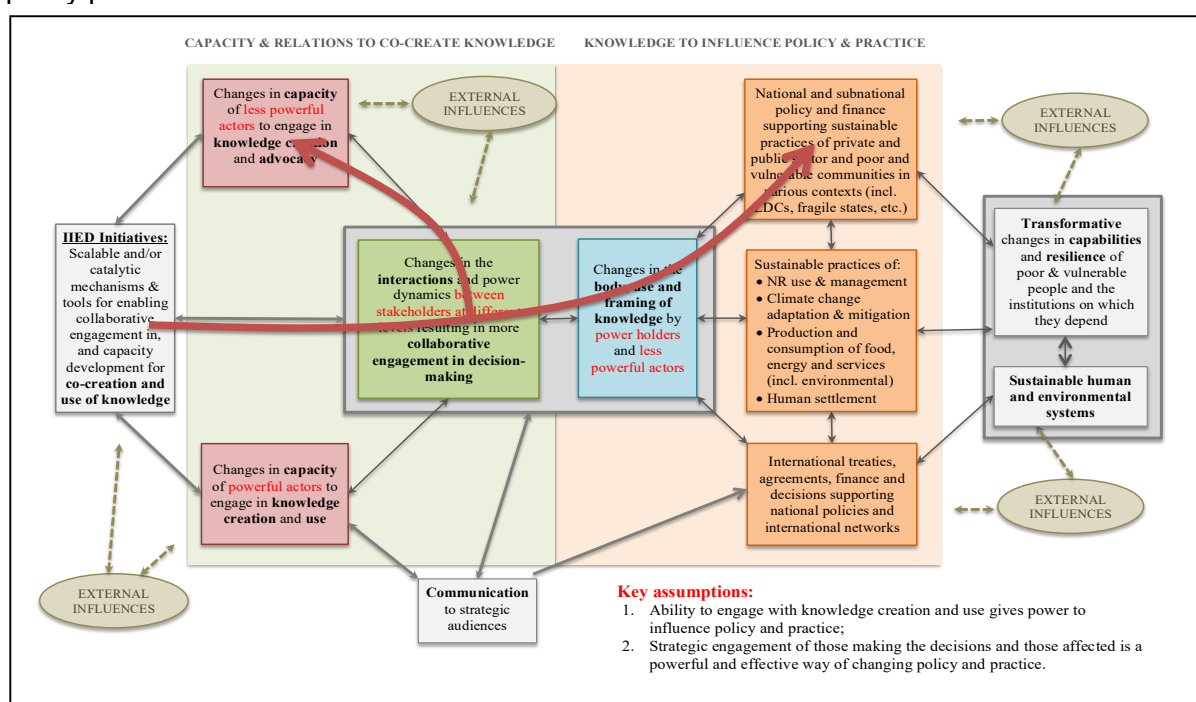


Annexes

Annex A: Impact Pathways

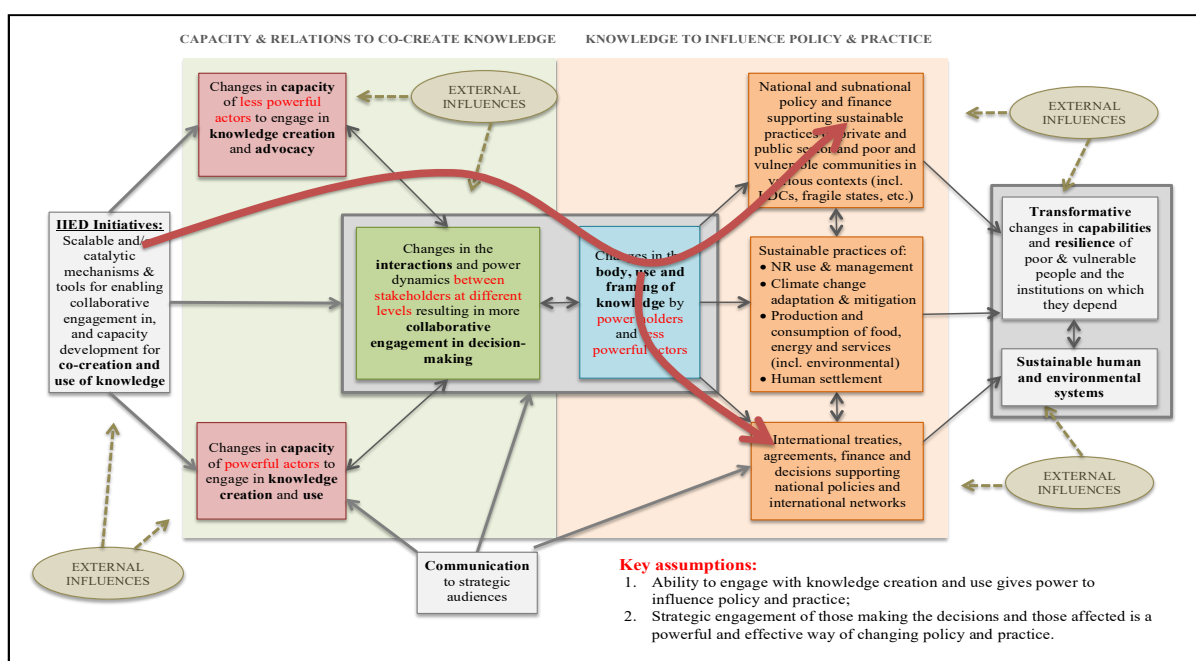
In the November 2016 sense-making workshop, IIED staff and partners identified and defined four key 'ways of working' or impact pathway categories based on the ER's initial findings:

Category 1. Multi-stakeholder Dialogue: Convening networks and facilitating dialogues to share local knowledge, build capacity of less powerful actors, and influence policy makers in policy processes.

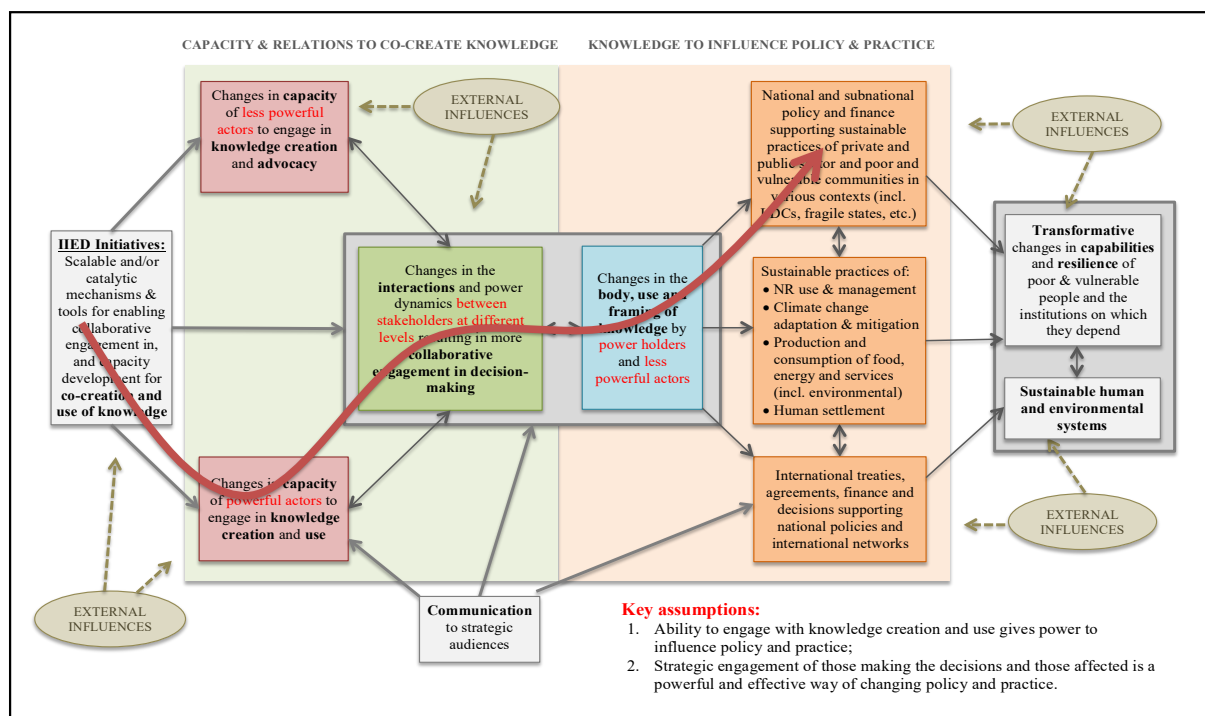


Note: This impact pathway is illustrated as reaching national and subnational policy, but can be targeted at national and/or international policies and practices

Category 2. Research to Policy: Building on existing bodies of work and engaging local actors in direct partnerships to develop practical solutions that support pro-poor governance.

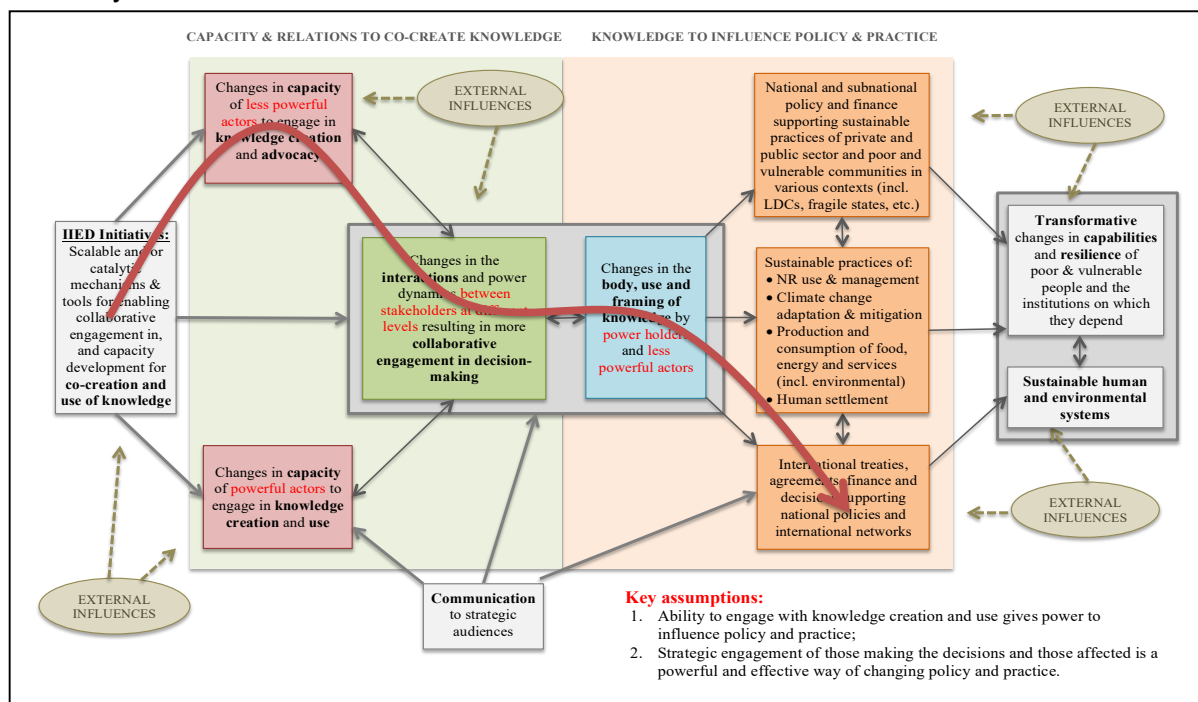


Category 3. Targeting Policymakers: Reframing the knowledge of decision-makers and develop policy frameworks to domesticate global policy and make it relevant to the local conditions.



Note: This impact pathway is illustrated as reaching national and subnational policy, but can be targeted at national and/or international policies and practices

Category 4. Empowering the Powerless: Building capacity and enabling the voice of people/ countries with less power to engage in knowledge generation and national and global advocacy.



Note: This impact pathway is illustrated as reaching international policy, but can be targeted at national and/or international policies and practices.

Annex B. Causal Process Observation Matrices

Impact Pathway 1. Multi-stakeholder dialogue

Case 1.1. Ghana artisanal and small scale mining (Shaping Sustainable Markets research group)

	<i>Capacities to co-create/use knowledge</i>	<i>Interactions and power</i>	<i>Body, use and framing of knowledge</i>	<i>Policies & practices</i>	<i>Impact</i>
<i>Changes</i>	<ul style="list-style-type: none"> Evidence-to-Action capacity built in multi-stakeholder meetings Research capacity built at country level. 	<ul style="list-style-type: none"> Ghana national multi-stakeholder dialogue initiated Sustained through multi-stakeholder Learning and Leadership Group (LLG), with strong leadership. 	<ul style="list-style-type: none"> Global knowledge base and terms of discussion framed Knowledge built and pre-conceptions challenged amongst key stakeholders. 	<ul style="list-style-type: none"> A clear policy advocacy process and direction established <p>Expected change:</p> <ul style="list-style-type: none"> Progressive shifts in the policy discourse on ASM backed by changing attitudes and behaviours ASM formalisation brings sustainable and inclusive ASM policies and practices. 	<p>Expected change:</p> <ul style="list-style-type: none"> Secured rights of different groups of small-scale miners and other community groups affected by mining Transformed and sustained mixed rural livelihoods systems.
<i>Explanations (incl. IIED contributions)</i>	<ul style="list-style-type: none"> High level of IIED investment in multi-stakeholder dialogue, with experiential learning intended; however, national partner lacked 'guided facilitation' skills to sustain this beyond workshop IIED international researcher worked with a local research team on fieldwork and 	<ul style="list-style-type: none"> IIED credibility built through initial engagement private sector-led Global Mining Initiative, subsequent two-year IIED global research project (2000-02) on mining, minerals and sustainable development (MMSD), with a MMSD+10 review in 2012 IIED-convened global 	<ul style="list-style-type: none"> At global level IIED's in-depth ASM research prompted by 'MMSD+12' tagged to a five-year process of global and national ASM policy dialogues Ghana multi-stakeholder dialogue preceded by on-site exposure + informed by analysis from IIED co-produced and interpreted primary 	<ul style="list-style-type: none"> The "stars were aligned" in Ghana with stakeholders ready to hear different views Strong leadership from the CEO of the Ghana Minerals Commission who was "willing to be countercultural" An ongoing advocacy role adopted by an IIED-prompted multi-stakeholder Learning and Leadership Group 	<ul style="list-style-type: none"> The LLG's advocacy strategy and route to improving impacts for ASM communities built around formalising the sector and allied to changed public discourse – is encouraging but not yet proven at impact level No certainties, however, that targeted policy changes, such as those linked to ASM

	analysis; however, worked in extractive mode. Gender analysis frameworks and tools were not designed into the methodology.	<p>stakeholder forum (London, April 2015) steered action towards a multi-country national dialogue programme, with Ghana the first national dialogue process to be started</p> <ul style="list-style-type: none"> • IIED held individual stakeholder meetings (Nov 2015) to understand challenges and solutions. • IIED initiated multi-stakeholder dialogue (Jan 2016) facilitated by national partner in Tarkwa • IIED 'non-aligned position' and credible track record enabled it to act as boundary partner. 	research in ASM sites.	<ul style="list-style-type: none"> • Solutions (formalisation) and processes (inclusive) were locally-led, with 'process facilitation' from IIED • Long-term ASM stigmatisation and negative environment and social impacts guided the solution of formalisation. 	<p>regulation and livelihoods support, will come to fruition</p> <ul style="list-style-type: none"> • National level challenges continue in the policy context, including recent election • Challenges to sustaining policy advocacy at the national level are posed by budget uncertainty/size • There is also a lack of on-the-ground prolonged process support, with IIED's support mode risking slipping into a 'parachuting in' approach.
Evidence	<ul style="list-style-type: none"> • IIED reporting • Lack of triangulated evidence on level of capacity transferred (partners unavailable for interview). 	<ul style="list-style-type: none"> • Roadmap for sectoral reform produced from multi-stakeholder dialogue • Learning and leadership group governance and procedures established • Lack of triangulated evidence on sustainability from partners (unavailable for interview). 	<ul style="list-style-type: none"> • IIED reporting • IIED knowledge products • Lack of triangulated evidence from partners (unavailable for interview). 	<ul style="list-style-type: none"> • IIED reporting • Media campaign outputs and tracking of media items • Lack of triangulated evidence from policy makers (unavailable for interview). 	<ul style="list-style-type: none"> • IIED reporting • Lack of triangulated evidence from partners (unavailable for interview).

Impact Pathway 1. Multi-stakeholder dialogue

Case 1.2. Urban poor empowerment and resilience (Human Settlements research group)

	Capacities to co-create/use knowledge	Interactions and power	Body, use and framing of knowledge	Policies & practices	Impact
Changes	<ul style="list-style-type: none"> Partner Shack Dwellers International's (SDI)¹ capacity built for evidence-based advocacy SDI capacity built as a community-led network that closely collaborates with government partners Latterly SDI capacity built to negotiate complex green climate fund (GCF) bureaucratic procedures; including supporting concept note production (with re-couching of urban infrastructure upgrading as 'resilience and adaptation'). 	<ul style="list-style-type: none"> Meaningful partnerships (based on a 'co-production governance model') between local authorities and local organisations and civil society groups GCF benefits built into discussions with government partners in three countries <p>Expected change (GCF)</p> <p>Lesson sharing and replication to be scaled up within and across SDI federations.</p>	<ul style="list-style-type: none"> Discussions between citizens and local authorities informed by support to SDI groups to generate evidence on infrastructure and service access. Change processes evidenced and documented by SDI affiliates Knowledge of local models of urban co-production informing application to GCF. 	<p>Change achieved</p> <ul style="list-style-type: none"> Over 10 years an increase in pro-poor, inclusive and accountable urban governance in SDI community municipalities <p>Expected change (GCF)</p> <ul style="list-style-type: none"> Climate financing identified as a strategic way to link global dialogue and budgets with support to urban governance. Hence advocating at GCF policy level for extending entitlements to local groups. 	<p>Change achieved</p> <ul style="list-style-type: none"> Widespread cases of urban land security achieved + improvements in infrastructure (incl. watsan and housing) in low income urban settlements through locally-informed use of discretionary budgets <p>Expected change (GCF)</p> <ul style="list-style-type: none"> Sustainable city impact enhanced by linking this urban governance model with new streams of climate financing.
Explanations (incl. IIED contributions)	<ul style="list-style-type: none"> IIED's long-term partnering approach (1996+) to SDI has contributed to capacity. IIED's 'knowledge brokering' approach to capacity building: an 	<ul style="list-style-type: none"> IIED's tried-and-tested approach of sustained partnership in 'hands off' support mode The process has brought together local authorities and citizens 	<ul style="list-style-type: none"> IIED providing ongoing support to SDI to synthesise and analyse the digitised information from all registered SDI communities once 	<ul style="list-style-type: none"> SDI ongoing discussions with national and local governments in Kenya, Tanzania and Uganda on the benefits of GCF accreditation 	<ul style="list-style-type: none"> IIED supported evidence-led participatory governance processes Enhanced contribution of green finance still to be proven. IIED high

¹ SDI is a federated grassroots organisation. SDI federations have a membership of 2 million savers with 15 mature federations working in over 400 urban centres across the global South.

	<p>IIED-hosted Jo'burg workshop brought innovative local financial models knowledge from SDI affiliates and government partners together with new partners that had knowledge of climate finance models and directions. This produced a shared position, captured in the 'Melville Minutes'.</p>	<p>with mutual interest in delivering services and accessing new finance streams</p> <ul style="list-style-type: none"> • In respect of GCF, scaling up to be achieved by including a programme of institutional learning in SDI's application to the GCF. 	<p>they come online</p> <ul style="list-style-type: none"> • IIED's support to sensitisation of local groups on financing mechanisms through linking partners with different expertise • Backed by IIED knowledge and evidence base from HSG and drylands climate change team on how existing local financing models have contributed to climate resilience. 	<ul style="list-style-type: none"> • IIED's contribution through support to SDI's efforts to gain GCF accreditation: through IIED's institutional presence in global for a (advocating for extending GCF entitlements to local groups), and adroitness to operate between levels (between global, national and local). 	<p>level of ambition big complex policy and practice processes.</p>
<i>Evidence</i>	<ul style="list-style-type: none"> • IIED reporting • SDI secretariat and AFDB consultant reporting on IIED's approach to 'facilitating co-creation of a solution' achieved through long-term engagement and trust building • 'Melville minutes' reporting. 	<ul style="list-style-type: none"> • IIED reporting • SDI Secretariat + Uganda Affiliate reporting • AFDB consultant reporting. 	<ul style="list-style-type: none"> • IIED reporting on SDI mapping process • SDI Secretariat + Uganda Affiliate reporting on IIED contribution • AFDB consultant reporting on IIED contribution. 	<ul style="list-style-type: none"> • IIED reporting • SDI Secretariat + Uganda Affiliate reporting • Process documentation of SDI GCF accreditation application • Reported enthusiasm by national and local government partners in Kenya, Tanzania and Uganda for GCF accreditation. 	<ul style="list-style-type: none"> • IIED reporting • SDI Secretariat + Uganda Affiliate reporting.

Impact pathway 2. Research to policy

Case 2.1. The Hilsa fishery conservation trust fund (Shaping Sustainable Markets research group)

	Capacities to co-create/use knowledge	Interactions and power	Body, use and framing of knowledge	Policies & practices	Impact
Changes			<p>Reframing of stakeholders' understanding of the benefits and problems of fishery conservation management.</p> <p>Adoption of the business case for a legal independent Conservation Trust Fund by the government that moves beyond existing punitive measures and enables payment of fair incentives or compensations.</p> <p>Two demand-driven requests for sharing and learning from the Bangladesh case:</p> <ul style="list-style-type: none"> • Costa Rica pioneered Payment for Ecosystem Services (PES) but hadn't done anything yet in its marine environment. The government invited IIED and its Bangladeshi partners to organise a seminar in 2014. • Mozambique WW Coastal East Africa asked if a similar scheme could be introduced for shallow water shrimp fisheries in Moz. IIED and the Bangladesh task force organised a multi-stakeholder workshop in Mozambique. 	<p>Widespread endorsement by international donors (such as USAID) and political buy-in by senior Bangladeshi officials in the proposed Hilsa Conservation Trust Fund, materialised in a shared and agreed Memorandum of Understanding and Articles of Association defining its governance architecture.</p> <p>Policy amendments to the Hilsa Fisheries Management Action Plan (HFMAP) involving the extension of the fishing ban for the peak Hilsa spawning period and for marine fishing from end-May until mid-July, with appropriate compensation of the fishermen.</p> <p>Rural savings bank considering the piloting of new microcredit models for fishermen, following the argument put forward by the initiative for the provision of suitable financial products and services for the fishermen adapted to their seasonal incomes in the fishing ban months.</p>	<p>The focus of the GoB has been largely on national environmental-economic benefits and the Trust Fund has appealed to this. Yet it remains unclear to what extent these will benefit the fishing communities and other market players (e.g. boat and net owners, fish traders) and thus lead to sustainable change in policy and practice. Although rice compensation has (and will further be) increased, possible distortions of local markets and fishermen's poverty-related issues (e.g. nutrition shortages due to loss of by-catch during the fishing bans, the need for livelihood diversification) are yet to be addressed.</p> <p>Yet IIED has continues to support the process in order to maximise the likelihood of sustainable change in policy and practice leading to transformative change.</p>
Explanations (incl. IIED contributions)			<p>The initiative built off the existing ambitions and capacities and took into account the different stakeholder interests, whether political or socioeconomic or environmental. Taking a collaborative process approach, it created a wide acceptance of a model for sustainable and inclusive fishery conservation management that is beneficial for the fishing communities, takes into account political factors and fits with the existing government capacities. The process was led by a core group of</p>	<p>Fish (in particular Hilsa) is quite an important commodity for both export and inland food security and nutrition. The importance is reflected in the government's progressive conservation policies and willingness to engage in programmes that help improve the sector. Hence there was a strong window of opportunity for the</p>	<p>IIED has put in place the strong coalition and partnership needed to maximise the likelihood that the Trust Fund will be implemented – incl. sufficient commitment and secured funding, core group of local researchers engaging with the DoF, and a strong partner (WorldFish) that can bring the Trust Fund to the next level and</p>

Evidence

	<p>research partners (IIED, BCAS and BAU) and involved widespread consultations with fisher communities, civil society groups and senior officials from key line ministries and departments. Understanding the motivations of policymakers was critical for determining the best means of engagement on the Trust Fund.</p> <p>The research partners conducted a 10-country case study and socio-economic and environmental scoping studies as the basis for building the business case. Plenty of research is conducted on fisheries in Bangladesh, but generally it lacks relevance, coherence and rigour. IIED has helped surfacing the real issues and questions related to and brought rigour to the research.</p> <p>Partner: <i>“Although time and conditions were right, and sufficient political will and funding was available, <u>without IIED’s involvement it would not have happened</u>. Most important was its role in sensitizing stakeholders about the real issues. All key players are now focused on solving these issues whereas before the attention was dispersed. Also the newspapers write about these issues now, so there is a <u>clear shift in discourse</u>.”</i></p>	<p>initiative to succeed.</p> <p>Reframing of stakeholders’ understanding of the benefits and problems of fishery conservation management.</p> <p>Adoption of the business case for a legal independent Conservation Trust Fund by the government.</p> <p>The Trust Fund does not replace but complement and thus strengthen the government’s efforts of sustainable fishery and marine management mechanisms.</p>	<p>add a stronger poverty and equity focus to it.</p> <p>IIED also has committed to continue supporting the policy change and research, making it more likely that the concerns related to benefit sharing and socio-economic sustainability will be addressed.</p> <p>Moreover IIED is also working with colleagues and fishery officials from Myanmar and India to scope the options for developing a regional initiative for the Bay of Bengal and developing a similar Trust Fund for Myanmar, which would address the cross-boundary sustainability issues (since Hilsa is a migrating species).</p>
	<p><i>The evidence came only from interviews with and reports from the IIED project lead and two of its partners. Yet independent experts positively reviewed the final report and all sources and publications appear most reliable. Independent streams of evidence from several reports and interviews were crosschecked:</i></p>		
	<ul style="list-style-type: none"> • The 12-country case study: http://pubs.iied.org/16574IIED.html • 2nd annual report to the Darwin Initiative • Interviews: Essam Mohammed (IIED), Ali Liatquat (BCAS) and Monirul Islam (consultant) • IIED Website: http://www.iied.org/uks-darwin-initiative-funded-project-strives-reduce-threats-hilsa-fish • Costa Rica seminar report and/or presentation • Mozambique WW Costal East Africa workshop report and materials 	<ul style="list-style-type: none"> • IIED 2015/16 Results Report • Evaluation of hilsa fisheries for ECOFISH^{BD} • Interviews: Essam Mohammed (IIED), Liatquat Ali (BCAS) and Monirul Islam (consultant) • Formal commitment made by Muhammed Sayedul Hoque, Minister of Fisheries and Livestock: http://www.iied.org/conservation-trust-fund-proposed-help-manage-bangladesh-fish-stocks 	<ul style="list-style-type: none"> • Interviews: Essam Mohammed (IIED) and Monirul Islam (consul) • Islam et al (2015), Economic Incentives for Hilsa Conservation In: Marine Policy (68): pp. 8-21. • Formal statement from Dr Syed Arif Azad (Dep of Fisheries): http://www.iied.org/conservation-trust-fund-proposed-help-manage-bangladesh-fish-stocks • Regional workshop report May 2016 in Dhaka

Impact pathway 2. Research to policy

Case 2.2. The Social Assessment of Protected Areas (SAPA) initiative (Natural Resources research group)

	Capacities to co-create/use knowledge	Interactions and power	Body, use and framing of knowledge	Policies & practices	Impact
Changes	<ul style="list-style-type: none"> Protected Area (PA) level: Capacity building around the participatory generation and use of knowledge in 7 trial targeted PAs in 5 countries. 	<ul style="list-style-type: none"> PA level: Participatory approaches and principles bring stakeholders – including previously marginalised actors-- in support of sustainable PA impacts. 	<ul style="list-style-type: none"> Global level: Scaleable methodology (process + methods + analytical framework) developed to assess the social effects of protected areas PA level: Participatory approaches built on the collective generation and evaluation of knowledge. 	<p>Change achieved</p> <ul style="list-style-type: none"> At global level: A specific programme of work under the Convention on Biological Diversity (CBD) on the costs and benefits of PAs, with targets later added specifying that PAs should be equitably managed At PA level: Equitable rights based management demonstrated in targeted (project) PAs. <p>Expected change</p> <ul style="list-style-type: none"> Roll out of demonstrated governance processes across additionally targeted PAs, linked to global level endorsement. 	<ul style="list-style-type: none"> Documented improvements in livelihoods and sustainability of (particularly first 3 of) 7 trial targeted (project) PAs in 5 countries <p>Expected change</p> <ul style="list-style-type: none"> PA impacts taken to scale through “ongoing” roll out of hybridised SAPA + governance tool and process This could contribute to monitoring of relevant regional and global targets: SDGs + Aichi Target 11 (equitable PA management).
Explanations (incl. IIED contributions)	<ul style="list-style-type: none"> Capacity building at the heart of the SAPA methodology being supported at targeted PA level by IIED. 	<ul style="list-style-type: none"> IIED supported these inclusive participatory processes in targeted PAs A shared incentive amongst PA managers and local communities ensured a strong 	<ul style="list-style-type: none"> CARE Denmark (Phil Franks) engaged early with the Conference of the Parties to the Convention on Biological Diversity (CBD) IIED contributed to knowledge framing, 	<ul style="list-style-type: none"> The initiative was driven by a global push to examine the link between PAs and poverty reduction IIED’s entry point as a useful and credible ‘boundary organisation’ focussed on progressive engagement with policy 	<ul style="list-style-type: none"> Locally owned processes sustained with light-touch IIED technical support IIED-supported participatory planning processes at PA level have linked problem identification with local solutions within a governance systems where there is sufficient local

		<p>demand for tools and approaches that could help support process of reflection and action</p> <ul style="list-style-type: none"> • However, more recent additional emphasis by the SAPA team on tackling governance and equity issues in PAs will politicise this process, likely needing to challenge existing authority and governance arrangements. 	<p>backed by a review of rapid methodologies for social assessment of conservation initiatives</p> <ul style="list-style-type: none"> • IIED met a demand for this applied knowledge: <i>"They (CBD) were frustrated by lack of progress on addressing PA impacts. Their view was 'we need to do this but how do we do it' (Kate Schreckenberg, pers. com.)</i> 	<p>dialogue backed by knowledge framing and methodological development.</p> <ul style="list-style-type: none"> • IIED moves strategically between global platform discussion, agreement of expanded PA principles (equity and justice) and local level policy process demonstration of proof of approach • IIED intends that recently-secured Darwin Initiative funding for multi-site (10 PA sites), 6-year hybridised SAPA + governance tool in Uganda and Kenya will feed back into global discussions with a view to global uptake. 	<p>authority to make changes happen</p> <ul style="list-style-type: none"> • The project is primarily focussed on changing practice in different contexts • Challenge for IIED of taking these 'downstream' impacts to scale, particularly with limited project funding and across widely different contexts.
Evidence	<ul style="list-style-type: none"> • IIED colleagues interviews and documented reporting • Partner reporting (including Kenya PA interview) and evaluation report. 	<ul style="list-style-type: none"> • IIED colleagues interviews and documented reporting • Partner reporting (including Kenya PA interview) • Documented survey of SAPA facilitators. 	IIED colleagues interviews and documented reporting.	<ul style="list-style-type: none"> • IIED colleagues interviews and documented reporting • Partner reporting (including Kenya PA interview) and evaluation report • Documented survey of SAPA facilitators. 	<ul style="list-style-type: none"> • IIED colleagues interviews and documented reporting • Partner reporting (including Kenya PA interview) • SAPA facilitators survey (but limited timeline for capturing long-term behavioural and institutional changes).²

² Positive impacts comprised five categories: 1) Ecosystem services benefits, 2) Improved law enforcement, 3) PA-supported development projects, 4) PA-related employment, and 5) Reduced costs/risks. Negative social impacts also comprised 5 categories: 1) Human-wildlife conflict; 2) Reduced/lost access; 3) Unjustified arrest; 4) Transaction/management costs; and 5) Unfair distribution of benefits.

Impact pathway 3. Targeting policymakers

Case 3.1. Tracking Adaptation Measuring Development (TAMD) (Climate Change research group)

	<i>Capacities to co-create/use knowledge</i>	<i>Interactions and power</i>	<i>Body, use and framing of knowledge</i>	<i>Policies & practices</i>	<i>Impact</i>
<i>Changes</i>	TAMD's twin-track framework strengthen national and local governments' capacity to assess climate risk management and adaptation, and its impact on resilience and sustainable development.	Application of TAMD's twin-track framework changes the power dynamics between international funders and national governments, local and national governments, and communities and local governments.	Reframed and improved understanding of adaptation in relation to development. Application of TAMD enables governments to optimise adaptation and development outcomes and strengthen governance and planning of adaptation-relevant interventions. First pilot successes raised interest and awareness among other countries which led to the second pilots. The 8 TAMD pilots are currently presented as learning cases at the Irish Aid Climate Change and Development Learning Platform.	TAMD has been institutionalised in the pilot countries' policies and systems and implemented at varying levels. In Mozambique, for instance, a planning system for local adaptation has been institutionalised using TAMD that complements the RBM system of the WB-led programme on climate resilience (PPCR). In Uganda, TAMD indicators have been integrated in national budgeting. In Ethiopia, the Ministry of Agriculture (MoA) is developing an M&E framework for adaptation using TAMD as a guide. In Pakistan and Kenya TAMD has also led to a stronger gender focus in resilience. In Mozambique, Cambodia, Ethiopia and Nepal TAMD had a national influence, while in Mozambique and Uganda TAMD was also implemented at local levels.	It's too early to see any transformative changes in capabilities and systems, yet the institutionalisation and successful application of TAMD in most of the pilots have set the conditions for this.
<i>Explanations (incl. IIED contributions)</i>	Intensive support provided by IIED and local partners in the 4 first pilots (Kenya, Nepal, Pakistan, Mozambique) through large partnership grants with 6-9 months scoping. Selection of countries based on interest and	The second TAMD pilots focused on local level use to create space for local participation in national priority setting. TAMD indicators were developed in Uganda, for instance, at national and local levels and integrated with the Performance Measurement Framework (PMF) for the National Climate Change Policy (NCCP), the Output Budget Tool (OBT) of the Ministry of Finance,	Through multi-country workshops (Edinburgh 2013, Kenya 2014 and Addis Ababa 2015) and numerous publications (incl. feasibility studies), learning about the achievements of TAMD in the first pilots inspired other countries and also donors to also start experimenting with	Strong window of opportunity: governments need M&E of adaptation work to access climate funding. Budget support of adaptation is the focus of climate negotiations and policy. Governments lack approaches, frameworks, tools and capacity for adaptation M&E. The TAMD pilots were tailored to governments' needs and complementing existing M&E initiatives, frameworks and tools. Successful uptake of TAMD was largely determined by the combination of: (a) partner	IIED's typical approach of deconstructing and reconstructing knowledge and tools through a guide process of collaborative engagement of the various stakeholders.

<p>presence of strong local champions. Ghana was also selected as a first pilot country but ditched because of insufficient partner capacity, which freed up budget for a second round of light-touch pilots.</p> <p>Less intensive coaching support in the 4 second pilots (Tanzania & Zanzibar, Cambodia, Uganda, Ethiopia). Demand-led selection of the countries based on motivation and readiness. The second pilots were inspired by the success of the first pilots. Strong partnerships were established during the programme, such as with the Africa Climate Resilience Alliance (ACCRA), which were conditional to the success.</p>	<p>the score card of the Office of Prime Minister (OPM) and the performance assessment tool for local governments to track adaptation as part of their local development efforts. This enables the national government to access international CC finance and local govs to access this funding for their local adaptation plans. Margaret Barihaihi (Oxfam GB Uganda): <i>"This empowers local governments as well as women and men who are part of the local adaptation committees, as it enables them to submit their own adaptation priorities and obtain funding for it."</i></p> <p>Partner's response to the question about IIED's contribution and added value: <i>"IIED is particularly good at linking and supporting policy processes at different levels, given its presence and ability to work at all levels (from local to global). So it's particularly well placed to work on framing and developing indicators for assessing adaptation and resilience (which happens at the local level and is context specific) for policy and finance processes that happen at macro levels. Plus IIED has also a high credibility record as a research institute producing publications that reflect local realities and influence global processes."</i></p>	<p>TAMD.</p>	<p>capacity and performance; (b) its fit with the country's needs and its introduction at the right time; and (c) the level of alignment and collaboration among aid agencies and donors. A first phase pilot in Ghana failed due to the lack of partner capacity to find the right entry point and deconstruct and reconstruct the TAMD model in a way that fits specific needs and ambitions within the government. So Ghana was an operational failure. Yet if the conditions had been more favourable, then the local partner would probable have stand a better chance to succeed. So operational performance was imparted by the conditions. Also the pilot in Nepal didn't succeed, but there the reasons for failure were more political: the NAPA process that normally would have incorporated TAMD did not take place as expected due to government shifts and competition of multilateral aid agencies. Also in Mozambique there were some political problems which were not properly addressed at first by the local partner, but failure here was timely thwarted by IIED taking over the work from the local partner. The same could have happened in Ghana but IIED didn't have enough capacity to intervene in both countries, and chose to rescue the Mozambique pilot because there was a better fit for TAMD. In Pakistan, IIED was able to step back fairly quickly because the local partner there was quite strong. In countries like Kenya, TAMD was highly successful because there was a very strong demand from the government and a strong local partner, so IIED took a much more light-touch approach. In Uganda, TAMD was successful because it was furthered by the consortium ACCRA, which avoided some of the negative influences of competition for donor funding among the aid agencies.</p>
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	<i>Capacities to co-create/use knowledge</i>	<i>Interactions and power</i>	<i>Body, use and framing of knowledge</i>	<i>Policies & practices</i>	<i>Impact</i>
<i>Changes</i>	TAMD's twin-track framework strengthen national and local governments' capacity to assess climate risk management and adaptation, and its impact on resilience and sustainable development.	Application of TAMD's twin-track framework changes the power dynamics between international funders and national governments, local and national governments, and communities and local governments.	<p>Reframed and improved understanding of adaptation in relation to development. Application of TAMD enables governments to optimise adaptation and development outcomes and strengthen governance and planning of adaptation-relevant interventions.</p> <p>First pilot successes raised interest and awareness among other countries which led to the second pilots.</p> <p>The 8 TAMD pilots are currently presented as learning cases at the Irish Aid Climate Change and Development Learning Platform.</p>	<p>TAMD has been institutionalised in the pilot countries' policies and systems and implemented at varying levels.</p> <p>In Mozambique, for instance, a planning system for local adaptation has been institutionalised using TAMD that complements the RBM system of the WB-led programme on climate resilience (PPCR). In Uganda, TAMD indicators have been integrated in national budgeting. In Ethiopia, the Ministry of Agriculture (MoA) is developing an M&E framework for adaptation using TAMD as a guide. In Pakistan and Kenya TAMD has also led to a stronger gender focus in resilience. In Mozambique, Cambodia, Ethiopia and Nepal TAMD had a national influence, while in Mozambique and Uganda TAMD was also implemented at local levels.</p>	It's too early to see any transformative changes in capabilities and systems, yet the institutionalisation and successful application of TAMD in most of the pilots have set the conditions for this.
<i>Explanations (incl. IIED contributions)</i>	Intensive support provided by IIED and local partners in the 4 first pilots (Kenya, Nepal, Pakistan, Mozambique) through large partnership grants with 6-9 months scoping. Selection of countries based on interest and presence of strong local champions. Ghana was also	The second TAMD pilots focused on local level use to create space for local participation in national priority setting. TAMD indicators were developed in Uganda, for instance, at national and local levels and integrated with the Performance Measurement Framework (PMF) for the National Climate Change Policy (NCCP), the Output Budget Tool (OBT) of the Ministry of Finance, the score card of the Office of Prime Minister (OPM) and the performance assessment tool	Through multi-country workshops (Edinburgh 2013, Kenya 2014 and Addis Ababa 2015) and numerous publications (incl. feasibility studies), learning about the achievements of TAMD in the first pilots inspired other countries and also donors to also start experimenting with TAMD.	<p>Strong window of opportunity: governments need M&E of adaptation work to access climate funding. Budget support of adaptation is the focus of climate negotiations and policy. Governments lack approaches, frameworks, tools and capacity for adaptation M&E.</p> <p>The TAMD pilots were tailored to governments' needs and complementing existing M&E initiatives, frameworks and tools.</p> <p>Successful uptake of TAMD was largely determined by the combination of: (a) partner capacity and performance; (b) its fit with the country's needs and its introduction at the right time; and (c) the level of alignment and collaboration among aid agencies and donors.</p>	IIED's typical approach of deconstructing and reconstructing knowledge and tools through a guide process of collaborative engagement of the various stakeholders.

selected as a first pilot country but ditched because of insufficient partner capacity, which freed up budget for a second round of light-touch pilots.

Less intensive coaching support in the 4 second pilots (Tanzania & Zanzibar, Cambodia, Uganda, Ethiopia). Demand-led selection of the countries based on motivation and readiness. The second pilots were inspired by the success of the first pilots. Strong partnerships were established during the programme, such as with the Africa Climate Resilience Alliance (ACCRA), which were conditional to the success.

for local governments to track adaptation as part of their local development efforts. This enables the national government to access international CC finance and local govts to access this funding for their local adaptation plans. Margaret Barihaihi (Oxfam GB Uganda): *"This empowers local governments as well as women and men who are part of the local adaptation committees, as it enables them to submit their own adaptation priorities and obtain funding for it."*

Partner's response to the question about IIED's contribution and added value: *"IIED is particularly good at linking and supporting policy processes at different levels, given its presence and ability to work at all levels (from local to global). So it's particularly well placed to work on framing and developing indicators for assessing adaptation and resilience (which happens at the local level and is context specific) for policy and finance processes that happen at macro levels. Plus IIED has also a high credibility record as a research institute producing publications that reflect local realities and influence global processes."*

A first phase pilot in Ghana failed due to the lack of partner capacity to find the right entry point and deconstruct and reconstruct the TAMD model in a way that fits specific needs and ambitions within the government. So Ghana was an operational failure. Yet if the conditions had been more favourable, then the local partner would probable have stand a better chance to succeed. So operational performance was imparted by the conditions. Also the pilot in Nepal didn't succeed, but there the reasons for failure were more political: the NAPA process that normally would have incorporated TAMD did not take place as expected due to government shifts and competition of multilateral aid agencies. Also in Mozambique there were some political problems which were not properly addressed at first by the local partner, but failure here was timely thwarted by IIED taking over the work from the local partner. The same could have happened in Ghana but IIED didn't have enough capacity to intervene in both countries, and chose to rescue the Mozambique pilot because there was a better fit for TAMD. In Pakistan, IIED was able to step back fairly quickly because the local partner there was quite strong. In countries like Kenya, TAMD was highly successful because there was a very strong demand from the government and a strong local partner, so IIED took a much more light-touch approach. In Uganda, TAMD was successful because it was furthered by the consortium ACCRA, which avoided some of the negative influences of competition for donor funding among the aid agencies.

Evidence	<p data-bbox="387 186 1995 244"><i>The evidence came only from interviews with and reports from the IIED project leads, consultants and partners. Yet all sources and publications appear most reliable. Independent streams of evidence from several reports and interviews were crosschecked:</i></p> <ul data-bbox="387 260 2029 815" style="list-style-type: none"> <li data-bbox="387 260 1906 288">• Interviews with Susannah Fisher (IIED), Simon Anderson (IIED), Margaret Barihaihi (Oxfam GB Uganda; ACCRA), Nick Brooks (consultant). <li data-bbox="387 292 651 320">• Documents reviewed: <ul data-bbox="432 323 2029 815" style="list-style-type: none"> <li data-bbox="432 323 1688 352">• Mozambique's forward-looking planning system for local adaptation (Artur, Karani, Gomes, Maló, & Anlaué, 2014) <li data-bbox="432 355 1442 384">• Ethiopia's TAMD-based M&E framework (Awraris, Endalew, Guerrier, & Fikreyesus, 2014) <li data-bbox="432 387 1868 416">• TAMD pilot reports (Artur et al., 2014; Awraris et al., 2014; Pokhrel et al., 2015; Rai, Brooks, Ponlok, et al., 2015; Steinbach, 2015) <li data-bbox="432 419 1800 448">• TAMD programme documentation: http://www.iied.org/latest-news-events-tracking-adaptation-measuring-development-tamd <li data-bbox="432 451 2029 496">• Write-up of the learning on gender from the gender-sensitive participatory TAMD-based M&E processes (Fisher, 2014; Khan, Rehman, & Ahmed, 2014) <li data-bbox="432 499 1991 528">• Feasibility studies (Barrett, 2014, 2015; Devkota, Pokhrel, Shrestha, Shrestha, & Joshi, 2013; Kabesiime, Owuor, Barihaihi, & Kajumba, 2015) <li data-bbox="432 531 1319 560">• Reports on the Kenya and Cambodia cost benefit studies (Barrett, 2014, 2015) <li data-bbox="432 563 831 592">• http://community.eldis.org/accra/ <li data-bbox="432 595 2029 639">• The ACCRA Briefing Paper of Nov 2015 (http://cdn.worldvision.org.uk/files/4014/5322/0933/ACCRA_Briefing_Paper_November_2015.pdf) on the pilot in Uganda describes the process of developing local indicators feeding into national indicators and reporting in the PMF. <li data-bbox="432 643 1218 671">• Report on the sharing workshop in Kenya in march 2014 (IIED, 2014) <li data-bbox="432 675 1520 703">• Report on the 2013 multi-country TAMD workshop in Edinburgh (http://pubs.iied.org/G03632.html) <li data-bbox="432 707 1184 735">• Report on the closing workshop in Addis Ababa (Steinbach, 2015) <li data-bbox="432 738 1812 767">• Baseline report of the Climate Resilient Green Economy Unit produced by Echnoserve (Anderson, 2014; Awraris et al., 2014) <li data-bbox="432 770 943 799">• TAMD twin-track framework (Brooks, 2011) <li data-bbox="432 802 2013 831">• Manuals on how to conduct adaptation monitoring and evaluation (M&E) in a variety of contexts (Karani et al., 2015; Rai, Brooks, & Nash, 2015)
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Impact pathway 3. Targeting policymakers

Case 3.2. Global Water Initiative (GWI) West Africa (Natural Resources research group)

The matrix below synthesizes changes, contributions and evidence related to the third strategic objective of the GWI West Africa programme, which focused on “*equitable and efficient governance of dams and land tenure systems reducing the risk of conflict*”. This is where the best results were attained beyond bridge-building towards potentially transformative changes in policies and practices.

The results related to the strategic objective one (knowledge and debate around the economics of irrigation leading) and strategic objective two (agricultural support services for smallholder intensification and innovation in large scale irrigation schemes) were rather limited. Apart from the bridge-building efforts through the participatory development of Agricultural Advisory Service Action Plans at the Bagré dam in Burkina, Sélingué dam in Mali, and Niandouba/Confluent in Senegal, which resulted in improved collaboration and reduced conflict, no lasting changes have been observed in the body and use of the knowledge being generated, and little or no effect on policies and practices. It appears that, for the first objective, the knowledge generation process was more expert-led and therefore did not have the expected effects on changing stakeholders' perspectives leading to the desired policy change, and for the second objective, conditions for effective implementation of action plans for changing policies and practices were not put in place and followed through, or as was formulated in the 2016 donor-commissioned external reviewer of the GWI West Africa programme (p. 24): “*Implementing action plans and making them sustainable go beyond the commitments of GWI. But (...) action plans which are not implemented have little impact. (...) The problem is that the Producer Organisations in the GWI project areas face serious governance problems. (...) Many of the actors interviewed believe that during the participatory process (before the approval of the Action Plans), GWI should have done more to resolve problems of organisation, representativeness, legitimacy and accountability within the producer organisations. This is all the more relevant in that the participatory process encouraged speaking out and the expression of criticism, self-criticism, and challenges to established ways of doing things, including to the leaderships of producer organisations. This was noticed for example at Bagré and also at Sélingué. The result was a certain degree of instability in the governance of the Producer Organisations, which required accompaniment from GWI through a process of reform and stabilisation.*”

The GWI West Africa programme appeared most successful in terms of influencing policies and practices and creating the conditions for impact on capabilities and systems (which involve results at the levels 4 and 5 in Jones' policy change framework used in the review of the GWI) in its work around the programme's second strategic objective.

GWI-SOB3	<i>Capacities to co-create/use knowledge</i>	<i>Interactions and power</i>	<i>Body, use and framing of knowledge</i>	<i>Policies & practices</i>	<i>Impact</i>
<i>Changes</i>	In Niger, local expertise and ownership was built among civil society (e.g. CNU) and local authorities for implementing the lease-in-perpetuity model, plus there is a strong champion (the Governor of Tillabéri) for mobilising social capital to further the proposal and update the tools. Also in Niger, the	In Niger, the lease-in-perpetuity was promoted through an intensive information campaign, with meetings in 32 villages in the Kandadji dam area and interactive sessions broadcasted by local radio. A national forum was held at Konni in May 2014 on tenure security in irrigated areas, which was considered by many to be the turning point in improvement of irrigated land rights in Niger.	Production of evidence showing that, although local populations have full land property rights in Niger and Guinea, no solution for compensating involuntary displacement at scale exists (48,000 by the Fomi dam in Guinea, compared to 38,000 people by the Kandadji dam in Niger), risking serious conflict. In Niger, legal instruments for “lease-in-perpetuity” were developed (incl. ministerial decree; lease	In Niger, the final lease-in-perpetuity was approved by the Kandadji Comité de Pilotage in October 2015 and passed by the Council of Ministers of the GoN. Also a revised occupancy contract was proposed and approved, enabling farmers who are not expropriated land owners (and therefore don't have access to leases in perpetuity) to request access to irrigated land. Implementation and thus change in governance of dam-fed irrigation systems and land tenure systems enhancing equitable access and benefit sharing, however, is yet to come. Development of ECOWAS guidelines for socially just, economically profitable and	All elements are in place to ensure implementation of the model and tools (e.g. ownership, capacity, championship, technical and financial plans and procedures). But prolonged effort is needed given the Kandadji dam will not begin producing electricity until 2023 and the Ministry of Energy as well as the Kandadji dam steering committee face economic trade-offs

	<p>GWl has supported ONAHA (the national Office managing all the government irrigation schemes in the country) in a pilot scheme for developing security of tenure in the Namardé irrigation scheme, which includes both providing security of tenure for producers and drafting a guide to the implementation of similar processes in the 80 other irrigation schemes in Niger.</p>	<p>In Senegal, GWl-enabled consultations and dialogues, notably between herders and farmers, played a key role in fostering inclusive and equitable resource management and resolving conflict. This approach allowed for a frank and constructive dialogue between different interest groups who rarely met before.</p> <p>At the regional level of ECOWAS, GWl-enabled dialogue between governments, civil society and other actors around “socially just, economically profitable and ecologically sustainable” water infrastructure</p>	<p>contract form; specification form for lease holders). Also a model and proposal was developed for benefit-sharing through the set-up of a fund for local development of affected areas (called FIDEL/K).</p> <p>Influence on the Sahel Irrigation Initiative (SII)³ strategy and action plan was exerted through a regional study on land tenure systems and a regional workshop around the findings.</p> <p>In Senegal, basin users better understand the implications of different water usages and the importance of equitable sharing.</p>	<p>ecologically sustainable water infrastructure development. Conversion of the guidelines into a directive (approved by the ECOWAS Council of May/June 2016?). ECOWAS has a supra-national legal mandate, so approval of the directive means it becomes mandatory for all member states without needing to be ratified at national level.</p>	<p>and pressures. Also the law on Electricity presently does not include provisions for benefit-sharing.</p> <p>Also in Guinea, prolonged effort is needed at least until the government’s approval of the decree, given the lack of coordination of initiatives on land tenure supported by different donors and piloted by different ministries.</p>
<i>Explanations (incl. IIED contributions)</i>	<p>Process approach to capacity building put in place by IIED and its partner who together were in charge of the GWl West Africa programme</p>	<p>IIED’s typical bridge building approach aiming and mediating controversies and reframing the problems to include different perspectives</p>	<p>Studies commissioned by IIED and its partner who together were in charge of the GWl West Africa programme</p> <p>GWl-enabled stakeholder consultations and debates around the findings and recommendations of these studies</p>	<p>Development of legal mechanisms and guidelines for compensating involuntary displacement at scale (e.g. lease-in-perpetuity and local development fund in Niger).</p> <p>GWl contributed to the development of guidelines converted into the ECOWAS directive. The directive incorporates most of the learning from the GWl processes on dam governance at existing as well as newly constructed or planned dams.</p>	<p>Process approach to capacity and bridge building</p> <p>Instrumental focus on knowledge production, with insufficient attention to effective knowledge use</p>
<i>Evidence</i>	<p><i>Evidence merely from IIED reports, one interview with the IIED lead on this initiative, and the report from the donor-commissioned external review of the entire GWl West Africa Programme conducted in 2016. Although there is no reason to believe that the reviewed reports are invalid, there is insufficient</i></p>				

³ The SII aims at “Building resilience and accelerating growth in the Sahel and West Africa through re-launching irrigated agriculture”. The SII targets 6 countries (Burkina Faso, Mali, Mauritania, Niger, Senegal and Chad), is mainly funded by the World Bank and is led by the CILSS.

<i>independence of sources and therefore insufficient triangulated evidence.</i>				
<p>GWJ external review 2016, pp. 20-21; 28-51</p>	<p>GWJ external review 2016, pp. 20-21; 28-51</p> <p>Annual Results report 2016-17</p>	<p>GWJ external review 2016, pp. 20-21; 28-51</p> <p>Annual Results report 2016-17</p> <p>Bazin, F., Skinner, J. and Koundouno, J. (2011) Sharing the water, sharing the benefits: lessons from six large dams in West Africa. IIED.</p> <p>Boukar et al. (2011) Study on the sharing of profits from the sale of electricity from Kandadji dam with local populations. GWJ. IIED.</p> <p>Projet de Décret, Fixant les modalités de répartition des recettes de l'exploitation hydroélectrique concédées par le concessionnaire aux populations affectées par le barrage de Kandadji.</p> <p>Rapport final (Octobre 2013) Étude sur le partage des recettes issues de la vente de l'électricité du barrage de Fomi avec les populations affectées.</p>	<p>GWJ external review 2016, pp. 28-31</p> <p>GWJ external review 2016, pp. 46: <i>"The fact that IUCN facilitated the dialogue with involvement from civil society in the discussion with governments and basin-level organisations, and that J. Skinner was a member of the ECOWAS Panel, made it much easier for the results generated and the lessons learned at the GWJ sites to be included, examples being the formal contract between governments/contractors and populations affected by the project, the sharing of benefits, modalities of expropriation and fair compensation, the economic aspects of dams, etc. The adoption of the Directive is a mark of the longer-term influence of GWJ in the region."</i></p>	<p>GWJ external review 2016, pp. 20-21; 28-51</p>

Impact pathway 4. Empowering the powerless

Case 4.1. LDC UNFCCC Paris negotiations (Climate Change research group)

	<i>Capacities to co-create/use knowledge</i>	<i>Interactions and power</i>	<i>Body, use and framing of knowledge</i>	<i>Policies & practices</i>	<i>Impact</i>
<i>Changes</i>	Least developed Country (LDC) negotiators started becoming coordinators, contributing to the evidence base on LDC positions and contributing in turn to the capacity building for other negotiators.	<ul style="list-style-type: none"> • LDC group repositioned as convenor and bridge builder in Paris negotiations • The LDC group became a 'must' partner. No decision was taken without consulting the LDC group. Invitations were extended from the US, Norway, African group, Latin America and UK. 	<ul style="list-style-type: none"> • Crucially, negotiations were backed by knowledge: Papers co-authored with LDC coordinators prior to COP were taken by LDC chair and circulated to other parties/delegates to find the middle ground • Evidence emerged that these papers presented became the basis for shared understanding and positioning. 	Change achieved <ul style="list-style-type: none"> • Tangible outcomes from LDC group contribution to UNFCCC negotiations covering 1.5 degree ambition, mitigation, adaptation, loss and damage, finance, technology development and transfer, capacity building, monitoring and compliance • Built on a broader acknowledgement of 'different national circumstances' • Transparency and accountability in implementation and compliance • "Although the final outcome of negotiations reflects some LDC positions more strongly than others, our analysis shows that the Paris Agreement and Decision 1/CP.21 have 	Expected change <ul style="list-style-type: none"> • The policy framework achievements of the LDC group at the Paris negotiations were considerable and potentially transformative in progressively extending protections and resources to the most vulnerable and powerless nations in this policy process.

				<i>addressed many of their long-standing key asks in the UNFCCC process. Our assessment of the outcomes of Paris conveys a positive outlook for LDCs.⁴</i>	
<i>Explanations (incl. IIED contributions)</i>	<ul style="list-style-type: none">• Capacity building – guided support for technical and political elements of the Paris process -- key to IIED engagement• Dr Salim UI Haque (IIED senior fellow) was one of the initial thinkers behind establishing the LDC group and pushed to establish the group in 2002• Long-term engagement by Achala Abeyasinghe with LDC group from 2010 as legal technical and strategy adviser through 4 chairmanships• She supported to the production of the 5-point strategy, crucial to kicking the process off• The LDC group was driven by its shared	<ul style="list-style-type: none">• Extreme asymmetry in power relations and resources between participating nations presented an extreme challenge• IIED's support for the LDC group focussed on the LDC group's emerging role as bridge builder and convenor between different groups of countries• With IIED support the LDC group arranged hundreds of bilateral meetings with individual countries and groups of countries from 2010. IIED organised all these on behalf of the LDC group• Support backed up by financial and logistical support to attend the UN negotiations• Strategic and effective	<ul style="list-style-type: none">• IIED worked to sensitise LDC group to strategic value of evidence-to-discussion• This was backed by IIED's co-authoring approach to background paper presentation which built ownership and buy in.	<ul style="list-style-type: none">• IIED's long-term engagement as a trusted strategic partner has been allied to capacity building and resource support to the LDC group, enabling that group to build its own convening role and to lobby effectively for key provisions under the UNFCCC Paris Articles• The IIED-supported process continues to be at risk from the gap between promised resources and deliverables, particularly in light of the recent US election result. These challenges will no doubt have been brought into focus during the recent	<ul style="list-style-type: none">• IIED has played a clear and highly significant supporting role in this long-term, but as yet unresolved, process of building and sustaining resilience at nation state level.

⁴ Abeyasinghe, A. et al (2016) "The Paris Agreement and the LDCs Analysing COP21 outcomes from LDC positions", *IIED Issue Paper*, London, IIED, March

	<p>interest in positioning itself strategically in the Paris Agreement process and outcomes.</p>	<p>use of media and comms. This projected and reinforced the role and significance of the LDC group</p> <ul style="list-style-type: none"> • Successive LDC chairs have continually asked for IIED support, a <i>“strong indication of our utility and their trust in our continuing role as behind-the-scenes support function”</i> (Janna Tenzing, pers comm). 		<p>Marrakech round of talks.</p>	
<i>Evidence</i>	<ul style="list-style-type: none"> • IIED colleagues interviews and documented reporting • Lack of triangulated evidence from partners (unavailable for interview). 	<ul style="list-style-type: none"> • IIED colleagues interviews and documented reporting • Lack of triangulated evidence from partners (unavailable for interview). 	<ul style="list-style-type: none"> • IIED colleagues interviews and documented reporting • Lack of triangulated evidence from partners (unavailable for interview). 	<ul style="list-style-type: none"> • IIED colleagues interviews and documented reporting • Lack of triangulated evidence from partners (unavailable for interview). 	<ul style="list-style-type: none"> • IIED colleagues interviews and documented reporting • Lack of triangulated evidence from partners (unavailable for interview).

Impact pathway 4. Empowering the powerless

Case 4.2. Biocultural Heritage Territories & Networks (Natural Resources research group)

	Capacities to co-create/use knowledge	Interactions and power	Body, use and framing of knowledge	Policies & practices	Sustainable development impact
Changes	<p>Effective capacity-building through a guided process that leverages capabilities for South-South learning and scaling up of practices within and across countries.</p> <p><i>“Regarding the pathway chosen, as mentioned, the main objective is capacity building for BCHTs through South-South exchange and participatory action research. INMIP feedback indicates that it is an effective (and cost-effective) tool for capacity building; and the Potato Park case shows that PAR is an effective strategy for capacity building and impact, including policy impact (it led to changes in 2 regional Cusco laws).”</i> (Krystyna Swiderska, IIED)</p>	<p>Establishment of international community networks: Mountainous & Indigenous Peoples (MIP), Bio-Cultural Heritage Territories (BCHT), and Community Seed Banks as the mechanism for protecting rights & cultures, generating knowledge about bio-cultural conservation, expanding the Territories and obtaining legal designation and protection.</p> <p>Interactions and associated built between communities at local level, facilitated by the partners and representatives who participate in the networks.</p> <p>Facilitated interactions between these local networks/associations and local and national governments and international organisations (eg. CIP and FAO).</p>	<p>Development of an integrated framework for Bio-Cultural Heritage Territories” (BCHTs) that draws on traditional community worldviews and knowledge essential for climate adaption, building off the premise that community rights and biodiversity conservation cannot be separated.</p> <p>BCHTs are becoming well known particularly in Latin America and international.</p>	<p>Peru's BCHT (Potato Park) secured national and international recognition.</p> <p>The BCHT and Community Seed Bank Networks are gaining international recognition for implementing FAO's International Treaty on Plant Genetic Resources for Food and Agriculture (ITPGRFA) and creating opportunities for legal international community seed exchange through the multilateral system⁵.</p>	<p>Within INMIP, five or six countries already have successful community-managed BCHTs protecting genetic resources in areas of high genetic diversity. There is clear evidence of practice and policy impact particularly in the Potato Park in Peru, and emerging evidence of local improvements in environmental and livelihood systems and capabilities in other locations (e.g. the Bean Park in India, which started in 2014, and the Stone Village in Yunnan in China, which started in 2012, already yielding some impacts on agro-biodiversity, incomes and social capital/bio-cultural heritage).</p> <p>However, it is too early for robust evidence of observable impact-level changes in practices and impacts on resilience to emerge at scale. Indeed, the ambition of the initiative is directly linked to a sustainability challenge: it is precisely because results are recognised as more long-term and difficult to measure that donors are less keen to fund this kind of work. This means that getting donor support on the one hand, and expanding mobilising communities and the BCHTs within the countries as well as globally to reach sufficient scale on the other, becomes the main challenge.</p> <p>The creation of the BCHT network makes it easier for these models to be scaled in these countries and replicated in others. Similarly piloting of community seed banks will generate</p>

⁵ Although the ITPGRFA allows a standard material transfer agreement as a mechanism to facilitate the legal transfer of genetic resources or seeds between countries, it is not yet clear how this can be used for community-to-community seed exchanges. This will be the next stage in IIED's and ANDES' work.

					models for scaling up in different countries enabling other communities to join.
<i>Explanations (incl. IIED contributions)</i>	Walking workshops were organised leading to the establishment of international networks ⁶ . These enable communities to engage in farmer-to-farmer learning around biocultural heritage conservation and knowledge creation for scaling up of practices and influencing national and international policy.	A multi-stakeholder policy dialogue was initiated in a workshop in Lijiang in 2016, involving UN, governments, NGOs, research institutes, and communities. A walking workshop in Tajikistan in 2015 led to the establishment of the networks on BCHT and seed banks. ANDES and IIED teamed up with the Mountain Society Development Support Programme of the Aga Khan Foundation in Tajikistan and SwedBio at the Stockholm Resilience Centre to organise the walking workshop. The first network of indigenous mountainous peoples (INMIP) was established in Bhutan in May 2014.	The BCHT framework was developed by ANDES with support from IIED. IIED's support has been instrumental in creating the scientific basis and methodology for gaining international visibility and recognition. Publications (incl. film and website) have raised the profile of the BCHT model and network and generated donor funding.	The Tuggoz Declaration ⁷ produced in the 2015 Tajikistan workshop was distributed during COP21 and prompted an interest of countries such as Nepal in developing a resolution for COP22. A multi-stakeholder policy workshop in Lijiang in 2016 led to discussions around the designation for BCHTs, which leveraged support from UNEP China and UNDP small grants. The workshop was co-organized by IIED.	Challenges to achieving sustainable development impact are inappropriate national land legislations and limited funding for reaching enough scale and gain power of influence.
<i>Evidence</i>	<i>Independent streams of evidence from several reports and interviews crosschecked.</i> The workshops and networks were found very effective for both learning and advocacy by all interviewed	<i>Evidence only from interviews with and reports from IIED project lead and main partner.</i> Interviews with Krystyna Swiderska (IIED) and Alejandro Argumedo (ANDES) Alejandro Argumedo (ANDES): "IIED's most important contribution is making the link with global	<i>Evidence merely from IIED website and reports. Lack of triangulated evidence.</i> The bio-cultural heritage website set up by IIED in 2011 promoted global understanding of	Evidence only from interviews with and reports from IIED project lead and main partner. Yet there is no reason to believe that published reports on these changes are invalid. UNDP Small Grants: https://sgp.undp.org/ind	Independent streams of evidence from multiple reports, interviews and publications crosschecked. The report on (p 54): http://pubs.iied.org/14664IIED/ and the latest report from the partner (Yiching) Interviews with network members –incl. Akylbek Kasymov (Kyrgyzstan), Ajay Rastogi (India), Alibek Otambekov (Tajikistan): • "How to influence CGIAR and FAO and

⁶ Cf. Peru 2013 Smallholder Innovation for Resilience (SIFOR) workshop; Bhutan 2014 walking workshop and establishment of the International Network of Mountain Indigenous People (INMIP); Tajikistan 2015 walking workshop and establishment of International Networks on Bio-Cultural Heritage Territories and Community Seed Banks.

⁷ The Tuggoz Declaration essentially calls climate change negotiators to prioritise mountain communities as part of their recommendations for the Paris COP21 Agreement.

<p>participants and members of the networks –incl. Akylbek Kasymov (Kyrgyzstan), Ajay Rastogi (India), Alibek Otambekov (Tajikistan).</p> <p>Report Bhutan: http://pubs.iied.org/14635IIED.html</p> <p>Report Tajikistan: http://pubs.iied.org/14657IIED.html</p>	<p><i>politics, thus working on the intersection between local and global processes, and addressing processes of power in this space.”</i></p> <p>Report Tajikistan: http://pubs.iied.org/14657IIED.html</p>	<p>the BCHT concept.</p> <p>IIED co-produced with ANDES and others a film presented at the 2014 World Parks Congress (alongside partner presentations).</p> <p>Interviews with Krystyna Swiderska (IIED) and Alejandro Argumedo (ANDES)</p> <p>IIED results reports</p>	<p>ex.php?option=com_content&view=article&id=359:german-government-gef-and-undp-partner-to-create-largest-global-fund-for-iccas&catid=36:our-stories&Itemid=186</p> <p>Report Lijang: http://pubs.iied.org/G04062.html?k=biocultural%20heritage</p> <p>Interview with Krystyna Swiderska (IIED)</p>	<p>other multilaterals to gain greater influence on national policies?”</p> <ul style="list-style-type: none"> • “Arguments and evidence to influence corporate players who might be interested in supporting the economic drivers for the BCHTs?” <p>Potato Park quantitative and qualitative survey on: http://pubs.iied.org/14663IIED/</p> <p>Apgar, M. et al (2011), Managing beyond designations: supporting endogenous processes for nurturing biocultural development. In: International Journal of Heritage Studies (17/6).</p>
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