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APPLIED POLITICAL ECONOMY ANALYSIS

September 20, 2017

Beyond the Hammer

- When the usual solutions aren't working
  - Asks "Why?"
  - Helps identify solutions better fit to the context

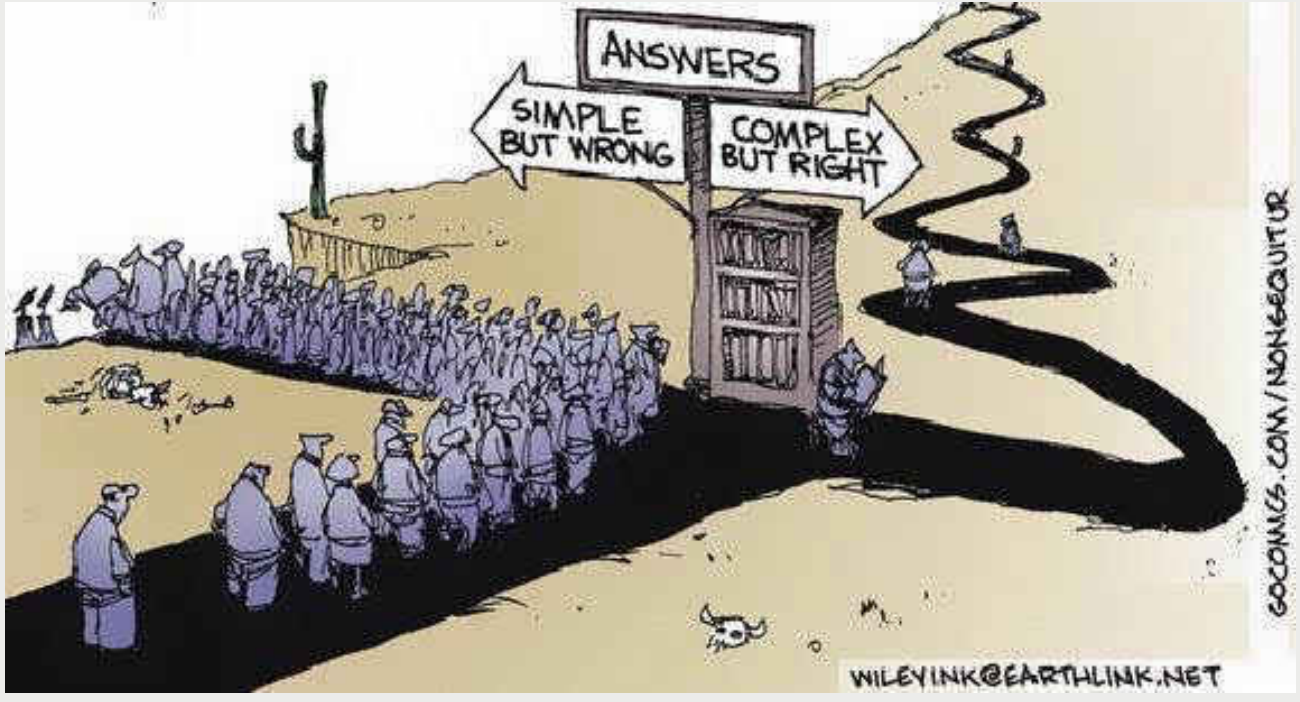
USAID's APPLIED PEA Framework

Level of Focus: Country, Sector, or Problem/Issue Level

Purpose Identified	PEA Objective and Scope
Foundational Factors	Geography, History, Society, Economy, Politics
Rules of the Game	Formal Rules, Informal Norms and Institutions
Here and Now	Impact of Current Events
Dynamics	Observed or Potential Change in any of the Above

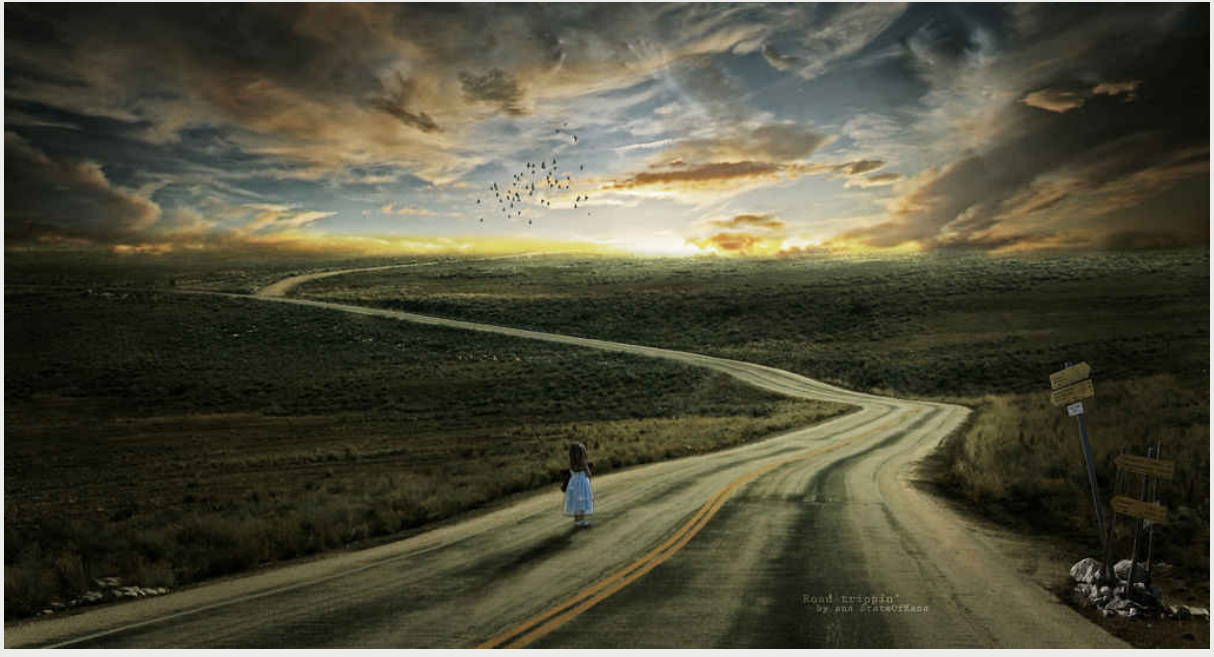
RECENT APPLIED PEAs

USING PEA FINDINGS TO SUPPORT PROGRAMMING



But how do you take the longer road the right way?

- Formal literature reviews are worth the time
- Getting the team on the same page in country
- Nightly team synthesis and strategy
- Mission's need to be involved



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PUTTING PEA IN A BIODIVERSITY CONTEXT: USAID'S BIODIVERSITY POLICY AND BIODIVERITY PROGRAMMING TOOLS

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E3 FORESTRY AND BIODIVERSITY OFFICE (FAB)

PHOTO CREDIT: FAB

Presentation Overview

- USAID's Biodiversity Policy
- Biodiversity Programming Tools
- How PEA fits in
- Example from Uganda

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The Biodiversity Policy

Vision: To conserve biodiversity for sustainable, resilient development

Goals: 1) conserve biodiversity in priority places, and 2) integrate biodiversity as an essential component of human development

USAID Biodiversity Code

- The program must have an **explicit biodiversity objective**
- Activities must be identified based on an **analysis of drivers and threats** to biodiversity and a corresponding theory of change
- Site-based programs must have the intent to positively impact biodiversity in **biologically significant areas**
- The program must **monitor indicators associated with a stated theory of change** for biodiversity conservation results

Biodiversity Programming Tools

MEASURING IMPACT (MI)

Environmental Incentives

FOUNDATIONS OF SUCCESS

ICF INTERNATIONAL

And

The OPEN STANDARDS for the PRACTICE of CONSERVATION

Tools

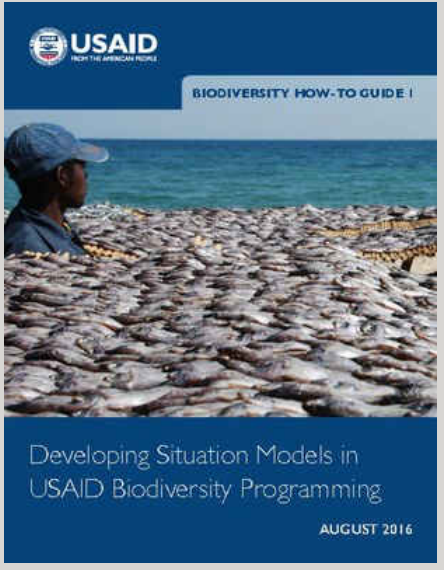
- Situation models
- Results chains to depict theories of change
- Outcomes and indicators for monitoring, evaluation and learning

https://rmportal.net/biodiversityconservation-gateway

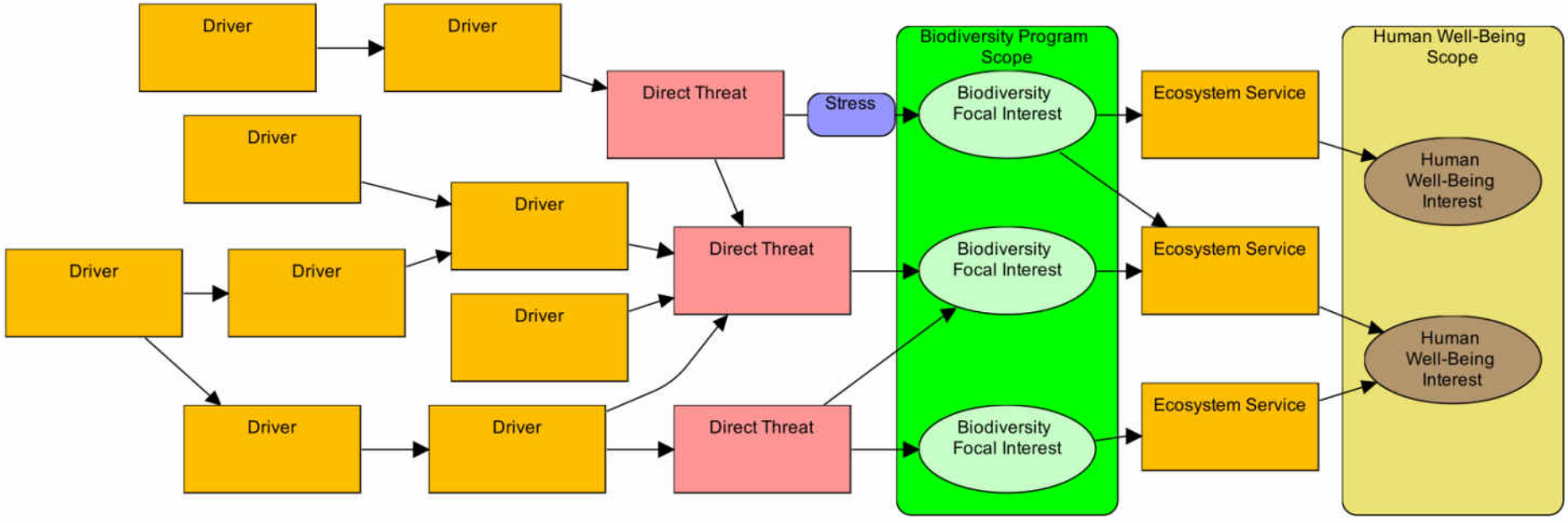
What is a a Situation Model and Context/Problem Analysis?

A situation model is a diagram that portrays the context or problem analysis.

A context or problem analysis is an assessment of the major forces (direct threats, drivers, opportunities) that are influencing biodiversity and the causal relationships among those forces.



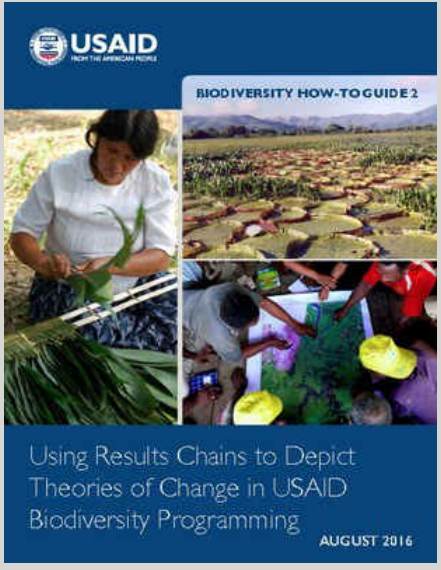
Situation Model

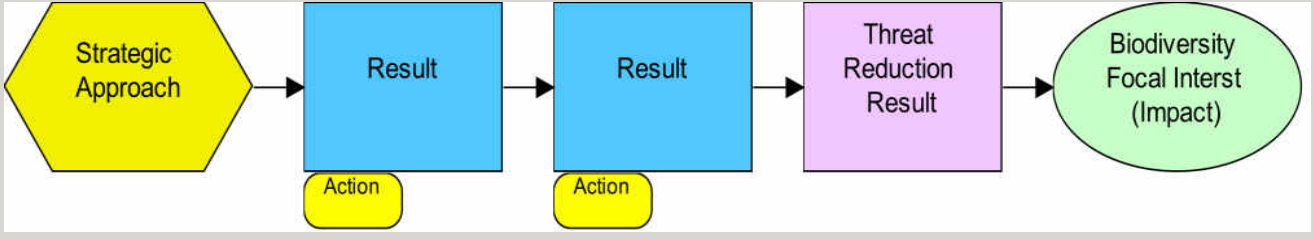


What is a Results Chain and Theory of Change?

A results chain is a box-and-arrow diagrammatic representation of a theory of change.

A theory of change is a description of the assumed causal relationships among a strategic approach and multiple levels of expected results. It can be presented in text or diagrammatic form or both.





Biodiversity Programming Tools

Situation Models

- Organize and document thinking
- Identify assessments needed
- Make causal relationships explicit
- Communication tool
- Identify potential strategic approaches
- Assist program adaptive management

Results Chains

- Prioritize strategic approaches
- Focus on results, not actions
- Articulate the theory of change
- Document assumptions
- Define the expected results
- Help test theories of change

PEA Can Help To:

- Understand power dynamics and political drivers of threats
- Identify promising strategic approaches
- Identify key reformers
- Test, clarify and minimize assumptions
- Identify why actions are not leading to intended results
- Foster adaptive management
- Foster interdisciplinary approach

Uganda PEA

- Used in the pre-design stage
- Used problem analysis to identify PEA questions
- Used the PEA to refine the situation model
- PEA will also feed into selecting strategic approaches and theory of change development

Takeaways:

- Situation model can help articulate clear questions for the PEA
  - *PEA team appreciated having a situation model as a reference for context*
- Kick-started a discussion on how PEA and design tools can be optimally used together for enhanced programming

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THANK YOU!

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Political Economy Analysis and Biodiversity Conservation

Guidance for strengthening programming in the context of extractive industries

USAID's Applied PEA Framework

- What is working well locally and why?
- Who are the local actors who can drive change forward?
- How are incentives and motivations shaping the behavior of local actors?
- What change processes can drive collective action toward more productive development outcomes?

Why Case Studies on Extractives?

- Extractives present a challenge for biodiversity
- Revenues on par with or exceeding development aid
- Compete with ecotourism, local livelihoods, long term food security, and ecosystem services
- Easy for target for rent seeking behavior

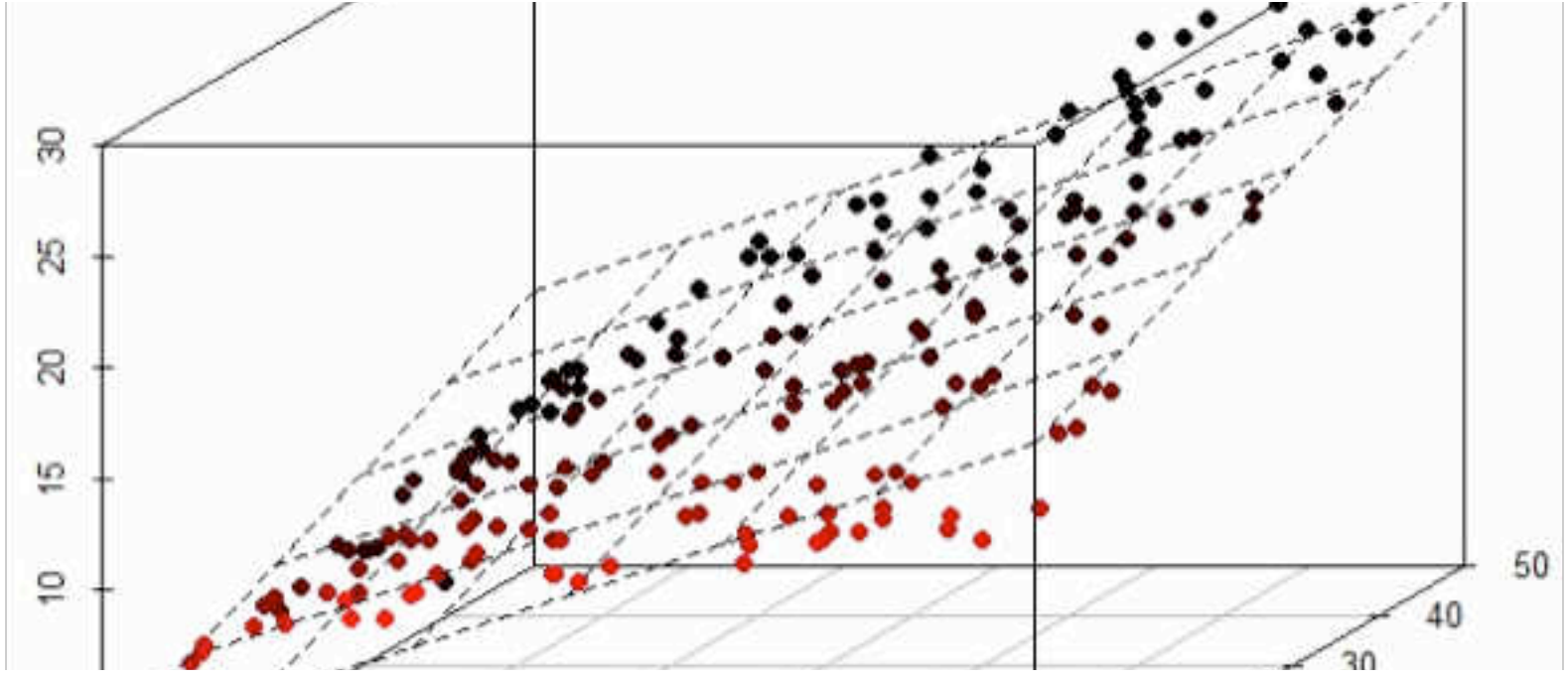
Biodiversity and Extractives

- Resource extraction is linked to both direct and indirect biodiversity threats:
  - ❑ Wildlife trafficking and bush meat trade
  - ❑ Resource depletion (Forest loss, collapse of fisheries, habitat destruction)
  - ❑ Violent land dispossession; conflicts over resources and customary rights
  - ❑ Corruption and criminal syndicates related to power and capital accumulation

How is PEA Useful for conservation planning

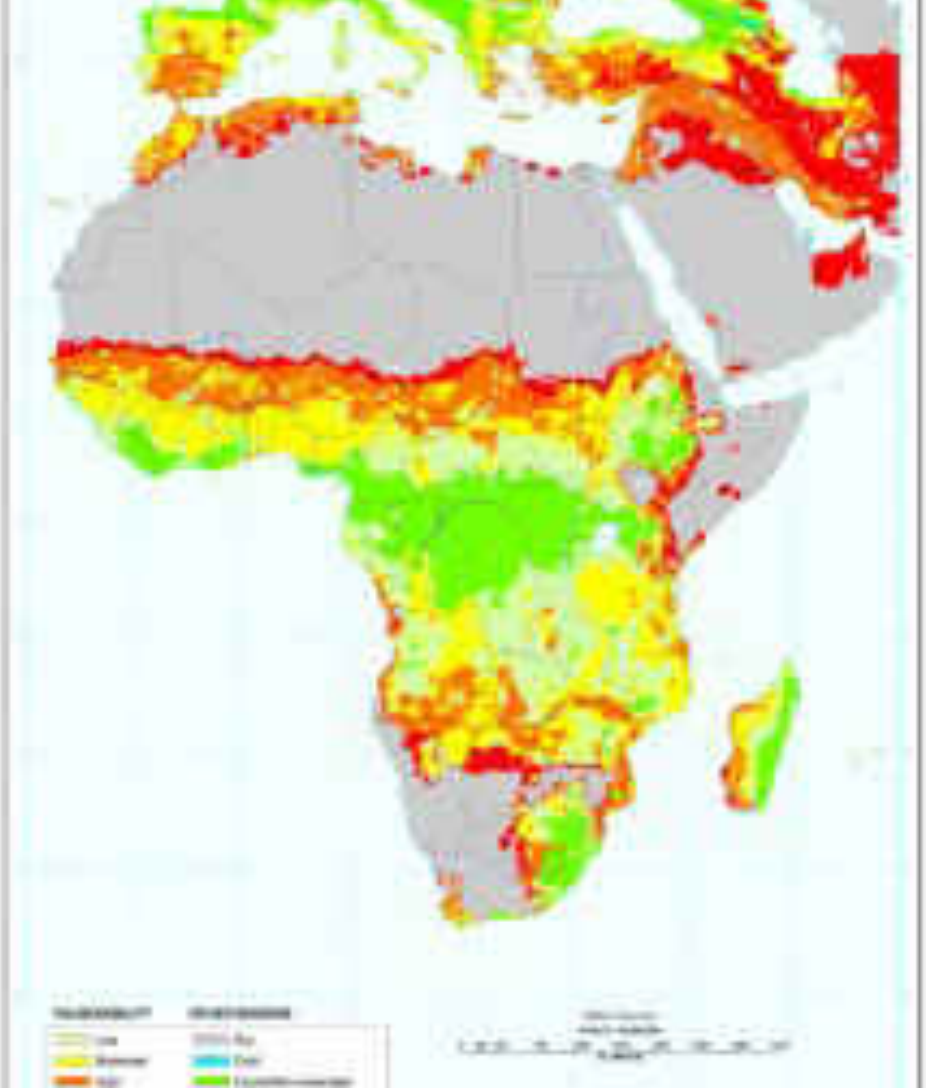
- Who owns what?
- Who does what?
- Who gets what?
- What do they do with it?

PEA promotes a 3-D threats analysis model to improve biodiversity programming outcomes.



Three PEA Case Studies on Biodiversity and Extractives in Africa

- Oil Development in Uganda
- Fishing in Madagascar
- Artisanal Gold Mining in the Democratic Republic of the Congo



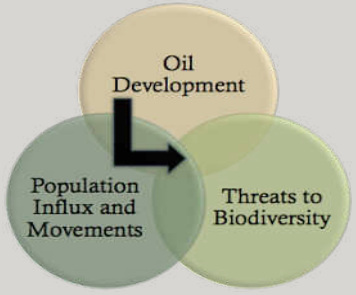
Oil Development in Uganda

Caveat: Impacts are not always so visible

Oil Development in Lake Albert Region of Uganda

Parks and Protected Areas with Significant Biodiversity

Uganda's Lake Albert: Case Study Focal Area



PEA Findings Uganda Case Study

- Prospective values of land led to new titling practices empowering local elites
- Local governments lack resources and accountability to control it
- Parallel governance structures created to facilitate rent seeking
- Land use planning and titling practices will lead to further land displacements in the oil production phase unless addressed.

Uganda PEA Recommendations

- Shift the power balance to favor local communities and local governments
- Improve data collection through support of government technical capacity
- Support coalitions already active in land use planning.
- Work through existing programs on tenure literacy.
- Engage CSOs in strengthening livelihoods and scaling up opportunities.

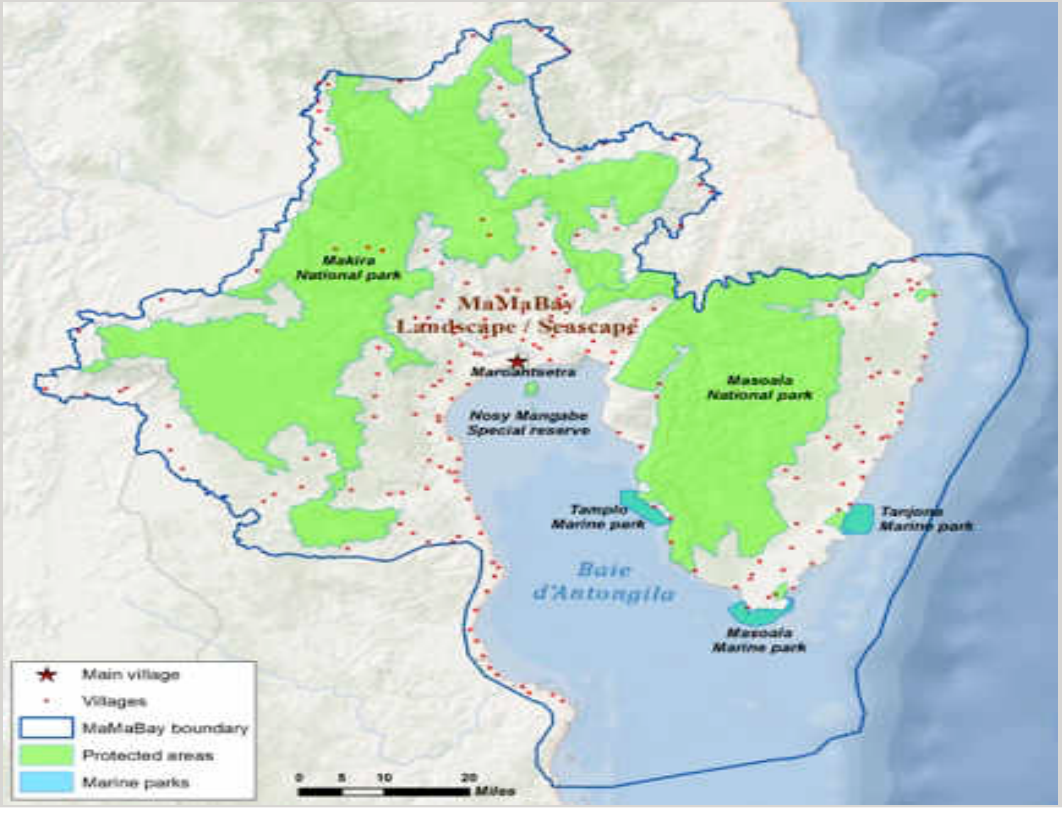
Madagascar Fisheries and Marine Biodiversity

Marine Biodiversity and Fisheries in Madagascar

- Overfishing and IUU fishing has led to decline of fisheries: implications for marine biodiversity and food security
- A national network of Locally Managed Marine Areas (LMMAs) called MIHARI has been working since 2012 to address these threats
- In 2014, President pledged to triple Marine Protected Areas with explicit recognition of LMMAs and MIHARI
- Institute of Marine Science and Marine Biodiversity NGOs working with private sector to support local livelihoods in some parts of the country
- High levels of political instability, corruption, poverty, and malnutrition

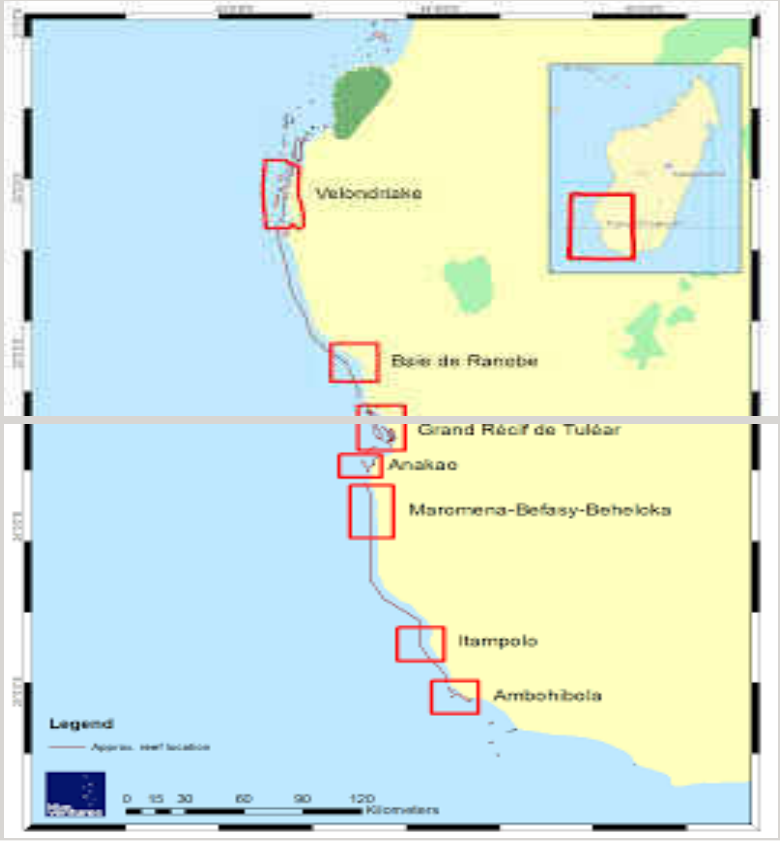
Madagascar Research Sites

Northeast: Bay of Antongil--MaMaBay



Research Sites (cont.)

Southwest around Tuléar



Madagascar PEA Findings

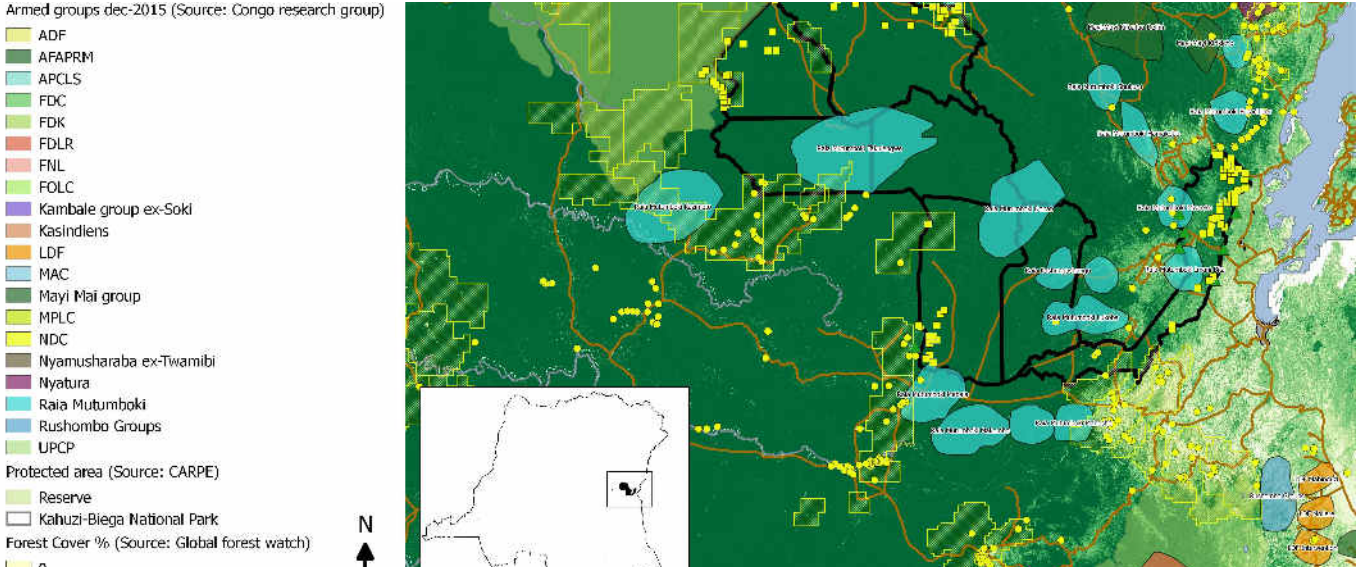
- Formal management arrangements for LMMAs bolster effectiveness but internal LMMA functions needs support.
- USAID's ability to address IUU fishing, malnutrition, and food security at the national level is limited but it can address them locally.
- Scaling up alternative (non-fishing) livelihoods is critical.
- Conflicts between traditional and commercial fishers need to be addressed.
- Private sector role key in addressing criminality and patronage networks related to trafficking and IUU fishing.

Madagascar PEA Findings and Recommendations

- *Dina*, or customary law plays a central role in LMMAs but need to strengthen local institutions through the MIHARI Network.
- LMMAs limited capacity to enforce rules on outsiders, particularly powerful ones (political elite, armed bandits)—conflicts have livelihood and food security implications
- Power inequalities between traditional and commercial fishers difficult to resolve.
- Building conflict resolution capacity goes hand-in-hand with enforcement capacity
- Specific attention to livelihoods is needed

Artisanal Gold Mining in Kahuzi-Biéga National Park, Eastern DRC

Armed Groups Active in Kahuzi-Biéga National Park



CARPE Landscape provides a network of protected areas and community reserves offering a broader range to wildlife

PEA findings & recommendations for DRC

- Demobilization and security measures to address long standing grievances
- Tax harmonization could reduce incentives for illicit mineral exports
- International and national strategies to address conflict minerals need to include wildlife and environmental protections
- Broad-based coalition building is needed to bridge the gap between National Park and civil society groups

➢ These problems go beyond the scope of conservation programming.

PEA recommendations for DRC Case study

- Broad-based coalitions to work with researchers to determine legitimate grievances and specific local solutions.
- CARPE should create a space for the GDRC and stakeholders to reimagine the park in ways that can better protect gorillas and support communities.
- New community reserves can enhance local ownership of resources.
- Continued support for mining certification processes and increased support for the enforcement capacity of anti-fraud units, international measures, etc to reduce smuggling
- Design long-term power and economic growth programs to address livelihoods outside the park and alternative protein sources.

What have we learned?

- ❑ USAID's PEA framework provides a structure for understanding indirect but credible threats to biodiversity—for example, resources conflicts.
- ❑ PEA helps place specific resource governance challenges into context
- ❑ PEA can identify new allies or coalitions by thinking about a problem differently.
- ❑ PEA can highlight opportunities for improving transparency, accountability, tax and policy reform initiatives that ordinarily lie outside the scope of biodiversity programming

Thank you!