

Annex 3. Project Results Framework

Description	Description of Indicator	Baseline Level	Target Level at end of project	Level at 30 June 2014 (as per PIR)	MTR Rating and Comment
Objective: Strengthen the overall effectiveness and sustainability of Mozambique's Protected Area System, including financial sustainability, through working partnerships between public, private, NGO and community stakeholders	1. Financial sustainability scorecard for national system of protected areas	21%	Greater than 45%	<p>Approaching the target.</p> <p>35%</p> <p>The Financial Scorecard was applied. There is a general change to the baseline, but some of the objective of the project should be achieved.</p> <p>In particular: Legal, regulatory and institutional frameworks are in a good level;</p> <p>The level of Business planning and tools for cost-effective management is poor. The level could increase as the financial and strategic instruments (strategic plan, business plan, etc, actually in progress) will be finalized, adopted and applied by PA Agency.</p> <p>The score of 'Tools for revenue generation by PA system' can be also increase as the financial and strategic instruments will be finalized, adopted and applied by PAs Agency.</p> <p>This will be scrutinised by the MTR.</p>	<p>Rating – MS</p> <p>The statement that this indicator is 'approaching the target' is somewhat misleading.</p> <p>While the Financial Scorecard has been updated, several items of information remain missing, in particular information on the ANAC financial investment in PAs, and the overall funding available for the PA system.</p> <p>The only project-related activity that has been achieved was the appointment in September 2014 of a consultant to develop a financial plan. It is expected that this consultancy will update the Financial Scorecard based on complete information.</p> <p>The responsibility for developing the ANAC Strategic Plan has been transferred to a USAID funded project.</p> <p>Business plans might be supported by two studies commissioned to undertake ecological and socio-economic studies of Pomene and Marromue.</p>
	2. Capacity development indicator score for protected area system	Systemic: 46% Institutional: 46% Individual: 35%	Systemic: 60% Institutional: 55% Individual: 50%	<p>Approaching the target.</p> <p>Systemic: 48% Institutional: 48% Individual: 37%</p>	<p>Rating – MU</p> <p>The statement 'approaching the target' is misleading. The scorecard is unfortunately very subjective and its results difficult to verify. What is evident is that the project funding available for capacity building has been sourced only once, for</p>

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				<p>There are not significant changes to the baseline. For systemic and Institutional level, the activities in progress could improve the scores. For the individual one, the critical situation in Gorongosa actually does not permit to develop the activities useful to improve the indicators levels.</p>	<p>a very superficial training course. Training funded by sources outside of the project might have been a contributing factor to the slightly improved score (46% to 48%).</p>
	3. Total budget (including operational, HR and capital budget) (US\$ per annum) for protected area management	US\$14.9 million (as at 2008/9)	US\$18.9 million	<p>Apparently off track to meet the target, but more analysis of numbers and comparability is needed; the number in 2014 obtained from ANAC is 6 times smaller than target and 5 times smaller than baseline (could methodology have been different?).</p> <p>USD 3,063,160.72 (USD 3 million) The data is being collected by PA's Agency.</p>	<p>Rating - MU Financial information thus far available is extremely unreliable and incomplete. This situation should be remedied through the recently appointed consultancy to prepare a financial plan for ANAC. At this point meaningful data are not available.</p>
	4. Number of protected areas in which the METT is adopted as a tool to monitor effectiveness of PA management	0	More than 10	<p>Approaching the target, but no change since last.</p> <p>Same as indicated in the last reporting period, because in the last year no further protected areas adopted the METT</p>	<p>Rating - MS At MTR it has not been possible to obtain complete METT scorecards for any PA. The METT for Gorongosa prepared 30 April 2014 but incomplete. Section I needs names of reviewers, section II needs details on staffing, section III needs rating of threats, section III needs detail terrestrial v marine area of PAs, and on donor and concession income and on financing needs.</p>
1) Sustainability of the Protected Area System institutionalized	5. Financial plan for system of protected areas adopted by government	No	Yes	<p>Initial progress towards the target, but yet modest and late.</p> <p>Consultancy contract signed between MITUR and Verde Azul Consult Lda, the company that will prepare the Financial Plan for system of protected areas. The kick-off meeting was held on 27/06/2014. Verde Azul has delivered work plan and Inception Report.</p>	<p>Rating - MS Azul Verde has appointed a consultant to prepare the Financial Plan. This is the same consultant who prepared the PPG report on 'Assessment of data on both sides of the financial equation for Mozambique's Conservation Areas.' A detailed knowledge of the financial system in ANAC will assist the process and it might be anticipated that good progress will be made by project close.</p>

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					In the report to the Project Board of 1 December 2014, Verde Azul indicated that only GNP had resources above \$250 per km2, deemed basic to effective management.
	6. Achievement (%) of performance targets detailed in the PA agency's Annual Performance Plan	No plan	60%	Approaching the target 20% Activities ongoing, expected that with the consultancies done and working instruments in place, PA agency's will improve their performance targets achievement	Rating – MU The statement in the PIR that this activity is 'approaching the target' is difficult to support. It was not possible to access any performance plans for any PA, nor was such information cited in the PIR.
	7. Number of protected areas with business plans that enable the sourcing of adequate funds for the implementation of PA management plan	3	8	Half way towards the target 3 PAs Parque Nacional do Limpopo, Reserva Especial de Maputo, Parque Nacional das Quirimbas. We could here add Gorongosa National Park, making it 4. Contract signed with an Individual Consultant that will be in charge to develop socio-economic and ecologic studies for Pomene and Marromeu Reserves, that will be used for the their business and management plans.	Rating – MU The assessment of 'half way towards the target' is inaccurate. A copy of the PN Limpopo Business Plan was available – this was for the period 2004-2008. An update was not seen. The only project-funded investment made on business plans has been the contract for the studies on Pomene and Marromue as background information for management plans. These will provide some general information on these two PAs, but such results will be very peripheral to the development of proper Business Plans. There is no evidence that capacity exists or has been created within ANAC itself to prepare and implement Business Plans.
	8. Ratio of human resource to operational costs in PA agency	PA agency still to be established	60 : 40 (human resource: operating costs)	Approaching the target, but not sure what the indicator is trying to prove. Total Costs: 1.8 US\$ Costs for human resources: 0.9 US\$	Rating – MU According to the Statutes of ANAC, the Establishment (personnel structure - Quadro) should have been published by August 2014. This has not been done --- Attempts to obtain current statistics on this indicator have been unsuccessful. However, the Verde Azul

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				Operating costs: 0.9 US\$ Ratio - 50:50	consultancy should provide the first reliable baseline on this item.
	9. Number of protected area staff completing in-house specialized financial management training and skills development programmes	0	Specialized: 5 General: 40	Making incipient progress towards the target. Specialized: 1 General: 2	Rating MU Very poor progress has been made in this key element of the project. A single training course held in 2014 was of a very general nature, very short and with no monitoring of impact.
	10. Recruitment of staff to approved posts in the organogram of new PA agency (% of posts with staff appointed)	0	75%	Making incipient progress towards the target. 29% The new PA agency should recruit 73 staff members Actually staff members already redeployed from other public administration offices are 21	Rating – MS A new Director General has been appointed. Some posts have been advertised – 2 at the level of director and 4 at head of department.
	11. % of audit queries adequately resolved by PA agency	N/A	More than 80%	Not possible to report progress at this stage. Same as last year level, no audit exercise carried out during the last year. We expect to be able to inform on this indicator in the next year, after the adoption and the first phase of application of the financial and strategic instrument for PA's Agency	Rating – MU A copy of the MITUR audit for 2013 has not been received for the MTR.
2) Co-management models in demonstration sites	12. Number of native tree species planted on the Gorongosa Mountain slopes	15000	80000	Cannot inform the indicator. 722,000 In the last months, progress on this component was hindered by the security situation in Gorongosa area	Rating – MS The numbers of seeds collected and number of seedlings and saplings produced is difficult to assess due to the wide differences in statistics reported. However, despite the security difficulties on the mountain, the nurseries visited during MTR indicate a very high success rate and health of the plants, adequate to meet reforestation programmes once they resume.

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	13. Total area (as a % of the original extent) of evergreen forest on Gorongosa Mountain (above 700m) deforested	36%	more than 36%	<p>Cannot inform the indicator.</p> <p>Due to security concerns, it has not been possible to access the Mountain or to overfly it during the last months. However, following some local reports, it would seem that many cultivators have left the Mountain. Forest loss for the period covered by this report was apparently minimal.</p>	<p>Rating – MS</p> <p>New satellite imagery purchased by the project (Ikonos and GeoEye) will allow much finer resolution of grassland, miombo and rain forest systems and permit a better baseline for future monitoring. Research by science team providing good interpretation of situation.</p>
	14. Number of agriculture clearings (more than 1ha in extent) in the Gorongosa Mountain (above 700m)	8504	less than 100	<p>Cannot inform the indicator.</p> <p>Due to security concerns, it has not been possible to access the Mountain or to overfly it during the last months. However, following some local reports, it would seem that many cultivators have left the Mountain, especially in the higher reaches. Forest loss for the period covered by this report was apparently minimal. This means that there has been very little clearing for agriculture within the forest.</p>	<p>Rating MS</p> <p>Recent satellite image analysis by GRP indicate that 2540 ha or 6,7% of the area above 700 m has been cultivated.</p>
	15. Cost of enforcement and compliance in the proposed GNP expansion area (USD/km2/year)	185	less than 100	<p>Not possible to inform this indicator.</p> <p>In order to produce the data as required, a complex cost and expenditure analysis exercise would be required. As currently recorded for GRP, it may not be possible to separate the specific cost of for the expansion area, unless by analysing trends before and after the expansion. This cannot be done this year.</p>	<p>Rating MU</p> <p>Unless reliable baselines and the monitoring of these can be measured, the indicator will be of little value to the project.</p>
	16. Number of community-based rangers employed by GNP	15	30	<p>Approaching the target.</p> <p>20</p> <p>GRP have 20 community-based law enforcement personnel employed solely for the Mount Gorongosa reforestation project, the team is down from the original number of 24. These personnel</p>	<p>Rating MS</p> <p>This rating can change once the situation allows.</p>

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				were additional members employed to increase the efforts on the mountain. However, it is important to note that they are supported by the Gorongosa law enforcement division	
	17. Number of wild fires (larger than 1 km ²) in the Gorongosa Mountain (above 700m)	63	20	<p>Not possible to inform indicator yet.</p> <p>During 2014, a start was made with analyzing the NASA FIRMS fire data. In a first phase this analysis is being done for the historical part of the Park. A fire history for the period 2000 to 2012 is being reconstructed.</p> <p>Following this analysis for the historical Park, a fire history will be constructed for the Mountain. It will be important to distinguish between those fires that occurred within the rainforest complex (which would indicate burning of clearings for agricultural purposes and which would thus be seen as very detrimental) and those fires that occurred in the open grasslands and woodlands. The latter have generally only a low negative impact and are actually necessary to maintain the vigor of the grass layer which in turn is important to control soil erosion.</p>	<p>Rating MS</p> <p>A good start to researching and monitoring the fire regime in the GNP and Serra da Gorongosa has been made.</p>
	18. Average monthly household income of the Canda, Sandjungira and Tambara communities (US\$)	16-75	75-150	<p>No updates to the indicator.</p> <p>Household surveys were not carried out due to limited access to the area as a result of the security situation.</p>	<p>Rating MU</p> <p>Until the situation permits, this indicator is impossible to measure and monitor.</p>
	19. Number of employed community members in reforestation activities and tourism ventures	59	220	<p>Approaching the target.</p> <p>75 (of which 51 are forestry workers and 24 are rangers)</p> <p>The number of personnel has changed slightly in the past couple of months. The forestry program currently employs a total of 71 people. This is</p>	<p>Rating MS</p> <p>A good start has been made and the community is receptive to the opportunities offered. Dependent on security situation.</p>

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				made up of 42 conservation personnel that are responsible for all aspects of reforestation, that include seed collection, pot preparation, sowing of seeds, care of seedlings, transplanting of seedlings and general silviculture. These personnel are supported by 4 trained technicians and a manager. The total number has dropped from 51 to 47.	
	20. Management Effectiveness Tracking Tool scorecard: Gorongosa National Park	65%	More than 72%	Very close to achieving the target. 70%	Rating S Although a completed METT was available to the MTR, the evidence in the field was clear that for GNP, effective management is being achieved.
3) Business planning and revenue generation	21. Capitalization of BIOFUND by donors/funders (US\$ committed)	US\$5.6m	US\$20m	<p>Approaching the target.</p> <p>BIOFUND engaged with various donors and initiatives, so far with USD\$ 430 000 received, USD\$ 13 500 000 approved, USD\$ 5 000 000 promised and USD\$ 12 200 000 possible) detailed below:</p> <p>RECEIVED USD\$ 430 000 received for operational support to BIOFUND (from KfW, AFD and USAID) for specific operational activities, consultancies and travel</p> <p>APPROVED US\$13.5m corresponding to EUR10m positively appraised (to be disbursed as US\$10m for endowment; USD\$2.15m hybrid and USD\$1.35m sinking) in July 2014 (pending government financial agreements to be disbursed) by the German Development Bank/ Kreditanstalt für Wiederaufbau (KfW)</p> <p>PROMISED</p>	Rating – HS By date of MTR report submission, endowment funds of US\$17 had been formalized through agreements signed between the Mozambique government and KfW, World Bank and Conservation International. Biofund is furthermore well established with a sound professional management team and governance system.

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				<p>Ongoing pre appraisal negotiations with World Bank (MOZBIO) for IDA (USD\$1.8m sinking) and GEF (USD\$3.2m endowment) funding</p> <p>POSSIBLE Ongoing discussions with FFEM / WCS \ Forest Trends for a four country project (Madagascar, Uganda, Guine Bissau and Mozambique) and support to BIOFUND of about USD\$5m for sinking funds on biodiversity offsets start up activities Other possible funds (USD\$1m CI-GCF; USD\$1m WWF and USD\$1.15m AFD for endowments as well as USD\$4m AFD for sinking funds) still being discussed</p>	
	22. Annual revenues generated from protected areas user fees (including concession income) (US\$)	<p>US\$1,680,992</p> <p>Of this amount, only 64% is however retained for re-investment in protected areas (20% is returned to the provincial state budget and 16% distributed to local communities)</p>	<p>more than \$2.5m</p> <p>No annual adjustment for CPI</p>	<p>Approaching the target.</p> <p>US\$ 1,352,022</p>	<p>Rating MU</p> <p>The statement that the income is approaching the target is a little premature. First, no detailed study of the current mechanisms for revenue generation has been initiated, and second, no proposals for adapted fee structures have been made.</p> <p>The activities under this sub-component have been transferred to the consultancy commissioned under sub-component 1.1</p>
	23. Average annual revenue generated for protected areas from biodiversity offsets and carbon sequestration (US\$)	US\$0	More than US\$100,000	<p>Cannot yet inform indicator.</p> <p>No changes to the baseline. Project proposal on Blue Forests with approved budget of 425,000 USD for 4 years, 2014 - 2017. With Blue forest project baseline information will be collected for carbon sequestration and many other objectives and activities.</p>	<p>Rating MS</p> <p>This sub-component is still a 'work in progress' and might not reach its target before end of project. However, the initial conceptual and advocacy work conducted in this activity has been essential for longer-term progress in the field of carbon trading.</p>

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				USD\$ 100 000 approved from USAID for specific activities, consultancies and travel on biodiversity offsets	The technical work in assessing the carbon stocks of the Zambezi delta mangroves has been of high quality and has served well to train Mozambican researchers in ecosystem services assessment, through collaboration with USA scientists.
	24. Annual average value of grants from BIOFUND to protected areas for operational and capital development costs	US\$0	US\$500,000	Cannot yet inform indicator. No changes to the baseline. BIOFUND is still in the capitalization phase. Revenues from endowment capitalization estimated to be available 1 year after the first endowment capitalization	Rating S With the recent capitalization of US\$17 m, the funds available for distribution to conservation projects from the Biofund might reach the target of \$500 000 before project end. However, such funds typically take a decade from concept to fund distribution.