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**External Review of the World Resources Institute (WRI) –
*Looking Back, Looking Forward: the current Strategic Plan (2008-
2012), building on a 30 year legacy, and the next Strategic Plan.***

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March 30, 2012

Submitted to:

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Finally, thanks to Glenn Conrad, President of Philanthropy Support Services, Inc. (PSS) for his important, mostly behind-the-scenes, support and assistance.

Acronyms

ACODE	Advocates Coalition for Development and Environment (Uganda)
ADB	Asian Development Bank
AfDB	African Development Bank
ARI	Africa Regreening Initiative
AU	African Union
BINGO	Big International NGOs (eg WWF, CI, CARE, Oxfam)
BRAC	Bangladesh Rural Advancement Committee
BRT	Bus rapid transit system
CEIP	Carnegie Endowment for International Peace
CGD	Center for Global Development
CII	Confederation of Indian Industry
CSIS	Center for Strategic and International Studies
DRC	Democratic Republic of Congo
EIA	Environmental Impact Assessment
ERT	External Review Team
FLEGT	Forest Law Enforcement, Governance and Trade
FOIA	Freedom of Information Act
FORMA	Forest Monitoring for Action (CGD)
FY	Fiscal Year
GFW	Global Forest Watch
ICTSD	International Centre for Trade and Sustainable Development
IDB	Inter-American Development Bank

IDS	Institute for Development Studies, University of Sussex
IFC	International Finance Corporation
IIED	International Institute for Environment and Development
IISD	International Institute for Sustainable Development
IMF	International Monetary Fund
IUCN	International Union for the Conservation of Nature
LEAT	Lawyers' Environmental Action Team (Tanzania)
LIFE	Legal Initiative for Forest and Environment (India)
MDB	Multilateral Development Bank
NDRC	National Development and Reform Commission (China)
NGO	Nongovernmental Organization
NWP	Nature, Wealth and Power
P10	Principle 10 of the Rio Declaration (1992 Earth Summit)
REDD	Reducing Emissions from Deforestation and Forest Degradation
RHUDO	Regional Housing and Urban Development Office (USAID)
RRI	Rights and Resources Initiative
RTI	Right to Information (India's version of FOIA)
TEI	Thailand Environment Institute
TERI	The Energy and Resources Institute
WBCSD	World Business Council for Sustainable Development
WRI	World Resources Institute

WRI Acronyms

AOR	Annual Objective Review
BOP	Base of the Pyramid (initially Bottom of the Pyramid)
CEP	Climate and Energy Program
EMBARQ	The WRI Center for Sustainable Transport
EPE	Equity, Poverty and Environment Program
FLO	Forest Landscapes Objective
GHG/GHGP	Greenhouse Gas Protocol
GS	Goal Steward
IFFE	International Financial Flows and the Environment
IGP	Institutions and Governance Program
IRB	Internal Review Board
IRT	India Resources Trust
MD	Managing Director
MEA	Millennium Ecosystem Assessment
MESI	Mainstreaming Ecosystem Services Initiative
MESO	Mainstreaming Ecosystem Services Objective
MFR	Managing for Results
MVA	Mission, Values, Approach (In-Service Training for new staff)
NV	New Ventures
OTL	Objective Team Leader (also called Objective Director)
PD	Program Director
PEP	People and Ecosystems Program
PM	Project Manager
POTICO	Sustainable Palm Oil on Low Carbon Degraded Land in Indonesia (originally: Palm Oil Timber and Carbon Offsets)
TAI	The Access Initiative
TFAP	Tropical Forestry Action Plan
V&A	Vulnerability and Adaptation
VPER	Vice President for External Relations
VPSR	Vice President for Science and Research

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EXECUTIVE SUMMARY

In a little over two months from now, on June 3, 2012, WRI will celebrate its 30th birthday. Throughout these 30 years the three members of the External Review Team have been contributors to and users of WRI work. We are convinced that there is much to celebrate. WRI has built a solid reputation as an excellent source of policy research and analysis produced in ways that influence practical outcomes. The Institute has grown from a small, tightly knit and relatively narrowly focused group in the early 1980s to an Institute with a staff of over 300 working on a broad range of environment and development issues with a budget of some \$45+ million in 2011.

The External Review Team contacted a wide range of individuals and institutions knowledgeable about WRI and its work. When asked what two or three words best described WRI the responses were uniformly positive. The words solid, credible and objective were used regularly along with thorough, effective, independent and respected.

In our view, WRI has built up a staff of excellent, highly motivated and highly diverse specialists unparalleled elsewhere in the world. This assessment is independently confirmed by the annual ranking of Global Think Tanks by the Think Tanks and Civil Societies Program at the University of Pennsylvania. WRI has been ranked #1 in the Environment Think Tank category for many of the years since the rankings were started in 2007. In 2011 WRI slipped to #2 behind the Pew Center on Global Climate Change. This is still a very impressive ranking and we expect to see WRI back at #1 in the near future.

WRI's engagement with business stands as one of the most important and far-reaching innovations during the current Strategic Plan period. Key elements have included a strong business presence on the Board, the establishment of the Corporate Consultative Group (CCG) and links with the World Business Council for Sustainable Development (WBCSD), the International Finance Corporation (IFC) and other groups that seek to improve corporate environmental and social performance. This has already changed the way WRI both views the world and operates and it has paid handsome dividends in fundraising with major corporate grants for the EMBARQ program as well as for the newly-launched Low Carbon cities work in China, India and Brazil. This development deserves to be both highlighted and moved to the next level in the next Strategic Plan.

The other important and far-reaching innovation is WRI's move to establish an in-country presence in China, India and Brazil. This represents a pivoting of WRI's view of itself and its place in the world that will have profound, transformative effects on the institution. Some of these effects are already visible. The China office is up and running, new programs have been launched and relationships developed. The MOU signed in January, 2012 with the National Development and Reform Commission (NDRC) is both an impressive accomplishment and a solid foundation for work across a broad spectrum of program areas.¹ The slow and steady approach taken in India demonstrates WRI's sensitivity to local conditions, concerns and rhythms. We expect this will pay handsome dividends over the long term. The key to maximizing WRI's future impact will lie in getting the relations between these different parts of WRI to

¹ For a list of program areas covered by the MOU, see footnote #11

work seamlessly together. It will be important that the “whole is worth more than the sum of these parts” and that WRI evolves into an institution with a truly global perspective on the issues it is working on.

Morale at WRI is generally high. The staff we met with appear to genuinely enjoy being at WRI. They look forward to coming to work, enjoy a work environment that while very busy and sometimes stressful has them leaving at the end of day feeling that they are working on important issues that can make a difference. International staff commented on the unusually “flat” organization structure, on offices all being the same size, and on the fact that ego was not the issue that it had been in many of the previous organizations in which they had worked.

This Executive Summary and the Report that follows it are a bit unusual in three respects:

1. The Executive Summary does not attempt to synthesize the findings and recommendations of the External Review. For Key Findings and Recommendations the reader is directed to:

- ❖ For the Institutional Assessment: Section I.E p.78
- ❖ For the Program Review: Section II.A, p.94

To help readers navigate through the Institutional Assessment section, a list of the topics covered and their location has been included on page 79.

2. In its Report, the External Review Team may have erred on the side of what some may view as too much information and too many Findings and Recommendations. We have done this because this is first broad Institutional Assessment of WRI in its 30 year history. There has been much to explore, much to discover, much to think about and much to report. In our view we owe it WRI, to interested European and other donors, to the recently selected third President of WRI, and to the External Review Team that will follow us three years from now in 2015, to put down on paper as much as we can to document where things stand in 2012 and to pass along our thoughts on where WRI c/should be heading on this next phase of its journey.
3. We are not, repeat not, suggesting that WRI needs to respond to or otherwise address each of the Findings and Recommendations in Section I.E. Although WRI has recently gone through a major growth spurt in its funding, staffing and programs and is in the process of an exciting expansion into China, India and Brazil; our bottom-line message is that the Institute needs to stay focused. WRI’s comparative advantage is not in dispersed programs working on many different things. It is in relatively small programs focused on up-stream analytics of high-priority, high-potential-impact emerging global issues supported by field testing and influence strategies that move WRI results into the hands of others to implement at scale. The Findings and Recommendations are intended to stimulate thought and reflection on these and a range of other issues ahead of the elaboration of the next Strategic Plan.

Organization of the Report

The Report is organized in two parts: an Institutional Assessment and Program Reviews. The Institutional Assessment is divided into three sections: Looking Back (which reviews and assesses implementation of WRI's current Strategic Plan), Looking Forward (which provides ideas and suggestions about WRI's next Strategic Plan), and a section reporting on the Views of WRI's European Donors that we have placed between the other two sections because it includes material that both looks back and looks forward.

There is a series of Annexes. The most important are Program Reviews of four WRI programs (the Forestry Landscape Objective (FLO), the Mainstreaming Ecosystem Services Initiative (MESI), The Access Initiative (TAI) and the Equity, Poverty and Environment (EPE) program) and a Note on Evaluation Methodology (Annex E). The main Findings and Recommendations of the four Program Reviews (in Annexes A, B and C) have been included in Section II of the Report for those who may not have either the time or the interest to go through the additional details.

I. INSTITUTIONAL ASSESSMENT

A. FRAMING THE ASSESSMENT

The External Review has been guided by three overarching objectives:

1. To assess WRI's performance in relation to the implementation of the Strategic Plan 2008-2012. This takes into account the impact of WRI's work around the world and assesses the effectiveness and efficiency of WRI's internal organizational systems;
2. To inform and improve future planning and strategies. The review has considered: (i) the continued relevance of the 2008-2012 Strategic Plan to the Institute's work and strategies, and (ii) main lessons learned from past successes and failures. It also suggests emerging issues that WRI's might address in the future and areas of improvement for increased effectiveness and impact;
3. To address WRI's relevance and value to the goals of SIDA and other bilateral donor partners. The review has considered the extent to which WRI's work aligns with the mandates and missions of the partners and address whether WRI provides value toward reaching those goals.

Flowing from these objectives, the Review includes the following elements:

- a) An assessment of progress implementing the Strategic Plan;
- b) An assessment of the fitness for purpose, strengths/weaknesses and effectiveness of internal systems and processes to support analytical excellence and achievement of results, including internal monitoring and evaluation, and results systems;
- c) A consideration of the of strengths/weaknesses of WRI's partnerships;
- d) A consideration of the sustainability of WRI's operating model, given the wide context in which the organization operates and the establishment of WRI presence in emerging economies;
- e) A summary of key lessons learned from the implementation of the Strategic Plan 2008-2012 and recommendations for priority-setting in the next Strategic Plan period; and
- f) An assessment of the extent to which WRI's work is aligned with and has contributed to the strategic priorities of SIDA and other main bilateral donor agencies, including the poverty relevance of WRI's work, considering the strong focus on emerging economies (China, India, Brazil, etc.).

B. LOOKING BACK: THE CURRENT STRATEGIC PLAN 2008-2012

1. Institutional overview

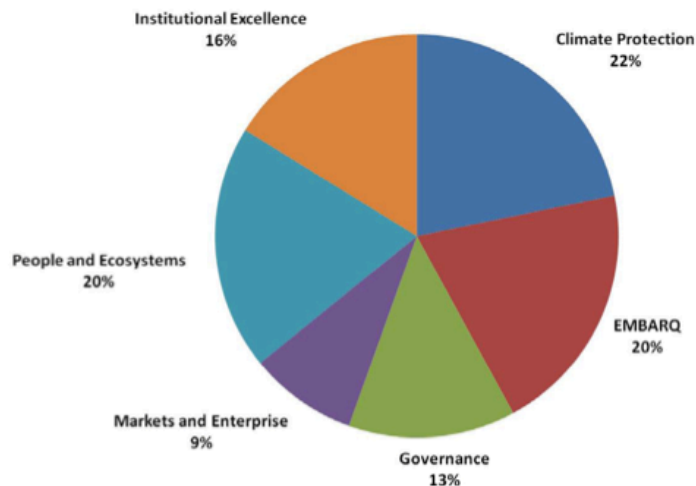
In a little over two months from now, on June 3, 2012, WRI will celebrate its 30th birthday. Throughout these years the three members of the External Review Team

(ERT) have been contributors to and users of WRI work. There is much to celebrate. WRI has built a solid reputation as an excellent producer of policy research and analysis produced in ways that influence practical outcomes. The Institute has grown from a small, tightly knit and relatively narrowly focused group in the early 1980s to an Institute with a staff of over 300 working on a broad range of environment and development issues with a budget of some \$40+ million in 2011.

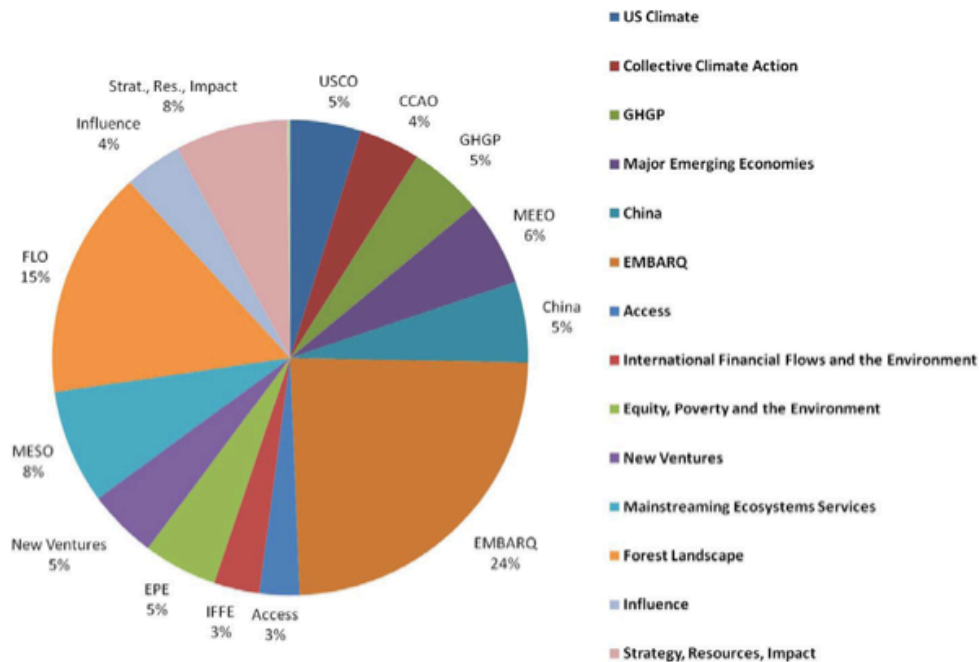
WRI has a rich history that includes a string of remarkable accomplishments. In its early years WRI was known for a few high profile products: the Tropical Forestry Action Plan (TFAP) launched in 1985, Global Forest Watch (GFW) initiated in the 1990s and most notably the Millennium Ecosystem Assessment (MEA) carried out over several years at the turn of the century. The Greenhouse Gas Protocol, initiated by WRI and the World Business Council for Sustainable Development (WBCSD) at a meeting with 50+ companies in 2001 is another important example. WRI is also known for ground breaking environmental economics work in the 1980s and 1990s (Repetto) and for valuable contributions to debates on property rights and decentralization (Ribot). These outcomes, and some of the lessons that can be learned from them, are discussed later in this Report in the context of building on a 30 year legacy to develop the WRI's next Strategic Plan.

WRI is currently organized around four programs: Climate and Energy (sometimes referred to as Climate, Energy and Transport due to the fact that EMBARQ, the WRI Center for Sustainable Transport, was incubated in and continues to be part of this program), Institutions and Governance, Markets and Enterprise, and People and Ecosystems. The relative importance of the four programs in budget terms and a further breakdown by major projects (called Objectives in WRI's internal parlance) is shown below:

Program Budgets 2012 (100% = 46 M USD)



Objective Budgets 2012



2

The External Review Team (ERT) contacted a wide range of individuals and institutions knowledgeable about WRI and its work. When asked what two or three words best described WRI the responses were uniformly positive. The words solid, credible and objective were used regularly along with thorough, effective, independent and respected.

In our view, WRI has built up a staff of excellent, highly motivated and highly diverse specialists unparalleled elsewhere in the world. This assessment is independently confirmed by the annual ranking of Global Think Tanks by the Think Tanks and Civil Societies Program at the University of Pennsylvania.³ WRI has been ranked #1 in the Environment Think Tank category for many of the years since the rankings were started in 2007. In 2011 WRI slipped to #2 behind the Pew Center on Global Climate Change.⁴ This is still a very impressive ranking and we expect to see WRI back at #1 in the near future.

It was also confirmed by a Study of the Comparative Advantages of WRI, IIED, ICTSD and IISD conducted for DANIDA in 2010. This study concluded that WRI had developed a management for results systems and was focused and highly professional in terms of planning and monitoring activities and that Danish funds would be utilized most effectively with WRI.⁵

² WRI Program Book 2011-2012, p.233

³ <http://www.fpri.org/research/thinktanks/>

⁴ <http://www.fpri.org/research/thinktanks/GlobalGoToThinkTanks2011.pdf>

⁵ Merete W. Pedersen (Ministry of Foreign Affairs), Hans Hessel-Anderson and Helene B. Jordans (consultants). August 2010. Study of the Comparative Advantages of WRI, IIED,

2. Implementation of the Strategic Plan

The Strategic Plan is comprehensive and credible and is based upon a thoughtful assessment of global mega-trends. Interesting and insightful sections on the multipolarity of power and the multiplicity of voices set the groundwork for the single most important new direction charted by the Plan: the establishment of an in-country presence in China, India and Brazil.

It is unusual that the Plan itself gives little attention to the comparative advantage of WRI.⁶ The Plan also gives considerable space to tactical issues such as communications, staff retention and Board engagement.

WRI has made impressive strides over the last four years in implementing this ambitious Strategic Plan. The Sections that follow provide an assessment of progress on the elements of Section 3 (Program Goals and Objectives), Section 4 (How WRI Gets There) and a series of other key elements contributing to Strategic Plan implementation.

a. Section 3: Program Goals and Objectives⁷

WRI has made important progress on meeting the goals and objectives set out in the Strategic Plan. As is to be expected, some objectives and "target outcomes likely before 2012" have been met, some are on track to be met, still others have faced challenges and delays, and a few have either failed or been dropped. WRI's internal review procedures have been effectively used to track progress and make adjustments when necessary. In one case a broad program (ENVEST) was "sunsetting" in favor of a new and more focused program (Aqueduct). In another case (FLO) WRI hit the "restart" button and is designing a new forestry program.⁸ In several cases (MESI and EPE) WRI hit the "refresh" button and is in the process of adjusting the strategies, goals and objectives of existing programs.

The program that has been struggling the most is, not surprisingly, the US climate work. WRI has invested an enormous amount of effort working on getting the US to enact mandatory policies that will significantly reduce domestic greenhouse gas

ICTSD and IISD. August 2010. PEMconsult for the Danish Ministry of Foreign Affairs, Environment, Energy and Climate Department. p.11 and 19.

⁶ In response to this observation, WRI shared with the ERT a comparative analysis that had been prepared in 2007 as part of the development of the Strategic Plan. Liz Cook and Andrew Aulisi. 2007. World Resources Institute Strategic Planning Process: Comparative Analysis. 13p. We will comment on this interesting piece of work in our discussion on WRI's niche and comparative advantage(s) in Section D.4

⁷ WRI prepared a very useful document for ERT review: *2008-2012 WRI Strategic Plan Programmatic Assessment: Did we achieve what we set out to do?* March 15, 2012. 23p. In retrospect, this would have been enormously useful two months earlier at the start of the Review. This is a key lesson on the importance of self-assessment in general and for the next External Review scheduled for 2015.

⁸ WRI has noted that the forestry program was scheduled to be completed in 2010 and that they are now formulating its "next phase". While this is true, it is also the case a)that the forestry program was without a full-time leader for several years, and b)that with the hiring of several senior staff WRI has an excellent opportunity to develop a new strategy and programs that will put it back on the cutting edge of forestry work.

emissions. Legislation passed the House in 2009 but not the Senate. There is no chance of this work moving forward with the current Congress. WRI has shifted gears and is now focusing on a) maximizing the reductions that can be achieved using existing federal and state policies, and b) working with state utilities and regional groupings of utilities to move this agenda forward.

**Stakeholder Feedback #1
Which one or two words best describe WRI and what it does?**

Solid
Credible
Objective
Development policy analysis
Policy engagement
Analytical Excellence
Policy Influence
Think Tank
Independent Policy research
Knowledge generator
Dynamic
Cognitive
Professional
Strategic
Structured
Relevant
Independence
Ideas
Policy Analysis
Climate Advocacy
Effective
Focused
Inclusive.
Effective
Thorough
Good partner
Balanced
Thorough
Thought leaders
Respected
Communication
Environmental policy analysis
Strategic analysis
Information dissemination
Focused Think tank

WRI is to be commended for the open and transparent way in which it presents its work, successes as well as failures. This bears testament to the WRI core value of integrity.

The EMBARQ program emerges from the self-assessment as a star. EMBARQ has far exceeded its objective of helping at least 10 cities in the developing world create sustainable transportation systems. It has influenced more than 50 cities through a mix of advising and convening.

Readers interested in additional details on specific programs can contact WRI to obtain a copy of self-assessment.

Returning to EMBARQ for a minute, the scale of its achievements is captured in a segment of the Director's Letter in the 2009-2010 Annual Report:

*"The billionth passenger quietly boarded an EMBARQ project this year. People breathed less pollution, accessed better opportunities, lived longer and healthier, saved money and time, and produced less greenhouse gases. Cities were better places to live."*⁹

There are very few programs in any development-related organization that can credibly claim to have improved the lives of one billion people.

b. Section 4: How WRI Gets There

1. Focus on China, India, Brazil

Establishing an in-country presence in China, India and Brazil is a central element of the Strategic Plan. It is grounded in the "View of the World" presented in Section II of the Plan and is the most important new initiative to be undertaken by WRI during the Plan period. It represents a pivoting of WRI's view of itself

⁹ EMBARQ 2009-10 Annual Report, p.3

and its place in the world that will have a profound transformative effect on the institution. Some of these effects are already visible and will be discussed later in this report.

The current state of play:

The WRI office in China has been established and is up and running with 13 fulltime staff and a program budget of \$2.1 million.¹⁰ Each of WRI's programs has work underway in China. Two developments that happened to take place during the launch of the External Review in January demonstrate about how far WRI has already come with its China program:

- the Director of the China Office Zou Ji was recruited back into the Chinese government to take up a senior position in the National Development & Reform Commission (NDRC). This speaks to the quality of WRI staff and their access to the highest levels of the Chinese government
- the WRI-NDRC Low Carbon Development Workshop and the signing of an MOU between WRI and NDRC for a new program on low carbon cities that is being supported by the Caterpillar Foundation as well as work in a wide range of other areas.¹¹ Signing on behalf of China was their chief climate negotiator and Director General of NDRC, Su Wei. The presence of China's chief climate negotiator in Washington just weeks after the conclusion of the climate negotiations in Durban, and in Washington not to talk with the US government but to come to WRI to sign an MOU and to participate with his delegation (who were in the US on a WRI-organized study tour) in a Low Carbon Development Workshop, speaks volumes about the WRI-China relationship.



¹⁰ WRI Program Book 2011-2012, p.234

¹¹ see <http://www.wri.org/press/2012/01/release-wri-hosts-chinese-delegation-tour-low-carbon-development>. The project supported by the Caterpillar Foundation, "Building Sustainable and Livable Cities", will also be implemented in India and Brazil. The WRI/NDRC MOU covers work on: Low carbon city development, greenhouse gas accounting, energy efficiency, renewable energy, transport related energy and greenhouse gas management, energy security, adaptation to climate change, the international climate change regime and South-south cooperation in sustainable development.

The India office is in the process of being established. The process has been longer and more complicated than in China. Instead of a WRI-branded office, the work in India is being organized through a new institution, the recently-registered India Resources Trust (IRT). WRI is to be commended for taking a slow and steady approach: talking with other US-based organizations that have established operations in India, soliciting the views of existing partners in India and a wide range of other stakeholders, carefully thinking through the options for organizational structure, and recruiting an excellent group of Trustees to guide the Trust. Part of this process has been the development of an India Business Plan. This Plan, and the China Plan that preceded it, are WRI's first efforts at place-based, country-level coordinated planning across all of the Institute's programs. It is one small but significant example of how the move into China, India and Brazil is not only changing WRI but developing internal best practices that can be adopted by all of WRI's country and regional programs.

WRI has been actively laying the groundwork for an institutional presence in Brazil.

Assessment: WRI has spent an enormous amount of time and energy getting the China and India offices established and operational. The two cases have been very different, with lessons learned from China only partially applicable in India. The China office is up and running, new programs have been launched and relationships developed. The MOU signed in January, 2012 with the National Development and Reform Commission (NDRC) is both an impressive accomplishment and a solid foundation for work across a broad spectrum of program areas. The slow and steady approach taken in India demonstrates WRI's sensitivity to local conditions, concerns and rhythms. We expect this will pay handsome dividends over the long term.

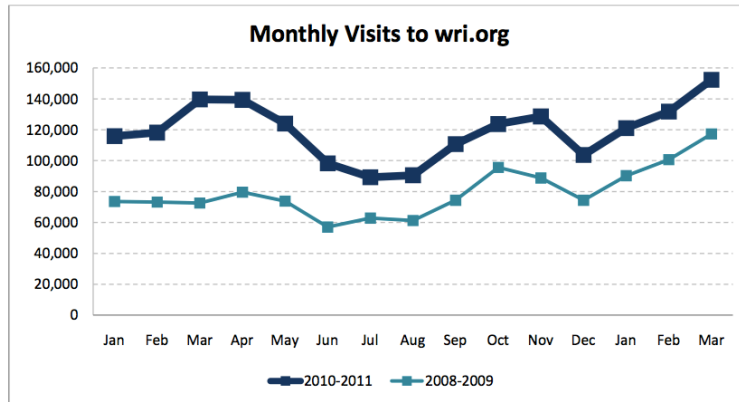
2. Communications

Communications was identified in the Strategic Plan as an area needing urgent attention. The details on what needed to be done, starting with why communications matter, are well spelled out.

The MacArthur Foundation provided funding for a major portion of this communications upgrade across the Institute. It is interesting that the group that funded the establishment of WRI thirty years returned to help it move into the 21st century in the area of communications. WRI has made excellent use of this investment. A few examples:

- **WRI.ORG website and associated project sites**

The WRI.ORG website is attractive, informative and easy to navigate. Web statistics show that it is being well used with trends in the right direction.



Of the project websites, one that particularly caught our eye was the joint WRI/Landesda site <http://www.wri.org/property-rights-africa/>. It is an excellent site: well designed with excellent visuals and thoughtful content.

The screenshot shows a web browser displaying the URL <http://www.wri.org/property-rights-africa/>. The page title is "FOCUS ON LAND IN AFRICA" and the current lesson is "Lesson 1: Women, Inheritance and Islam". The page features a navigation menu, a "START LESSON" button, and a "Lesson Brief" section with links to various articles. The main content area includes an introduction to the lesson and a "Documents & Links" section. The footer contains logos for the Bill & Melinda Gates Foundation, World Resources Institute, and Landesa.

The WEI/Landesda website is unusual in several ways:

- it is a joint website, demonstrating real partnership
- it is funded by the Gates Foundation, a first for WRI
- it is a consciously “educational” website designed around a series of lessons
- it covers social, cultural and political themes that are central to natural resource and broader environmental management but that are not generally found on other WRI project websites which tend to be much more heavily “technical”.
- it is one of the few WRI websites that pays serious attention to gender and indigenous people.¹²

¹² For additional details see Section D.8 below.

Another project website that is making a difference and may point the way towards future efforts is ChinaFAQs.¹³ This site marries WRI's standing in the global climate arena and its reputation for objectivity with its rapidly deepening understanding of climate and energy issues in China to produce the "go to" site for US and other audiences interested in understanding Chinese views on climate change. A key element of the success is the group of 45 Experts from a wide range of institutions who contribute material. This is a good illustration of the convening power of WRI. A senior Indian official has floated the suggestion of an IndiaFAQs website. With appropriate interest and funding the ChinaFAQs model might prove useful in other program areas. The Western media are promoting a stereotype of China's ventures into developing countries which is very negative and ChinaFAQs is valuable in providing a much more balanced view of this sensitive issue.

- **Annual Stories to Watch presentation**

This is an important high-profile annual event held in early January of each year at the National Press Club in Washington.¹⁴ An important innovation in recent years has been to take the presentation on the road. This year presentations have been made in several US cities (Boston, New York) and in Europe (London, Rome). A second important innovation started this year has been an increased emphasis on stories with a global flavor on trends and upcoming events of global significance. This mirrors WRI's phased transformation into a global institution.

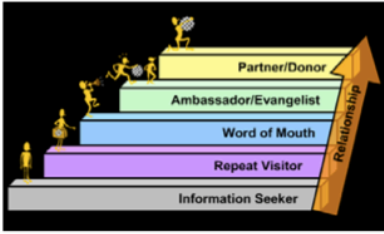


The ERT found a few minor issues on the wri.org and related websites that deserve attention. A note on this has been prepared and will be provided to WRI.

Assessment: There has been very important progress made in upgrading WRI's communications capabilities. One element of this has been technical: updating the website, entering the modern era by starting to proactively use social media, and rethinking publications in the digital age. A second element, arguably much more important than the first, has been what the Strategic Plan referred to as the "Institute-wide transformation" needed to achieve the communications objective of "engagement and impact in a Multipolar World. This has involved working with staff across the Institute to instill an understanding of the need think carefully, strategically, and from the beginning about the communication strategies and influence plans for each and every piece of work that WRI undertakes. An important innovation has been embedding communications staff in the programs (CEP, IGP, MEP and PEP) rather than having them clustered in a central communications unit. While the hoped-for "transformation" is still a work in progress, important steps have been taken that can be built on in the next Strategic Plan.

Elements of one piece of the WRI communications strategy:

¹³ <http://www.chinafaqs.org> China FAQs, The Network for Climate and Energy Information

¹⁴ <http://insights.wri.org/news/2012/01/stories-watch-2012-us-china-food-renewable-energy-rio20>

2008-2009	2010	2011
		
<p>Goal: To move users from one level of engagement to another through relationship building.</p>	<p>The “Ladder” of Online Social Media Engagement – but what about users afraid of heights?</p>	<p>The ripple effect: As we strengthen our online relationships we increase the impact of our work and our brand.</p>

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3. Synergies and cross-program collaboration¹⁶

WRI has a number of institutional mechanisms designed to facilitate synergies and cross-program collaboration including internal program reviews, the presentation of draft strategies at town hall meetings and Institute-wide brownbag lunches. In addition, the Vice-President for Science and Research plays an active role in identifying and promoting synergies in research.

Examples of synergies in practice at the objective level include WRI’s new Institute-wide group developing a new Forest program and the ongoing work across programs to design work under the new Vulnerability and Adaptation objective. Several examples of synergies at the project level are discussed in Annexes A, B and C. An important example not captured in those reviews is the joint work of IFFE, MESI and the GHG Protocol to provide input to the International Finance Corporation’s Performance Standard Review.¹⁷

Country platforms have been established in both China and India. The WRI China office is actively leading many of WRI’s programs and coordinating the inputs of the global or multi-country programs continue to be managed from Washington. The India office currently houses most of the EMBARQ India staff. A New Ventures staff member will be moving soon from Chennai to the Mumbai office. The work of the other programs currently active in India (elements of CEP and IGP/TAI) is all through partners.

¹⁵ WRI/Robin Murphy. April 2011. Technology and Engagement for Impact – Final Report to the John D. and Catherine T. MacArthur Foundation, p. 21 and 30

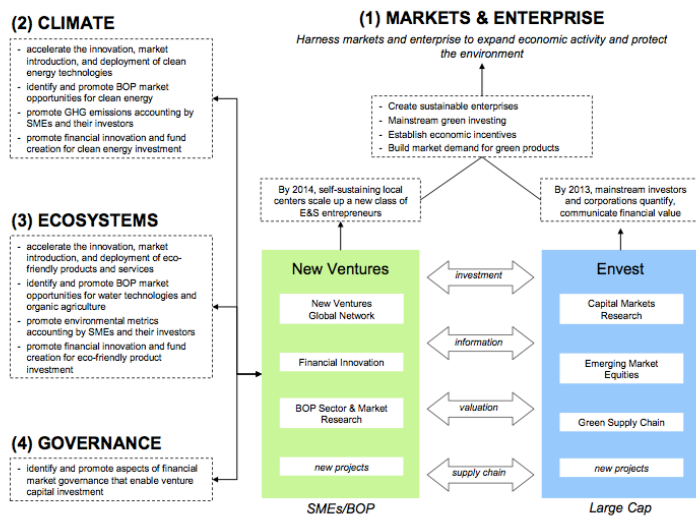
¹⁶ WRI prepared a useful summary on synergies & cross-program collaboration for ERT review. March 15, 2012. 2p. See comment in footnote #5 above.

¹⁷ See <http://www.wri.org/publication/ecosystem-services-review-for-impact-assessment#ifc> including details on the requirements for Performance Standards 1 (Assessment and Management of Environmental and Social risks and Impacts), 4 (Community Health, Safety and Security), 5 (Land Acquisition and Involuntary Resettlement), 6 (Biodiversity Conservation and Sustainable Management of Living Resources), 7 (Indigenous Peoples) and 8 (Cultural Heritage).

The Corporate Consultative Group is a strong example of program synergy with the business community. The CCG has recently launched technical interest groups in forestry and ecosystem services. These are supported by the relevant sections of PEP.

One WRI program that has done a good job of mapping synergies with other programs across the Institute is New Ventures (below). The ERT did not have time to explore the extent to which these potential synergies have been operationalized.

Figure 2: Diagram of synergies between New Ventures and other WRI initiatives and projects



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WRI takes synergy and cross-program collaboration seriously. There are a variety of institutional mechanisms designed to facilitate this. Progress has been made during Strategic Plan period. Significant examples can be cited at both the program (aka objective) and project level. That said, WRI cannot rest on its laurels. Input from staff and our own observations point to the need for even more structured and systematic attention to this issue. Suggestions are presented in Section I.D.6.

WRI's Decision making Funnel does not specify synergy and cross-program collaboration as a factor that is taken into consideration. Moving forward, this should be added.

4. Innovation¹⁹

Innovation is one of WRI's five core values. The value statement for innovation is: *"To lead change for a sustainable world, we must be creative, forward-thinking, entrepreneurial, and adaptive. We are willing to risk failure to achieve substantial impact. We nurture and reward new ideas, and excellence in pursuing them. We reinvigorate our own ideas and approaches through continuous learning."*

¹⁸ WRI Program Book 2011-2012, p.168

¹⁹ WRI prepared a useful summary on innovation for ERT review. March 15, 2012. 4p. See comment in footnote #5 above

WRI strives to push the boundaries on innovation in its work. This is increasingly challenging in the context of belt-tightening and heightened demands for quick and tangible deliverables from WRI's donors. Unrestricted (framework) funding provides more scope for innovation. Bilateral donors, foundations and corporate sponsors all need to be reminded of this.

Four examples of innovation stand out for the ERT:

- Setting up the China and India offices. This has been discussed in Section I above. In order to be successful WRI needed to adapt both its institutional culture and a number of its administrative procedures.
- New communications initiatives. This area has also been discussed above with a number of specific examples. One example not yet mentioned was the Communications Charette in China. For an organization used to operating only in English, it was a significant step in WRI's ongoing transformation into a global organization and its work to develop communications products more directly relevant to the new focus countries and beyond. WRI's Chinese website is fully operational. Other innovations include WRI's active presence in the blogosphere; the use of Twitter, Facebook and other social media outlets; and the recent agreement with Google to serve as the platform for the new Global Forest Watch 2.0 interactive, real-time mapping program.
- Re-inventing the World Resources Report (WRR)
The WRR, written primarily by WRI but published jointly with the World Bank, UNDP and UNEP, has been the iconic WRI publication. The book format has become both less relevant in the digital age and more expensive to produce and ship. Interest in funding book launches in multiple cities has dried up. With the 2010-2011 WRR on Climate Change WRI and its partners have successfully reinvented the World Resources Report. Much of the new WRR is web-based, some of it is printed. Using a combination of traditional research with the new ways, speed and scope of the communication now possible with the internet and social media, the production of the report has become much more inclusive and interactive. More than 100 experts and practitioners from over 30 countries were involved in the most recent WRR. The next WRR, on food and water security, will seek to further innovate with a rolling series of discussion papers and by more actively involving decision makers in the process thereby building buy-in that will hopefully lead to wider adoption of the recommendations of the report.
- At the project level, the work of the International Financial Flows and the Environment (IFFE) project
Originally designed to focus on Multilateral Development Banks (MDBs), IFFE has recently shifted its attention to emerging actors in China and Brazil. Although this work only started in 2011, it has already produced some very interesting and important results.²⁰ The IFFE project has also done important

²⁰ see, for example, Xiaomei Tan and Kirk Herbertson. February 24, 2011. Emerging Actors in Development Finance: Promoting Environmental and Social Sustainability in Foreign Investments. The Changing Global Landscape, Sustainable Finance in China's Foreign Investments and Case Study - China's involvement in Uganda's Oil and Gas Sector. Presentation at the Woodrow Wilson Center. Powerpoint. 23pgs

work on issues ranging from integrating human rights into the World Bank Group to engaging communities in extractive and infrastructure projects to carefully tracking developed country so-called "Fast-Start" climate finance pledges.²¹ Another innovation is IFFE's use of eminent personalities to write Forewords for their publications (eg Mary Robinson and Professor Emil Salim).²²

5. Staffing and human resource management

The staffing issues outlined in the Strategic Plan revolved around two key challenges:

- Staffing up WRI to engage effectively in China, India and Brazil, and
- Identifying and implementing effective strategies for recruiting and retaining the best staff while increasing current retention rates.

Staffing up:

At the beginning of Strategic Plan implementation in 2008 WRI had 160 staff. There are now 225, including the China and India offices. A 40% increase is huge in any organization. Having some of these staff based half way around the world in Beijing, Mumbai and other cities scattered around the globe adds multiple dimensions of complexity. While the HR Unit is clearly stretched, they have done an excellent job dealing with a greatly increased workload.

Improving staff retention:

WRI has set turnover targets of: annual turnover for grades 1-3 is 20% or less; annual turnover for grades 4-6 is 15% or less and for grades 7-10 10% or less. These targets are being met.

WRI takes learning lessons from its departing staff very seriously. Key issues were summarized in the Strategic Plan:

- Fundraising pressures and issues related to funding structure.
- Limited advancement opportunities and junior staff feeling underutilized, especially those with graduate degrees starting at entry level positions.
- Lack of management by staff supervisors.
- Need for somewhat more competitive salaries: Inadequate funds for program staffing, so that people are overburdened with heavy workloads.
- Excessive internal processes and administrative tasks.²³

WRI has taken active measures to address the fundraising pressures by staffing up in the Development Unit and providing management training to staff supervisors.

²¹ Kirk Herbertson, Kim Thompson and Robert Goodland. 2010. A Roadmap for Integrating Human Rights Into the World Bank Group. 50p.

²² Kirk Herbertson, Athena Ballesteros, Robert Goodland and Isabel Munilla. 2009. Breaking Ground: Engaging Communities in Extractive and Infrastructure Projects. 38p. With Foreword by Mary Robinson President, Realizing Rights: The Ethical Globalization Initiative. And Athena Ballesteros, Smita Nakhoda, Jacob Werksman and Kaija Hurlburt. 2010. Power, Responsibility and Accountability: Re-Thinking the Legitimacy of Institutions for Climate Finance. 70p. With Foreword by Jonathan Lash and Professor Emil Salim Chairman, Council of Advisors to the President of Indonesia and Former Minister of Environment and Population, Government of Indonesia.

²³ WRI Strategic Plan p. 23

On the other side of the ledger, exit interviews with departing staff indicate that 98% of them would recommend WRI as a place to work. This is a very impressive number. It speaks volumes about WRI's internal culture and external reputation. This theme will be explored in more depth in a later section on WRIs values and organizational culture.

The current "problem statement:" for human resource management provides both an overview of key challenges and a good example of the candor and thoughtfulness that characterizes much of WRI's internal documentation:

Problem Statement

- As a small organization, career tracks will naturally be limited. So turnover at entry level will be greater than ideal.
- People management has historically had low priority within WRI and hiring has emphasized substantive knowledge /experience, fundraising potential over project and people management skills.
- Staff are so busy that most everyone has an overflowing plate
- HR staff does not have international HR experience and knowledge of country specific employment laws and are learning on the job.
- 12 hours time difference and cultural and language differences make clear communication difficult²⁴

The HR Unit has managed the staffing-up well. Meetings with a group of international staff in Washington and with the WRI/IRT India staff in Mumbai lead us to the view that WRI continues to be very successful in attracting bright, talented and highly motivated staff. The international staff in Washington were effusive in their gratitude to the HR Unit for going out of its way to help each of them, and their families, navigate their moves to Washington.

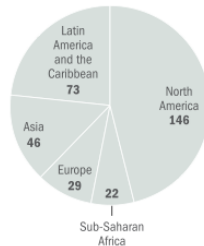
WRIs staff is rapidly becoming more diverse and international.²⁵ The following graphic from the 2010 Annual Report provides a snapshot of where things stood a year ago.

²⁴ WRI Program Book 2011-2012 Annex p.764

²⁵ One issue that deserves some thought: The ERT had the HR office prepare a list of the languages spoken by WRI staff. It is an impressive list: 33 languages ranging from Amharic to Uzbek. In this rapidly globalizing setting the number of senior staff fluent in languages beyond English is lower than we might have expected. WRI can work on this by including foreign language fluency a selection criteria for these positions moving forward.

An International Staff

The people who work at WRI not only have a deep understanding of the issues, but also an understanding of the political and cultural contexts that shape how decisions are made and how to engage effectively in the countries in which we work and partner. Our staff today stands at 316 in the U.S. and abroad. This pie chart shows our diverse nationalities.



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Three interesting staffing innovations used by WRI have been donor-funded positions, secondments and joint appointments. A SIDA-funded position was established at WRI fifteen years ago. The Swede hired for the position switched to WRI funding after 3 years and is still there. More recently there have been secondments from the USEPA, from the Dutch aid program and from DANIDA. Agreement has recently been reached on a two-way secondment: WRI is working with the Dutch to get a secondee and have provided them with the resumes of 2 WRI staff interested in working in Kenya or another developing country where the Dutch have offices. One member of the WRI staff has appointments both at WRI and at IISD in Canada. These mechanisms serve to strengthen relationships with key donors and important partners.

6. The Board

The Strategic Plan sets out a number of ways in which the Board can support implementation of the Plan.

Board Composition: The work to expand international representation continues. Excellent progress has been made in establishing a senior level Advisory Committee for WRI/China and in setting up the governance structure for the India Resources Trust (IRT)²⁷. Work remains to be done on getting African voices onto the Board. We would also suggest serious consideration be given to representation from indigenous communities.

Elaboration of Country Strategies: The Board worked proactively with WRI leadership and staff to develop the country strategies and business plans for China and India. This work has moved WRI's country-focused and country-based

²⁶ WRI. *Think Solutions*. WRI Annual Report 2010. p.3

²⁷ The work of WRI Board member Jamshyd Godrej deserves special mention. In addition to his role on the WRI Board Mr. Godrej is one of the three Trustees of the India Resources Trust. He has also provided substantial direct personal support for the setting up of the WRI office in Mumbai.

programming to a new level that should have ripple effects throughout the entire program portfolio.

Strategic Communications: The Board has been very supportive of the Institute-wide renewal that has taken place during the Strategic Plan period.

Development: The Board has played a key role in opening doors that have led to successful fundraising. Examples include the major funding for EMBARQ from several sources and the recent support from the Caterpillar Foundation to support work on low-carbon urban development in China, India and Brazil which is one element of the path breaking MOU between WRI and the National Development and Reform Commission (NDRC) of China.

Staffing: The Board has been actively involved in both recruiting and mentoring staff. A subcommittee of the Board has been working intensively over several months to identify and select the next President of WRI. This decision is likely to be the most important decision the Board has taken in the last five years.

3. Other key elements contributing to Strategic Plan implementation

a. WRI's Values and Organizational Culture

Values

WRI is a values-driven organization. WRI's Mission, which has remained unchanged since it was founded almost 30 years ago, is values based: *"To move human society to live in ways that protect Earth's environment and its capacity to provide for the needs and aspirations of current and future generations."*

WRI's Core Values are ***Integrity, Innovation, Urgency, Independence, and Respect***. The Institute takes these very seriously. This is an important WRI distinctive.

One way in which WRI's values are inculcated in new staff is through a periodic Mission, Values and Approach (MVA) training workshop. One element of the training is a video on values. The video includes interviews with staff from across the Institute. Not senior staff lecturing the new recruits, but young staff speaking from the heart, discussing the values and how they are expressed in the work they do and also talking about the importance of the values in shaping the overall culture at WRI. The video is very well done. Members of the ERT have not seen anything quite like this in other organizations.

Maintaining objectivity and independence is central to the work and reputation of WRI. One way that this is done is through a "Ways & Means" Table. The table provides guidance on which activities are generally acceptable at the Institute, which are never permissible, and which are used in select circumstances. For example, forming purpose-built networks, partnerships and alliances with and among NGOs and the private sector is always permissible, mass mobilizing individuals to take partisan action is never permissible (this does not apply to WRI partners who may do this). Joining political alliances that include negotiated agreements and policy positions is in the "Yellow" category (Used in selected circumstances. Requires caution and approval.) The Approval processes required for activities in the intermediate "Yellow" category are spelled out in some 7 pages of careful guidance.

WRI works hard to “walk its talk”. There are many environmental values reflected in the workplace: the green building, proactive recycling, a goal in the Institutional Excellence Objective focused on WRI’s carbon footprint, and support for the use of both public and non-motorized transportation.²⁸

Another reflection of WRI’s values is the groups they choose to partner with. One example: a decision not to partner with a Washington consulting firm on bids for USAID work because the firm was owned by a major defense contractor. A second example: WRI suspended its strategic partnership with BP. This decision, which was precipitated by the Deepwater Horizon oil spill in the Gulf of Mexico, was taken after very careful deliberation that revolved around not just the oil spill but on a drifting apart on a number of issues. WRI came to the conclusion that there was no longer a sufficiently strong alignment of goals and values to allow WRI to achieve results consistent with its mission.

Organizational culture

WRI is a flat organization. This is reflected in the unusual feature that all offices are the same size – from the President to a Research Associate. The offices are small. When books and papers are organized and out of the way, they can accommodate one visitor. If things are spread out in “work mode” fitting in that extra person is a challenge. Junior staff have work spaces along the outside of the building with natural light. All of this is intentional. This setup actively encourages the use of public spaces: meetings rooms for formal work and attractively decorated and equipped open spaces strategically located around the building for the informal interaction that is central to the building of an organizational culture.

Morale at WRI is generally high. All of the staff we met with seem to genuinely enjoy being at WRI. They look forward to coming to work, enjoy a work environment that while very busy and sometimes stressful has them leaving at the end of day feeling that they are working on important issues that can make a difference. International staff commented on the unusually “flat” organization structure, on offices all being the same size, and on the fact that ego was not the issue that it had been in many of the previous organizations in which they worked. They found it particularly gratifying to find this in America, a culture stereotyped by hard-charging and often ruthless and self-serving bosses.

b. Fitness for Purpose: other internal systems and processes

1. Financial and administrative management²⁹

WRI’s Institutional Excellence Goal lays out its aspirations in three broad areas (aka objectives in WRI nomenclature): administrative management, development and communications. The main themes and emphases of the work on administrative management are efficiency, excellence and effectiveness. The strategy used to work on these themes is summarized as follows:

“Admin and all WRI staff are proactive in our pursuit of continuous improvement and innovation of our processes and systems - striving for the simplest, most effective methods and tools to

²⁸ See “Sustainability Initiative” in the WRI Program Book 2011-2012 Annex, p.737-742.

²⁹ The assistance of PSS President Glenn Conrad JD in reviewing WRI’s financial statements and audit findings is gratefully acknowledged.

support WRI's mission. Admin provides systems, processes and solutions that are easily scalable without necessarily requiring more support staff. Admin and all WRI staff facilitate WRI's growth and impact, while controlling support costs such that we are renowned for how efficiently and cost effectively we achieve major outcomes. This cost profile coupled with managing for results enhances WRI's leadership and brand and greatly improves our attractiveness to new donors. Additionally, the process of continuous improvement creates a cycle within WRI that makes it a fun and exciting place to work.³⁰ (emphasis added)

The central themes of efficiency and effectiveness are further elaborated as follows:

While in the past this objective has advanced efficiency goals at an institutional level, the primary focus will now shift to a broader mission of both effectiveness and efficiency—deciding WHAT we do rather than just doing what we do better. This ensures that our efforts are aligned with *desired* outcomes rather than current activities. Part of this move toward a more effective organization includes locating opportunities to eliminate bureaucracy or sunset activities that don't directly and significantly contribute to our mission and objectives. We will therefore establish periodic reviews to eliminate superfluous processes and activities. We will also systematize our efforts to visualize what we need to do to be successful without feeling trapped by what we currently do and the associated sunk costs.³¹ (emphasis added)

This all makes excellent sense. A WRI-wide survey was conducted to identify major areas for improvement. The results fell into three areas: systems, processes and behavior. The top dozen issues/actions from the survey have become the top tactics used to address the three areas for improvement over the next several years.³² The use of the survey was an important way to promote Institute-wide buy-in for follow-up action not by admin staff or by specific units within the WRI administration but by "Admin and all WRI staff".

Financial management

The ERT reviewed the Audit Findings for the last four years along with WRI budgets for 2010 and 2011.³³ No issues of concern were found. We understand from staff that the financial management system at WRI has been both strengthened and made significantly more accessible and decentralized since the arrival of the current CFO, VP for Finance and Administration.

2. Development

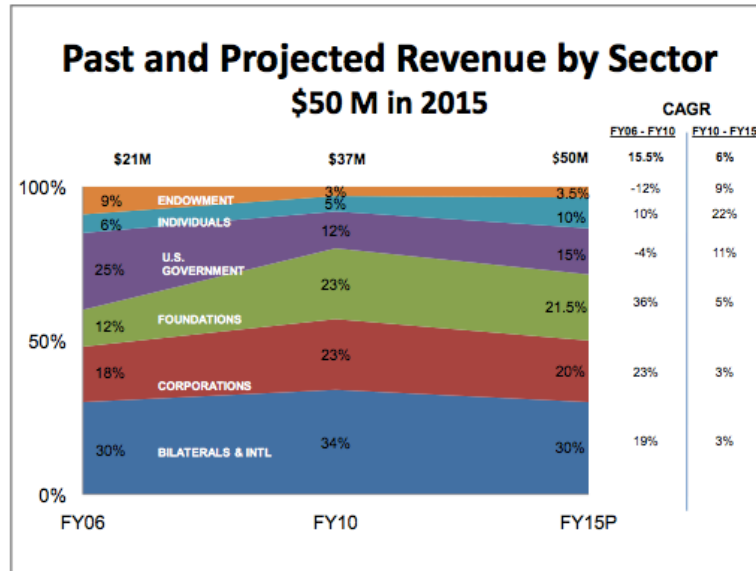
In the realm of development fundraising, numbers speak louder than words:

³⁰ WRI Program Book 2011-2012, p.189

³¹ WRI Program Book 2011-2012, p.189

³² For the top dozen issues/actions from the survey see Program Book 2011-2012, p.190-191.

³³ The 2010 DANDIA report mentioned that WRI had clean audits for the past 15 years.



Sector	FY10 Operating Revenue	FY15 Operating Revenue
US Government	4,485,120	7,500,000
Bilateral & Multilateral Agencies	12,707,840	15,000,000
Corporate	8,596,480	10,000,000
Individuals	1,868,800	5,000,000
Foundations	8,596,480	10,750,000
Endowment	1,121,280	1,750,000 ¹
Total	\$37,376,000	\$50,000,000

¹ This figure is based on a conservative projection of the endowment's value in 2012-2014 and a 5 percent draw. In FY10, WRI withdrew less than 5 percent to preserve the corpus in a down market.

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The numbers for the period from 2006 through 2010 speak for themselves.³⁵ They are very impressive for two reasons:

- the overall level of fundraising achieved in a very difficult economic climate when most NGOs are suffering and many have had to lay off staff, seriously curtail their operations and, in some cases, close their doors, and
- the overall diversification of funding sources with substantial increases in the funding coming to WRI from corporations and private foundations.³⁶ This diversification will likely hold the key to future success. It significantly enhances the hoped-for sustainability of the WRI operating model which is discussed in more detail below.

³⁴ WRI Program Book 2011-2012, p.202

³⁵ The trend has continued with \$47.5 million raised in FY2011

³⁶ By way of contrast, IIED received 1% of its income from corporates in the FY that ended March 2011

Congratulations are in order to the WRI staff (starting with the Development unit but including virtually every member of the staff), Board members and partners (most notably a few members of the Corporate Consultative Group) who have made this happen.

Unrestricted funds remain an issue, both for WRI and virtually every other NGO on the planet. In addition, funding for some IGP programs remains a challenge (eg TAI and EPE). These programs, along with IFFE, are currently outside the scope of interest of WRIs corporate partners. As these partners get more educated about international development this may change. In the meantime, though, the Development unit needs to redouble its efforts to insure that all three programs – considered by the ERT to be among WRIs most innovative and important – not only survive but thrive.

3. Programming and Managing for Results (MFR)

Programming

A key element of WRIs programming process outlined in the Strategic Plan is the Decisionmaking Funnel. While WRIs extensive documentation provides clear evidence that careful thought is given to the various elements of the funnel, as discussed earlier in this report (and in more detail in Annex B) it is not clear that the results of the funnel process have led to sufficient focus in the PEP program, most particularly in MESI.³⁷

Managing for Results (MFR)

The development of a comprehensive Managing for Results (MFR) system over the last several years has been a major accomplishment. We were pleasantly surprised to find that documentation spelling out internal discussions and the rationale(s) for programming decisions was readily available. WRI is well ahead of many NGOs in this regard. The ERT has some concerns about the MFR and suggestions on what might be done to address them. These are outlined in Section D.5

An observation on nomenclature including acronyms:

To an outside observer, WRIs use of the terms Programs, Objectives, Initiatives and Projects is confusing. Using PEP as an example:

- The use of “program” to identify and describe PEP is straightforward.
- Moving the next level down, why are Forests an Objective (FLO) and Ecosystems an Initiative (MESI)? There may be arcane internal reasons for the distinction, but these make no difference to audiences outside of WRI. This point matters, because the next step is the internal acronym generator that takes “Initiative” and produces MESI which then gets picked up in both discourse and branding.
- Further confusion is generated by the fact that the programs that are called “Objectives” (ie FLO) are not, in fact, objectives. They are programs that then have program and project objectives all related in one way or another to

³⁷ WRI is well aware of this and is actively working to focus MESI on projects that deliver against the new goal of “investing in ecosystems for food and water security”. To be fully effective the funnel needs to work as a funnel, not simply as a screen. The ERT did not examine CEP programs in detail. We expect that some additional focus might also be useful in this arena.

- the descriptor used in the “Objective” (ie in the case of FLO that work in one way or another on forest landscapes.
- And in other situations the term “objective” is sometimes applied to a donor funded activity which forms part of a broader WRI objective

WRI has a surprising number of acronyms for an institution of its size. The number is both large enough and their internal use important enough that we have included a separate list of WRI acronyms at the beginning of the report to help external readers navigate through it. The use of acronyms (or not) is in large measure a question of personal preference. Where caution is advised is in cases where the acronym may have unfortunate overtones. MESI is one example. Trying to insist that it be pronounced Mezzy rather than Messy is a losing proposition. The other example is POTICO. In addition to some unfortunate overtones, this one has the additional issue that the project title used to generate the acronym in the first place - Palm Oil Timber and Carbon Offsets – has now morphed into Sustainable Palm Oil on Low Carbon Degraded Land in Indonesia, but POTICO now has a life of its own.

4. Research and publications

WRI has built a solid reputation as an excellent producer of policy research and analysis produced in ways that influence practical outcomes. This research and analysis used to be delivered to the wider world almost exclusively through publications. With the communications revolution, including the internet and social media, there are now many avenues to disseminate WRI’s work. As discussed in an earlier section on communications, WRI has made impressive strides in adapting to and effectively utilizing these new avenues. That said, publications continue to be the single most important vehicle for disseminating WRI’s work.

WRI-branded publications

WRI produces a wide variety of high quality publications. Feedback from WRI stakeholders confirmed this using the words solid, credible and thorough to describe this central element of WRI’s work.

WRI has invested significant resources in the review, production and distribution of WRI-branded publications. The ERT was given a detailed briefing on the publication review process. It is both rigorous and thorough. Indicators of excellence developed to guide staff as they prepare publications include: timeliness, robustness, fit for audience, independent of bias, value added, institutionally coherent (including early and sustained coordination with other parts of WRI focused on the same issue, audience or geography), and the presence of a clear audience influence strategy.³⁸

The Vice President for Science and Research takes the issues of publication review and quality control very seriously. The review process includes both internal and external review. There are different processes used for different types of publications and related products (eg Reports, Issue Briefs and Working Papers; Fact Sheets; Marketing material and institutional documents; Press Releases; Op-eds; WRI.ORG web content; Analytical and Information Tools etc.).³⁹ A new challenge has been the review of Chinese-only publications. Procedures are still being tested and refined.

³⁸ WRI Indicators of Excellence: WRI Publications/Products. 22April2011

³⁹ WRI Publications/Products: Typology and Quality Control Procedures. Version 3.0 Updated 25July2011. 8p.

The ERT has reviewed a wide variety of WRI-branded publications. They are invariably of excellent quality. Features that we have found to be particularly noteworthy have been highlighted in the citations in Annex H. These include such things as impressive numbers of individual and organizational contributors, co-publishing with other organizations, Forewords by distinguished international figures that add additional credibility to a publication, and funding from a wide variety of sources. Several of particular note include:

- Craig Hanson, Janet Ranganathan, Charles Iceland, and John Finisdore. January 2012. The Corporate Ecosystem Services Review: Guidelines for Identifying Business Risks and Opportunities Arising from Ecosystem Change. Version 2.0. Washington, DC: WRI with WBCSD and The Meridien Institute. 37p. Methodology tested by 5 WBCSD member companies with 9 corporate reviewers. Funding from The David & Lucile Packard Foundation, the Netherlands Ministry of Foreign Affairs, the Royal Danish Ministry of Foreign Affairs, the Swedish International Biodiversity Programme, and the World Business Council for Sustainable Development.
- Laretta Burke, Kathleen Reytar, Mark Spalding (TNC Global Marine Team) and Allison Perry (The WorldFish Center) 2011. Reefs at Risk Revisited. WRI. 114p. 22 Contributing Institutions and 12 sources of financial support.
- Athena Ballesteros, Smita Nakhooda, Jacob Werksman and Kaija Hurlburt. 2010. Power, Responsibility and Accountability: Re-Thinking the Legitimacy of Institutions for Climate Finance. 70p. With Foreword by Jonathan Lash and Professor Emil Salim Chairman, Council of Advisors to the President of Indonesia and Former Minister of Environment and Population, Government of Indonesia. Funding from the Charles Stewart Mott Foundation, Doris Duke Charitable Foundation and the Rockefeller Brothers Fund.
- Kirk Herbertson, Athena Ballesteros, Robert Goodland and Isabel Munilla. 2009. Breaking Ground: Engaging Communities in Extractive and Infrastructure Projects. 38p. With Foreword by Mary Robinson President, Realizing Rights: The Ethical Globalization Initiative.
- Core Team from 5 Institutions (WRI, ILRI, FAO + 2 Ministries in Uganda: Ministry of Agriculture, Animal Industry and Fisheries; Uganda Bureau of Statistics) 2010. Mapping a Healthier Future: Spatial Analysis and Pro-Poor Livestock Strategies in Uganda. Funding from SIDA, the Netherlands Ministry for Development Cooperation, Irish Aid, USAID, The Rockefeller Foundation, International Livestock Research Institute (ILRI) and the Ministry of Foreign Affairs of Denmark. 44p.
- Frances Irwin and Janet Ranganathan w/16 others. 2007. Restoring Nature's Capital: An Action Agenda to Sustain Ecosystem Services. 86p. Foreword w/ 2 page list of contributing individuals and organizations.
- Allen L. Hammond et.al. 2007. The Next 4 Billion: Market Size and Business Strategy at the Base of the Pyramid. WRI and IFC. Underwritten by the IFC

and IADB with additional financial support from Intel, Microsoft, the Shell Foundation and Visa. 151p.⁴⁰

- Sarah Ladislaw (CSIS), Kathryn Zyla, Jonathan Pershing + 4 others, nd. A Roadmap for a Secure, Low-Carbon Energy Economy: Balancing Energy Security and Climate Change. WRI and CSIS. Foreword by John Hamre/CSIS and Jonathan Lash/WRI. 32p.
- and, last but certainly not least, a classic that sets the bar very high for broad participation: WBCSD and WRI. 2004. The Greenhouse Gas Protocol: A Corporate Accounting and Reporting Standard. Revised Edition. 112p. with 8 double-column pages of contributors p.104-111.

Other features of note in the WRI publications process include: publication influence plans (required for all WRI reports, briefs and working papers), staff mentoring and training, and an annual "WRI's Got Talent" set of awards for publications (with categories including Most Innovative Publication, Most Influential Publication, Best Written Publication, Best Dressed Publication, Best Publication Plan, Best Internal Reviewer, Best Outreach Strategy, Best Balancing Act and Best Blog)

One issue raised with the ERT was the length of time that the publication review process sometimes takes. There can be a tension between the requirements for thorough review on the one hand and the need to get a particular piece of analysis into the hands of opinion or decision makers on the other. One way that this is handled is through the different levels of scrutiny used for different types of publications (eg reports, issues briefs and working papers). Another way that some programs are able to deal with it is by having their own brand of publications. This is discussed below.

WRI's approach to publications stands in sharp contrast to an approach used by one of the organizations visited during the Review process. Some publications of the Carnegie Endowment for International Peace (CEIP) include the following disclaimer:

" The Carnegie Endowment does not take institutional positions on public policy issues; the views represented here are the authors' own and do not necessarily reflect the views of the Endowment, its staff or its trustees."

Might this approach work for a subset of WRI publications? Some have responded to this question by pointing out what they consider an equally sharp contrast between the smart, but mostly younger and less experienced, staff of WRI and the more seasoned, mature staff of CEIP. Does this contrast hold up to scrutiny? It may. If so, does this point to something useful for future WRI hiring decisions? If not, might it make sense to consider a new brand of WRI publications and other communications and social media products that would continue to be governed by WRI's core values of integrity, independence and respect but that would give greater discretion to WRI staff to make their own decisions about the vetting and distribution of their work?

⁴⁰ The ERT has noted with interest that this publication has been either at or near the top of the "Most Popular" column on the WRI website during much of the External Review.

Publications with other branding

Two of WRI's most successful and globally visible programs, EMBARQ and TAI, have some WRI-branded publications but publish most of their material outside of the formal WRI system. The two programs have very different publications styles. EMBARQ has a distinctive, bold and attractive global "branding" that uses lots of photographs and eye-catching graphics. TAI, which works through several hundred partners around the world, is much more low-key. In most cases the publications it supports are prepared and published by partners using their own systems and branding with TAI mentioned as a sponsor or collaborator.

Examples of EMBARQ and TAI publications produced outside of the formal WRI system that the ERT found particularly interesting and useful include:

- EMBARQ. 2012(?) *20 Years of EMBARQ: Celebrating the Past 10, Setting a Vision for the Next 10*. Washington DC:EMBARQ Global 50p.
- EMBARQ. 2010. *Year in Review: Annual Report 2009/2010*. 47p
- Madhav Pai, Ashwin Prabhu, Dario Hidalgo, Jeremy Cogan, Prajna Roa and Vamsee Modugola. 2010. *Bus Karo: A Guidebook on Bus Planning and Operations*. EMBARQ/India, Low Carbon Mobility Solutions for Indian Cities project. Funded by the British High Commission, New Delhi Strategic Programme fund (SPF) – Low Carbon High Growth Programme. 217p.
- TAI. September 2011. *What We Want From Rio +20: Civil Society Organizations Worldwide Voice their Demands for Environmental Democracy*. The Access Initiative. 8p.
- George (Rock) Pring and Catherine (Kitty) Ping. 2009. *Greening Justice: Creating and Improving Environmental Courts and Tribunals*. The Access Initiative. 119p
- Ritwick Dutta, Shibani Ghosh, R. Sreedhar and Rahul Choudhary. 2011. *Making Our Voices Matter: A Guide to Environmental Public Hearings*. Environics Trust/EIA Resource & Response Centre and Legal Initiative for Forest and Environment (LIFE) with financial support from the Critical Ecosystems Partnership Fund (CEPF). 18p

We now turn our attention to publications in the refereed literature. Publishing in journals should be seen as a complement to the excellent targeted in-house publications and not as an alternative.

*Publications in the refereed literature*⁴¹

⁴¹ In response to this section WRI noted two general concerns: that WRI's target audiences rarely read subscription journals and that WRI's peer review process is broader in scope than external refereed journals and addresses both the think tank and do tank aspects of WRI's work. The ERT agrees with the first concern but notes that the rationale for increased publication in journals has to do primarily with establishing a permanent record for WRI's intellectual contributions and creating an atmosphere at WRI conducive for staff with scholarly inclinations. The second point may well be valid and, if so, is important in its own right but it does not negate an increased emphasis on publishing in high impact peer reviewed journals for the reasons discussed above.

WRI assesses its performance on the basis of outcomes. Outcomes and impacts should remain the preferred method of measuring success. Nonetheless WRI is a research organization and analytical excellence is a key element of the WRI approach. Most research organizations encourage their researchers to publish in the refereed literature. This is considered to add credibility and “gravitas” to the image of the organization, to provide for peer review of its work and to ensure that research results are placed in the permanent record. A reputation for scholarly excellence will enhance the impact of research and may also attract outstanding researchers to join the staff. There are several reasons why WRI might consider giving more importance to publications and citations and to giving publication and citation rates some importance in assessing individual performance:

- ❖ Publication in peer reviewed journals submits research to critical evaluation and successful publication in high impact journals adds to the credibility of research findings and their likely policy impacts.
- ❖ The appearance of papers in high quality journals gives credibility to the organization – at least in some circles.
- ❖ Researchers who pass only part of their career in WRI may want to build a good publication record in order to open up more options for future employment. Researchers who have not published much may have difficulty moving back into academia and may overstay their welcome at WRI.
- ❖ The existence of a good publications record might be one criterion against which to assess applications for jobs at WRI and these people might want to continue publishing.

The ERT conducted a very “quick and dirty” review of how WRI performed on the main scientific citation indices. The following results are very preliminary and subject to error from various sources. They do however give some indication of how WRI is doing. The effort required for WRI to track its performance more rigorously on these indices is quite minor and as just one indicator of institutional and individual performance this effort might be worthwhile. Tracking publication output on SCOPUS or Web of Science would allow WRI to benchmark itself against other organizations operating in the same space. However it should be stressed that this should be treated as just one relatively minor indicator amongst many others.

WRI has quite a good publication record. Brief searches on SCOPUS, the Web of Science, and Google Scholar revealed a good volume of work going into the refereed literature.⁴² On SCOPUS (which only captures post 1996 publications) WRI had 252 papers and a total of 3206 citations. SCOPUS covers most, but not all, of the refereed journals where WRI staff might be expected to publish. The “h index” for WRI on SCOPUS is 26. The h index is a measure of number of publications and their citations. So an h index of 26 indicates that WRI had 26 publications cited 26 or more times. This would be a low score for a university department but compares quite favorably with CGIAR centers which mostly score between 20 and 35 on the same measure.⁴³

⁴² WRI’s librarians were, surprisingly, not able to provide us with this information.

⁴³ The Web of Science gives WRI a slightly lower number of publications, 196, 977 citations and an h index of 17. The differences between the Web of Science and SCOPUS probably are artifacts of the way the searches were conducted. These indices are really designed to assess the publications of individual scientists and not of institutions. They are, for instance, very

Google Scholar gives a radically different assessment of publication rates and citations. It includes books and grey literature publications such as those produced by WRI in-house. It also counts citations in the grey literature, the popular media etc. WRI gets much higher scores on Google Scholar than it does on SCOPUS or the Web of Science. The list of publications attributed to WRI on Google Scholar is impressive and many of them have been cited many hundreds of times. This is exactly how it should be for an organization that deliberately targets its publications towards a non-academic audience.

However, many of the most highly cited publications on Google Scholar were quite old, there were fewer recent publications and they were cited less often. This could not be entirely attributed to the time lag between publication and citation. On Google Scholar, SCOPUS and Web of Science the annual number of citations has been stable in recent years or has declined slightly. This goes in opposition to a general tendency for citation rates to increase as the total volume of material in refereed journals increases. On SCOPUS WRI had 43 citations from 2008 to 2012 and 53 from 2003 to 2007.

A list of the most cited WRI refereed journal publications is given in the Table below. This is based upon a search for all publications where at least one of the authors gave WRI as their address. The most highly cited persons who gave WRI as their address in refereed papers in the 1996 -2012 period were in descending order – Repetto, Davis, Ribot, Reid, Stolle, El-Ashry and Lash.

The issue of the extent to which WRI undertakes primary research or focuses more on translating research into policy relevant messages is discussed elsewhere in this report. WRI has always given more attention to the latter but this tendency has been reinforced in recent years. WRI appears to be doing less original research today than it did in its early days and investing more in synthesis and delivery.⁴⁴ The ERT has no strong views on this tendency other than to note that WRI's early reputation did build upon a core team of original and influential researchers. There may be dangers in abandoning an institutional culture that values high quality original research even if the "core business" is delivering policy relevant synthesis. WRI is in a strong position to conduct global comparative studies and meta-analyses of national or regional data sets. A strong original research culture might also increase the

sensitive to inconsistencies in the way that the name of the institution is referred to in the publication.

⁴⁴ WRI disagreed with this point citing 8 examples of PEP-led research carried out over the past 5 years. While we are confident that each of the examples cited have involved some original research, we are not convinced that it was path breaking research of the sort we are referring to. The cases we know best, the forest atlases of Central Africa and the poverty mapping work in East Africa have made important local contributions, but they have not been path breaking at a global scale. An additional point was made about WRI's work on decision-relevant tools that link sustainability considerations with decisions made by government, companies and development institutions. We agree and complement WRI on this work. WRI's work on the GHG Protocol has been path breaking at a global scale. The work on Corporate ESR, highlighted in one of the lists of WRI publications above, has also been on the leading edge of the work that WBCSD and other groups have been supporting in this arena. That said, it is also true that by focusing so much attention on WRI-branded publications other opportunities may be lost. See footnote below.

likelihood that WRI would challenge “conventional wisdom” rather than simply synthesizing and communicating it.

WRI might assess its performance against that of other somewhat similar bodies operating in the environment – development space. The International Food Policy Research Institute, located in Washington and with a similar sized budget and staff to WRI is clearly located higher on the research to development continuum. IIED may be somewhat lower. Some of the BINGOs have surprisingly strong original research capacities as well as being active on the ground but they have far larger total budgets.⁴⁵

Our overall conclusion is that WRI might give just a bit more attention to ensuring that the quality and originality of its research are maintained at a high level. The internal culture should reward original research contributions. Tracking performance through the use of bibliometric indicators is just one of the ways of doing this. Some of the best achievements of WRI in the past have come from global comparative studies and meta-analyses of national or regional data sets and the delivery of these in ways that influence policy. These sorts of studies will almost certainly have more influence if they are published in high profile scholarly journals. We agree strongly that the ultimate determinant of communication strategies should be the best pathway to impact but in the long term it may be important to retain the reputation for excellence that publishing in high impact journals ensures. Publishing in journals should however be seen as a complement to the excellent targeted in-house publications and not as an alternative.

Table. Most Highly Cited WRI Publications

⁴⁵ WRI noted that it measures success in very different way from Universities and other academic institutions. i.e. on the real world results that its evidence-based strategies generate. The ERT offers three responses:

1. An important recent volume in the ecosystem services arena is: Peter Kareiva, Heather Tallis, Taylor H. Ricketts, Gretchen C. Daily and Stephen Polask (Eds.) 2011. *Natural Capital: Theory and Practice of Mapping Ecosystem Services*. Oxford University Press. WRI had several contributions to this volume. It is instructive that staff at TNC and WWF took the lead along with academics at Stanford and the University of Minnesota to pull this material together. This is an indication of how crowded this space has become, an interesting and instructive model of NGO/University collaboration, and a signal that WRI needs to think very carefully about its’ niche and comparative advantage(s) moving forward.
2. The work of two BINGOs (TNC and WWF) is discussed above. IFPRI was the first “think tank” in Washington to recognize the importance of the land restoration (aka “regreening”) work that Chris Reij has been chronicling in the West African Sahel. WRI has now picked up that baton and, we hope, will take the work to a global level.
3. We enthusiastically endorse the proposed assessment of the effectiveness of WRI’s research and publications by the standards WRI has established for itself starting with the question: How many policy and decision-makers are actually relying on or using WRI publications? We look forward to seeing the results.

MOST HIGHLY CITED WRI PUBLICATION				
Number of Publications		195		
Total number of citations		977		
Average Citations per Item		5.01025641		
h-Index		17		
Title	Authors	Source Title	Publication Year	Total Citations
REDEFINING SECURITY	MATHEWS, JT	FOREIGN AFFAIRS	1989	144
CAN ENVIRONMENTAL ESTROGENS CAUSE BREAST-CANCER	DAVIS, DL; BRADLOW, HL	SCIENTIFIC AMERICAN	1995	68
STRENGTHENING THE USE OF SCIENCE IN ACHIEVING THE GOALS OF THE ENDANGERED SPECIES ACT: AN ASSESSMENT BY THE ECOLOGICAL SOCIETY OF AMERICA	CARROLL, R; AUGSPURGER, C; DOBSON, A; FRANKLIN, J; ORIANI, G; REID, W; TRACY, R; WILCOVE, D; WILSON, J	ECOLOGICAL APPLICATIONS	1996	53
MULTIPLE POLLUTANTS AND FOREST DECLINE	HINRICHSEN, D	AMBIO	1988	48
HOW MANY SPECIES WILL THERE BE	REID, WV	TROPICAL DEFORESTATION AND SPECIES EXTINCTION	1992	46
A ROLE FOR INTERCROPPING IN MODERN AGRICULTURE	HORWITH, B	BIOSCIENCE	1985	44
THE ROLE OF POPULATION IN RESOURCE DEPLETION IN DEVELOPING-COUNTRIES	REPETTO, R; HOLMES, T	POPULATION AND DEVELOPMENT REVIEW	1983	32
DEFORESTATION IN THE TROPICS	REPETTO, R	SCIENTIFIC AMERICAN	1990	30
STERILIZATION OF WORKERS FROM PESTICIDE EXPOSURE - THE CAUSES AND CONSEQUENCES OF DBCP-INDUCED DAMAGE IN COSTA-RICA AND BEYOND	THRUPP, LA	INTERNATIONAL JOURNAL OF HEALTH SERVICES	1991	24
BIOACCUMULATION OF MERCURY BY SPHAGNUM MOSS NEAR A MUNICIPAL SOLID-WASTE INCINERATOR	CARPI, A; WEINSTEIN, LH; DITZ, DW	JOURNAL OF THE AIR & WASTE MANAGEMENT ASSOCIATION	1994	24
AGROFORESTRY AND SUSTAINABLE DEVELOPMENT - MAKING THE CONNECTION	WINTERBOTTOM, R; HAZLEWOOD, PT	AMBIO	1987	21
THE CHALLENGE OF GOING GREEN	CLARKE, RA; FISCHER, K; SCHUT, J; STAVINS, RN; GREENO, JL; BAVARIA, JL; CAIRNCROSS, F; WELLS, RP; ESTY, DC; SMART, B; PIET, J; GRAY, R	HARVARD BUSINESS REVIEW	1994	21
ACCOUNTABILITY IN THE GREENHOUSE	HAMMOND, AL; RODENBURG, E; MOOMAW, W	NATURE	1990	19
THE STRUGGLE OVER ECOSYSTEM MANAGEMENT AT YELLOWSTONE	GOLDSTEIN, B	BIOSCIENCE	1992	19
A STEP BACK AS DONORS SHIFT INSTITUTION BUILDING FROM THE PUBLIC TO THE PRIVATE-SECTOR	MEYER, CA	WORLD DEVELOPMENT	1992	18
SALINITY POLLUTION FROM IRRIGATED AGRICULTURE	ELASHRY, MT; VANSCHILFGAARDE, J; SCHIFFMAN, S	JOURNAL OF SOIL AND WATER CONSERVATION	1985	17
PESTICIDE RESISTANCE AND PUBLIC-POLICY	DOVER, MJ; CROFT, BA	BIOSCIENCE	1986	17
STRATEGIES FOR CONSERVING BIODIVERSITY	MCNEELY, JA; MILLER, KR; REID, WV; MITTERMEIER, RA; WERNER, TB	ENVIRONMENT	1990	16
TENURIAL RIGHTS AND COMMUNITY-BASED CONSERVATION	LYNCH, OJ; ALCORN, JR	NATURAL CONNECTIONS: PERSPECTIVES IN COMMUNITY-BASED CONSERVATION	1994	16

DEMOGRAPHIC-FACTORS IN RESOURCE DEPLETION AND ENVIRONMENTAL DEGRADATION IN EAST-AFRICAN RANGELAND	TALBOT, LM	POPULATION AND DEVELOPMENT REVIEW	1986	15
CREATING INCENTIVES FOR SUSTAINABLE FOREST DEVELOPMENT	REPETTO, R	AMBIO	1987	15
THE POLICY IMPLICATIONS OF NONCONVEX ENVIRONMENTAL DAMAGES - A SMOG CONTROL CASE-STUDY	REPETTO, R	JOURNAL OF ENVIRONMENTAL ECONOMICS AND MANAGEMENT	1987	14
MICROTARGETING THE ACQUISITION OF CROPPING RIGHTS TO REDUCE NONPOINT SOURCE WATER-POLLUTION	KOZLOFF, K; TAFF, SJ; WANG, YM	WATER RESOURCES RESEARCH	1992	14
ENVIRONMENTAL NGOs IN ECUADOR - AN ECONOMIC-ANALYSIS OF INSTITUTIONAL CHANGE	MEYER, CA	JOURNAL OF DEVELOPING AREAS	1993	14
ESTIMATING CONSUMER ENERGY DEMAND USING INTERNATIONAL DATA - THEORETICAL AND POLICY IMPLICATIONS	ROTHMAN, DS; HONG, JH; MOUNT, TD	ENERGY JOURNAL	1994	13
ECONOMIC INCENTIVES FOR SUSTAINABLE PRODUCTION	REPETTO, R	ANNALS OF REGIONAL SCIENCE	1987	12
ACCOUNTING FOR ENVIRONMENTAL ASSETS	REPETTO, R	SCIENTIFIC AMERICAN	1992	10
EVALUATING AGRICULTURAL POLICY AND THE SUSTAINABILITY OF PRODUCTION SYSTEMS - AN ECONOMIC FRAMEWORK	FAETH, P	JOURNAL OF SOIL AND WATER CONSERVATION	1993	9
INDUSTRY AS A METABOLIC-ACTIVITY	SMART, B	PROCEEDINGS OF THE NATIONAL ACADEMY OF SCIENCES OF THE UNITED STATES OF AMERICA	1992	8
CERTIFICATION ACCREDITATION - THE NEED FOR CREDIBLE CLAIMS	CABARLE, B; HRUBES, RJ; ELLIOT, C; SYNNOTT, T	JOURNAL OF FORESTRY	1995	8
RESPONDING TO POTENTIAL IMPACTS OF CLIMATE CHANGE ON UNITED-STATES COASTAL BIODIVERSITY	REID, WV; TREXLER, MC	COASTAL MANAGEMENT	1992	7
AN ECONOMIC FRAMEWORK FOR EVALUATING AGRICULTURAL POLICY AND THE SUSTAINABILITY OF PRODUCTION SYSTEMS	FAETH, P	AGRICULTURE ECOSYSTEMS & ENVIRONMENT	1993	7
BUILDING THE CASE FOR SUSTAINABLE AGRICULTURE - POLICY LESSONS FROM INDIA, CHILE, AND THE PHILIPPINES	FAETH, P	ENVIRONMENT	1994	7
MAN-MADE LAKES AND SEA-LEVEL RISE	RODENBURG, E	NATURE	1994	7
LIVING IN A WARMER WORLD - CHALLENGES FOR POLICY ANALYSIS AND MANAGEMENT	MINTZER, I	JOURNAL OF POLICY ANALYSIS AND MANAGEMENT	1988	6
THE TRANSITION TO A SUSTAINABLE SOCIETY	SPETH, JG	PROCEEDINGS OF THE NATIONAL ACADEMY OF SCIENCES OF THE UNITED STATES OF AMERICA	1992	6
EARTH IN THE BALANCE-SHEET - INCORPORATING NATURAL-RESOURCES IN NATIONAL-INCOME ACCOUNTS	REPETTO, R	ENVIRONMENT	1992	6
AN INNOVATION-DRIVEN ENVIRONMENTAL POLICY	BANKS, RD; HEATON, GR	ISSUES IN SCIENCE AND TECHNOLOGY	1995	6

5. Monitoring and evaluation

Monitoring

WRI has solid systems in place for the monitoring of financial and program details. Our views on the Managing for Results (MFR) system have been presented in Section 3 above and are picked up again later in the report in Section D.5

Evaluation

There has been very little formal external program evaluation at WRI over the past 30 years⁴⁶. While this is not unusual for NGOs, one would have thought that WRI with its focus on research and its use of peer review as a central part of the WRI publication process might have developed a culture that valued external program evaluation. For whatever reason(s), that was not the case.⁴⁷

Self-Assessment

There is a clear need for periodic, formal self-assessment at the institutional level at WRI. Two Institute-wide self assessments provided to the ERT shortly before the drafting of this Review document was completed – one on WRI's progress meeting

⁴⁶ The multiple external evaluations of The Access Initiative (TAI) is the exception that proves the rule. There was a donor-mandated external evaluation of the USAID-funded program that preceded the current EPE program. In addition, WRI's USAID-funded forest mapping work in the Congo Basin is evaluated periodically as part of broader evaluations of USAID's CARPE program.

⁴⁷ In response to this finding WRI noted that funding for external evaluations is offered through the AOR review process, but that programs have not chosen to use it.

the Program Goals and Objectives set out in the current Strategic Plan, the other looking at Synergies & Cross-Program Collaboration and at Innovation – have proved very useful in finalizing the Report. Having had these available at the beginning of the Review process would have provided the ERT with a baseline from which to begin its investigations, thereby saving a great deal of the time and effort that was spent sifting through extensive process and internal reporting documentation and allowing for substantially greater time and attention to have been spent on the careful probing of key issues that emerge from the review of the self-assessments.

On the program side, the recent EMBARQ document *20 Years of EMBARQ: Celebrating the Past 10, Setting a Vision for the Next 10*⁴⁸ provides the beginnings of a useful model for self-assessment, albeit in this case focused more on communicating EMBARQs achievements than on more sober analysis and reflection on the challenges, missed opportunities, dead ends and lessons learned that are at the heart of any development effort and which form the basis for adjusting and improving future efforts.

WRI's process for project reviews (eg IRB, AOR) includes self-assessment. Our review of this documentation for the projects covered by the Program Reviews indicates that there is considerable variation both in presentation style and in the depth and breadth of responses to the various questions that make up these reviews. While flexibility is to be applauded, we suggest that WRI consider including standard elements in all program self-assessments modeled on a series of documents prepared by the New Ventures program (ie peer landscape, global metatrends, SWOT analysis, stakeholder engagement summary and lessons learned).⁴⁹ Additional topics that would help to build program coherence include synergies across WRI, and one or more maps to ground a program with the geographies in which it plans to work. Instead of being buried in text form in a lengthy AOR Review Memo, they would be Annexes that are used for the AOR process but would also easily available for future reference, for updating during subsequent AOR review cycles (or, in the case of global metatrends⁵⁰, during Strategic Plan preparation), and for compilation at the Program and Institute level if necessary.

Retrospective review of the annual "Top 10 Outcomes"

A second area of evaluation that deserves serious consideration is a periodic retrospective review of WRI's annual "Top 10 Outcomes". The "Top 10" are a distinctive and important part of the WRI brand. One question that immediately comes to mind about them is "what is the rest of the story"? To take one example, one of the Top 10 Outcomes in 2009 was the Asian Development Bank embracing

⁴⁸ 2012(?) 50p.

⁴⁹ In response to this point WRI has noted that these analyses are standard practice in developing a new objective (aka program). One interesting example recently brought to our attention is a powerpoint: The landscape of WRI's ongoing forests work prepared in May, 2011. As noted below, our point is that in the New Ventures case these are standalone documents that can be used, aggregated and updated if and as required. The MESI AOR Memo of February 2012 has an excellent table on synergies (Annex 4 – Summary of Key Synergies for MESI) and two interesting Tables that might serve as models for other programs: Table 1: Gaps, barriers and challenges to scaling up ecosystem service based approaches, and Table 2: Diagnostic of political themes against criteria for reframing MESI.

⁵⁰ For a definition of metatrends (and one person's thoughts on what the trends currently are) see: <http://www.the-futurist.com/five-meta-trends-that-are-changing-our-world.htm>

sustainable energy through adoption of a new energy policy. The ADB had a lending portfolio of \$10.5 billion in 2008. In the new energy policy it committed \$2 billion annually to clean energy projects starting in 2013, a doubling of such investments from the 2008 level. We are now in 2012. What has been happening with ADB funding for clean energy in 2010 and 2011? Are they on track to meet the \$2billion/year target in 2013?

In the worlds of environment and development advances in one year can be blocked or even reversed the next year. Tracking what happens to the outcomes that WRI considers it's most important contributions should produce valuable lessons both for WRI and for the broader environment and development communities.

After the initial evaluation retrospective reviews might be carried out once every four or five years, perhaps just ahead of the preparation of new Strategic Plans. There is no reason to limit it to the "Top 10 Outcomes". Any Tier 1, 2 or 3 outcomes that are either a) linked to ongoing WRI programs, or b) particularly important for legacy or other reasons c/should be included to the extent that time and resources allow. There may be graduate students at the MS or PhD levels who would be interested in carrying out this work for WRI at minimal cost.

The use of the term outcomes rather than impacts is somewhat problematic. Impact would describe WRI's own contribution to the achievement of a predefined goal. Outcome describes the situation and is neutral on the question of attribution. Some of the top outcomes of WRI were indeed significant developments but the extent to which WRI was the prime or even a leading source of influence is often difficult to assess.⁵¹

c. Partnerships – strengths/weaknesses

Partnership is a central element of the WRI business model. When the Strategic Plan was written WRI reported having 400 partner organizations in 50 countries. When the ERT asked for a list of WRI partners, we were sent an Excel spreadsheet with 522 entries. This is an impressive number. The problem is that the list came with no "key". There was no differentiation, no categorization and no prioritization.

As we dug into the program documents it quickly became clear that "partner" was a loosely defined term depending on a particular project or strategy. WRI has lots of different kinds of partnerships. For example, The Access Initiative links to NGOs and regional NGO Coalitions, the Corporate Consultative Group links to corporate donors, the Greenhouse Gas Protocol works with a range of industry and other groups to co-create a new GHG standard, FLO works with government Ministries of Forests. These partnerships involve a diversity of roles which include undertaking analysis, helping set priorities, working collaboratively, advocacy etc.

⁵¹ WRI acknowledges this difficulty and has been pushing teams harder to clarify attribution and substantiate it with quotes and other information in their outcome write-ups. Most of the outcomes are delivered through projects in which WRI works with long-standing partners. These are relationships that WRI has a stake in cultivating and continuing. These considerations - as well as WRI's core value of integrity - call for extra conservatism and caution when reporting and claiming credit for impact. The ERT tried, without success, to solicit the ADB's views on the two "Top 10" Outcomes for 2009 that involved their programs: the clean energy policy discussed above and ADB support for sustainable enterprises in India and Indonesia.

Things are clearest and perhaps simplest on the corporate side. There is a hierarchy with clear gradations using five categories of engagement:

- Strategic relationships
- Membership in the Corporate Consultative Group
- Program/Project Partners
- Supporters

What these categories mean and what they involve on both the WRI and corporate sides is clearly spelled out.⁵²

It is well beyond the scope of this Review to assess how WRI is doing with partnership writ large. It is also not possible to say anything very useful in a general sense about the strengths and weaknesses of WRI's partnerships. What we can say, based on feedback from the people we have spoken to and the feedback received from the questionnaires, is that WRI takes working with and through partners as a central part of its operating style and that the partners we have received feedback from uniformly value their relationship with WRI. Some of that feedback is presented in the Box below.

Stakeholder Feedback #2

What two or three words would best describe the quality(ies) of your partnership with WRI?

Open, imaginative and increasingly practical
 Trustworthy, competent, strategic
 Responsive, respectful
 Candid, thoughtful, innovative
 Clear, mutually beneficial, secure/grounded
 Trusted, long-term, honest and open
 Strategic. Timely. Comparative strengths
 Creative. Mission-driven. Disorganized
 Open-minded, collaborative, sharing expertise.
 Collaborative and thought-provoking
 Always brings important points and work to the discussion.
 Erratic responses. Part of the difficulty has been the very high staff turnover.
 What makes WRI unique is its intellectual capacity and its partnerships
 Professionalism, excellent staff, promotes "real" partnerships
 High quality analytical work
 Advocacy work with an excellent quality of data, research, publications and international network
 A think thank that not only works on paper but also to push changes on the ground

d. Engagement with business

WRI's proactive engagement with business stands as one of the most important innovations during the Strategic Plan period.⁵³ Key elements have included a strong

⁵² <http://www.wri.org/get-involved/corporations/strategic-relationships>

business presence on the Board, the establishment of the Corporate Consultative Group (CCG) and links with the Business Council for Sustainable Development and other groups that seek to improve corporate environmental and social performance. This has already paid handsome dividends in fundraising with major corporate grants for the EMBARQ program as well as for the newly-launched low-carbon cities and environmentally sustainable urbanization project in China, India and Brazil. We assume it has also translated into better environmental performance by the corporations concerned – but clear evidence for this has been difficult to obtain.

While program funding from corporate sources is an important element of WRI's successful diversification strategy an even more important impact of WRI's engagement with business is likely to come from the impacts it is having on the WRI world-view and everything that flows from it. Disillusionment with traditional bilateral and multilateral development efforts coupled with the rapidly expanding reach and influence global corporations mean that working with these corporations has become one of the most effective ways of promoting change at a scale that will make a difference.⁵⁴

The importance of WRI's engagement with business was captured well by WRI Board member and WalMart Executive Vice President Leslie Dach in the interview on "Why WRI is important to Me" in WRI's 2010 Annual Report. Dach's response to the question "The world is racing toward 9 billion people and the demand for resources is growing. How can we respond?" was "Build sustainability deep into commerce and help make sustainability a core element of economic growth in emerging economies." That vision, and the engagement with business that it has spawned, stand as one of the most important and far-reaching innovations during the current Strategic Plan period. It deserves to be both highlighted and moved to the next level in the next Strategic Plan.

e. Sustainability of the WRI operating model

The strong diversification of WRI's funding sources discussed above holds one of the keys to the sustainability of the WRI operating model.

Other keys include:

- Raising funds in China, India and Brazil to cover those operations. Given the continued rapid growth of these economies, this certainly appears to be a viable option. In the case of India, government resources are now

⁵³ WRI started engaging with the private sector in the 1990s through its merger with the Management Institute for Environment and Business. That merger, formalized in 1999, led to the creation of what is now the Markets and Enterprise Program (MEP). Another significant thread developed through the work of WRI Board member Professor C.K. Prahalad. As noted in WRI's 2010 Annual Report "For nine years, C.K. brought deep commitment and compelling intelligence to WRI's Board of Directors and to our programs. We miss him greatly."

⁵⁴ for a recent piece that puts this in perspective see David Rothkopf. *Inside Power, Inc., Taking stock of Big Business vs. Big Government*. Foreign Policy, March-April 2012. http://www.foreignpolicy.com/articles/2012/02/27/inside_big_power_inc For a recent piece that puts foreign investments in agricultural land in perspective see *The Land Security Agenda: How investor risks in farmland create opportunities for sustainability* <http://www.indiaenvironmentportal.org.in/files/file/ESI-Land-Security-Report.pdf> see also: <http://www.earthsecurity.org/projects/landsecurity/>

available at levels unthinkable as recently as 10 years ago. WRI is already tapping into some corporate resources. Philanthropy, until recently focused mainly on religious and humanitarian causes, has been expanding into the development arena led by several visionary business groups.⁵⁵ One thing that will need to be carefully thought through is the extent to which country offices are expected to pick up the costs of WRI staff visiting from headquarters, or working on country programs from Washington.

- Being able to sufficiently distinguish WRI from other organizations, both other Think Tanks and NGOs that are operating in what is currently a WRI “Do Tank” space. Specific suggestions about how to do this have been outlined in Section D.5 of the report.

Unrestricted and other flexible funds are always an issue. Can the current level first be maintained and then at least sustained (hopefully increased)? It is impossible to say. What we can say is that significant levels of unrestricted funds are most likely to come from:

- wealthy individuals confident that WRI will make sound choices with their money,
- foundations with leadership and program staff who understand that exploration is the key to breakthroughs that will make a real difference at scale and that flexibility and risk are essential elements of this kind of exploration,
- corporate partners who are more interested in supporting the research and testing that will lead to major breakthroughs and less interested in the PR value of their contributions, and
- development agencies and organizations of any stripe that are willing to support WRI thinking, and testing without holding it to “instant results”.

There is always a chance, of course, that WRI at its current size of \$40 million/300 staff may not be sustainable. Most organizations refuse to even consider this possibility before it is too late. While hoping that such a scenario is not one that WRI will ever need to face, there is a model of what could be considered a contingency plan a couple of miles down the road from WRI. The Center for Global Development (CGD), now ten years old, has carved out a space and is making first rate contributions in the spaces it has decided to engage on. It has a staff of 50, an operating budget of roughly \$10 million, and has made a conscious decision not to expand.

C. THE VIEWS OF WRI’S EUROPEAN DONORS: LOOKING BACK AND LOOKING FORWARD

The views which follow derive from discussions with representatives of donor agencies from Denmark, Ireland, the Netherlands, Sweden and the UK. These agencies are all concerned with international development. The environment is a

⁵⁵ One notable exception here is the Parsi community that has a stellar record of philanthropy that dates back many decades.

relatively small part of their mandates. The individuals consulted were those recommended by WRI as the main contact person(s) in each agency.

Without exception the donor representatives interviewed respect WRI and value its work. Their responses were uniformly positive. They did not raise any major criticisms nor did they identify areas in need of major improvement.

Donor representatives think WRI:

- Conducts influential, independent, analysis;
- Is results-oriented and effective;
- Has high quality, very professional, staff;
- Is more than a think tank - it follows through with practical actions that bring tangible results;
- Is an environment *and* development organization, with the emphasis on the first word.

These donor representatives are most knowledgeable about and interested in WRI's climate change work, particularly adaptation. Governance comes next and People and Ecosystems after that. While acknowledging that WRI has a good track record of working with business, these donor representatives are less familiar with the markets and enterprise work.

All donor representatives consider that WRI is good at projecting itself and its work. They rate WRI publications highly and say they, and other individuals in their organizations, frequently consult the website. Some donors consistently invite WRI staff to make presentations in their organizations and to participate in seminars.

While not being familiar with WRI's internal management systems (relatively junior administrative staff members handle these aspects of relationships in most aid agencies) the donor representatives are satisfied with the quality and timeliness of products and outcomes.

Suggestions of areas for improvement include:

- Greater coherence at the country level;
- Achieving greater influence at the national and sub-national levels (for example in climate change adaptation) by applying the lessons from EMBARQ;
- More engagement with the Green Economy agenda, making greater use of the markets and enterprise expertise;
- Ensuring that engagement with the BRICS does not come at the expense of work in Africa;
- Greater visibility of work on gender.

There was consistency among the donor representatives on what they see as the most important emerging priority for WRI's attention - food security, agriculture and the associated roles of natural resources.⁵⁶

⁵⁶ This was somewhat surprising given the rather large number of other organizations operating in this space that are supported by these same donors. This may reflect a feeling amongst the donors that the environmental issues around the achievement of global food security are not receiving enough attention from mainstream actors in agriculture.

None of the donor representatives consulted has a clear overview of WRI as an institution. Individuals within donor agencies know specific programs or parts of programs and base their judgments of WRI on this knowledge. These individuals know or work with many think tanks, research organizations and NGOs and rarely have the time or incentive to develop a deep knowledge of each one.

That said, when choosing whether or not to provide funding, and particularly when making a decision on framework funding (i.e. unrestricted or largely unrestricted funding) donors do look beyond the programs of most immediate interest to them. SIDA, for example, seeks to maintain a balanced portfolio of relationships with organizations around the world and selected WRI because it fulfills a particular (environment and development) role. WRI's presence in Washington is of interest to Ireland as it provides a window overlooking Capitol Hill and easier access to US thinking about the links between the environment and development and about science and technology.

WRI's relationships with European donors don't appear to reach the senior management and political (ministerial) levels. Its main contacts are generally environment advisors. Although it varies from one agency to another, the environment is not a major part of the work of these agencies. The budget and the political attention that the environment receives are relatively small, though they have increased significantly as a consequence of concern about climate change. The influence of environment advisers within their organizations is also, for the most part, small.

It is at the political level that policy priorities are approved and at the senior management level that choices are made about how to deliver these priorities (e.g. funding mechanisms). It would seem to be in WRI's interest to increase awareness at these higher levels of the work that it does and the contributions it can make to achievement of the aims of these development agencies. This would in turn help amplify the voices of its environment adviser contacts.

D. LOOKING FORWARD: THE NEXT STRATEGIC PLAN

We now turn our attention from looking back to looking forward. Based on institutional assessment and feedback garnered from a wide range of partners, stakeholders, and other informed and interested parties we present our views on topics that we believe deserve careful consideration as part of the development of WRI's next Strategic Plan.

1. Leading WRI into its fourth decade

As the Review presented in Section B above clearly demonstrates, WRI has made major strides over the past few years in implementing its ambitious Strategic Plan. The Institute stands poised to build on these accomplishments and momentum and to transform itself into a truly global Think Tank.

A new President will be leading WRI into its fourth decade. A decision on who that will be has recently been made.⁵⁷ The choice made by the Board will have major implications for the directions that WRI will take over the next years.

⁵⁷ <http://www.wri.org/press/2012/03/release-wri-names-andrew-steer-new-president>

WRI has an active and influential Board. They will also play a key role in setting the directions and shaping the priorities of the Institute as it enters its fourth decade.

There is currently one senior position open at WRI: Director of the Institutions and Governance Program (IGP). In our view, a disproportionate number of WRI's most innovative programs are housed in IGP (eg TAI, EPE, IFFE). Governance is a critically important cross-cutting theme for WRI. The selection of the next Program Director for IGP is also of signal importance for WRI looking forward. We trust that the new President will be actively involved in making this hire even if it occurs before he formally joins WRI in August.

2. Building on a 30 year legacy including the 2008-2012 Strategic Plan

Building on the 30 year legacy

As noted earlier, WRI has a rich history that includes a string of remarkable accomplishments. In its early years WRI was known for a few high profile products: the Tropical Forestry Action Plan (TFAP) launched in 1985, Global Forest Watch (GFW) initiated in the 1990s and most notably the Millennium Ecosystem Assessment (MEA) carried out over several years at the turn of the century. The Greenhouse Gas Protocol, initiated by WRI and the World Business Council for Sustainable Development (WBCSD) at a meeting with 50+ companies in 2001 is another important example. WRI is also known for ground breaking environmental economics work in the 1980s and 1990s (Repetto) and for valuable contributions to debates on property rights and decentralization (Ribot).

Among the more notable achievements have been:

- ❖ **The Tropical Forest Action Plan:** This was one of WRI's first major products. It was launched at the World Forestry Congress in Mexico in 1985 based upon a dialogue that brought together the acknowledged world leaders in its field. It was effectively communicated and promoted and throughout the 1980s and early 1990s the TFAP donor coordination group was pivotal in influencing development assistance agendas. The TFAP was quite rapidly handed over to FAO for implementation. FAO still maintains the unit and National Forest Programs are still active in several countries – 27 years after the launch. The TFAP came in for much criticism for some aspects of its approach but in reality it provided a unique forum where these sensitive issues could be debated. It was the hub of the policy discourse on tropical forests for a decade and had a major impact on thinking. It contributed to large increases in international funding for forest conservation and management. The TFAP responded to a grand challenge.
- ❖ **Global Forest Watch:** Global Forest Watch also responded to a grand challenge. The idea emerged from the World Commission on Forests and Sustainable Development to which WRI contributed. WRI took up the idea and gave it substance. The concept placed forest governance and forest resource degradation firmly on the development assistance and political agendas. Again WRI handed on implementation to national partners and mentored them. GFW initiated a flurry of activity around transparency and rights issues

on forests that still persists today although WRI is no longer leading the processes.

- ❖ **The Rio processes, the GEF and the Forest Principles:** WRI was active in the lead up to the Rio summit in 1992. Along with others it influenced the policy debate and promoted concepts relating to ecosystem services and international mechanisms to secure them. WRI had significant influence on the concepts behind the GEF and the CBD and was an active participant in drafting the Forest Principles – which it would have preferred to see as a forest convention. All of the follow up to these initiatives took place outside WRI.
- ❖ **The Millennium Ecosystem Assessment:** The inspiration and concepts behind the MEA came from WRI. The initial groups that guided the process were convened by WRI and included the world’s leaders in the relevant fields. WRI drove the process of raising the funds and establishing the secretariat and processes for the MEA – but it left implementation to others. The MEA remains influential and may yet evolve into a continuing program within the IPBES process.

What lessons can WRI draw from these successes? We would argue that:

- ❖ WRI developed innovative concepts but did not itself conduct research – however it brought together leading researchers.
- ❖ It convened the world’s leading thinkers and decision makers to build consensus around these concepts
- ❖ It established processes to follow through on the concepts and ensure the continuity of the activities
- ❖ It stepped back and handed implementation over to organizations with the appropriate mandates and capacities.
- ❖ Poverty issues were mainstreamed in all of the above initiatives.

At this stage of its development WRI was very clearly a leading think tank and did not venture into the “do-tank” arena.

There is a contrast between the modus operandi of WRI today and in those early years. The early successes were very global, convened dream-teams of global leaders, were highly strategic and were genuinely innovative. The task when the 2008 strategy was being developed was more difficult. There were far more actors in the environment and development field. There was intense competition for the next “big idea” – many very clever people were searching for those silver bullets and the silver bullets were getting scarcer. It was still possible to come up with good ideas in Brussels, London, Geneva or New York but it was getting harder to get traction on the ground where it mattered in the developing world. Much of the high-level international environment and development policy work was being criticized for being top-down and not relevant to the realities of poor developing countries. Funding agencies were aware of this and wanted to see results on the ground – quickly. A capacity to test ideas in the field and to learn from practical engagement was needed - the shift to the “do-tank” mode of operating provided one way of achieving this. The question is whether the pendulum has swung too far? This question is picked up in our discussion below on where WRI c/should be along 7 continuums.

WRI achieved outstanding success with these and other initiatives through its ability to convene the world's leading individuals and institutions competent in these areas and with these consortia synthesize compelling policy guidance and introduce this into the appropriate policy making processes. In the case of both the TFAP and the MEA WRI developed the ideas, initiated the processes and then passed the baton to FAO and the GEF respectively to implement the programs. WRI remained nonetheless in many peoples' minds as the intellectual owners of these major international initiatives.

When WRI was founded in 1982 there were few institutions conducting similar work. The World Bank has limited capacity to deal with environmental issues, some universities were beginning to expand programs in this area and there were very few independent institutions either in the USA or anywhere else dedicated to missions similar to that of WRI. Today, 30 years later, the field has become crowded. The World Bank has expanded its research capacity, many universities have teams of researchers or free-standing institutes working on conservation and development and there are now numerous research and advocacy institutes and groups operating in the space that WRI once had almost to itself. Institutes similar to WRI now exist in the UK (the International Institute for Environment and Development (IIED) – which predated WRI with an office in Washington – Chatham House and the Institute for Development Studies (IDS) in Sussex), in Canada (the International Institute for Sustainable Development (IISD), in France (the *Institut International du Développement Durable et Relations Internationales* attached to the Political Science University in Paris); elsewhere in Europe (eg the Stockholm Environment Institute) etc. Similar institutes have emerged in the global South - notable amongst them being TERI – The Energy and Resources Institute in New Delhi – BRAC in Dhaka, Bangladesh; the Center of Policy and Implementation Studies in Jakarta, Indonesia and numerous smaller institutes. The existence of these organizations sharing many of WRI's goals provides rich opportunities for collaboration, partnership and synergies. It also requires that WRI give more attention to focusing its own energies and resources on its areas of comparative advantage.

The evolution of the global context within which WRI operates has led the ERT to the following observations:

- ❖ WRI's location in Washington gives it unrivalled access to bodies responsible for major policy decisions both within the USA and on the global stage through the World Bank, IMF, IFC etc,
- ❖ The Washington area is a rich recruiting ground for scientists and managers with skills and competencies in WRI's areas of interest.
- ❖ WRI's management and communications systems are excellent and have been enriched by being staffed by people who have built up their skills in a range of similar organizations in the Washington area.
- ❖ Similarly WRI has been able to recruit scientific staff from a range of high quality institutes, international organizations and top universities in Washington and the northeast USA.
- ❖ Washington is an attractive place for scientists, policy experts and managers from the rest of the world as it brings them closer to the center of decision making on environment and development issues.

- ❖ But WRI will achieve far greater global impact as it harnesses its Washington advantage to productive partnerships with the emerging actors in the developing world.

Building on the current Strategic Plan

There is much in the current Strategic Plan that can be used to build the next plan. The overall problem statement and strategic intent remain both sound and relevant.

Some pieces of the current Plan have been completed and don't need to be highlighted again (eg the more tactical pieces on communications, staffing and the Board). Other pieces are still very much "in process" and deserve continued emphasis, particularly completion of the work to establish an in-country presence in China, India, and Brazil.

WRIs engagement with business stands as one of the most important and far-reaching innovations during the current Strategic Plan period. There is no specific mention of this in the current Plan. In the next Plan it deserves to be both highlighted and moved to the next level.

3. WRI's theory(ies) of change

The development of the new Plan provides an opportunity to step back and think through WRIs theory (or theories) of change. There is no explicit theory set out in the current Plan. We hope to see one (or several) in the new Plan.

The closest thing we have found to an explicit theory of change is the following:

"Because people are inspired by ideas, empowered by knowledge, and moved to change by greater understanding, WRI provides –and helps other institutions provide – objective information and practical proposals for policy and institutional change that will foster environmentally sound, socially equitable development."

There was a time in the not too distant past when this formulation seemed to make perfect sense. But something has changed. The current climate change "debate" in Washington is a case in point. Ideology has been trumping "knowledge", being substituted for "understanding", trumping "objective information", even trumping what used to be thought of as "common sense".

What is to be made of this? Recent advances in the cognitive sciences provide some clues. Several authors have explored this science for lay audiences. Malcolm Gladwell on how decisions are made by individuals and by society. David Brooks on the critical role of the unconscious in decision making and in how we both view and interact with the world.⁵⁸

An important element of any theory of change is identifying key change agents.

⁵⁸ Malcolm Gladwell. 2007. *Blink: The Power of Thinking Without Thinking* Back Bay Books. and 2002. *The Tipping Point: How Little Things Can Make a Big Difference* Back Bay Books. David Brooks. 2012. *The Social Animal: The Hidden Sources of Love, Character, and Achievement*. Random House. See also Jonah Lehrer. 2010. *How We Decide*. Mariner Books.

Old think: Governments are the main actors, usually the central government.
 New think: The triad of government, business and civil society
 Alternative new think: The triad of top down (government), bottom up, and outside in (ideas from the outside)⁵⁹

Another element revolves around the roles of planning and policy reform.
 Old think: Planning and policy reform are the answers
 New think: Planning is all too often not the answer. Policy reform may be an answer but only in cases where it can be implemented.
 Alternative new think: It is the "searchers" not the "planners" that move things forward⁶⁰

WRI is very much on the "new think" track on change agents. It may have several, perhaps even conflicting, views on the roles of planning and policy reform. A classic observation made several decades ago about Nepal that continues to resonate in many parts of the world in which WRI works turns this issue on its head:

*"In a system based upon the management of powerlessness the fact that the policy levers are not connected to anything may demonstrate neither underdevelopment, nor inefficiency, nor oversight; rather, it may confirm that everything is functioning correctly. It would be as well to bear this perhaps alarming possibility in mind when devising policies aimed at alleviating the environmental and developmental problems of the Himalaya."*⁶¹

Careful attention needs to be given to messengers and narratives. WRI's Interim President, Manish Bapna, made some important points about this in a presentation he gave to the UN Panel on Global Sustainability. He noted:

*"we need to focus much more on messengers and narratives. No matter how compelling the evidence and arguments in the report, the world will not budge without diverse and credible messengers who can articulate unforgettable narratives. All too often we talk about sustainability in ways that appeal to environmentalists but not to the mainstream. We preach to the choir... we need to enlist unexpected voices that come from unlikely sectors. Frankly, I believe that the messengers are more important than the message. We need support from those who have the ability to persuade those who we cannot persuade – representatives from business, the faith and scientific communities, farmers, and young people. And of course we need civil society organizations."*⁶²

WRI is leading in applying new thinking on how to bring about change. But there is still a residual tendency in some parts of WRI to think that simply placing better

⁵⁹ Daniel Taylor et.al. 2011. *Empowerment on an Unstable Planet: From Seeds of Human Energy to a Scale of Global Change*. Oxford University Press.

⁶⁰ William Easterly. 2007. *The White Man's Burden: Why the West's Efforts to Aid the Rest Have Done So Much Ill and So Little Good*. Penguin.

⁶¹ M. Thompson and M. Warburton. 1985. Knowing where to hit it: a conceptual framework for the sustainable development of the Himalaya. *Mountain Research and Development* 5(3): 203-220. Quote from p.212. For a very recent echo that links directly to WRI's programs see Katherine Boo. 2012. *Behind The Beautiful Forevers: Life, Death and Hope in a Mumbai Undercity*. Hamish Hamilton. This book has been called hailed by Amartya Sen as "A brilliant book that simultaneously informs, agitates, angers, inspires and instigates." and by Ramachandra Guha as "without question the best book yet written about contemporary India....also the best work of non-fiction that I have read in the past twenty-five years."

⁶² <http://insights.wri.org/news/2011/10/vision-un-panel-global-sustainability>

information in the public domain will of itself achieve change. The evidence is building that this is not often the case.

4. WRI's niche and comparative advantage(s)

The next Strategic Plan needs to devote some careful attention to an analysis of the other suppliers of the products that WRI produces and the other organizations that are seeking to achieve the same policy impacts. At the institutional level, this can start with a "refresh" of the comparative analysis prepared in 2007 and work on the questions and proposed next steps at the end of that piece.⁶³

The 2007 analysis identified a "peer group" of 18 organizations.⁶⁴ They were assessed:

"...for the degree of intersection with WRI's five programmatic areas (climate & energy, ecosystems, institutions & governance, markets & enterprise, and sustainable transportation). Based partly on significant programmatic intersection and partly on the opinion of the Management Team, three organizations were then selected for a detailed comparison.[Environmental Defense, Stockholm Environment Institute and World Wildlife Fund]

*In terms of what we compared, there are many characteristics of an organization that can be used to help define a niche.....To make the detailed comparisons, we focused primarily on levers[tools that are used to create change], competencies[skills that can be attributed to people], and approach[an attitude or style that is purposefully adopted]."*⁶⁵

Among the findings:

- *"There is no single aspect of WRI that makes us unique in every comparison. Rather, it is our set of characteristics, ranging from the mission to the assets, that ultimately provides distinction. A key question is whether this set of characteristics is a compelling mix that provides a sharp enough distinction to allow WRI to grow, be more visible, and have greater impact.*
- *One way to sharpen WRI's distinction and define our niche is to identify unique threads that cut across multiple characteristics. For example, one thread is WRI's strong emphasis on credibility, the ability to set an agenda, and the use of ideas and innovation to create change. As such, WRI's niche could be partly described as "the cutting edge of knowledge" with a premium on skills related to creativity, forecasting, and technical rigor."*

The analysis ends with a series of questions and proposed next steps. These remain as pertinent in 2012 as they were in 2007. They also echo a number of the findings and recommendations of this Report (underlined below).

"A next step in this analysis will be an examination of effective partnerships and complementary levers and competencies. This assessment will go beyond WRI's peer group to consider the special characteristics of universities, private firms, multilateral institutions, and other actors.

⁶³ Liz Cook and Andrew Aulisi. 2007. World Resources Institute Strategic Planning Process: Comparative Analysis. 13p

⁶⁴ Acumen Fund, Center for Global Development, CERES, CIFOR, CI, Environmental Defense, Forest Trends, Institute for Transport and Development Policy, IIED, IISD, IUCN, NRDC, Nicholas Institute for Environmental Policy Solutions, Pew Center on Climate, Stockholm Environment Institute, TNC, WBCSD and WWF.

⁶⁵ Cook and Aulisi, p.2

As this analysis moves forward, we have set the stage for a series of key questions that WRI must answer and integrate into its strategic planning process, as follows:

- *What levers does WRI need for the future in order to grow and have greater impact? Are there levers that we can let go or deemphasize?*
- *Is there a maximum number of competencies we can maintain given finite resources? i.e., if we want to add a new competency to be more effective, does that compel the elimination of another?*
- *Of our current competencies, are they strengthening or weakening? How do we ensure that key competencies remain strong?*
- *Is there an organization that WRI should try to emulate? Is there an example of an organization that has effectively positioned itself in relation to global trends to allow for growth and impact?*
- *WRI puts significant effort into internal communication, consultation and collaboration. Our multi-issue / complex synthesis approach should be an asset that helps differentiate us from others, especially single-issue organizations. However, this may only hold if all of the programs are performing and are collaborating internally, especially through sharing of knowledge, data, and contacts. What are the best methods for internal collaboration and can WRI improve, build or streamline internal processes that maximize cross-programmatic synergy and support?⁶⁶*

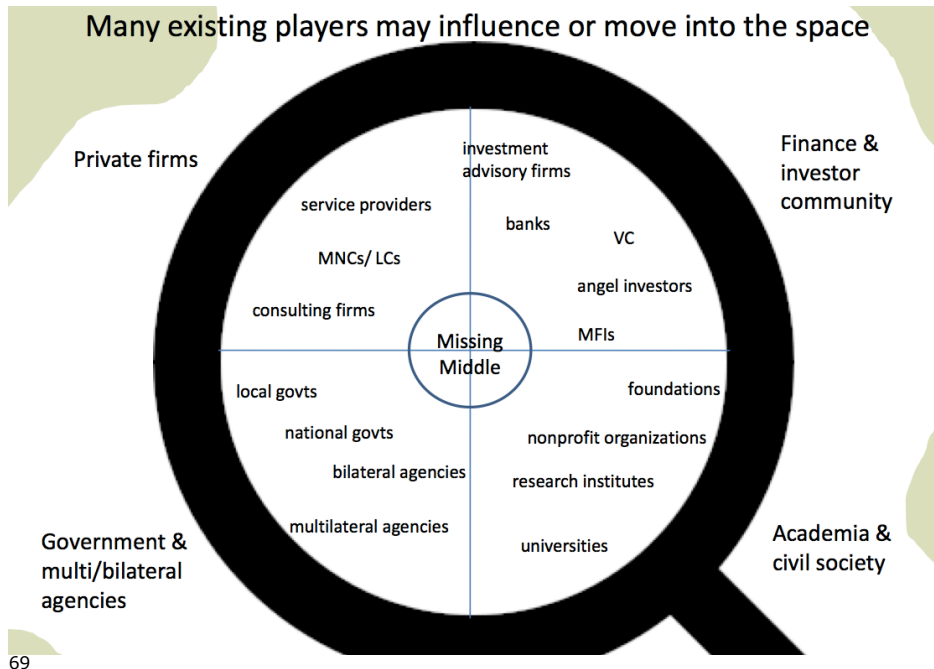
At the program level, as noted in the earlier discussion on self-assessment,⁶⁷ WRI's programs prepare a variety of analyses that help identify and define their niche and comparative advantages. These include, in the case of New Ventures, stand alone documents on: peer landscape, global metatrends, SWOT analysis, stakeholder engagement summary and lessons learned. Additional topics that would help to build program coherence include synergies across WRI, and one or more maps to ground a program with the geographies in which it plans to work. In addition, the recent MESI AOR has included analyses of gaps, barriers and challenges to scaling up and a diagnostic of political themes that help to further define MESI's niche and comparative advantage(s).⁶⁸

As one example of this work, the New Ventures program prepared a "Peer Landscape" analysis that ended up with the intriguing conclusion that there was a "missing middle" waiting to be worked on.

⁶⁶ Cook and Aulisi p.11-12.

⁶⁷ Section I.B.3.b.5 on Monitoring and Evaluation

⁶⁸ It is worth reiterating a point made in the section on research above. An important recent volume on the mapping of ecosystem services is Peter Kareiva, Heather Tallis, Taylor H. Ricketts, Gretchen C. Daily and Stephen Polask (Eds.) 2011. *Natural Capital: Theory and Practice of Mapping Ecosystem Services*. Oxford University Press. It includes several contributions by WRI staff. It is instructive that staff at TNC and WWF have taken the lead along with academics at Stanford and the University of Minnesota to pull this material together. This an indication of how crowded the ecosystem services space has become, an interesting model of NGO/University collaboration, and a signal to WRI that it needs to think very carefully about its' niche and comparative advantage(s) moving forward.



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Another example: the Corporate Consultative Group's Competitor Analysis that has looked at 11 other environmental corporate membership groups.⁷⁰

Additional suggestions on WRIs niche and comparative advantages are presented below.

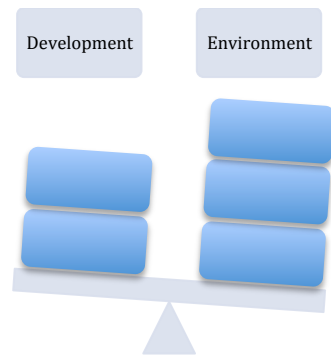
5. Reassessing where WRI c/should be along 7 Continuums

The ERT is of the view that WRI is at a juncture as it approaches its 30th birthday and prepares to develop its next Strategic Plan to think through where it stands along 7 distinct but interrelated continuums. Some of these apply to the organization as a whole. Others apply to some programs but not to others. They are continuums, not either/or propositions. Creative tension along each of the continuums is healthy. There are no "right answers" to where WRI should situate itself along a particular continuum. We offer below our considered views with the hope that they will stimulate constructive reflection, discussion and, if deemed appropriate and necessary, recalibration.

⁶⁹ New Ventures. nd. Peer Landscape. p.12

⁷⁰ The 11 are: Forum for the Future, BICEP, CERES, Conservation International's Center for Environmental Leadership and Business, The Nature Conservancy's International Leadership Council, Business for Social Responsibility (BSR), GEMI, WBCSD, WWF's Climate Savers, Resources for the Future, and the PEW Center for Climate and Energy Solutions.

1. Environment.....Development



Where does WRI fall on the environment-development continuum?

How does WRI describe itself in this regard? The formulation used extensively in recent WRI publications has been:

*"The World Resources Institute is an **environmental think tank** that goes beyond research to find practical ways to protect the earth and improve people's lives...."*

A key message on one of the People and Ecosystems page of the WRI website reads: *"Be a part of WRI's **vital work in protecting the world's ecosystems**. Join forces with WRI as a business partner or a donor."*

Do these messages differentiate WRI from WWF, Conservation International, The Nature Conservancy or the other BINGOs? ⁷¹

Earlier formulations have included:

*" **Working at the Intersection of Poverty Reduction, Ecosystem Sustainability, and Good Governance**".*

WRI Annual Reviews, 2006 and 2008 (front cover)

and

*"World Resources Institute is **an independent center for policy research and technical assistance on global environmental and development issues.....** Since our founding in 1982, WRI has become **one of the world's most respected policy and research centers for the study of environmentally, socially and economically viable development paths.**"*

Mission Design, WRI's Office Environment (inside back cover)

The WRI/SIDA Joint General Framework Grant Agreement 2010-2012 used the following formulation:

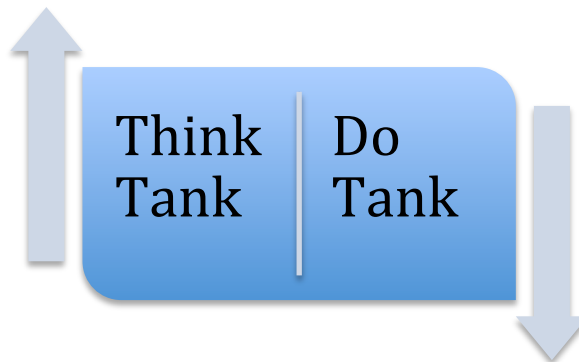
⁷¹ A now dated MESI brochure buried on the WRI website uses the tagline "Restoring nature for people's sake". This is a better reflection of what PEP programs aspire to do. http://pdf.wri.org/mainstreaming_ecosystem_services_initiative.pdf The point remains, though, that this or something close to it could be used to describe TNC's new global strategy.

“WRI is an independent, non-governmental, policy research institute, working to provide objective information and practical proposals for policy and institutional change that will foster environmentally sound, socially equitable development.”

What has been outlined above is a communication issue. Whether it is also an identity issue is something that only WRI can answer. The ERT did pick up a concern in some quarters that WRI may have something of an identity issue: at times it presents as a DC Think Tank and at times as an NGO, at times as a repository of data and knowledge and at times as an advocate on the Hill and in other fora. It may well be possible to manage different identities on different issues. Where things get complicated and potentially confused is if several parts of WRI assume different identities on the same issue or with the same partner.

Recommendation: WRI was founded to work at the intersection of environment and development. This continues to be where we believe WRI can make the biggest difference. Development needs to be reinserted into the words WRI uses to describe itself and the environmental sustainability of development must be the core business.

2. Think tank.....Do Tank



WRI was founded as a Think Tank tasked with influencing policy in arenas at the intersection of environment and development. In recent years WRI has been describing itself as a Think Tank/Do Tank, as an institution “that goes beyond research to find practical ways to protect the earth and improve people’s lives.”⁷²

WRI has deliberately chosen to move down the research to action continuum from strategic research towards downstream tactical activities. It is laudable that WRI focuses seriously on achieving impact but by opting to do so in this way it is moving into space where many other organizations are active. The question that we ask is whether WRI might achieve more impact if it focused on its heartland area of comparative international strategic research and left others to deal with application. There are certain areas where WRI is clearly recognized as a leader (climate change,

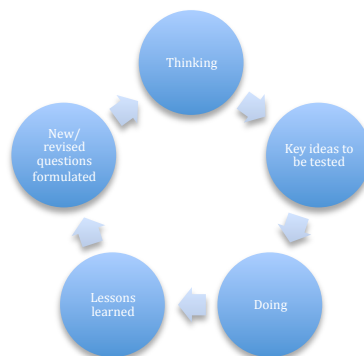
⁷² WRI Board Chair Jim Harmon isn’t a fan of the phrase Think Tank/Do Tank. His preferred description is “Solutions Driven”. Another formulation, used by IIED as the title of a series of Briefing Papers, is “Reflect & Act”. <http://pubs.iied.org/pdfs/G03341.pdf>

urban transport, greenhouse gas protocol) but others where it is one of numerous organizations pursuing similar objectives (forest governance, REDD, corporate environmental performance etc).

In some programs it is hard to distinguish the work of WRI from the work of BINGOs and development contractors. A case in point: forest mapping in the Congo Basin.

Recommendation: We believe that the time has come for WRI to carefully review the Think Tank/Do Tank balance in each of its programs. We are **not** recommending no "Do Tank". We are saying: the "doing" needs to be strategic. No doing simply for doing's sake. This is not WRI's niche or comparative advantage.

In all cases where WRI is "doing", the doing needs to produce lessons and be rigorously linked back into further thinking:



A subset of the Think Tank/Do Tank continuum is the research – advocacy continuum. WRI describes itself as a policy research institute and it has many excellent research outputs to its credit. However there has been a move away from actually doing research towards synthesizing and delivering research. Given the changes in the global research and development landscape this may be an appropriate move. However it should not come at the cost of maintaining a rigorous, scholarly institutional culture.

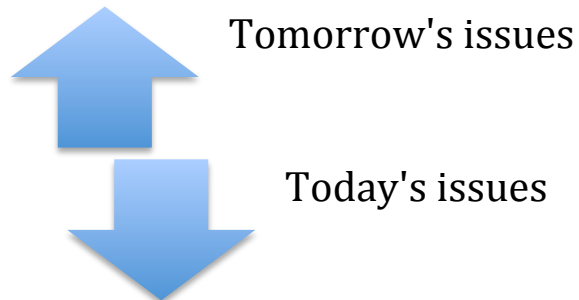
Turning to the advocacy side of this continuum, WRI seems to speak with several voices. On the one hand, The Access Initiative has a clear advocacy voice including proactive work on the "3 Demands Campaign" aimed at influencing the outcome of Rio+20 on Principle 10.⁷³ On the other hand, WRI is not able to lend its support to the Natural Capital Declaration being promoted in the run-up to Rio+20.⁷⁴ With the

⁷³ For example, the publication *What We Want from Rio+20: Civil Society Organizations Voice their Demands for Environmental Democracy* which includes the steps for signing an online petition and joining the "3 Demands Campaign". For any readers who may not be familiar with it, Principle 10 of the Rio Declaration of 1992, supported by 178 governments, recognized that the key to fair and effective environmental decision-making was engaging the public through greater access to information, participation and justice.

⁷⁴ WRI's response to our query on this: On the Natural Capital Declaration, WRI hasn't signed on to the list of supporters not because we don't support the cause, but because institutionally we typically don't do "sign-on" letters and declarations. WRI's "Ways and Means" document categorizes "sign-on letters" as a red light activity at WRI. Details on the Declaration are at: <http://www.naturalcapitaldeclaration.org/>

arrival of a new President and the development of a new Strategic Plan WRI has an opportunity to think through where it seeks to be on the research – advocacy continuum.⁷⁵

3. Tomorrow's issues & outcomes.....Today's issues & outcomes



WRI made its name raising and thinking about tomorrow's issues. This is still happening in parts of WRI. One example during the course of the External Review: the Transforming Transportation conference that was held at the World Bank in late January. EMBARQ organized the global gathering with the World Bank and was the first of 7 logos on the program: EMBARQ, World Bank, IDB, ADB, ITDP (Institute for Transportation & Development Policy), the Clean Air Initiative for Asian Cities and the Partnership on Sustainable Low Carbon Transport. This example shows not just the convening power of WRI in the sustainable transportation arena but its ability to work with the other key global actors to set the agenda and to then both influence and help lead the next generation of work on sustainable transport.

In some program areas WRI has been more focused on today's issues. Forestry is a case in point. In Washington groups such as Forest Trends, the Rights and Resources Initiative, the Africa Regreening Initiative working with USAID and IFPRI, Ecoagriculture Partners and the Center for Global Development have been identifying emerging issues and opening up new ground.

The recent constitution of a WRI-wide group to develop a new 10 year Forests Initiative, and the vision driving this process, show that WRI is both aware of and taking vigorous steps to address this issue. The key goal was identified as "Transformative change: *The destruction or alteration of one or more of the*

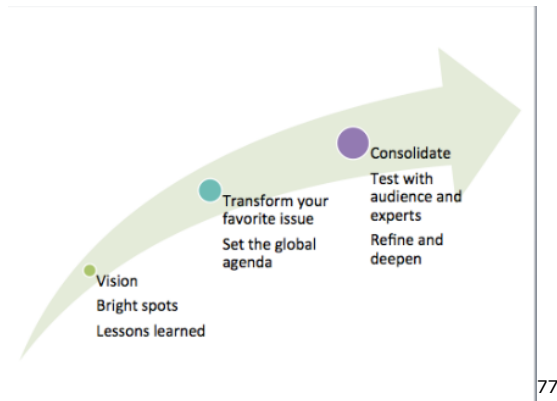
⁷⁵ WRI's founding President Gus Speth declined the ERT's request to be interviewed. Our hunch is that his views on advocacy have shifted over the past 30 years. Exhibit A: Vermont Law School Professor Gus Speth was arrested Aug. 20 in Washington, D.C., at the start of the Tar Sands Action, a civil disobedience effort to stop the proposed Keystone XL Pipeline. Speth, an expert in climate change and environmental ethics, released the following statement from jail:

"We, the prisoners being held in the Central Cell Block of the D.C. Jail, need company and encourage the continuation of the protests against the tar sands pipeline. Help us stop this disastrous proposal! I've held numerous positions and public office in Washington, but my current position feels like one of the most important."

http://www.vermontlaw.edu/news_and_events/news/vermont_law_professor_gus_speth_walks_the_talk.htm

*fundamental drivers of a major environmental/development challenge, influenced by WRI's work in concert with other organizations and individuals.*⁷⁶

This was presented graphically as follows:



Recommendation: The new Strategic Plan provides an important opportunity to consult widely and think carefully about the “on and over the horizon” issues that WRI should be working on. The key here is to spot the policy question or the piece of analysis that needs to be done now because it will appear on the global agenda sometime down the road. Two suggestions:

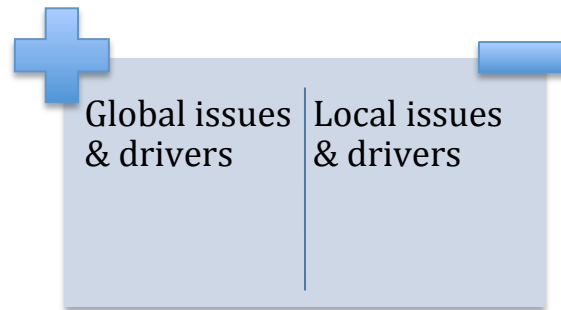
- Land degradation and what is needed to reverse it is a pressing and important issue. WRI has recently hired several people who are real leaders in this field. WRI is well positioned to do the upstream analytics work on this issue.⁷⁸
- A number of individuals with deep knowledge of both the environment and the development communities have expressed the view that the set of issues raised by the Millennium Ecosystem Assessment - sometimes called ecosystems services, sometimes called natural capital and sometimes presented under other rubrics (sustainable development, the green economy etc.) -are even more important now than they were 20 years ago because they sit at the heart of the linked issues of food, water, energy and climate. There are many groups working on each of these issues, and a rapidly growing number of groups that aspire to work on several or all of them but WRI is uniquely positioned to use its analytical and evidence-based methods coupled with its reputation and convening power to do the “horizon mapping” on this critical set of issues.

⁷⁶ FLO Review May 26, 2011

⁷⁷ WRI. June 2011. Process of Developing the new WRI Forests Initiative Powerpoint. slide 8.

⁷⁸ This would also provide a way to bring together the work on Forest Landscape Restoration (under FLO) and the new work with Chris Reij to strengthen his Africa Regreening Initiative (ARI) and take it to a global scale. In addition it would provide important input into the next WRR on food and water security and provide a firmer analytical base for some of WRI's new work on climate adaptation.

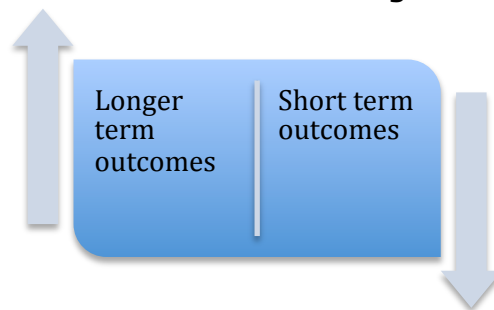
4. Global issues & drivers.....local issues & drivers



This continuum runs closely parallel to the one discussed above. WRI was established to identify and work on key global issues and drivers. These issues were always seen to be reflected at regional and local levels, but the emphasis was on the big picture. As one example, 10-15 years ago WRI's forestry work had a global profile. Today, WRI is contributing to important broader efforts by many groups in the Congo Basin and Indonesia but, with the possible exception of the work in Indonesia on oil palm and degraded lands, WRI is not out in front identifying and analyzing issues and moving the global forest agenda forward.⁷⁹ Efforts are actively underway to develop a cross-Institute forestry program that will once again have a global profile and make a global difference.

Recommendation: WRI needs to be active across the full spectrum of geographic scales. That said, in most cases WRI's comparative advantage continues to be at the global and inter-country rather than at more local levels. Developing strategic partnerships with groups working at local levels would be one way to field test WRI ideas in the "real world".

5. Short term outcomes.....Longer term outcomes



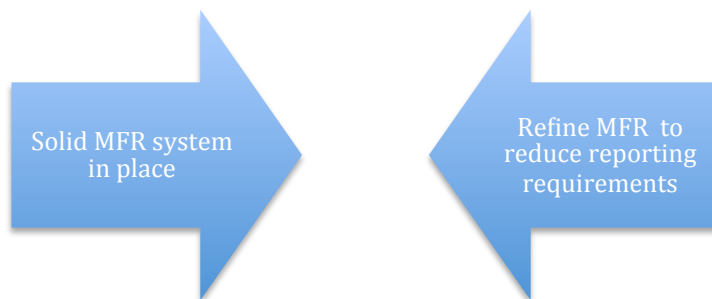
⁷⁹ By way of contrast, the Rights and Resources Initiative (RRI) established five years ago as a global coalition to advance forest tenure, policy and market reforms has been producing a stream of thought pieces that are influencing the global debate. One recent example: *Turning Point: What future for forest peoples and resources in the emerging world order*. RRI is also working with MegaFlorestais and the Forest Services of 70% of the world's forests including Australia, Brazil, Cameroon, Canada, China, the Democratic Republic of the Congo, Indonesia, Mexico, Peru, Russia, and the United States and hosting an annual leadership seminar on Global Issues in Governance of Natural Resources. (www.rightsandresources.org) There is no reason for WRI to compete in the space that RRI has opened up. The challenge is to a) work with RRI if and when that makes sense, and b) seek out other spaces that deserve attention and focus on them.

Outcomes **are** important. WRI is to be congratulated for moving beyond outputs to make outcomes a central element of its institutional culture. That said, the MFR tiered ranking system and the annual “Top 10 Outcomes” process appear to be giving too much emphasis to outcomes this year or next at the expense of **building the capacity and institutions that will produce *impacts* further down the road.**

Example: The EPE program has patiently built capacity and institutions in East Africa over several decades with groups such as Advocates Coalition for Development and Environment (ACODE) in Uganda and Lawyers’ Environmental Action Team (LEAT) in Tanzania. This does not win recognition in the current WRI system but may be of more lasting importance than the work on illegal logging in Central Africa that has been recognized multiple times in the past several years as a “Top 10 Outcome”.

Recommendation: Adjust internal incentives to bring short term outcomes and longer term impacts into balance.

6. Managing for Results: refining the system



The development of a comprehensive Managing for Results system over the last several years has been a major accomplishment. We were pleasantly surprised to find that documentation spelling out internal discussions and the rationale(s) for programming decisions was readily available. WRI is well ahead of many NGOs in this regard. Having put a solid system in place it is now time to step back, take a look at the demands the system is placing on staff, and carefully weigh the costs and benefits of the various reporting requirements. A “best practice” for this process already exists at WRI: the process used to develop the Institutional Excellence/Efficiency, Excellence, Effectiveness Objective.⁸⁰ A key element of this process was the staff survey used to identify issues and constraints. A central tenet of the philosophy used to address the issues identified is “striving for the simplest, most effective methods and tools to support WRI’s mission.”

Recommendation:

Based on our discussions with staff we recommend that WRI:

- Shift from quarterly to semiannual project reporting.
Note: Quarterly review of project financial status may continue to make sense. The other exception may be programs in the newly established offices

⁸⁰ WRI Program Book 2011-2012. p.189ffl.

- in Beijing and Mumbai where staff are still new to WRI systems and standards.
- Formalize the shift from Annual Objective Reviews (AOR) process to once every two years or as part of a major mid-term review half way through the Strategic Plan period.
 - Rethink the Program Book and its large Annex. Does this need to be produced every year? Key drivers for the rethink include the needs of the intended audience(s) and the costs vs benefits of the resources invested to produce the document.
 - As part of the survey proposed above, solicit staff feedback on the Tier 1/2/3 ranking system and the “Top 10 Outcomes”. If the “Top 10 Outcomes” are continued, consider adding some new dimensions that will help promote key WRI values. For example, outcomes that promote, demonstrate and celebrate:
 - Deep and effective partnerships (with the recognition going to both WRI staff and their partners)
 - Synergy across WRI programs
 - Collaboration across WRI country programs (ie South-South collaboration)
 - Add periodic self-assessment by each of WRI’s projects and programs to the MFR system.
 - As part of the discussions leading to development of the next Strategic Plan, consider adding more formal external evaluation into the MFR/monitoring and evaluation mix. While there are certainly good reasons to support a move in this direction, there are financial and other opportunity costs that must be carefully weighed on the other side. Linking up with specialists in development evaluation could provide WRI with an ongoing source of “renewable energy” to drive this effort. WRI’s views on the usefulness of the current External Review should, of course, also be factored into this discussion.

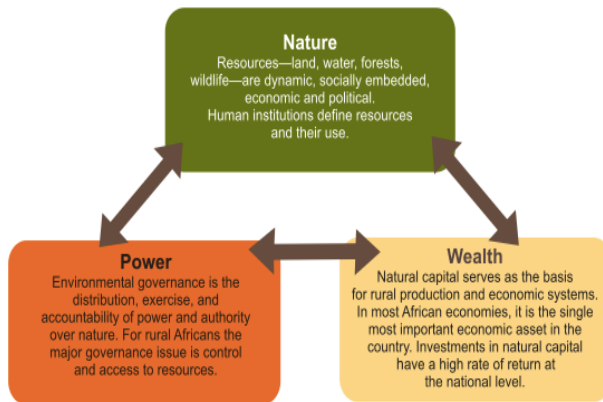
7. The Nature, Wealth and Power (NWP) framework⁸¹

WRI played an important in developing the Nature, Wealth and Power (NWP) framework a decade ago and in introducing it to the wider world through the 2008 World Resources Report *Roots of Resilience – Growing the Wealth of the Poor*⁸²

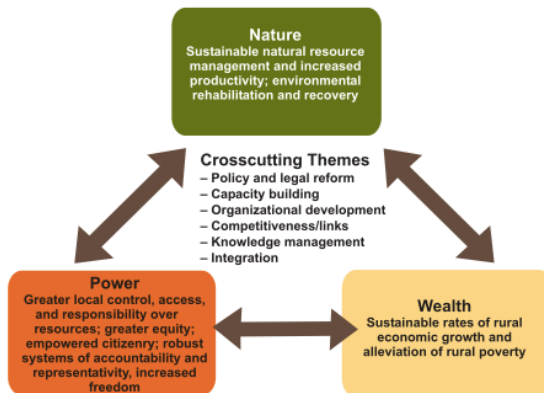
⁸¹ In the interest of full disclosure, George Taylor was part of the Steering Committee that developed the NWP document. Three of the lead co-authors with Jon Anderson have direct WRI links: Peter Veit and Jesse Ribot on the Power section and Bob Winterbottom –then at IRG now back at WRI- on the Nature section.

⁸² J. Anderson et.al. 2002 Nature, Wealth and Power, Emerging Best Practice for Revitalizing Rural Africa. Washington DC: USAID. http://pdf.usaid.gov/pdf_docs/PNACR288.pdf (English) and http://pdf.usaid.gov/pdf_docs/PNACR289.pdf (French) A Spanish version is also available and a draft Portuguese translation was produced.

Nature, Wealth, and Power—Definitions and Links



Moving Forward—Outcomes and Crosscutting Themes

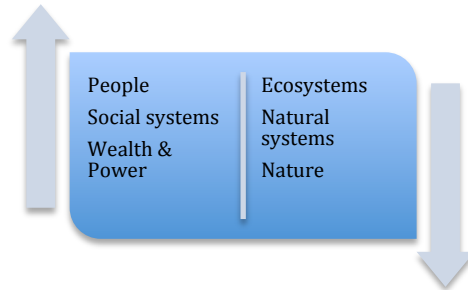


While the fate of Africa's natural resources cannot be separated from the broader context of economic and development challenges, neither can Africa's economic and development future be separated from the management of its natural resources. Building on lessons learned from more than 20 years of natural resource-based development in rural Africa, this document presents principles and action steps that can serve as a guide to investment there.



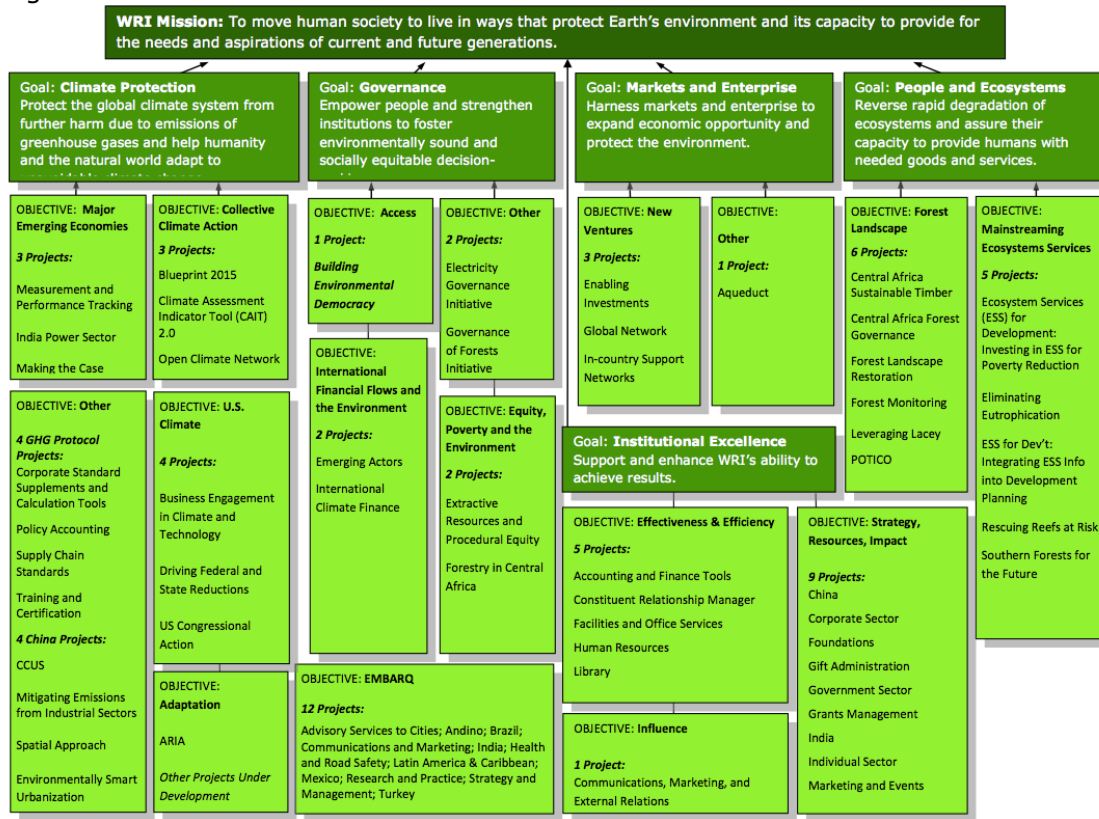
The NWP framework is mirrored in WRI's current strategic plan in an interesting way. In Section II Our View of the World, the core elements of the WRI worldview are presented in three sections titled Accelerating Degradation of Ecosystems (nature), Growth and Inequality of Opportunity (wealth) and Multi-polarity of Power.

Recommendation: That WRI use the Nature, Wealth and Power (NWP) framework as a way to conceptualize and approach its program development.⁸³ Applied to the People and Ecosystems Program (PEP) portfolio, for example, the NWP framework would support a recalibration that is already underway:



6. WRI Programs and program synergies

WRI’s current programs are captured in the following Projects and Objectives Alignment Chart:



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⁸³ Or some alternative framework that covers the same bases. Factors supporting the choice of NWP include WRI’s direct role in its creation and dissemination, the simple yet evocative triad and terminology, and the familiarity of parts of the development community with the framework.

⁸⁴ WRI Program Book 2011-2012,p.239

Which of these programs should continue through the next Strategic Plan and how can the complementarity and synergy between them be maximized? The ERT offers several recommendations for WRIs consideration.

Programs

CEP

The deep disappointment on the lack of significant progress in the US and with the US on the international regime must not lead to complacency. This continues to be the single biggest global environmental challenge and WRI is exceptionally well placed to continue working on it.

Recommendations:

The ERT recommends increased attention to local solutions and to global work outside of the UNFCCC framework.⁸⁵

For work in the US we recommend that CEP pivot: changing its approach to climate change by framing it in terms that emphasize competitiveness and economic growth.⁸⁶

WRI's work in the international climate space is widely appreciated. The China FAQs website is both innovative and demonstrates that WRI has developed an ability to project other points of view into the US. The work on Track II diplomacy, including the February visit of the India delegation to Washington, is another indication of WRI's growing maturity and stature in the global policy arena.

The launch of a new objective on vulnerability and adaptation presents WRI with an important opportunity to demonstrate effective synergies across its four program areas, develop linkages between programs in India/China/Brazil and Africa, and serve as a building block for a more coherent strategy of engagement with Africa.

EMBARQ

EMBARQ is presented to the outside world in places like the WRI website as part of the CEP Program. In internal documentation it is often listed and treated separately. EMBARQ is a global brand. It has its own flourishing network of global centers and is working on much more than climate and energy.

⁸⁵ The recent UNEP/WRI publication makes this point in its discussion of Options outside of the UNFCCC to increase ambition beyond existing commitments and actions (multilateral strategies, Plurilateral and bilateral strategies and Domestic-level strategies. UNEP/WRI. 2011. Building the Climate Change Regime: Survey and Analysis of Approaches. Advance Copy/Working Paper. 84p. See also William Antholis and Strobe Talbott. 2011. *Fast Forward. Ethics and Politics in the Age of Global Warming*. Brookings Institution. Which makes the case that the "Big Four", the US, European Union, China and India must lead the way forward. <http://www.brookings.edu/press/Books/2011/fastforwardrevised.aspx>

⁸⁶ If it hasn't already done so, CEP may wish to connect with the recently established Center for the New Energy Economy at Colorado State University. The Center, led by former Colorado Governor Bill Ritter, is housed in CSU's School of Global Environmental Sustainability which was founded and is directed by WRI Board member Dana Wall. <http://cnee.colostate.edu/>

Recommendation:

The time has come to separate EMBARQ from CEP and elevate it to full Program status. The current Strategic Plan noted that WRIs work in two areas –sustainable cities and water- might grow into full Programs. The ERT believes the time has come for WRI to develop and launch the Sustainable Cities program.

EMBARQ is already moving from sustainable transport into new arenas (eg the work in India on city planning for Naya Raipur, the new capital of the state of Chhattisgarh. IRT Trustee Ashok Khosla noted, getting ahead of the major additional urbanization that will be happening in India is of central importance to having a fighting chance of being able to deal with this phenomenon.) The launching of the new Caterpillar Foundation- funded low-carbon cities and environmentally sustainable urbanization project in China, India and Brazil adds an important new dimension to WRI's work on sustainable cities.⁸⁷

As part of the development of a new program on sustainable cities, WRI would do well to take a careful look at the experience gained under USAID's path breaking work on urban programs through a global network of Regional Housing and Urban Development Offices (RHUDOs) in the 1980s and 1990s.⁸⁸ Some of this experience was reflected in the 1996-97 World Resources Report on the Urban Environment.⁸⁹

IGP

Although it is one of the smallest units in WRI, IGP is one of the most innovative⁹⁰. It is also arguably the most important program unit in two regards: as a key cross-cutting theme across the Institute and as a catalyst for program integration.

Recommendation:

The single most important decision on the horizon about IGP is the selection of its new leader. This will determine in no small measure how the program evolves during the next few years.

MEP

MEP is the WRI program that the ERT knows least about. The New Ventures and Aqueduct programs are both doing important work. New Ventures builds on the path-breaking work of WRI Board member the late C.K. Prahalad. His Bottom of the Pyramid work (morphed by WRI into Base of the Pyramid) led to the landmark WRI publication *The Next 4 Billion: Market Size and Business Strategy at the Base of the Pyramid* that was sponsored and underwritten by the IFC and the IDB with additional support from Intel, Microsoft, the Shell Foundation and Visa. We have noted with

⁸⁷ The recent work of the Metropolitan Policy Program at the Brookings Institution led by Bruce Katz, deserves careful review including the Blueprint for American Prosperity: Unleashing the Potential of a Metropolitan Nation.(2007) http://www.youtube.com/watch?v=Gfk307pp_Ko

⁸⁸ The best place to start: Peter Kimm who conceived, developed and led this work for many years. One of the key partners was the International City /County Managers Association (ICMA) located around the corner from WRI. <http://icma.org/en/icma/home>

⁸⁹ <http://www.wri.org/publication/world-resources-1996-97-urban-environment>

⁹⁰ Both its programs (eg TAI, EPE and IFFE) and also its ability to identify and tap into new funding sources (eg the Gates Foundation and the partnership being built with ARD/Tetrattech to pursue USAID funding)

interest that this 2007 publication has been either at or near the top of the "Most Popular" list on the WRI website during the course of the External Review.

Aqueduct is new and just finding its footing. The recent agreement to work together with the WBCSD rather than on a parallel track is most welcome. The inclusion of Aqueduct as part of the soon-to-be-formalized U.S. Water Partnership provides WRI with a useful opening into the dynamic and very crowded world of work on water issues around the world.⁹¹

Recommendation:

That the MEP mandate be expanded to include a more active role in all business and market-based program elements across the Institute. This might include an expanded role in the management of the Corporate Consultative Group as it evolves from what has been primarily a funding (aka donor) mechanism into substantive cross-company work in programmatic areas (eg forestry, ecosystem services).

We have recommended above that CEP pivot to an approach to climate change in the US that emphasizes competitiveness and economic growth. This would provide opportunities for CEP and MEP to work more closely together.

PEP

The ERT has had extensive interaction with PEP and its programs. The results are evident throughout this Report. PEP is to be commended for the recent strengthening of its staff by hiring individuals with extensive field experience in Africa, Asia and Latin America

Recommendations:

Detailed recommendations on FLO and MESI are presented in Annexes A and B.

At a more general level, the ERT fully supports the "restart" on forestry and the "reset" on ecosystem services that are both actively underway.⁹² The new thinking that we have seen in both of these areas is on target. In our view the focusing of MESI and the pivot to food and water security is an important first step, but only a first step. More thought needs to be given to WRI's comparative advantage(s) and to how these can be translated into a cutting-edge set of projects. In our view, the time for these decisions is not now. We recommend that WRI "make haste slowly": waiting for some key directions to emerge from the next WRR, for the important new work with Chris Reij to get "settled" into PEP, for Johan Schaar and the Vulnerability and Adaptation (V&A) team to more clearly define where that new program is going, for MESI (and PEP more broadly) to have a chance to carefully assess what kinds of engagement in India make most sense (over and above what the V&A program will be doing), and for WRI as a whole (including the new President) to mull over some of the bigger-picture findings and recommendations of the External Review as they apply to WRI's next steps in the ecosystem services/natural capital arena. The next WRR in particular will serve to identify both "gaps" in the current global work on food

⁹¹ see also Section I.D.8 below on water

⁹² "Restart" and "reset" were terms given to us by WRI as shorthand for describing the internal processes that were underway for three of the four programs selected for program reviews (FLO, MESI and EPE). The "restart" of FLO is in fact the development of a new program based on a WRI-wide Forests Strategy that is being developed for the period 2012-2017.

and water security as well as areas for future WRI work. Once that information is available we anticipate that a MESI “restart” will be in order. In our view, the new program (presumably with a new name and acronym) needs to be big-picture, cutting-edge, horizon-mapping. Several ideas have been suggested in the discussion on Continuum #3 above.

The processes discussed above may identify opportunities to allocate tasks and staff within PEP in new and different ways.

Speaking of the allocation of tasks and staff, In response to an ERT suggestion that WRI consider setting up an organizational unit dedicated to issues of rural poverty and ecosystem health in developing countries, WRI has noted the MESI work on Ecosystem Services for Development, WRI’s work with the UN’s Poverty-Environment Partnership and the related Poverty-Environment Initiative and work with IGP/EPE on underlying governance challenges linked to poverty and suggested that rather than creating a new organizational unit these issues be addressed through further advances in synergies between programs and cross-programmatic work. While this is certainly one way forward, recent information shared with the ERT leads us to recommend that WRI move in a different direction. As discussed earlier, WRI is in the process of focusing the MESI program. Only projects that deliver against “investing in ecosystems for food and water security” will be part of the next iteration of MESI. This means that if the poverty-environment work stays in MESI it will need to focus exclusively on food and water security. We suggest that the time has come to consider moving the poverty-environment work out of MESI and out of PEP and housing it either in the new Vulnerability and Adaptation objective or in the Office of WRI’s Managing Director where it would be able to link to the full spectrum of WRI’s program areas. An additional rationale for placing it in the Managing Director’s Office is that this work c/would be managed by the same team that has developed a proposal for a new cross-program, cross-objective project designed to influence and shape the UN’s Post-2015 Development Agenda by replacing the Millennium Development Goals (MDGs) with new Sustainable Development Goals (SDGs). This project, if approved, will need a high-profile home and major support from the highest levels of WRI – both the administration and the Board.

Stakeholder Feedback #3**What areas should be given priority attention in WRI's next strategic Plan? Current programs that deserve increased attention.**

Biological resources possibly should focus less on ecosystem services per se and more on the major drivers of deforestation and the need for agricultural intensification.

Keep on with the governance work

Need to re-think climate program in light of the failures of Copenhagen and US Policy

Ecosystem services review and practical application

Renewable energy tradeoffs and carbon lifecycle work

The fundamental topics don't change that much: climate change, loss of biodiversity and ecosystem functioning, ensuring that poor people can continue to rely on natural resources, finding ways to make the corporate world greener. What makes a difference is having first rate, creative, out of the box thinkers. WRI has tended to lose that. One major function that WRI should continue to perform is producing World Resources Reports and books that are the definitive works on major topics.

Climate change and Resource Management/Adaptation Strategies/Drivers

Governance and Empowerment, Tenure and Rights

More growth/focus on the international work in China/Asia

Commodities: political economy, resource pressures, ways to empower local communities whose resources and well-being are under threat.

Working to bring greater integration and new ideas to WRI's major goals and objectives. As important as managing for results is, what has been often lost is the opportunity to shape new projects and ideas that can then grow into new objectives and even a revision of the four programs (rather than putting all projects that can be funded under existing goals and objectives).

Look more closely at the multi scale approaches that WRI has taken in selected areas. For example, how can The Access Initiative be more adaptable to community development as well as become law of the land at the national level? How can WRI work with new and different kinds of partners to bring that about? Must it always be with NGOs?

Climate Protection, Governance, Markets (in that order)

Stakeholder Feedback #4**What areas should be given priority attention in WRI's next strategic Plan? New program areas.**

New focus and partnerships on sustainable agricultural intensification/Eco-agriculture/climate-smart agriculture in both industrial and developing countries.

Intersection of ecosystem services, agriculture, and energy needs.

Sovereign wealth funds and where/how they invest, implications trends

Green jobs

Citizen science and geography, including participatory mapping

Decision support tools including scenario-building tools

A renewed focus on earth monitoring drawing upon both local level observations (with tech support from WRI and/or partners) and global observations

Political ecology and environmental justice

Work more on cross-sectoral activities, e.g., forests and agriculture linkages in a landscape framework

One of the objectives/approaches defined in the strategic plan was to "engage with an expanding global middle class, especially in Asia, whose decisions—as consumers and shareholders—will shape our world's future." Haven't seen much work on this. Needs to be in the new plan.

More on global investment (e.g. land grabs, withdrawal from some economies) and demographic/consumption trends and impact on the environment (e.g. where are the greatest risks and for what – water,land)?

Sustainable level of using / consumption of natural resources

Clearly the funding context, the information technology context, and the competition are changing rapidly. WRI was set up on the assumption that the US would be a leader in the field of sustainable development. While US universities are still very important, the US government has not provided any leadership in this field for many years. WRI is not well positioned for a world where the BRICS / BASICS and / or Europe become much more central to these issues than the US.

Stronger connection to daily field work of sustainable development, with full-time presence on ground in Africa (including outside of capital cities).

WRI is now ready to focus on sustainable cities, building from the China program and EMBARQ experiences.

Forest use mapping for local community access.

Help to build and support inclusive communities of practice

Program synergies

The current Strategic Plan spelled out strong aspirations in the realm of program synergies. As discussed earlier in the Report, some of these aspirations are beginning to be met, but there is still a long way to go. This is an ongoing challenge in every organization. The work suggested below on developing a more coherent approach to partnerships across the Institute should help to promote synergy. Other suggestions include requiring that annual work plans of individuals specify what contributions they will make to cross-program synergies and the joint management and funding of joint efforts.

An interesting organizational innovation at WRI that could be used to advance this agenda further is the Goal Steward. Goal Stewards (who are also the Directors of WRI's four key program areas) lead and manage their programs but they are also responsible for the entire Institute's contribution to that goal. As such, they are responsible for identifying potential synergies and cross-program linkages and then working to make these a reality.

A suggestion: In the busy day-to-day work world of WRI, staff at the Program Director/Goal Steward level have many competing claims on their time. One way to open up the discussion on program synergies would be to try a variation of crowd sourcing. Using the periodic WRI All-Staff Meetings as a venue, two Goal Stewards would be asked to make presentations on a) current synergies between their two programs, and b) proposed future programmatic linkages. Discussion would then be opened up to solicit ideas from the whole staff. An alternative would be to generate ideas from across the Institute using a competition-for-the-best-ideas format. In both cases the goal would be to find practical, doable links

Thinking is already underway at WRI on ways to promote program synergies between the China, India and Brazil programs. The newly-launched low-carbon cities and environmentally sustainable urbanization project provides a vehicle for this. In some cases Board members may have important insights to offer.⁹³

7. Partnerships: the key to making a difference

Partnerships are one of the core elements of WRI's approach, along with analytical excellence, practical solutions and outcomes. WRI has hundreds of partners working in different ways with its various programs. As noted earlier, while impressed with the scale of partnership, with the important exception of the Corporate Consultative Group the ERT was unable to find any useful typology or mapping of the current partnership landscape nor any vision or operational guidance on how WRI selects, manages and evaluates these partnerships. There was also no indication of cross-program or cross-Institute strategic thinking or coordination on these matters. The preparation of the new Strategic Plan presents an opportunity to think through and elaborate this key element of the WRI approach.

During the ERT visit to India we came across a model that may prove helpful in thinking through this issue. The TERI Annual Report for 2011 has a full chapter

⁹³ The recent suggestion that WRI Board member and IRT Trustee Jamshyd Godrej get involved in looking at the China program is an excellent idea. There may be members of the WRI China Advisory Committee who could work in the opposite direction (visa issues permitting)

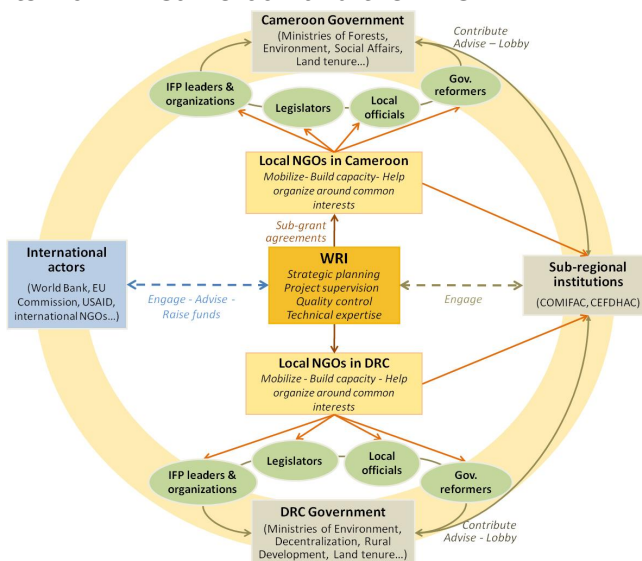
devoted to Partnerships and Networks.⁹⁴ The chapter starts with the following preamble:

“When trying to link research, policy, and practice, individual researchers or organizations can have greater impact by working collaboratively. TERI recognizes the need to build-up collaborative partnerships and networks with the objective of sharing knowledge, enhancing technological capabilities, fostering innovation, building local capacities, and strengthening competitiveness. It continues to team up with local, international, and bilateral institutions to promote sustainable interventions. Our research collaborations, MoUs, partnerships, along with the areas of interest, are listed in the following table.”

The rest of the six-page chapter consists of seven tables that divide TERI's partnerships into seven categories (government, bilateral and multilateral organizations, research and academic institutions, banks and financial institutions, domestic and multinational corporates, private sector companies; and NGOs, networks and international organizations). Each entry includes the name of the partner, a brief profile, the focus area of the partnership with TERI, and the type of association (collaborative research, knowledge partner, implementation partner, MoU, funder, technical support etc).

Mapping WRI's 522 partners along these and other relevant axes (eg WRI program and country parameters) would provide a useful snapshot of the current scale and scope of WRI's partnerships and serve as a starting point for some careful thinking about how WRI wants to define, distinguish, present, manage and periodically evaluate its partnerships moving forward. TAI alone estimates that their global network now includes 250 + partners in 50 countries. Mapping where and how these partners are linked to other WRI programs would be an important first step in the strengthening of synergies discussed above.

An interesting way to think about partnerships and to start mapping them is to develop graphics along the lines of the used by EPE to describe the influence strategy for its work in Cameroon and the DRC:



⁹⁴ http://www.teriin.org/about/Annual_Report_2011.pdf

8. Crosscutting themes: Increased attention to poverty, equity, gender, indigenous voices, consumption and water

The ERT suggests that the new Strategic Plan would benefit from thoughtful consideration of a number of crosscutting themes that were either not mentioned in the current Plan or deserve additional attention. We are not suggesting that WRI needs to launch new programs in any of these areas. We are suggesting that each of the issues deserves heightened attention both in the next Plan and in the programming (and program refinement and adjustments) across the Institute over the next several years. We believe the keys here are recognition that the issues are important followed by conscientious attention to finding ways to include and address them within existing programs

Several of the issues discussed below have been highlighted both in the input that the ERT received from WRI's European donors (reported on in Section C above) and in WRI's recent discussions with its European donors in preparation for the development of the next Strategic Plan.⁹⁶

a. Poverty

There was a time not too long ago when poverty was one of the central elements of the way WRI presented itself:

*" Working at the Intersection of **Poverty Reduction**, Ecosystem Sustainability, and Good Governance". WRI Annual Reviews, 2006 and 2008 (front cover)*

In recent years poverty appears to have received less attention.⁹⁷ There is, of course, poverty-focused work going on across the WRI portfolio (eg the New Venture focus on SMEs, the MESI/Development work led by Peter Hazlewood and, of course, the Equity, Poverty and Environment (EPE) program...the one program where the word "poverty" rises to the level of the title).

There are many reasons to focus on and highlight poverty more proactively. Two of the major new country initiatives, in India and China, are in countries with huge populations of poor people whose futures depend very much on better environmental management. Poverty will be the main focus of emerging work in Africa but poverty

⁹⁵ EPE FY12 Objective Plan. Final Draft, p.10

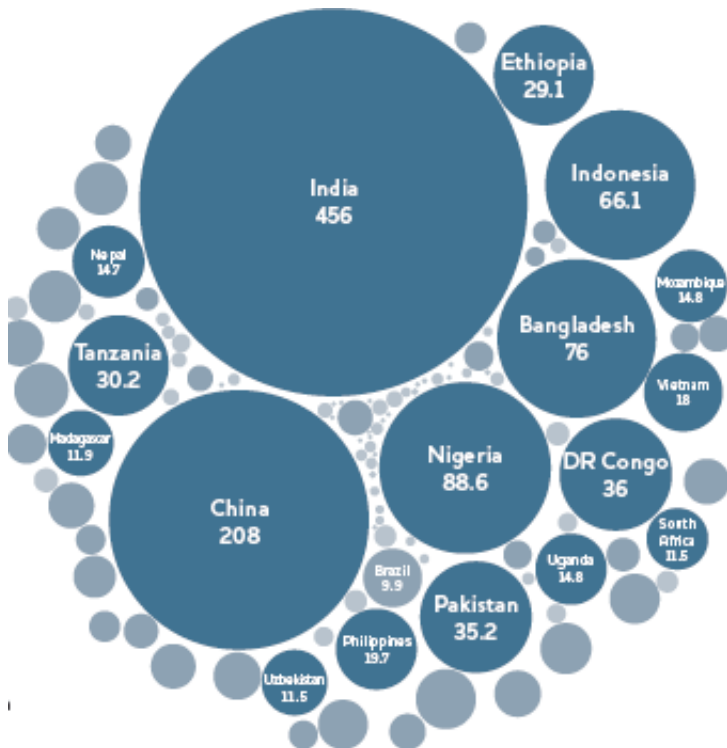
⁹⁶ WRI. February 2012. *Main themes from the consultation with European partners on WRI's next strategic plan January-February, 2012*. 4p.(internal summary)
 SIDA Helpdesk for Environment and Climate Change. February 2012. *Input to SIDA's strategy meeting with WRI 17 Jan 2012(main factors shaping sustainable development in the medium to long term, and WRI's niche and contributions to addressing global sustainability challenges)*. 7p. Issues raised included: the growing middle class, the food-energy-water nexus, equity & social justice and urbanization

⁹⁷ eg Poverty is mentioned only 4 times in the current Strategic Plan. WRI has recently prepared a document titled *How WRI's Work Benefits the Poor* that "clarifies how WRI addresses poverty in its work. It sets out WRI's perspective on the poverty reduction challenge, explains why poverty matters to WRI and how we are contributing to improving the lives of the poor" along with a spreadsheet that lists WRI's projects and ranks their poverty relevance (high, medium,low). This is a useful step in the direction of both mapping what WRI is currently doing and starting to think through what else can and should be done as part of the runup to development of the next Strategic Plan.

is not just an African problem. We have heard but do not agree with the claim is that working on poverty and working more in Africa are necessarily linked. Two points:

- Africa is much more than poverty. Africa is on the cusp of significant economic growth. It is also a key arena for work on resource management and utilization.
- Poverty is much more than Africa. Twenty years ago 93% of poor people lived in low-income countries. Today, three-quarters of the world's 1.3 billion poor people live in middle income countries. This is dramatically illustrated on the graphic below:

Location of population living under US\$1.25 per day



Source: Andy Sumner, Institute of Development Studies, 2010. Figures in millions of people. Graphic courtesy *The Guardian* www.guardian.co.uk/global-development

Some in the development arena maintain that WRIs focus on China, India and Brazil aka the BRICs⁹⁸) is either instead of or at the expense of Africa. We prefer to look at this through a different lens: WRI working with and through their partners in the BRICs to strengthen its programming in Africa. Some of this is already happening, most notably in the pioneering work under the IFFE project looking at Government of China's guidelines for its investments in Africa and in the joint IFFE/EPE work on Chinese-funded extractive projects in Uganda. In India, WRI partner the Confederation of Indian Industry (CII) has been holding annual meetings in Africa

⁹⁸ Alternate formulations include BASIC (Brazil, South Africa, India, China) and TIMBI (Turkey, India, Mexico, Brazil, Indonesia). Foreign Policy March/April 2012, p.25.

focused on technology transfer opportunities and on helping African countries avoid some of the dead ends taken by India in its development strategy and programs. Making the link back to poverty, no countries anywhere have done more than China and India to move people out of poverty. There are some rich lessons here for Africa and beyond.

b. Equity

The idea of equity is embedded in WRI's current theory of change, to "foster environmentally sound, socially equitable development". It is discussed indirectly in the current Strategic Plan in the section of "Our View of the World" that talks about growth and inequality of opportunity.

References to equity in WRI's current programming literature are relatively few and far between.⁹⁹ The Equity, Poverty and Environment (EPE) program and EMBARQ are the exceptions. EPE is focused squarely on equity. For EMBARQ, the second element in its "vision of success over the next five years" is: Poverty alleviation and social equity. EMBARQ cities provide safe and affordable accessibility to jobs, services and products to citizens from all income levels and physical conditions.¹⁰⁰

There has been a great deal of water under the bridge since 2008. The financial collapse and related events have served to highlight growing income inequality, between rich and poor. This has been captured in the Occupy and other social movements and in political discourse that focuses on the dichotomy between "the 1%" and "the 99%". The preparation of the next Strategic Plan provides WRI with a timely opportunity to think about equity and how it might be a more proactive element of WRI's programs.

c. Gender

There is no mention of gender in the current Strategic Plan and only a few scattered references in the 2011-2012 Program Book and Program Book Annex.¹⁰¹ This needs to change. WRI is about "resources". There are critical gender dimensions to resource access, to resource management and to resource use. Women's issues and women's voices need to be heard not just on resource issues but in every domain in which WRI works: climate, energy, urban transportation, small and medium enterprises....the list goes on. Enough said.

We did find one example of excellent WRI work on gender in the Equity, Poverty and Environment (EPE) program. The Focus on Land in Africa website, jointly implemented by WRI and Landesa with funding from the Gates Foundation, is set up as an interactive educational tool on land tenure and property rights.¹⁰² Lesson 1 for

⁹⁹ There are more uses of the term "equity" in the 2011-2012 Program Book than for "gender", "women" or "indigenous people".

¹⁰⁰ Program Book 2011-2012 p. 107.

¹⁰¹ There are 3 references to gender in the 238 page Program Book, all of them part of lists in the climate section, and 0 references in the 936 page Program Book Annex save one use of the term "engender" on page 59 in the context of "engendering management buy-in". In addition there is 1 reference to women in the Program Book (referring to the fight for women's rights in America) and 3 references in the Program Book Annex (one in the section on forest restoration, one in the section on EMBARQ and the third discussing the Institutional Excellence Objective).

¹⁰² www.wri.org/property-rights-africa/

Mali is on Women, Inheritance and Islam. The 33 slides that comprise the lesson provide a first rate introduction to the issue. Lesson 3 for Ghana is on Women's Evolving Land Rights. Lesson 4 for Tanzania is on the Gender and Land Rights Debate. Lesson 4 for Mozambique is on Protecting and Improving Women's Land Rights. Lesson 4 for Uganda is on Women and Customary Land Rights. Much of the impetus for this comes from Landesa, particularly its Global Center for Women's Land Rights.¹⁰³

Work on these and related gender issues needs to be mainstreamed into other WRI programs.¹⁰⁴ The Chicago Council on Global Affairs has recently produced an analysis and recommendations on gender integration into USAID's Feed the Future program that may be a useful starting point in this regard.¹⁰⁵

d. Indigenous voices

Much of what has been said about gender above also applies to the voices, perspectives and rights of indigenous peoples. Again there is no mention in the Strategic Plan. That said, there is an excellent section in the Plan on "Multiplicity of Voices" including the need to "reach out to...new constituencies with new worldviews." This can be easily built upon to include both women's voices and indigenous voices.¹⁰⁶ Once again, the EPE program is out ahead. TAI partners are also active in this area. The rest of WRI needs to catch up. Indigenous peoples have important perspectives on the natural world and important things to say about what "resources" are and how they should be used, managed and conserved.

e. Consumption.

To paraphrase a famous politician "It's the consumption stupid." Much of the environmental community has fixated on the "destruction" (aka supply) angle of environmental issues with an odd silence about the "use" (aka demand) angle. Work on deforestation all too often uses a rhetoric that parallels America's "War on Drugs": stop the cutting of trees in some far-off place (eg the growing of coca by subsistence farmers in the Chapare of Bolivia) rather than on the use of the cut trees to fuel the consumption and "affluenza" of the so-called "developed" world. WRI sits in a neutral "analytical" space....ideal for pointing this out and for deepening our

¹⁰³ <http://www.landesa.org/women-and-land/>

¹⁰⁴ USAID recently issued a new Gender Equality and Female Empowerment Policy presented by the Deputy Administrator as "integrating gender equality and female empowerment into the very DNA of everything we do". There may be useful ideas for WRI to consider at http://www.usaid.gov/our_work/policy_planning_and_learning/documents/GenderEqualityPolicy.pdf Other sources that may be useful are:

MCC Guidelines on gender integration: <http://www.mcc.gov/documents/guidance/guidance-2011001054001-genderintegration.pdf>

World Bank eGender Atlas: <http://www.app.collinsindicate.com/worldbankatlas-gender/en>

World Development Report 2012 Gender Equality and Development
<http://go.worldbank.org/CQCTMSFI40>

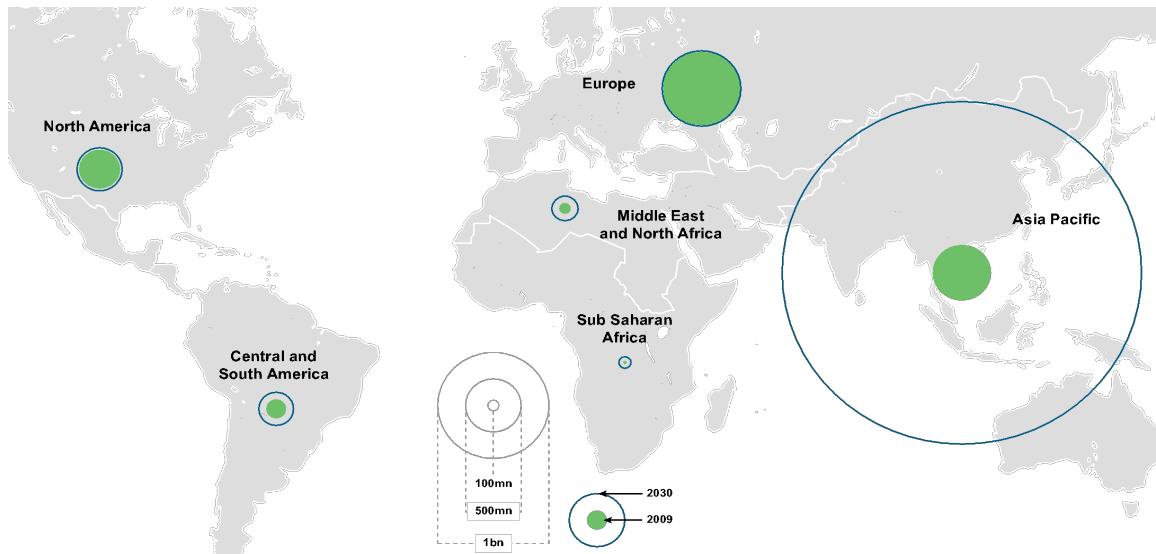
¹⁰⁵

http://www.thechicagocouncil.org/UserFiles/File/GlobalAgDevelopment/Issue_Briefs/GADI%20Issue%20Brief%20-%20FtF%20and%20Gender%20Integration%20-%20FINAL.pdf Board member Hattie Babbitt is an important resource for this work.

¹⁰⁶ The picture in the Program Book is a bit different: 0 references in the Program Book, a string of references in the Program Book Annex all of them in the section on the EPE program

understanding of the demand side of the equation. Some work on the demand side is already (eg CEP work on energy efficiency and other demand-reduction strategies, PEP work through the Forest Legality Alliance).

Anyone who needs to be convinced about the importance of consumption and the urgent need to find ways to ensure that it is sustainable may find the following graphic useful:



Source: Standard Chartered Global Research. The Super-Cycle Report, 2010

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In the view of the ERT, proactive leadership on the issue of consumption, not through new programs but through highlighting and more careful attention within existing programs, would resonate well with the WRI Mission statement: "To move human society to live in ways that protect Earth's environment and its capacity to provide for the needs and aspirations of current and future generations."

f. Water

As noted earlier, the current Strategic Plan identified two issues that WRI would be deepening its work in with a view to possible future programming. Cities was one of those issues. Water was the other.

On cities, we have recommended moving forward to develop a full Program. On water, we recommend holding steady: continuing to work on building synergies between the several programs that work on water, continuing to explore and understand what others are doing in this already crowded field¹⁰⁸, and waiting until after completion of the WRR on Food and Water Security to take a fresh look at whether water deserves to be given a high profile at WRI.¹⁰⁹

¹⁰⁷ RRI . 2012. *Turning Point: What future for forest peoples and resources in the emerging world order?* Rights and Resources 2011-2012. Washington DC: RRI p.23. Graphic used by permission from its original source: Standard Chartered Bank.

¹⁰⁸ The Global Water Partnership has 2500 partners. The World Water Forum, held annually, brings together some 24,000 participants from all corners of the globe.

¹⁰⁹ One element of the global water discussion that we expected to find references to in the

In the meantime, Aqueduct will continue to spread its wings. One example: the recent agreement between WRI and WBCSD on coordination with WBCSD's Global Water Tool. Another: Aqueduct's role in the soon-to-be-formally-launched the US Water Partnership. And finally, the use of the upcoming World Water Forum in Marseille to showcase Aqueduct¹¹⁰

9. Geographic focus and expanded attention to Africa

Geographic focus

As discussed earlier, WRI's first priority is to complete the task set out in the last Strategic Plan: establish its in-country presence in China, India and Brazil.

Expanded attention to and enhanced engagement with Africa

The ERT recommends that the next priority for WRI should be Africa. Not country programs in Africa, but engaging with Africa as a continent. This needs to be done slowly and carefully as staff time and funding allow. It is something to get on the agenda now and to expect progress on before the end of the next Strategic Plan period.

Enhanced engagement includes:

- African representation on the WRI Board
- Stronger African representation among WRI program staff in Washington
- More closely coordinated WRI programs in Africa followed by expanded programs as funding becomes available
- Attention beyond Anglophone to Francophone, Lusophone, Swahili, Hausa and Arabic-speaking Africa
- Careful early attention to links and synergies between programs in China/India/Brazil and Africa
- Strategic and durable partnerships with African institutions

One starting point is beginning to engage on policy matters with the African Development Bank (AfDB) and the African Union (AU).¹¹¹ Another is using the strong base of WRIs existing and planned programs to explore networks and partnerships that can be used help multiply WRIs connections to the continent. These include:

- The EPE program, with deep roots in east and central Africa and now working in both Anglophone and Francophone West Africa (Ghana and Mali),
- The PEP programs in the Congo Basin

WRI literature but didn't was blue water and green water. This links nicely to ecosystem services and could also be one useful way to think about both water and food security. See, for example, M. Falkenmark and J. Rockstrom. The New Blue and Green Water Paradigm: Breaking New Ground for Water Resources Planning and Management https://wiki.umn.edu/pub/Water_Sustainability/ReferencesAttached/Falkenmark_and_Rockstrom.pdf and Alain Vidal, Barbara van Koppen, David Love & David Blake. 2009. The Green-to-Blue Water Continuum: An approach to improve agricultural systems' resilience to water scarcity http://www.worldwaterweek.org/documents/WWW_PDF/2009/tuesday/K16-17/Alain_Vidal_-_Green_to_Blue_Water_Continuum.pdf

¹¹⁰ <http://insights.wri.org/aqueduct/2012/03/aqueduct-brings-improved-water-risk-framework-world-water-forum>

¹¹¹ One sign of forward movement would be to have the next EMBARQ Transforming Transportation Conference add two more logos to its impressive lineup. In addition to the World Bank, IDB and ADB: the AfDB and the AU.

- Electricity governance work in South Africa
- IFFE work on Chinese investments in Africa
- The new MESI-supported work with Chris Reij that will link WRI into his extensive network on land restoration and farmer managed natural regeneration across semi-arid Africa
- The new CEP/vulnerability and adaptation work that is getting underway in Africa with an initial focus in Kenya.
- Work on forest landscape restoration and enhanced forest mapping and monitoring tools that emerge as part of WRIs new Forest Strategy.

There are policy research institutes operating in Africa but there are not many looking at the big-picture issues. There is also a tendency amongst those funded by development assistance agencies to be reluctant to challenge conventional wisdom and attack some of the myths that have bedeviled aid to Africa. WRI, with the right African partners, could make valuable contributions in this space.

As a starting point, existing and planned activities could be subjected to a serious strategic analysis and then consolidated into an Africa Business Plan along the lines of the one prepared for India. Key WRI programs not currently active in Africa (eg EMBARQ, New Ventures) need to begin thinking about what their contributions can be. Again, not in the short term because they are already stretched, but over the medium to long term.

E. KEY FINDINGS AND RECOMMENDATIONS

As was highlighted in the Executive Summary we are not, repeat not, suggesting that WRI needs to respond to or otherwise address each of the Findings and Recommendations presented below. Although WRI has recently gone through a major growth spurt in its funding, staffing and programs and is in the process of an exciting expansion into China, India and Brazil; our bottom-line message is that the Institute needs to stay focused. WRI's comparative advantage is not in dispersed programs working on many different things. It is in relatively small programs focused on up-stream analytics of high-priority, high-potential-impact emerging issues supported by field testing and influence strategies that move WRI results into the hands of others to implement at scale. The Findings and Recommendations are intended to stimulate thought and reflection on these and a range of other issues ahead of the elaboration of the next Strategic Plan.

To help readers navigate through this section, a list of the topics covered is presented below:

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1. Looking Back: Findings

Strategic Plan

The Strategic Plan is comprehensive and credible and is based upon a thoughtful assessment of global mega-trends. Interesting and insightful sections on the multipolarity of power and the multiplicity of voices set the groundwork for the single most important new direction charted by the Plan: the establishment of an in-country presence in China, India and Brazil. The Plan gives little attention to the comparative advantage(s) of WRI and the reader is left uncertain about how priorities were set. This needs to be analyzed and discussed in the next Plan. WRI has made impressive strides over the last four years in implementing its ambitious Strategic Plan but there is an unanswered question about the extent to which the plan led WRI to focus sufficiently on the issues where it had greatest capacity to achieve impact.

Program goals and objectives

WRI has made important progress on meeting the goals and objectives set out in the Strategic Plan. As is to be expected, some objectives and “target outcomes likely before 2012” have been met, some are on track to be met, still others have faced challenges and delays, and a few have either failed or been dropped. WRI’s internal review procedures have been effectively used to track progress and make adjustments when necessary.

WRI is to be commended for the open and transparent way in which it presents its work, successes as well as failures. This bears testament to the WRI core value of integrity.

The EMBARQ program emerges from WRI’s just-completed Programmatic Assessment as a star. EMBARQ has far exceeded its objective of helping at least 10 cities in the developing world create sustainable transportation systems. It has influenced more than 50 cities through a mix of advising and convening. The scale of the EMBARQ achievement is captured in quote that deserves wider circulation:

“ The billionth passenger quietly boarded an EMBARQ project this year. People breathed less pollution, accessed better opportunities, lived longer and healthier, saved money and time, and produced less greenhouse gases. Cities were better places to live.”¹¹²

Focus on China, India, Brazil

Establishing an in-country presence in China, India and Brazil is the most important new initiative to be undertaken by WRI during the Plan period. It represents a pivoting of WRI’s view of itself and its place in the world that will have a profound transformative effect on the institution. Some of these effects are already visible. The key to maximizing WRI’s future impact will lie in getting the relations between these different parts of WRI to work seamlessly together. It will be important that the “whole is worth more than the sum of these parts” and that WRI evolves into an institution with a truly global perspective on the issues it is working on.

WRI has spent an enormous amount of time and energy getting the China and India offices established and operational. The two cases have been very different, with lessons learned from China only partially applicable in India. The China office is up and running, new programs have been launched and relationships developed. The MOU signed in January, 2012 with the National Development and Reform Commission (NDRC) is both an impressive accomplishment and a solid foundation for work across a broad spectrum of program areas. The slow and steady approach taken in India demonstrates WRI’s sensitivity to local conditions, concerns and rhythms. We expect this will pay handsome dividends over the long term.

Communications

Communications was identified in the Strategic Plan as an area needing urgent attention. The MacArthur Foundation provided funding for a major communications upgrade across the Institute. WRI has made excellent, strategic use of this investment. Staff members are required to think carefully, strategically, and from the beginning about the communication strategies and influence plans for each piece of work that WRI undertakes. While the hoped-for “transformation” is still a work in

¹¹² EMBARQ 2009-10 Annual Report, Director’s Letter p.3

progress, important steps have been taken that can be built on in the next Strategic Plan.

Synergies

WRI takes synergy and cross-program collaboration seriously. There are a variety of institutional mechanisms designed to facilitate this. Progress has been made during Strategic Plan period. Significant examples can be cited at both the program (aka objective) and project level. That said, WRI can not rest on its laurels. Input from staff and our own observations point to the need for even more structured and systematic attention to this issue. Suggestions are presented in Section I.D.6.

WRI's Decisionmaking Funnel does not specify synergy and cross-program collaboration as a factor that is taken into consideration. Moving forward, this should be added.

Innovation

Innovation is one of WRI's five core values. There are a variety of institutional mechanisms designed to foster and facilitate this. Progress has been made during Strategic Plan period. Significant examples include the setting up of WRI's offices in China and India, WRI's new communications initiatives and the successful re-invention of the World Resources Report (WRR), the iconic publication of WRI.

WRI's Chinese website is fully operational. For an organization used to operating only in English, this is an important step in WRI's ongoing transformation into a global organization and its work to develop communications products that are more directly relevant to the new focus countries and beyond.

WRI strives to push the boundaries on innovation in its work. This is increasingly challenging in the context of belt-tightening and heightened demands for quick and tangible deliverables from WRI's donors. Unrestricted (framework) funding provides more scope for innovation. Bilateral donors, foundations and corporate sponsors all need to be reminded of this.

The move from conducting research to synthesizing and delivering research outcomes may also mean that WRI is not as strong as it might be on conceptual innovations – new ways of understanding problems and of promoting change in environment and development thinking.

Staffing and human resource management

WRI staff have increased from 160 in 2008 to 225 today, including the China and India offices. A 40% increase is huge in any organization. While the HR Unit is clearly stretched, they have done an excellent job dealing with a greatly increased workload. WRI has set turnover targets linked to grade levels. These targets are being met. WRI takes learning lessons from its departing staff very seriously. Key issues were summarized in the Strategic Plan. Exit interviews with departing staff indicate that 98% of them would recommend WRI as a place to work. This is a very impressive number. It speaks volumes about WRI's internal culture and external reputation. WRI's staff is rapidly becoming more diverse and international. WRI continues to be very successful in attracting bright, talented and highly motivated staff. The international staff in Washington were effusive in their gratitude to the HR Unit for going out of its way to help each of them, and their families, navigate their moves to Washington.

The Board

Work to expand international representation continues. Excellent progress has been made in establishing a senior level Advisory Committee for WRI/China and in setting up the governance structure for the India Resources Trust (IRT). Work remains to be done on getting African voices onto the Board. We would also suggest serious consideration be given to representation from indigenous communities. The Board has played a key role in opening doors that have led to successful fundraising. Examples include the major funding for EMBARQ from several sources and the recent support from the Caterpillar Foundation to support work on low-carbon urban development in China, India and Brazil including the path breaking MOU between WRI and the National Development and Reform Commission (NDRC) of China. The Board has been actively involved in both recruiting and mentoring staff. A subcommittee of the Board has been working intensively over several months to identify and select the next President of WRI. This decision is likely to be the most important decision the Board has taken in the last five years.

One additional area where the Board may have an important role to play: opening doors and helping WRI to develop a higher profile in the upper, political reaches of development bureaucracies and diplomatic Missions. As noted earlier in this report:

WRI's relationships with European donors don't appear to reach the senior management and political (ministerial) levels. Its main contacts are generally environment advisors. Although it varies from one agency to another, the environment is not a major part of the work of these agencies. The budget and the political attention that the environment receives are relatively small, though they have increased significantly as a consequence of concern about climate change. The influence of environment advisers within their organizations is also, for the most part, small.

It is at the political level that policy priorities are approved and at the senior management level that choices are made about how to deliver these priorities (e.g. funding mechanisms). It would seem to be in WRI's interest to increase awareness at these higher levels of the work that it does and the contributions it can make to achievement of the aims of these development agencies. This would in turn help amplify the voices of its environment adviser contacts.

Values and organizational culture

WRI is a values-driven organization. WRI's Mission, which has remained unchanged since it was founded 30 years ago, is values based: "To move human society to live in ways that protect Earth's environment and its capacity to provide for the needs and aspirations of current and future generations."

WRI's Core Values are: Integrity, Innovation, Urgency, Independence, and Respect. The Institute takes these very seriously. This is an important WRI distinctive. WRI works hard to "walk its talk". There are many environmental values reflected in the workplace: the green building, proactive recycling, a goal in the Institutional Excellence Objective focused on WRI's carbon footprint, and support for the use of both public and non-motorized transportation.

WRI is a flat organization. This is reflected in the unusual feature that all offices are the same size – from the President to a Research Associate. The offices are small. This is intentional: it actively encourages walking around and the use of public spaces.

Morale at WRI is generally high. All of the staff the ERT met with seem to genuinely enjoy being at WRI. International staff commented on the unusually “flat” organization structure, on offices all being the same size, and on the fact that ego was not the issue that it had been in many of the previous organizations in which they worked. They found it particularly gratifying to find this in America, a culture stereotyped by hard-charging and often ruthless and self-serving bosses.

Financial and administrative management

The ERT reviewed the Audit Findings for the last four years along with WRI budgets for 2010 and 2011. No issues of concern were found. The financial management system at WRI has been both strengthened and made significantly more accessible and decentralized in recent years.

The main emphases of the work on administrative management are efficiency, excellence and effectiveness including striving for the simplest, most effective methods and tools to support WRI’s mission and find ways of doing things that are easily scalable without necessarily requiring more support staff. All of this aimed at creating a process of continuous improvement within WRI that makes it a fun and exciting place to work. A WRI-wide survey was conducted to identify major areas for improvement. The top dozen issues/actions from the survey have become the heart of the administrative agenda for the next several years. The survey was an important way to promote Institute-wide buy-in for follow-up action not by admin staff or by specific units within the WRI administration, but by “Admin and all WRI staff”.

Development

WRI has increased its fundraising from \$21 million in FY2006 to \$40 million in FY2010 and \$47.5 million in FY2011 on the way to a projected level of \$50 million in FY2015. These numbers are very impressive for two reasons:

a)the overall level of fundraising achieved in a very difficult economic climate when most NGOs are suffering, and b)the overall diversification of funding sources with substantial increases in the funding coming to WRI from corporations and private foundations. This diversification will likely hold the key to future success. It significantly enhances the hoped-for sustainability of the WRI operating model.

Unrestricted funds remain an issue, both for WRI and virtually every other NGO on the planet. In addition, funding for some IGP programs remains a challenge (eg TAI and EPE). These programs, along with IFFE, are currently outside the scope of interest of WRI’s corporate partners. As these partners get more educated about international development this may change. In the meantime, though, the Development unit needs to redouble its efforts to insure that all three programs – considered by the ERT to be among WRI’s most innovative and important – not only survive but thrive.

Programming

A key element of WRI’s programming process outlined in the Strategic Plan is the Decision making Funnel. While WRI’s extensive documentation provides clear evidence that careful thought is given to the various elements of the funnel, it is not clear that the results of the funnel process have led to sufficient focus in the PEP program, most particularly in MESI.

Managing for results

The development of a comprehensive Managing for Results (MFR) system over the last several years has been a major accomplishment. Documentation spelling out internal discussions and the rationale(s) for programming decisions was readily available. WRI is well ahead of many NGOs in this regard. The ERT has some concerns about the MFR and suggestions on what might be done to address them. These are outlined in Section E.2 below.

Research and publications

WRI has built a solid reputation as an excellent producer of policy research and analysis produced in ways that influence practical outcomes.

WRI-branded publications

WRI produces a wide variety of high quality publications. Feedback from WRI stakeholders confirmed this using the words solid, credible and thorough to describe this central element of WRI's work. WRI has invested significant resources in the review, production and distribution of WRI-branded publications. The ERT was given a detailed briefing on the publication review process. It is both rigorous and thorough.

Publications with other branding

Two of WRI's most successful and globally visible programs, EMBARQ and TAI, have some WRI-branded publications but publish most of their material outside of the formal WRI system. The two programs have very different publications styles. EMBARQ has a distinctive, bold and attractive global "branding". TAI, which works through several hundred partners around the world, is much more low-key. In most cases the publications it supports are prepared and published by partners using their own systems and branding with TAI mentioned as a sponsor or collaborator.

Publications in the refereed literature

On SCOPUS (a global database used to track post 1996 publications in the refereed literature) WRI had 252 papers and a total of 3206 citations. WRI's "h index" (a composite measure of the number of publications and their citation rate) is 26. This would be a low score for a university department but compares quite favorably with CGIAR centers which mostly score between 20 and 35 on the same measure. The list of publications attributed to WRI on Google Scholar, which includes a broad range of non-refereed literature and is better at sampling the policy world in which WRI mainly operates, is impressive and many of them have been cited many hundreds of times.

WRI might give just a bit more attention to ensuring that the quality and originality of its research are maintained at a high level by tracking performance through the use of simple bibliometric indicators. The best achievements of WRI in the past have mainly come from global comparative studies and meta-analyses of national or regional data sets and the delivery of these in ways that influence policy. This should continue to be the focus and part of the delivery mechanism should be via the refereed literature.

Monitoring and evaluation

WRI has solid systems in place for the monitoring of financial and program details. There has been very little formal external program evaluation at WRI over the past 30 years. While this is not unusual for NGOs, one would have thought that WRI with its focus on research and its use of peer review as a central part of the WRI

publication process might have developed a culture that valued external program evaluation.

There is a clear need for periodic, formal self-assessment at the institutional level at WRI. Two Institute-wide self assessments provided to the ERT shortly before the drafting of this Review document was completed – one on WRI’s progress meeting the Program Goals and Objectives set out in the current Strategic Plan, the other looking at Synergies & Cross-Program Collaboration and at Innovation – have proved very useful in finalizing the Report. Having had these available at the beginning of the Review process would have provided the ERT with a baseline from which to begin its investigations, thereby saving a great deal of the time and effort that was spent sifting through extensive process and internal reporting documentation.

On the program side, the recent EMBARQ document *20 Years of EMBARQ: Celebrating the Past 10, Setting a Vision for the Next 10* provides the beginnings of a useful model for self assessment, albeit in this case focused more on communicating EMBARQs achievements than on more sober analysis and reflection on the challenges, missed opportunities, dead ends and lessons learned that are at the heart of any development effort and which form the basis for adjusting and improving future efforts.

Another area of evaluation or self-assessment that deserves consideration is a periodic retrospective review of WRI’s annual “Top 10 Outcomes”.

Partnerships

Partnership is a central element of the WRI business model. When the Strategic Plan was written WRI reported having 400 partner organizations in 50 countries. When the ERT asked for a list of WRI partners, we were sent an Excel spreadsheet with 522 entries. This is an impressive number. The problem is that the list came with no “key”. There was no differentiation, no categorization and no prioritization. This issue and what might be done about it is taken up in Section E.2 below.

Engagement with business

WRI’s proactive engagement with business stands as one of the most important innovations during the Strategic Plan period. Key elements have included a strong business presence on the Board, the establishment of the Corporate Consultative Group (CCG) and links with the Business Council for Sustainable Development and other groups that seek to improve corporate environmental and social performance. This has already paid handsome dividends in fundraising with major corporate grants for the EMBARQ program as well as for the newly-launched low-carbon cities and environmentally sustainable urbanization project in China, India and Brazil. We assume it has also translated into better environmental performance by the corporations concerned – but clear evidence for this has been difficult to obtain. In the future we would encourage WRI to establish metrics to enable judgments about the performance of its corporate sponsors.

Sustainability of the WRI operating model

The strong diversification of WRI’s funding sources discussed earlier holds one of the keys to the sustainability of the WRI operating model. Other keys include:
a) Raising funds in China, India and Brazil to cover those operations, and b) Being able to sufficiently distinguish WRI from other organizations, both other Think Tanks

and NGOs that are operating in what is currently a WRI “Do Tank” space. Specific suggestions about how to do this are discussed in Section E.2 below

Views of WRI’s European Donors

Without exception the donor representatives interviewed respect WRI and value its work. Their responses were uniformly positive. They did not raise any major criticisms nor did they identify areas in need of major improvement.

Donor representatives think WRI:

- Conducts influential, independent, analysis;
- Is results-oriented and effective;
- Has high quality, very professional, staff;
- Is more than a think tank - it follows through with practical actions that bring tangible results;
- Is an environment *and* development organization, with the emphasis on the first word.

Suggestions of areas for improvement include:

- Greater coherence at the country level;
- Achieving greater influence at the national and sub-national levels (for example in climate change adaptation) by applying the lessons from EMBARQ;
- More engagement with the Green Economy agenda, making greater use of the markets and enterprise expertise;
- Ensuring that engagement with the BRICS does not come at the expense of work in Africa;
- Greater visibility of work on gender.

There was consistency among the donor representatives on what they see as the most important emerging priority for WRI’s attention - food security, agriculture and the associated roles of natural resources.

2. Looking Forward: Recommendations

WRI has made major strides over the past few years in implementing its ambitious Strategic Plan. The Institute stands poised to build on these accomplishments and momentum and to transform itself into a truly global Think Tank.

Building on WRI’s 30 year legacy

WRI has a rich history that includes a string of remarkable accomplishments. Some of these have been detailed earlier in the Report. Key lessons that can be drawn from this history include the following:

- ❖ WRI developed innovative concepts but did not itself conduct research – however it brought together leading researchers.
- ❖ It convened the world’s leading thinkers and decision makers to build consensus around these concepts
- ❖ It established processes to follow through on the concepts and ensure the continuity of the activities
- ❖ It stepped back and handed implementation over to organizations with the appropriate mandates and capacities.

- ❖ Poverty issues were mainstreamed in all of the above initiatives.

When WRI was founded 30 years ago there were few institutions conducting similar work. Today the field has become crowded. The existence of these organizations sharing many of WRI's goals provides rich opportunities for collaboration, partnership and synergies. It also requires that WRI give more attention to focusing its own energies and resources on its areas of comparative advantage.

Building on the current Strategic Plan

There is much in the current Strategic Plan that can be used to build the next plan. The overall problem statement and strategic intent remain both sound and relevant.

Some pieces of the current Plan have been completed and don't need to be highlighted again (eg. the more tactical pieces on communications, staffing and the Board). Other pieces are still very much "in process" and deserve continued emphasis, particularly completion of the work to establish an in-country presence in China, India, and Brazil.

WRI's engagement with business stands as one of the most important and far-reaching innovations during the current Strategic Plan period. There is no specific mention of this in the current Plan. In the next Plan it deserves to be both highlighted and moved to the next level.

Theory(ies) of Change

The development of the new Plan provides an opportunity to step back and think through WRI's theory (or theories) of change. There is no explicit theory set out in the current Plan. We hope to see one (or several) in the new Plan.

WRI's niche and comparative advantage(s):

The next Strategic Plan needs to devote some careful attention to an analysis of the other suppliers of the products that WRI produces and the other organizations that are seeking to achieve the same policy impacts. At the institutional level, this can start with a "refresh" of the comparative analysis prepared in 2007 and work on the questions and proposed next steps at the end of that piece.

At the program level, WRI's programs prepare a variety of analyses that help identify and define their niche and comparative advantages. These include, in the case of New Ventures, stand alone documents on: peer landscape, global metatrends, SWOT analysis, stakeholder engagement summary and lessons learned. Additional topics that would help to build program coherence include synergies across WRI, and one or more maps to ground a program with the geographies in which it plans to work. In addition, the recent MESI AOR has included useful analyses of gaps, barriers and challenges to scaling up and a diagnostic of political themes that help to further define MESI's niche and comparative advantage(s).

Some work along these lines has already been done. One example: The New Ventures program's "Peer Landscape" analysis that ended up with the intriguing conclusion that there may be a "missing middle" that is waiting to be worked on. Another example: the Corporate Consultative Group's Competitor Analysis that has looked at 12 other environmental corporate membership groups.

WRI's niche: thoughts along 7 Continuums

WRI is at a juncture as it approaches its 30th birthday and prepares to develop its next Strategic Plan to think through where it stands along 7 distinct but interrelated continuums. Some of these apply to the organization as a whole. Others apply to some programs but not to others. They are continuums, not either/or propositions. Creative tension along each of the continuums is healthy. There are no “right answers” to where WRI should situate itself along a particular continuum. We offer below our considered views with the hope that they will stimulate constructive reflection, discussion and, if deemed appropriate and necessary, recalibration.

1. The Environment/Development continuum

WRI was founded to work at the intersection of environment and development. This continues to be where we believe WRI can make the biggest difference. Development needs to be reinserted into the words WRI uses to describe itself and the environmental sustainability of development must be the core business.

2. The Think Tank/Do Tank continuum

We believe that the time has come to carefully review the Think Tank/Do Tank balance in each of WRI’s programs. We are **not** recommending no “Do Tank”. We are saying: the “doing” needs to be strategic. No doing simply for doing’s sake. This is not WRI’s niche or comparative advantage. In all cases where WRI is “doing”, the doing needs to produce lessons and be rigorously linked back into further thinking.

A subset of the Think Tank/Do Tank continuum is the research – advocacy continuum. WRI describes itself as a policy research institute and it has many excellent research outputs to its credit. However there has been a move away from actually doing research towards synthesizing and delivering research. Given the changes in the global research and development landscape this may be an appropriate move. However it should not come at the cost of maintaining a rigorous, scholarly institutional culture.

Turning to the advocacy side of this continuum, WRI seems to speak with several voices. With the arrival of a new President and the development of a new Strategic Plan WRI has an opportunity to think through where it seeks to be on the research – advocacy continuum

3. Tomorrow’s /Today’s issues and outcomes

The new Strategic Plan provides an important opportunity to consult widely and think carefully about the “on and over the horizon” issues that WRI should be working on. The key here is to spot the policy question or the piece of analysis that needs to be done now because it will appear on the global agenda sometime down the road.

Two suggestions:

- Land degradation and what is needed to reverse it is a pressing and important issue. WRI has recently hired several people who are real leaders in this field. WRI is well positioned to do the upstream analytics work on this issue.¹¹³
- A number of individuals with deep knowledge of both the environment and the development communities have expressed the view that the set of

¹¹³ This would also provide a way to bring together the work on Forest Landscape Restoration (under FLO) and the brand new work with Chris Reij to strengthen his Africa Regreening Initiative (ARI) and take it to a global scale. In addition it would provide important input into the next WRR on food and water security and provide a firmer analytical base for some of WRI’s new work on climate adaptation.

issues raised by the Millennium Ecosystem Assessment - sometimes called ecosystems services, sometimes called natural capital and sometimes presented under other rubrics (sustainable development, the green economy etc.) -are even more important now than they were 20 years ago because they sit at the heart of the linked issues of food, water, energy and climate. There are many groups working on each of these issues, and a rapidly growing number of groups that aspire to work on several or all of them but WRI is uniquely positioned to use its analytical and evidence-based methods coupled with its reputation and convening power to do the "horizon mapping" on this critical set of issues.

4. Global/Local issues & drivers

WRI needs to be active across the full spectrum of geographic scales. That said, WRI's comparative advantage continues to be at the global and inter-country rather than at more local levels. Developing strategic partnerships with groups working at local levels would be an appropriate way to field test WRI ideas in the "real world".

5. Short term/Longer term outcomes including building capacity and institutions

Outcomes **are** important. WRI is to be congratulated for moving beyond outputs to make outcomes a central element of its institutional culture. That said, the MFR tiered ranking system and the annual "Top 10 Outcomes" process appear to be giving too much emphasis to outcomes this year or next at the expense of building the capacity and institutions that will produce impacts further down the road. Internal incentives need to be adjusted to bring short term outcomes and longer term impacts into balance.

6. Managing for results: refining the system

The development of a comprehensive Managing for Results system over the last several years has been a major accomplishment. The ERT was pleasantly surprised to find that documentation spelling out internal discussions and the rationale(s) for programming decisions was readily available. WRI is well ahead of many NGOs in this regard. Having put a solid system in place it is now time to step back, take a look at the demands the system is placing on staff, and carefully weigh the costs and benefits of the various reporting requirements. A "best practice" for this process already exists at WRI: the process used to develop the Institutional Excellence/Efficiency, Excellence, Effectiveness Objective. A key element of this process was the staff survey used to identify issues and constraints. A central tenet of the philosophy used to address the issues identified is "striving for the simplest, most effective methods and tools to support WRI's mission."

The ERT has made a number of specific suggestions. The most important are:

- Reduce internal paperwork requirements to the extent feasible. Moves are already being made in this direction.
- Solicit staff feedback on Tier 1/2/3 ranking system and the "Top 10 Outcomes". If the "Top 10 Outcomes" are continued, consider adding some new dimensions that will help promote key WRI values. For example, outcomes that promote, demonstrate and celebrate:
 - Deep and effective partnerships (with the recognition going to both WRI staff and their partners)
 - Synergy across WRI programs
 - Collaboration across WRI country programs (ie South-South collaboration)

- Add periodic self-assessment by each of WRI's projects and programs to the MFR system.
- Consider adding more formal external evaluation into the MFR/monitoring and evaluation mix. Linking up with specialists in development evaluation could provide WRI with an ongoing source of "renewable energy" to drive this effort.

7 .The Nature, Wealth & Power framework

Use the Nature, Wealth and Power (NWP) framework as a way to conceptualize and approach WRI's program development. The NWP framework coupled with the next World Resources Report (WRR) can be used to respond to what WRI's European donors see as the most important emerging priority for WRI's attention: food security, agriculture and the associated roles of natural resources.

WRI Programs

CEP

The ERT recommends increased attention to local solutions and to global work outside of the UNFCCC framework. This is echoed in a suggestion of WRI's European donors aimed at achieving greater influence at the national and sub-national levels (for example in climate change adaptation) by applying the lessons from EMBARQ.

For work in the US we recommend that CEP pivot: changing its approach to climate change by framing it in terms that emphasize competitiveness and economic growth.

WRI's work in the international climate space is widely appreciated. The China FAQs website is both innovative and demonstrates that WRI has developed an ability to project other points of view into the US. The work on Track II diplomacy, including the February visit of the India delegation to Washington, is another indication of WRI's growing maturity and stature in the global policy arena.

The launch of a new objective on vulnerability and adaptation presents WRI with an important opportunity to demonstrate effective synergies across its four program areas, develop linkages between programs in India/China/Brazil and Africa, and serve as a building block for more coherent strategy of engagement with Africa.

EMBARQ

The time has come to separate EMBARQ from CEP and elevate it to full Program status. The current Strategic Plan noted that WRI's work in two areas –sustainable cities and water- might grow into full Programs. The ERT believes the time has come for WRI to develop and launch the Sustainable Cities program. WRI would do well to take a careful look at the experience gained under USAID's path breaking work on urban programs through a global network of Regional Housing and Urban Development Offices (RHUOs) in the 1980s and 1990s. Some of this experience was reflected in the 1996-97 World Resources Report on the Urban Environment.

IGP

The single most important decision on the horizon about IGP is the selection of its new leader. As noted elsewhere, IGP houses some of WRI's most innovative and important programs (eg TAI, EPE and IFFE). These programs need additional fundraising support. Taking TAI as an example, ways need to be found to raise funds without severely disabling either the programming & network management or the communications functions of the Secretariat. An observation: 3% of WRI's

overall budget is currently being devoted to TAI. Programs with much larger budgets (eg EMBARQ and most pieces of CEP and PEP) might find ways to use the TAI approach and TAI partners to support their work. If so, they might be asked to help find the funding needed to support the TAI Secretariat. Other suggestions on TAI and EPE are presented in Annex C and summarized in Section II below.

MEP

The ERT recommends that the MEP mandate be expanded to include a more active role in all business and market-based program elements across the Institute. This might include an expanded role in the management of the Corporate Consultative Group as it evolves from what has been primarily a funding (aka donor) mechanism into substantive cross-company work in programmatic areas (eg forestry, ecosystem services).

We have recommended above that CEP pivot to an approach to climate change in the US that emphasizes competitiveness and economic growth. This would provide opportunities for CEP and MEO to work more closely together. It also echoes a suggestion of WRI's European donors for more engagement with the Green Economy agenda, making greater use of the markets and enterprise expertise.

PEP

Detailed recommendations on FLO and MESI are presented in Annexes A and B. At a more general level, the ERT fully supports the "restart" on forestry and the "reset" on ecosystem services that are both actively underway.¹¹⁴ The new thinking that we have seen in both of these areas is on target. In our view the focusing of MESI and the pivot to food and water security is an important first step, but only a first step. More thought needs to be given to WRI's comparative advantage(s) and to how these can be translated into a cutting-edge set of projects. In our view, the time for these decisions is not now. We recommend that WRI "make haste slowly": waiting for some key directions to emerge from the next WRR, for the important new work with Chris Reij to get "settled" into PEP, for Johan Schaar and the V&A team to more clearly define where that new program is going, for MESI (and PEP more broadly) to have a chance to carefully assess what kinds of engagement in India make most sense (over and above what the V&A program will be doing), and for WRI as a whole (including the new President) to mull over some of the bigger-picture findings and recommendations of the External Review as they apply to WRI's next steps in the ecosystem services/natural capital arena. The next WRR in particular will serve to identify both "gaps" in the current global work on food and water security as well as areas for future WRI work. Once that information is available we anticipate that a MESI "restart" will be in order. In our view, the new program (presumably with a new name and acronym) needs to be big-picture, cutting-edge, horizon-mapping. Several ideas have been suggested in the discussion on Continuum #3 above.

These processes may identify opportunities to allocate tasks and staff within PEP in new and different ways. In addition, we suggest that the time has come to consider moving the poverty-environment work out of MESI and out of PEP and housing it either in the new Vulnerability and Adaptation objective or in the Office of WRI's

¹¹⁴ "Restart" and "reset" were terms given to us by WRI as shorthand for describing the internal processes that were underway for three of the four programs selected for program reviews (FLO, MESI and EPE). The "restart" of FLO is in fact the development of a new program based on a WRI-wide Forests Strategy that is being developed for the period 2012-2017.

Managing Director where it would be able to link to the full spectrum of WRI's program areas

Program synergies

The current Strategic Plan spelled out strong aspirations in the realm of program synergies. Some of these aspirations are beginning to be met, but there is still a long way to go. This is an ongoing challenge in every organization. The work suggested below on developing a more coherent approach to partnerships across the Institute should help to promote synergy. Other suggestions include requiring that annual work plans of individuals specify what contributions they will make to cross-program synergies and the joint management and funding of joint efforts.

Partnerships: the key to making a difference

While impressed with the scale of WRI's partnerships, with the important exception of the Corporate Consultative Group the ERT was unable to find any useful typology or mapping of the current partnership landscape nor any vision or operational guidance on how WRI selects, manages and evaluates these partnerships. There was also no indication of cross-program or cross-Institute strategic thinking or coordination on these matters.

Mapping WRI's 522 partners along relevant axes (eg type of organization, type of association, WRI program and country parameters etc.) would provide a useful snapshot of the current scale and scope of WRI's partnerships and serve as a starting point for some careful thinking about how WRI wants to define, distinguish, present, manage and periodically evaluate its partnerships moving forward. TAI alone estimates that their global network now includes 250 + partners in 50 countries. Mapping where and how these partners are linked to other WRI programs would be an important first step in the strengthening of synergies discussed above.

Crosscutting themes: poverty, equity, gender, indigenous voices, consumption and water

The ERT suggests that the new Strategic Plan would benefit from thoughtful consideration of a number of crosscutting themes that were either not mentioned in the current Plan or deserve additional attention. We are not suggesting that WRI needs to launch new programs in any of these areas. We are suggesting that each of the issues deserves heightened attention both in the next Plan and in the programming (and program refinement and adjustments) across the Institute over the next several years. We believe the keys here are recognition that the issues are important followed by conscientious attention to finding ways to include and address them within existing programs. The preparation of the new Strategic Plan presents an opportunity to think through and elaborate this key element of the WRI approach.

This echoes a suggestion of WRI's European donors of a greater visibility of work on gender.

Geographic focus and expanded attention to Africa

WRI's first priority is to complete the task set out in the last Strategic Plan: establish its in-country presence in China, India and Brazil.

The ERT recommends that the next priority for WRI should be Africa. Not country programs in Africa, but engaging with Africa as a continent. This needs to be done slowly and carefully as staff time and funding allow. It is something to get on the

agenda now and to expect progress on before the end of the next Strategic Plan period.

Enhanced engagement includes:

- African representation on the WRI Board
- Stronger African representation among WRI program staff in Washington
- More closely coordinated WRI programs in Africa followed by expanded programs as funding becomes available
- Careful early attention to links and synergies between programs in China/India/Brazil and Africa
- Strategic and durable partnerships with African institutions

One starting place is beginning to engage on policy matters with the African Development Bank (AfDB) and the African Union (AU). Another is using the strong base of WRI's existing and planned programs to explore networks and partnerships that can be used help multiply WRI's connections to the continent. WRI must focus on the big strategic issues and not shy away from criticizing conventional aid agency thinking on African development.

This echoes a suggestion of WRI's European donors that WRI ensure that engagement with the BRICS does not come at the expense of work in Africa.

II. PROGRAM REVIEWS

A. Key Findings and Recommendations

Key findings and recommendations from the Program Reviews are included below. The full Reviews are in Annex A, B and C.

1. Forestry Landscape Objective (FLO)

WRI is a trusted provider of information and analysis about forests and helps to convene others around particular issues. Forest information work has improved transparency and the prospects for greater scrutiny and accountability in Congo Basin countries and Indonesia. The Forest Legality Alliance and its work on leveraging the Lacey Act has been influential within the US and has helped stimulate adoption of legislation by the EU as well as actions by governments and business. Through objective assessments of governance indicators in some key countries the Governance of Forests Initiative has the potential to contribute to improvements in forest governance.

The reasoning underpinning WRI's approach to its forests work is that the reforms that lead to better, more equitable, use of forests depend on trustworthy information which capable stakeholders can use to advance arguments for change and decision making processes that are open to their influence. This is consistent with understanding of how societies create institutions that promote public goods.

The three elements of WRI's approach – credible information, capable stakeholders and inclusive decision making processes, cannot be considered as separate activities. They should relate to each other in support of domestic political processes. This does not mean that WRI should always be involved in support of all three everywhere it works. There may be other organizations that are better placed to contribute. But it does imply that it WRI should always be conscious of how the elements fit together and be ready to adapt as knowledge and circumstances change.

WRI is well known for its remote sensing, GIS and mapping capabilities. It is legitimate to ask at a time when technology is advancing rapidly and becoming so much more accessible to non-specialists if WRI should continue to dedicate so much effort to supporting its forest information (and other) work in this way. WRI is not at the forefront of developing this science and technology. Its role is to keep abreast of the latest developments so as to be able to analyze and present policy relevant information in ways that reach and are understood by a number of audiences. There will always be a market for sharp analysis and skillful presentation but the need for this at the national level will diminish, quite slowly in some cases, as countries move towards the levels of capability now seen, for example, in Brazil. WRI's role should change as this capacity develops.

The Forest Landscape Restoration and POTICO programs are newer initiatives that extend more consciously than earlier work beyond forests into wider landscapes. They are far more challenging than the work which is more narrowly focused. Making progress on both will depend on a wider set of skills and partnerships than FLO has employed in the past.

POTICO is a natural development of WRI's concern with restoration. Experience to date illustrates well the difficulties of operating in circumstances where the capacity

of institutions to enforce public policy is weak, jurisdictions are overlapping, there are conflicting provisions relating to tenure, rights and land use, and competition for land is fierce. There is still much to learn and to demonstrate, and there are some significant risks, but the rewards are potentially very significant. WRI does not need to be involved in delivering a lot of land swaps or in delivering directly the training that would support these. Such work should be the responsibility of local groups. WRI's main role should be to assist in the generation of data, analysis and lessons and the use of these to influence decision-making processes.

The links between the components of FLO and other aspects of WRI's work are not sufficiently explicit or exploited. Some of FLO's information and governance work is not well integrated into national policy processes or initiatives which seek to support these processes.

WRI's work on forests has a lower international profile now than it did some years ago. FLO as a whole, as opposed to its components, does not have a clear identity which people outside WRI can recognize. There has been no very visible championing of the portfolio as a whole and few publications that have really made a stir.

The relevance of FLO to achievement of environment and development objectives has not diminished. Its effectiveness could be improved by better integration of work within WRI and between WRI and other organizations and initiatives. WRI needs to think through in more detail how it will achieve its aims in particular contexts and invest more time in choice of partners and relationship building. The new forests strategy which is in progress provides an opportunity to set this course.

The development of Global Forest Watch 2.0, due to be launched at Rio+20, gives a glimpse of how WRI's role might change. The aim is to bring a steep change in transparency using new technology, mobile communications and social networks. GFW2.0 will combine a close to real-time deforestation alert system, powered by Google Earth Engine and Earth Builder, with a network of advocates and the NGOs with which FLO and The Access Initiative (TAI) have long worked. It will be complemented by access to the analyses and maps that WRI and others have already generated and enable others to create customized maps and analyses for their own use using data on the Google Earth system. The role of WRI will be that of innovator and convener rather than that of an executor that is largely responsible for implementation.¹¹⁵

In the new strategy the intention is to build on the current focus on restoration with attention to the governance and institutional weaknesses which underlie the decline of forests. It will seek solutions to the restoration of cleared and degraded forests as well as the protection and sustainable management of natural forests. While this distinction makes sense in some respects, including that of being seen to be responsive to particular interest groups, it is not consistent with a landscape approach and it could perpetuate the isolated treatment forests within WRI. There is little doubt that demands for ideas and approaches to the restoration of degraded land in which forests will play important roles – demands from governments, the private sector and donors, will grow faster than those for the sustainable management of natural forests. If WRI is actually able to draw on the breadth of its

¹¹⁵ This system builds on the FORMA/Forest Monitoring for Action developed by the Center for Global Development (CGD).

http://www.cgdev.org/section/initiatives/_active/forestmonitoringforactionforma

experience and expertise, in governance, ecosystems and markets for example, to complement its capabilities in forestry, then the weaving together of these two threads would bring greater coherence and a sharper profile.

2. Mainstreaming Ecosystems Services Initiative (MESI)

The Grand Challenges for MESI

Overall the ERT considers that MESI is at present made up of a number of interesting, useful but somewhat unconnected initiatives none of which receives the resources needed to have a major global impact. MESI has grown opportunistically and we found it difficult to detect a central organizing framework or any mechanisms through which priorities were being set. Yet MESI operates in the heartland of the environment – development nexus and in an area where WRI has significant historical achievements. MESI is where the strategic thinking on the big poverty – environment issues should be taking place and where WRI should be exercising leadership.

The two objectives of the MESI strategy are:

- * Provide decisionmakers with information and assessment tools that link ecosystem health with the attainment of economic and social goals, and
- * Develop economic incentives and policy options that restore and sustain ecosystems.

An ex-post review of MESI

MESI emerged from WRI engagement in the Millennium Ecosystem Assessment. The MEA – even though not implemented by WRI – must rank amongst WRI's most significant achievements. The MEA introduced new thinking to the international resource management discourse and its conceptual products are widely used. Many had expected that the MEA might have been followed by a more formal effort to track metrics for change in environmental services – something that WRI might have done. So far this has not happened. So far expectations for an ongoing MEA process have not been met and MESI has not had the resources to really follow through on more than a subset of the possible issues where WRI might play a role.

Some issues for consideration for MESI are:

- ❖ **How data and information influence outcomes:** There are numerous providers of information on norms, guidelines and generic data on the condition of resources. Thus although the ERT found the reports etc. produced by MESI to be of excellent quality – perhaps the best of the numerous similar documents that are “out there” – it is difficult to assess their impact. So MESI must score very high for “outputs” but saying anything meaningful about outcomes or impacts is more difficult.
- ❖ **Global vs local or regional focus:** Some MESI activities work at a global level and target change in the behavior of governments, inter-governmental processes and the MDBs. Two of the activities – poverty and equity in East and Central Africa and water quality in China - have a narrower geographic focus. This illustrates a dilemma that WRI has to face:
 - WRI should be focusing on global impacts and producing international public goods – but when it does so it may be difficult to assess its impact

- WRI also needs to be in contact with realities on the ground and to understand the processes of change at a more local level – this will require sustained engagement with intermediary organizations.
 - The ideal model would be a degree of global ambition tempered with the realism that might come from some in depth involvement on the ground in strategic areas.
 - In reality both the coral reef work and the work with corporations do combine global analysis with more local application – the Caribbean for coral reefs and many other areas of activity for corporate partners.
 - Clearer links between the local, on-the-ground activities and the global strategic ambitions are needed.
- ❖ **Ecosystem services vs natural capital:** We noted that a debate on the possible use of the term natural capital to frame the objectives of MESI took place in 2008 and that the idea was not adopted. The term “natural capital” does in our opinion capture some new concepts that are not widely appreciated and given some of the ambitions in recent AORs etc it might find its place more prominently in future strategies and objectives – and ways of measuring it might also be used to provide for better impact pathways and future reviews.

Comments on Areas of Focus

1: Business and ecosystem services: The Corporate Ecosystems Services Review is an excellent compendium of sound advice on issues that corporations should address. The logic that corporations should draw on this material to design their own operating systems is sound. The process of engagement with the corporations is a plausible way towards impact. Attributing change to WRI is difficult but it does seem likely that WRI makes a significant contribution to corporate change. The collaboration with WBCSD and IUCN is strategic and also a plausible path to impact.

2: Governments and ecosystems: WRI has produced a number of general reports on this topic designed to influence non-specialist government officials and staff of multi-lateral development banks. The reports are of excellent quality and the contents are sound. However the MDBs (including the IFC) have considerable in house expertise to address these issues. WRI needs to further define its optimal niche in this crowded field.

3: Ecosystem services for development: This initiative addresses issues of poverty and equity in relation to natural resources in East and Central Africa. It stands out from the other activities in MESI in having a narrower geographic focus and in being much more explicit in the changes it seeks to achieve. There is a highly credible implicit theory of change. The work flows logically from analysis to identification of key stakeholders and engagement through appropriate intermediary organizations. This is an activity where the nature of the outcomes sought is clear and where there is evidence for impact on the intermediary local institutions. The ultimate link with improved livelihoods is impossible to judge but the ERT finds the logic very compelling. This area of activity has elements that could contribute to new strategies for WRI. If WRI were to move seriously into the area of restoration of ecosystems and building natural capital then this might be a good starting point.

4: Coral reefs: WRI has a highly competent and motivated team working on this issue and has produced some excellent reports. This initiative also operates in a crowded field and with a very small team. In the circumstances it appears to have had remarkably good outputs. The future of this work will depend on WRI's decisions on the reframing of MESI and on how to move forward across the Institute on water issues.

5: Water quality: Yet again WRI has a strong team and works in some important places – most notably China. Eutrophication and hypoxia are worldwide problems and with the resources that WRI invests in this activity it has chosen to focus on a few key places. The work in China is strategic in the sense that it enables WRI to engage with this major emerging economy and the work will certainly enhance the profile of WRI's office in Beijing. The future of this work will depend on WRI's decisions on the reframing of MESI and on how to move forward on water issues.

6: Ecosystem services – tools and indicators: This activity draws upon activities described under the first three areas of work of MESI – above. Again the work is of high quality but WRI is operating in a crowded landscape and needs to further focus its interventions on areas of comparative advantage.

The development of tools for environmental impact assessment (EIA) is a major current project. The profession of EIA is very large, they have their own professional associations, journals and conferences. The ERT finds it surprising that WRI could expect to have a significant impact in this area. As discussed below, in our view MESI needs to be thinking big-picture, cutting-edge, horizon-mapping.

The way forward for MESI

The ERT believes that WRI management and the teams working within PEP on FLO and MESI are aware of the need for organizational changes, In particular we note that:

- ❖ Organizational units of the importance of MESI ought to have a clear and simple mission, an explicit conceptual framework and ought to address a single grand challenge.
- ❖ The allocation of activities to MESI and FLO appears to us to be suboptimal and gains might be made by redistributing effort around two focus areas. Much more work would be needed to define these but our superficial review suggested that there are natural clusters of activities around:
 - Local natural resource use, dry and marginal areas, restoration and community and household processes, building or restoring natural assets - = MESI
 - Global environmental issues, governance, more humid areas, global and regional spatial data, protecting existing natural assets - = FLO
- ❖ WRI does not at present have any organizational unit dedicated to the issues of rural poverty and ecosystem health in developing countries. Yet strategy documents, plans and communications with donors suggest that there is a desire for this to be a major focus of activity.¹¹⁶

¹¹⁶ In response to this point WRI has noted the MESI work on Ecosystem Services for Development, WRI's work with the UN's Poverty-Environment Partnership and the related Poverty-Environment Initiative and work with IGP/EPE on underlying governance challenges

- ❖ There are major misconceptions and assumptions in the global policy discourse and in the on-the-ground actions of the development assistance and conservation communities about poverty – environment links. There is little empirical evidence supporting many of the claims concerning the relationships between poverty and the environment and on the importance of ecosystem services in the livelihoods of the rural poor. The independence and authority of WRI could be brought to bear on these issues.
- ❖ WRI has recently hired people who have a great deal of credibility in this broad field – including some who were major players in earlier generations of WRI ecosystem work. Some new hires also have international recognition in the areas of natural resources management and poverty in developing countries. We find this encouraging and hope that this will move some of these issues closer to center stage.
- ❖ The ongoing debate on the future of MESI and FLO are throwing up some interesting ideas in this general area. The two quotes below from a 2012 planning document already shine the spotlight on a pair of initiatives either one of which could have the potential to be one of WRI's major success stories to equal those from the past. There are other activities in these planning documents that suggest similar levels of ambition.

Two quotes from a recent WRI planning document – these are both examples of possible activities either one of which might provide a powerful response to the aspirations of MESI – but each of these activities could consume far more resources than those currently available to the entire PEP team.

linked to poverty and suggested that rather than creating a new organizational unit these issues be addressed through further advances in synergies between programs and cross-programmatic work. While this is certainly one way forward, recent information shared with the ERT leads us to recommend that WRI move in a different direction. As discussed earlier, WRI is in the process of focusing the MESI program. Only projects that deliver against “investing in ecosystems for food and water security” will be part of the next iteration of MESI. This means that if the poverty-environment work stays in MESI it will need to focus exclusively on food and water security. We suggest that the time has come to consider moving the poverty-environment work out of MESI and out of PEP and housing it either in the new Vulnerability and Adaptation objective or in the Office of WRI's Managing Director where it would be able to link to the full spectrum of WRI's program areas. An additional rationale for placing it in the Managing Director's Office is that this work c/would be managed by the same team that has developed a proposal for a new cross-program, cross-objective project designed to influence and shape the UN's Post-2015 Development Agenda by replacing the Millennium Development Goals (MDGs) with new Sustainable Development Goals (SDGs). This project, if approved, needs a high-profile home and major support from the highest levels of WRI – both the administration and the Board.

1. FLO is launching a major new activity focused on restoration of degraded forest landscapes through a global council, case studies, increased attention to political economy and governance issues.

MESI Strategic focus going forward: Collaborate with FLO to enhance achievement of outcomes related to food security, water supplies, increased resiliency and adaptation to climate change by reinforcing interventions of the African Regreening Initiative in targeted countries and among selected networks in West and East Africa; reinforce linkages with scaling up local ecosystem-based solutions work, especially in India.

2. Develop and launch a new global *Green Communities Alliance*, including a “joint action agenda” and advocacy on scaling up local ecosystem-based solutions in the ecosystems-climate-food security nexus; pilot test a country level ‘scaling up platform’ focused on enabling policies, finance, capacity development and knowledge sharing to support and promote investment in ecosystem services for poverty reduction and more resilient and sustainable rural economies

Sources:

1. MESI Annual Objective Review Memo Revised February 22,2012. Annex 4 – Summary of Key Synergies for MESI p.30
2. MESI Annual Objective Review Memo Revised February 22,2012 Annex 3 – Summary of MESI Projects, Geographic Focus, Strategic Shifts and Funding Opportunities. p.28

So, our main conclusion is that going forward WRI has to have the courage to select one or a very few of these areas and allocate the resources that are needed to have a major global impact.

3. The Access Initiative (TAI) and the Equity, Poverty and Environment (EPE) program

TAI and EPE are both impressive programs that have made important contributions in their areas of work and developed niches for WRI in the area of environmental governance.

Both programs are innovative and provide interesting models for other WRI work: In the case of The Access Initiative, WRI serves as the global secretariat of a large and diverse group of NGOs working across the globe on the issues of governance and access to information.¹¹⁷ In the case of EPE, WRI has been working patiently and persistently on building institutions devoted to analysis and advocacy in East Africa with impressive results.¹¹⁸ These are very different models for working on environmental governance. Both models deserve careful consideration as WRI develops its next Strategic Plan.

¹¹⁷ For the list of the 150+ TAI partners in 45+ countries that stretches to 9 pages, see <http://www.accessinitiative.org/partners>. WRI estimates that there are now over 250 + partners in 50 countries many of whom are not yet reflected on the website.

¹¹⁸ Examples include Advocates Coalition for Development and Environment (ACODE) in Uganda and Lawyers’ Environmental Action Team (LEAT) in Tanzania

TAI and EPE share the distinction, rare among WRI programs, of having had an external evaluation. EPE (or, more accurately, a proto-EPE program "Rights and Responsibilities" funded by USAID) has had one. TAI tops the charts with three.

As noted in the main Report, EPE is ahead of the rest of WRI on integrating gender and indigenous voices into its programming. The analysis that led to this conclusion was from looking at the 2011-2012 Program Book and Program Book Annex. This source does not do justice to the nuances of the TAI program and the work of its many partners. Many of those partners work closely with women and indigenous groups. As such, EPE and TAI stand together in leading WRI in these domains.

EPE provides WRI with a solid platform from which to begin exploring broader engagement in Africa. Building on work that goes back several decades in East Africa, EPE has expanded into Central Africa and most recently into both Anglophone and francophone West Africa (Ghana and Mali). It has also gained Africa-wide experience and credentials by producing a series of 62 Country Profiles on Land Tenure and Property Rights in support of USAID's greatly increased attention to these issues.¹¹⁹

EPE's initial collaboration in Africa with the International Financial Flows and Environment Program (IFFE) program has already produced important results.¹²⁰ This collaboration deserves to be both deepened in East Africa and expanded over time in Central Africa and beyond. In addition to its work on Chinese investments in Africa, IFFE has already started looking at development finance from Brazil.¹²¹ We anticipate that India is next on the list. This work can serve as a point of synergy between WRI's expanding programs in China, India and Brazil.

TAI engagement on Principle 10 building up to the Rio +20 in June, 2012 is one of the most important global efforts currently underway at WRI. At the 1992 Earth Summit in Rio 178 governments recognized, in Principle 10 of the Rio Declaration, that the key to fair and effective environmental decision making is engaging the public through greater access to information, participation and justice. In 2011 the global TAI network launched a 3 Demands Campaign.¹²² The TAI Secretariat continues to be very proactive with its partners in seeking to influence the "zero draft" of the Rio+20 outcome document.¹²³ Whether the progress hoped for at Rio in June materializes or not, WRI through the TAI Secretariat, has once again used its

¹¹⁹ See <http://usaidlandtenure.net/usaidltpproducts/country-profiles> Reports are available for all USAID presence countries.

¹²⁰ Kirk Herbertson. Case Study: China's investments in Uganda's oil and gas sector. Powerpoint 10p. The Review Team has been very impressed with IFFEs other work on issues ranging from integrating human rights into the World Bank Group to engaging communities in extractive and infrastructure projects to carefully tracking developed country so-called "Fast-Start" climate finance pledges, . Some of the key publications are listed in Annex H. Commenting further on this work is outside the scope of this Review.

¹²¹ Xiaomei Tan. Emerging Actors in Development Finance: China & Brazil. Powerpoint 7p.

¹²² See <http://insights.wri.org/news/2011/08/what-do-you-want-rio20>

¹²³ One example in late March <http://www.accessinitiative.org/event/2012/governance> and <http://www.accessinitiative.org/sites/default/files/March%2025%20workshop%20flyer%203.1.12.pdf> This was preceded by a petition drive <http://www.change.org/petitions/what-we-want-from-rio20>

impressive convening power to marshal civil society energy and global opinion and focus it on this important principle.

A field visit with TAI Core Team member LIFE and its close associate Environics in Delhi clearly demonstrated that a strong partnership with only modest resources can make a real difference. Working closely and strategically together, LIFE Director Ritwick Dutta, Environics Director Ramamurthi Sreedhar and their small teams are having a major impact across India on the establishment of Green Tribunals and on holding government and corporate interests accountable through India's Right to Information (RTI) and environmental impact assessment mechanisms.¹²⁴ Another important lesson from TAI's work in India: it took a couple of false starts before the right institutions were found to carry out the TAI Assessment in India and move TAI's engagement forward.

Funding continues to be a challenge for the TAI Secretariat. A great deal of time and effort was spent on this last year. Ten proposals, mostly to Foundations, had only limited success. The Development unit has been asked to provide more support. Much of WRI's recent fundraising success has been with the business community. They are unlikely to support a network of advocacy groups working on the TAI goals. The 2005 evaluation noted that the hubs of global networks often have trouble covering their costs. It cited two cases in which organizations put out Requests for Proposals to host the hubs and that the winning proposals included commitments from the new host governments to cover a significant portion of the costs (eg the move of the Forest Stewardship Council from Oaxaca, Mexico to Bonn and the move of the Global Reporting Initiative (GRI) to the Netherlands).¹²⁵ We are not suggesting that the TAI Secretariat move out of WRI. We are suggesting that for it to stay, ways need to be found to raise the requisite funds without severely disabling either the programming & network management or the communications functions of the Secretariat. An observation: 3% of WRI's overall budget is currently being devoted to TAI. Programs with much larger budgets (eg EMBARQ and most pieces of CEP and PEP) might find ways to use the TAI approach and TAI partners to support their work. If so, they might be asked to help find the funding needed to keep the TAI Secretariat at WRI.

WRI's emerging work on Global Forest Watch (GFW) 2.0 should be able to contribute to TAI and EPE activities. Two examples we came across during this review are:

- TAI: TAI partners in India are using a mapping program to monitor mining and other extractive resource concessions and development projects across India. With Green Tribunals being set up across the country, citizens have an important new way to insert their voice(s) into development planning. This can only happen in cases where they know about the plans. Timing is often critical. GFW 2.0 with its near-real-time data and excellent resolution should be able to make an important contribution to the advocacy work of these and other TAI partners.
- EPE: EPE is developing a prototype crowd-sourcing tool to monitor land related activities relating to oil extraction along the Albertine Rift.

¹²⁴ see , for example, the work detailed at <http://www.ercindia.org/> pushing for accountability in the EIA process as well as the Environics website <http://www.environicsindia.in/>

¹²⁵ Steve Waddell. 2005. The Access Initiative (TAI) and The Partnership for Principle 10 (PP10). Snapshot June 2005. Appendix D. p. 38-9.

Annex A. Program Review: Forest Landscapes Objective (FLO)¹²⁶

Main points

WRI is a trusted provider of information and analysis about forests and helps to convene others around particular issues. Forest information work has improved transparency and the prospects for greater scrutiny and accountability in Congo Basin countries and Indonesia. The Forest Legality Alliance and its work on leveraging the Lacey Act has been influential within the US and has helped stimulate adoption of legislation by the EU as well as actions by governments and business. Through objective assessments of governance indicators in some key countries the Governance of Forests Initiative has the potential to contribute to improvements in forest governance.

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The relevance of FLO to achievement of environment and development objectives has not diminished. Its effectiveness could be improved by better integration of work within WRI and between WRI and other organizations and initiatives. WRI needs to think through in more detail how it will achieve its aims in particular contexts and invest more time in choice of partners and relationship building. The revision of the forests strategy which is in progress provides an opportunity to set this course.

The portfolio

The Forest Landscape Objective contributes to the People and Ecosystems goal of reversing degradation of ecosystems and assuring their capacity to provide goods and services. There are several components to FLO and there is related work under Governance and Access:

Components:

- Forest Information & Governance (FI&G)
- Forest Legality Alliance (and Leveraging Lacey) (FLA)
- Forest and Landscape Restoration (FLR)
- POTICO: Indonesia (POTICO)
- US Southern Forests for the Future

¹²⁶ Prepared by John Hudson. The review focused on those pieces of the FLO program working outside of the USA. The author's use of the Queen's English has been respected.

Links:

- The Governance of Forests Initiative
- Equity, Poverty and Environment

This review examines the FLO components, with the exception of the Southern Forests for the Future, and to a lesser extent the related Governance and Access work. The observations made are drawn from discussions with WRI staff, individuals that WRI works with as well as other individuals familiar with this subject matter, WRI documents and other documents associated with WRI's work.

The rationale

The reasoning underpinning WRI's approach to its forests work is that the reforms that lead to better, more equitable, use of forests depend on trustworthy information which capable stakeholders can use to advance arguments for change and decision making processes that are open to their influence. This is consistent with understanding of how societies create institutions that promote public goods. They do so through political processes involving challenge and negotiation between public and private interests. Reforms proceed when those involved are able to identify common interests and agree on ways of pursuing them. This understanding helps explain why much of the progress countries such as Costa Rica, Brazil, Mexico and China have made in recent years has been internally generated. It also explains why externally supported processes of reform of public policies and institutions, such as those in the forest sector of Cameroon have, in the absence of a vigorous domestic political process, made less progress.

The three elements of WRI's approach – credible information, capable stakeholders and inclusive decision making processes, cannot be considered as separate activities. They should relate to each other in support of domestic political processes. This does not mean that WRI should always be involved in support of all three everywhere it works. There may be other organisations that are better placed to contribute. But it does imply that it WRI should always be conscious of how the elements fit together and be ready to adapt as knowledge and circumstances change.

Poverty relevance

Poverty reduction through forests is complicated and the potential varies greatly between social groups and from one place to another. Forests play three main roles in relation to poverty: as safety nets mitigating poverty; as income gap fillers when better employment opportunities are lacking, and; only occasionally, as a route out of poverty.

Quite a lot is known about the conditions that favour poverty reduction in forests. They include:

- Secure local property rights and ability to use rights as collateral;
- Local decision making power over use of forests;
- A capable civil society that can hold policy and decision makers to account;
- Access and control over benefits and decision making authority over allocation of benefits;
- Accountability of those who make decisions to those who are affected;
- Transparency in access to information and understanding of rules;
- Monitoring and enforcement;
- Access to justice and grievance mechanisms.

WRI's FLO work is directed at some of these conditions, in particular transparency, monitoring and the links these provide to local decision making and an informed and capable civil society. A number of Equity, Poverty and Environment programs contribute to other conditions, notably property rights and access and control over benefits.

FLO's identity and role

FLO as a whole, as opposed to its component parts, does not have a clear identity which people outside WRI can recognise. WRI's forests work has a lower international profile now than it did some years ago. This may be, in part, a consequence of an increasingly crowded landscape of initiatives and institutions concerned with forests and related land use. But in addition, it is fair to say that there has been no very visible championing of the portfolio as a whole and few publications clearly deriving from WRI that have really made a stir.

The point about a crowded landscape is easily illustrated. Earlier this year DFID brought together some of the organisations it works with on forest governance. They shared information about what they are doing in different countries as well as regionally and thematically. In the DRC alone, 14 organisations that have representatives in UK are working on aspects of forest governance (promoting transparency; capacity building in support of legal and human rights, advocacy, FLEGT¹²⁷ and REDD; community mapping; independent monitoring of logging concessions, and; engagement of parliamentarians). Many of these organisations are doing very similar and overlapping things in a quite uncoordinated way. They all work with, to varying degrees, the small number of over-stretched governmental and non-governmental organisations in that country. These 14 do not include WRI and a host of other important organisations. As a consequence of this meeting these organisations are sharing their work plans, holding joint (virtual) planning meetings and looking for opportunities to accelerate learning.

WRI's role and comparative advantages within this crowded and chaotic landscape have become less distinct. Although the number of organisations with which to partner has grown, it is now probably harder than it used to be for WRI to identify and gain the committed attention of the organisations that can help promote the uptake of its work. The description of target audiences in the project strategy of the sustainable timber management in the Congo Basin project (The Program Book, 2011-12) makes this point all too clearly.

These circumstances are unlikely to change much in the medium term in countries such as the DRC. There appears to be little prospect of donors being more disciplined in terms of programmatic funding of national processes as opposed to a multitude of projects, apart from FLEGT and some emerging REDD+ prospects. And national organisations, governmental and non-governmental, will only give clearer directions to those who support them as they grow in capability and confidence. In these circumstances WRI will have to think through in more detail how it will achieve its aims and invest more time in choice of partners and relationships building.

Effectiveness

¹²⁷ Forest Law Enforcement, Governance and Trade, supported by the EU

Leaving aside the work in the USA which has not been examined, FLO's work divides into the longer established work on forest information and governance – from which the Governance of Forests Initiative and Forest Legality Alliance have developed, and the newer work of FLR and POTICO.

The prevailing view among the individuals contacted is that WRI is a trusted provider of information and analysis and helps to convene others around particular issues.

There is evidence that the forest information work has improved transparency and the prospects for greater scrutiny and accountability in Congo Basin countries and Indonesia. This, together with other factors, has contributed to better regulatory performance and logging companies' compliance, though both remain patchy and with much scope for improvement.

The supply of forest information is not sufficiently well integrated with public policy processes and other efforts to improve forest governance such as FLEGT and independent forest monitoring. The development of an on-line legality database in the Republic of Congo is an example of a move in the right direction.

The supporting links between the components of FLO and other aspects of WRI's work such as IGP, are not sufficiently explicit or exploited. For example, the EPE Objective Plan for forestry work in Central Africa refers to working with PEP to develop a more structured approach to WRI's work in the sub-region. While there is little evidence that this has yet taken place it is recognized that such integration is an important element of the Forests Initiative which is under development and of WRI's recent proposal to DFID.

Suggestions for the future focus of forest information work that arose during consultations include: strengthening the capacity of national stakeholders to generate forest information and use it; incorporating information about small forest titles and annual cutting areas to enable monitoring of and responses to specific malpractices, and; mapping customary land. Perhaps the most important opportunity is related to helping to apply what has been learned about the monitoring of logging concession allocations and practices to the allocation and management of agribusiness and mining concessions in forest areas (as WRI has started to do with mining concessions in Gabon).

WRI is well known for its remote sensing, GIS and mapping capabilities. It is legitimate to ask at a time when technology is advancing rapidly and becoming so much more accessible to non-specialists if WRI should continue to dedicate so much effort to supporting its forest information (and other) work in this way. WRI is not at the forefront of developing this science and technology. Its role is to keep abreast of the latest developments so as to be able to analyse and present policy relevant information in ways that reach and are understood by a number of audiences. There will always be a market for sharp analysis and skillful presentation but the need for this at the national level will diminish, quite slowly in some cases, as countries move towards the levels of capability now seen, for example, in Brazil. WRI's role should change as this capacity develops.

The development of Global Forest Watch 2.0, due to be launched at Rio+20, gives a glimpse of how WRI's role might change. The aim is to bring a step change in transparency using new technology, mobile communications and social networks. GFW2.0 will combine a close to real-time deforestation alert system, powered by

Google Earth Engine and Earth Builder, with a network of advocates and the NGOs with which FLO and The Access Initiative (TAI) have long worked. It will be complemented by access to the analyses and maps that WRI and others have already generated and enable others to create customized maps and analyses for their own use using data on the Google Earth system. The role of WRI will be that of innovator and convenor rather than that of an executor that is largely responsible for implementation.¹²⁸

All three aspects of the strategy—applying new technology, guaranteeing transparency 24/7, and mobilizing human networks—involve WRI working with partners. Collaborative partnerships are a character trait of nearly all of WRI's work; the Institute recognizes that success does not come by working alone. Collaboration will involve partners not only using GFW 2.0 but also uploading content and providing input to its design.

The Forest Legality Alliance and the Leveraging of the Lacey Act have proved to be influential within the US. WRI has been effective in creating awareness of the Lacey Act and its implications in governments and the private sector around the world. This helped to stimulate adoption of legislation by the EU as well as actions by governments and business.

The Governance of Forests Initiative is drawing attention to problems of governance in some key countries. The focus to date has largely been on objective assessments of governance, using a framework of indicators. This should lead to opportunities, in association with other efforts, to improve governance.

The Forest and Landscape Restoration programme is a development of an interest in restoration going back almost 10 years that grew into the Global Partnership on Forest Landscape Restoration (GPFLR). The intention now is to build on the political interest that has been generated, develop a high level Council of eminent persons and a Coalition of interested countries that can be supported by GPFLR to put restoration into more widespread practice. WRI's role to date appears to have been largely that of analyst to assess and map restoration opportunities. WRI's capabilities in people and ecosystems, governance and markets offer potential to contribute to restoration work that does not yet appear to have been applied. WRI needs to identify the wider contributions it is able and willing to make and negotiate them with the other members of GPFLR.

POTICO is a natural development of WRI's concern with restoration. Experience to date illustrates well the difficulties of operating in circumstances where the capacity of institutions to enforce public policy is weak, jurisdictions are overlapping, there are conflicting provisions relating to tenure, rights and land use, and competition for land is fierce. There is still much to learn and to demonstrate, and there are some significant risks, but the rewards are potentially very significant. WRI does not need

¹²⁸ This system builds on the FORMA/Forest Monitoring for Action developed by the Center for Global Development (CGD).

http://www.cgdev.org/section/initiatives/_active/forestmonitoringforactionforma

See also: Dan Hammer, Robin Kraft and David Wheeler. 2009.

FORMA: Forest Monitoring for Action—Rapid Identification of Pan-tropical Deforestation Using Moderate-Resolution Remotely Sensed Data. Washington DC: Center for Global Development. Working Paper 192. 23p.

to be involved in delivering a lot of land swaps or in delivering directly the training that would support these. Such work should be the responsibility of local groups. WRI's main role should be to assist in the generation of data, analysis and lessons and the use of these to influence decision-making processes.

New strategy

As explained above, the current strategy for forests, which was developed in 2007, consists of a portfolio of projects under FLO. It is linked conceptually, if not always operationally, with other WRI work. In the new strategy the intention is to build on the current focus on restoration with attention to the governance and institutional weaknesses which underlie the decline of forests. It will seek solutions to the restoration of cleared and degraded forests as well as the protection and sustainable management of natural forests. While this distinction makes sense in some respects, including that of being seen to be responsive to particular interest groups, it is not consistent with a landscape approach and it could perpetuate the isolated treatment forests within WRI. There is little doubt that demands for ideas and approaches to the restoration of degraded land in which forests will play important roles – demands from governments, the private sector and donors, will grow faster than those for the sustainable management of natural forests. If WRI is actually able to draw on the breadth of its experience and expertise, in governance, ecosystems and markets for example, to complement its capabilities in forestry, then the weaving together of these two threads would bring greater coherence and a sharper profile.

Annex B: Program Review Mainstreaming Environmental Services Initiative (MESI)¹²⁹**Framing of the issues:**

Prior work in the general areas covered by MESI and PEP has formed the foundation of WRI's global reputation. Amongst the more notable achievements have been:

- ❖ **The Tropical Forest Action Plan:** This was one of WRI's first major products. It was launched at the World Forestry Congress in Mexico in 1985 based upon a dialogue that brought together the acknowledged world leaders in its field. It was effectively communicated and promoted and throughout the 1980s and early 1990s the TFAP donor coordination group was pivotal in influencing development assistance agendas. The TFAP was quite rapidly handed over to FAO for implementation. FAO still maintains the unit and National Forest Programmes are still active in several countries – 27 years after the launch. The TFAP came in for much criticism for some aspects of its approach but in reality it provided a unique forum where these sensitive issues could be debated. It was the hub of the policy discourse on tropical forests for a decade and had a major impact on thinking. It contributed to large increases in international funding for forest conservation and management. The TFAP responded to a grand challenge.
- ❖ **Global Forest Watch:** Global Forest Watch also responded to a grand challenge. The concept placed forest governance and forest resource degradation firmly on the development assistance and political agendas. Again WRI handed on implementation to national partners and mentored them. GFW initiated a flurry of activity around transparency and rights issues on forests that still persists today although WRI is no longer leading the processes.
- ❖ **The Rio processes, the GEF and the Forest Principles:** WRI was active in the lead up to the Rio summit in 1992. Along with others it influenced the policy debate and promoted concepts relating to ecosystem services and international mechanisms to secure them. WRI had significant influence on the concepts behind the GEF and the CBD and was an active participant in drafting the Forest Principles – which it would have preferred to see as a forest convention. All of the follow up to these initiatives took place outside WRI.
- ❖ **The Millennium Ecosystem Assessment:** The inspiration and concepts behind the MEA came from WRI. The initial groups that guided the process were convened by WRI and included the world's leaders in the relevant fields. WRI drove the process of raising the funds and establishing the secretariat and processes for the MEA – but it left implementation to others. The MEA

¹²⁹ Prepared by Jeffrey Sayer. The review focused on those pieces of the MESI program working outside of the USA. It includes some observations and suggestions about the broader PEP program and WRI's legacy work on natural resources issues. The author's use of the Queen's English has been respected.

remains influential and may yet evolve into a continuing programme within the IPBES process.

What lessons can be learned from these examples?

It is interesting to reflect upon the lessons that WRI can draw from these successes. We would argue that:

- ❖ WRI developed innovative concepts but did not itself conduct research – however it brought together leading researchers.
- ❖ It convened the world’s leading thinkers and decision makers to build consensus around these concepts
- ❖ It established processes to follow through on the concepts and ensure the continuity of the activities
- ❖ It stepped back and handed implementation over to organisations with the appropriate mandates and capacities.
- ❖ Poverty issues were mainstreamed in all of the above initiatives.

At this stage of its development WRI was very clearly a leading think tank and did not venture into the “do-tank” arena.

There is a contrast between the modus operandi of WRI today and in those early years. The early successes were very global, convened dream-teams of global leaders, were highly strategic and were genuinely innovative. The task when the 2008 strategy was being developed was more difficult. There were far more actors in the environment and development field. There was intense competition for the next “big idea” – many very clever people were searching for those silver bullets and the silver bullets were getting scarcer. It was still possible to come up with the new ideas in Brussels, London, Geneva or New York but it was getting harder to get traction on the ground where it mattered in the developing world. Much of the high level international environment and development policy work was being criticised for being top-down and not relevant to the realities of poor developing countries. Funding agencies were aware of this and wanted to see results on the ground – quickly. A capacity to test ideas in the field and to learn from practical engagement was needed - the shift to the “do-tank” mode of operating provided one way of achieving this. The question is whether the pendulum swung too far?

It is not easy for an outsider to understand the strategy and concepts underlying MESI today. MESI is generally presented as a collection of 6 projects, although the 6 vary from one source to another and in one case only 5 are listed.¹³⁰ The project activities span a wide range of activities and are mostly rather tactical – they are responding to problems. The activities do not fit together as a coherent whole and they are almost all things that many others are also doing. The interesting question is whether in 2008 it would still have been possible to find grand challenges in the

¹³⁰ The MESI section of the WRI website has what we will term a “baseline” list of six components. A powerpoint overview of MESI put together for the ERT tracks on 5 of the 6 components (Governments & Ecosystem Services does not appear, replaced by U.S. Southern Forests). The 2008 MESI strategy in the WRI 2011-2012 Program Book (p.187) also has 6 components. This also tracks on 5 of the 6, but in this case the 6th one is China Water – which is distinct from Eliminating Eutrophication, which is also listed. The WRI 2011-2012 Program Book Annex (p.579) has only 5 components. Southern Forests for the Future is listed, but there is no mention of Businesses & Ecosystem Services or China Water.

ecosystem's field that were not already the focus of international attention. Perhaps the grand challenge today is to bridge the "implementation gap".

Notwithstanding the abundant documentation made available to the ERT we found it difficult to distil out a simple understanding of the mission or of any unifying conceptual framework for MESI. We are aware that this concern is shared by WRI – and MESI – management and that at the time of our review an active process of planning, priority setting and focusing is already engaged. We therefore recognise that the following comments are being made at a time when the debate is well engaged within WRI and considerable progress has already been made.

The Grand Challenges for MESI

Overall the ERT considers that MESI is at present made up of a number of interesting, useful but relatively unconnected initiatives none of which receives the resources needed to have a major global impact. MESI has grown opportunistically and we found it difficult to detect a central organising framework or any mechanisms through which priorities were being set. Yet MESI operates in the heartland of the environment – development nexus and in an area where WRI has significant historical achievements. MESI is where the strategic thinking on the big poverty – environment issues should be taking place and where WRI should be exercising leadership. The next big thing for WRI could come out of MESI but it will not do so if the MESI team is dispersed over a set of small activities operating in geographies and subject areas where WRI is just one of many players. We detected a degree of "stovepiping" within MESI due most likely to a funding model that has staff focused on their own narrow areas of interest. MESI is unlikely to achieve global impact in any of the areas where it is at present active unless resources an order of magnitude greater than those at present deployed are focused on a small number of "grand challenges".

The two objectives of the MESI strategy are:

- * Provide decisionmakers with information and assessment tools that link ecosystem health with the attainment of economic and social goals, and
- * Develop economic incentives and policy options that restore and sustain ecosystems.

An ex-post review of MESI

MESI emerged from WRI engagement in the Millennium Ecosystem Assessment. The MEA – even though not implemented by WRI – must rank amongst WRI's most significant achievements. It emerged from initiatives taken by WRI and is strongly associated with WRI in most peoples' minds. The MEA introduced new thinking to the international resource management discourse and its conceptual products are widely used. There had been expectations that the MEA might lead to ongoing processes that mainstreamed ecosystem concerns into environment and development thinking. Although the ecosystem concept is now more prevalent in the sustainable development discourse this is not linked specifically to the MEA. There has not as yet been any formal follow up to the MEA and this means that it has been less successful

in one of its main objectives – that of establishing metrics against which changes in ecosystem services could be tracked over time.¹³¹

Many had expected that the MEA might have been followed by a more formal effort to track metrics for change in environmental services – something that WRI might have done. The World Resources Reports might have provided a vehicle for communicating this. So far this has not happened and expectations for an ongoing MEA process have not been met.

MESI might have been a mainstream MEA follow up but it appears more to have picked up some of the pieces – perhaps where it had ongoing programmes or installed capacity – and is now an assemblage of somewhat related pieces of work. This is not to say that the work is not important and of high quality – rather that it is an arbitrary subset of a rather larger range of topics that might have received attention.

The 2008 strategy and its objectives were framed around the communication of ecosystem concepts to commercial companies, international organisations and governments. There was no explicit statement of the “ecosystem” outcomes that were sought. There was an assumption that securing better “ecosystem” literacy in the target institutions would lead to better outcomes in the areas where those institutions were having an influence. Since all of the institutions were subject to influence from a wide range of others championing the cause of ecosystems it was inevitable that change would be incremental and that attribution of that change to any single outside body would be difficult. This means that the present review can say very little about the ultimate impact of the strategy adopted in 2008.

An alternative approach for WRI might have been to frame its strategy and objectives around specified ecosystem outcomes. An impact pathway might then have been developed which would have made it clear which institutions needed to be targeted and what changes in their activities were required. This has been the approach of other international conservation and development organisations. The WWF global programmes for instance are based upon targets that WWF and those it seeks to influence agree upon. In developing future strategies WRI might consider taking this approach.

The use of the generic term “ecosystem services” may also have made tracking of outcomes and impacts more difficult. Although the term is very clearly defined in the MEA in popular parlance it is often used very loosely. It suffers from the syndrome of constructive ambiguity – it can be interpreted by different actors in many different ways. This again makes for problems in tracking changes – in fact one of the big challenges that the MEA did not solve is that of establishing some ongoing process for tracking ecosystem service trends. The Sustainable Development Goals that WRI is helping to develop and channel through the Rio + 20 processes might enable progress on ecosystem service metrics to be achieved.

¹³¹ In 2009 WRI published a working paper and preliminary roadmap for improving ecosystem service indicators. (Christian Lake. *Measuring Nature's Benefits: A Preliminary Roadmap for Improving Ecosystem Service Indicators*. 36p.) WRI worked with WCMC, IUCN, and others in an effort to convince a group of international data providers such as FAO, UNEP WCMC, and others to collect and produce better ecosystem service data and indicators. However, WRI was not able to mobilize sufficient funding to expand or continue this work.

The ERT invested considerable time in reviewing the AORs and other internal planning and priority setting documents. We were impressed and daunted by the level of detail in many of these documents. But we were also concerned that there might be too much attention to operational detail and not enough senior management time invested in engagement with the broader international policy discourse. WRI might have been too inward looking and tactical and not sufficiently strategic and forward looking.

Some more specific issues for consideration for MESI are:

- ❖ **How data and information influence outcomes:** There are numerous providers of information on norms, guidelines and generic data on the condition of resources. Thus although the ERT found the reports etc produced by MESI to be of excellent quality – perhaps the best of the numerous similar documents that are “out there” – it is difficult to assess their impact. So MESI must score very high for “outputs” but saying anything meaningful about outcomes or impacts is more difficult. Corporations, governments and international agencies have multiple sources that they draw upon for guidance on best environmental practice and attributing changes in their behaviour to any single agency is almost impossible. People from the institutions that WRI worked with were uniformly positive in their assessment of WRI’s contributions – but they were not able to cite examples of generalised impacts on ecosystem services that had resulted from this work.¹³²
- ❖ **Theories of change:** WRI’s Engagement with actors in processes that lead to changed behaviour and thus to better outcomes provides a more plausible pathway to impact. WRI does appear to have the ability to engage with the corporate and government sectors and probably does have impact through this channel. Activist NGOs are users of WRI data and especially maps although the material that they use does not only come from MESI. WRI and MESI’s impact comes via these intermediary organisations – and this is probably how it should be. The programme documents that we reviewed did not develop the logic of theories of change to the extent that we would have hoped.
- ❖ **Global vs local or regional focus:** Some MESI activities work at a global level and target change in the behaviour of governments, inter-governmental processes and the MDBs. Two of the activities – poverty and equity in East and Central Africa and water quality in China - have a narrower geographic focus. This presents a trade-off for WRI:
 - WRI should be focusing on global impacts and producing international public goods – but when it does so it may be difficult to assess its impact.

¹³² This is due, in part, to the difficulty of developing indicators and of quantifying impacts.subjects that have been covered elsewhere in this report. In response to this point WRI has noted that the Natural Value Initiative, TEEB, Corporate Eco Forum, WBCSD’s efforts, the Natural Capital Declaration and other major business and ecosystems efforts all refer to WRI’s Ecosystem Services Review as a guiding framework. We did not have time to independently confirm this point.

- WRI also needs to be in contact with realities on the ground and to understand the processes of change at a more local level – this will require sustained engagement with intermediary organisations.
 - The ideal model would be a degree of global ambition tempered with the realism that comes from in depth involvement on the ground in limited number of carefully selected strategic areas – and this of course requires sustained funding which may not have been available to the MESI team.
 - Both the coral reef work and the work with corporations do combine global analysis with more local application – the Caribbean for coral reefs and many other areas of activity for corporate partners.¹³³
- ❖ **In-house expertise vs partnerships:** Almost all of WRI’s activities involve external partners – a number of academics have associate status and some work part time for WRI. Given the proliferation of research in the areas where WRI is active reliance on partnerships is to be encouraged. Going forward WRI might choose to rely more on links with the academic community in order to be able to draw upon cutting edge science in its work. The ERT has the impression that the extent to which this is done is patchy within WRI at present. We note that the intention to do this is explicit in the strategic plan. Many of WRI’s past successes have come from its “convening power” and this comparative advantage needs to continue to be exploited.
- ❖ **Ecosystem services vs natural capital:** We noted that a debate on the possible use of the term natural capital to frame the objectives of MESI took place in 2008 and that the idea was not adopted. The term “natural capital” does in our opinion capture some new concepts that are not widely appreciated and given some of the ambitions in recent AORs etc it might find its place more prominently in future strategies and objectives – and ways of measuring it might also be used to provide for better impact pathways and future reviews.

Comments on Areas of Focus¹³⁴

1: Business and ecosystem services: The Corporate Ecosystems Services Review is an excellent compendium of sound advice on issues that corporations should address. The logic that corporations should draw on this material to design their own operating systems is sound. The process of engagement with the corporations is a

¹³³ In response to this section WRI has noted that other MESI programs, specifically the work on nutrient trading in targeted river basins in the US (outside the scope of this Review) and the work on poverty and environment, works at both the global level (through the UNDP/UNEP Poverty-Environment Initiative (PEI) and locally through the use of a Primer on Mainstreaming Local Ecosystem-based Solutions to Poverty-Environment Challenges. WRI/MESI has also worked with UNDP and the Equator Initiative to prepare a working paper on how to scale up local solutions to address poverty and ecosystem degradation.) After a fairly lengthy search on the wri.org we located the Working paper <http://www.wri.org/publication/ecosystems-climate-change-millennium-development-goals> This is an excellent contribution on an important topic. We were unable to find any trace of the Primer.

¹³⁴ An assessment of MESI’s specific indicators and outcomes has been included as an Addendum to this Annex.

plausible way towards impact. Attributing change to WRI is difficult but it does seem likely that WRI makes a significant contribution to corporate change. The collaboration with WBCSD and IUCN is strategic and also a plausible path to impact.¹³⁵

The creation of the "Leadership Group" seems a valuable initiative. The web site does not provide information on the composition of the group nor its modus operandi or results.¹³⁶

The support for sustainable procurement of forest products is also a sound initiative but yet again falls into the category of activities where there are many other actors and attributing changes to WRI will always be difficult.

2: Governments and ecosystems: WRI has produced a number of general reports on this topic designed to influence non-specialist government officials and staff of multi-lateral development banks. The reports are of excellent quality and the contents are sound. However the MDBs have considerable in house expertise to address these issues. The World Bank has well researched and credible safeguard policies that cover a broad range of "ecosystem service" issues. WRI publications may be having their impact through informing the higher level political actors who govern the activities of the MDBs. The feedback from our interviews suggested that the technical specialists within these organisations had multiple sources for the sort of information and analysis that WRI is providing. Nonetheless, WRI's work with IFC staff to incorporate ecosystem services into its new investment principles & criteria is a significant accomplishment. WRI needs to further define its optimal niche in this crowded field.

¹³⁵ WRI's work with businesses was highlighted in an important recent volume on the mapping of ecosystem services: Peter Kareiva, Heather Tallis, Taylor H. Ricketts, Gretchen C. Daily and Stephen Polask (Eds.) 2011. *Natural Capital: Theory and Practice of Mapping Ecosystem Services*. Oxford University Press. Box 19.1 An assessment of ecosystem services helps paper and packaging business respond to emerging risks (Craig Hanson). In addition, Janet Ranganathan and Craig Hanson were two of 11 authors of the final chapter: Incorporating ecosystem services in decisions. It is instructive that staff at TNC and WWF have taken the lead along with academics at Stanford and the University of Minnesota to pull this material together: an indication of how crowded this space has become, an interesting model of NGO/University collaboration, and a signal that WRI needs to think very carefully about its' niche and comparative advantage(s) moving forward.

¹³⁶ <http://www.wri.org/ecosystems/sustainable-business-and-markets> which leads to http://pdf.wri.org/business_and_ecosystems_leadership_group_brochure.pdf. In this response to this point WRI has noted that the Business and Ecosystems Leadership Group was an effort between 2009 and 2011 involving about 10 US-based companies. The Group met 3 times a year and involved WRI staff directly engaging members in between meetings on ecosystem service assessments and resulting strategy changes. In 2011, WRI combined the Group's work plan and membership with the WRI Corporate Consultative Group's new "Ecosystems Focus Area" in order to engage more major multinational companies at the same time and facilitate more collaboration between companies. In 2012, WRI started developing the Brazilian Business and Ecosystem Services Partnership, a USAID-funded effort to mainstream ecosystem service considerations into business decisions among the Brazilian private sector. All of this is welcome news. It needs to added to both the MESI section of wri.org as well as included as background on the Corporate Consultative Group section of the website.

Recent preliminary discussions with staff of the Millennium Challenge Corporation (MCC) may eventually bear fruit. The objective of influencing mayors and the wide range of other government officials referred to in the documents will be challenging. It seems unlikely that the provision of reports – however good they might be – will yield major impact and some direct engagement with these people must surely be needed. Since WRI could not itself achieve this on the scale required, a plausible impact pathway would again have to include intermediate organisations.

3: Ecosystem services for development: This initiative addresses issues of poverty and equity in relation to natural resources in East and Central Africa. It stands out from the other activities in MESI in having a narrower geographic focus and in being much more explicit in the changes it seeks to achieve. There is a highly credible implicit theory of change. The work flows logically from analysis to identification of key stakeholders and engagement through appropriate intermediary organisations. This is an activity where the nature of the outcomes sought is clear and where there is evidence for impact on the intermediary local institutions. The ultimate link with improved livelihoods is impossible to judge but the ERT finds the logic very compelling. In this activity WRI forsakes the ambition of achieving global impact and settles for a more plausible attempt to achieve regional impact. The region chosen is one where problems of poverty and equity are serious and WRI's interventions are clearly welcome. Although conducted in a geographically circumscribed area the lessons from this activity are generalisable to many other regions. The success of this activity resides in a long engagement in the region and high quality up-stream research and analysis on issues such as devolved natural resource management. Some of this earlier research counts amongst some of the most significant achievements of WRI. This area of activity has elements that could contribute to new strategies for WRI. If WRI were to move seriously into the area of restoration of ecosystems and building natural capital then this might be a good starting point.

4: Coral reefs: WRI has a highly competent and motivated team working on this issue and has produced some excellent reports. This initiative also operates in a crowded field and with a very small team. In the circumstances it appears to have had remarkably good outputs. The initiative is linked to all the major specialist coral reef institutions and appears to have their trust and collaboration. It has been amazingly productive of high quality publications and maps which are well known and widely used internationally. Partners interviewed were in general happy with their relationship with WRI – WorldFish in particular valued the role of WRI in packaging their findings and putting them into a form useful to decision makers – this was something that they had difficulty in doing themselves and they were happy to provide funds to support WRI's work. WRI had the credibility and communications capacity to get the message to the right people. WRI has worked with WorldFish on the analysis of social vulnerability, done some work on modeling threats to coral reefs, and developed and tested an economic valuation methodology and several valuation tools in the Caribbean.¹³⁷ The future of this work will depend on WRI's decisions on the reframing of MESI and on how to move forward across the Institute on water issues.

¹³⁷ The economic valuation work was highlighted in an important recent volume on the mapping of ecosystem services: Peter Kareiva, Heather Tallis, Taylor H. Ricketts, Gretchen C. Daily and Stephen Polask (Eds.) 2011. *Natural Capital: Theory and Practice of Mapping Ecosystem Services*. Oxford University Press. Box 17.2 Valuation of coral reefs in the Caribbean (Emily Cooper and Laurretta Burke)

5: Water quality: Yet again WRI has a strong team and works in some important places – most notably China. Eutrophication and hypoxia are worldwide problems and with the resources that WRI invests in this activity it has chosen to focus on a few key places. The work in China is strategic in the sense that it enables WRI to engage with this major emerging economy and the work will certainly enhance the profile of WRI's office in Beijing. The restricted geographic focus enables the team to engage in the decision making process in some key localities and in this situation the ERT believes that there is a plausible pathway to impact. The fact that WRI is clearly having a major impact on loans by the ADB and through them on Chinese policy in this important area is positive. We did have a slight concern that WRI's work in this area is tending into the mode of a consultant provider of services. WRI is thus responding to the agenda rather than setting the agenda. That said, WRI may be able to leverage this mode of ADB funding into more upstream strategy and planning work further down the road. This is WRI's strongest niche and comparative advantage. The future of this work will depend on WRI's decisions on the reframing of MESI and on how to move forward across the Institute on water issues.

6: Ecosystem services – tools and indicators: This activity draws upon activities described under the first three areas of work of MESI – above. Again the work is of high quality but WRI is operating in a crowded landscape and needs to further focus its interventions on areas of comparative advantage.¹³⁸

The development of tools for environmental impact assessment (EIA) is a major current project. A survey had suggested that 40% of EIA professionals did not address ecosystem services in their impact assessments. This is a surprising conclusion.¹³⁹ The profession of EIA is very large, they have their own professional associations, journals and conferences. The ERT finds it surprising that WRI could expect to have a significant impact in this area. As discussed later, in our view MESI needs to be thinking big-picture, cutting-edge, horizon-mapping.

This team has also conducted work on indicators for assessing ecosystem services – one of many attempts to do this. WRI's work has certainly contributed to the debate on indicators but this is another area where there is a very great deal of activity globally and WRI is one amongst many actors. There remains a global need for credible metrics spanning the dimensions of sustainable development that are useable at an operational level and have broad acceptance and credibility – this is an unmet need. However a simple search of the internet reveals that the number of organisations aspiring to fill this niche is enormous and if WRI seeks to situate itself as a leader in this field it will have to mobilise more resources and exert its undoubted convening power. There are technical issues in finding metrics for sustainable development which are already difficult but the real problem is to settle

¹³⁸ The poverty mapping work was highlighted in an important recent volume on the mapping of ecosystem services: Peter Kareiva, Heather Tallis, Taylor H. Ricketts, Gretchen C. Daily and Stephen Polask (Eds.) 2011. *Natural Capital: Theory and Practice of Mapping Ecosystem Services*. Oxford University Press. Box 16.2 Poverty and ecosystem service mapping at work in Kenya (Norbert Henninger and Florence Landsberg)

¹³⁹ In our view this is an issue of semantics: EIAs must by definition address ecosystem services. WRI disputes this. They also feel there is need for this work and have proposed scaling it up if/as resources become available. The ERT does not view this as strategic. In our view this is not a significant niche nor a WRI comparative advantage.

on a useable set of metrics and build broad support for them. WRI's involvement in the lead up to Rio + 20 could provide a channel for this work to be up-scaled.

The way forward for MESI and the broader PEP program

The ERT believes that WRI management and the teams working within PEP on FLO and MESI are aware of the need for organisational changes, In particular we note that:

- ❖ Organisational units of the importance of MESI ought to have a clear and simple mission, an explicit conceptual framework and ought to address a single grand challenge.
- ❖ The allocation of activities to MESI and FLO appears to us to be suboptimal and gains might be made by redistributing effort around two focus areas. Much more work would be needed to define these but our superficial review suggested that there are natural clusters of activities around:
 - Local natural resource use, dry and marginal areas, restoration and community and household processes, building or restoring natural assets - = MESI
 - Global environmental issues, governance, more humid areas, global and regional spatial data, protecting existing natural assets - = FLO
- ❖ There are numerous synergies and opportunities for rationalisation with other programme areas of WRI that need to be exploited and these might also be best achieved by some degree of redistribution of responsibility or formalisation of cooperation. We note that a WRI review of the work that led up to the CBD and GEF successes at Rio in 1992 noted the extent to which a large part of WRI's entire staff were mobilised around this effort.
- ❖ Some ongoing activities will not fit easily into the above frameworks and might be phased out – even if they attract restricted funding.

The ERT was encouraged to note that the MESI and PEP teams are well aware of these issues and are actively strategizing to achieve greater focus. It would be inappropriate for an external team to make suggestions on which grand challenge should provide the focus of the MESI work – this would require far greater intellectual effort than we have been able to invest. But we would offer the following thoughts:

- ❖ WRI does not at present have any organisational unit dedicated to the issues of rural poverty and ecosystem health in developing countries. Yet strategy documents, plans and communications with donors suggest that there is a desire for this to be a major focus of activity.¹⁴⁰

¹⁴⁰ In response to this point WRI has noted the MESI work on Ecosystem Services for Development, WRI's work with the UN's Poverty-Environment Partnership and the related Poverty-Environment Initiative and work with IGP/EPE on underlying governance challenges linked to poverty and suggested that rather than creating a new organizational unit these issues be addressed through further advances in synergies between programs and cross-programmatic work. While this is certainly one way forward, recent information shared with the ERT leads us to recommend that WRI move in a different direction. As discussed earlier, WRI is in the process of focusing the MESI program. Only projects that deliver against "investing in ecosystems for food and water security" will be part of the next iteration of MESI.

- ❖ WRI has in the past been able to convene advisory groups composed of recognised world leaders in a diversity of areas.¹⁴¹ It appears to have invested less in such broad consultative processes in recent years. As WRI works to define the way forward for MESI it could use its convening power to solicit input from a wide variety of individuals and both current and potential future partners in the US and, most importantly, from all corners of the globe..
- ❖ There are major misconceptions and assumptions in the global policy discourse and in the on-the-ground actions of the development assistance and conservation communities about poverty – environment links. There is little empirical evidence supporting many of the claims concerning the relationships between poverty and the environment and on the importance of ecosystem services in the livelihoods of the rural poor. The independence and authority of WRI could be brought to bear on these issues.
- ❖ Many development assistance and conservation organisations – some spending large sums of money are driven by ideologies and assumptions about poverty that may not be true. WRI might target policy change at this level.
- ❖ WRI has recently hired people who have a great deal of credibility in this broad field – including some who were major players in earlier generations of WRI ecosystem work. Some new hires also have internationally recognition in the areas of natural resources management and poverty in developing countries. We find this encouraging and hope that this will move some of these issues closer to center stage.
- ❖ Ongoing discussions on the future of MESI and FLO are throwing up some interesting ideas in this general area. The two quotes below from a 2012 planning document already shine the spotlight on a pair of initiatives either one of which could have the potential to be one of WRI’s major success stories to equal those from the past. There are other activities in these planning documents that suggest similar levels of ambition.

This means that if the poverty-environment work stays in MESI it will need to focus exclusively on food and water security. We suggest that the time has come to consider moving the poverty-environment work out of MESI and out of PEP and housing it either in the new Vulnerability and Adaptation objective or in the Office of WRI’s Managing Director where it would be able to link to the full spectrum of WRI’s program areas. An additional rationale for placing it in the Managing Director’s Office is that this work c/would be managed by the same team that has developed a proposal for a new cross-program, cross-objective project designed to influence and shape the UN’s Post-2015 Development Agenda by replacing the Millennium Development Goals (MDGs) with new Sustainable Development Goals (SDGs). This project, if approved, needs a high-profile home and major support from the highest levels of WRI – both the administration and the Board.

¹⁴¹ The 1996 Annual Report, for example, includes a Global Council (distinct from the WRI Board), 9 Advisory Panels and 4 Educations Advisory Panels. There have been recent examples of broad consultation on specific products. In developing *Nature in Performance*, for example, WRI organized 5 workshops on 4 continents involving 105 global experts to provide input to the guidance for integrating ecosystem services into corporate business performance systems.

Two quotes from a recent WRI planning document – these are both examples of possible activities either one of which might provide a powerful response to the aspirations of MESI – but each of these activities could consume far more resources than those currently available to the entire PEP team.

1. FLO is launching a major new activity focused on restoration of degraded forest landscapes through a global council, case studies, increased attention to political economy and governance issues.

MESI Strategic focus going forward: Collaborate with FLO to enhance achievement of outcomes related to food security, water supplies, increased resiliency and adaptation to climate change by reinforcing interventions of the African Regreening Initiative in targeted countries and among selected networks in West and East Africa; reinforce linkages with scaling up local ecosystem-based solutions work, especially in India.

2. Develop and launch a new global *Green Communities Alliance*, including a “joint action agenda” and advocacy on scaling up local ecosystem-based solutions in the ecosystems-climate-food security nexus; pilot test a country level ‘scaling up platform’ focused on enabling policies, finance, capacity development and knowledge sharing to support and promote investment in ecosystem services for poverty reduction and more resilient and sustainable rural economies

Sources:

1. MESI Annual Objective Review Memo Revised February 22,2012. Annex 4 – Summary of Key Synergies for MESI p.30
2. MESI Annual Objective Review Memo Revised February 22,2012 Annex 3 – Summary of MESI Projects, Geographic Focus, Strategic Shifts and Funding Opportunities. p.28

So, our main conclusion is that going forward WRI has to have the courage to select one or a very few of these areas and allocate the resources that are needed to have a major global impact. Continuing to disperse efforts amongst many sub-optimally resourced activities will condemn WRI to being just one more player in some increasingly crowded fields.

Geographical issues: WRI is seen by some as viewing environment and development issues through a USA lens. Yet WRI clearly aspires to global leadership and is proud of its track record of delivering globally relevant analysis, research and policy advice. The emerging WRI presences in China, India and Brazil provide an unparalleled opportunity to engage with thought leaders in those countries and to broaden the intellectual base of the WRI research agenda. Stakeholders in India, Brazil and China will have views on the poverty-environment nexus that are subtly different to those expressed in the mainstream policy discourse in the USA. Leaders in those countries will increasingly exert influence in the developing world which may run counter to the present currents flowing from Washington and the USA corporate sector. We were encouraged by the fact that WRI is hosting a blog which aims to correct some widely held misconceptions about the influences that China’s government and corporate sectors are having on environmental and social issues in developing countries. The areas where MESI is at present focused and those where it might concentrate its efforts in the future are all subject to huge influence from the

BRICS and it will be important for MESI staff to see these issues through the BRIC lens. The same applies to Africa – MESI already has staff with outstanding track records in Africa and thus a strong comparative advantage in this field. But in the longer term some mechanism will have to be found for developing a better capacity to see natural resource issues through an African lens.

Addendum on MESI's performance against objectives set out in the Strategic Plan.¹⁴²

In response to a draft version of this Review WRI requested a more focused and in-depth assessment of MESI's performance over the strategic plan period against the objectives set out in the Strategic Plan.

The two strategies of the MESI strategy set out in the Strategic Plan were:

1. Provide decisionmakers with information and assessment tools that link ecosystem health with the attainment of economic and social goals, and
2. Develop economic incentives and policy options that restore and sustain ecosystems.

These strategies are general but they provide a useful framework for WRI's work on ecosystem services.

Two illustrative "target outcomes" were included in the Strategic Plan:

1. The governments of the United States and other countries restore their wetlands in order to protect shorelines from storm surges and to mitigate flooding in floodplains, and
2. Developing countries increase funding for forest restoration and sustainable management in order to enhance livelihoods of the rural poor and their ability to adapt to climate change.

Assessment: Target outcome #1 has not been met. See comments below. Target outcome #2 is a mystery to the ERT. It looks like an outcome for FLO rather than MESI. In any event, we have found no trace of it in the MESI documentation.¹⁴³

The detailed 2008 strategy for MESI, available in the Program Book 2011-2012 (pages 186-7), has a list of 12 "indicators of success". Our assessment of these is, briefly, as follows:

Indicators of Success

The following indicators will be used to assess whether or not WRI is making progress toward this objective.

Governments

- The governments of the United States, Uganda, and other countries restore their wetlands in order to protect shorelines from storm surges and mitigate flooding. Assessment: MESI's work in the USA is outside the scope of this review.¹⁴⁴ In Uganda, WRI supported the Wetlands Management Department and Bureau of Statistics to identify, classify, and map the country's wetlands and carry out analyses of ecosystem services provided in order to create a

¹⁴² Prepared by George Taylor. Drafted 26March2012 Final 29March2012

¹⁴³ WRI clarification: Since the Plan was written in 2008 we revised some of the language of item 2 such as shifting from "forest" to "ecosystem".

¹⁴⁴ WRI clarification: Funding to work on ecosystem services and U.S. wetlands never materialized.

- foundation for making the case to improve wetland management to sustain local human wellbeing. WRI has been working to get ecosystem services language in a draft national wetlands bill. Which “other countries” the program had in mind is unknown.
- Water quality trading markets, tax reforms, and other incentives start to reduce nutrient pollution in the Chesapeake Bay, Gulf of Mexico, and several watersheds in China. Assessment: MESI’s work in the USA is outside the scope of this review.¹⁴⁵ See discussion of the China eutrophication work in the MESI Program Review above.
 - Recognizing the economic value that coral reefs provide to national GDP, tropical countries designate more marine protected areas, fund new waste water treatment facilities, integrate ecosystem considerations in planning policies, and implement coastal zoning laws to protect these valuable assets. Assessment: A very useful report on the global state of coral reefs has been produced. Three sets of tools were developed and tested in the Caribbean. We are unaware of any WRI contribution to “tropical countries designating more marine protected areas or funding new waste water treatment facilities”. There has been some, relatively small scale, success getting a few governments to integrate ecosystem considerations into their planning policies. This is discussed below in connection with the specific MESI targets for its work with businesses, governments and development agencies.
 - The U.S. Farm Bill of 2012 shifts a significant portion of funding away from crop production toward paying landowners to provide a range of ecosystem services such as erosion control, carbon sequestration, pollination, and wildlife habitat. Assessment: MESI’s work in the USA is outside the scope of this review.¹⁴⁶ This continues to be an important issue.
 - In at least 3 countries, ecosystem service indicators are incorporated into national poverty and Millennium Development Goal monitoring and reporting systems. Assessment: No progress we are aware of on this important issue.¹⁴⁷ WRI is engaged with the UN and global civil society on thinking through what to do after the MDGs expire in 2015. There is a proposal under consideration to launch a project on the “Post-2015 Development Agenda”. WRI could make an important ongoing contribution through such a project aimed at building support for the adoption of Sustainable Development Goals (SDGs).

¹⁴⁵ Background from WRI for readers who may be interested: WRI played a lead role in helping 3 states design their water quality (nutrient) trading programs and is in the process of helping Chesapeake Bay states and the EPA design and develop the first interstate water quality trading system. Our experience pioneering water quality trading in the States lays a good foundation for engaging other nations with eutrophication challenges.

¹⁴⁶ Background from WRI for readers who may be interested: In 2011, the eutrophication team received grants to quantify and model how Farm Bill subsidies could be targeted (in terms of geography and farm practice receiving funds) to maximize reductions in nutrient pollution, soil erosion, and carbon emissions, and to assess the political (and other) obstacles to targeting. This work is in process and is designed to inform the near-term and long-term debate (latest thinking is that the Farm Bill won’t pass this election year). This area of work is not given much profile (e.g., on the web) since NGO peers and Hill staffers have encouraged us to do the analysis “behind the scenes” given political sensitivities about “targeting”.

¹⁴⁷ WRI clarification : In 2009, WRI published a working paper and preliminary roadmap for improving ecosystem service indicators. However, we were unable to mobilize sufficient funding to continue this work.

Business

- Companies routinely evaluate their dependence and impact on ecosystem services and develop strategies to manage the identified risks and opportunities. Assessment: This indicator is too general to be assessed. MESI's numerical target for its work with businesses will be discussed later.
- Companies integrate healthy ecosystems into their operations. For instance, manufacturers build wetlands to filter wastewater and plant forests to absorb their greenhouse gas emissions. Assessment: ditto above.
- Businesses invest in the ecosystems upon which they depend. Beverage companies, for instance, pay upstream landowners to maintain healthy forests and wetlands in order to secure clean, reliable supplies of freshwater. Assessment: There are many groups working on payment for ecosystem services (PES). TNC, for example, has been working on this topic since the late 1990s and has reported success in several Latin American countries. We are not aware of any MESI work in this area. Examples of businesses investing in other aspects of ecosystems is discussed later.
- Private landowners earn enough revenue from the ecosystem services their forests provide (e.g., watershed protection, carbon sequestration, sustainable timber) to keep their forests intact. Assessment: Once again the indicator is too generic to be assessed. We understand that work has been done on this in MESI's "Southern Forests for the Future" work, but that is outside the scope of this Review.

Development agencies

- In order to help alleviate poverty, the World Bank invests in the restoration of wetlands and grasslands in Africa upon which the rural poor depend. Assessment: Yet another indicator with a level of generality that does not allow for any useful assessment. We are unaware of any MESI effort devoted to try and convince the World Bank to do either of these things.
- Development agencies encourage countries to increase national and sub-national budget allocations for ecosystem restoration in order to enhance livelihoods of the rural poor and their ability to adapt to climate change. Assessment: An excellent idea. We are unaware of any progress attributable to MESI.
- Development agencies significantly scale-up investment in ecosystem-based enterprises to grow the wealth of the poor and accelerate progress toward achieving the Millennium Development Goals. Assessment: Another excellent idea. Once again, we are unaware of any progress attributable to MESI.¹⁴⁸

Turning now to the numerical targets set by MESI for its work with businesses, governments and development agencies, the targets and the results achieved to date are as follows:

Objective: By 2012, more than 25 large companies, 10 governments, and 2 development agencies implement ecosystem service-based strategies, policies, and

¹⁴⁸ WRI clarification: This work is still in progress through WRI's work with UNDP/UNEP Poverty and Environment Initiative (PEI). We have jointly developed primers, prepared case studies, and communicated best practices for use in PEI-supported country level poverty-environment mainstreaming programs.

investments that reduce ecosystem degradation and foster more robust economic development.(emphasis added)

Results to date: 23 large companies and industry associations, 4 governments and 4 development agencies.

Assessment:

Progress with the business sector has been MESI's most important accomplishment, at least in the short run. While the ERT has been provided with a list of the companies and industry associations involved and an indication of the types of actions they have taken (ie Annex 2 – Actions undertaken by companies and industry associations working with MESI in the MESI AOR Key Questions Memo of May 20, 2011 and below¹⁴⁹), no data has been made available that measures the ways in which these investments have reduced ecosystem degradation or fostered more robust economic development.

Anecdotal evidence provided in the "MESI high-level summary" powerpoint (eg of Mondi, Europe's largest pulp and paper company, removing non-native invasive species from 3 tree plantations in South Africa, thereby securing freshwater supplies, reducing fuel costs, and strengthening relationships with local communities) is interesting but needs to be set in the context of a major push in South Africa over many years to do just this.¹⁵⁰

On the government outcomes: The one in the US (nutrient cap-and-trade in the Chesapeake Bay) appears impressive but is outside the scope of this Review. The outcome in Belize (new policies to protect reefs) is certainly welcome. The outcomes in Kenya and Uganda (increasing funding to poor Districts and to pro-poor

¹⁴⁹ WRI response: Some examples of companies/associations evaluating their ecosystem service dependencies and impacts, due to engagement with WRI, include:

- Alcoa now has an ecosystem services screening process that site managers use during regular facility audits. This did not exist 5 years ago.
- Eskom now has a new corporate policy on the books that states that Eskom operations will not damage ecosystem services important to its business and to local communities.
- IPIECA incorporated ecosystem service indicators in its revised "oil and gas industry guidance on voluntary sustainability reporting some examples of outcomes:
- After conducting an ESR, Yves Rocher is funding native forest restoration projects in Madagascar that integrate saro bushes (which produces an essential oil the company uses) and other locally used tree species into the landscape.
- After doing an ESR, Alcoa redesigned portions of a facility in Canada to reduce noise and protect cultural services, securing their social license to operate.
- After doing an ESR, CEMEX in France is investing in educating and assisting local farmers to reduce nutrient runoff so the lakes that CEMEX is creating through quarrying meet water quality standards.

¹⁵⁰ A quick google search led to a Facebook group active since 1999 that reports: "South Africa employs over 25 000 marginalised people in a national invasive species jobs programme. Under Natural Resource Management (NRM) Programmes (Dept of Environmental Affairs), the fight against the spread of invasive species is a multi-disciplinary, multi-departmental programme that has extensive stakeholder partnerships with the scientific community and private sector." <http://www.facebook.com/invasivespeciessouthafrica/info> This is the tip of the iceberg on public and private sector efforts in this arena. ERT member Jeff Sayer worked with Mondi on this issue in the 1980s.

agricultural extension services) while interesting prompt a number of questions: what were the amounts & percentages by which this funding was increased? Over what period of time? (ie did the increases stay in place over several years? Are they still in place in 2012?) How much of the increased funding in Kenya went to projects with a credible link to “reducing ecosystem degradation and fostering more robust economic development”?¹⁵¹ In Uganda, what were the pro-poor extension services and how do they link to reducing ecosystem degradation and more robust economic development?¹⁵²

One general comment on the government outcomes in Belize, Kenya and Uganda taken together: Do these outcomes come anywhere close to meeting WRI’s ambition of promoting Ecosystem Services for Development through investing in Ecosystem Services for Poverty Reduction through its investments in MESI? The ERT hopes that WRI’s response is a resounding “No”.¹⁵³ We note that the revised MESI strategy currently being finalized places a strong emphasis on government, both national but also local government, outcomes. This is right on target.

On the development agency outcomes: MESI aimed for 2 and got 4. This should be good news. Working with the IFC to incorporate ecosystem services into its new investment principles & criteria is an important accomplishment.¹⁵⁴ The other three outcomes are, unfortunately, at nowhere near that level. Influencing DANIDA and SIDA to increase their financial support for the Kenya Water and Sanitation program may well be important for program beneficiaries in Kenya, but it doesn’t strike us as a major contribution to reducing ecosystem degradation and fostering more robust economic development. The UNEP/UNDP Millennium Ecosystem Assessment follow-up strategy adopting several core recommendations of WRI’s “Restoring Nature’s Capital” is something we would expect to be par for the course rather than an outcome that deserved major highlighting. Has the adoption of these recommendations led to any changes in UNEP or UNDP program direction or funding?¹⁵⁵ This outcome begs two additional questions, one that is MESI-specific, the other applies to WRI as a whole:

¹⁵¹ WRI response: Kenya: In the water sector, very little historically went to the poorest districts. This outcome marked the first time that Kenya’s water and sanitation program explicitly targeted the 50 poorest locations. 50% of the new allocation formula was based on poverty levels. The amount was \$65 million over 5 years. For the constituency development fund, the outcome marked the first time that poverty was part of the allocation formula. It shifted money to the poorer, rural districts. The fund still exists, and represents roughly 3% of the central government’s national budget. The amount grew from \$78 million in 2004/5 to \$136 million in 2008/9 (we don’t have more recent data . . . but it still operates).

¹⁵² WRI response: Uganda: The outcome marked the first time that poverty was part of the allocation formula of agricultural extension conditional grants. The grant amount was \$15 million over 2 years. Thus districts with higher poverty rates received more funds. The outcome is pro-poor in that the extension grants targeted the poorest districts. The logic for why this outcome helps reduce ecosystem degradation is that increasing extension services will improve soil and water management, promote other sustainable agriculture practices, etc.

¹⁵³ WRI response: We agree that the outcomes to date do not meet WRI’s ambition and therefore are revising the MESI strategy.

¹⁵⁴ The ERT has received mixed signals from the IFC. A test will be whether WRI/IFC collaboration continues.

¹⁵⁵ WRI response: To the best of our knowledge, the MA Follow Up Strategy has been a roadmap guiding many UNEP activities to advance ecosystem service concepts and approaches. UNEP has pursued activities and allocated funding for implementation of parts of

- What influence, if any, has MESI had on the UNEP Economics of Ecosystems and Biodiversity: Mainstreaming the Economics of Nature study (aka TEEB also known as “the Stern review for nature”)¹⁵⁶ and on the subsequent establishment of the Intergovernmental Platform on Biodiversity and Ecosystem Services (IPBES)?¹⁵⁷ and,
- WRI works with UNEP and UNDP on a regular basis on the World Resources Reports. What influence have these reports and WRI programs as a whole (including but certainly not limited to MESI) had on UNEP and UNDP’s policy, programming and funding decisions?¹⁵⁸

the strategy, including developing the Ecosystem Services Manual for Assessment Practitioners (objective 1.2 of the follow up strategy). And one item from the strategy was “Objective 4”, setting up “future global assessments,” which has morphed into IPBES.

ERT comment: This would need to be checked with UNEP. Positing a causal link between suggesting a future global assessment and the establishment of IPBES is a major leap of faith. See footnote below outlining WRI involvement with the IPBES process.

¹⁵⁶ WRI Response: John Finisdore, a co-author of the *Corporate Ecosystem Services Review (ESR)*, was a contributing author to the *TEEB Report for Business* report while at WRI. Among other things, the report adopted the ESR’s way of framing the link between business and ecosystems, our typology of ecosystem service-related business risks and opportunities, and our approach to figuring out the relevant scope for analysis. It also profiled the ESR as a tool for helping companies take a strategic look at risk/opportunity assessment.

¹⁵⁷ WRI response: WRI was engaged with the international consultation process that led to agreement to establish IPBES. Some examples of involvement included participation in the three intergovernmental and multi-stakeholder meetings on an IPBES (Kuala Lumpur, 10–12 November 2008; Nairobi, 5–9 October 2009; and Busan, 7–11 June 2010), as well as the North America Regional Consultation held April 2010 in Washington, DC. WRI and the Stockholm Resilience Centre submitted a joint statement on IPBES as part of the official consultation process that included five high-level recommendations on the function and form of IPBES:

Stockholm Resilience Centre & WRI. 2009. *Statement by SRC and WRI at the Second Ad hoc Intergovernmental and Multi-stakeholder Meeting on an “Inter-governmental Science-Policy Platform on Biodiversity and Ecosystem Services” (IPBES) Nairobi, 5-9 October 2009*. 4p.

Recommendation #1: Focus on establishment of a scientific panel with a clearly-defined mandate.

Recommendation #2: Emphasize ecosystem services to facilitate links to the sustainable development challenges and opportunities.

Recommendation #3: Integrate scientific information from existing intergovernmental processes and from a diversity of scientific networks and other stakeholders

Recommendation #4: Ensure alignment with the Global MA Follow-up Strategy

Recommendation #5: Criteria for locating the panel secretariat

¹⁵⁸ WRI response: Here are some (not exhaustive) examples:

- UNEP’s Division of Early Warning Assessment used the WRRs as a model for how to do state of environment reporting. The DEWA folks initiated the Global Environmental Outlook (for the world and in regions and in selected countries) based in part (and with the advice) of the WRR team, the old WRI Information Program, and MESI staff. The most recent country report, Kenya State of the Environment and Outlook, 2010, is an example of how the WRR idea and success helped to influence a national report, with extensive UNEP support.
- The 2000-2001 report helped solidify international support for the Millennium Ecosystem Assessment process and directly influenced the selection and scoring of ecosystem services indicators in the final MA report.

Returning to the balance between business, governments and development agencies MESI has made its most important strides to date with businesses. As noted above, the revised strategy is placing a stronger emphasis on government. While this is appropriate, it may also be useful to recall a point made earlier in the External Review report about WRI's overall engagement with business:

*Disillusionment with traditional bilateral and multilateral development efforts coupled with the rapidly expanding reach and influence global corporations mean that working with these corporations has become one of the most effective ways of promoting change at a scale that will make a difference.*¹⁵⁹ That said, we are not suggesting that WRI start with either governments or corporations. The starting points need to be a problem or opportunity coupled with a theory of change that together will point to who to engage with and how best to do that.

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- The 2002-2004 WRR provided a cogent analysis and reporting of The Access Initiative country assessments. The results were presented at the 2002 Summit and helped the UN increase its work on Principle 10.

¹⁵⁹ for a recent piece that puts this in perspective see David Rothkopf. *Inside Power, Inc., Taking stock of Big Business vs. Big Government*. Foreign Policy, March-April 2012. http://www.foreignpolicy.com/articles/2012/02/27/inside_big_power_inc For a recent piece that puts foreign investments in agricultural land in perspective see *The Land Security Agenda: How investor risks in farmland create opportunities for sustainability* <http://www.indiaenvironmentportal.org.in/files/file/ESI-Land-Security-Report.pdf> see also: <http://www.earthsecurity.org/projects/landsecurity/>

Annex C. Mini Program Review: The Access Initiative (TAI) and the Equity, Poverty and Environment (EPE) program¹⁶⁰

As part of the External Review it was agreed that a look at two programs outside of the People and Ecosystems Program (PEP) that house FLO and MESI, but with links to these programs, would be useful. Given the tight parameters under which the overall Review has been carried out, this review has ended up more “micro” than “mini”. It has benefited from discussions with WRI staff, from previous involvement in the predecessor to EPE and from following TAI from a distance since it was launched in 1999, from input gleaned from the questionnaires that were submitted by program partners, and by a meeting in Delhi with two TAI partners one of whom represents South Asia on the TAI Core Team. EPE intersects and works with the MESI and FLO programs in Central Africa. That work has been discussed in Annex B and the main findings included below. We hope that the observations and suggestions will be useful both to the two programs and to WRI as it prepares its next Strategic Plan.

Main Points

TAI and EPE are both impressive programs that have made important contributions in their areas of work and developed niches for WRI in the area of environmental governance.

Both programs are innovative and provide interesting models for other WRI work: In the case of The Access Initiative, WRI serves as the global secretariat of a large and diverse group of NGOs working across the globe on the issues of governance and access to information.¹⁶¹ In the case of EPE, WRI has been working patiently and persistently on building institutions devoted to analysis and advocacy in East Africa with impressive results.¹⁶² These are very different models for working on environmental governance. Both models deserve careful consideration as WRI develops its next Strategic Plan.

TAI and EPE share the distinction, rare among WRI programs, of having had an external evaluation. EPE (or, more accurately, a proto-EPE program “Rights and Responsibilities” funded by USAID) has had one. TAI tops the charts with three.

As noted in the main Report, EPE is ahead of the rest of WRI on integrating gender and indigenous voices into its programming. The analysis that led to this conclusion was from looking at the 2011-2012 Program Book and Program Book Annex. This source does not do justice to the nuances of the TAI program and the work of its many partners. Many of those partners work closely with women and indigenous groups. As such, EPE and TAI stand together in leading WRI in these domains.

¹⁶⁰ Prepared by George Taylor

¹⁶¹ For the list of the 150+ TAI partners in 45+ countries that stretches to 9 pages, see <http://www.accessinitiative.org/partners> WRI estimates that there are now over 250 + partners in 50 countries many of whom are not yet reflected on the website.

¹⁶² Examples include Advocates Coalition for Development and Environment (ACODE) in Uganda and Lawyers’ Environmental Action Team (LEAT) in Tanzania

EPE provides WRI with a solid platform from which to begin exploring broader engagement in Africa. Building on work that goes back several decades in East Africa, EPE has expanded into Central Africa and most recently into both Anglophone and francophone West Africa (Ghana and Mali). It has also gained Africa-wide experience and credentials by producing a series of 62 Country Profiles on Land Tenure and Property Rights in support of USAID's greatly increased attention to these issues.¹⁶³

EPE's initial collaboration in Africa with the International Financial Flows and Environment Program (IFFE) program has already produced important results.¹⁶⁴ This collaboration deserves to be both deepened in East Africa and expanded over time in Central Africa and beyond. In addition to its work on Chinese investments in Africa, IFFE has already started looking at development finance from Brazil.¹⁶⁵ We anticipate that India is next on the list. This work can serve as a point of synergy between WRI's expanding programs in China, India and Brazil.

TAI engagement on Principle 10 building up to the Rio +20 in June, 2012 is one of the most important global efforts currently underway at WRI. At the 1992 Earth Summit in Rio 178 governments recognized, in Principle 10 of the Rio Declaration, that the key to fair and effective environmental decision making is engaging the public through greater access to information, participation and justice. In 2011 the global TAI network launched a 3 Demands Campaign.¹⁶⁶ The TAI Secretariat continues to be very proactive with its partners in seeking to influence the "zero draft" of the Rio+20 outcome document.¹⁶⁷ Whether the progress hoped for at Rio in June materializes or not, WRI through the TAI Secretariat, has once again used its impressive convening power to marshal civil society energy and global opinion and focus it on this important principle.

A field visit with TAI Core Team member LIFE and its close associate Environics in Delhi clearly demonstrated that a strong partnership with only modest resources can make a real difference. Working closely and strategically together, LIFE Director Ritwick Dutta, Environics Director Ramamurthi Sreedhar and their small teams are having a major impact across India on the establishment of Green Tribunals and on holding government and corporate interests accountable through India's Right to

¹⁶³ See <http://usaidlandtenure.net/usaidltpproducts/country-profiles> Reports are available for all USAID presence countries.

¹⁶⁴ Kirk Herbertson. Case Study: China's investments in Uganda's oil and gas sector. Powerpoint 10p. The Review Team has been very impressed with IFFEs other work on issues ranging from integrating human rights into the World Bank Group to engaging communities in extractive and infrastructure projects to carefully tracking developed country so-called "Fast-Start" climate finance pledges. Some of the key publications are listed in Annex H. Commenting further on this work is outside the scope of this Review.

¹⁶⁵ Xiaomei Tan. Emerging Actors in Development Finance: China & Brazil. Powerpoint 7p.

¹⁶⁶ See <http://insights.wri.org/news/2011/08/what-do-you-want-rio20> for additional details and the current state of play see:

¹⁶⁷ One example in late March <http://www.accessinitiative.org/event/2012/governance> and <http://www.accessinitiative.org/sites/default/files/March%2025%20workshop%20flyer%203.1.12.pdf> This was preceded by a petition drive <http://www.change.org/petitions/what-we-want-from-rio20>

Information (RTI) and environmental impact assessment mechanisms.¹⁶⁸ Another important lesson from TAIs work in India: it took a couple of false starts before the right institutions were found to carry out the TAI Assessment in India and move TAIs engagement forward.

Funding continues to be a challenge for the TAI Secretariat. A great deal of time and effort was spent on this last year. Ten proposals, mostly to Foundations, had only limited success. The Development unit has been asked to provide more support. Much of WRI's recent fundraising success has been with the business community. They are unlikely to support a network of advocacy groups working on the TAI goals. The 2005 evaluation noted that the hubs of global networks often have trouble covering their costs. It cited two cases in which organizations put out Requests for Proposals to host the hubs and that the winning proposals included commitments from the new host governments to cover a significant portion of the costs (eg the move of the Forest Stewardship Council from Oaxaca, Mexico to Bonn and the move of the Global Reporting Initiative (GRI) to the Netherlands).¹⁶⁹ We are not suggesting that the TAI Secretariat move out of WRI. We are suggesting that for it to stay, ways need to be found to raise the requisite funds without severely disabling either the programming & network management or the communications functions of the Secretariat. An observation: 3% of WRI's overall budget is currently being devoted to TAI. Programs with much larger budgets (eg EMBARQ and most pieces of CEP and PEP) might find ways to use the TAI approach and TAI partners to support their work. If so, they might be asked to help find the funding needed to keep the TAI Secretariat at WRI.

WRI's emerging work on Global Forest Watch (GFW) 2.0 should be able to contribute to TAI and EPE activities. Two examples we came across during this review are:

- TAI: TAI partners Legal Initiative for Forest and Environment (LIFE) and Environics are using a mapping program to monitor mining and other extractive resource concessions and development projects across India. With Green Tribunals being set up across the country, citizens have an important new way to insert their voice(s) into development planning. This can only happen in cases where they know about the plans. Timing is often critical. GFW 2.0 with its near-real-time data and excellent resolution should be able to make an important contribution to the advocacy work of these and other TAI partners.
- EPE: EPE is developing a prototype crowd-sourcing tool to monitor land related activities relating to oil extraction along the Albertine Rift.

Other Observations and Suggestions: TAI

TAI has gone through more external evaluations than any other WRI program. The most recent evaluation was in late 2010. The response of the Secretariat to its

¹⁶⁸ see , for example, the work detailed at <http://www.ercindia.org/> pushing for accountability in the EIA process as well as the Environics website <http://www.environicsindia.in/>

¹⁶⁹ Steve Waddell. 2005. The Access Initiative (TAI) and The Partnership for Principle 10 (PP10). Snapshot June 2005. Appendix D. p. 38-9.

recommendations has been professional, thoughtful and prompt.¹⁷⁰ The current state of play on the key recommendations is summarized briefly as follows:

1. *Prepare an advocacy and engagement strategy to promote access internationally, and specifically for Rio 2012 (Core Team) – Done*
2. *Catalogue 'access that works' for a range of important outcomes (Secretariat) Under way.*
3. *Develop national access reform strategies (Country focal points) – Considerable progress made on this.*
4. *Regionalize TAI's strategy (Regional coordinators/Core Team members) – Several steps taken in this direction. The latest success is the multi year grant to TEI in Thailand for regional work, and the growing work of the LAC partners for a regional convention on P10.*
5. *Further improve TAI's communications and knowledge management facilities (Secretariat and Core Team) – Minimal interventions for lack of funds.*
6. *Consider opportunities for TAI to fill a more prominent global P10 role (Core Team) – Fundraising for P10 Index and greater visibility through Rio+20 – ongoing.*
7. *Consider working more in partnership with other international initiatives (Secretariat and Core Team) – Massive interventions in this sphere resulting in huge visibility and TAI engagement*
8. *Reassess governance arrangements in the light of the direction TAI is heading as a network (Core Team). New Core Team rotation rules and elections. First election completed. Task forces on Rio+20 very successful. New task forces in the offing bring new partners into governance.*
9. *Continue the move towards more participatory and democratic governance (Core Team). See above. Open Core Team meeting held in Abu Dhabi in December 2011*
10. *Develop a major core proposal to support TAI over 5 years (Secretariat with Core Team) –The big ask is being developed.*
11. *Mobilize the TAI network to raise the profile of TAI and the network to donors and international agencies (Regional coordinators/Core Team members). Massive efforts underway.¹⁷¹*

Feedback received by the External Review Team from both TAI-selected and Team-selected sources has been uniformly positive. A few examples from the questionnaires:

"In The Access Initiative, WRI's hands-on support and intellectual leadership, plus far-sighted strategizing to ensure sustainability of the initiative, support to fund-raising, and moreover the consistent contribution of a proportion of WRI's own core funds, have been highly valued by the multi-national Core Team. Impressive results have been achieved."

Effectiveness and efficiency of WRI's internal organizational systems: What is your assessment of WRI's management of the work you have been doing together – including planning, human and financial resource management, and the quality and timeliness of both products and outcomes? *Re TAI, very good.*

¹⁷⁰ Steve Bass, Tighe Geoghegan and Yves Renard. January 2011. Evaluation of The Access Initiative (TAI). Final Report submitted to WRI and the World Bank. IIED and Green Park Consultants. 33p.

¹⁷¹ Summary courtesy of Lalanath de Silva

"I would underline the effectiveness and smoothness of the cooperation with the WRI"

How are WRI's values (integrity, innovation, urgency, independence, respect) reflected in the work you have been doing with WRI?

I can only talk highly about the values of the WRI. Even if the project faces difficulties, WRI would let us know about the challenges, so we can all think together about solutions. They do respect a lot local colleagues and therefore we have seen a smooth cooperation with them.

Other Observations and Suggestions: EPE¹⁷²

EPE (or, more accurately, a proto-EPE program "Rights and Responsibilities" funded by USAID through a Cooperative Agreement) also has the distinction, rare among WRI programs, of having had an external evaluation.¹⁷³ This was carried out in 2006.¹⁷⁴ The main outcomes are summarized in the Executive Summary:

The most important outcomes of the CA [Cooperative Agreement] relate to research, advocacy, and capacity-building in the arena of natural resource and environmental governance in Africa.

WRI has undertaken extensive and cutting edge research in relation to the decentralized governance of renewable resources. This research has mostly been disseminated through academic channels and a working paper series. Collectively, nearly 150 publications of different kind have resulted from the CA.

WRI's capacity building work has two strains – strengthening of capacity for environmental analysis and dialog, and strengthening of environmental advocacy capacity. In both areas, it has had significant success, especially in sub-Saharan countries. Its environmental advocacy work and partnerships are likely to continue even without WRI involvement in the future. The networks it has established, especially for promotion and use of environmental information have a wide coverage in Africa and have indirectly strengthened African NGOs' capacity to make their voices heard in international venues and negotiations.

The evaluation had six general recommendations, most of which continue to ring true today:

- *Work toward greater integration across networks, projects, and activities within a focused set of countries;*
- *Engage in-country partners more closely in identifying most important emerging problems and launch a process to complement the information from in-country partners ;*
- Establish a more effective system for identifying policy impact with the help of in country partners;*

¹⁷² In this section EPE is used to refer both to the current program and to WRI's earlier work on environmental governance in Africa that developed into that program that WRI has today.

¹⁷³ In addition to elements that fed directly into EPE, the Rights and Responsibilities program supported Global Forest Watch in Central Africa, some information activities, and preparation of the Nature, Wealth and Power document.

¹⁷⁴ Arun Agrawal. 2006. Evaluation of the "Rights and Responsibilities Cooperative Agreement" between The World Resources Institute and The United States Agency for International Development Using the 3AID Framework. 101p.

- *Identify opportunities to work specifically with private sector actors where possible, across the suite of CA-supported projects.;*
- *Improve the representation of CA-supported activities within other successful WRI initiatives;*
- Disseminate findings of the CA-supported projects more assertively and through additional mechanisms than those currently in use.*

Using the Rights and Responsibilities project (2000-2005) as a strong base, the EPE program has focused on three areas:

EPE-Extractive Resources and Procedural Equity project
 EPE-Forestry in Central Africa project, and
 EPE-Land Tenure project

Feedback received by the External Review Team from both EPE-selected and Team-selected sources has been uniformly positive. A few examples from the questionnaires:

We would be pleased and honored to continue our constructive engagement with WRI around these tough and complex issues...we deeply appreciate the patience, flexibility, and constructive engagement the WRI team has brought to several of our joint ventures

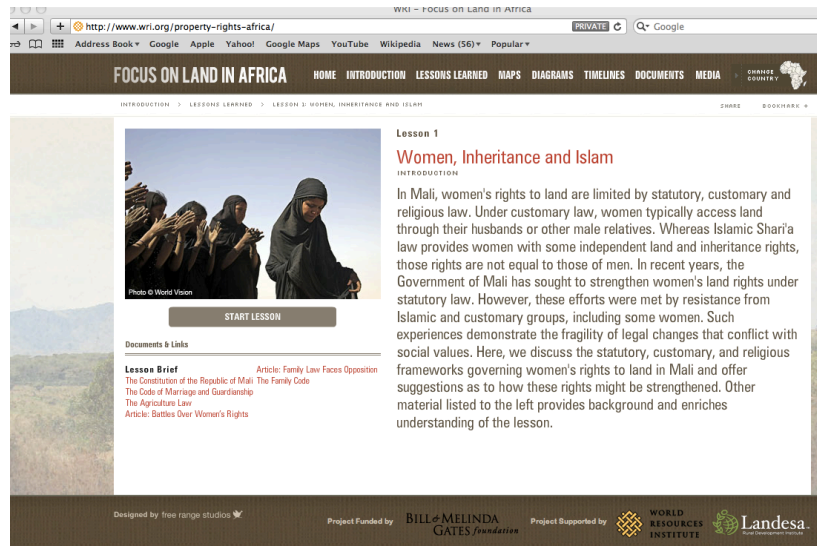
How are WRI's values (integrity, innovation, urgency, independence, respect) reflected in the work you have been doing with WRI? *I think that WRI is very innovative, and not scared to look at problems in new ways. Integrity is reflected by how hard WRI clearly works to get its facts and analysis correct. I have not seen short-cuts. I saw evidence of respect in how WRI staff dealt with people we met with overseas.*

If you consider WRI a partner, what two or three words would best describe the quality(ies) of the partnership? *Open-minded, collaborative, sharing expertise.*

Material from the MESI Program Review (Annex B) on the joint work of MESI/Ecosystem Services for Development and EPE deserves to be repeated here: **"Ecosystem services for development:** This initiative addresses issues of poverty and equity in relation to natural resources in East and Central Africa. It stands out from the other activities in MESI in having a narrower geographic focus and in being much more explicit in the changes it seeks to achieve. There is a highly credible implicit theory of change. The work flows logically from analysis to identification of key stakeholders and engagement through appropriate intermediary organizations. This is an activity where the nature of the outcomes sought is clear and where there is evidence for impact on the intermediary local institutions. The ultimate link with improved livelihoods is impossible to judge but the ERT finds the logic very compelling. In this activity WRI forsakes the ambition of achieving global impact and settles for a more plausible attempt to achieve regional impact. The region chosen is one where problems of poverty and equity are serious and WRI's interventions are clearly welcome. Although conducted in a geographically circumscribed area the lessons from this activity are generalizable to many other regions. The success of this activity resides in a long engagement in the region and high quality up-stream research and analysis on issues such as devolved natural resource management. Some of this earlier research counts amongst some of the most significant achievements of WRI. This area of activity has elements that could contribute to new

strategies for WRI. If WRI were to move seriously into the area of restoration of ecosystems and building natural capital then this might be a good starting point.”

As noted in the main Report, of WRI’s project websites, one that particularly caught our eye was the joint WRI/Landesda site <http://www.wri.org/property-rights-africa/>. It is an excellent site: well designed with excellent visuals and thoughtful content.

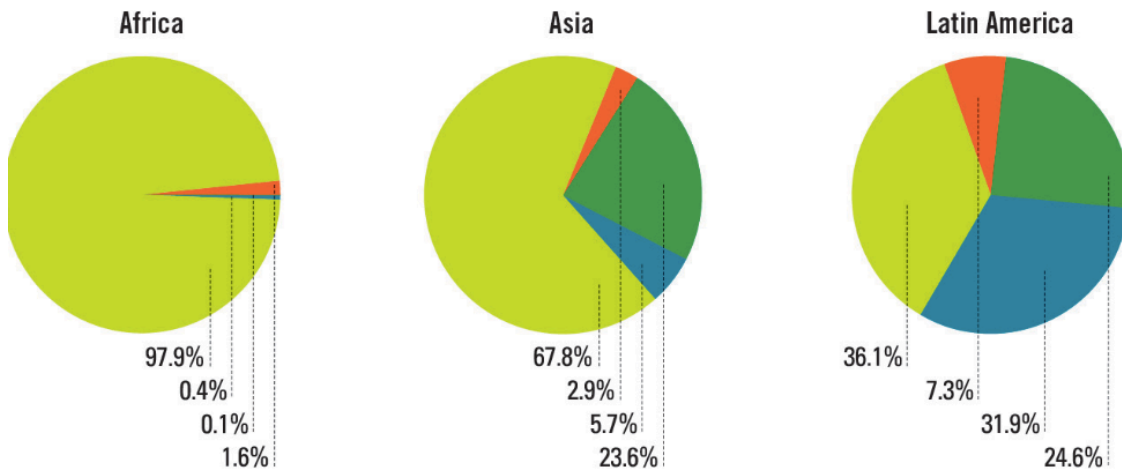


The website is unusual as a WRI website in several ways:

- it is a joint website, demonstrating real partnership
- it is funded by the Gates Foundation, a first for WRI
- it is consciously “educational” website designed around a series of lessons
- it covers social, cultural and political themes that are central to natural resource and broader environmental management but that are not generally found on other WRI project websites which tend to be much more heavily “technical”.
- it is one of the few, WRI websites that pays serious attention to gender and indigenous people.

EPE provides WRI with a solid platform from which to begin exploring broader engagement in Africa. A key environmental issue in Africa is resource tenure. A graphic in the most recent annual report of the Rights and Resources Initiative brings this point home. Africa is way behind Latin America and Asia in shedding the colonial legacy of state “ownership” and “control” of forests:

Forest Tenure Distribution



SOURCES: Sunderlin et al. 2008; ITTO/RRRI 2009. Includes best available data as of December 2011 from 36 of the world's most forested countries, representing 85% of world forests.

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EPE has been doing cutting-edge work on resource tenure in Africa for many years. In recent years, one item of particular note has been the 63 Country Profiles on Land Tenure and Property mentioned earlier. Feedback on these has included: “*Country profiles have been very highly regarded in the field of land tenure. An excellent reference especially with the Google Scholar linkages allowing a certain automatic up-dating of information*”.

EPE is currently in the process of revising its Objective Plan. The new Vision of Success broadens the vision in ways that are both timely and appropriate:

EPE objectives and outcomes have traditionally focused on enacting new or reforming existing laws that shape the management and allocation of natural resource revenues, particularly law governing forest revenues in Cameroon and DRC, and oil revenues in Uganda. This work will continue, but experience shows that an EPE objective of legislative reform regarding oil and forest revenue sharing is too narrow and risky. In the coming years, EPE will also seek to:

- *Shape government decision-making and authority-exercising procedures (in law and practice) which establish, determine or significantly impact the distribution of natural resources (e.g., land, forests, oil, gas and minerals), including property rights over the natural resources (see below);*
- *Support effective implementation¹⁷⁶ of benefit-sharing arrangements (in policy, law or administrative guidelines) that favor poor rural people and region; and*

¹⁷⁵ RRI . 2012. *Turning Point: What future for forest peoples and resources in the emerging world order? Rights and Resources 2011-2012*. Washington DC: Rights and Resources Initiative.

- *Monitor the performance of government actors and institutions with benefit-sharing roles and responsibilities.*¹⁷⁷

Of particular note is EPEs engagement with international actors. In addition to traditional multi-lateral and bi-lateral donors these include:

- *International Efforts. A number of actions in the US, Europe and China and the international arena also create opportunities for achieving the EPE objective and outcomes. For example, in the US, Section 1502 (DRC "conflict minerals" provision) and Section 1504 ("extractive industry transparency" provision) of the Dodd-Frank Wall Street Reform and Consumer Protection Act of 2010 requires new disclosures by companies that are listed on and file annual reports with the Securities and Exchange Commission (SEC). The SEC is currently developing implementing regulations for both provisions. The European Union and several governments (e.g., UK, Australia and Canada) are considering passing similar legislation. In China, the government has recently formulated a series of supportive policies, including social and environmental guidelines (e.g., Chinese Overseas Direct Investment Environment Protection Guidelines), to encourage its investors to explore and develop energy and other resources overseas while safeguarding people and protecting the environment. On a continent where the exploitation of natural resources has commonly led to the "resource curse," these developments provide unique opportunities for EPE and in-country project partners to influence policymakers and shape relevant decisions and actions.*¹⁷⁸

¹⁷⁶ Implementation refers to the act of putting a law, policy, strategy or plan into effect.

Enforcement means to compel observance of or obedience to a law or policy. Enforcement is one means to implementation.

¹⁷⁷ EPE Objective Plan FY12 – Final Draft

¹⁷⁸ EPE Objective Plan FY12 – Final Draft

Annex D. Terms of Reference

Terms of Reference for an External Review of the World Resources Institute

1. INTRODUCTION

Since its founding, the World Resources Institute (WRI) has received significant support from bilateral development agencies of OECD countries. This support has been crucial to enabling WRI to take a strategic, focused and long-term approach to addressing environmental and development challenges and to expand its footprint and influence in the developing world where the bulk of WRI's work is currently concentrated.

As part of the Joint General Framework Agreement (JGFA) between the World Resources Institute (WRI) and the Swedish International Development Cooperation Agency (Sida), a comprehensive external review is to be conducted every three years, using consultants and a methodology to be agreed with Sida in advance. This review is intended to serve as a broad evaluation that would be relevant for WRI's other bilateral institutional partners, including the development agencies of Denmark, the Netherlands, Ireland and the UK. The External Review will also provide useful input to refining WRI's strategic priorities as part of the next Strategic Plan, to cover the period 2013-2017.

2. OBJECTIVES

The review will be guided by three overarching objectives:

4. To assess WRI's performance in relation to the implementation of the Strategic Plan 2008-2012. This should take into account the impact of WRI's work around the world and assess the effectiveness and efficiency of WRI's internal organizational systems;
5. To inform and improve future planning and strategies. The review should consider: (i) the continued relevance of the 2008-2012 Strategic Plan to the Institute's work and strategies, and (ii) main lessons learned from past successes and failures. It should also identify emerging priorities for WRI's future work and areas of improvement for increased effectiveness and impact;
6. To address WRI's relevance and value to the goals of Sida and other bilateral donor partners. The review should consider the extent to which WRI's work aligns with the mandates and missions of the partners and address whether WRI provides value toward reaching those goals.

3. BACKGROUND

3.1 Organizational History

WRI is a global environmental think tank that goes beyond research to put ideas into action. The Institute was founded in 1982 as a center for policy research and analysis to address global resource and environmental issues. WRI works with

governments, companies and civil society to build solutions to urgent environmental challenges and promote development because sustainability is essential to meeting human needs and fulfilling the aspirations of future generations. WRI is organized around four goals and Programs: Climate and Energy, Institutions and Governance, Markets and Enterprise, and People and Ecosystems.

WRI has grown significantly over the past several years, but the Mission Statement has remained the same: To move human society to live in ways that protect Earth's environment and its capacity to provide for the needs and aspirations of present and future generations. To further that mission, the Institute has a five-year Strategic Plan to guide its work and strategies. The current plan, which runs through 2012, has underpinned WRI's recent growth and internationalization with a particular focus on enhanced engagement with major emerging countries and more active in-country presence in 13 priority countries. There is also an increased emphasis on innovative tools and practices of communications in order to expand the reach and impact of WRI. The appointment of a new President expected in 2012, will be an opportunity to review and renew WRI's strategy to continue growing its influence and impact in the years to come.

3.2 Ensuring analytical excellence and real world results

WRI has robust internal systems and procedures to ensure analytical excellence and support the achievement of results. The Vice President for Science and Research and the Managing Director jointly oversee the internal processes and staff training programs that ensure the Institute's research products meet highest standards of excellence and its strategies are designed to achieve tangible results.

- **Research Excellence.** WRI's office of the Vice President for Science and Research oversees the review processes for publications and other types of products. The review processes are designed to ensure that our research products meet the highest standards of analytical excellence and advance the Institute's strategic objectives.
- **Managing for Results** is central to WRI's organizational culture and demonstrated in its track record. Results are defined as significant actions, undertaken by government agencies, corporations, policymakers, and others that are a consequence of WRI activities and that advance our strategic objectives. WRI's results are generated through a structured priority-setting and planning system that establishes five year institutional objectives designed to catalyze change towards achieving its four goals. Institutional objectives in turn drive a series of linked project objectives. WRI regularly reviews progress toward its institutional objectives through a comprehensive and rigorous method of evaluation, internal and external review, diagnosis and revisions to our strategies.

3.3 Relationship with Sida and other Bilateral Partners

Sida has supported WRI for more than a decade with grants funding various programs across the Institute. In 2010, Sida and WRI signed a Joint General Framework Agreement (JGFA) to provide and govern core funding for WRI to implement its Strategic Plan. Sida has committed SEK 21 million over three years, concluding on Sept 30, 2012.

The JGFA was designed to allow bilateral agencies from other donor countries to join the framework, with the goal of enhancing donor coordination and collaboration, and for increasing efficiencies in reporting requirements. At this time, separate but similar arrangements govern funding from bilateral donor agencies in the Netherlands, Denmark and Ireland, and there is considerable collaboration and communication between WRI, Sida and these other donor agencies. WRI and representatives from donor governments have held two annual Multi-Donor Meetings in Europe, and WRI shares major narrative and financial reports with key partners. These reports include WRI's Annual Review of the Institute's work in developing countries, a detailed Financial Report, and a Logframe Analysis matching WRI projects' strategies and results against objectives and goals of the donors.

3.4 Previous Evaluations and Reviews

WRI has undergone several external reviews in the past. Most have focused on specific WRI programs or projects, while a 2010 evaluation for Danida compared WRI to other peer institutions. This new review will be the first broad external review of WRI's performance and effectiveness. Previous evaluations undertaken in the past five years include the following:

- 2010 Comparative Evaluation of WRI, IIED, ICTSD and IISD for Danida
- 2011 Evaluation of The Access Initiative, a project of WRI's Institutions and Governance Program
- 2009 Strategic Review of New Ventures, a project of WRI's Markets and Enterprise Program
- 2008 Evaluation of Irish Aid's Strategic Partnerships Environment Program, including WRI

The external reviewer(s) will be able to draw upon these as well as WRI's internal managing for results system in assessing WRI's performance and impact.

4. SCOPE AND OUTPUTS

In line with the objectives set out in section 2 above, the external review will include the following components:

- g) An assessment of progress implementing the Strategic Plan (objective 1.);
- h) An assessment of the fitness for purpose, strengths/weaknesses and effectiveness of internal systems and processes to support analytical excellence and achievement of results, including internal monitoring and evaluation, and results systems (objective 1.);
- i) A consideration of the of strengths/weaknesses of WRI's partnerships (objective 2);
- j) A consideration of the sustainability of WRI's operating model, given the wide context in which the organisation operates and the establishment of WRI presence in emerging economies (objective 2);
- k) A summary of key lessons learned from the implementation of the Strategic Plan 2008-2012 and recommendations for priority-setting in the next Strategic Plan period (objective 2.);
- l) An assessment of the extent to which WRI's work is aligned with and has contributed to the strategic priorities of Sida and other main bilateral donor agencies (objective 3), including the poverty relevance of WRI's work, considering the strong focus on emerging economies (such as China, India, Brazil, etc.).

The consultant(s) will start by producing an inception note setting out a work-plan for the review and proposed methods, for review and approval by WRI and bilateral partners. The final review report will highlight strengths and weaknesses, issues for consideration and recommendations for improvement for each of the four components listed above. The report shall include an executive summary. WRI will be presented an advance draft of the report for review and comment, and the final draft will be presented to SIDA and other donor partners at the annual Multi-Donor Meeting in spring, 2012.

5. METHODS

The review will be conducted by external consultants. A shortlist of potential consultants will be identified jointly by WRI, Sida and other bilateral donor agencies, and the consultants will be procured by WRI.

The consultants will be responsible for designing the review to achieve the three objectives set out in section 2, collecting data and analyzing information obtained. The consultants will produce an inception note setting out a work plan and methodology for conducting the review according to the agreed upon terms of reference. The plan will be approved by SIDA and WRI, with input from other bilateral donor partners.

The review will be conducted on two levels:

- (i) *A high-level assessment of WRI's organizational systems, progress implementing the current Strategic Plan, and inventory of outcomes.* This should build upon other recent evaluations of various aspects of WRI's work (such as the comparative evaluation of WRI and several other NGOs conducted by Danida in 2010) and draw upon interviews with partners and donors, as well as internal resources such as the WRI Program Book.
- (ii) *An in-depth review of a sub-set of institutional objectives.* This would focus on WRI's institutional objectives that match most closely framework donors' strategic priorities, namely: the Forestry Landscape Objective (FLO); the Mainstreaming Ecosystem Services Initiative (MESI); the Equity, Poverty and the Environment (EPE) objective; the International Financial Flows and the Environment (IFFE) objective; the Governance of Forests Initiative (GFI); the Greenhouse Gas Protocol (GHGP), and; the Access Initiative (TAI). A brief description of each of these is provided in Annex II. This in-depth review would consist of a more structured and detailed analysis of project strategies, outputs and outcomes.

WRI will establish a team to support the review process, provide information on internal systems, outcomes, strategies and identify partners and other stakeholders familiar with WRI's work that the consultant can contact. WRI will manage the administrative components of the review, and will be responsible for issuing the contract with the consultants, as well as processing payments.

6. TIMING & RESOURCES

The review is to be completed by April 2012.

The review will be conducted by 1-2 external consultants with the following profiles:

- Policy expertise with significant international experience at the intersection of environment and development, and familiarity with the geographic and thematic focus areas selected for detailed analysis;
- Experience conducting reviews of international non-profit organizations.
- Ability to assess both the think tank and do tank nature of WRI's work.

WRI will present a shortlist of potential consultants to Sida and other key partners for consideration and approval.

The budget for this external review is \$XXXXX. This will cover the following cost components: (i) the consultants' fees; (ii) office costs (printing, phone, and publishing of the report); (iii) travel costs, and; (iv) contingencies.

Annex E. Note on Evaluation Methodology

This Note is organized with the following elements:

1. Conceptual underpinnings and some initial concerns
2. The Review Process
3. Methods used to solicit input
4. Reflections on what could have been done to improve the process
5. Questionnaire(s)

1. Conceptual underpinnings and some initial concerns¹⁷⁹

Meta-goal

The meta-goal of the Philanthropy Support Services (PSS) Team is to carry out the External Review with rigor, impartiality, independence and seasoned judgment and provide practical, constructive recommendations to strengthen the important work of the World Resources Institute (WRI) moving forward.

Objectives of the Review (see TORs Annex D)

The Review Process: Mix of participation and independence

By inclination and conviction, we intend to conduct the Review in as collaborative, participatory and transparent a way as possible with the objective of increasing the usefulness of the review to both WRI and its donors. Maintaining a balance between independence of perspective and action on the one hand and participation, collaboration and transparency on the other will be important to fulfilling this role effectively.

Conceptual approach and methodology: Selectively Omnivorous

Our conceptual approach will be strategically omnivorous – taking elements from a variety of evaluation approaches and mixing them with the “common sense” acquired over years of thinking about, writing about and doing development on three continents. The central elements of our methodology will be threefold: (i) careful review of documents, starting with the several external reviews noted in the TORs (ii) discussions with WRI staff across all units of the Institute as well as with selected Board members and former staff, and (iii) discussions with as wide a range of knowledgeable individuals outside of WRI as possible within the constraints of time and budget. Element (iii) will include individuals in several categories including: WRI’s European Donors; Other Donors and International Organizations (some that support WRI, others for triangulation on WRI programs); Development Initiatives, Partnerships and Networks with research and advocacy in WRI program areas; Foundations; Other Private Sector/Corporate Donors; Academia; and Think Tanks, Research Organizations and NGOs. In addition, the Team will contact selected government officials in several of the countries in which WRI programs are active.

It is important to make clear that the “high-level assessment” piece of the Review will not be an assessment of the nuts and bolts of WRI management systems and operations. It is, instead, a review to insure that adequate management systems exist and to comment on their overall quality and effectiveness.

¹⁷⁹ The material in this section is taken directly from the PSS Inception Note (January 16, 2012) which, in turn, took much of it from the PSS Proposal (December 19, 2011)

Management approach: Flexible, adaptive, consultative

The PSS management approach is flexible, adaptive, consultative. We take consultation very seriously both with the client (in this case WRI) and within the team.

Internal self-assessment and external review: two sides of the same coin

In our view, internal self-assessment and external review are two sides of the same coin. The TORs note that "WRI regularly reviews progress toward its institutional objectives through a comprehensive and rigorous method of evaluation, internal and external review, diagnosis and revisions to our strategies." and that there is an "Annual Review of the Institute's work in developing countries". We understand that there are periodic self-assessments that are presented to the WRI Board linked to WRI's Managing for Results system and that there has been some internal thinking done as a prelude to the preparation of the next Strategic Plan. All of this will provide valuable (indeed essential) input into the External Review.

A note of caution: scope of the Review vs time and resources available

The scope of the Review outlined in the TORs is expansive. At one point it is referred to as "a comprehensive external review". WRI is a large, multi-faceted organization with a wide range of programs and activities. One potential team member who knows both WRI and institutional assessments well characterized the scope of the Review as "huge". This is all the more true given a) a constrained budget, and b) the fact that this review "will be the first broad external review of WRI's performance and effectiveness" which means that there is no baseline from which to judge progress over the current Strategic Plan period.

In addition, in an ideal world, a "comprehensive external review" of an organization of the size and scope of WRI should include a series of field visits to get direct input from partners, other stakeholders, clients and competitors in (i) all of WRI priority countries (China, India, Brazil + the USA), (ii) at least several of WRI's other 9 areas of geographic focus (Central Africa, East Africa, European Union, Indonesia, Mexico, Peru, Russia, South Africa and Turkey) and (iii) a selection of the other places where and groups with which the three programs selected for review operate (eg South America beyond Brazil, and Cameroon, unless it is included in the Central Africa focus area).¹⁸⁰

Given the constraints outlined above, it is important for us to be very clear about expectations from the outset. Having said this, PSS has assembled an exceptionally strong, versatile and experienced 3-person team. The team will use the time and resources available to produce the strongest possible Review.

2.The Review Process

The Work Plan developed to implement the External Review has **8 Key Elements**. These elements and their associated activities and target dates are as follows:

¹⁸⁰ As a point of comparison, External Reviews of the Centers of the Consultative Group for International Agricultural Research (CGIAR) generally follow the pattern of an initial one week visit by a team of 4-5 evaluators that produces a review methodology and an inception report followed by a second visit of several weeks duration by the full team to conduct the review.

1. Launch the Review:

Initial meetings with WRI to clarify expectations, agree on Work Plan tasks & timetable, determine logistical and other support required from WRI, identify and meet with the WRI support team, brainstorm on methods of soliciting input for the Review process, identify key internal meetings (Board, staff, program teams etc) and program meetings and events in the January-March timeframe that the Review Team may wish to attend.

2. Gather information:

Gather and analyze existing information, starting with the recent evaluations listed in the TORs .

3. Interviews Stream #1 and Field Visit to India:

Interview the Senior Management Team, program teams for the objectives selected for in-depth review, key staff from across the Institute and selected Board members. Attend internal meetings as time allows and program meetings and events identified in Task 1 above. The field visit to India will provide the team with a brief glimpse of a relatively wide suite of WRI activities and allow for meetings with the Indian member of the WRI Board and all three members of the Board of the newly created Trust that will lead WRI's expanded programs in India.

4. Interviews Stream #2:

Interview WRI donors (with special attention to European donors supporting the Joint General Framework Agreement (JGFA)), collaborators, clients (users of WRI research including a mix of development professionals in multilateral and bilateral development organizations, Foundations and other private sector groups, academia, think tanks, research organizations, NGOs and other development initiatives, partnerships and networks doing research and advocacy in WRI program areas) and competitors.

5. Interviews Stream #3:

Interview selected former WRI staff members including founding President Gus Speth and his successor Jonathan Lash.

Note: Proposed but didn't happen.

6. Program Reviews:

Undertake reviews of three WRI objectives/initiatives/programs:

- (i) Forestry Landscape Objective (FLO);
- (ii) Mainstreaming Ecosystem Services Initiative (MESI); and
- (iii) Mini/lighter reviews of the Access Initiative (TAI) and the Equity, Poverty and Environment (EPE) program

7. Prepare Draft Report:

Write, edit, and submit a Draft Report

8. Prepare Final Report:

Finalize the External Review of the World Resources Institute (WRI) taking into account comments received on the Draft Report.

During the course of the review three additional elements were added:

- Preparation of an Inception Note (as part of Task 1)

- Development of a series of Questionnaires to solicit input from outside of WRI. The idea of doing a general Survey had been considered during the launch of the Review. The idea was dropped due to time and resource constraints. Questionnaires were then developed as a way of getting input from a more carefully selected, and limited, set of informed individuals. Additional details are provided below.
- A series of 4 verbal debriefs were added between Tasks 6 and 7. This was an excellent addition. It provided an opportunity to discuss preliminary review findings and the proposed Draft Outline of the Report with WRI. The four debriefs, conducted using Skype (or, when that failed, phone), covered: feedback from the European donors, the MESI program, the FLO program, and an overview of some of the main findings of the Institutional Assessment coupled with review of the proposed Draft Outline. Outcomes from the debriefs included:
 - Additional material provided by WRI to clarify links between MESI goals & objectives and MESI projects.
 - A substantially revised Outline with the “look back” section linked more closely to specific elements in Sections 3 and 4 of the Strategic Plan and the Program Reviews moved from the body of the Report into Annexes, and
 - Self-assessments from WRI on 3 elements of the revised Outline on: Program goals and objectives, Synergies and cross-program collaboration and innovation.

In retrospect:

- There was no need to differentiate Tasks 4 and 5, and
- The field visit to India would have been better presented as a separate task.

3.Methods used to solicit, consider and use input

a. Review of documentation

- **WRI documentation**
The Team reviewed a very extensive amount of WRI documentation: management and program documents, annual and other periodic reports, internal program review materials, WRI training materials, formal publications, material on the main wri.org website and a dozen WRI-related websites. Some (perhaps 70%?) of this is captured and recorded in Annex I.
- **Previous evaluations**
 - the 4 comparative evaluations listed in the TORs
 - 3 external evaluations of TAI
 - 1 external evaluation of EPE in its previous USAID-funded incarnation
 - There have been no external evaluations for either FLO or MESI – with the exception of the FLO/Congo Basin mapping work evaluated as part of broader CARPE evaluations

b. Input from across WRI

- Input from inside WRI was solicited and collected in several ways including:
- Formal meetings
An extensive series of briefings and followon meetings with WRI management and staff. In all cases these were selected and requested by the External Review Team. For details see Annexes F and G.

- Informal meetings – in offices, the hallways, lunch room and, in several cases, over meals.
- WRI presentations to the outside world:
 - Stories to Watch 2012 at the National Press Club
<http://insights.wri.org/news/2012/01/stories-watch-2012-us-china-food-renewable-energy-rio20>
 - WRI-National Development & Reform Commission of China Low Carbon Development Workshop (first part including the MOU signing between WRI and NRDC)
<http://www.wri.org/press/2012/01/release-wri-hosts-chinese-delegation-tour-low-carbon-development>
- WRI in-service orientation training for new staff : the MVA (Mission, Values, Approach) Training (Introduction and Overview Session)
- WRI All-Staff meeting

c. Input from outside of WRI

The key methodological issues and challenges involved in this piece of the soliciting, considering and using input revolve around the questions of WHO to ask, WHAT to ask them and HOW to synthesize the responses received.

Who to ask

The “who” was divided into three categories:

- European Donor contacts (provided by WRI)
- Recommendations from WRI
 - Lists of Key Contacts from each the 4 programs being reviewed
 - 5 “key contacts” in DC (or the US)
 - A second list of 10 in categories w/note about why the person or group had been selected
 - Top 3 Partnerships
 - Other contacts¹⁸¹
- Two lists developed by the External Review Team
 - Selected former WRI employees
 - Others – based on our professional connections & judgment.

What to ask

As noted earlier, the Review Team developed several questionnaires. Two of these (for the European Donors and the WRI Board members) were not sent out. They were used to guide conversations.

1. Donor questionnaire (not sent/used as a guide)
2. “Key contact” questionnaire
3. 5 questions for other contacts
4. Board questionnaire (not sent/used as a guide)

Examples of Questionnaires 2 & 3 are included at the end of this Annex

¹⁸¹ The lists showed some interesting differences

The FLO list focused heavily on donors. (4 USAID, 1 USFS, 1 State Dept, 1 World Bank) + few nonwestern 1 Indonesian, 1 Brazilian, 1 Russian) Only one of their 15 a woman.

The MESI list much more diverse 2 Foundations, ADB, UNEP, Chinese professor, Uganda Ministry, IDRC/Kenya, ICRAF, Stockholm Resilience Center, EIS-Africa,

The TAI and EPE lists were shorter and very diverse

Questionnaire responses

	Number sent	Number completed	No response	Little recent knowledge	Too busy
1. WRI Programs					
FLO –key contacts	5	2 (1 + JS met w/1)	3		
FLO - others	10	3	5 (JS met w/2 in Jakarta)	1	1
MESI – key contacts	5	4	1		
MESI - others	10	3	7 (5 + 2 w/ tech issues)		
TAI	11	5 (3 + GT met/India)	5		1
EPE	10	4	6		
2. Former WRI staff	12	6 (5 + 1 by phone)	5		1
3. Other Contacts	21	8	6 (5 + 1 w/ tech issue)	5	2
Totals	84	34	39	6	5

NOTE: As expected, a number of people responded that they were simply too busy to respond. A surprisingly high number of both “Key Contacts” and “Others” responded that they were not very aware of what WRI had been doing recently and, as a result, did not feel their input would be useful to the Review Team. In the case of the “Others” part of this may be explained by the fact that all three members of the External Review Team have extensive contacts in the forestry and natural resource management (NRM) worlds and that this is the part of the WRI portfolio that has had a significantly lower profile over the past 5-10 years than it had had 15-30 years ago. Two types of responses from “Key Contacts” (“non-response”(aka silence) and the response that they didn’t have much to offer) were unexpected. We have no information that allows us to draw conclusions about this one way or another.

How to synthesize, consider and incorporate the responses received

The External Review Team carefully reviewed each of the responses received. In the case of the European donors and “Key Contacts” this was done by the team member responsible for the relevant section of the Review. Responses from ex-WRI staff and the “Others” list were passed to all team members for their review.

John Hudson synthesized the oral inputs he received from the donor representatives. This has been included in Section I.C of the Report. Responses from the other 4 groups have not been synthesized in any formal way, but the comments received and insights gained have been factored into both the narrative of the Report and in several cases into findings and recommendations.

In order to give readers a flavor of the responses received, several Boxes have been prepared and inserted in the Report at relevant points. These Boxes (or Word Clouds if we are able to figure out the technology needed to produce them) include responses received to questions in the long-version questionnaire:

d. The India visit

Team Leader Taylor visited India from February 18-26. Due to overall budget and time constraints it was a very quick trip (2 days in Mumbai with IRT/WRI India office staff and one New Ventures staff person currently based in Chennai but moving to Mumbai, a day in Ahmedabad visiting the EMBARQ-supported BRT system and EMBARQ partner CEPT, and 3 days in Delhi meeting with EMBARQ staff, TAI and CEP Partners, and IRT Trustee Ashok Khosla). The visit was invaluable because it provided at least a small window into what WRI actually does outside of Washington DC. India was the right choice of a place to visit because it represents well the dynamic and growing future of WRI into a truly global organization. Details on the beyond-Mumbai pieces of this visit are available in Annex F.

4. Reflections on what could have been done to improve the review process.

The single most important thing that could have been done to improve the process would have been to insist on self-assessment as a prelude to the External Review process. Self-assessment at three levels:

- WRI as an institution (ie the "fitness for purpose" elements of the Report outline plus a self-assessment of WRI's partnerships)
- Implementation of the Strategic Plan
- Implementation of the programs identified for in-depth review

Additional thoughts on this matter are presented in Annex J Recommendations for the Next External Review

5.Questionnaire(s)

a. "Key contact" questionnaire

1. Cover Email

Subject: External Review of WRI

Dear

Philanthropy Support Services (PSS) is conducting a SIDA-mandated external review of WRI. The review has two components: an institutional review covering the entire Institute, and program reviews looking at 4 distinct programs.

The team, which in addition to myself includes Jeff Sayer and John Hudson, is seeking input on a range of issues from a number of WRI donors, partners, key contacts & collaborators, and other stakeholders. Your name has been given to us by one of the WRI programs being reviewed (FLO or MESI or TAI or EPE – with all names spelled out) as a "key contact".

We have prepared a list of questions (attached). We hope you will take 15-20 minutes to respond to the questions as well as provide any additional feedback that you feel would give us both a) a fuller picture of the work you have been doing directly with WRI as well as b) your views on key contributions-to-date, strengths & weaknesses, and future priorities of WRI.

I look forward to hearing back from you. If you have any questions, please do not hesitate to contact me.

The input you provide may be summarized but will not be quoted, attributed or included in our report. If you would prefer to provide verbal rather than written input into the external review process, we can make arrangements for that to happen.

Thank you in advance for your thoughtful contribution to this important exercise.

Best regards,

George

George F. Taylor II

Director - International Programs, Philanthropy Support Services (PSS) Inc.

Team Leader, PSS External Review of WRI/World Resources Institute

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Skype: Breezewood1

Attachment: Input into the WRI External Review

2. The questionnaire WRI External Review/Questions for Key Contacts & Partners

Name:

Organization:

Email contact:

Date:

Setting the stage

- How long have you been working with WRI?
- Is your organization currently funding work with WRI or do you receive funds from WRI?

If so, in which programs and in which countries and regions?

- Which program (s) do you work most closely with? If appropriate, pls. also indicate the piece or pieces of these programs that you work with.
 - FLO/Forestry_____
 - MESI/Ecosystem Services____
 - TAI/Access Initiative_____
 - EPE/Equity,Poverty,Environment_____
 - Other_____
- Do you work with WRI in Washington, in the field, or both?

If in the field, in which countries?

 - 1.
 - 2.
 - 3
- Do you expect to renew this relationship and/or work with WRI on other programs or in other parts of the world?

- Which WRI publications or products (e.g. maps, data sets, tools) have had the most direct and important influence on your organization and the work you do?
 - 1.
 - 2.
 - 3.
- Which one or two words best describe WRI and what it does?
 - 1.
 - 2.
- The Objectives of the External Review and a brief overview “WRI at a glance: Mission, Theory of Change, Values, Approach, Program Goals and Results through Partnerships” have been included for your information at the end of this document. The current WRI Strategic Plan is available at: <http://www.wri.org/about/strategic-plan>

Questions

1. What distinguishes WRI from other environment and development organizations with which you work?
2. WRI views itself as a Think Tank/Do Tank. Do you agree with this characterization? Is this an important distinctive compared with other organizations with which you work?
3. In the work you do with WRI, who sets the agenda: WRI, your organization, the donor funding the work, you + WRI, or some other combination?
4. WRI often works through partnerships. Do you consider WRI a partner organization or would you characterize the relationship differently (eg consultant, analyst, program implementer etc)?
5. If you consider WRI a partner, what two or three words would best describe the quality(ies) of the partnership?
6. Does the partnership with WRI and the way you work with WRI differ from the way you work with other non-governmental organizations? If so, please. explain using an example.
7. How are WRI’s values (integrity, innovation, urgency, independence, respect) reflected in the work you have been doing with WRI?
8. The 4 elements of WRI’s approach are: Focus on results, analytical excellence, partnerships and communications. How have these elements been reflected in your work with WRI?
 - a. Example of focus on results:
 - b. Example of analytical excellence:
 - c. Partnerships (covered in questions above)
 - d. Example of communications:
9. Effectiveness and efficiency of WRI’s internal organizational systems: What is your assessment of WRI’s management of the work you have been doing together – including planning, human and financial resource management, and the quality and timeliness of both products and outcomes?
10. Is periodic internal assessment or external evaluation included as part of your relationship with WRI? If so, explain. If not, why not?

11. What have you and WRI learned in your work together that has made a difference to policy, practice or understanding?
Example #1
Example #2
Example #3
12. Areas of improvement for increased effectiveness and impact: Every organization has areas in which they can improve. What two or three areas do you think deserve additional attention at WRI?
 - 1.
 - 2.
 - 3.
13. Emerging priorities for WRI's future work: Given WRI's work to date and comparative advantage(s), what areas should be given priority attention in WRI's next strategic Plan?
 - * Current program areas that deserve increased attention:
 - 1.
 - 2.
 - 3.
 - * New program areas:
 - 1.
 - 2.
14. What questions have not been asked that should have been? Any additional comments or feedback that you care to provide would be much appreciated.

Thank you for taking valuable time to respond to these questions. We both appreciate and value your input into the External Review.

Objectives of the External Review

The review will be guided by three overarching objectives:

7. To assess WRI's performance in relation to the implementation of the Strategic Plan 2008-2012. This should take into account the impact of WRI's work around the world and assess the effectiveness and efficiency of WRI's internal organizational systems;
8. To inform and improve future planning and strategies. The review should consider: (i) the continued relevance of the 2008-2012 Strategic Plan to the Institute's work and strategies, and (ii) main lessons learned from past successes and failures. It should also identify emerging priorities for WRI's future work and areas of improvement for increased effectiveness and impact;
9. To address WRI's relevance and value to the goals of SIDA and other bilateral donor partners. The review should consider the extent to which WRI's work aligns with the mandates and missions of the partners and address whether WRI provides value toward reaching those goals.

WRI at a Glance: Mission, Theory of Change, Values, Approach, Program Goals & Results through Partnerships

MISSION

Our mission is to move human society to live in ways that protect Earth's environment and its capacity to provide for the needs and aspirations of current and future generations. WRI has a global reach, working with more than 400 partner organizations in 50 countries.

THEORY OF CHANGE (implicit)

Because people are inspired by ideas, empowered by knowledge, and moved to change by greater understanding, WRI provides –and helps other institutions provide – objective information and practical proposals for policy and institutional change that will foster environmentally sound, socially equitable development.

VALUES

Our mission and values define WRI as an institution. Our values are not rules, but shared ideals and understanding that bind us together. Along with our mission, and our commitment to excellence in everything we do, they articulate who we are and what we believe, influence our goals, guide our actions, and help us to explain our aspirations to others.

(i) Integrity

Honesty, candor and openness must guide our work to ensure credibility and to build trust.

- We encourage examination of our methods, analyses, and conclusions.
- We share information and ideas with our colleagues and partners.
- We recognize all who have contributed to our work.

(ii) Innovation

To lead change for a sustainable world, we must be creative, forward-thinking, entrepreneurial, and adaptive.

- We are willing to risk failure to achieve substantial impact. We nurture and reward new ideas and excellence in pursuing them.
- We reinvigorate our own ideas and approaches through continuous learning.

(iii) Urgency

We believe that change in human behavior is urgently needed to halt the accelerating rate of environmental deterioration.

- We seek the greatest impact by responding swiftly, decisively, and strategically to opportunities and challenges.
- We work on issues that matter where we believe we can make a unique difference.

(iv) Independence

Our effectiveness depends on work that is uncompromised by partisan politics, institutional or personal allegiances, or sources of financial support.

- We take pride in the independence of our ideas and work.
- We convey to partners and funders our commitment to unbiased judgment.

(v) Respect

Our relationships are based on the belief that all people deserve respect.

- We encourage diversity of experience, culture, ideas, and opinions among our staff and partners.
- We seek to ensure and to recognize that each of us can take responsibility and create opportunities.
- We help each other to reach our fullest potential.
- We treat others with fairness regardless of their views on our work.

APPROACH

Everything WRI does is built on four key elements:

1. Focus on Results: we organize all our work to produce powerful and practical solutions, strategies and tools, policies and partnerships.

2. Analytical Excellence: we identify problems, drivers, economic incentives, and consequences to arrive at comprehensive, incentive-based, practical solutions.

3. Partnerships: we work with scientists, governments, businesses, NGOs, and international institutions worldwide to create incentives and pressure for change.

4. Communication: we foster change by disseminating our solutions and ideas to targeted audiences.

GOALS (aka Programs and their primary goals)

Each of our projects contributes to one or more of four program goals:

Climate Protection (aka Climate, Energy and Transport)

Protect the global climate system from further harm due to emissions of greenhouse gases and help humanity and the natural world adapt to unavoidable climate change.

Governance (and Access)

Empower people and strengthen institutions to foster environmentally sound and socially equitable decision-making.

Markets and Enterprise

Harness markets and enterprise to expand economic opportunity and protect the environment.

People and Ecosystems

Reverse rapid degradation of ecosystems and assure their capacity to provide humans with needed goods and services.

A fifth goal—**Institutional excellence**—supports and enhances WRI’s ability to achieve results.

RESULTS THROUGH PARTNERSHIPS

WRI’s focus can be summed up in a single word: results. We define these as significant actions by government agencies, corporations, policy-makers, or civil society taken as a result of our activities and influence around the world.

We achieve these results by providing rigorous, timely, and compelling analysis, and by forging relationships with key players including governments, businesses and financial institutions, scientists, NGOs, and civil society groups. Our work and outcomes are achieved in collaboration with more than 400 partner organizations in 50 countries.

Sources: 2011 2012 Program Book ,Values from WRI flyer, Program Goals from the WRI website, Partnership writeup from Seizing the Moment flyer on the Strategic Plan PSS Review Team 30January2012

b. 5 questions for other contacts

Subject: External Review of WRI

Dear

Philanthropy Support Services (PSS) is conducting a SIDA-mandated external review of WRI. The review has two components: an institutional review covering the entire Institute, and program reviews looking at 4 distinct programs: the Forest Landscape Objective (FLO), Mainstreaming Ecosystems Services Initiative (MESI), The Access Initiative (TAI) and the Equity, Poverty and Environment (EPE) Program.

The team, which in addition to myself includes Jeff Sayer and John Hudson, is seeking input on a range of issues from a number of WRI donors, partners, key contacts & collaborators, and other stakeholders. We are contacting you because of your knowledge of WRI and its programs and/or your work in related areas.

We have five questions for you:

1. The WRI brand and niche

Which one or two words best describe WRI and what it does?

2. WRI yesterday

What are WRI’s Top 5 outputs or outcomes since it was founded 30 years ago?

- 1.
- 2.
- 3.

- 4.
- 5.

3. WRI today

Which are WRI's most important programs, publications and activities?

4. WRI tomorrow

Given WRI's work to date and comparative advantage(s), what program areas should be given priority attention in WRI's next Strategic Plan?

Current program areas that deserve increased attention:

- 1.
- 2.
- 3.

New program areas:

- 1.
- 2.
- 3.

5. What question has not been asked above that should have been? Any additional comments or feedback that you care to provide would be much appreciated.

We have prepared a more detailed list of questions for partners and other key contacts currently working with WRI. I have attached a copy of that questionnaire. Please feel free to respond to some or all of those questions and return them along with your answers to questions we have asked above.

I look forward to hearing back from you. If you have any questions, please do not hesitate to contact me.

The input you provide may be summarized but will not be quoted, attributed or included in our report. If you would prefer to provide verbal rather than written input into the external review process, we can make arrangements for that to happen.

Thank you in advance for your thoughtful contribution to this important exercise.

Best regards,

George

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Attachment: Input into the WRI External Review

Annex F. Briefings and Other Meetings

PSS Schedule for External Review Visit to WRI
January 10th-19th, 2012
Contact: Jack Nelson, jnelson@wri.org, 202-729-7720

Tuesday, January 10th, 2012*8:30am*

Meet Leo Horn-Phathanothai at WRI offices, 10 G St. NE, 8th floor. Take a cab to the Stories to Watch event at the National Press Club.

9:00-10:30am

Stories to Watch press event at National Press Club, 529 14th Street, NW. Return to WRI.

11:00am-12:00pm

Intro to WRI with Janet Ranganathan and Leo H-P. WRI's MCR3 Conference Room.

12:00pm-1:30pm

Introductory lunch with WRI's review support team. Ozone Conference Room.

1:30pm-3:00pm

Meeting with Leo H-P to discuss WRI's bilateral government relationships. Amazonas Conference Room.

3:00pm-4:00pm

Meeting with Steve Barker, CFO and VP for Finance and Administration. Atlantic Conference Room.

4:00pm-5:00pm

Meeting with Robin Murphy, VP for External Relations. Amazonas Conference Room.

Wednesday, January 11th, 2012*9:00am-1:30pm*

Observe Low-Carbon Development Workshop with visiting delegation of senior Chinese government officials. MCR Conference Room.

(we will see if Andrew Steer can chat for a few minutes following the workshop)

1:30pm-2:30pm

Meeting with Chris Perceval, Director of Corporate Relations. Pacific Conference Room.

2:30pm-3:15pm

Meeting with Allison Sobel, Researcher for the President and Liaison to the Board. Pacific Conference Room.

Thursday, January 12th, 2012

8:45am-10:00am

Meeting with Janet Ranganathan and VPSR team. Copacabana Conference Room.

10:00am-11:30am

Meeting with Craig Hanson, Director of the People & Ecosystems Program and Director of the next World Resources Report on Food Futures. Amazonas Conference Room.

11:30am-12:30pm

Meeting with Holger Dalkmann, Director of the Embarq program on sustainable transport. Sahara Conference Room.

12:30pm-1:30pm

Lunch, on your own.

1:30pm-2:30pm

Meeting with Jennifer Morgan, Director of the Climate & Energy Program. Amazonas Conference Room.

2:30pm-3:00pm

Brief check-in with Leo H-P, by his office on the 7th floor.

3:00pm-4:00pm

Meeting with Jake Werksman, Director of the Institutions & Governance Program. Pacific Conference Room.

4:00pm-5:00pm

Meeting with Lauren Withey, Sr. Associate, about Managing for Results. Pacific Conference Room.

Friday, January 13th, 2012

9:30am-11:30am

Meeting with Bob Winterbottom, Director of the Mainstreaming Ecosystem Services Initiative (MESI) and his team. Pacific Conference Room.

11:30am-12:30pm

Meeting with Jennifer Morgan, Director of Climate and Energy Program. Atlantic Conference Room.

12:30pm-1:30pm

Meeting with Liz Cook, VP for Institutional Strategy and Development.
Ozone Conference Room.

Tuesday, January 17th, 2012

10:00am-11:00am

Meeting with Manish Bapna, Interim President. Amazonas Conference Room.

11:30am-1:30pm

John Hudson at WRI

Lunch meeting with the Forest Landscapes Objective (FLO) partial team. Lars Laestadius, Matthew Steile, Beth Bahs-Ahern. Nigel Sizer is traveling until the 18th. Atlantic Conference Room.

1:30pm-3:00pm

George Taylor meeting with Lalanath DeSilva and the Access Initiative (TAI) team. Atlantic Conference Room.

3:00pm-4:00pm

George Taylor meeting with Xiaomei Tan, Sr. Associate, and Kerina Wang, Global Office Liaison, to discuss WRI's work and office in China. Sahara Conference Room.

WRI External Review
George Taylor visit 2/13/12-2/16/12

Monday, Feb. 13th, 2012

- 0800** **Ruth Greenspan Bell**
Woodrow Wilson Center
- 10:00am-10:30am** Follow-up meeting with **Peter Veit**
Project Manager, EPE
WRI Pacific Conference Room
- 10:30am-11:30am** Meeting with **Nigel Sizer**
GFW 2.0 demo
- 11:30am-12:15pm** Meeting with **international staff**
WRI Ozone Conference Room
- 12:15pm-2:00pm** Free
- 2:00pm-3:00pm** Meeting with **Hattie Babbitt**
Director, WRI
Jennings, Strauss and Salmon, PLC
1350 I St. NW, Suite 810
202-292-4741
- 4:00pm-5:00pm** Meeting with **Janneke de Vries**
Counselor for Environment
Netherlands Embassy
4200 Linnean Avenue, NW
**Bring Passport
Contact: Maurice Smit Maurice.smit@minbuza.nl
202.966.0728

Tuesday, Feb. 14th, 2012

- 10:00am-11:00am** Meeting with **Vivian Fong**
Director, HR
WRI Stratosphere Conference Room
- 11:00am-11:30am** Meeting with longest-serving and shortest-serving employee
Hyacinth Billings (Publications Director)
Benedict Buckley (Research Analyst)
WRI Atlantic Conference Room
- 11:30am-2:00pm** George at lunch – **USFS**
Alex Moad, Cynthia Mackie, Sasha Gotlieb,
1099 14th St NW Suite 5500W

- 2:00pm-2:30pm** Meeting with **Steve Barker** (Audit Letters)
VP for Finance & Administration
WRI Amazonas Conference Room
- 2:30pm-3:00pm** Meeting with **Craig Hanson** (WRR)
Program Director, People & Ecosystems
WRI Amazonas Conference Room
- 3:00pm-4:00pm** February **All-Staff Meeting**
WRI MCR Conference Rooms
- 4:00pm-5:30pm** All-Staff Happy Hour!
WRI Reception
- 6:30pm** Meeting with **Jamshyd Godrej**
Director, WRI
Chairman and Managing Director, Godrej & Boyce Mfg Co. Ltd.
Park Hyatt Hotel

Wednesday, Feb. 15th, 2012

- 7:00am** **Kirk Talbott** Breakfast
- 9:30am-10:00am** Meeting with **Bob Winterbottom**
Director, MESI
WRI Amazonas Conference Room
- 10:00am-10:30am** Meeting with **Peter Hazlewood**
Director, Ecosystems and Development
WRI Amazonas Conference Room
- 10:30am-1:00pm** Free
- 1:00pm-1:30pm** Meeting with **Robin Murphy**
VP for External Relations
WRI Amazonas Conference Room
- 1:30pm-2:30pm** Meeting with **Aqueduct Team**
Betsy Otto, Rob Kimball, Charlie Iceland
WRI Amazonas Conference Room

Thursday, Feb. 16th, 2012

- 11:00am-12noon** Meeting with **Jessica Tuchman Mathews**
President,
Carnegie Endowment for International Peace
1779 Massachusetts Avenue, NW

202.939.2210

3:00pm-4:00pm Meeting with **Michele de Nevers**
Visiting Sr. Associate
Center for Global Development
1800 Massachusetts Avenue, NW
202.416.4000

Friday, Feb. 17th, 2012

Depart for India

Meetings in Mumbai February 20 & 21 with WRI/IRT, EMBARQ & New Ventures staff
Meetings in Ahmedabad & Delhi:

Date	Day	Meeting	Location	Address	Ph No
		Fly to Ahmedabad	Ahmedabad		
22/02/2012	Wednesday	Travel on Janmarg + meeting with Shivanad Swamy - CEPT	Ahmedabad	Kasturbhai Lalbhai Campus, University Road, Ahmedabad-380009	9825407505, +91-79-26302470 / 26302740
		Fly to Delhi	Ahmedabad		
23/02/2012	Thursday	Meet with Pratik Ghosh - TERI - 11 am to 12 pm	Delhi	Pratik Ghosh Fellow & Area Convenor TERI, Darbari Seth Block, Habitat Place Lodhi Road New Delhi - 110 003	91-11-24682100,41504900 x:2422, +919810259265
		Meet with Ritwick Dutta - TAI - post 4 pm	Delhi	Legal Initiative for Forest and Environment N-71 LGF Greater Kailash-I, New Delhi-110048	91-11-49537774, 49536656, 9810044660
24/02/2012	Friday	Meet with Seema Arora CII - 11 am	Delhi	CII-ITC Centre of Excellence for Sustainable Development Thapar House, 2nd Floor 124 Janpath, New Delhi - 110 001 next to Petrol Pump: Modern Service Station	Tel: 011-43723325 (D)
		Meet with Amit Bhatt - Transport Strategy Head - EMBARQ	Delhi	Pls call Amit, he works from home and will meet you where ever is convenient for you. Also he is your contact in Delhi if you need any help	+919868453595
25/02/2012	Saturday	Meeting with TAI partners	Delhi	Contact is Ritwick Dutta	91-11-49537774, 49536656, 9810044660
		Meet with Dr. Ashok Kholsa - IRT	Delhi	Contact is Wing Cdr Prashar, Development Alternatives, B-32 Tara Crescent, Qutab > Institutional Area, New Delhi - 110016	98-185-57995,65428858
26/02/2012	Sunday	Flight to U.S	Delhi		

Annex G. WRI External Review: People consulted

Organisation	Name	Position	Email or website
ABCG (Africa Biodiversity Collaborative Group)	Natalie Bailey	Coordinator	nbailey@abcg.org
Brookings Institution	William Antholis (met in Delhi)	Managing Director	Antholis@brookings.edu
Carnegie Endowment for International Peace	Jessica Mathews	President	jmathews@ceip.org
Center for Global Development	Michele de Nevers	Visiting Senior Associate/Environment	mdenevers@cgdev.org
CGIAR	Jonathan Wadsworth	Executive Secretary, Fund Council	jwadsworth@worldbank.org
	Derek Byerlee	Chair, Special Programme on Impact Assessment	d.byerlee@gmail.com
CGIAR/IFPRI	Ruth Meinzen-Dick	Senior Research Fellow, Coordinator of the CGIAR Program on Collective Action and Property Rights	r.meinzen-dick@cgiar.org
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	Fiona Chandler	Lead in relations with WRI	F.Chandler@cgiar.org
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Chatham House	Bernice Lee	Director, Energy, Environment and Resource Governance	blee@chathamhouse.org.uk
Climate and Land Use Alliance	Chris Elliott	Director	www.climateandlandusealliance.org
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Columbia University – Earth Institute	Jeffrey Sachs	Director	www.earth.columbia.edu
	Glen Denning	Director, Center on Globalisation and Sustainable Development	gd2147@columbia.edu
Curtis and Edith Munson Foundation	Angel Braestrup	Director	angel@Munsonfdn.org
Environmental Law Institute	Kirk Talbott (ex-WRI)	Scholar-in-Residence	talbott@eli.org

European Commission	Mathieu Bousquet	NR management, DEVCO	mathieu.bousquet@ec.europa.eu
Ford Foundation	David Kaimowitz	Director, Sustainable Development	d.kaimowitz@fordfound.org
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Forests Monitor	Valérie Vauthier	Director	vvauthier@forestsmonitor.org
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Government of Netherlands	Janneke de Vries	Counsellor, Environment Netherlands Embassy, Washington, DC	Janneke-de.vries@minbuza.nl
	Andre Loozekoot	Coordinator, Climate Finance & Development Ministry of Foreign Affairs	Andre.loozekoot@minbuza.nl
Government of Norway	Marit Viktoria Pettersen	Head of Climate Change Adaptation, Ministry of Foreign Affairs	Marit.viktoria.pettersen@mfa.no
Government of Sweden	Johan Schaar	Former Head of Policy, SIDA (now at WRI)	Johan.Schaar@sida.se jschaar@wri.org
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Government of the United States	Chip Barber (ex-WRI)	Forest Division Chief Oceans, Environment and Science Bureau, State Department	barbercv@state.gov
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IUCN	Julia Marton-Lefebvre	Director General	
	Mark Smith	Head, Water&Nature Initiative	
	Stewart Maginnis	Director of Conservation and Development	
Landesa(exRural Development Institute)	Kelsey Jones-Casey	Research Associate and Land Tenure Specialist	kelseyjc@landesa.org
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Millennium Promise	John MacArthur	President	
Open Society Foundation	Emily Martinez	Director, Rights Initiative	Emartinez@osi-dc.org
Packard Foundation	Walt Reid (ex-WRI)	Program Director, Conservation & Science	WReid@packard.org
Partnership to Cut Hunger and Poverty in Africa	Emmy Simmons	Chair, Advisory Council and Co-Chair AGree ¹⁸²	Emmysimmons@aol.com
RRI, Rights & Resources Initiative	Andy White	Coordinator	awhite@rightsandresources.org
	Augusta Molnar	Director, Communities and Markets Program	amolnar@rightsandresources.org
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	John Nittler	Senior Associate	John.Nittler@tetratech.org
The Islands Institute	Olivier Langrand	President	olivierlangrand@islandconservation.org
The Millennium Institute	Hans Herren	President and co-chair of the International Assessment of Agricultural Science and Technology for Development -	www.millennium-institute.org
The Smithsonian	Scott Miller	Deputy Undersecretary,	www.si.edu

¹⁸² AGree is a new initiative, collaboratively funded by nine of the world's leading foundations, designed to tackle long-term agricultural, food and rural policy issues. See www.foodandagpolicy.org

Institution		Collections and Multidisciplinary Support	
TNC	Glenn Prickett	Chief External Affairs Officer	gprickett@tnc.org
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US Forest Service	Alex Moad	Deputy Director, International Forestry	amoad@fs.fed.us
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	Dermot O'Gorman	Director, WWF Australia	www.wwf.org.au
	Victor Benja	Director Papua Programme, WWF Indonesia	
	Nioman Iswarayoga	Director Climate and Energy, WWF Indonesia	
	Klaas Jan Teule	Director, Programme Development and	

		Sustainability WWF Indonesia	
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	Hattie Babbitt	Vice Chair	
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	Jamshyd Godrej	Member	jngodrej@godrej.com
	Leslie Dach	Member	Leslie.Dach@wal-mart.com
WRI Staff			See WRI website
Officers	Manish Bapna	Acting President, Managing Director and Executive Vice President	
	Steve Barker	VP, Finance & Administration	
	Robin Murphy	VP, External Relations	
	Janet Ranganathan	VP for Science and Research	
	Liz Cook	VP for Institutional Strategy and Development	
Human Resources	Viviann Fong	Director	
Communications	Hyacinth Billings (veteran WRI employee)	Publications Director	
Office of the President	Allison Sobel	Researcher for the President and Liaison to the Board	
Office of the Managing Director	Lauren Withey	Managing for Results	
	Kerina Wang	Global Office Liaison	
Office of Science and Research	Ashleigh Rich	Research & Publications Specialist	
	David Tomberlin	Deputy to VPSR	
Development	Leo Horn- Phathanthai	Director, International Cooperation	
	Randy Snodgrass	Director, U.S. Government Cooperation	
	Jack Nelson	Program Coordinator	
	Chris Perceval	Director, Corporate Relations	
CEP	Jennifer Morgan	Program Director	
	Pankaj Bhatia	Director, GHG Protocol	
	Ruth Ginsberg Bell	Senior Fellow	
	Greg Fuhs	Communications	
	Francisco Almendra(Brazil)	Associate	
	Raquel Gonzalez (Cuba/Brazil)	International Initiatives Coordinator	

	Ailun Yang (China)	Senior Associate	
	Aarjan Dixit (Nepal)	Research Analyst	
	Benedict Buckley (newest WRI employee)	Research Analyst	
EMBARQ	Holger Dalkmann	Director	
	Dario Hidalgo (in Delhi)	Director for Research and Practice	
	Aileen Carrigan (in Delhi)		
IGP	Jake Werksman	Program Director (left WRI during the Review)	
	Peter Veit	Acting Program Director and Manager, EPE	
	Lalanath de Silva	Director, The Access Initiative	
	Athena Ballesteros	Manager, IFFE	
	Xiaomei Tan	Senior Associate IFFE Moved to Beijing during the Review: Deputy China Country Director	
	Florence Daviet	Co-Manager, Governance of Forests Initiative	
	Crystal Davis	Co-Manager, Governance of Forests Initiative	
	Lesly Baesens	Project coordinator	
	Joe Foti	Senior Associate, Rapid Institutional Analysis for Adaptation (ARIA) etc.	
	Carole Excell (Jamaica)	Senior Associate	
	Louise Brown (Namibia)	Research Analyst	
MEP	Betsy Otto	Director, Aqueduct	
	Charlie Iceland	Senior Associate, Aqueduct	
	Rob Kimball	Program Coordinator, Aqueduct	
PEP	Craig Hanson	Program Director	
	Nigel Sizer	Director, Global Forest Initiative	
	Bob Winterbottom	Director, Ecosystem Services Initiative	
	Peter Hazlewood	Director, Ecosystems and Development	
	Lauretta Burke	MESI/Coastal Ecosystems & Reefs	
	Suzanne Ozment	MESI/Business and Ecosystems	

	Norbert Henninger	MESI/Ecosystem Services for Development-Information	
	Cy Jones	MESI/China Water & Eutrophication	
	Lars Laestadius	Forest Landscape Restoration	
	Matthew Steil	Forest Transparency Initiative	
	Beth Bahs-Ahern	Development & Operations Manager	
	Ruth Nogueron (Mexico)	Associate	
India Resources Trust (IRT)	Jamsyd Godrej	Trustee Chairman and Managing Director, Godrej & Boyce Mfg Co. Ltd, Mumbai	jngodrej@godrej.in
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	Sreyamsa Bairiganjan	New Ventures, India	Srey.bairiganjan@regainparadise.org
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Other India			
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TERI, The Energy and Resources Institute	Pratik Ghosh	Fellow & Area Convenor TERI - BCSD India, Delhi	Pratik@teri.res.in
LIFE	Ritwick Dutta	Director, LIFE Legal Initiative for Forest & Environment, Delhi	ritwickdutta@gmail.com
Environics	R. Sreedhar	Director, Environics Trust	environics@gmail.com
CII, Confederation of Indian Industries	Seema Arora	Executive Director CII-ITC Centre of Excellence for Sustainable Development	Seema.arora@cii.in

Annex H. References consulted

I. WRI Documents in the ERT Dropbox Dropbox Contents

1) External Review Logistics

- a. Bilateral Agencies Contacts List
- b. WRI Events Jan-May (as of 1.16.12)

2) WRI Institutional Documents

- a. 1990 MacArthur Endowment Statement
- b. 2012 WRI Program Book
- c. 2012 WRI Program Book Annex
- d. WRI's Approach in Action- Power Point
- e. WRI Articles of Incorporation
- f. Board Composition Matrix
- g. WRI ByLaws 2002
- h. Countries and Partners Matrix 2012
- i. Strategic Plan 2008-2012
- j. Gus Speth Interview-movie clip
- k. Jonathan Lash Interview-movie clip
- l. WRI's Values-movie clip
- m. WRI India IRT Trust Guiding Principles- Power Point
- n. WRI India Business Plan
- o. Acronyms List
- p. Staff Language Ability table
- q. WRI China Country Strategy for Board Committee
- r. WRI China Country Strategy ANNEX
- s. WRI Comparative Analysis, Strategic Planning Process
- t. How WRI's Work Benefits the Poor
- u. Poverty Impact of WRI's Programs – Table

3) WRI Management Systems

a. Internal Review Board/Annual Objective Review Documentation

- i. Comments on POTICO
- ii. ESD Decision Review Meeting Minutes
- iii. GFI IRB Comments
- iv. GFI Updated Project Plan
- v. Mini IRB on Restoration – M. Bapna email
- vi. TAI Assessment Review
- vii. TAI Brief Memo on Assessment Results
- viii. Water Risk Index Review – P.Klop email

b. New Ventures Retreat Review Documentation

- i. New Ventures Global Metatrends
- ii. New Ventures SWOT Summary
- iii. New Ventures Stakeholder Engagement Summary
- iv. New Ventures Lessons Learned
- v. New Ventures Peer Landscape Overview

c. Publications Process

- i. Author Survey
- ii. Publication Quality Control Procedures and Survey
- iii. Reefs at Risk Review Notes
- iv. **1 Publication Plan**
 - 1. Pub Plan Review – J. Ranganathan email

2. Pub Plan Review by J. Ranganathan and P. Ghazi
 3. Pub Plan Outline Review
 4. Revised Pub Plan
 5. Main Message and Outline
 6. Reefs at Risk-Revisited- J. Ranganathan input
 7. Reefs at Risk-Revisited Pub Influence Plan
- v. 2 Internal Review**
1. Reefs at Risk Revisited Internal Review Draft
 2. Internal Review Draft & Info – email
 3. Maggie Barron Review – email
 4. Mindy Selman Review – email
 5. Mark Holmes Review – email
 6. Hilary McMahon Review – email
 7. Mindy Selman Summary of Review – email
 8. David Tomberlin Comments Post-Internal Review – email
 9. Reefs Review - Mindy Selman
 10. Reefs at Risk Revisited Internal Review
 11. Reefs at Risk Revisited – Maggie Barron
 12. Reefs at Risk Revisited Manuscript for Internal Review - David Tomberlin Comments
 13. Reefs at Risk Revisited Manuscript for Internal Review - Hilary McMahon Comments
 14. Reefs at Risk Revisited Manuscript for Internal Review – Mindy Selman Comments
 15. Reefs at Risk Revisited – Mark Holmes Comments
- vi. 3 External Review**
1. Reefs at Risk Draft External Review - Caroline Rogers USGS
 2. Reefs at Risk Draft External Review Helen Fox
 3. Reefs at Risk Draft External Review Ove Hoegh-Guldberg
 4. Reefs at Risk Draft External Review Liza Agudelo
 5. Draft for External Review Approval
 6. Internal Review Memo
 7. Info for External Review- email
 8. Reefs at Risk Draft External Review
 9. Helen Fox Review- email
 10. Caroline Rogers Review- Additional Info - email
 11. Caroline Rogers Review - email
 12. Liza Agudelo Review - email
 13. Ove Hoegh-Guldberg Review - email
 14. Jerker Tamelander Review
 15. Ove Hoegh-Guldberg Review
 16. Liza Agudelo Review
 17. Caroline Rogers Review
- vii. 4 Final Approval**
1. External Review Memo
 2. Draft for Final Approval – Reefs at Risk
 3. David Tomberlin Final Comments and Approval - email
 4. Final Released – Reefs at Risk – Revisited
 5. Reefs at Risk - David Tomberlin Final Comments and Approval - document
 6. Reefs at Risk Full Document to David Tomberlin

- d. Objective Review Guidelines – Existing
- e. Objective Review Guidelines – New
- f. ESD Decision Review – meeting minutes
- g. Managing for Results at the World Resources Institute
- h. Managing for Results Revitalization Program Director Input Notes
- i. MFR Workshop Binder Primer 2011
- j. Objective Review Guidelines – New With Exercises
- k. Objective Plan Template FY12
- l. Outcomes 2009-2011 TAI/EPE/MESI/FLO
- m. Performance Review Form 2011 FINAL combined self/supervisor
- n. Top 10 Outcomes 2006-2010 – Durability
- o. WRI Outcomes Evaluation 2006-2010 – Power Point
- p. WRI Top Outcomes 2011
- q. WRI's Ways and Means
- r. WRI's Ways and Means – Power Point
- s. Self Assessment of Objective Performance 2008-2012
- t. Self Assessment of Synergies and Innovation

4) WRI Funding Agreements and Donor Reports

- a. **2011 Multi Donor Meeting- The Hague**
 - i. CEP Presentation – Power Point
 - ii. MEP Presentation – Power Point
 - iii. Opening Session Presentation – Power Point
 - iv. IGP Environmental Democracy Presentation – Power Point
 - v. Key Messages and Action Points from WRI Multi Donor Meeting
 - vi. New Ventures Information Brochure
 - vii. Reviving the Spirit of Rio
 - viii. Summits Presentation – Power Point
 - ix. WRI Adaptation Strategy Presentation – Power Point
 - x. PEP Presentation – Power Point
- b. **Corporate Relations**
 - i. BP DC Roundtable Report
 - ii. BP Exchanges around Deep Water Horizon
 - iii. BP Resolution
 - iv. Copy of CCG Competitor Analysis
 - v. Mapping CCG Benefits to the Promise of PepsiCo
 - vi. BP Smale Letter
 - vii. WRI emails about BP 1 year later
 - viii. Mindshare 2011 Invitation
- c. Annual Review 2011
- d. SIDA/WRI Joint General Framework Grant Agreement
- e. WRI Annual Review for the Netherlands MFA 2009
- f. WRI Annual Review for the Netherlands MFA 2010
- g. WRI Logframe for the Netherlands MFA 2010
- h. WRI Annual Report 2008
- i. WRI Annual Report 2009
- j. WRI Annual Report 2010
- k. Sida Help Desk Input to Sida-WRI Meeting 2012
- l. Main themes from the Consultation with European partners on WRI's Next Strategic Plan
- m. WRI MacArthur Communications Grant Report
- n. MOU WRI and NDRC

5) WRI Finances

- a. 2010 Revenue and Expenses Graphic

- b. Board Development Report 2009
- c. WRI Consolidated Statement of Activity 2010

6) WRI Evaluations and Reviews

- a. Danida Comparative Evaluation 2010
- b. Irish Aid Review of Strategic Partnerships Environment Programme 2006-2008
- c. New Ventures Stakeholder Review
- d. USAID Rights and Responsibilities Evaluation

7) TAI

- a. ELAW: How Green will be the Green Tribunal
- b. Environmental Democracy in the Himalayas Report for Global Reviews
- c. ERC: Making Our Voices Matter, Guide to Environmental Public Hearings
- d. Re-Envisioning TAI Phase 2 Report
- e. TAI Assessment Review
- f. TAI Contacts
- g. TAI Evaluation Final Report 2010
- h. TAI Preliminary conclusions – Evaluation Final
- i. TAI Report Waddell edits
- j. TAI Wayer Sector Report
- k. TAI Bed Project Management Quarterly Report Q3

8) MESI

- a. MESI High Level Summary
- b. Mapping a Better Future - Uganda – Background Notes
- c. MESI ESD Information Q3
- d. MESI Reefs at Risk Quarterly Report Q3 2011
- e. MESI BES Q3
- f. MESI SFF Q3 Quarter 2011
- g. Top 10 External Contacts for MESI
- h. Annex – MESI Transition Plan
- i. Eco Audit Launch - Media Summary
- j. 2011 AOR memo
- k. WAVES Workshop Letter
- l. Draft Agenda WAVES Partnership Meeting
- m. MESI Outcomes 2003-2010
- n. MESI 2008 AOR Key Questions and Answers
- o. MESI 2008 Objective Statement
- p. PEP MESI ESD Poverty 2012 Pending Review
- q. PEP Linking Poverty Reduction and Green Economy - Concept Note
- r. MESI AOR Decision Review Meeting Notes

9) FLO

- a. FLO CBFF Q3 2011 Report
- b. FLO Central Africa Q3 2011 Report
- c. FLO Lacey Q3 2011 Report
- d. FLO MRV Q3 2011 Report
- e. FLO Potico Q3 2011 Report
- f. FLO Reference List
- g. FLO Restoration Q3 2011 Report
- h. FLO Central Africa Q3 2011 Report
- i. FLO Congo Forest and Climate Q4 2011 Report
- j. FLO Lacey Q4 2011 Report
- k. FLO Restoration Q4 2011 Report
- l. Forest Restoration Leaflet

- m. WRI Forests Initiative - Version 2.0
- n. WRI DFID Proposal Cover Letter
- o. Changing Course: WRI Proposal for FGMC
- p. CGD/WRI MOU on FORMA – DRAFT (*CGD decided no need for formal MOU*)
- q. Forests Objective Logframe 2012
- r. Revised Forests Initiative version 5.0 March 2012
- s. FLO Review Notes
- t. Landscape of WRI Forests Work 2011 – Power Point
- u. Process for Developing the WRI Forests Initiative June 2011 – Power Point
- 10) EPE**
 - a. EPE Contacts
 - b. EPE Hydrocarbons & Oil in Uganda Q3 Report
 - c. EPE Benefit Sharing Seeding Q3 Report
 - d. EPE Forestry Central Africa Q3 Report
 - e. EPE FY12 Objective Plan FINAL DRAFT
- 11) CEP**
 - a. India Low Carbon Scoping Retreat Presentation – Power Point
 - b. India Power Sector Project Plan
- 12) IFFE**
 - a. Emerging Actors Slide Deck
 - b. Summary of Developed Country Fast-Start Climate Finance Pledges 2011
 - c. Uganda Oil and Gas Presentation, Beijing March 2011
- 13) WRR**
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 - b. WRR Food Futures
- 14) EMBARQ**
 - a. EMBARQ India – Power Point
- 15) MEP**
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Detailed reports available at www.TEEBweb.org

[TEEB is hosted by the United Nations Environment Programme and supported by the European Commission, the German Federal Ministry for the Environment, Nature Conservation and Nuclear Safety, the UK government's Department for the Environment, Food and Rural Affairs, and Department for International Development, Norway's Ministry for Foreign Affairs, Sweden's Ministry for the Environment, The Netherlands' Ministry of Housing, Spatial Planning and the Environment and Japan's Ministry of the Environment.]

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Lists: **WRI Global Council Members (distinct from Board members), 9 Advisory Panels, and 4 Education Advisory Panels**

Advisory Panels:

- Sustainable Agriculture
- Africa Natural Resources Policy Consultative Group
- Partnerships in Sustainable Agriculture Project Advisory Committee
- Latin America Forestry Concessions Study External Advisory Committee
- U.S, Sustainability Project Advisory Panel
- Publications Advisory Board
- World Resources Report Editorial Advisory Board
- Renewable Energy Advisory Panels
- New Partnerships in the Americas Advisory Group Committee

Education Advisory Panels:

- Datascape Advisory Panel
- Teachers Guide Advisory Committee
- Latin America Teacher's Guide Advisory Committee
- WRI Partner Educational Organization

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Annex I. Recommendations for the next External Review

Experiences gained and lessons learned during the current External Review are presented below with a view to strengthening the process when it happens again in 2015.

Strengthening the review process next time:

1. Self-assessment

The single most important thing that could have been done to improve the External Review process would have been for WRI to prepare several self-assessments as a prelude to the External Review process. Specifically, self-assessment at four levels:

- WRI as an institution (ie the “fitness for purpose” elements of the Report outline plus a self-assessment of WRI’s partnerships)
- Implementation of the Strategic Plan
- Implementation of the programs identified for in-depth review, and
- Periodic retrospective review of WRI’s annual “Top 10 Outcomes”.

As noted in the Findings section of the ERT Report:

“There is a clear need for periodic, formal self-assessment of WRI programs. Two Institute-wide self assessments provided to the ERT shortly before the drafting of this Review document was completed – one on WRI’s progress meeting the Program Goals and Objectives set out in the current Strategic Plan, the other looking at Synergies & Cross-Program Collaboration and at Innovation – have proved very useful in finalizing the Report. Having had these available at the beginning of the Review process would have provided the ERT with a baseline from which to begin its investigations, thereby saving a great deal of the time and effort that was spent sifting through extensive process and internal reporting documentation.”¹⁸³

The PSS proposal made a point about self-assessment and external review that we feel is useful to reiterate:

“Internal self-assessment and external review: two sides of the same coin.

In our view internal self-assessment and external review are two sides of the same coin. We understand from the TORs that “WRI regularly reviews progress toward its institutional objectives through a comprehensive and rigorous method of evaluation, internal and external review, diagnosis and revisions to our strategies.” and that there is an “Annual Review of the Institute’s work in developing countries”. We assume that there are periodic self-assessments that are presented to the WRI Board and expect there may have been some internal self-assessment work done as a prelude to the preparation of the next Strategic Plan. All of this will provide valuable (indeed essential) input into the External Review.”¹⁸⁴

The assumption about periodic self-assessments presented to the WRI Board turned out to be correct, but not in the way we had expected. Periodic self-assessments are presented, but they have been verbal presentations, or verbal presentations

¹⁸³ PSS. External Review of the World Resources Institute (WRI) – Looking Back, Looking Forward: the current Strategic Plan (2008-2012), building on a 30 year legacy, and the next Strategic Plan. Draft Report. P. 68

¹⁸⁴ PSS. December 19, 2011. Proposal for External Review of the World Resources Institute (WRI). p.4

supplemented with a few powerpoint slides.¹⁸⁵ As such, written material for review by the ERT was not available from this source.

2. Documentation

WRI provided extensive documentation to the External Review Team. They opened up their internal files and responded to questions from the ERT with additional documentation on a very timely basis. There was only one thing that slipped through the cracks: background documentation used to prepare the Strategic Plan. The team was given material used to develop Section II of the Plan: Our View of the World. What we didn't discover until very late in the process was an important study done to "to compare and contrast WRI with its peers in order to help define our uniqueness and niche". Next time, background documentation on the Strategic Plan being reviewed should be part of the initial information provided to the team.

3. Field visits

Field visits are a second essential element of an External Review of this type. Initially resisted by WRI for budgetary reasons, we were able to include one quick trip to India by Team Leader Taylor as part of this Review. In addition, Team member Jeff Sayer was able to meet with several WRI partners in Jakarta and the WorldFish Center in Malaysia as he passed through on other business. The next Review needs to include a more extensive series of field visits. This is all the more important because, although questionnaires were sent to a wide variety of WRI partners in places like East and Central Africa, very few of these were filled out and returned.

The PSS Proposal identified this issue in the following terms:

"A note of caution: scope of the Review vs time and resources available.

The scope of the Review outlined in the TORs is expansive. At one point it is referred to as "a comprehensive external review". WRI is a large, multi-faceted organization with a wide range of programs and activities. One potential team member who knows both WRI and institutional assessments well characterized the scope of the Review as "huge". This is all the more true given a) what we understand to be a constrained budget, and b) the fact that this review "will be the first broad external review of WRI's performance and effectiveness." In most reviews of this type for an institution that is almost 30 years old there are earlier reviews that provide evaluators with a baseline. For reasons that are not (yet) clear to us, this is apparently not the case for WRI.

In addition, in an ideal world, a "comprehensive external review" of an organization like WRI should include a series of field visits to get direct input from partners, other stakeholders, clients and competitors in (i) all of WRI priority countries (China, India, Brazil + the USA), (ii) at least several of WRI's other 9 areas of geographic focus (Central Africa, East Africa, European Union, Indonesia, Mexico, Peru, Russia, South Africa and Turkey)¹⁸⁶ and (iii) a selection of the other places where and groups with which the three programs selected for in-depth review operate (eg South America

¹⁸⁵ Verbal debrief with Manish Bapna et.al. March 8, 2012. The fact that such a presentation had recently been made to the Board opened up the possibility of the preparing the self-assessments discussed in Section I.B.3.5 (Monitoring & Evaluation).

¹⁸⁶ Source: WRI Strategic Plan 2008-2012, map on p.17

beyond Brazil and Cameroon, unless it is included in the Central Africa focus area).¹⁸⁷

4. Assessment of partnerships at the Institute level

Partnerships are one of the four key elements of WRI's approach, the element that insures that two of the other elements – analytical excellence and practical solutions – lead to the fourth element: outcomes. WRI has some 520+ partnerships. The partners that the ERT interacted with were uniformly complementary about WRI and the value-added that their relationship provided.

As noted in our Recommendations:

"While impressed with the scale of WRI's partnerships, with the important exception of the Corporate Consultative Group the ERT was unable to find any useful typology or mapping of the current partnership landscape nor any vision or operational guidance on how WRI selects, manages and evaluates these partnerships. There was also no indication of cross-program or cross-Institute strategic thinking or coordination on these matters.

Mapping WRI's 522 partners along relevant axes (eg type of organization, type of association, WRI program and country parameters etc) would provide a useful snapshot of the current scale and scope of WRI's partnerships and serve as a starting point for some careful thinking about how WRI wants to define, distinguish, present, manage and periodically evaluate its partnerships moving forward."

We hope and expect that WRI will have a clearer and more coherent presentation on partnerships for the next External Review that identifies, among other things, those partners deemed most important by WRI along with those partners that are working with multiple WRI programs. We suggest that concerted attention be given to meeting with and getting detailed feedback from these partners.

Things that worked well and deserve to be included next time:

1. Team size and composition

In our view, the three person team worked well both for the Institutional Assessment (where two of the three were directly involved) and for the Program Reviews. Having a Team member based in Europe who was very familiar with WRI's European Donors proved invaluable. For the current Review all three team members had forestry/natural resources backgrounds and substantial experience working on environmental governance and institution building. Given the programs selected for review, this worked well. Next time WRI may wish to specify either other or additional areas of expertise: climate change, energy, sustainable transport and/or small and medium enterprise development. Having a team member based in Washington would have reduced costs and allowed for more participation on WRI events over the two month period during which the Review was carried out.

2. Participation in WRI events

Participation in a range of WRI events provided important insights into both the internal workings of WRI as well as into external perceptions of WRI. The events we were able to attend included:

¹⁸⁷ PSS. December 19, 2011. Proposal for External Review of the World Resources Institute (WRI). p.5.

- the National Press Club launch of “Stories to Watch 2012”
- the signing of the MOU between WRI and the National Development and Reform Commission of China followed by the WRI-NDRC Low Carbon Development Workshop
- a Mission, Values, Approach Training session for new WRI employees, and
- a WRI All-Staff meeting replete with skit by senior staff poking fun at WRI’s rigorous and lengthy publication review process.

Next time: Attendance at one or more WRI-sponsored or co-sponsored meetings would be useful to gain a better understanding of the dynamics between WRI and some of its key partners.

3. WRI meetings

The ERT had an extensive series of meetings with WRI staff. Many of these sessions were program briefings of various sorts as well as briefings on key administrative functions (administration, communications, development, research & publications, managing for results etc.) Other sessions that proved particularly valuable included meetings with:

- the Director of Human Resources,
- six staff from Asia, Africa and Latin America (together), and
- a meeting with one of WRI’s longest-serving staff members along with WRI’s most recent hire to get a sense of how things had changed over time.

4. Interviews outside of WRI

These interviews proved to be invaluable. The sessions with a carefully selected subset of WRI Board members provided important insight at a macro level.

Next time: In addition to getting recommendations of people to contact at a project/program level, WRI should be asked to provide a list of senior-level peers in key partner institutions who will be able to comment knowledgeably about WRI at the Institute level. This suggestion links back to the discussion above about partnerships.

5. The Questionnaire

The ERT spent considerable time and effort preparing and sending out questionnaires. The majority of these went to key partners identified by the programs being reviewed as part of this External Review. Others were sent to former WRI employees and other key informants selected by the ERT. The questionnaires provided useful feedback, but there was a low return rate, particularly from WRI’s overseas partners. This is unfortunate, as their input is particularly important. Details on the process as well as copies of the questionnaires have been included in Annex E.

Next time: The questionnaire proved to be a useful way to gain a broader understanding of WRI’s work. The low return rate, particularly from overseas partners, highlights again the value of field visits where the External Review Team can go and meet partners on their own turf.

6. The India visit

The meetings with WRI staff in Mumbai and Delhi provided important insights both into how the process of establishing an in-country presence in India was going as well as triangulation on how “headquarters” is viewed from “the field”. It also

provided an opportunity to meet with several WRI partners on their own turf. While responses to a questionnaire can provide useful feedback on the state of WRI's all-important partnerships, there is no substitute for discussing this face to face. Three years from now both the China and India offices will have been up and running for a considerable period of time. In addition to looking at how operational and programming details have been working between the China, India and Washington DC offices (as well as Brazil, which should be up and running by 2015) we would encourage the team to assess the extent to which WRI has been able to evolve from its US, Washington DC roots into an organization that brings a global perspective to the issues that it is working on.

A concluding note on budget realism

The current Review was carried out with a constrained budget. All three members of the PSS Team have donated pro bono time to insure that the final product was as comprehensive and solid as possible.

There are several comparisons that WRI may wish to keep in mind for next time. One was noted in the PSS Inception Report:

"As a point of comparison, External Reviews of the Centers of the Consultative Group for International Agricultural Research (CGIAR) generally follow the pattern of an initial one week visit by a team of 4-5 evaluators that produces a review methodology and an inception report followed by a second visit of several weeks duration by the full team to conduct the review."¹⁸⁸

CGIAR Centers are mostly around the size of WRI with annual budgets ranging from \$20-50 million. The external reviews, conducted every five years, cost between \$250k and \$500k.

A second point of comparison: A consultant currently conducting a mid-term review of a \$6m European Commission-funded project being implemented by CIFOR has been given 62 days and will visit 4 countries.¹⁸⁹

¹⁸⁸ PSS. January 16, 2012. *Inception Report for the External Review of the World Resources Institute (WRI)*. p.5

¹⁸⁹ The PSS External Review of WRI has had 55 billable days and visited 1 country.