

Monitoring and Evaluation Practices in the CGBD Membership

Final Report for the Consultative Group on Biological Diversity



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Summary and Definitions

In recent years, many Consultative Group on Biological Diversity (CGBD) members have expressed interest in learning more about how to analyze and understand the impacts of their environmental grants. In particular, they have expressed interest in gaining a better understanding of various approaches to monitoring and evaluation appropriate to environmental grantmaking. A question that seems to have been echoing across CGBD is “What can we do to show that our support is working?”

To begin answering this question, CGBD commissioned this review to understand how M&E is being developed and used within its own membership. Phase One of the review involved an e-mail survey of the CGBD membership in which 36 of the 47 member organizations responded. Phase Two of this review consisted of follow-up telephone and face-to-face interviews with representatives of 17 members. Finally, Phase Three involved the compilation and analysis of survey and case materials.

CGBD members expressed a great deal of interest in this topic and provided a wealth of data and information. There are many examples of interesting work that CGBD members are doing to promote evaluations of single grants, programs, and initiatives. While CGBD members articulated a number of obstacles to doing effective M&E, they were able to clearly identify existing opportunities.

A number of key lessons emerge from the experiences of the CGBD membership including:

- Lesson 1. Doing M&E well is difficult and almost everyone is struggling with it.
- Lesson 2. Depending upon the situation, either informal or formal evaluation may be appropriate.
- Lesson 3. M&E can be enhanced by collaborating with other grantmakers working on the same project, program, or initiative.
- Lesson 4. Some themes naturally lend themselves to impact-oriented M&E more than others do.
- Lesson 5. Investment in M&E must be consistent with investment in the program being evaluated.
- Lesson 6. Grantmakers play a critical role in creating the necessary conditions to make M&E happen.
- Lesson 7. The size of a foundation does not necessarily determine the kind and extent of M&E it does.
- Lesson 8. M&E must be taken into consideration at the beginning of project and program development.
- Lesson 9. M&E is key to adaptive management.
- Lesson 10: There are great opportunities among the CGBD membership to learn about M&E.

Definitions of Key Terms

Throughout the presentation of these results, we use the following key terms.¹

Monitoring and Evaluation (M&E) – is the assessment of the extent to which a program is (1) undertaken in a method consistent with its design or implementation plan; (2) directed at the appropriate target population; and (3) causing the expected changes, leading to a desired outcome.

Internal M&E – in the context of grant management, is monitoring and evaluation that is conducted by the staff or directors of the organization that has received the grant. This type of M&E is sometimes referred to as self-monitoring, self-evaluation, or self-assessment.

External M&E – in the context of grant management, is monitoring and evaluation that is conducted by an evaluator who is unconnected to the project, program, or organization s/he is evaluating. This type of M&E is sometimes referred to as an independent or “third party” evaluation.

Formal M&E – occurs when data collection is done systematically and consistently. Formal M&E relies primarily on the use of quantitative data and indicators collected through formal interviews or other data collection methods.

Informal M&E – occurs when data and information are collected in a less systematic fashion than formal M&E. This approach usually relies heavily on qualitative data and information collected through informal interviews and direct observation.

Adaptive Management – incorporates research into conservation action. It is the continuous integration of design, management, and monitoring to systematically test assumptions in order to adapt and learn.

This report is for the use of members of the Consultative Group on Biological Diversity (CGBD). Please do not distribute beyond the CGBD membership and/or your staff or board of directors without first checking with CGBD staff.

¹ All definitions, except for the one for adaptive management, are adapted from two seminal texts on monitoring and evaluation: Rossi, P. and H. Freeman (1993) *Evaluation: A Systematic Approach*. Sage Publications, Newbury Park, CA, USA; and Weiss, C. (1972) *Evaluation Research: Methods of Assessing Program Effectiveness*. Prentice-Hall, Englewood Cliffs, NJ, USA. The definition of adaptive management is from Salafsky, N., R. Margoluis and K. Redford (2001) *Adaptive Management: A Tool for Conservation Practitioners*. Biodiversity Support Program, Washington, DC, USA.

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Introduction

About This Review

This review was commissioned by the Consultative Group on Biological Diversity (CGBD) to document various approaches to monitoring and evaluation (M&E) within its member organizations. The review was designed to address the following questions:

- What M&E approaches – both informal and formal – have been used within the CGBD membership?
- What are the experiences of those foundations that have tried different M&E methods and techniques?
- Which approaches have CGBD members found to be most effective and which do they believe should be avoided?
- How can CGBD best assist its membership in identifying and obtaining M&E resources?

Approach

A management committee comprised of representatives of several CGBD member foundations and CGBD staff drafted the terms of reference for this review and guided it from inception to completion. The management committee contracted Foundations of Success (FOS), a nonprofit conservation organization with experience in M&E, to carry out the work. The review was divided into three main phases.

- **Phase One** consisted of an e-mail survey that was sent to all CGBD member organizations.
- **Phase Two** included in-depth phone interviews with and personal visits to a subset of CGBD members in order to better understand various perspectives on M&E and obtain case materials.
- **Phase Three** involved the compilation and analysis of survey and case materials to be included in this final analysis.

Sample

All CGBD members were included in the review. During Phase One, all 47 members received a copy of the survey form via e-mail or fax. Of the 47 CGBD members, 36 returned surveys to FOS. This represents a response rate of 77%. The foundations that returned e-mail surveys are found in Table 1. During Phase Two of the review, FOS interviewed by phone or in person program officers from the 17 organizations listed below in Table 2.

Table 1: CGBD Members that Completed the E-mail Survey

Agua Fund/TIDES	John Merck Fund
Jenifer Altman Foundation	Merck Family Fund
The Brainerd Foundation	The Gordon and Betty Moore Foundation
Compton Foundation	Moriah Fund
Jessie B. Cox Charitable Trust	C. S. Mott Foundation
Geraldine R. Dodge Foundation	Curtis and Edith Munson Foundation
Doris Duke Charitable Foundation	Oak Foundation
Endswell Foundation	The David and Lucile Packard Foundation
Environment Now	Pew Charitable Trusts
Flintridge Foundation	Rockefeller Foundation
George Gund Foundation	Rockefeller Brothers Fund
Harder Foundation	The Summit Foundation
Vira I. Heinz Endowment	Surdna Foundation
Homeland Foundation	Emily Hall Tremaine Foundation
V. Kann Rasmussen Foundation	Turner Foundation
Henry P. Kendall Foundation	Wallace Global Fund
The Lazar Foundation	Weeden Foundation
MacArthur Foundation	Wilburforce Foundation

Table 2: CGBD Members Interviewed by Phone and/or Visited

Jenifer Altman Foundation	C. S. Mott Foundation
The Brainerd Foundation	Oak Foundation
Compton Foundation	The David and Lucile Packard Foundation
Jessie B. Cox Charitable Trust	Pew Charitable Trusts
Geraldine R. Dodge Foundation	Rockefeller Brothers Fund
Doris Duke Charitable Foundation	Wallace Global Fund
Henry P. Kendall Foundation	Weeden Foundation
The Gordon and Betty Moore Foundation	Wilburforce Foundation
Moriah Fund	

Results

This section includes the findings of all phases of the review – including the results of the e-mail survey, phone interviews, and foundation visits. It roughly follows the format of the e-mail survey used in Phase One of the review. For each of the following sections, we provide frequency tables of responses taken from the e-mail survey when available². We also provide a summary of written or verbal responses to the questions. In addition, case materials that focus on illustrative tools or approaches used by particular CGBD member organizations are highlighted throughout the report.

Grantmaking Strategies for the Environment

Within the 36 foundations that responded to the e-mail survey, the total amount of grants that each member provided for environmental issues in 2002 ranged from \$392,000 to \$98 million. The median amount of grants given annually was \$2,500,000.

In Table 3, we present the frequency of responses for the strategies that represent the majority of funding among the CGBD membership. The primary categories of strategies include 1) law and policy, and 2) protection and management. For more detailed results of the strategies supported by the CG membership, see Appendix 1.

Table 3: Strategies That Represent the Majority of Funding, by Category
(From a total of 36 foundations. Foundations indicated multiple strategies.)

<u>Strategy</u>	<u>Frequency</u>	<u>Strategy</u>	<u>Frequency</u>
Protection and Management		Law and Policy	
Protected areas	8	Policy development	9
Protection & management	9	Laws & policy	6
Protected & managed species	1	Litigation	3
Managed landscapes	1	Enforcement	2
Marine resources conservation	1	Compliance & watchdog	4
Habitat & species restoration	1	Legislation/Treaties	2
Changing Incentives		Education and Awareness	
Using market pressure	4	Communication	4
Changing incentives	4	Education & awareness	2
Conservation enterprises	2	Public outreach & campaigns	2
Market mechanisms	1	Higher ed research-teaching	1
Economic alternatives	1		
Brown Issues		General Issues	
Pollution mitigation	2	Capacity-building	8
		General support to operations	2
		Science/Research	2

² Not all frequency tables add up to a total of 36 – the total number of CGBD member organizations that responded to the survey – because some members did not respond to the relevant question. In addition, respondents could select multiple responses for some questions.

Purpose of Monitoring and Evaluation

While most foundations report that they use M&E to determine if they should continue funding a particular grantee, many also indicate that M&E is used to help grantees improve management and learn about specific tools (Table 4).

Table 4: Primary Purpose of M&E

To help us determine if we should continue support	24
To help grantees better manage their projects	15
To learn about specific tools	15
Other	6

Other: Specify

- To inform foundation's strategies.
 - To track whether progress is being made on the issues we fund so we can report that information to management and trustees.
 - Communication – M&E is regarded as one way of being able to tell the story to internal (primarily) and external audiences about the impact our financial support is having and what influence our convening power might have to catalyze change.
 - New strategies to pursue. (2)
 - We use M&E to map the field and promote grantee collaboration/partnering.
-

Many members mention that M&E is an integral component of improving the quality of both their work and that of their grantees. It provides them the feedback they need to determine the proper course of action to enhance their performance. In particular, a few respondents stressed the need to incorporate M&E into the overall strategic cycle of project or program development. In this way, they believe, M&E can play a key role in enhancing management. When used in this capacity, M&E becomes an instrument of positive change instead of a punitive tool. In the words of one program officer, "Evaluation is used as a tool for 'improving' rather than 'proving.'"

Some foundations also stress the importance of M&E to learning about where their funds are best spent. One person comments:

Until recently, M&E at the Foundation was primarily limited to compliance and accountability. We are in the process of shifting that focus to learning – learning not just about which groups to support or not support – but what mix of strategies to pursue for greatest impact. We are not yet at a stage where our M&E system could be regarded as helping grantees manage their projects better, but we do hope that eventually that is a by-product of our work.

Another program officer takes this concept one step further. She stresses the potential of not only learning within individual foundations, but also learning among foundations. She writes:

We want to facilitate a process of learning about what works over the long term. And we want to learn as well as to help us make better grants. We also want to try to learn in partnership with other grantmakers. This could be very powerful.

Finally, in addition to using M&E to evaluate grantees, some foundations use M&E to evaluate themselves. In some cases, they involve grantees in “client surveys” in order to determine the extent to which they have adequately addressed grantees’ needs.

According to one program officer:

We have our own set of objectives for which our board holds us accountable. We hire outside evaluators (every two years or so) to look at our objectives, how successful we've been, and how attentive and helpful we've been to the grantee community.

An example of this type of evaluation is presented in Case 1.

Most members report that there are three main audiences for the information generated by M&E. These include 1) grantees, 2) foundation program staff, and 3) board members. Most respondents report that, in the context of foundation management, M&E is most useful to program officers who must deal with the day-to-day operations of the foundation. M&E information, however, can also be used by board members to monitor progress. Some foundations also mentioned that, by sharing the results of their M&E activities, foundations can promote learning across different fields.

CASE 1. Turning the M&E Lens on Yourself

Improving Grant-Making Services at the Brainerd Foundation

The Challenge

Whether they recognize it or not, funders are in a service business that involves providing money to selected applicants. The challenge facing a funder in this case is to use evaluation to improve their own internal systems and processes for making grants.

Specific questions might include:

- Which types of organizations apply to your foundation for support?
- Where do your applicants find out about your programs? Is your website useful?
- Are your foundation's funding priorities clear?
- Are your grant application processes helpful and transparent? Are they simple or difficult compared to other funders?
- Are your staff accessible and responsive? Do grantees feel that your staff add value to their work?
- Are your reporting requirements helpful or unduly burdensome? Do your grantees feel that the money they receive from your foundation justifies the investment required of them?
- How can you better add value to your grantees work?

What Brainerd Foundation Did

Building on a similar evaluation conducted by the Wilburforce Foundation in 1998, Brainerd reviewed its grantmaking processes in 1999 by contracting an outside evaluator. The Foundation divided its clients into three groups - the grantseeking community, grantees, and funder colleagues. The consultants first conducted e-mail surveys of all 100 grantees that had received a grant over \$10,000 in the past two years, getting a total of 55 responses. The consultants then conducted more intensive phone interviews with twenty successful grantees as well as five applicants that had applied for funding, but had been ultimately turned down, and seven members of the funder community.

The survey was conducted in relation to a series of questions drawn from a set of ideal standards for grantmaking practice described in *A Grantee Bill of Rights* (see the "Recommended Resources" section of this report): that grantseekers should have the right to know a foundation's interests, the right to just hear 'no,' the right to a meeting, the right to uniform paperwork and reporting, the right to grants larger than the costs of getting them, the right to achieve self-sufficiency, the right to help and be helpful, the right to respect, and the right to general support and multi-year funding.

What Brainerd Foundation Learned

Self-evaluation is scary but necessary - There is no doubt that turning the evaluation spotlight on oneself can be, as Ann Krumboltz of the Brainerd Foundation says, "a frightening proposition." If, however, a foundation is committed to helping its grantees and delivering the best possible product, then this type of evaluation is very necessary.

Hire an impartial external evaluator - Even the most forthcoming of grantees will probably be reluctant to provide honest feedback if they feel that they will be identified by name to the funder. It is thus essential that this type of evaluation be conducted by an external evaluator who the grantees can trust not to reveal critical information.

Include applicants that have not received grants - As Ann says, "In order to see if we are providing value to the community, it's important to survey both grantees as well as applicants that did not receive funding. In particular, we want to see if our program staff were able to give them useful advice and feedback about their projects and other potential sources of support."

This does not require extensive investment - The evaluation described above as well as two similar exercises conducted by the Wilburforce Foundation were relatively simple and straightforward. They took no more than a month or two to complete and were relatively inexpensive.

Formal External Monitoring and Evaluation of Grants

We defined external M&E as *independent or “third party” systematic M&E of the grant conducted by an evaluator who is unconnected to the project, program, or organization s/he is evaluating*. According to the survey results, almost no member organizations require external evaluations of all grantees, but about half of the responding foundations report that some of their grantees are externally evaluated. In almost all cases, the foundation hires an outside contractor to conduct the evaluation (Table 5).

Table 5: Extent to Which Foundations Do External M&E of Grantees

All grantees externally evaluated	1
Some grantees externally evaluated	17
No grantees externally evaluated	17
<i>If “All” or “Some”, how are they evaluated?</i>	
Foundation hires contractor	17
Grantees hire contractor	5
In-house foundation staff do it	6
Other	2

Other: Specify

- We sometimes encourage grantees to hire an external evaluator, as opposed to requiring them to do so.
 - We trustees show up ourselves and hold evaluation meetings.
 - External contractors work with program officers and in-house evaluations department.
-

Very few CGBD member organizations have departments that are devoted to doing or specifically managing M&E activities. In most cases, program officers are responsible for integrating M&E into their management duties. Many foundations stress the point that who does the evaluation is critical. Performing well-designed and executed evaluations is a special skill not everyone has. Many members believe that external evaluators need to have both technical (programmatic) and evaluation skills in order to effectively conduct M&E. One organization mentions that, in order to overcome the challenge of finding contractors who are proficient in both fields, it often pairs “issue experts” with “evaluation experts.”

Many respondents who hire contractors to conduct external evaluations say there is no substitute for careful supervision and management of the evaluators by foundation staff. Often, contracted evaluators are not sufficiently familiar with local context and relationships and thus, might not be as sensitive as they need to be. Insufficient supervision of contracted evaluators could lead to offending grantees and other key people. While it is important to be transparent and share the results of external evaluations, sometimes it needs to be done diplomatically. Several respondents spoke of difficult situations in which negative evaluations were shared with grantees, severely damaging ongoing relationships. On the other hand, one program officer mentions that, although close supervision of external evaluators is essential, “you don’t want to become too controlling as it may influence their results.” Another respondent comments that

“most external evaluators don’t want to deliver bad news – you need to provide them with incentives to be candid.”

Some smaller member organizations suggested that M&E is most easily conducted by larger grantmaking organizations that have more funds and capacity. In some cases, smaller foundations explicitly rely on larger partner foundations to carry out evaluations of their joint grants. Some small organizations however, believe that carrying out M&E is not a function of size. Instead, it is related to individual foundation priorities and interests.

Box A. Combining Internal & External Evaluation at Oak Foundation

Some foundations have very effectively blurred the lines between external and internal evaluation, contracting outside consultants to work with grantees to evaluate themselves. The Oak Foundation sometimes hires, with the approval of the grantee, an external evaluator who is responsible for monitoring the progress of the grant and providing a written evaluation of the grantee’s progress at the end of each grant year. The external evaluator also serves as a “technical advisor” to the grantee, to help them improve their performance in any area of their choosing. According to Leslie Harroun:

We worked closely with the grantee to identify a technical assistant/evaluator who they felt could work effectively with them on strategic planning, and who they felt comfortable having as an evaluator. It has worked remarkably well. We receive high quality, useful evaluations on an annual basis, and the grantee has benefited tremendously from the consultant’s input (truly).

Leslie reports that at first, grantees seem a bit skeptical of having an external evaluator looking over their shoulder. But once they see the benefit of clarifying goals and collecting and analyzing useful information, the mistrust abates. According to Leslie, there are two main reasons why this approach has worked for the Oak Foundation:

The first reason is the consultant works very well with grantee staff and is a thoughtful, helpful, and articulate critic and supporter of the organization. Getting the right technical assistant/evaluator is key. The second reason is the evaluation program was created as a partnership among the grantee, Oak, and the consultant. This has helped create trust, ongoing and regular communication among all three partners, and, we think, a more realistic and insightful evaluation of the grantee’s work.

Leslie says “the purpose in setting up the evaluation process this way is to help our grantees - and ourselves - engage in a bit of adaptive management as it implements its activities. So far so good.” Success of evaluation using an external evaluator in this way is often dependent on grantees’ perception that this is adaptive management - helping them to improve and learn.

Formal Internal Monitoring and Evaluation of Grants

In this review, we defined internal M&E as *systematic M&E of a grant by staff or directors of the organization that has received the grant*. Most foundations urge grantees to do some level of internal M&E (Table 6).

Table 6: Extent to Which Foundations Urge Internal M&E

All grantees do internal evaluation	7
Some grantees do internal evaluation	20
No grantees do internal evaluation	5

Many foundations mention that internal evaluation is integrated into grant management. Grantees are expected to explain in their proposal how they will monitor and evaluate their results. Periodic reports contain the results of internal M&E efforts, and end-of-project self-evaluations should describe ultimate impacts. Often, indicators and benchmarks to monitor the grant are negotiated with grantees before an award is made.

While most foundations promote some form of internal evaluation based on self-assessments, many are quick to note the many challenges to carrying out effective internal M&E. One challenge is the lack of capacity to undertake outcome-based evaluation. Instead, most grantees only measure activities (e.g., slide shows and workshops) and outputs (e.g., number of action alerts mailed). According to one program manager:

There are so many ways for M&E to slip. Too often, grantees don't think about measurement or find it hard to make the links between activities and measurements. It's hard to get to the "so what?" answers – I think the biggest weakness is with institutional capacity.

In response to this challenge, some foundations note that they provide funding specifically to support grantees' capacity to do effective M&E. In addition, these same foundations note that, if they require a grantee to do internal M&E, then they will fund the grantee to do so (no "unfunded mandates"). A good example of this type of approach is provided in Case 2.

Some foundations express the opinion that internal M&E is more likely to occur in larger implementing organizations that have more staff and resources to do monitoring. Many foundations mention that they believe that internal evaluations serve as a means to help grantees learn beyond the role of compliance and accountability.

CASE 2. Using M&E to Build Grantee Capacity

Promoting Grantee Self-Evaluation at the Wilburforce Foundation

The Challenge

Ultimately, for a funder to be effective, their grantees have to be effective. Self-evaluation can help grantees develop and improve their capacity to undertake effective work. The challenge facing a funder in this case is to help grantees develop their own ability to evaluate themselves and then use the results without scaring them in the process. As Paul Beudet of Wilburforce Foundation comments, there is a need to have a strong emphasis on using monitoring and evaluation for "improving rather than for proving." Specific questions that the evaluation seeks to help grantees answer might include:

- Why do you do what you do?
- How do you know that the things that you do are having the desired impact?
- What are your organization's strengths and weaknesses?
- How could you improve your work?

What Wilburforce Foundation Did

The impetus for this work came from a realization that most of the proposals and reports that the Foundation was receiving tended to focus on grantee activities rather than outcomes. As Paul says:

Although we are ultimately interested in outcomes such as habitat protection, grantee reports tend to be activity based. Wilburforce needs to work with our grantees to do outcome-based reporting. Since it is often difficult to measure habitat protection, we need to help our grantees to show how it is changes in people's attitudes, beliefs and behavior that will lead to habitat protection. We leave it up to the organizations we support to set the specific outcomes they will achieve, but we need to help them do better monitoring.

To try to help their grantees address this problem, in 2000, the Foundation selected three organizations to participate in an Evaluation Pilot Project. Wilburforce made an up-front commitment to provide the three groups with general support funding for three years. The Foundation also provided each group with additional funds to hire a consultant who would help each group develop and implement an evaluation plan. The goal was to help each group develop an outcome-based program evaluation process that was sustainable, cost effective, and useful.

As part of the process, each group worked with their consultant and Foundation staff to develop logic models and evaluation plans for one or more projects on which they were working. Foundation staff also met with members of each group to discuss the work they were doing. Members of the three groups also documented the learning tools that they developed and came together in annual *learning circle* meetings to share skills and experiences with one another. These groups will spend the next year fine-tuning the

evaluation plan and data gathering tools that they have created. At the end of year three, participants will report what they have learned, and propose/implement modifications to their evaluation plan that may be necessary (e.g., redefine outcomes, select new indicators, develop improved survey tools). So far, the program has had mixed results. All of the groups claim that they are able to articulate better outcomes. At this point, however, only one group has used its evaluation work to inform its decision-making, though not in a way that Foundation staff would have anticipated. In this case, the group used its logic model to encourage campaign activists to prioritize tasks that were most directly tied to desired outcomes, with the goal of cutting back or eliminating lower priority activities. This was done to curtail burnout. Though these prioritization decisions were subjective (i.e., not driven by actual evaluation data), it was an important exercise in getting staff to think strategically.

At the end of next year, the Foundation plans to step back and look at what, if any, changes they have produced in participating organizations. If they decide to continue with this work, they will need to assess organizational readiness, capacity, and other issues to select groups that are most likely to benefit from this investment.

What Wilburforce Foundation Learned

Focus on grantee needs - Foundation staff found that these types of "participatory" or "empowerment" evaluation models have a lot of potential. As Paul says, they provide "an evaluation approach that puts the needs of the grantee on par with those of the funder."

Time is the primary limiting factor - The greatest challenge facing each group continues to be making time for evaluation work. As Paul says, "Programmatic workloads, fundraising, board and staff management, and other priorities are difficult to ignore. None of the groups took full advantage of the consulting reimbursements we had allocated, so time, not funding, seemed to be the primary issue."

Analysis capability is limiting - Another challenge lies in managing and analyzing information. As Paul says, "Data gathering and data analysis are vital to fully exploiting the potential of this project. However, the technology and in-house expertise are lacking. Even if the database software available to groups were adequate (mostly it's not), groups would likely still stop short of the type of analysis that would produce meaningful information that would be useful for planning and resource allocation decision-making."

Funders need to practice what they preach - Paul also found that, "Participating organizations are designing their systems partly with funders in mind, and foundations are primarily locked into activity accountability. The philanthropic sector is hindering a shift to outcome-based evaluation. Even funders that talk 'outcomes' in their annual reports often use activity and output information to describe their own successes."

Informal Monitoring and Evaluation of Grants

Although the review did not explicitly ask funders about it, some members distinguished between formal M&E (highly structured and usually based on quantitative data) and informal M&E (less structured and usually based on qualitative data) of grantees' work. A number of funders advocated the benefits of a more informal approach to evaluation. Almost all of those foundations that employ informal evaluation approaches emphasize the importance of building and maintaining good relationships with grantees. It is through relationships of trust that foundations can have candid discussions with grantees to determine what is happening. Open lines of honest communication between grantmaker and grantee provide the basis for the effective implementation of informal evaluations. According to one foundation that does mainly informal M&E:

We invest primarily in campaigns. Because we are usually close to the campaigns, we generally know when a specific NGO is doing well in the view of other NGO partners and when an NGO does not follow through on its commitments to the campaign. The more distant we are from a campaign, the less well this method works.

Most member organizations that rely on informal evaluations stress the need for highly qualified program staff to carry out the M&E. Given the more unstructured nature of informal evaluations, staff need to know what they need to look for and assess. Informal evaluations tend to rely heavily on proposals, reports, and feedback from colleagues.

Box B. Informal Evaluation at the Moriah Fund

The Moriah Fund works in an array of program areas and geographic locations; environment represents less than 20% of its grant allocations. The Fund relies almost exclusively on its program officers (most of whom are long-term employees of the foundation) to evaluate the work of grantees and to make judgments on the value and impact of their work. Many grantees tend to be long-term grant recipients although that may result from a series of one or two-year grants. The foundation also places a priority on capacity building of grantees and providing core (rather than project) support. Program officers regularly meet with grantees, communicate frequently with other donors supporting these grantees and with other organizations familiar with the grantees' work, and receive periodic communications and updates from many grantees. As a result, the staff gain a good understanding of which grants are working and which are not.

This informal monitoring approach clearly has the virtues of being less costly to implement and imposing minimal additional burdens on grantees. Furthermore, the foundation believes that formal quantitative evaluations can be misleading since it is typically very difficult to develop meaningful indicators that measure the real impacts the Fund is trying to achieve. However, the Fund recognizes that this informal approach has some obvious limitations. Jack Vanderryn notes, "It is easier to implement when we are involved in the communities in which the grantees are operating. Our approach doesn't provide the same kind of records as a more formal system and may not provide the same kind of institutional memory." Overall, however, for a foundation the size of Moriah, with a reasonable ratio of staff to the number of grants administered, this informal approach seems to work very well.

Formal Monitoring and Evaluation of Programs and Initiatives

We define formal M&E of programs and initiatives as *a systematic evaluation of groups or clusters of projects that are grouped around a common theme*. According to the results, most member organizations formally evaluate some of their initiatives (Table 7). A good example of this work is presented in Case 3.

Table 7: Extent to Which Foundations Conduct Formal Program/Initiative M&E

All programs and initiatives are evaluated	7
Some programs and initiatives are evaluated	22
No programs or initiatives are evaluated	4
<i>If "All" or "Some", how are they evaluated?</i>	
Foundation hires contractor	16
In-house foundation staff	15
Other	2

Some foundations mention that it is particularly critical to conduct M&E of programs and initiatives in order to make sure they are achieving their desired goals. Often, initiatives are developed around relatively new themes about which little is known. It is thus even more important to collect and analyze information in order to better understand the issue. As one program officer puts it: “When we need to take a step back and assess what is working, that’s when initiative level M&E is critical. This provides a service to those that are involved in the issue.”

CASE 3. Building Evaluation Into the Strategy Cycle

Initiative-Level Planning and Evaluation at The Pew Charitable Trusts

The Challenge

Funders will often support a cluster of grants focused on a specific thematic topic or aimed at achieving a collective goal. These clusters can be termed *programs*, *sub-programs*, or *initiatives*. For example, The Pew Charitable Trusts work in six broad program areas that include culture, education, environment, health and human services, public policy, and religion. Within each of these six programs, the Trusts focus on specific subprograms. For instance, the Environment Program focuses on the conservation of living marine resources, global warming and climate change, and old-growth forests and wilderness protection. The challenge facing a funder in this case is to evaluate both individual grants as well as the broader initiative as a whole. Specific questions include:

- Does your initiative have a well defined, ambitious yet realistic, and measurable goal that is larger than a single project?
- Is your initiative showing progress in reaching this goal over time?
- Are your individual grants helping meet your overall goal?
- Is your initiative efficient in its use of resources? How could it be more efficient?
- Is the initiative creating a whole that is greater than the sum of its parts?

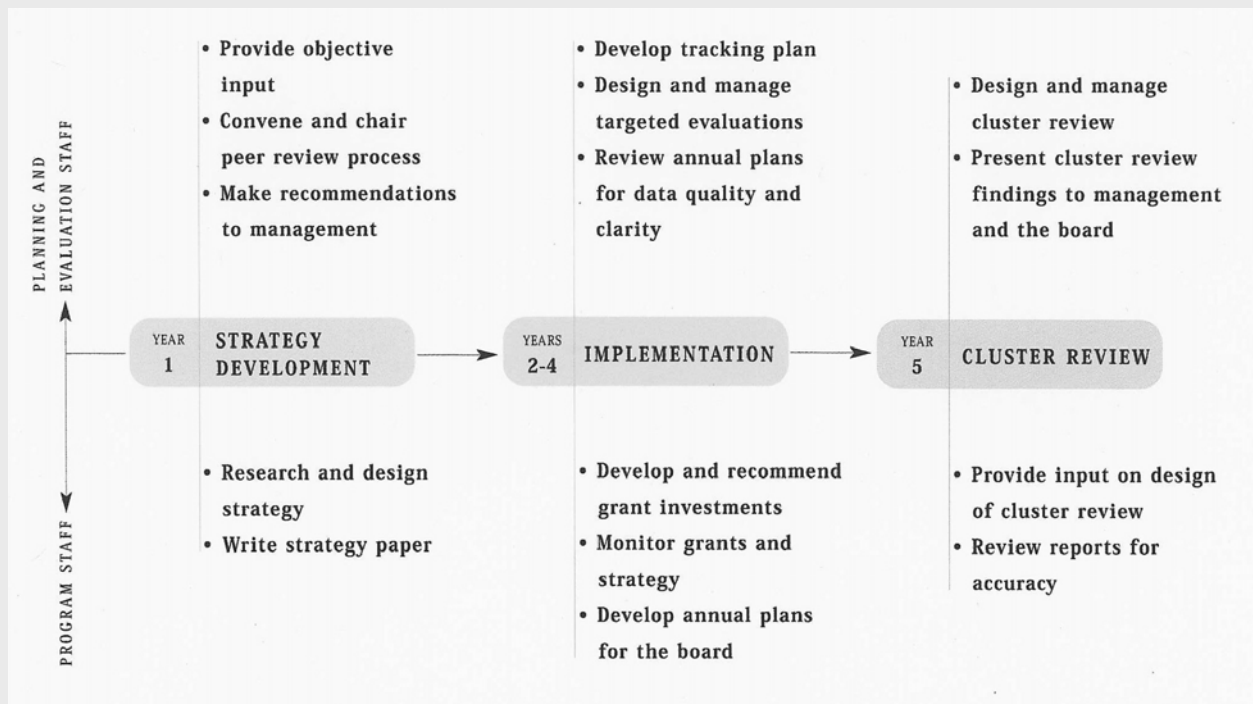
What the Pew Charitable Trusts Did

At the Trusts, evaluation is not a stand-alone activity that is merely tacked on at the end of an initiative (sub-program). Instead, as Michael Dahl, Director of Planning and Evaluation, says, "Planning and evaluation are combined as part of the strategy lifecycle." The basic planning cycle that the Trusts use has three major stages as illustrated in the following diagram. The entire cycle, from strategy development to cluster review, can take three to five years or longer.¹

The first stage, strategy development, involves "creating a coherent and convincing plan to address a specific problem." Before taking action, "Staff can devote up to a year or more to examining the fundamental causes of a problem and identifying the audience who represents the best leverage point for change." In addition, program staff works with planning and evaluation staff to set clear and measurable goals and outcomes for the initiative. A particularly challenging part of this process involves setting targets that will result in the desired change in the system and predicting the "milestones of progress" that the Trusts should expect to see over the next three to five years. As Josh Reichert, Environment Program Director, says " While we certainly make investments that we don't measure, there is virtually nothing we do that doesn't lend itself to measurement." As examples, their public lands program measures its success in terms of acres of land protected while their Climate Change program is aimed at securing mandatory caps on CO₂

¹ All unattributed quotes in this section are from Pew Charitable Trusts (2001) *Returning Results*.

The Pew Charitable Trusts Strategy Cycle. Source: *Returning Results*.



and other greenhouse gasses, and requiring that all coal-fired power plants in the US meet current Clean Air Act standards.

The second stage, implementation, "involves turning the plan into action with our grantee partners, carefully monitoring progress, and adjusting the plan as necessary." As part of this process, program staff are in regular contact with grantees to ensure that "grant conditions are being met and that work products are delivered." The Trusts' emphasize, however, "that a narrow focus on monitoring individual grants would risk missing the forests for the trees; [grant] monitoring tells us how individual grantees are doing, but it doesn't tell us how the *strategy* is doing. To this end, the Trusts will often also monitor a *tracking portfolio* - a "collection of data that reflects key activities, outputs, and outcomes of the subprogram as a whole" that program staff use to see "how their strategy is unfolding and whether it is having the desired effect." Information in this tracking portfolio comes from grantee reports and from additional data collected by consultants.

The final stage, cluster review, "requires a rigorous and independent evaluation of the overall strategy." These reviews are typically conducted by a team of external evaluators hired and managed by the Trusts' planning and evaluation staff. The cluster review is designed to learn whether the initiative has accomplished its goals, determine if it makes sense to continue this work in the future, and extract any lessons that will help the Trusts understand "what works and why." Program staff then "integrate the findings from this evaluation into a revised plan, triggering a new round of the internal strategy cycle."

One of the most notable features of the Pew strategy cycle is the coordinated interaction between the Trusts' program staff and planning and evaluation staff. The Trusts first established an internal department called Research and Evaluation in 1988. Over time, this group evolved into the current department of Planning and Evaluation. The department has four program officers and three associates. Each Planning and Evaluation officer typically works regularly with two program areas although Planning and Evaluation staff often team up with one another to take on large projects. As shown in the diagram, planning and evaluation staff work with program staff throughout the strategy cycle.

What Pew Charitable Trusts Learned

Develop a tight focus - If grants are widely dispersed, it is hard to measure the impact of the grants above the background noise in the system. As subprograms became more tightly focused, however, they achieved a greater effect and became easier to evaluate.

Monitor key assumptions behind your strategy - The strategy cycle is designed to help program staff understand the strategy they are using. The initial strategy paper must answer the question "how will the proposed activities lead to the proposed outcomes?" and must detail key assumptions. The tracking portfolio must show "how the strategy is unfolding and whether it is having the desired effect." And a cluster analysis reviews "the key assumptions in the program's logic and strategy" to see if they were correct.

Integrate program and evaluation staff - Members of the Planning and Evaluation Department work closely with their colleagues on the program side throughout the strategic planning cycle. As a result, planning and evaluation staff are viewed as partners helping to improve the work rather than as police officers trying to punish people for mistakes. As Program Officer Diane Thompson, puts it,

Too often monitoring and evaluation happens after the fact and the evaluators are considered the "other people" who come in and nit pick. It is important to differentiate between docking someone for recognizing there is a problem and allowing an acceptable margin of error with accountability. Having continuity among programming and evaluation staff helps in this regard.

Hire staff who can think strategically - The ideal program staff person will be knowledgeable in both the topic area they are focusing on and in strategic planning and design. But as Josh says, "The bottom line is we need people to walk in the door with first rate program design skills."

Commitment starts at the top - Staff continually talk about how the Trusts' emphasis on "returning results" comes straight from the board and senior management and permeates every aspect of the organization. Evaluation is vital to inform the staff, management, and board as to "what works and why."

Development of Indicators for Monitoring and Evaluation

Most organizations do not have a predetermined list of indicators that they use to evaluate grantees (Table 8).

Table 8: Extent to Which Foundations Use Predetermined Indicators

Yes	12
No	18

Almost all foundations report that indicators are developed in conjunction with grantees (see Case 4). The actual indicators that are used are usually tailor-made for the particular grant. Some program officers note that it is inherently more difficult to measure progress in some themes than others. They report that some broad issues – such as law policy and global climate change – are naturally much more difficult to measure than more specific issues such as protection and education. For example, one program officer writes:

We have recently developed “indicators of progress” for each of our grantmaking objectives and, at the urging of one of our Trustees, will be developing more specific benchmarks against which progress will be judged. This is a very difficult thing to do, particularly given that our grantmaking is overwhelmingly about policy reform and capacity building. We think there is value in doing it, but it is time-consuming and very challenging.

Because of the difficulty in coming up with good indicators, many respondents assert that M&E often focuses on process rather than impact – leaving program officers asking “So what? What have we really accomplished with the grant we have made?” A related challenge involves developing the ability to document a cause-effect relationship between a given grant activities and the desired outcome.

In addition to indicators of grant success, some foundations have recently tried to develop indicators to measure their progress in reaching their own goals. For example, one respondent writes:

As of January 2002, we do have indicators for our various programs. They are still a work in progress, but we are comfortable enough with them now to put them to use for our internal purposes and for introduction to our grantees. These indicators were developed internally, with some input from grantees. We are at the stage now where we have defined what we want to measure and now want to have a more open dialogue with grantees about whether they are the “right” indicators – and whether they make sense and can be measured by the grantees.

In addition to measuring specific ultimate impacts, some organizations report that they are in the process of developing other indicators and benchmarks related to some of their desired “intermediate outcomes.” This, they believe, will put them in a better position to understand the conditions, skills, and knowledge they need to create in order to effect change. For example, one foundation reports:

Since we also fund capacity building efforts, we are planning to draft a set of capacity benchmarks to which we can hold ourselves accountable, and allocate resources to assure that we show progress with our grantees. These benchmarks will be selected in collaboration with the capacity building organizations that we fund. This will be possible for us because we have a relatively stable core group of grantees that we fund over time. We hope to develop qualitative and quantitative measures for fundraising, strategic planning & evaluation, technology, financial systems, leadership, and/or other capacity areas.

Two foundations stress the need to be clear about showing the cause-and-effect steps between activities and final outcomes. To do this, foundations need to think about the intermediate effects that a given intervention will have. By monitoring each one of these intermediate effects, program officers can describe a “chain of causation” that leads to an ultimate goal. For example, according to one foundation,

On a programmatic level, we encourage our grantees to define outcomes to which they can hold themselves accountable that are appropriate for the scope of activities and the resources available. Typically, “acres protected” is a long-term goal, so we hope to see evidence of changes in human attitudes, beliefs and/or behaviors that could lead to habitat protection.

CASE 4. Partnerships by Design

Changing the Nature of the Relationship Between Grantmaker and Grantee at the Geraldine R. Dodge Foundation

The Challenge

When it comes to monitoring and evaluation, grantmakers and grantees don't always see eye-to-eye on how to work together. Funders sometimes wish to get an “objective” assessment of how the grantee is doing while grantees do not want external evaluators “meddling” in their business. This tension sometimes leads to dysfunctional relationships between grantmakers and grantees. Many of the foundations in the CGBD membership have spent considerable time and effort trying to reduce the risk of developing adversarial relationships with grantees over M&E. To do so, the questions they have asked themselves include:

- How do we build effective partnerships with our grantees so that we can effectively evaluate the projects we support?
- How do we work with grantees to define mutually acceptable goals?
- How do we agree on indicators of success?
- What are the skills and knowledge that grantees need to evaluate their own projects?
- What kind of services can we provide to grantees to facilitate M&E?

What the Geraldine R. Dodge Foundation Did

The Dodge Foundation actively works with its grantees to figure out the best way of monitoring and evaluating the investments it makes. In 1999, Dodge launched the Assessment Initiative (<http://www.grdodge.org/Assessment/index.html>), a multi-year joint venture of the Foundation and many of its grantees that is characterized by Dodge staff as an "inquiry into the nature and best practice of assessment." The mission of the Assessment Initiative is: *To improve the performance of non-profit organizations, including our own, through a more thoughtful, sustained, and sophisticated approach to assessment.*

According to Robert Perry, Dodge Senior Program Officer, the Foundation works with its non-profit partners to evaluate its work. To do this, the Foundation establishes a relationship of trust with each of its partners that relies on a lot of discussion, analysis and feedback. Dodge works with grantees to clarify their goals and how they intend to achieve them. It also helps many of its grantees think about the types of information they will need to track in order to measure success. Most important, with its long-term goals ever in mind, Dodge helps its non-profit partners develop their own capacity to evaluate and constantly improve their own work. According to Robert, "We want to establish productive, non-punitive relationships with our grantees. We are designed to provide feedback - and encourage partner organizations to design and do their own M&E. We help them develop their own standards of excellence."

Much of Dodge's work with its partners is based on the work of Grant Wiggins, a Dodge grantee and author of a seminal education-focused assessment guide, *Understanding By Design*. This approach involves developing *rubrics* - sets of scoring guidelines for evaluating performance. Rubrics answer the questions:

- By which criteria should performance be judged?
- Where should we look and what should we look for to judge success?
- What does range in success look like concretely?
- How should different levels of quality be described and delineated?

Dodge's approach to developing partnerships in M&E starts with its initial contact with grantees. Since 1998, it has held a series of workshops with grantees to help them become better assessors of their own work. The workshops normally occur in a series of three meetings. The first gathering is designed to discuss Dodge's approach to grantmaking in general and its approach to self-assessment in particular. A subset of prospective grantees is then invited to a second workshop where Dodge's assessment approach is more thoroughly described and illustrated. During the third workshop, project partners review and discuss their experiences conducting their own self-assessments.

Finally, the Dodge Foundation urges its non-profit partners to become "assessment cultures." Dodge also practices what it preaches. As David Grant, Dodge's Executive Director notes:

We ask ourselves the same questions we ask our grantees. Planning backwards, we ask: What does effective grantmaking look like? What does an effective relationship with our grantees look like? Above all, we don't do assessment and then move on to something else. Assessment is a journey.

By changing the nature of the relationship between grantmaker and grantee, The Dodge Foundation increases the likelihood that its partner organizations will value M&E and use it to measure their success and improve their performance. And the partner organizations feel that they have a supporter and advocate helping them realize their own goals.

What The Geraldine R. Dodge Foundation Learned ¹

The primary purpose of a partnership approach to M&E is to improve performance - Assessments tend to be valued and used by grantees if it is clear that they contribute to project management. M&E provides the information that is required to adapt and change actions over time. Conducting assessments in partnership provides the opportunity for grantmakers and grantees alike to gauge their success.

Joint M&E requires being clear about what all partners want to achieve and how they intend to achieve it - Clearly negotiated and defined goals, roles, and responsibilities are especially important when you are working with multiple partners. In this way, you can prevent misunderstandings that tend to arise later on in the project cycle when key issues are not well defined.

Designing and implementing M&E together enable constructive feedback - The Dodge Foundation takes great pride in the relationships it builds with its partner grantees. This collegial relationship is based on trust and respect and provides an opportunity for open and candid dialogue about what is working, what is not working, and why.

Doing M&E together helps build learning cultures - Even under the best of conditions, doing effective M&E is not easy. It takes time, patience, and experience to learn how to do M&E. As Robert Perry says, "M&E is not something we all grew up doing. It takes time to learn how to do it well." Learning how to do it well is greatly facilitated by learning how to do it with others. By doing M&E together, learning from the results, and using the information to make positive changes, learning communities can flourish.

¹ The following lessons are derived and adapted from the Dodge Foundation's nine Assessment Principles, available in their entirety at <http://www.qrdodge.org/Assessment/principles.htm>

Foundation Staff Devoted to Monitoring and Evaluation

Very few foundations report having staff that are specialized in doing M&E (Table 9).

Table 9: Presence of Staff Specialized in and Devoted to M&E

Yes	6
No	24
<i>If foundation has M&E staff, how much?</i>	
Up to 1 Full Time Equivalent (FTE)	4
Between 1 and 3 FTEs	1
Greater than 3 FTEs	1

Of the six foundations that report having staff specialized in and devoted to M&E, half are small organizations and half are mid- to large organizations. For those foundations that do not have designated M&E personnel, most report that regular program officers are responsible for conducting or overseeing routine M&E.

Box C. Joining Forces to Evaluate Joint Work

One of the main functions of the CGBD is to bring together groups of funders around specific topics such as marine conservation or forestry certification. For the most part, the working groups have largely focused on providing information to members and, in some cases, encouraging and facilitating the collaborative work that individual members are undertaking.

Interestingly, representatives of several of the foundations with whom we spoke said that they had conducted evaluations of the work they had done in conjunction with other donors. Somewhat surprisingly, although the foundations were collaborating on the work itself, they conducted independent evaluations. For example, Melissa Dann of the Wallace Global Fund described how her organization had conducted an evaluation of the forestry work they had been supporting. Melissa went on to say that although the evaluation had been useful and she informally gave it to other people, she regrets not having formally shared it with the rest of the members of the forestry working group when it first came out.

There might be some real economies of scale if funders working together on common topics could agree to commission and support common evaluations of their work. This would save time and money for both the funders as well as the grantees who might have to respond to the questions posed by evaluators.

Role of Routine Reporting in Monitoring and Evaluation

While most foundations rely on regular reporting, they do not depend on it as the sole source of information (Table 9). Instead, routine reporting is often combined with formal evaluations to complete the picture.

Table 9: Reliance on Regular Reporting for M&E

Regular technical/financial reporting is only means	8
Regular technical/financial reporting with formal M&E	24
Regular technical/financial reporting is not used	2

Some foundations and grantees work together to define the questions that will be addressed in routine reporting. This serves as the basis for conducting M&E functions in the context of regular reporting. Many foundations indicate that they have a short set of questions that help guide grantees through a reporting process that help the grantee reflect on their past accomplishments.

Many program officers indicate that it is sometime difficult keeping up with reading all the routine reporting that comes in from grantees, and one program officer reveals that her foundation does not “take the reports very seriously.” Another program officer reports: “Until a few months ago, for the vast majority of grants that came to an end, reports were unread or given a cursory read. It was barely a review – certainly not evaluation. Even now, the question remains: Are the reports useful enough to read?”

Many program officers find that, often, routine reporting provides about the only opportunity for grantees to reflect on what they have done and ask themselves difficult questions. But some foundation staff question the utility of requiring grantees to write extensive routine reports. Often, the reporting format and content do not lend themselves to producing useful information with which grantee activities can be adequately evaluated and grantees do not use reporting as an opportunity to truly reflect on their progress. As one foundation program officer puts it, “Most grantees loathe the final report process.”

In addition, one program officer mentions that he feels that many grantees report only their successes – not their failures. “Grantees are getting more adept at ‘tooting their own horn.’” He cautions that if grantees are reluctant to share the real challenges of doing their projects, then routine reporting becomes a less useful tool for M&E. Similarly, another program officer states:

The utility of routine reporting depends on the grantee. Some report that everything worked perfectly fine. Nothing failed. We’re the most amazing organization on the planet. Others are really honest with us – what they did, what they learned, what roadblocks they found, what they did to get around them, what they did if they couldn’t get around them. These are the reports that tell us something. These are the grantees that we like to support.

According to another grant manager,

We do not do a whole lot of formal evaluation. We do require interim narrative reports and final narrative and financial reports. And we are pretty dogged in making folks get them to us. I'd say 25% of the reports are totally worthless, 25% are mostly worthless, 25% are useful and the rest are very helpful. While not always true, the larger the organization, the less useful the report.

Observations and Lessons from CGBD Members

The CGBD members had extensive insights into conducting effective M&E in the portfolios they manage. Much of the information in this section is derived from the e-mail surveys, but a significant portion also comes from phone and person interviews. We first provide some general observations and perceptions and then list specific lessons mentioned by various CGBD members. The statements found in both of these sections are taken directly from the respondents. These statements do not necessarily represent majority views – we have tried to include all observations from all sources.

Obstacles to Good M&E

Foundation staff identified a wide range of obstacles to doing effective M&E:

- Many of us in the foundation world don't have enough time to do M&E. Most program officers are overstretched trying to keep up with their management responsibilities and feel they have little time to devote to M&E. Foundation and grantee staff often think that M&E is too much added work.
- Foundations don't have enough money to do M&E – and often, funds spent on M&E detract from spending money on action. Furthermore, grantee staff often perceive M&E efforts as a policing mechanism, not as a learning tool. They too sometimes see it as getting in the way of doing.
- When you are dealing with multiple grantmaking and implementing organizations involved in working on an issue, it is difficult to attribute success – or failure – to any one actor.
- Doing conservation – figuring out what is best – is not easy. Many intended impacts are truly complex in nature and difficult to measure. Cause and effect relationships are often difficult – if not impossible – to measure.
- We often lack clear, measurable goals in conservation, so when it comes time to do M&E, we find ourselves counting things that don't matter. True impact measures are hard to come by.
- Many foundation staff do not have the skills or experience to conduct effective evaluations. Foundations often hire junior people who have not had enough experience to do rigorous evaluations.
- Getting help to do effective M&E is not easy. Not many people who do M&E do it well.
- There is a risk of becoming “outcome junkies” – with a strong focus on short-term fixes and a quick win. The consuming focus becomes short-term outcomes and the whole process loses depth and perspective. The challenge is to find the right balance for short and long-term outcomes.
- It is important to differentiate between docking someone for recognizing there is a problem and allowing an acceptable margin of error within accountability.
- There is a culture within the foundation community of “Let's not do navel gazing. Let's give folks money and get out of the way so they can work.” There's often no interest in accountability.

Opportunities for Improving M&E

Foundation staff also identified a wide range of opportunities for improving M&E:

- We are getting better at doing conservation and M&E.
- There are people out there who can help the foundation community do M&E better.
- Foundations are becoming more interested in actually seeing what change we are making.
- The foundation community is becoming more meaningful and more explicit about what it wants to achieve and defining better goals and objectives.
- More foundations are interested in sharing lessons-learned among themselves.
- There is greater potential among foundations for learning systematically as a group.
- You can definitely overdo this stuff – every foundation needs to find a balance. But we certainly do use evaluations. We like doing them, we love getting them, our grantees like seeing their reviews, and discussing the results of evaluations is by far the best part of our board meetings.

Major Lessons on M&E Drawn From CGBD Member Responses

After trying out different approaches to M&E, many CGBD members have learned significant lessons that they would like to share with the rest of the membership. Key lessons that respondents suggested include:

Lesson 1. Doing M&E well is difficult and almost everyone is struggling with it.

This may seem obvious, but it was a theme that came up again and again. Most CGBD members acknowledged the importance of tracking grants and finding ways to help grantees monitor and evaluate themselves, but almost all respondents indicated that they struggle with it. Even the organizations that are most advanced in their M&E work have been doing it for only a few years or less and acknowledge that doing it well is not easy. While most foundations are struggling with figuring out how to do the most cost-effective M&E possible, there also seems to be a strong commitment to determining what approaches are most appropriate to take under different conditions.

Lesson 2. Depending on the situation, either informal or formal evaluation may be appropriate.

Another theme that recurred often relates to the trade-offs between informal and formal evaluations. Many organizations with fewer, smaller grants have chosen to rely primarily on informal approaches to M&E, but others have worked with grantees to incorporate formal M&E into their projects. When more precise data and information are required, foundations tend to rely more heavily on formal evaluations. While most people with whom we spoke agree that it is important to recognize when it is appropriate to use informal or formal evaluation, there is little clear guidance available to foundations for making this determination.

Lesson 3. M&E can be enhanced by collaborating with other grantmakers working on the same project, program, or initiative.

Many CGBD members mentioned the potential benefits of joining forces to plan and implement M&E activities related to jointly financed projects, programs, and initiatives. Not only can collaboration lead to a more unified and comprehensive approach to M&E, it can also help determine the individual and combined effects of different roles, responsibilities, and contributions in the project. Smaller foundations seemed to note this more than larger organizations. People from these organizations observe that they often lack sufficient funds to evaluate an entire grantee. According to one CGBD member, “As a small foundation, we can’t hold ourselves solely accountable for success or failure on [a particular] goal. We also don’t have the resources to pay for such a massive undertaking.”

Lesson 4. Some themes naturally lend themselves to impact-oriented M&E more than others do.

Even under the best of circumstances, making the link between a particular project and a specific outcome is difficult. Many of the problems addressed by the CGBD member organizations are complex social and environmental issues that are poorly understood – and whose solutions are even more difficult to assess. Various CGBD members expressed frustration with measuring changes in large-scale projects including policy reform and mitigating global climate change. Without more completely understanding the linkages between cause and effect – intervention and impact – designing effective M&E systems is an even greater challenge.

Lesson 5. Investment in M&E must be consistent with investment in the program being evaluated.

A few program officers described experiences in which the scale and focus of M&E efforts did not match the scale of the projects they were designed to support. In some of these cases, it seemed that more time, money, and attention were being spent on the monitoring and evaluation than on the actual programmatic intervention. Inevitably, large quantities of data were collected but were either irrelevant or never used. Conversely, some respondents describe large grants that lack significant investments made in determining the effectiveness of the intervention. In either case, the scale of M&E activities are not appropriate to the scale of program activities, potentially leading to misspent investments.

Lesson 6. Grantmakers play a critical role in creating the necessary conditions to make M&E happen.

Securing good quality data to measure the impact of a grant or to help a grantee monitor its progress is usually no easy task. Effective collection and analysis of data and information are dependent on the skill level and time commitments of the organization implementing the project. Many respondents mentioned that investing in the capacity of a grantee to do effective M&E is often one of the most important determinants of adequately measuring success in a project.

Lesson 7. The size of a foundation does not necessarily determine the kind and extent of M&E it does.

The size of a CGBD member organization does not necessarily determine the extent to which it is committed to conducting M&E. It also does not necessarily determine the approach that a funder will take to doing M&E. At the beginning of this review, it seemed that the conventional wisdom was that smaller foundations did not have the time or finances to support formal M&E efforts. We found, however, that some of the most time and money intensive M&E investments have been undertaken by small foundations. Conversely, some of the largest foundations have chosen not to implement any significant M&E at all. Echoing the sentiment of various CGBD members, one program officer comments, “Doing M&E is a reflection of interest and priorities instead of the amount of money or staff that a foundation has.”

Lesson 8. M&E must be taken into consideration at the beginning of project development.

Effective evaluation does not begin at the end of a project. Many respondents stressed the importance of taking the time to incorporate M&E during the design phase of project development. By knowing what your data and information needs are before the project begins, you can more easily assess the feasibility of the project and its M&E plan. “You have to build a meaningful information flow and be able to get it when you need it – not when it is too late” states one program officer.

Lesson 9. M&E is key to adaptive management.

This was another recurrent theme in the review. Many respondents mentioned the need to do effective adaptive management in project implementation and the critical role that effective M&E plays. Some CGBD members also discussed what they termed a “culture of learning” that can be promoted in foundations by investing in M&E and adaptive management. Various people observe that grantees are more likely to engage in M&E activities if they see some management benefit to their involvement. When used in this capacity, M&E becomes an instrument of positive change instead of a punitive tool.

Lesson 10: There are great opportunities among the CGBD membership to learn about M&E.

Perhaps most important, the potential for learning about M&E among the CGBD membership is significant. Many respondents mentioned that learning in CGBD can take place at various levels including projects, programs, initiatives, and regions. Not only is there a wealth of information and experience that already exists within the CGBD network that can be captured, compiled, and shared, but there is also ample interest among the membership to find ways of working together on issues related to M&E into the future.

Materials and Services Requested by CGBD Members

In the surveys, CGBD members mentioned a variety of items that they would find useful. We have sorted all of the responses we received on this topic into four main categories. For the most part, the following bullets are the actual statements from respondents to the surveys and interviews under each category.

Consultants and Training Opportunities

- Maintain a roster of consultants (organizations and individuals) – with contact information and references – who are trained in evaluation techniques and understand environmental grantmaking and/or grantmaking aimed at policy reform.
- Coordinate expertise around how to evaluate policy-oriented work (where it's mighty difficult to establish clear cause-effect relationships).
- Hold workshop seminars on M&E and organizational development.
- Track organizations/consultants to train NGOs in adaptive management and M&E.

Guides, Tools, and Techniques

- How-to guides, such as the book *Measures of Success*.
- Some resources on other types of M&E approaches and techniques that others have used.
- Tools – publications and training opportunities for foundation staff interested in doing M&E and adaptive management more broadly.
- When evaluating grant recipient programs – [we need to know] what indicators are used and how do foundations balance the need for concrete indicators while recognizing that environmental progress is often difficult to quantify.

Case Study Materials and Examples

- Case studies of programs that are working – including case studies from outside the environment field.
- Knowing who has done what kind of evaluations with named grantees so I could determine usefulness.
- Overview and examples of indicators and examples of M&E that others have found most helpful.
- Reports from foundations having successfully addressed M&E and adaptive management at project and program level.

Opportunities for Learning

- Resources and examples geared toward small foundations (staff of three or fewer) and movement-building / campaign-oriented work of small grantees (often staff of six or fewer).
- A better understanding of the learning and analysis that have already been done (if any) on the application and impact of the core strategies we pursue at our foundation, including protected areas, and certification.
- Cross-foundation exchanges and evaluation. This will facilitate learning and help us apply lessons-learned to our own organizations and evaluate them. The more we learn about ourselves the easier we can apply the concepts to grantees.
- Based on the results of this survey results, it would be useful to lay out the array of needs donors have regarding M&E. Some might find systematic M&E relevant, while others might not. It would be useful to cluster donors based on interest and need, and then identify next steps for those that want to pursue this issue further and share lessons with others along the way.
- It would be useful to frame the discussion of M&E among CGBD members in the broader context of adaptive management, rather than only as “M&E,” so that foundations that are reluctant to monitor their grantees see the value of M&E in the broader context of learning.
- CGBD could provide a needed clearinghouse function. It would be helpful to identify areas where other organizations are doing M&E – to avoid duplication and possibly take advantage of economies of scale. Right now, it is done informally but it is very hit or miss. Since the CGBD currently knows the pulse of working groups, it could be a window for simple information sharing.
- CGBD could keep a database on evaluations. It would be great if we could all share the results of our evaluations so we could all learn from each other. Could help the smaller foundations – coordinator for cluster evaluations, share the cost and coordinate the work. We can think about whether at future meetings we can have a standing session about evaluation. This way, we could create a network.

Recommended Resources

Resources Recommended by Individual CGBD Members

The CGBD members who participated in this review provided a treasure of useful references and resources. Members suggested resources in five broad categories: other foundations doing effective M&E; technical support; approaches, manuals, and “how-to” guides; specific tools; and articles, analysis, and examples. (As of July 1, 2002 all website links in this report were working, but inevitably over time, some may be changed by those people responsible for their management.)

Other Foundations

We asked respondents if they were aware of interesting and effective examples of M&E. Respondents mentioned a wide range of grantmaking organizations as having done significant M&E work. The foundations that were mentioned most include:

CGBD Member Organizations

- The Brainerd Foundation
- Doris Duke Charitable Foundation
- Ford Foundation
- The David and Lucile Packard Foundation
- Pew Charitable Trusts
- Wilburforce Foundation

Non-CGBD Member Organizations

- The Edna McConnell Clark Foundation
- Robert Wood Johnson Foundation
- Kellogg Foundation

Approaches, Manuals, and “How-To” Guides

Returning Results: Planning and Evaluation at the Pew Charitable Trusts. 2001. Pew Charitable Trusts.

http://www.pewtrusts.com/return_results.cfm?content_item_id=110&page=rr1

This document describes the system of determining and evaluating philanthropic investments at The Pew Charitable Trusts. Its purpose is to share the approach that the Trusts have developed to guide decisions about this vital aspect of the foundation's work. This description of the Pew Charitable Trusts' internal strategy cycle would be useful for other foundations interested in setting up or strengthening a system for planning monitoring and evaluating not only specific grants but also portfolios or clusters of grants. The approach provides a framework for making the assumptions underlying strategies explicit, testing these assumptions and using the results to refine the strategies.

W.K. Kellogg Foundation Evaluation Handbook. 1998. W.K. Kellogg Foundation. www.wkkf.org/pubs/Pub770.pdf

This handbook is guided by the belief that evaluation should be supportive and responsive to projects, rather than become an end in itself. It provides a framework for thinking about evaluation as a relevant and useful program tool. Overall, this document is very useful, especially in terms of the planning and designing of evaluations.

Measures of Success: Designing, Managing, and Monitoring Conservation and Development Projects. 1998. Richard Margoluis and Nick Salafsky, Foundations of Success. Island Press. www.IslandPress.org

Measures of Success is a practical, hands-on guide to designing, managing, and measuring the impacts of community-oriented conservation and development projects. It presents a simple, clear, logical, and yet comprehensive approach to developing and implementing effective programs, and can help conservation and development practitioners use principles of adaptive management to test assumptions about their projects and learn from the results. (Review from Island Press.)

Greater Than the Sum of Their Parts. Designing Conservation and Development Programs to Maximize Results and Learning. 1999. Nick Salafsky and Richard Margoluis. Biodiversity Support Program. Available in English and Spanish at www.FOSonline.org

This is a practical guide aimed at helping conservation and development program managers and donors reflect on how the principles of adaptive management can maximize results and learning. The publication outlines the steps involved in developing and implementing a learning program and some of the costs and benefits involved in using this approach. It lays the foundation for developing and managing portfolios and is written, in part, for private donors.

Outcome Mapping: Building Learning and Reflection into Development Programs. 2001. Sarah Earl, Fred Carden, Terry Smutylo. International Development Research Center. <http://www.idrc.ca/evaluation/outcome.html>

This manual was developed as a step-by-step guide for running an Outcome Mapping design workshop. At these participatory workshops, development program staff can plan and design activities, develop a monitoring system, and establish an evaluation plan. *Outcome Mapping* recognizes that development is essentially about people relating to each other and their environment. This approach shifts away from assessing the products of a program to focusing on changes in behavior, relationships, actions, and activities in the people, groups, and organizations it works with directly. It can help program staff be specific about the actors they target, the changes they expect to see, and the strategies they employ and, as a result, be more effective in terms of the results they achieve. This publication explains the various steps in the outcome mapping approach and provides detailed information on workshop design and facilitation. It includes numerous worksheets and examples.

Outcomes for Success. 2000. The Evaluation Forum.

<http://www.evaluationforum.com/publications/>

This field guide walks you through the steps necessary to develop measurable outcomes and indicators for your program and includes information on:

- Developing a “Logic Model” for Your Program
- Defining Outcomes You Can Measure
- Selecting Your Evaluation Design
- Developing Survey & Interview Instruments
- Choosing A Sample
- Data Collection Procedures
- Preparing and Analyzing Your Data
- Using Your Results

Understanding by Design (2000) and Understanding by Design Handbook (1999). Jay McTighe and Grant Wiggins. Prentice Hall Publishing.

Understanding by Design offers practical design tools, including criteria for selecting “big ideas” worthy of deep understanding, strategies for framing units of study around essential questions, a continuum of assessment methods for determining the degree to which students understand, and the where framework, which enhances student engagement and “rethinking.” The book concludes with a unit design template and standards to support quality control at the local level. The handbook is the companion book to *Understanding by Design* and provides a theory of understanding that is based on six facets of understanding. The handbook offers the practical side: a unit planning template, worksheets, exercises, design tools, design standards and tests, and a peer review process for learning and applying the ideas in *Understanding by Design*.

Program Life Cycles at the Edna McConnell Clark Foundation. 1999. The Edna McConnell Clark Foundation. http://www.emcf.org/pdf/eval_lifecycles.pdf

This report provides the basis of a unified strategy that aligns program design and management, assessment activities, and learning across programs at the Edna McConnell Clark Foundation. It supports the Foundation’s efforts to operationalize accountability and to communicate and disseminate what it has learned.

Specific Tools

Site Conservation/Measures of Conservation Success Workbook (Excel file). 2000. The Nature Conservancy.

http://www.conserveonline.org/2000/11/b/SCP_V2E;internal&action=buildframes.action

This automated Microsoft Excel workbook has been developed to assess systems, stresses, sources of stress, strategies, and to measure biodiversity health, threat abatement, and conservation capacity. The workbook is also included on the diskette that accompanies the 5S handbook available from The Nature Conservancy.

Is Our Project Succeeding? A Guide to Threat Reduction Assessment for Conservation. 2001. Richard Margoluis and Nick Salafsky. Biodiversity Support Program. www.FOSonline.org

This publication presents a new approach to measuring the success of conservation impacts. The Threat Reduction Assessment (TRA) approach is a low-cost, practical alternative to more cost- and time-intensive approaches to project evaluation. The TRA approach is based on data collected through simple techniques, directly related to project interventions, and readily interpreted by project staff.

InnoNet.org Workstation. 2002. Innovation Network. www.innonet.org

The Workstation is a suite of online evaluation and planning tools designed specifically for nonprofit program planning. The plans allow you to build a blueprint for designing, evaluating, and budgeting a successful program. Each plan has a corresponding work plan -- a management tool to help you get the job done. The result is stronger programs with measurable results. The Workstation leads you through a series of interactive steps - a program plan (to help you define your goals and determine what activities you'll need to carry out on the way to those goals), an evaluation plan (to let you integrate evaluation into your program from the very beginning), and a budget plan (to make sure you have the financial resources you need). Information from these plans is then made available for your use in developing grant proposals. Innovation Network is in the process of developing workstations tailored to the needs of grantmakers. These completely customized "Foundation Workstations" gather the information entered into Workstation plans to electronically submit a proposal tailored to your foundation. For more information, go to http://www.innonet.org/workstation/about_for_grantmakers.cfm

Articles, Analysis, and Examples

(Publications marked with a "*" indicate references that are particularly useful to trustees.)

***Creating a Culture of Inquiry: Changing Methods -- and Minds -- On the Use of Evaluation in Nonprofit Organizations. 2001. James Irvine Foundation.**

http://www.irvine.org/frameset_newpublication.htm

This paper is useful for organizations that are beginning to implement or trying to improve a monitoring and evaluation system, because it stresses the importance of creating an organizational culture that values reflection and learning.

***What Evaluation Could Do to Support Foundations: A Framework with Nine Component Parts. Eleanor Chelimsky. *American Journal of Evaluation*. Winter 2001, Vol. 22, Issue 1, p. 13.**

This article is very useful to foundations interested in strengthening their evaluation capacity. Chelimsky describes the current climate in which foundations are being scrutinized and their legitimacy politely questioned, due to perceived lack of transparency, credibility about their funding decisions, and the quality of their program evaluations. She proposes a framework to address these concerns.

Mainstreaming Evaluation: Evaluation as a Core Element of Institution Building at the Edna McConnell Clark Foundation. 2001. The Edna McConnell Clark Foundation. http://www.emcf.org/evaluation/evaluation_pub.htm

This paper, delivered to the 2001 Annual Meeting of the American Evaluation Association, looks at evaluation in the field of philanthropy and specifically at the efforts of one foundation to rethink in the most fundamental ways its approach to making grants, and as part of this, the role of evaluation in this work.

***A Grantee Bill of Rights. Michael Shuman. Foundation News. March/April 1989.**

This article provides a list of eleven recommendations – written in the form of grantee “rights” – for funders. At least two CGBD members have used these as a foundation to perform self-evaluations of their grantmaking activities.

***Geraldine R. Dodge Assessment Initiative. Geraldine R. Dodge Foundation.**

<http://www.grdodge.org/Assessment/index.html>

The purpose of the Dodge Assessment Initiative is “to improve the performance of non-profit organizations, including our own, through a more thoughtful, sustained and sophisticated approach to assessment.” This reference on the Dodge Assessment Initiative includes a summary of monitoring and evaluation (or “assessment”) principles and concepts that are useful to any foundation.

Additional Resources Recommended by Foundations of Success

The following list includes additional resources that Foundations of Success has compiled independent of this review that may be of interest to the CGBD membership. For each of the resources listed below, we include its title, a brief description, and information on how to obtain it.

Approaches, Manuals, and “How-To” Guides

Measuring Program Outcomes: A Practical Approach. 1996. United Way.

<http://national.unitedway.org/outcomes/content.htm> or call 1-800-772-0008.

Measuring Program Outcomes: A Practical Approach is an excellent M&E handbook. It was written for executive directors and program managers in social service organizations. In simple, straightforward language, it provides a step-by-step approach to developing a system for defining program outcomes (and not just outputs), defining indicators for these outcomes, collecting data on these indicators, analyzing and reporting findings, and using these results to improve and promote programs. A fundamental part of the approach includes building conceptual chains to define link among inputs, activities, outputs, initial outcomes, intermediate outcomes, and longer-term outcomes.

Outcome Funding: A New Approach to Targeted Grantmaking. 1991. Harold S. Williams, Arthur Y. Webb and William J. Phillips.

<http://www.tricampus.org/publications.htm>

Outcome Funding would be useful to government agencies and foundations interested in changing the focus of their grantmaking from the measurement of outputs (e.g., number of workshops held) to a more investor-oriented vision of outcomes, performance targets and milestones. The book explains the weaknesses of the current proposal-driven system and the strengths of the outcome alternative. It also indicates how to define performance targets, outcomes, and milestones, verify accomplishments, and document lessons learned.

The Five-S Framework for Site Conservation: A Practitioner's Handbook for Site Conservation Planning and Measuring Conservation Success. 2000. The Nature Conservancy. (Available in English and Spanish.)

http://www.consci.org/scp/download_the_handbook.htm

The Nature Conservancy initially developed the planning approach presented here for its “bioreserve” initiative, and called it the “Five S’s”: systems, stresses, sources, strategies, and success. This is an excellent handbook for conservation planning and monitoring and evaluation. It is especially appropriate for mid-level conservation practitioners and managers. It is designed to serve as a stand-alone document — with brief explanations, fill-in-the-blank charts, and directions for determining conservation targets, analyzing threats, planning conservation strategies, and measuring success. An analogous set of charts and instructions for completing these planning steps manually is provided in the appendices.

The Balanced Scorecard: Measures That Drive Performance. Robert Kaplan and David Norton. Harvard Business Review, January 1, 1992.

http://harvardbusinessonline.hbsp.harvard.edu/b01/en/hbr/hbr_home.jhtml

Although written for the business community, this approach is relevant to many other fields. The balanced scorecard methodology builds on some key concepts of previous management ideas such as Total Quality Management (TQM), including customer-defined quality, continuous improvement, employee empowerment, and – primarily – measurement-based management and feedback. The scorecard includes financial measures that reveal the results of actions already taken, as well as three sets of operational measures that show customer satisfaction, internal processes, and the organization's ability to learn and improve. Creating a balanced scorecard requires translating an organization’s strategy and mission statement into specific goals and measures. Managers then track those measures as they work toward their goals.

Framework for Program Evaluation in Public Health. 1999. Centers for Disease Control. <ftp://ftp.cdc.gov/pub/Publications/mmwr/rr/rr4811.pdf>

This is a very good, general document about developing and applying a framework for evaluation. It is framed within a public health context, but it could be applied to many fields. The framework guides public health professionals in their use of program evaluation. It is a practical, nonprescriptive tool, designed to summarize and organize essential elements of program evaluation. The framework comprises steps in program evaluation practice and standards for effective program evaluation.

Results-Based Management in the Canadian International Development Agency (CIDA): An Introductory Guide to the Concepts and Principles. 1999. CIDA.

http://www.acdi-cida.gc.ca/cida_ind.nsf/c05a8621fd763c158525667a00587307/107ca132da4be685852567d1004c995d?OpenDocument#4

This introductory guide has been produced to support the consistent interpretation of Results-Based Management Policy and its implementation across CIDA's geographic and partnership programs. It is one among many management tools that have been developed to support CIDA and its partners in using RBM throughout the program/project life cycle. Although this is technically an internal CIDA document, there is a lot of useful information on results-based management and performance measurement.

Toolkit: A User's Guide to Evaluation for National Service Programs.

AmeriCorps. <http://www.projectstar.org/star/Library/toolkit.html>

This is a good handbook, written to help AmeriCorps staff and volunteers evaluate their social service programs (many of which are education programs). It is written in simple, straightforward language, offers many useful tools and examples, and includes many graphics and “tip” boxes to make the information attractive and accessible. The appendices include helpful information about writing objectives, preparing an evaluation plan, developing monitoring instruments, data collection, data analysis, and reporting.

Specific Tools**Introduction to the Logframe Analysis. 2000. UNDP-GEF.**

www.undp.org/gef/m&e/logframe.doc

This manual provides a very useful introduction to the logframe approach (LFA), for the design of international development projects. Although it was written as a complement to workshops for Global Environment Facility (GEF) project personnel, it could be useful to other people interested in learning about LFA. At the request of the GEF Council, since July 1997, the Logical Framework (logframe) Approach has been adopted by all GEF projects, as a participatory and flexible approach for the design of development projects.

GTZ. 1997. ZOPP: Objectives-Oriented Project Planning.

http://www.gtz.de/pcm/download/english/zopp_e.pdf

This guide provides a very good overview of the ZOPP (ZielOrientierte ProjektPlanung) methodology, introduced by the German aid agency, Gesellschaft fur Technische Zusammenarbeit (GTZ) in 1983. ZOPP is an adaptation of the logframe analysis that contains additional steps, including participatory analysis, problem analysis and objectives analysis. The methodology is applied in a participatory way, with GTZ staff, partner organizations and target groups. ZOPP is used extensively by organizations planning international development projects and it could be applied as a tool for planning of other community-based projects.

Articles, Analysis, and Examples

(Publications marked with a “*” indicate references that are particularly useful to trustees.)

Adaptive Management: A Tool for Conservation Practitioners. 2001. Nick Salafsky, Richard Margoluis, and Kent Redford. Biodiversity Support Program.

www.FOOnline.org

This is a clear introduction to adaptive management, drawing upon examples from various countries. The authors' interest in writing this guide grew out of a desire to help bring some conceptual clarity to the concept of adaptive management and to determine ways in which it can be harnessed and used more effectively by conservation practitioners.

***Measuring What Matters in Nonprofits. John Sawhill and David Williamson. 2001. The McKinsey Quarterly, Number 2. <http://www.mckinseyquarterly.com/home.asp>**

Most nonprofit groups track their performance by metrics such as dollars raised, membership growth, number of visitors, people served, and overhead costs. These metrics are important, but they don't measure the real success of an organization in achieving its mission. Every nonprofit organization, no matter what its mission or scope, needs metrics to measure three performance areas: success in mobilizing its resources, staff effectiveness on the job, and progress in fulfilling its mission. This article provides a framework for thinking about and measuring these three performance areas. (Review provided by McKinsey and Co.)

Saving Nature's Legacy. 1994. Reed Noss and Allen Cooperrider. Island Press.
<http://www.islandpress.org>

Written by two leading conservation biologists, this book provides explicit guidelines on:

- inventorying biodiversity
- selecting areas for protection
- designing regional and continental reserve networks
- managing forest, rangeland, and aquatic ecosystems
- establishing monitoring programs
- setting priorities

Chapter 9 is the most relevant chapter for conservation monitoring and evaluation. In this chapter on biophysical monitoring, the authors discuss adaptive management for biodiversity conservation, linking management and monitoring within a research framework.

Performance Monitoring Tips. 1996. U.S. Agency for International Development.
<http://www.dec.org/evals.cfm#1>

USAID's Center for Development Information and Evaluation has a series of performance monitoring tips accessible through the above web site. Various topics are covered, including selecting performance indicators, preparing a performance monitoring plan, and guidelines for indicator and data quality. These "tips" sheets provide clear, succinct summaries of the subject at hand.

Acknowledgements

The Foundations of Success team would like to thank the CGBD membership for its time and patience while we conducted this review. Not only did the vast majority of members respond to the e-mail survey, but they also provided extensive, in-depth responses to our many questions. We would like to thank in particular those CGBD members who took extra time to answer our follow-up questions via phone and personal visits. Special thanks to Ann Krumboltz (Brainerd Foundation), Robert Perry (Dodge Foundation), Jack Vanderryn (Moriah Fund), Leslie Harroun (Oak Foundation), Diane Thompson, Mike Dahl, and Josh Reichert (Pew Charitable Trusts), Melissa Dann (Wallace Global Fund), and Paul Beaudet (Wilburforce Foundation) who subjected themselves to extensive interviews for the case materials found in this report. Finally we extend a special thanks to the CGBD M&E Review management team including Jeanne Sedgwick, Peter Howell, Bernd Cordes, and Lynn Lohr. The management team not only provided us with exceptional guidance during the review but also made this project very enjoyable.

Appendix: Strategies Supported by CGBD Members

The values in these tables represent frequencies of response – the number of CGBD member organizations that are engaged in the relevant strategy. Members were asked to list as many strategies as they used.

Protection and Management

Protected Areas	26
Protected and Managed Species	11
Managed Landscapes	15
Species and Habitat Restoration	19
Ex-Situ Protection	2
Other	1

Others Specified

- Open Space Conservation

Law and Policy

Legislation and Treaties	18
Compliance and Watchdog	23
Litigation	23
Enforcement	23
Policy Development and Reform	31
Other	2

Others Specified

- Advocacy (Two foundations)

Changing Incentives

Conservation Enterprises	15
Conservation Payments	6
Using Market Pressure	25
Non-Monetary Values	8
Economic Alternatives	9
Other	4

Others Specified

- Tax shifting
- Increasing transparency, e.g., encouraging corporate environmental reporting, requiring environmental and social impact assessments of multilateral lending
- Private land conservation (primarily conservation easements)
- Sustainable business development

Education and Awareness

Formal Education	12
Non-Formal/Informal Education	24
Moral Confrontation	7
Communications	28
Other	3

Others Specified

- Grassroots organizing campaigns
- Targeted media campaigns
- Awareness is just around climate change

Brown Issues

Pollution Mitigation	11
Global Climate Change Mitigation	8
Other	1

Others Specified

- Environmental Health

General Issues

Capacity Building	30
General Support to Operations	24
Research	18
Other	1

Others Specified

- Coalitions & network building