does not produce desired results, people usually assume that the project team did not carry out the planned activities well enough. Projects may fail, however, due to theory failure, even when the project team does an excellent job implementing the project activities.

Many projects are based on general assumptions that warrant testing. A few examples include:

- *If we increase the income of local communities, then community members will not engage in activities that degrade animal welfare or drive species towards extinction.*

- *If people understand the impact of global warming, then they will change their practices to reduce their carbon emissions (by using public transportation, taking fewer airplane trips, buying energy efficient appliances, etc.).*

- *If people learn how to implement sustainable practices (e.g., sustainable agriculture), then they will stop using destructive practices (e.g., slash-and-burn agriculture).*

A good results chain should meet the criteria in **Box 2.1.1**. When you develop your results chain, review these criteria and make sure it meets them.

In particular, you want to ensure that your results chain is "results oriented". A common mistake when developing a results chain is to list all the activities that your team must undertake to implement your strategy. This produces an implementation chain, not a results chain. An implementation chain does not show the causal logic that connects a strategy to a desired conservation or animal welfare impact. As such, it does not provide you with an idea of the assumptions you need to test in order to know whether your strategy is working or not.

Box 2.1.1: Criteria for a Good Results Chain

A good results chain should meet the following criteria:

- **Results oriented:** *Boxes contain desired results (e.g., reduction of hunting), and not activities (e.g., conduct a study).*

- **Causally linked:** *There are clear "if…then" connections between successive boxes.*

- **Demonstrates change:** *Each box describes how you hope the relevant factor will change (e.g., improve, increase, or decrease).*

- **Reasonably complete:** *There are sufficient boxes to construct logical connections but not so many that the chain becomes overly complex.*

- **Simple:** *There is only one result per box.*

Reading your chain out loud is a good test of whether the results are "causally linked." Read the chain from left to right, linking each pair of results with an "if…then" statement. Start by saying, "If we implement X strategy, then we will achieve Result A. If we achieve Result A, then Result B will occur…" This will help you test your logic. If an "if…then" linkage seems like a leap of faith, you may need an additional intermediate result to make a stronger causal link.

Activity 2.1.2: Testing Assumptions with Results Chains

Work on your own to review the lesson content and any notes from the presentation.

Work with your partner to review the below results chain and answer the following questions:

Does this results chain meet the criteria for a good results chain? Why or Why not?

_____

_____

_____

Are there any major assumptions here that need to be tested?

_____

_____

_____

What changes would you make?

_____

_____

_____

Community Engagement → Increase knowledge about declining tiger populations → Support local policy to increase protection for tigers → Enforcement activity increased → Decrease poaching of tigers → Tigers

Meet with enforcement officers

Activity 2.1.3 Steps for Developing a Results Chain

Using the lesson content, best practices, and the IFAW CSP as a guide, work with your project teams to develop at least one results chain for each project. Start with one strategy at a time.

STEP 1: Choose a strategy from your conceptual model and then review the connected threat and related factors. Draw a circle or box around relevant and connected factors or flag in your concept model on the sticky wall.

STEP 2: Identify on of your direct threats (red cards) and turn that card into a threat reduction result on a purple card.

STEP 3: Working from your strategy to your threat reduction result, identify all of the short and long-term results needed to reduce your direct threat. Put each result on a blue sheet of paper.

STEP 4: Be sure to revisit your conceptual model to highlight the contributing factors connected to your strategy that would need to change in order to achieve your threat reduction results.

STEP 5: Read and re-read your results chains to create clear, logical "if…then" linkages along the chain. Make sure the results chain meets the criteria for a good results chain.

STEP 6: When your team is finished, review other team draft results chains results chains to see if it sparks any new thinking. Add new concepts as needed. Take a clear photograph and start the next results chain if there is time.

STEP 7: Think about who else you might need to engage in reviewing and providing feedback on your chain.

STEP 8: If there is time, complete multiple results chains for more strategy-intensive projects.

> **TIP!** *Be careful not to make your results chain overly complex or complete. You want logical if-then relationships between results, but you do not want something that looks as complex as your conceptual model.*

RESULTS CHAINS

Notes: _____

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Activity 2.1.4 Putting Your Results Chain into *Miradi*

Open your *Miradi* project. Follow instructor guidance on putting your results chain into Miradi.
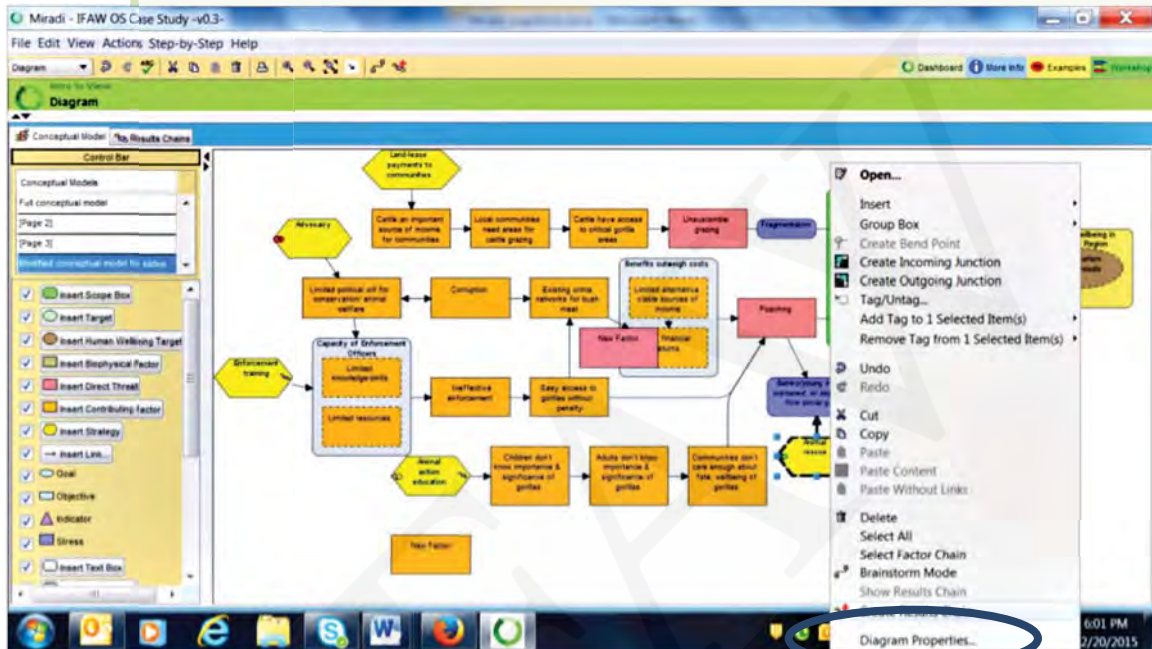
STEP 1: Right click on your selected strategy and select "Create Results Chain".

This function will bring in all of your connected factors from the conceptual model.
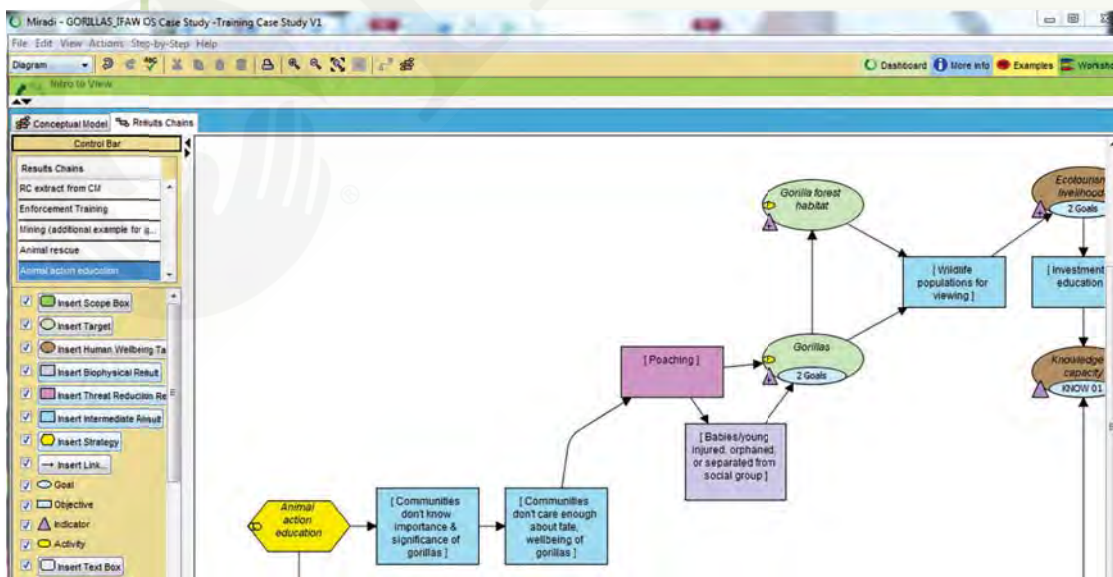
STEP 2: Modify each of the results to match those that you created in the previous exercise. If you need to add additional boxes, you can add them with "Insert Intermediate Result" or "Insert Threat Reduction Result".

STEP 3: Repeat until you have completed all of the results chains from the exercise.

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RESULTS CHAINS IN MIRADI
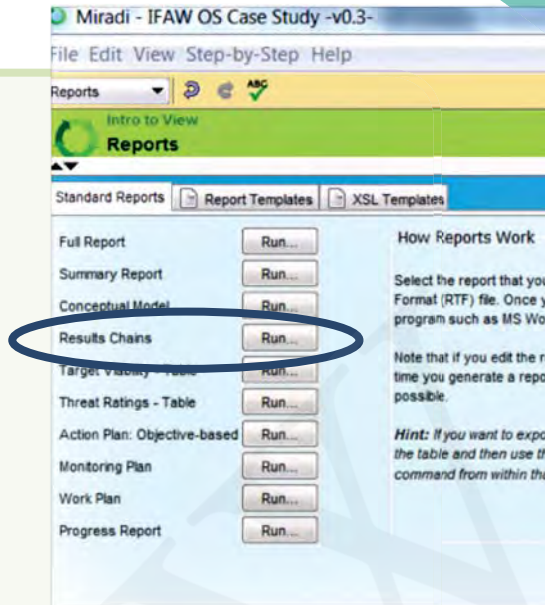
Objectives, Indicators, and Methods

OVERVIEW AND OBJECTIVES

Summary

Following the steps in previous modules, you should now have a well-developed results chain to clarify your team's theory of change behind a strategy. You should also have well-defined goals tied to your animal or habitat targets (or threats for wildlife trade projects!). The time you invested in developing these products will prepare you well for the next step in the *IFAW Open Standards*, defining your objectives.

By the end of this lesson you will be able to:

✓ Identify key intermediate results in your results chain.

....

✓ Identify and develop good objectives for key intermediate results.

....

✓ Use SMART criteria to refine your project objectives.

DEVELOPING OBJECTIVES

Activity 2.2.1: Matching Objectives to Results

STEP 1: Objectives are tied to the intermediate results in your results chains. In the following example, draw a line to the objective you believe is tied to each intermediate result.

STEP 2: Review and discuss with a partner once you've completed the links. Then work with your partner to answer the following questions:

1. What is the relationship between objectives and intermediate results?

_____

_____

_____

2. What aspects of these objective examples do you think make them "good" objectives?

_____

_____

_____

DRAFT INTERMEDIATE RESULT	OBJECTIVE
Key influencers agree to communicate messages	**By 2025, more than 40% of people (over 18) in the community know about the importance of vaccinating dogs (up from current 20%).**
Community members know about the importance of vaccinating dogs	**By 2018, the Trophy Hunting Ban has passed in the U.S. House of Representatives.**
Hunting Ban passes	**By 2019, the number of snares found decreases from an average 20 per/month (May 2015) to an average 5/month (May 2019).**
Decrease in snares	**By May of 2016, at least 5/10 target key influencers agree to communicate key messages (up from 0).**

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Introduction to Objectives

As with the word "goal," "objective" is a familiar term to nearly everyone working on a project or in an organization. It is also a term that is typically used very loosely, despite its very specific meaning and set of criteria. The *IFAW Open Standard*s define an objective as a formal statement detailing a key intermediate result of a project.

Box 2.2.1 Criteria for a Good Objective

A good objective should meet the following criteria:

- **Specific** - *Clearly defined so that everyone involved in the project has the same understanding of what the terms in the objective mean.*

- **Measurable** - *Definable in relation to some standard scale (numbers, percentage, fractions, or all/nothing states).*

- **Achievable**- *Achievable and appropriate within the context of the project site, and in light of the political, social and financial considerations.*

- **Results Oriented** - *Represents necessary changes in critical threat and opportunity factors that affect one or more targets or project goals.*

- **Time Limited** - *Within a specific period of time, generally 3-10 years,*

Objectives are important because they define in specific terms what a team hopes to achieve for its intermediate results on the way to achieving the overall project goal—in other words, they help project teams know if they are making progress towards conserving or protecting their animal or habitat target. If a project is well conceptualized, designed, and implemented, the realization of a project's objectives should lead to the fulfilment of the project's goals and ultimately its vision.

Like goals, objectives should comply with a set of criteria (**Box 2.2.1**). Following these criteria helps ensure that a project team is explicit about what it wants and needs to achieve as it moves towards its final goal. Well-defined objectives also make it easier for the project team to know what it should be monitoring.

Activity 2.2.2: SMART or Not?

Review the lesson content, then review the following objectives and highlight what you think needs to improve in order for the objective to be SMART. Discuss with a partner.

Increase the number of patrols.

_____

_____

_____

By 2025, the number of incidents decreases from 50% to 20%.

_____

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By 2015, the knowledge about poaching increases among the general public from 20% to 60%.

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▶ Presentation 2.2.1: SMART Objectives and alignment with results chains and monitoring

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How to Define Your Objectives

In the *IFAW Open Standards* process, objectives are set using the intermediate results of the draft results chain (**Figure 2.2.1**). Like well-defined goals, well-defined objectives help a project team:

- From getting side-tracked by opportunities that do not contribute to what the project is trying to achieve.

- Focus monitoring efforts so that they are only collecting information that is truly necessary for them to evaluate how they are progressing.
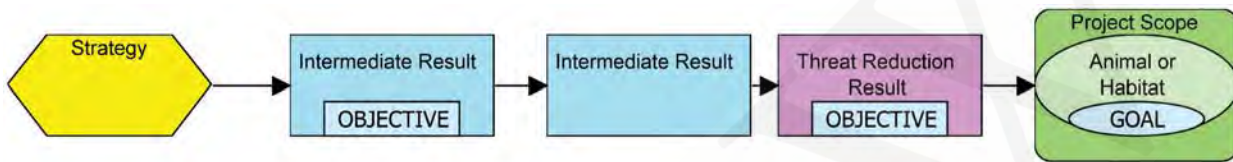
Figure 2.2.1

Typically, a results chain will have a few key results that are absolutely essential to achieve in order for the assumptions behind a strategy to hold. These are important results for which to set objectives. However, not all boxes in your results chain should have objectives.

Criteria for selecting intermediate results for objective-setting

Develop objectives for intermediate results that:

✔ Are particularly important to test your assumptions in the results chain

✔ May be particularly sensitive to changes/uncertainty

✔ Require monitoring data for an institutional or donor priority

✔ Are manageable or reasonable to track over time

TIP! *Include objectives at the beginning, middle, and end of your results chains, but do NOT include them for all boxes — otherwise, you will spend all your project resources just monitoring your objectives.*

Activity 2.2.3 Identifying Your Key Results

Open your project plan in *Miradi* or use your draft results chains on the sticky wall. Review your results chain(s), the lesson content, and objective setting check-list to identify the key results for which you should set objectives.

Review and discuss with your project team.
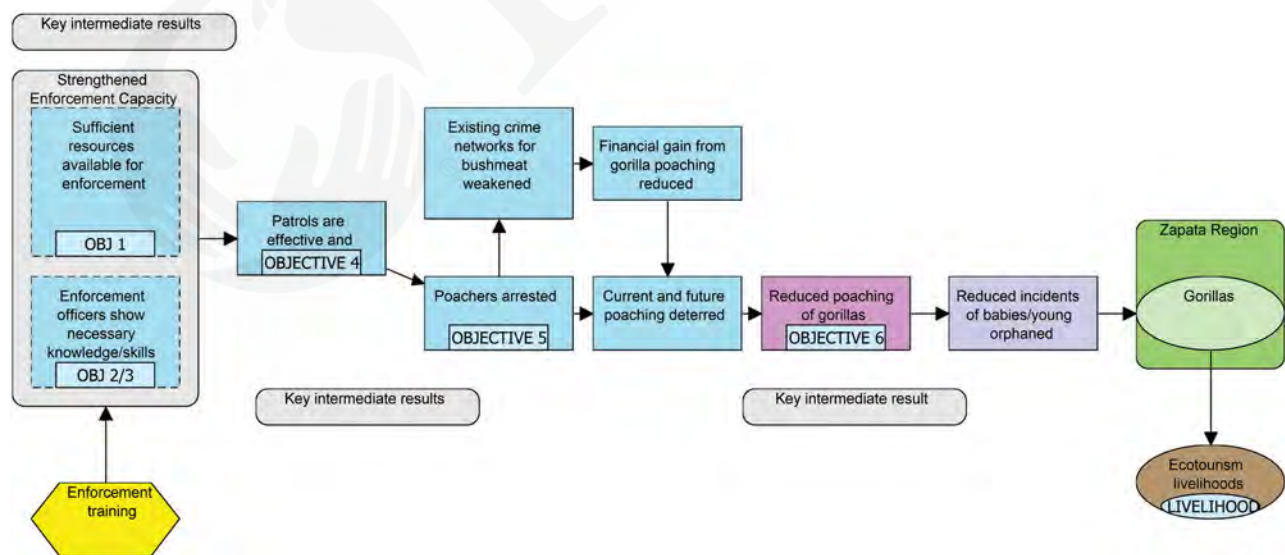
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Figure 2.2.2 Example- Objective Setting for Enforcement Results Chain

EXAMPLE SETTING OBJECTIVE STEPS: ENFORCEMENT TRAINING RESULTS CHAIN

Step 1: Select key intermediate result: Those results that are important for testing key assumptions or for monitoring.

Example: Enforcement officers show necessary knowledge/skill.

Step 2: Draft objective: Develop a draft objective, but do not worry about getting your objective right with the first draft. It is easier to get your ideas down and then refine the objective to fit the criteria.

Example: Trained enforcement officers have necessary skills for enforcement.

Step 3: Review each of the criteria for a good objective: Does your objective meet the SMART criteria?

- Is it **RESULTS ORIENTED**? – Yes, to a certain degree because it is tied to a critical result in the chain and a necessary change.

- Is it **TIME LIMITED**? – No, it does not specify a time period.

- Is it **MEASURABLE**? – Yes, one could qualitatively determine if they have the necessary skills.

- Is it **SPECIFIC**? – No, it is not clear how many enforcement officers should have the skills or what specific skills are important to have

- Is it **PRACTICAL**? – This one is difficult to assess without knowing the context, but let us assume it is practical.

Step 4: Modify the draft objective to comply with criteria

Example: By the end of the training, trained enforcement officers pass skills proficiency tests.

Step 5: Repeat Steps 3 and 4 as needed

Example: Final Version - By the end of the training, at least 75% of trained enforcement officers pass the proficiency test for critical skills*.

*read a topo map, use a GPS to successfully navigate in the wilderness, detection of snares, safe use of fire arms, humane treatment of captured poachers

This objective is now much more specific and measurable. You can also see that the team used an asterisk to clarify some language within the objective. This is a useful way to keep objectives easy-to-read, while also being specific about what is expected.

TIP! *Your results chain is a series of if-then statements. To achieve one result, you need to have achieved the previous result. Thus, when setting objectives, make sure you keep this temporal sequence in mind.*

Activity 2.2.4 Draft SMART Objectives and Key Results

Working on your own or with a project partner go through the stepwise process for developing objectives for key results in the below table, using space 1 and 2 to draft and then modify your objectives. Be sure to use the lesson content, IFAW CSP, and SMART criteria as a guide. Once complete, review with the project team and make any last adjustments and write into your project plan.

INTERMEDIATE RESULT	OBJECTIVE
	1
	2
	1
	2
	1
	2
	1
	2
	1
	2
	1
	2

DEFINING OBJECTIVES

Activity 2.2.5: Putting your Objectives into *Miradi*

After you have reviewed and finalized your objectives with the project team, it's time to put them into *Miradi*!

STEP 1: Working with your *Miradi* project file, navigate to "Diagram View", "Results Chain" tab

STEP 2: Double click on one of the key results you have highlighted in the previous exercise, and go to the "Objectives" tab
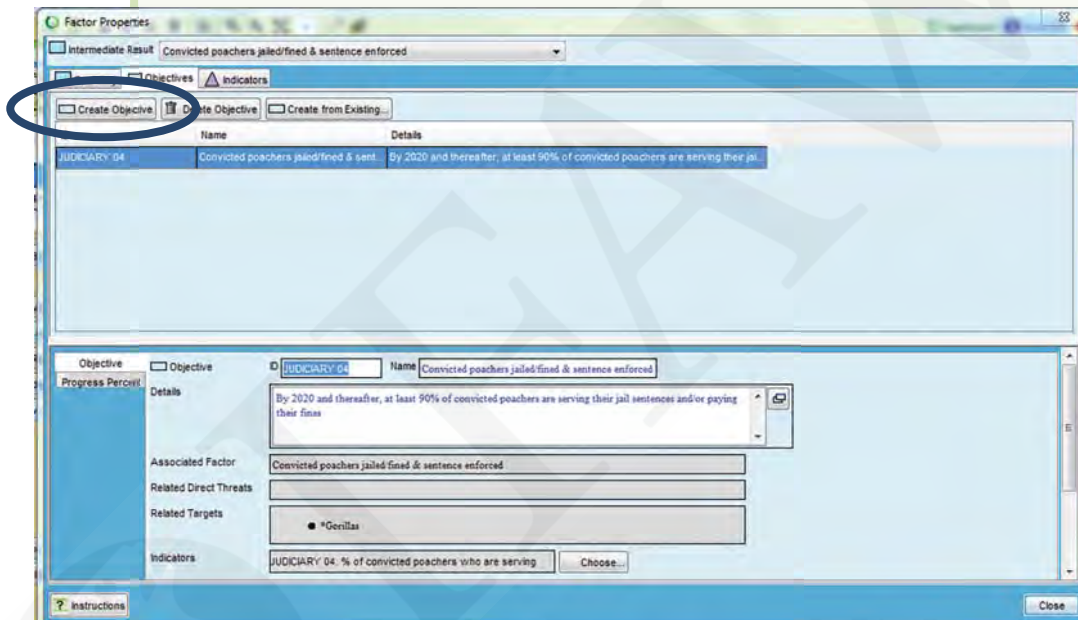
STEP 3: Click on "Create Objective" which will allow you to provide a "Name" and ID. For the ID, think of something that might be recognizable across multiple IDs for that chain, e.g. ENFORCE1, ENFORCE 2. It may be helpful in tracking the information later. For the "Name", provide the draft objective that you have articulated with your team in the previous activity

STEP 4: Provide any relevant comments or details as needed.

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OBJECTIVES IN MIRADI

MODULE 2.3

Indicators and Monitoring Plans

OVERVIEW AND OBJECTIVES

Summary

Your strategies, results chains, goals, and objectives form the core of your *IFAW Open Standards* plan. To complete the planning phase, you should now determine how you will know if you are on track and if you are having the impact desired. This is where monitoring comes in. One of the most powerful reasons to adopt an *Open Standards* framework is to be able to develop a robust monitoring and evaluation plan. Monitoring and evaluation is an approach that teams can use to ask hard questions about whether their strategies are having their desired impact, aligned with the key intermediate results in their results chains. Developing a monitoring and evaluation plan will create the framework and timeline needed to collect relevant qualitative and quantitative data.

By the end of this lesson you will be able to:

✓ Distinguish between process and impact monitoring.

✓ Identify relevant indicators tied to your SMART objectives and goals.

✓ Identify what level of monitoring expertise is needed for your project.

✓ Differentiate audiences for monitoring reporting.

✓ Use the export function to draft the monitoring section of your project plan.

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MONITORING PLANS

Activity 2.3.1 What's the Difference?

Work in your teams to review the cards provided. Put the cards into two groups based on their similarities and work with your teams to name the groups.

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Introduction to Monitoring Plans and Indicators

Monitoring is the periodic process of gathering data related to the project goals and objectives. It is critical for practicing good adaptive management, and should be part of what you do to implement your project. **Evaluation** is the subsequent analysis and interpretation of this data in order to make an assessment of project impact.

The primary purpose of monitoring and evaluation to is to determine whether your project is having the desired impact, and what adjustments you need to make to improve short and long-term results. Monitoring provides the basis for learning by helping your team determine what is working and what is not working. This, in turn, allows your team to adapt and improve its project. While monitoring is most important for the project team, it is also important for other actors. For instance, it can:

- Help you and your colleagues learn which approaches work well or which do not, and under what conditions, thus enabling better decisions on future priorities and strategies.
- Enhance IFAW's accountability, credibility, and transparency with external donors, policymakers, and the general public.
- Help IFAW assess its total contribution as an institution to the field of conservation and animal welfare.

As you can see from the previous exercise, adaptive management and monitoring for impact differs from process monitoring. What's the difference?

Impact Monitoring means that you are collecting new or using existing information to measure progress towards your stated objectives. This information provides the data used to adaptively manage your project.

Process Monitoring means tracking activities, and determining whether planned tasks are "on track" given what was planned. Specific areas to monitor include timing, budget, logistics, and effectiveness of activities in achieving their specific results. We will explore process planning and monitoring in greater depth in Module 4 of the *IFAW Open Standards.*

In the past, IFAW has focused primarily on process monitoring as it relates to the tracking and reporting on the status of activities. As demands for account-ability and demonstrated impact have increased from funders, supporters, partners, and other stakeholders, there is an increased need to develop explic-it impact assessment and monitoring plans for projects. This is also critical for us to ensure that our strategies are impactful as possible, achieving the goals we envision for our animal and habitat targets.

▶ Presentation 2.3.1: Monitoring and Evaluation

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Activity 2.3.2 Key Audiences for Monitoring

Find a partner. Review each of the documents provided. Describe:

- Who do you think is the target audience?
- What were the relevant considerations for monitoring?
- What were the considerations for the way information is displayed?

Be prepared for report out.

Example 1: _____

_____

_____

Example 2: _____

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Example 3: _____

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How to Develop a Monitoring Plan

There are four major steps to work through when developing your impact and adaptive management monitoring plan including:

1. **Defining your audience and information interests (for whom).**
2. **Identifying and define your indicators (what).**
3. **Determining your methods for collecting information related to your indicators (how).**
4. **Specifying responsibilities and timeframes (when, where, and who).**

Defining Your Audience and Information Interests for Monitoring

This step involves broadly identifying who will be seeing and reviewing the information and data you collect through monitoring. This is your audience, and it is important to understand what information they *want* to know and what they *need* to know.

You should collect data on indicators directly tied to your objectives and results chain(s), but it is also helpful to determine what information is important for your different audiences. Thinking about the final products you may share with them will help you consider the monitoring design and methods most appropriate for your situation. Some of the audiences for IFAW include:

- **PROJECT TEAM:** Ideally, monitoring data should be collected to serve the needs of the project team. Good, systematic project monitoring can provide them with valuable information about how to improve strategies. As such, this target audience is likely to need more detailed information about the monitoring approach, design, and data collected.

- **DONORS:** Many projects are the focus of donor interest and reporting requirements, which can result from restricted funding proposals with explicit monitoring needs, or donors giving unrestricted funds who are interested in the results of the projects they support. Depending on your project, these audiences may play a big role in supporting your work moving forward.

For restricted funding proposals, the funder is likely to provide a template and format/timing for data collection and evaluation. If your project includes restricted funding, these considerations should be included for this audience. Less restrictive donors are likely to have fewer specific information needs. For example, some donors may need rigorous analysis while others may only need to see high level changes in a glossy one page report. IFAW Development staff can provide key feedback on the needs of specific donors and donor segments.

- **EXECUTIVE MANAGEMENT TEAM (EMT) AND BOARD:** As IFAW designs more project monitoring and evaluation systems, the EMT and Board will have greater interest in seeing measurable results and impact from projects. Not only will they want to understand the context and relevant details, they will look for what is working or not based on data aligned with project strategies and objectives.

MONITORING PLAN DEVELOPMENT

INDICATORS AND MONITORING PLANS

- **POLICYMAKERS:** Numerous IFAW projects include outreach to policy makers or efforts to change legislation. Monitoring information may be important to use as part of a communication strategy to demonstrate impact or to articulate an objective position. The context of your project will determine your policymakers' information needs.

- **EXTERNAL COMMUNICATIONS AUDIENCE:** External communications are a core strength and strategy for IFAW as an organization. Working with your communications team member will be valuable in defining monitoring needs and ensuring your project communications reflect best practice.

Table 2.3.1 Example of Audiences and General Information Needs

AUDIENCE	GENERAL INFORMATION NEED	MEDIA TYPE/ LENGTH	DESIRED ACTION
Project Team	How is the project progressing? What is working, what is not, and why? How to improve the project?	Matrix of indicators & measurements, accompanying analysis by indicator	Learn, improve, adapt
Project Partners	How is the project progressing? What is working, what is not, and why? How to improve the project?	Report with main results and conclusions by indicator, 20 pages (text heavy OK)	Learn, improve, adapt Fund project and any proposed changes supported by data
Current Donors	How is the project progressing?	Dashboard of progress on key indicators Anecdotes for key achievements and challenges 5-10 minute professional video with key project highlights, including lessons learned	Fund project and any proposed changes supported by data
Academics	What is working, what is not, and why?	Short technical report (10-15 pp) explaining progress on indicators and anecdotes Access to raw data	Promote lessons learned from project Share lessons with broader conservation community Distill general lessons
Online Supporters	High level indicators and stories	Images and brief bullets to share on social media 5-10 minute professionally-produced video with key project highlights, including lessons learned	Fund project and any proposed changes supported by data

Activity 2.3.3: Who are Your Potential Audiences?

STEP 1: Review the lesson content on identifying audiences and information needs.

STEP 2: Circle and underline any audiences you think are relevant for your project.

STEP 3: Add any additional audiences you should consider for your project that may not be currently represented.

STEP 4: After reviewing, discuss with your project team:

- Who are the major audiences for the projects?
- What are some of the considerations for those audiences?

STEP 5: Then, using the example as a guide, open your Draft Project Plan and add your potential monitoring audiences and considerations to the table.

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Activity 2.3.4: Indicators are for Objectives Too!

STEP 1: On your own, go back to the indicators section in Module 1.2 for setting Key Ecological Attributes and SMART Goals and Indicators. Review the best practices and your notes from the presentation.

STEP 2: On your own review the cards provided (without talking with your team yet).

STEP 3: Look around the room and work with your team to identify which indicators are aligned with which objectives on the walls. The first team to get all the right indicators to the right objectives wins!

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MONITORING PLAN DEVELOPMENT

DEVELOPING INDICATORS

▶ Presentation 2.3.2: Indicators

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Identifying and Defining Your Indicators

Your next step is to determine what you need to monitor in your project and what indicators you should use. The audience and information needs table you developed in Activity 2.3.3 provides a starting point to think about which indicators will be useful for which audiences, but your results chains, goals, and objectives will serve as your primary guide for identifying indicators and refining your monitoring plan.

Effective monitoring uses the *minimum* amount of financial and human re-sources to provide you with the *minimum* information you need to effectively determine if your project is on track and what to do if it is not. Project teams often collect no information or too much information because they are unsure of what is needed. They may think that more information is better. However, by focusing your monitoring efforts squarely on the core assumptions you have made in your project (illustrated in your results chains that link your goals, ob-jectives, and strategies), you are more likely to collect only the information that will be useful to you as you manage your project. This means you are more likely to develop a plan that you can use to learn and adapt.

> **TIP!** *Monitoring should be efficient in the use of time and resources. You want to focus on collecting the right amount of the information that you really need. A small amount of targeted, quality data is far more useful than a large amount of general, unreliable information.*

Using Your Results Chains to Define Where You Need to Develop Indicators

To ensure your plan is focused, feasible, and relevant, your results chains should direct your monitoring efforts. Focus primarily on your goals and objectives as they collectively describe the status of targets and key results you hope to achieve with your actions. At a minimum, the project team should develop indicators for its objectives and goals (see purple triangles in IFAW CSP example in **Figure 2.3.1**.)
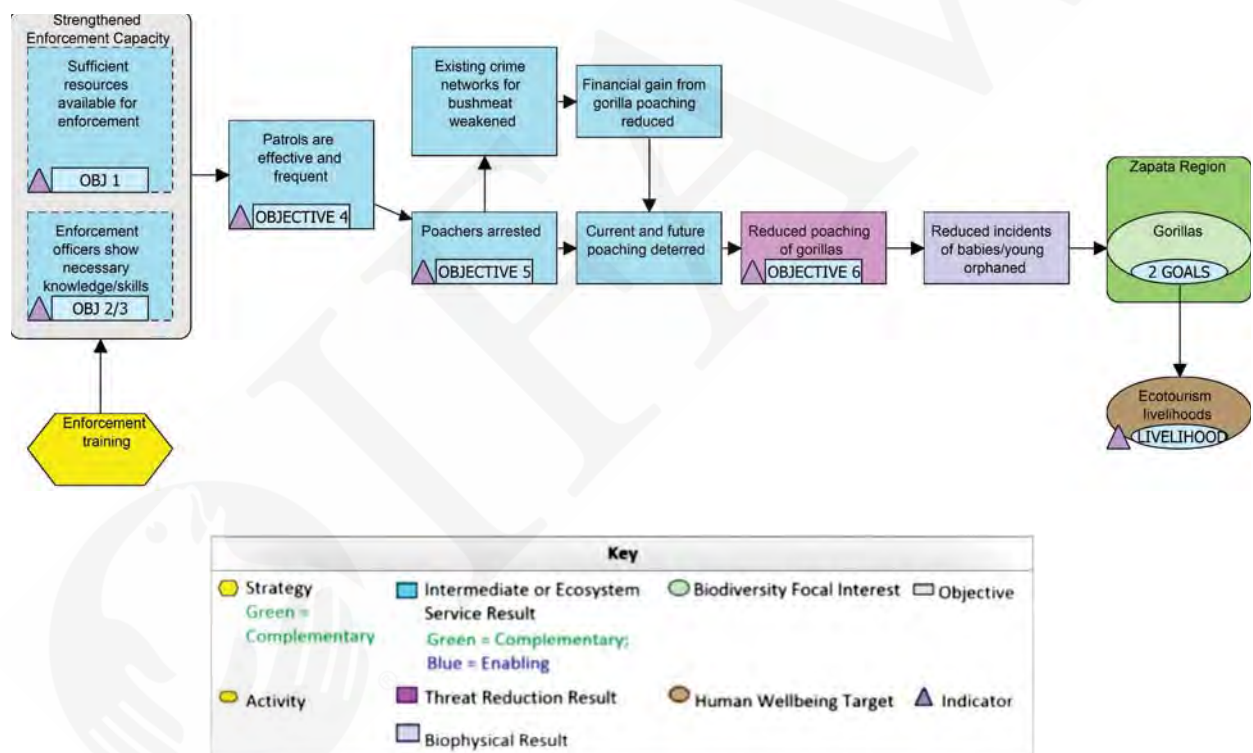

Figure 2.3.1 IFAW Gorilla CSP Results Chain

Identify Your Indicators

Before identifying indicators, it is useful to be clear about what a monitoring indicator is and the criteria for a good indicator. An **indicator** is unit of information measured over time that documents changes in a specific condition. In the *IFAW Open Standards*, it is related to a specific information need such as the status of animal or habitat target, change in a threat, or progress toward an objective. An indicator defines what you are trying to measure but s*hould not* include the desired level or trend that you wish to see. For example, if you are monitoring the skills of enforcement officers, your indicator could be "percentage of enforcement officers trained that pass the skills proficiency test." It would not be "improved skills" (a general trend) or "75% of trained enforcement officers pass the skills proficiency test" (a desired level).

> **TIP!** *Keep in mind that one indicator could very well satisfy the information needs of several different key audiences. You should maximize such opportunities for more efficient monitoring. What may vary though is how you present information from this indicator to your different audiences.*

If your goals and objectives meet the criteria of being *specific* and *measurable*, then the indicators should flow directly from your goal and objective statements. There may be some cases, however, where you cannot directly measure the information you need because data are too difficult, too expensive, or culturally inappropriate to acquire. In these cases, you will need to develop a proxy indicator. For example, if you needed to have an idea of the size of an entire turtle population, you might use the number of turtle nesting sites as a proxy indicator, rather than try to count individual turtles.

Box 2.3.1 Relationship Between Objectives and Indicators

Writing a good objective is important to help your team be clear about what it wants to achieve and by when. A good objective will make identifying your indicators a simple and straightforward task. When your objectives are specific and measurable, your indicator will fall right out of them. Looking at the objective from our example — By the end of the training, at least 75% of enforcement officers pass the proficiency test for critical skills — we can see the indicator is embedded right in the text — "percentage of trained enforcement officers that pass the proficiency test." Identifying indicators with well-defined objectives is usually that simple.

Use the Criteria for a Good Indicator to Review and If Necessary, Revise Your Indicators.

At this point, you should determine whether the indicators you have selected comply with the criteria for a good indicator. For instance, with respect to the indicator for Objective 2, above ("percentage of trained enforcement officers that pass the proficiency test"), the team should ask themselves:

- Is it **ALIGNED**? Yes, it is tied explicitly to the measurable objective of 75% of officers passing the proficiency test for critical skills.

- Is it **MEASURABLE**? Yes, you could count the number of enforcement officers who pass the proficiency test and then divide that by the total number trained.

- Is it **PRECISE**? Yes, the meaning should be clear to everyone.

- Is it **CONSISTENT**? Yes, the meaning would not change over time.

- Is it **SENSITIVE**? Yes, the indicator directly measures skills attained.

As another example, let us say that you are trying to measure household wealth and you decide to use the number of cattle a family owns as a proxy indicator for household wealth because in your project area there is correlation between cattle ownership and wealth. Applying the criteria again:

- Is it **MEASURABLE**? Yes, you could count the number of cows a family owns.

- Is it **PRECISE**? Yes, the meaning should be clear to everyone.

- Is it **CONSISTENT**? Yes, the meaning would not change over time — unless consumer demand varied, and there was no longer a market for beef so people would not be likely to invest in cattle.

- Is it **SENSITIVE**? Yes, to a certain degree — the more cattle a family owns, the wealthier they are likely to be. At some point, however, the relationship tapers off, and the difference between a family that owns 500 heads of cattle and one that owns 525 heads of cattle is much less significant than the difference between a family that owns 3 heads of cattle and one that owns 28. Likewise, at some point, how many cattle a family owns will be limited by the size of their land. Thus, one would need to be careful when interpreting the data associated with this indicator.

> **TIP!** *The ideal suite of indicators and monitoring methods for your project is not always possible to implement. Strive for what you and your team can realistically achieve given your resource and time restrictions. Any well-planned monitoring is better than nothing at all!*

DEFINING INDICATORS

### Activity 2.3.5: Drafting Indicators for Your Objectives

Reviewing the lesson content, your previous work and the IFAW CSP as a guide, review the following objectives and indicators, and decide whether you think they meet the best practices criteria for indicators. If not, provide an alternative. Then work with your partner to review and discuss.

OBJECTIVE	INDICATOR	REVISED INDICATOR (IF NEEDED)
By the end of the 2019 trainings, at least 60% of enforcement officers trained can detect CITES species at the airport.	# of officers trained	
By 2016, incidents of poaching each month decrease by 10%.	% of poaching incidents	
By 2017, at least 20 of the 50 landowners have signed the agreement to conserve their land.	# of landowners who have signed the petition	
By 2015, at least 4 members of Parliament agree to put wildlife crime on the agenda.	# of members of Parliament who support wildlife crime	
By 2018, there is a 20% increase in the number of target audience members who believe it is important to provide care for roaming dogs.	% of target audience who cares about dogs	

Group discussion

Activity 2.3.6: Putting Your Indicators into *Miradi*

STEP 1: Follow the instructor demonstration for putting your indicators into *Miradi*. Practice putting an indicator in for one of your objectives. In "results chain" view, double click on an intermediate result with an objective. "Create new indicator". Ask for help from the instructor if you are having any challenges.
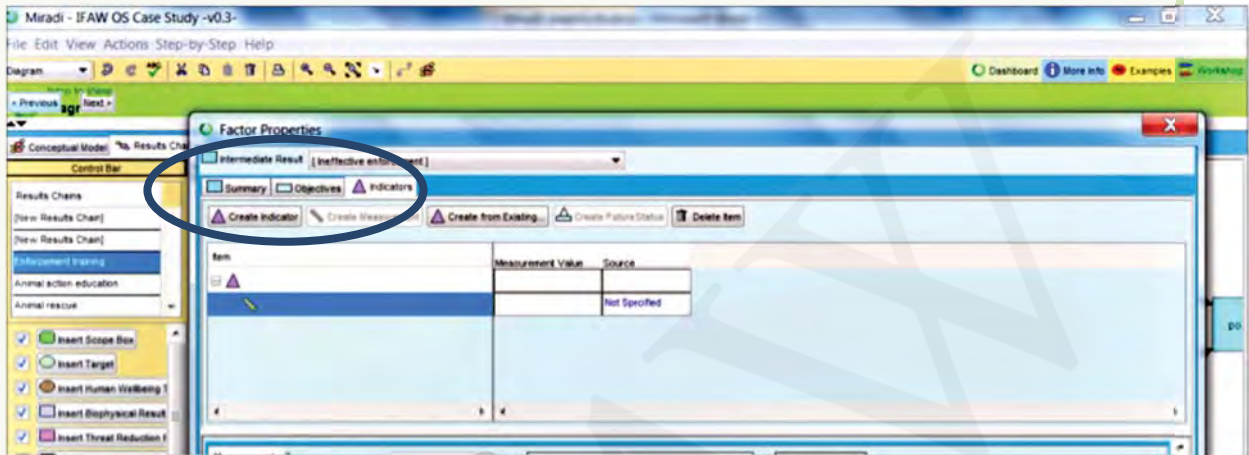
STEP 2: After reviewing the lesson content, your previous work, and the IFAW CSP as a guide, draft potential indicators for each of the measurable objectives provided in your draft Project Plan.

STEP 3: Review your target audiences and see if there are any additional indicators you may need to track.

STEP 4: Review your draft indicators with the team. Discuss:

- Are there any similar indicators?
- Do they meet best practices for indicator selection?
- Were any of the indicators surprising?
- Are there any additional indicators you should consider for your target audiences?
- Any other considerations given the potential costs and benefits

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DEFINING INDICATORS

DETERMINING DATA NEEDS

Activity 2.3.7: Aligning Monitoring Approach with the Need

Work with your table to review the example real-world scenarios.
Which monitoring approach do you believe is correct for each scenario?

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◼◀ Presentation 2.3.3: Data and Information Collection
Approaches Given Monitoring Needs

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Monitoring methods are specific techniques used to collect data to measure
an indicator. Because the indicators we develop for IFAW represent a variety of
social, ecological, or animal welfare conditions there are a number of different
types of methods and research designs that could be implemented. Deter-
mining which methods to use depends on the context, as well as the level
of monitoring expertise available and potential for using more sophisticated
methodologies for tracking indicators. These may vary within a project and as
some indicators may require more expertise than others.

Table 2.3.2 Levels of expertise needed for indicators depending on context.

LEVEL OF MONITORING EXPERTISE NEEDED	MONITORING EXPERT REQUIRED?	EXAMPLES OF APPROPRIATE APPLICATION	DATA COLLECTION APPROACH	EXAMPLE OF IFAW METHODS
Low	No	Non data-oriented audiences (ie online animal welfare donors); advocacy or communication tracking; IFAW branding; provision of services	These approaches use existing information to monitor relevant indicators. They do not require or use a specific research sampling design.	Monthly summaries of tweets/retweets; annual tracking of supporters; policy adoption tracking; Summary of dogs vaccinated annually
Medium	Yes	Higher value unrestricted donors and board members; enforcement training assessment; estimating poaching rates	These approaches require careful consideration of the use of existing data as well as some research or sampling design to ensure credibility.	Skills assessment tests pre/post training; tracking poaching rates in guardhouse logbooks
High	Yes	Foundations and restricted donors; sociological impact (demand reduction) ecological impact (improvements in animal welfare or conservation status)	These approaches require the development of new data collection and sampling approaches using a monitoring method sufficient for the indicator and funder needs.	Pre/post sociological surveys on demand reduction; Estimating changes in elephant viability over time; estimating long-term improvements in roaming dog welfare over time.
Very High	Yes	Restricted donor requirements for 3rd party evaluation	This is a unique scenario but requires a third party evaluator external to IFAW. This person will use the *Open Standards* plan and existing monitoring information as well as collect new information based on their assessment	May require control or comparison sites; all relevant sampling methods

Although it would be easier if there was one methodology recommended for each type of indicator and context, the reality is that the choice of methods is based on a number of different considerations. These considerations are both helpful for project teams to identify potential methods but also to help communicate with a monitoring expert who can help in supporting the design of data collection techniques as needed.

DATA NEEDS

Monitoring methods considerations

1. **What level of expertise do I need given the audiences and context?** Using **Table 2.3.2** as a guide, how sophisticated do your methods need to be for each indicator? Who can provide that expertise?

2. **How will the data be used?** What types of decisions will need to be made with the data?

3. **What resources are available to collect monitoring data?** How much staff capacity and funding do we have to collect new data or access existing data?

4. **What indicators are the highest priority for data collection?** Are any indicators particularly important for my audiences?

5. **What is the necessary time frame for acquiring the information and to see a measurable change in the indicator, in order to inform project decisions?** When will the data need to be collected and used?

6. **What existing data is available, credible, and sufficient to meet our needs?** Is there existing IFAW or partner research that can meet our needs?

7. **What are the possible credible and reliable monitoring methods for the indicator?** Based on your expertise and experience do you know of potential methods?

Activity 2.3.8 Understanding Project Monitoring Context

Review the lesson content and your presentation notes and then write in your responses to the questions, listed below. Once you've completed your individual responses, work with your team to discuss and finalize. Feel free to also take notes electronically, directly into your project plan in the monitoring section.

1. **Given the audiences and context, what level of expertise do I need?**

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2. **How will the data be used?**

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3. **What resources are available to collect monitoring data?**

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4. **What indicators are the highest priority for data collection?**

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5. **What is the necessary time frame for acquiring the information and to see a measurable change in the indicator, in order to inform project decisions?**

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6. **What existing data is available, credible, and sufficient to meet our needs?**

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7. **What are the possible credible and reliable monitoring methods for the indicator?**

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Activity 2.3.9 Putting your Monitoring Approach into _Miradi_

STEP 1: Follow the instructor demonstration for putting your monitoring plan into _Miradi_.

STEP 2: Go to diagram view. Click on "View" and "Strategic Plan" and click on the "Monitoring Plan" tab.

STEP 3: Customize the table to meet IFAW's needs by clicking "Customize Table" and clicking on "Strategy", "Objectives" and "Indicators" for the rows, and "Methods", "Who", "When" and "Details" for the column.

INDICATORS AND MONITORING PLANS
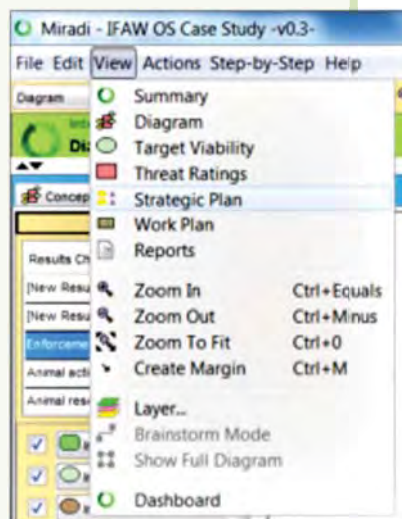
STEP 4: Add any relevant details about whom, when, methods, and comments based on previous discussions for each of your indicators. If you are not sure about some elements that is fine, this will be an iterative process! Be sure to put more detail in the details box.

STEP 5: Export your draft table by, while having the table open click on "File" "Export current page as" and "RTF file". Save the file to a relevant location. Open, copy and paste into your draft project plan.
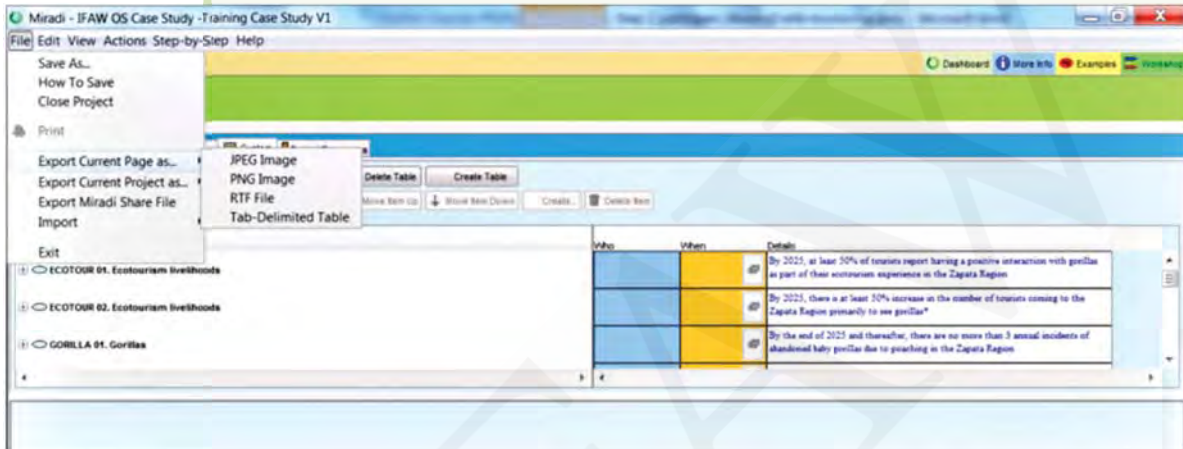
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ACTIVITIES

Activity Planning

Finally, your conservation or animal welfare project involves taking actions to change the situation where you are working, achieve your objectives, conduct your monitoring and ultimately achieve your goals! In the *IFAW Open Standards* language these actions are called *"activities"*, and include all of the things you will need to do to execute your strategy.

Hierarchy of Actions

If you remember from previous work on distinguishing activities, strategies, and tasks, activities are a part of a hierarchy of actions. They are more specific than strategies, which are broad courses of action. At the same time, activities can in turn be broken down into more specific "tasks." You will be defining your tasks as part of your work plan in Step 3 of the *IFAW Open Standards*.

The CMP *Open Standards* define the following hierarchy of actions:

STRATEGY – A group of actions with a common focus that work together to reduce threats, capitalize on opportunities, or restore natural systems. Strategies include one or more activities and are designed to achieve specific objectives and goals. Example: Ivory Demand Reduction

- **ACTIVITY** – A set of tasks in your work plan, undertaken by project staff and/or partners to reach one or more objectives. Example: Hold an ivory demand conference.

  – **TASK** – A very specific action that needs to be taken to accomplish an activity, a Monitoring Plan, or other components of a Strategic Plan. Example: Secure hotel reservations

Activity 2.3.10 Activities Brainstorm!

STEP 1: On your own, review the lesson content on Activity Planning.

STEP 2: Pick one of your strategies and review all of the results you are trying to achieve with that strategy using your results chain graphic (printout, on the wall, or in *Miradi*). Take some time to brainstorm as many of the activities as you need to achieve your strategy, at least within the next 3 years. This includes any of the activities you will need to conduct monitoring, answer research questions, and achieve your objectives.
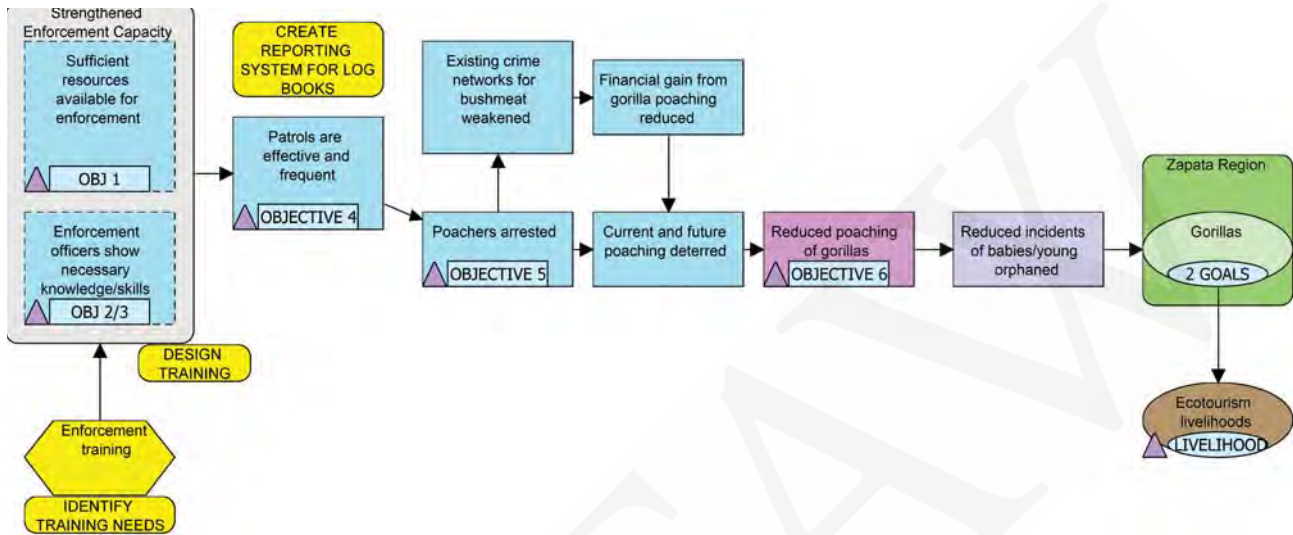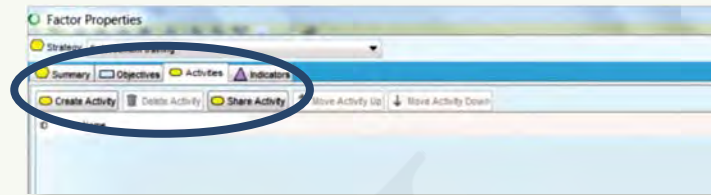
Group review

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Figure 2.3.2 IFAW CSP with activities tied to results

🎦 **Presentation 2.3.4: Activities v. Tasks**

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Activity 2.3.11 Putting Your Activities into *Miradi*

STEP 1: Use the lesson content guidance, the IFAW CSP, and the presentation to draft the activities for each of your strategies and put them into *Miradi*.

STEP 2: Open your *Miradi* project and double-click one of your strategy hexagons.

STEP 3: Select the "Activities" tab, and click on "Create Activity." Provide any relevant details. Click "Show on Page" and your activities will appear in your results chain. The activities will then be attached to the strategy as yellow boxes, which you can move to other parts of the results chain.

If an activity is necessary to achieve a result, then you can demonstrate that linkage graphically by moving the activities to the branches of the chain to which they belong.

STEP 4: Review your strategy and results chain activities. Make sure you also have all of the activities needed for your project research, monitoring, and communication. Once you feel you have a good list, meet with your project partner/team/communications officer to see if there are any activities missing.

STEP 5: Export your strategy and activities table by clicking on "View", "Strategic Plan" and the "Action Plan" tab. Customize the table by clicking on "Customize Table" and selecting Strategy and Activities only in the column, with "Details" for rows.
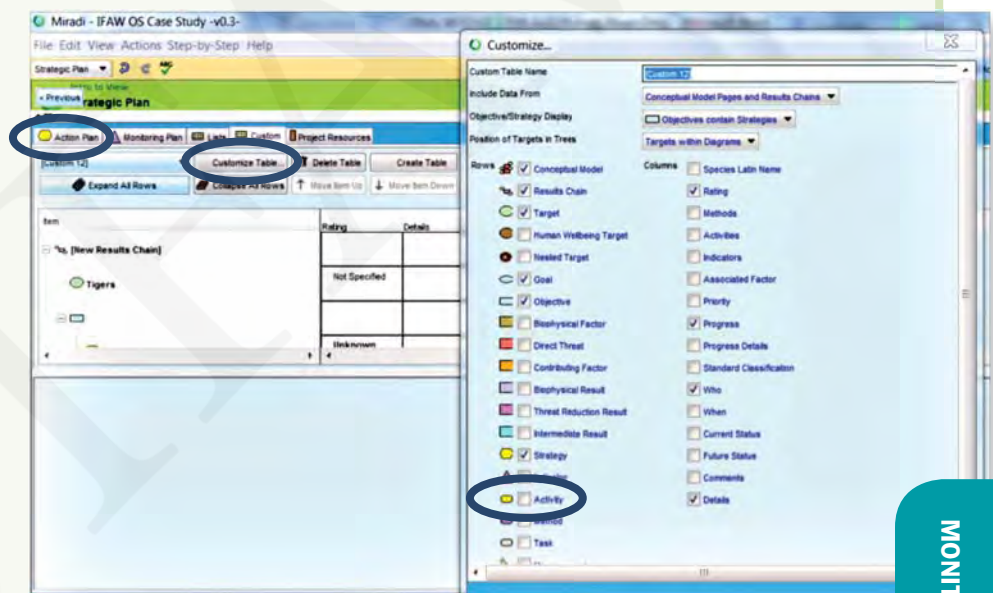
STEP 6: Export table to a relevant location by clicking on "File" "Export Page As" and "RTF". Save for use later on in the training.

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IFAW Open Standards Module Three

3.0: IMPLEMENTING ACTIONS: BUDGET AND WORK PLAN DEVELOPMENT

Implementing Actions: Budget and Work Plan Development

OVERVIEW AND OBJECTIVES

Summary

Developing a budget and work plan takes you from concepts into action. A high-level work plan and budget helps your team understand how each member will contribute to project implementation, and allows you to allocate the necessary resources for your project activities. Having a good work plan aligned with budget is also an essential first step in effective project management, and provides a foundation to report on the status of project implementation going forward.

By the end of this lesson you will be able to:

✔ Identify fundamental components of a good work plan and budget.

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✔ Estimate human, financial and other resources needed to implement your project.

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✔ Use a Work Plan and Budget Tool to draft budget and planned activities.

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✔ Update expectations for activities and costs based on available resources.

BUDGET AND WORK PLAN DEVELOPMENT

Activity 3.0.1: Work Plan and Budget Tool – Similar and New?

STEP 1: Open up the Work Plan and Budget Tool and spend a few minutes exploring the content.

STEP 2: Take note of things that are similar to the components of a work plan or budget you've had in the past. Once complete, meet with your partner to discuss what you've uncovered, and identify one key element that is similar to share with the broader group.

STEP 2: Now go through and take note of anything that is unfamiliar. Once complete, meet with your partner to discuss what you've uncovered, and identify one key element that is unfamiliar to share with the broader group.

Group discussion

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Introduction to Developing a High-Level Work Plan

At this point you will have a well-developed draft of your *IFAW Open Standards* plan, including steps for implementing your strategies and next steps for monitoring. In this section, we help you develop a high-level work plan aligned with budget so that you and the core team can understand how you will each contribute to your project, when, and the resources required. In addition to the rest of your *IFAW Open Standards* plan, this work plan aligned with a budget will support your request for annual project budget, and provides a foundation for monitoring implementation efforts which we will explore in Step 4 of the *IFAW Open Standards*.

A **work plan** is a detailed, short-term (one year) schedule outlining a project team's actions to implement their strategies. IFAW uses a **Work Plan and Budget Tool**, which aligns activities on a timeline with their costs, tracks funding streams at a high level, and provides the critical information needed for decision-making around budget and resource allocation. This tool identifies:

- **WHAT** activities are required and how they are aligned with defined strategies.

- **WHO** will be involved in implementing activities.

- **WHEN** activities will occur and over what timeframe.

- **HOW MUCH** each activity will cost, helping you also understand how much money is required for each strategy, and ultimately, your entire project.

Why Work Plans are Important

A work plan provides the core team and other stakeholders with clarity about what will happen, when, by whom, and how much it will cost. It also helps everyone understand why certain activities are undertaken as they can see how they are clearly aligned with strategies and connected to your vision, goals, and objectives. In essence, your *IFAW Open Standards* plan moves from the conceptual realm into reality with a concrete guide for implementation. By breaking things down into small, manageable pieces, a work plan also reduces complexity. Taking the time to develop a work plan can help to:

> **TIP!** *In any project, you have two major resource groups — time and money. As you plan, consider whether you have sufficient funding and whether you have enough time of the right people — and, if not, whether you have the ability to get what you need.*

- Ensure all activities essential for the plan are included, reducing the risk that key activities will be over looked or not assigned necessary resources.

- Use people, money, and time wisely through efficient allocation of resources, and by balancing those allocations based on the project's constraints and conditions.

- Develop more accurate budgeting and spending patterns, which will decrease problems with budget variance and creates opportunities for fundraising.

- Provide a foundation for good project management by tracking the progress of project implementation.

Box 3.0.1: Work Plan Terminology

Work plan: *A detailed, short-term (one year) schedule outlining a project team's actions to implement their strategies. A high-level plan includes the strategies and major activities, but it does not include all the tasks needed to implement each activity and strategy.*

Strategy: *A group of actions with a common focus that work together to reduce threats, capitalize on opportunities, or restore natural systems. Strategies include one or more activities and are designed to achieve specific objectives and goals.*

Activity: *A set of tasks in your work plan, undertaken by project staff and/ or partners to reach one or more objectives.*

Task: *A very specific action that needs to be taken to accomplish an activity, a Monitoring Plan, or other components of a Strategic Plan. Hierarchically, tasks fall below activities. A single activity might have several tasks associated with it.*

Example Strategy, Activity and Task from the IFAW CSPs:

STRATEGY	ACTIVITY	TASKS
Anti-poaching enforcement training	Enforcement officer needs assessment	Meeting with head officer; review existing equipment; key officer interview
Low-cost community clinics	Bi-monthly pop-up clinic in Luquillo.	Set-up mobile station and supplies; schedule meeting with health department; order vaccines.

NOTE: *What is an activity for a smaller project might be considered a task for a larger project. What is most important is that you are consistent within the levels of your hierarchy.*

DEVELOPING A WORK PLAN

▶ Presentation 3.0.1: How to Use the Work Plan and Budget Tool

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Introduction to the Work Plan and Budget Tool

IFAW has created a Work Plan and Budget Tool (WPT) to help you bring together all of the necessary components in the work planning process. This tool is meant to serve the dual purpose of helping you organize the relevant details you need for the implementation of your project, while also providing IFAW with key information necessary for decisions around budget and resource allocation. The WPT has five tabs that encompass an initial work plan and budget request as well as others for reforecasting and implementation monitoring. Right now we will focus on the "work plan" and how it relates to the annual "budget request". In Step 4 of the _IFAW Open Standards_ we will discuss the other tabs in more detail.

KEY FUNCTIONS OF THE WORK PLAN AND BUDGET TOOL

You will find that some information can be taken directly from what you have in your _Open Standards_ plan so far. This includes: project name, program area, contact person, and core team.

Figure 3.0.1 Content in the Work Plan and Budget Tool taken from Gorilla CSP

The new information will focus on the resources available to your project and how you will allocate them, covering three areas that include: strategies and activities, high-level budget tracking, and an activity timeline.
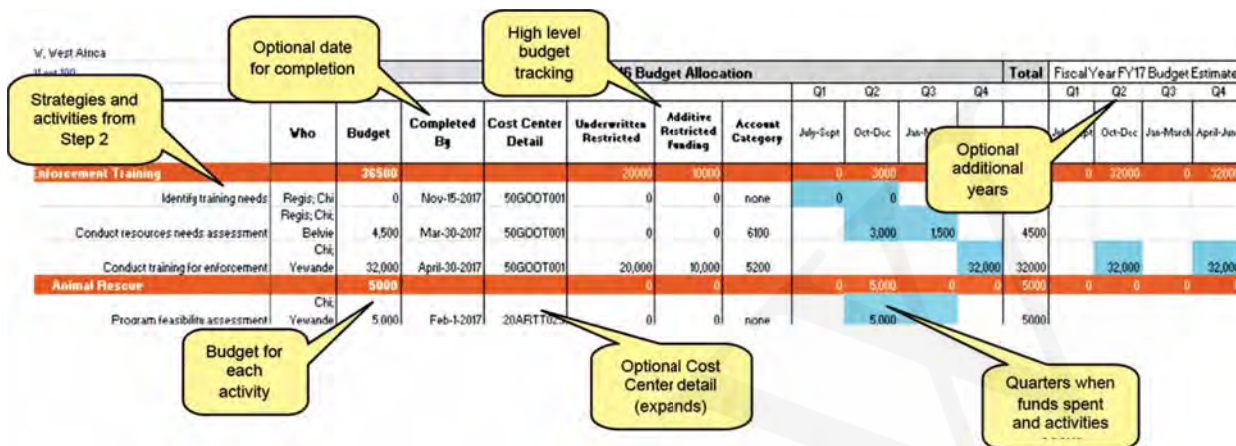

Figure 3.0.2 Activity and budget content in the Work Plan and Budget Tool taken from Gorilla CSP

1. Strategies and Activities

The strategies and activities in this section will be the same as those that you developed and exported in Module 2 of your *IFAW Open Standards* plan, as well as any additional activities you surface through the planning and budgeting process. Each strategy is listed in an orange row, with its relevant activities listed below. New strategies can be added with the "Add Strategy" button, and new activities with the "Add Activity" button. In order to add a new strategy or activity in the correct row, highlight the row *under which* you would like to add a new strategy or activity and then click the button for the necessary addition.

2. Activity Timeline

The timeline allows you to specify in which quarter(s) an activity will occur (blue boxes) and when money will be spent on its implementation (numbers in boxes). As IFAW is currently planning in a one-year cycle, you will be asked to specify activities over the course of one fiscal year, with an option to expand into two subsequent years. Even though the budgeting process occurs annually, project timeframes can vary significantly and often last a lot longer. You do not need to confine yourself to budget and activity planning for one year if two or three years are more sensible and helpful for your project and team. However, note that budget allocations will be on an annual basis and there is no guarantee of funding past the first year.

TIP! *Practicing adaptive management means incorporating monitoring (e.g., data collection, management, and analysis) into your regular activities. Keep this in mind as you develop your work plan and be sure to include and next steps for monitoring in your time estimates.*

WORK PLAN DEVELOPMENT

3. High-Level Budget Tracking

There are several functions that will support the development of your budget:

- **AUTOMATED SUM OF TOTALS:** The tool is designed to automatically calculate budget totals when you click the "Calculate Subtotals" button. Totals for strategies, years, quarters, and overall budget will populate when this button is clicked. You can also check your totals against the amount of money your project has likely been allocated, to see if you can increase or should decrease the amount budgeted to your activities.

- **INFORMATION CROSSES BETWEEN TABS:** What's unique about this tool is that the "work plan" tab also automatically populates the "annual budget" tab. All of the information you enter into the work plan will automatically calculate your annual budget for you. That is why there is an account category column, as well as default and expandable cost center detail. The account category refers to the account codes required in your annual budget, with cost center detail and coding varying by project.

- **RESTRICTED FUNDING INFORMATION:** As you calculate the budget required to implement your project, you will capture which activities have underwritten **restricted funds** or **additive restricted funding**. If you have this kind of funding for your project, it is restricted or "required" to be used for your project or parts of it. **Underwritten restricted** funds do not change your top line budget because they are included in the total budget number. Additive restrictive funding is money that your project has been given in addition to the regular budget allocation, and will increase the net budget you have to spend during the timeframe for which they've been given.

> **NOTE:** You will want to be aware of any restricted funds to your project, and should work with the Program Director or Development staff if you're unsure where your project has restricted funds. Some restricted funding has stringent reporting requirements, and this tool is not meant to capture all of those details which should be tracked separately.

Figure 3.0.3 Buttons and cost center content in the Work Plan and Budget Tool

4. Completed By Date

This column is optional for those teams that would like to track specific dates or deadlines by which certain activities should be completed. While the quarterly activity tracking provides a general sense for when activities should occur, this additional detail can be helpful when specific deadlines are required or must be tracked. The "Completed By" button can be *hidden* or *unhidden*, allowing project teams to decide if and when they would like to track and view deadlines.

5. Cost Center Detail

Each project will add default information for the project **cost center**, which is a budget unit designation within a department. Cost center codes have a defined logic and coding that enables identification of an IFAW entity and department. In addition to this information, there are options for a **project code** and **future code**. Similar to cost centers, a project code has a defined logic, but it enables identification of an IFAW department and project. A future code is also known as a *restricted fund code*, and represents a funding source. The defined logic in a future code enables identification and tracking of funded activities.

Some projects use multiple cost centers or coding and need additional detail. For this detail, the "Budget Coding" button *hides* or *unhides* additional columns. When it is *unhidden*, the work plan expands to include new columns for entity, cost center, project code, and future code for each activity. This is helpful for projects where multiple cost centers are used, allowing tracking for the budget and coding related to each cost center. This level of detail also supports alignment with the annual budget tab, and will save time by automatically populating the annual budget required by finance.

STEPS TO CREATE A WORK PLAN

Now that we have gone through the new WPT we will use it to develop the work plan for your project. The steps involved in developing a work plan and budget include:

1: Determine when activities will occur.

2: Estimate the necessary human, financial, and material resources.

3: Identify who should be involved and who will be responsible for specific activities.

4: Review the final budget and resource allocations.

5: Complete the work plan.

Developing a work plan and budget can be done at different levels of detail. We recommend drafting an initial work plan and then modifying it based on considerations and constraints relative to funding, human resources, and any other factors impacting feasibility.
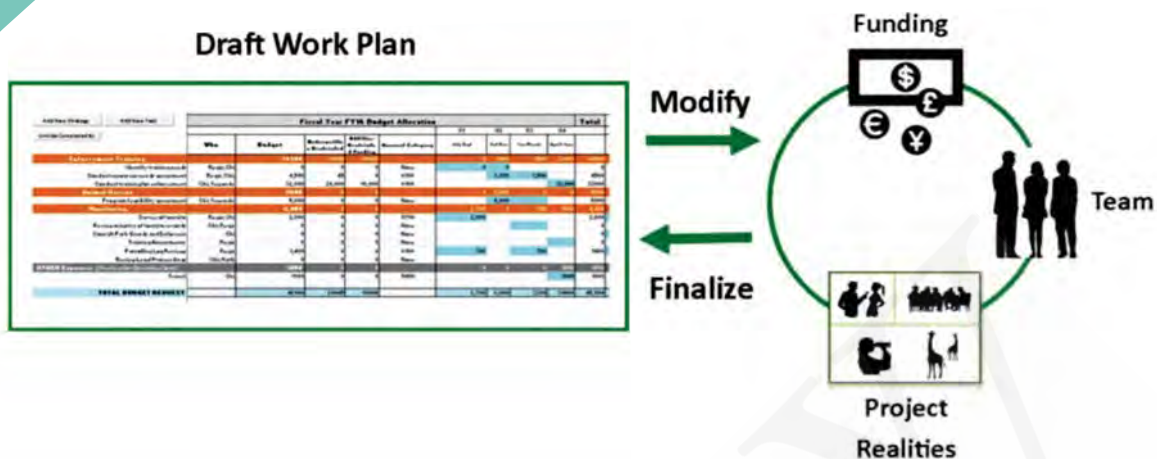
Draft Work Plan

Figure 3.0.4 Work Planning Process

Do not worry about getting everything right the first time. Since your project work plan should reflect what will realistically happen, revisions are likely and may require you to identify activities, tasks, and resources that you choose to change, eliminate, or scale back. Creating a feasible work plan is critical for implementation, and can only be accomplished through revisions and feedback from your project team.

1. List all activities and determine when they will occur

In Module 2 of the *Open Standards* (Strategy Identification and Prioritization), your team brainstormed and prioritized the strategies and activities necessary to help reduce threats and achieve your conservation and animal welfare goals. Now you can revisit that list and determine whether any additional detail is needed. The level of detail in your project work plan is up to the discretion of project managers, teams, and Directors. Once you have determined the level of detail required you can add any additional activities to your list. Reasons for additional detail may include:

- A desire for project managers and their teams to track the status of project implementation at a certain level of detail to support good project management.

- A need to communicate with current or potential donors about project activities and their progress over time. If this is a consideration, the level of detail required in the work plan should be discussed with associated Development staff.

When you are determining the necessary level of detail, it can be helpful to think about activities on a continuum. You can list activities that are more general (e.g., conduct trainings for enforcement, meet with MPs, mobile clinics) or more detailed (e.g., first enforcement training, participate in working group, mobile clinic in Luquilla), depending on the size of the project, team needs, and Development needs. What's important is that you don't overgeneralize activities to the level of a strategy or create so much detail that it is full of tasks like a daily "to-do" list.
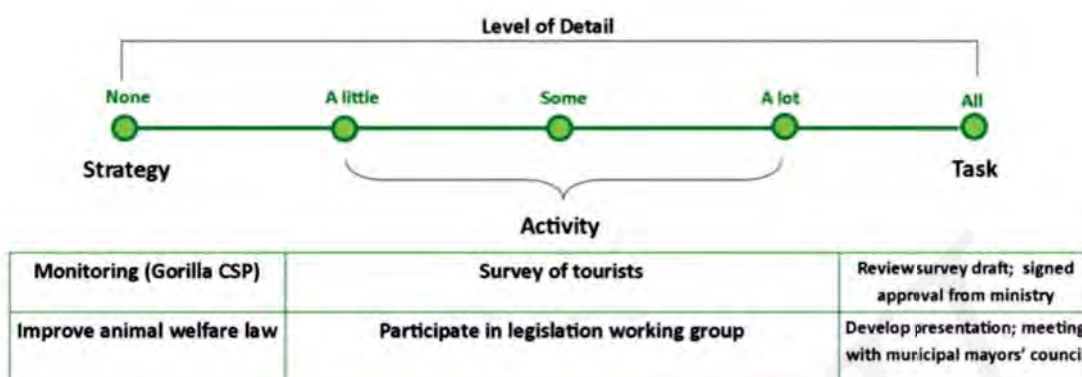
Example Strategy, Activity and Task from the IFAW CSPs

Figure 3.0.5 Strategy, Activity, Task Continuum

Add Strategies and Activities to Your Work Plan

With your full list of activities, you will want to start by clarifying over what timeframe your project will take place as the WPT requires only one fiscal year, but you can budget for up to three years. Then you should begin inserting all of your strategies and activities into your Work Plan and Budget Tool. As you do this, consider the following:

- If some strategies will be occurring before others, put the strategies in order of those that will be occurring sooner to those that will occur later.

- Some activities may be dependent upon others, and like strategies, their timing should be sequenced accordingly. Put the activities in order of which will occur first to last.

- Refer back to your conceptual model and results chains to help you consider and plan the sequence of strategies and activities. You will also need to take into account your local context and any political, administrative, or logistical considerations that may influence timing.

- Some projects have an initial surge of activities, and then they slow down a bit. Others might start slowly and swing into full gear within a year or so. You may later make adjustments based on available resources, but put activities where you would like them to go for right now.

At this point, do not worry about adding budget numbers into the various quarters. You should focus on mapping out what activities will be occurring in each quarter. Try to be realistic about timing and the quarters in which an activity is most likely to occur, begin and end. Feel free to adjust timing as needed and balance out surges of great activity with times when there are less. You will review the timing of activities again after allocating resources to ensure the plan is realistic and achievable. After you have listed your activities and when they will occur, you can then document any specific deadlines for completion.

> **TIP!**
>
> ***Box 3.0.1 Is it really an activity?***
>
> *As you're listing your activities in your Work Plan and Budget Tool, it's good to ensure that they are well defined. Periodically review your activities and ensure that they:*
>
> ✓ *Have clearly defined beginning and end points*
>
> ✓ *Can easily have a cost and time estimate*
>
> ✓ *Can be assessed for progress and completion*
>
> ✓ *Are distinct from other activities*

Activity 3.0.2: Draft Activities

Use the lesson content, presentation, and WPT to draft the activities and timeline for your work plan.

STEP 1: Refer to the strategies and activities you drafted and exported from *Miradi* in Module 2. Consider how detailed your work plan should be, and add any additional activities or key tasks.

STEP 2: Transfer your strategies and activities to your work plan, putting them in the right sequential order.

STEP 3: Fill out the timeline for each activity.

STEP 4: Add any specific deadlines for activities that your team would like to track and document.

STEP 5: Talk through your work plan with your partner/project team at a high-level. Solicit any feedback and offer feedback on their work plan. Make sure you have included monitoring activities, research questions and any relevant communications activities from your project team.

STEP 6: Make revisions as needed

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BUDGETING FOR YOUR WORK PLAN

▶ Presentation 3.0.2: Estimating Resources

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2. Estimate the human, financial, and material resources needed

Now that you have listed activities, you want to do an initial estimate of what it will cost to implement them. In this step you do not necessarily need to limit yourself by the amount of budget you have been given. Though you will later need to match your budget request with available funds, you will make those revisions later in the work planning process. This step allows you to calculate the cost of your project as you have originally planned it.

You have a few options for arriving at an estimate. Select one of the following options for each activity based on the information you have available:

a) **Estimate the overall monetary cost based on your past experience**

If you have done the same or similar activity in the past, you should review previous costs to make an estimate of future expenses. For instance, suppose you have worked in several regions to strengthen law enforcement and you have spent $32,000 a year to do the job well. If you know your proposed law enforcement will require a similar level of effort, you can simply estimate the cost at $32,000 for the next year.

b) **Estimate new resources required**

If you are undertaking activities you have not done before, or will be revising activities, you'll need to use your best judgement and available information to estimate cost. Areas to consider include additional human capacity, materials, **other direct costs** (such as travel and phone charges), or other **overhead costs** (such as office space).

- **ADDITIONAL HUMAN CAPACITY NEEDED:** You may find that additional capacity or skills will be required to implement your activities. These groups or individuals may incur costs through contracts or grants. Estimate the overall cost based on the time commitment needed. If you are unsure, for example, of how much a contractor might charge you can ask colleagues what they have paid, or insert your best guess and then revise when you have more information.

- **MATERIALS:** As you are budgeting at the activity level, it's not necessary to know how much every little item might cost. However, you will want to investigate the price of some very large items, such as a new truck or computer, but provide your best estimate for other smaller items such as office supplies.

- **OTHER DIRECT COSTS:** These include any expenses that are necessary for the implementation of activities, but do not include labor (human capacity) or materials. These include costs such as travel or rental fees for event spaces. Like materials, it's helpful to investigate market prices for very expensive items, but you should provide your best estimate for smaller ones.

In your WPT you will not need to distinguish between costs for human capacity, materials, or other direct costs. These are just the areas you should consider as you estimate the amount of money required for each activity.

- **OVERHEAD COSTS:** There are some expenses that are necessary to ensure the project can operate, but they do not directly contribute to implementation of project activities. For example, office rent or utilities. Many projects will not need to consider overhead costs, as project budgets generally focus project activities specifically. However, if this is relevant to your project you should include it in your budget.

> **TIP!** *If you are new to this, talk with someone who has implemented these strategies and activities before and has a sense of the investments needed. You may need to go outside your organization for this help.*

BUDGETING

Accuracy is important because you want to be able to demonstrate that you are spending funds as you intended throughout the course of the year. Having too little funding can stifle a project, while having too much can leave the impression that your project is not being responsibly managed, or can tie up funds that may be needed elsewhere. Even though you want to make your budget as accurate as possible, do not become paralyzed by trying to calculate every little detail. A budget of sufficient accuracy can be estimated through previous costs and a reasonable estimate of future costs. You may find that you can't make an estimate in one sitting, as you need to investigate fees, rates, and market prices for some large items.

Activity 3.0.3: Draft Budget

Use the lesson content, presentation, and WPT to draft the budget for your work plan.

STEP 1: Start with any activities with which you have previous experience. Budget these items first.

STEP 2: Fill out the rest of the items based on your best estimate. Check-in with colleagues or the internet as needed.

STEP 3: Review your totals to ensure they are accurate and proportioned in a way that makes sense.

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ALIGNING PEOPLE AND ACTIVITIES

◼◀ Presentation 3.0.3: Aligning Team Members with Activities

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3. Identify who should be involved and who will be responsible for specific activities

You will now need to determine which members of your team are going to do what and by when. This step is simple in theory yet in reality, it can require your team to make sometimes difficult, but important, decisions about who needs to be involved in different activities. When assigning responsibilities, you should consider:

- **SKILLS AND KNOWLEDGE:** Different activities often require different types and levels of knowledge and skills. By aligning people to their areas of greatest knowledge and skill, you can increase the quality and efficiency of implementation.

- **STAFF AVAILABILITY:** Understanding the constraints that many individuals have on their time is critical to ensuring activities are actually implemented. Overburdened team members will have a hard time keeping up with demands. Now is a time to assign activities that individuals can realistically accomplish in the required timeframe.

- **INDIVIDUAL INTERESTS AND MOTIVATION:** Some team members may feel more passionately about some activities than others. Successful project implementation is best achieved by providing opportunities for those with particular skills and interests to use them in their work.

- **GROUPINGS OF SIMILAR ACTIVITIES:** Having one or several individuals responsible for groups of similar activities can increase efficiency and create a coherent flow between actions.

- **NECESSARY HUMAN CAPACITY:** It's important to consider how many individuals are truly needed to successfully implement the strategy, and for each activity. Since resources are often at a premium, you will want to allocate adequate resources but not more than absolutely necessary. In addition, you may want to consider whether there are individuals outside of your team in a better position to the implement the strategy, such as other IFAW staff, consultants, and partners.

TIP! When planning time commitments within a project, keep in mind that team members may be involved in several projects

TIP! For high-level work plans, you may not need to worry if staff members are overcommitted IF you know that you can get enough funding for the project AND you know that you can hire other people with the right skills. However, you would want to have these questions answered before finalizing your plan.

You want to make sure that each activity has at least one person assigned to it, with names listed in the "who" column of your WPT. More than one person can be assigned, but only the names of those individuals who will play a very significant role. Remember that this isn't the place to list everyone who may have some hand in the activity. It is good to keep all team members in mind as your team plans and considers how they will contribute to the project, but every detail does not need to be recorded in this tool.

Activity 3.0.4: Draft Who

Use the lesson content, presentation, and WPT to draft an assignment of team members to individual activities.

STEP 1: Discuss the skills/knowledge, interests, and availability of everyone on your team. Consider how this might impact activity assignments and begin drafting names in the "who" column of your WPT.

STEP 2: Consider whether it would be sensible to assign the same person(s) to any particular groups of activities. Make revisions as needed.

STEP 3: Look at whether there are any capacity gaps. Evaluate whether you may need to look for capacity outside of the team. Update assignments as needed to fill gaps.

STEP 4: Note individuals who are not present and need to have an opportunity to input.

STEP 5: Complete the "who" section of the work plan, including the names of individuals who are tentatively assigned prior to discussing with them. Ensure someone is assigned to each activity.

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4. Review the final budget and resource allocations and revise as needed

If you find that the total budget available is either bigger or smaller than the budget for all of the activities you want to implement, you will want to review your work plan and see where there are opportunities for modifications. If more money is available, review your activities and ensure that you have captured all that are necessary. Also ensure that you have budgeted enough for each one. If you will require more money, you'll need to reconsider your activities and their costs. The following questions can help you refine your budget without sacrificing the potential for impact through effective project implementation.

- **Can it be postponed?** While we want to get things done as soon as possible, there may be, for example, certain meetings or events that could be set for future years, not draining your budget for the next fiscal year.

- **Can it wait until for resources to become available?** Sometimes, no matter how well we budget, circumstances change and we spend more or less than planned. Activities can be tentatively planned for the end of a year, and completed if there are underspends in other areas of the project. These would be activities that would be valuable to do but are not essential at this point.

- **Can funding be secured through in-kind contributions?** Think again about your funding options and whether there are creative ways of increasing the resources available to you. Consider if there are possible partners or stake-holders that have expressed interested in your project that could provide certain services or materials. If so, you could tap into these, even if they offer the potential to fund lower-priority strategies. You might also be able to access data and information from partners rather than collecting your own data, which can be time-consuming.

- **Are additional sources of funding available?** Some activities would be im-portant for a project, but require additional budget. These activities should be noted in your work plan so you can work with program leadership and Development staff to determine what additional funding options may be available. Remember that this option does not happen quickly and can be dependent on a variety of factors.

- **Can the activity be less expensive?** Especially if you've budgeted based on historical costs, you may find that there are less expensive ways to accomplish the same activities. For example, by sourcing different materials, cutting non-essential travel, or finding capacity within IFAW rather than hiring outside help. Consider areas where there may be less expensive, but equally effective, alternatives.

- **Could the activity be scaled back?** You may find that while you definitely want to implement a certain activity, it's possible to scale it back. For exam-ple, you may determine that hosting two enforcement trainings is accept-able, where you had previously planned to have three. This scaling back in the activity will also help you scale back the budget.

With these questions in mind, you can revise your work plan to ensure your projected spending and activities are in line with the budget available. You will of-ten want to discuss the various considerations with members of your team, using their feedback to make revisions.

Finalizing Your Work Plan

You may be able to draft a work plan with your core team, or you may find that you have to create a draft on your own and then solicit feedback later. Either way, discussing the work plan with your team is an essential part of ensuring it is realistic and actionable.

Remember that your team can provide valuable input on the timeline and costs. They represent a wealth of experience on the realities of implementation and can help determine when activities should occur, as well as provide insight on rea-sonable estimates. You may also want to ask individuals responsible for certain activities to research necessary cost estimates.

Individuals assigned to different activities should also be clear and comfortable with the associated responsibilities. Especially for those who may be part of several teams, they will need to consider how to split their time amongst various projects. A work plan should not be finalized until each individual assigned to an activity ac-knowledges that they are comfortable with and aware of this responsibility.

When you discuss the work plan with your team, remember the criteria used in Module 2 when prioritizing strategies. The same criteria are valuable now as you make decisions about activities for your work plan.

- **POTENTIAL IMPACT:** Degree to which the activity (if implemented) will lead to desired changes in the situation at your project site.

- **FEASIBILITY:** Degree to which your project team could implement the activity within likely time, financial, staffing, ethical, and other constraints.

- **NICHE/GAP THE STRATEGY WOULD FILL:** Extent to which your activity will fill a gap that is not addressed or could not be accomplished by another project or organization, especially a partner.

- **POTENTIAL FOR FUNDRAISING:** The degree to which the activity or strategy may be of interested to current and potential future donors.

You may have other criteria you think are important. For example, you might want to look at criteria such as risk (which is closely tied to feasibility), political buy-in, or urgency for taking action. Another important criterion might be synergies with other strategies or activities. Some activities when implemented together could bring results greater than the sum of the activities implemented separately or at different times.

Most important is that your final work plan describes a method for implementing your *IFAW Open Standards* plan that you know will help your team achieve conservation and animal welfare impacts. The plan should be grounded in reality, but not sacrifice your ultimate goals and objectives.

Annual Budget

As you were completing your work plan in the WPT, the information you were providing was automatically populating the "annual budget" tab. The work plan will provide necessary information for budget approvals, while the annual budget provides the finance department with the critical information they need. If you have accurately and completely filled in your work plan, you will not have to add any additional information to the annual budget. You need only to review your annual budget and ensure all information has been transferred accurately, correcting any errors.

Activity 3.0.5 Finalize Work Plan Draft

Use the lesson content and WPT to revise your timeline and budget and check-in with your team on the overall work plan.

STEP 1: Briefly review what you've completed in your WPT so far with your team, considering how the different factors of time, cost, and team member assignment are now aligned. Discuss any areas that need to be revisited.

STEP 2: Look at your ideal budget in light of the budget allocation you anticipate receiving.

Consider which activities might fit the following questions:

- Which activities could be postponed to another budget cycle or until funding can be secured?

- Which activities can be funded in alternative ways such as in-kind donations or delegating to a partner?

- Which activities could be less expensive, either by finding less expensive sources or scaling the activity back?

- Which activities would require you to explore additional funding?

STEP 3: Based on your discussion guided by the above questions, make any necessary changes to your budget.

STEP 4: Determine next steps for finalizing your work plan and budget.

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ANNUAL BUDGET

IFAW Open Standards Module Four

4.0: ADAPTING YOUR PROJECTS: BUDGET REFORECASTING, UPDATING ACTIVITIES, AND ADAPTIVE MANAGEMENT

MODULE 4.0

Adapting Your Projects: Budget Reforecasting, Updating Activities, and Adaptive Management

OVERVIEW AND OBJECTIVES

Summary

Tracking project activities, evaluating incoming data, updating existing budgets and interpreting your changing circumstances are important for adaptively managing your project(s) over time. Each of these require different skills and practices that will allow teams to better understand what's working, what might need to be changed, and how that influences the choice of activities and their associated costs. Some of these processes will be new for IFAW, but have been created with the goal of more efficient and streamlined reporting and planning systems.

By the end of this lesson you will be able to:

✓ Identify the purpose of budget reforecasting and adaptive management meetings at IFAW.

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✓ Complete a budget reforecasting and work plan update conversation with a project team.

....

✓ Use the budget/work plan tool to reforecast project budget and work plan.

....

✓ Agree onbest practices in critical thinking to evaluate project progress and monitoring data for adaptive management.

....

✓ Identify information needed to produce an adaptive management template to report on project results.

REFORECASTING AND ADAPTIVE MANAGEMENT PROCESSES

◼◀ Presentation 4.0.1: Introduction to Work Plan and Budget Reforecasting, and Adaptive Management Processes

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In all of the previous steps you have been working towards developing a project plan which includes strategies, activities and a budget for achieving your goals. These steps allow you to test your assumptions with project teams and develop a formal document for IFAW approval and budget allocation. Once your project plan is approved, however, it will serve a new and important role in the **adaptive management process**. This role includes a platform for reviewing the status of your planned activities and the budget associated with them, as well as whether your project is on track to achieve your goals.

Module 4 introduces two new processes for tracking your project plans, activities, and monitoring results:

- **WORK PLAN AND BUDGET REFORECASTING:** Meetings and discussions designed to provide a mid-year review of activities and status, understand what is working and challenging in project implementation, and update your budget for the final six months of the fiscal year in accordance with any changes.

- **ADAPTIVE MANAGEMENT AND ASSESSMENT MEETING:** Assessment and meetings designed to update project plans, strategies, and project implementation based on monitoring data or a significant shift in institutional or project context, occurring annually or as needed.

Calendar	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec	Jan
Work Plan		☆ Submit WPT Receive Approval	Submit Annual Budget to Finance								Work Plan & Budget Reforecasting	☆ Submit WPT & Budget Reforecast
Adaptive Management				Preparation: Meeting planning, data analysis, and information sharing		☆ Annual Adaptive Management Meetings for Pre-Identified Projects		Finalize report for Board				

Figure 4.0.1 Reforecasting and Adaptive Management Process Calendar

Introduction to Work Plan and Budget Reforecasting

Work Plan and Budget Reforecasting helps you understand where you are in the process of implementing your activities. This mid-year review gives you and your team an opportunity to understand what progress you've made on activities, their status, and whether changes are needed. Based on this review, you will revise your spending forecast for the final two quarters of the fiscal year, helping you align the remainder of your budget to necessary activities, and providing you with new projections to share with IFAW's Finance Department. The Work Plan and Budget Tool and associated discussions are designed to:

- ✔ Bring project teams together to evaluate activity progress and budget spending.
- ✔ Consider how activities have contributed to project objectives.
- ✔ Document the status of activities and modify as needed.
- ✔ Review how much has been spent on each activity against projections.
- ✔ Forecast future spending and allocate remaining budget for the final two quarters.
- ✔ Create a revised 6 month budget to send to Finance.

While checking in on the status of activities and their alignment with your budget is helpful throughout the year, you are required to have a meeting and document the results in your WPT only once annually, half-way through the fiscal year. Even though these are "meetings," you may likely find that they do not have to occur in person with all team members, and can effectively be done remotely with colleagues located around the world. The WPT will help guide your team's conversation, and should allow you to efficiently review the status of activities and your budget.

Introduction to Adaptive Management and Assessment Meetings

Assessment and Adaptive Management Meetings differ from Work Plan and Budget Reforecasting in the use of monitoring data to critically evaluate strategies and determine whether major changes should be made to the strategic approach. While Work Plan and Budget Meetings are focused on the status of your project implementation, Adaptive Management meetings focus on whether the project is having the intended impact for your animal or habitat targets. The assessment and associated meetings will be designed to:

- ✔ Bring project teams and relevant stakeholders together to evaluate project progress.
- ✔ Evaluate assumptions in the project plan including strategies and results chains.
- ✔ Evaluate impact and objective achievement based on monitoring data.
- ✔ Identify stories of success for communications.
- ✔ Modify the project plan.
- ✔ Create an Adaptive Management and Impact Report.

Unless you have special reporting requirements (see **Box 4.0.1**), projects will assess status and conduct Adaptive Management Meetings as needed throughout the year or when appropriate for the project, such as when following occurs:

- There is available quantitative (qualitative or mixed some significant amount) data relative to the metrics, strategies, and monitoring plan used by the project.

- A project is coming to an end.

- A natural disaster (political risk, etc) occurs within the project's geographic range that alters the conditions under which the project is operating for a significant period of time.

- A major strategic shift at the institutional or programmatic level.

- A funder requires updated impact reporting.

Box 4.0.1.

Adaptive Management meetings will need to occur annually in July/August for a selection of projects that have particular institutional or board focus. Work with your Program Director to determine if your project needs to conduct an assessment and Adaptive Management meeting annually.

Activity 4.0.1 Work Plan and Budget Re-forecast or Adaptive Management Meeting?

Review the lesson content and your presentation notes.

Using the dry erase paddles, write "budget reforecast" on one side and "adaptive management meeting" on the other

Follow instructor guidance to answer the questions. Identify any clarifying questions.

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WORK PLAN AND BUDGET REFORECASTING

▶ Presentation 4.0.2: How to Use the WPT for Work Plan Activity Updates

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Overview of Work Plan Management and Budget Reforecasting

In Module 3 you used the Work Plan and Budget Tool (WPT) to determine when activities would occur, who would be responsible, and how much each one would cost. All of that information you originally entered has automatically been transferred into the "budget reforecast" tab, so during this reforecast you can focus on the relevant conversations and any adjustments that need to be made. This new tab has three new features: activity tracking, allocated spend, and forecasted spend.

Figure 4.0.2 Activity Updates in the WPT

Activity Updates

Understanding you team's progress on the implementation of your project is important information for project managers as well as funders. This is done by capturing how and why activities have progressed as intended or not. It's important to note that the criteria used in the WPT are not meant to evaluate the team members responsible for individual activities or the quality of your project, they are meant to provide an objective framework which allows you to discuss the progress of strategies, activities, and budget spending.

At this point, you may also add new activities that you hadn't previously planned. Some of these activities may be underway, or your team may know for certain that you will do them by the end of the fiscal year. In either of these instances, you will want to start by adding these activities to your work plan. Ask your team:

- *Are there any activities or key tasks we are currently undertaking that were not a part of our original work plan?*

- *Are there any activities or key tasks we have already agreed to work on that were not part of our original work plan?*

If you have answered "yes" to either of those questions list them out and then take a few minutes to review your *IFAW Open Standards* plan. Before you commit to doing or continuing those activities in the next six months, you and your team should feel certain that they are aligned with your objectives and theory of change. If you feel confident that they are, add them to your work plan.

Now you are ready to review all of your activities. It's helpful to review each with three criteria in mind:

- Is the timing of activities on track?
- Did the activities accomplish what you intended?
- Are planned activities still contributing to your project objectives?

Step 1: Timing on Track?

This is a simple matter of logistics. When you planned your activity in your original work plan, you determined when that activity would take place. This question simply asks whether the activity has occurred in the time you planned for it.

	YES *Timing is on track*	NO *Timing is not on track*
Criteria	• Occurred on or before the time which it was scheduled • Is still planned for the same time • Is underway and happening as planned	• Occurred after the time it was scheduled • Is no longer planned for the same time • Is not happening in the planned timeframe

Step 2: Intention of Activities

When we plan an activity there are specific things we hope it will accomplish. For example, we may plan on a series of meetings to bring stakeholders to agreement, or have a major event to draw media attention. This question is asking whether or not you were able to get what you needed out of implementing the activity. If the meetings resulted in agreements, this would be a "yes", whereas if the meetings did not result on agreements, this would be a "no".

This is not meant to be an evaluation of the activity or who was responsible for it, it is meant to be an objective way of considering whether or not the activity accomplished what you intended. If the activity has been undertaken in whole or in part, it should be evaluated. Only if none of the activity has occurred should it receive a "null" status, denoted by "L"

	YES *Activity effectively achieved what was intended*	NO *Activity did not achieve what was intended.*	NULL *Activity has not been implemented*
Criteria	• Activity accomplished what was intended in its entirety. • So far, has accomplished what was intended.	• Did not achieve what was intended. • Has not achieved what was intended.	There has been no implementation of this activity or key task

WORK PLAN + BUDGET REFORECASTING

Step 3: Still Contributing to Project Objective?

When you and your team determined the right activities and key tasks to implement your plan it's because you believed—based on the best available information and experience at the time—that these were the right things to do. Experience and new information may have changed the types and amounts of activities that you think would be valuable to accomplish your objectives, and that is what this criteria aims to capture.

For those activities that you have already implemented or are in the midst of implementing, you will consider whether they have or continue to help you achieve your objectives. You will also consider whether future planned activities are still necessary. This may sound like criteria for adaptive management, but it is different. To answer this question you are considering whether the activity is a necessary element of your project plan. You may not yet know whether the strategy is having the intended impact, but you may have a sense for whether the activity or key task it a critical component of your strategy.

Also, determining that an activity you implemented was not necessary for planned objectives does not mean that you did anything wrong, it may just mean that in hindsight and with the information and experience you now have, you see that it did not contribute to your objectives as intended. You may now recognize that your strategy could be better executed with other activities or tasks.

	YES *Activity contributes towards planned objectives*	**NO** *Activity does not contribute to planned objectives*
Criteria	• Was necessary to implement the project strategy • Continues to be a necessary element of the strategy • Will be necessary to implement the project strategy	• In hindsight, was not a necessary activity to implement the project strategy • Is no longer considered a necessary activity

Step 4: Status?

Once you have considered your activity based on the three criteria, you will determine the status of that activity. This status provides information about what is new, different, or changing in your work plan. You will be able to select from a drop-down menu of options that include:

- **COMPLETE:** has been finished and there is no more work to be done

- **ONGOING:** the activity or task continues to occur

- **NOT STARTED:** will begin in the future

- **TERMINATE:** will stop or no longer occur as planned

- **NEW:** was not part of the first work plan and is being added during the reforecasting process

Step 5: Review the Big Picture of Activities and Who

Now that you have updated the status of all of your activities, you can consider where there may be gaps or opportunities to add new activities. You will also want to think about implications for "who" is doing what.

When considering whether or not new activities are necessary, there are some key areas to explore that include:

- **Activities that didn't achieve the intended outcome** – Should a different activity or task be tried? Do they need to be adapted in order to achieve a different outcome?

- **Activities that are no longer occurring** - Whether they have been completed or terminated, you should consider how that impacts your team's ability to implement their strategy and whether anything new or different should be done.

- **Activities that are underway or ongoing** - With all there is yet to do, is it realistic to accomplish the planned activities and tasks in the next six months? Is there anything planned for this year that would be better off happening at a later time?

You will also want to consider how this impacts "who" is doing what in your work plan. You will need to assign individuals for new activities, and may want to consider switching assignments for other activities. Refer back to the questions and criteria presented in Module 3 to help you consider which team members would be best assigned to each activity and key task.

Use all of these questions and considerations to spark conversations with your team, and continue to revise the work plan until it reflects a realistic and achievable plan for implementation.

Box 4.0.2. A note about discussing activity status

There are so many reasons why activities may not go as planned. Some of these are within our control and some are outside of our control. When we're learning as we go, we may also have new information or experiences that lead us to believe a change in activities is necessary. Use this tool to explore and document the realities of working on a project with its myriad of challenges and opportunities. None of the answers are inherently right or wrong, good or bad, they are merely reflecting what has happened over the course of six months.

Activity 4.0.3 Sunk Cost Fallacy

You will be divided into groups and given directions by the instructor. Follow these directions to complete the activity.

Group discussion

Notes: _____

_____

_____

_____

_____

WORK PLAN + BUDGET REFORECASTING

■1 **Presentation 4.0.3: How to Use the WPT for Budget Reforecasting**

Notes: _____

_____

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Budget Reforecasting

Now that you have an updated list of activities and key tasks, and have completed a review of them and their status, you are ready to reforecast your budget. Since you already know which activities will be beginning and ending, what has occurred and what is yet to occur, this will help you determine how to assign the remainder of your budget.

Step 1: Determine when activities actually occurred. The section "allocated spend" will have automatically populated with the numbers from your original work plan. All of those numbers should be left the same. You will want to focus on updating the "actual" column.

- In which quarter did the activity actually occur? Mark that box green.

- How much did we actually spend? Enter the number in the "actual" column.

> **NOTE:** *It is possible to have an activity occurring without budget being used. These boxes should still be marked green, and a zero should be entered for the amount.*

Figure 4.0.3 Budget Reforecasting in the WPT

TIP! *Documenting when activities occurred and how much they cost for two quarters can be time consuming. You may find it helpful to fill out the first quarter column soon after it occurs, rather than waiting until your meeting at six months.*

Step 2: Note your variance. This is the difference between what you had planned on spending in the first two quarters and what was actually spent. Since challenges arise and conditions can change, it's not realistic to always have zero variance on everything. However, working towards less variance is a positive step towards managing your budget and project implementation well. Having areas of significant variance may signal the need for a conversation about appropriate spending, but can also help you better allocate budget for the final two quarters and in the years to come.

Step 3: As you consider what to do in the future quarters and where to put your money, you will want to consider all of the factors you discussed with your team in reviewing activities. That conversation will help guide you in allocating the appropriate amount of budget at the right times for the final two quarters.

In addition, you will want to review the "budget overview" box on the top left of your work pan. This overview provides totals, and shows you how much you have over or under budgeted for the remainder of the year. The variance should be zero by the time you finish your budget reforecast. For example, in **Figure 4.0.4** we see "-14,370". This means that the amount budgeted for the last two quarters is 14,370USD more than is available in the budget for this project. The project team would need to return to their activities and budget and determine where they can cut or change spending.

Budget Overview	
Allocated Budget	45,000
Underwritten Restricted	20000
Budget Spent	7,170
Budget Remaining	**37830**
Additive Restricted	0
Additive Spent	0
Additive Remaining	**0**
Net Remaining	37830
Q3 and Q4 - FY16	
Forecasted Spend	52200
Variance	-14370

Callouts:
- Total budget allocated for FY
- Amount spent so far
- Budget still available
- Amount of spending planned for final quarters
- Difference between available and planned

Figure 4.0.4 Budget Overview in the WPT

WORK PLAN + BUDGET REFORECASTING

Step 4: Similar to the way that your original work plan automatically populated the "annual" budget, your budget reforecast will automatically populate "revised budget_6mos". This revised budget is what you'll be sending to the Finance department, and once you have completed your work plan you should review the revised budget to ensure all information has been transferred correctly. Fix any discrepancies and then submit!

Activity 4.0.4 Reforecasting a Budget

Review the lesson content and your presentation notes.

STEP 1: Return to the pairs in which you completed Activity 4.0.1. You will be given additional information about the progress of activities as they were originally planned in your CSP. Review this information.

STEP 2: Based on these updates, fill in the "actual" budget numbers for Q1 and Q2, and make any necessary reforecasts to the final two quarters.

STEP 3: Once completed, check in with another pair to share results, discuss any differences in the actual spends. Then discuss:

What was similar or different about the way you reforecasted the budget?

_____

_____

_____

Why did you allocate money in the reforecast as you did?

_____

_____

_____

Notes: _____

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CRITICAL THINKING AND ADAPTIVE MANAGEMENT

Activity 4.0.5

Watch the video and follow the instructor's guidance

Discussion

Notes: _____

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Critical thinking is a widely used term to highlight the analysis and evaluation of an issue in order to objectively form a judgment. The idea of objectivity can be challenging because we have so many insights, inputs and biases that inform the way we think about a particular issue, idea, or piece of information. Yet, the quality of our life and that of what we are able to achieve for animals depends precisely on the quality of our thought (adapted from the Foundation of Critical Thinking 2015). Critical thinking is that mode of thinking—about any subject, content, or problem—in which the thinker improves the quality of his or her thinking by skillfully analyzing, assessing, and reconstructing it.

There are a number of skills that are associated with being a good critical thinker. A good critical thinker:

- Raises vital questions and problems
- Gathers and assesses relevant information, understanding differences among sources (e.g. twitter, news, scientific publications)
- Comes to well-reasoned conclusions and solutions
- Asks pertinent questions
- Is able to admit a lack of understanding or information
- Is willing to examine beliefs, assumptions, and opinions
- Suspends judgment until all facts have been gathered and considered
- Is able to reject information that is incorrect or irrelevant

Activity 4.0.6 Critical thinking and IFAW

Review the lesson content, your notes from the video and discuss the following quote with a partner.

"Yet, the quality of our life and that of what we are able to achieve for animals, depends precisely on the quality of our thought." (Adapted from the Foundation of Critical Thinking 2015)

What does this quote mean to you in relation to your work at IFAW?

_____

_____

_____

What are some examples of adopting critical thinking in your work? (You may want to use the above list of critical thinking qualities as a reference.)

_____

_____

_____

What are some new ways we could adopt or improve critical thinking in IFAW's work?

_____

_____

_____

Any other thoughts?

_____

_____

_____

Group discussion

Notes: _____

_____

_____

Adaptive Management Meetings

At IFAW, we hope and expect to achieve the greatest possible impact for animals given our resources, skills, expertise, and the magnitude of the problem. Critically evaluating whether what we are doing is working is an important part of ensuring we are doing the best we can with the resources we have for animals in crisis across the globe.

Adaptive management, assessment, and associated meetings provide a critical opportunity for teams to evaluate whether what they are doing is impactful, whether changes need to be made, or if continuing along the previous path will lead to our desired results. However, in order to have these conversations effectively we need to apply critical thinking tools and skills to evaluate project data to determine whether we are on the right path.

🎥 Presentation 4.0.4: Adaptive Management Meetings

Notes: _____

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What is an Adaptive Management Meeting?

Assessing whether a project is achieving desired results is a function of a number of inputs, from monitoring quantitative data to assessing the status of activities. This assessment is critical not just for project teams to ensure they are on track for achieving their results, but also to adaptively manage and improve strategies, update the institution on lessons learned, assess progress on key indicators for donors, and identify communication opportunities for project results. These needs will be aligned with the needs identified with your target audiences in Module 2 of the *IFAW Open Standards*.

For IFAW, understanding how projects are progressing in achieving their goals is meaningful for our donors and board, updating activities and budgets, and aligning teams for success. As such, IFAW has identified the **Adaptive Management Meeting** as a tool that will:

- Determine whether project activities and strategies are on track
- Evaluate baseline data and implications for goal and objective setting
- Articulate impact assessment and achievement of objectives and goals
- Identify successes, challenges, and key lessons learned
- Identify what's working and what needs to be modified
- Update the project plan

You will have access to a number of facilitation/meeting design tools as well as monitoring expertise to help you through this process. However, this lesson is designed to introduce you to the basics of what this could look like at IFAW. Below are the steps for designing and implementing an adaptive management meeting.

STEPS FOR DESIGNING AND IMPLEMENTING ADAPTIVE MANAGEMENT MEETINGS

Step 1: Determine whether you need an adaptive management meeting. You will need one if:

- Quantitative or qualitative data relative to the metrics, strategies, and monitoring plan used by the project become available

- A project is coming to an end

- A natural disaster (political risk, etc) occurs within the project's geographic range that alters the conditions under which the project is operating for a significant period of time

- A major strategic shift at the institutional or programmatic level

- A funder requires updated impact reporting

Step 2: Evaluate existing data and ensure it is relevant, reliable, and credible for updating or assessing your objectives.

Work with your project team to evaluate relevant data aligned with your objectives, strategies and activities. Discuss key lessons learned, measurable successes, whether you are on track to achieve your objectives, and insights for adaptively managing the project.

Step 3: Organize an adaptive management meeting.

Using the adaptive management report template as a guide, summarize relevant impact and assessment information about your project. Then identify your key monitoring audiences and individuals who should participate in the meeting. Send participants a project impact summary prior to meeting and use the time you are together to:

- Critically evaluate the work.

- Gain key insights on new ideas and activities to adaptively manage the project.

- Articulate key messages for fundraising that are consistent with donor needs.

- Identify new opportunities for philanthropy, programs, or communications.

Step 4: Finalize impact report.

Using the adaptive management report template as a guide, and the notes from your adaptive management meeting, finalize your impact report and share it with your target audiences.

Activity 4.0.7 Evaluating an IFAW Project Using Critical Thinking

Use the lesson content and your notes to apply critical thinking skills in reviewing the IFAW CPS preliminary adaptive management report. Take any relevant notes. Work with a new partner to answer the following questions.

What questions do you have about this project?

_____

_____

_____

What experiences do you have with this type of project that might be important for the team to consider?

_____

_____

_____

What do you feel confident reporting relative to the impact of this work and why?

_____

_____

_____

What are you not as certain about? How will it affect the way you think about communicating the impact of this work and why?

_____

_____

_____

Group Discussion

Notes: _____

_____

Activity 4.0.8 What do I need?

STEP 1: On your own, review the IFAW CSP Adaptive Management report and think about your project. Review the below questions and take some notes.

What information might you need in order to produce this type of report?

_____

_____

_____

Where will you get that information?

_____

_____

_____

What might need to change about IFAW processes/systems and support in order to be able to create a document like this for your project(s)?

_____

_____

_____

STEP 2: Work with your tables/project teams to discuss. Use the flip charts to consolidate your answers and prepare for report out.

_____

_____

_____

Notes: _____

_____

_____

IFAW Open Standards Glossary and References

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 CONCEPTUALIZING AND PLANNING CONSERVATION PROJECTS AND PROGRAMS

Glossary

Acceptable Range of Variation: The limits of a target's naturally-occurring variation that constitute the minimum conditions for the target's persistence (note that persistence may still require human management interventions). Establishes the minimum criteria for identifying a target as "conserved" or "protected" or "safe from conditions that compromise animal welfare".

Activity: A set of tasks in your work plan, undertaken by project staff and/or partners to implement a strategy and achieve one or more project objectives.

Adaptive Management: The integration of design, management, and monitoring to systematically test assumptions in order to adapt and learn. This approach to systematic planning and implementation determines if a project is on track to achieve relevant objectives, why they are on track or not, and what adjustments need to be made to be on track.

Adaptive Management Meeting: Assessment and meetings designed to update project plans, strategies, and project implementation based on monitoring data or a significant shift in institutional or project context, occurring annually or as needed.

Additive Restricted Funding: Funds that are restricted or "required" to be used for your project or parts of it. They have been given *in addition* to the regular budget allocation, and will increase the net budget you have to spend during the timeframe for which they have been given.

Animal Target: Species facing critical conservation or animal welfare threats within the project scope.

Attributes: Aspects of your animal target that are important indicators of their health and welfare status.

Audience: The group(s) or individual(s) who will be seeing and reviewing (monitoring) information in the context of the *IFAW Open Standards*.

Biophysical Factor: Attributes of an animal or habitat target that are directly or indirectly impaired by human activities including animal welfare stresses (Interchangeable with "stress").

Conceptual Model: A diagram that maps out a set of causal relationships between factors that are believed to impact one or more targets. Should explicitly link the animal/habitat targets to the direct threats impacting them and the factors (indirect threats and opportunities) influencing the direct threats.

Conservation Coaches Network (CCNet): The Conservation Coaches Network aims to improve conservation by empowering people to develop, implement, evaluate, adapt and share effective strategies that achieve tangible conservation results benefitting both people and nature all over the world.

Conservation Measures Partnership (CMP): The Conservation Measures Partnership (CMP) is a joint venture of conservation organizations and collaborators that are committed to improving the practice of conservation. By participating in CMP, member organizations seek to capitalize on their individual and collective experience to avoid duplication of effort, bypass tried but failed approaches, and quickly identify and adopt best practices.

Contributing Factor: A factor identified in an analysis of the project situation that is a driver of direct threats. Often an entry point for conservation or animal welfare actions. Sometimes referred to as an "indirect threat" or "underlying driver". Compare with direct threat.

Core Team: Team members that have key skills and a solid knowledge of the context within which the project will take place. They are the ones who are most responsible for implementing a project.

Cost Center: A budget unit designation within a department. Cost center codes have a defined logic that enables identification of the IFAW entity and department by looking at the code.

Criteria (scope, severity, irreversibility): A standard by which a threat is evaluated and a rating is determined. The IFAW *Open Standards* uses the criteria of scope, severity, and irreversibility for animal and habitat targets.

Critical Thinking: The analysis and evaluation of an issue in order to objectively form a judgment, usually involving multiple sources of information and perspectives to achieve as unbiased a judgment as possible.

Current Status: An assessment of the current "health" of a target as expressed through the most recent measurement of an indicator for a KEA of the target.

Degraded Attribute: An attribute that falls out of the acceptable range of variation and has a status of poor or fair.

Desired Future Status: A desired measurement or rating of an indicator for a KEA that describes the level of viability/integrity that the project intends to achieve. This forms the basis for a project goal.

Direct Threats: Primarily consist of human activities or behaviors that immediately affect an animal or habitat target, but can be natural phenomena whose impact is increased by other human activities (e.g. climate change).

Enabling Conditions: A broad or high-level opportunity within a situation analysis. For example, the legal or policy framework within a country.

Evaluation: The analysis and interpretation of data in order to make an assessment of project impact.

Feasibility: The degree to which your project team could implement the strategy within likely time, financial, staffing, ethical, and other constraints.

Future Code: Also known as a *restricted fund code*. A budget unit designation representing a funding source. Future codes have a defined logic that enables identification and tracking of funded activities by looking at the code.

Goal: A formal statement detailing a desired impact of a project. Tied to animal or habitat targets, they reflect the critical, measurable aspects of a species or habitat that is to be achieved for improved conservation or animal welfare.

Habitat Target: These targets include habitats that characterize the terrestrial, aquatic, and/or marine ecosystem components that support animal targets. Examples include grasslands, riparian forest, or wetlands.

Human Wellbeing Target: The aspects of human wellbeing that are positively impacted or the benefits humans receive from healthy animal and habitat targets.

Impact Monitoring: Collecting new or using existing information to measure progress towards stated objectives. This information provides the data used to adaptively manage a project.

Indicators: A unit of information measured over time that documents changes in a specific condition. It defines what you are trying to measure but should not include the desired level or trend that you wish to see. In the *IFAW Open Standards*, an indicator is tied to your goals and objectives.

Intervention Point: A factor (indirect threat, opportunity, direct threat, biophysical factor, or target) in your conceptual model where you could develop a strategy to ultimately improve the conservation or welfare status of one or more animal/habitat targets.

Key Ecological Attribute (KEA): Aspects of a target's biology, ecology or welfare that if present, define a healthy target and if missing or altered, would lead to the outright loss or extreme degradation or comprised welfare of that target over time (see attribute).

***Miradi* Adaptive Management Software Program:** A continuously evolving software program that helps project teams implement the *IFAW Open Standards*

Monitoring: The periodic process of gathering data related to project goals and objectives.

Monitoring Methods: Specific techniques used to collect data to measure an indicator.

Net Budget: The total amount of money used to implement a project within a specific timeframe. This includes unrestricted, underwritten restricted, and additive restricted funding.

Niche: The extent to which your strategy will fill a gap not addressed by another project or organization.

Objective: A formal statement detailing a key intermediate result of a project. Defines in specific terms what a team hopes to achieve as an intermediate result on the way to achieving the overall project goal in SMART format.

Opportunity: A factor identified in an analysis of the project situation that potentially has a positive effect on one or more targets, either directly or indirectly. Often an entry point for conservation or animal welfare actions.

Other Direct Costs: Any expenses necessary for the implementation of activities excluding labor (human capacity) and materials

Overhead Costs: Expenses that are necessary to ensure the project can operate but do not directly contribute to implementation of project activities.

Planning Context: The reason to plan and implement a particular project, which may include internal and external factors such as people, finances, programmatic or institutional priorities, and logistics.

Potential Impact: The degree to which a strategy (if implemented) will lead to desired changes in the situation at a project site.

Practitioners: Those individuals and groups who are responsible for the planning and implementation of a conservation or animal welfare project.

Project: A set of actions that align with a strategy and are undertaken by a defined group of practitioners – including managers, researchers, community members, or other stakeholders – to achieve defined goals and objectives.

Project Code: A budget unit designation within a department. Project codes have a defined logic that enables identification of the IFAW department and project by looking at the code.

Process Monitoring: Tracking activities and determining whether planned tasks are "on track" given what was planned. Specific areas to monitor include timing, budget, logistics, and effectiveness of activities in achieving their intended results.

Rating Scale: A scale that categorizes indicators into different ranges of variation.

Results Chain: A tool that clarifies assumptions about how strategies are believed to contribute to threat reduction, and achieving the conservation or protection of targets. They are diagrams that map out a series of causal statements that link factors in an "if…then" fashion.

Scope: Defines the broad parameters of the project and sets the rough boundaries for what the project will attempt to do. At IFAW, this can be defined as either a thematic scope or a thematic scope with geographic focus.

Situation Analysis: An analysis of the key factors affecting your targets, including: direct threats, contributing factor or underlying drivers, opportunities, and enabling conditions.

SMART: Criteria used to evaluate a good goal or objective statement: specific, measurable, attributable, realistic, time-bound.

Strategy: A group of actions with a common focus that work together to reduce threats, capitalize on opportunities, or restore natural systems. Strategies include one or more activities and are designed to achieve specific objectives and goals. Strategies are generally developed at key intervention points.

Stress: Attributes of an animal or habitat target that are directly or indirectly impaired by human activities. (Interchangeable with "biophysical factor").

Task: A very specific action that needs to be taken to accomplish an activity, a Monitoring Plan, or other components of a Strategic Plan. Hierarchically, tasks fall below activities. A single activity will require a variety of tasks for it to be completed.

Thematic Scope: A scope that includes efforts to address specific species, animal welfare, or conservation threats.

Thematic Scope with Geographic Focus: A thematic scope that is confined by some geographic location.

Theory of Change: A comprehensive description and illustration of how and why a desired change is expected to happen in a particular context, as illustrated by a Results Chain.

Threats: Anything that could compromise the status, health, or well-being of a target.

Underwritten Restricted Funding: Funds that are restricted or "required" to be used for your project or parts of it. They do not change your top line budget because they are included in the total budget number.

Urgency: The need to act to immediately address a threat because the consequences of delaying action are too great.

Viability: The status or "health" of a population of a specific plant or animal species. Indicates the ability of an animal or habitat target to withstand or recover from most natural/human disturbances or animal welfare threats, and thus to persist for many generations or over a long period of time.

Viability Assessment: A flexible and powerful methodology based on ecological principles that helps address the challenges of defining healthy targets and setting appropriate and measurable goals.

Vision: The desired state or ultimate condition that the project is working to achieve.

Vision Statement: A clear and brief summary of the vision articulated by project team members and their partners.

Work Plan: A detailed, short-term (one year) schedule outlining a project team's actions to implement their strategies. A high-level plan includes the strategies and major activities, but it does not include the tasks needed to implement each activity and strategy.

Work Plan and Budget Toot (WPT): A tool to develop a work plan that aligns activities on a timeline with their costs, tracks funding streams at a high level, and provides the critical information needed for decision-making around budget and resource allocation.

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     CONCEPTUALIZING, PLANNING, AND IMPLEMENTING IFAW PROJECTS

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