

Annex 8d – Level of Commitment and Action Tool

How to use this Guidance?

This guidance is the result of work by the PPA Team, Design & Impact Advisers, and external consultants but most importantly is based on consultation, testing and feedback by programme teams to-date. It is not intended that this is a final end-product: the intention is that teams take this guidance and core tool and feed back as to its usefulness or not in the programme context, towards further iterations/amendments as necessary. As is outlined in the later section on ‘moulding at the programme level’: it is to be encouraged that teams will take the generic tool and tailor it to reflect their specific programme and policy/practice context.

Where to use this Tool?

This tool is to be used for reporting to the following indicators in the PPA portfolio log-frame (and thus any programme-level indicators ‘feeding into’ these over-arching portfolio indicators, where relevant and logical to do so):-

- **Outcome 2, Indicator 2** – ‘levels of commitment and action by governments to policy frameworks and practices on adaptation, REDD+ and low carbon development, that are climate-smart, environmentally sustainable and designed to improve the well-being of poor men and women¹;
- **Outcome 3, Indicator 1** – ‘levels of commitment and action by banks and multi-lateral financial institutions to incorporate climate-smart, social and environment Best Practices into their policies and practices’;
- **Outcome 3, Indicator 2** – ‘levels of commitment and action by governments to ensure that social and environmental standards are integrated into development planning, trade and investment strategies’; and
- **Outcome 3, Indicator 3** – ‘levels of commitment and action by local and international companies to incorporate climate-smart, social and environmental Best Practices into their policies and practices’.

How to use this Tool?

Much of WWF’s work involves engaging with and influencing of government departments, private sector organisations, lending companies etc. to transform their policies and practices². Specific to the PPA³ is an interest in improving the pro-poor, sustainability (environmental and social) and climate resilience aspects of these policies

¹ These are the portfolio indicators as they stand at the time of drafting this guidance. It is important to note that the PPA Team is currently considering refining/simplifying these indicators further; therefore the indicator descriptions in the future may vary from that outlined here.

² For the purposes of this guidance, the definition of policy and practice is taken from the PPA Portfolio log-frame: ‘Policy is a document with official endorsement. Practice is an externally recognised way of working defined by the strategic approach’.

³ PPA = Programme Partnership Arrangement – a funding and performance partnership with the UK Department for International Development (DFID/UKAid)

and practices (where logical and practical) in order to achieve our desired impact. This involves either for example developing policies, standards, guidelines or practices (captured under the broad term of policies and practices) where they don't exist, or significantly improving/upgrading them to better reflect what WWF (and DFID) perceives to be 'good' practice/standards.

A potential way to track these shifts in policy/practice over time is to look at the levels of commitment and action towards change by key actors and organisations targeted (through advocacy/influencing by WWF/partners).

Definition of 'commitment and action' to improved policy and practice:

The extent to which targeted actors/institutions have: a) engaged in; b) adopted and/or c) implemented policies or practices which are more environmentally and socially sustainable, pro-poor and climate resilient.

Setting the Context

Undertaking a Stakeholder/Influencing 'Mapping' Exercise

A key precursor to using the tool, if not done already, is an initial stakeholder/influencing 'mapping' exercise (involving all team, partners, stakeholders and beneficiaries where relevant and possible) to assess the key actors/organisations to be targeted to influence a particular policy/practice outcome. If this has not been done already, this exercise should be helpful in terms of refining and revisiting strategic approaches to (and indeed progress in) advocacy/influencing work. In this sense this task should be a useful management and learning exercise and not simply an added burden.

The Commitment and Action tool would then be used in the context of assessing how WWF/partner engagement (this first level of influencing, 'engagement', is measured separately under the 'Level of Engagement Tool' to be covered under separate guidance) with particular targeted actors/organisations has led to key actions/commitments by them in the overall policy/practice process.

Determination and Qualitative Analysis of Policy/Practice Aims

An accompanying exercise, again if not undertaken already, to be undertaken in preparation for using this tool (and indeed for all influencing/advocacy work in general) is qualitative analysis of the policy/practice goals being aimed for (i.e. what is the standard of policy/practice at present regarding environmental sustainability, climate-smart and pro-poor aspects? How can this be improved? What particularly are we aiming for? What are the key steps to achieve this? How will we assess that qualitative standards have been met during the influencing process (i.e. at key milestones?)). Again, if not already carried out, this should hopefully serve as a useful exercise in evaluating existing influencing/advocacy aims and strategies. The tool, on this basis, can then be used in evaluating progress towards well-defined policy/practice aims, with procedures/plans in place to check qualitative standards are being met throughout the influencing process.

A Participatory Tool

The ideal way of using this tool would be to use it as a guide for a participative evaluation of programme progress against the key portfolio (or programme-relevant) indicators outlined earlier. Over the course of the programme, evidence should be gathered regarding key milestones/achievements in the influencing/advocacy process linked to key target actors/organisations.

Team members and key partners/stakeholders should review the evidence available and then a meeting/s or workshop should be held to discuss findings and agree on a rating for Commitment and Action. If partners (and other stakeholders where relevant/appropriate) are not involved at this stage, then at a minimum anecdotal evidence should be sought from them to substantiate and validate the ratings/level assigned.

The output of such a meeting would be the eventual 'rating' of commitment and action by key targeted actors. However, it is also useful to record the reasoning and process behind assigning the rating (e.g. particularly important points to note are: to be clear what particular targeted actors/organisations the actions/commitments refer to; key actions/commitments that led to and define the rating/level assigned). This 'record' (e.g. in the form of a summary table with a heading of key targeted actors/organisations, and brief list of key actions and commitments corresponding to rating/level assigned) should be stored for future evaluation purposes and also where relevant provided as a monitoring report annex.

This 'participative rating' would be done on a bi-annual or annual basis in line with PPA reporting periods. However, it may be useful for programmes to consider using the tool to keep a more regular 'check' on influencing progress, in terms of assisting with 'adaptive management' of such policy/practice influencing work.

An 'Evidence-based' Tool

The tool, as has already been mentioned, must draw on an evidence base to inform the assignment of levels/ratings. This evidence, as far as is practical and possible, must be gathered throughout the programme period from the start (in terms of setting the 'baseline') and throughout (in terms of regular monitoring so that progress against milestones/targets can be assessed). Previous work on 'Monitoring Advocacy' that is available within 'WWF Resources for Implementing the WWF Project and Programme Standards' has a useful Appendix to this end (Appendix 3), which details some ideas on the kinds of information programmes could collect to monitor advocacy/influence (e.g. campaign leaflets; workshop attendee registers; press cuttings where WWF/partners are mentioned in relation to policy/practice issue) and how this information could be stored and organised (e.g. media file; activities and events file; watching brief file).

This is not intended to be the sole responsibility of one person, and would need all team members/partners to take responsibility for monitoring and recording particular aspects. Where human, and indeed financial, resources are very limited a decision has to be made as to what is possible within the practical constraints faced by the programme. **Please note** however that it is not intended that every minute detail be recorded, focus should be on significant inputs and events.

To be used in combination with other evidence/MoV

The Commitment and Action Tool is not intended to be a standalone indication of the influencing process. As already mentioned, evidence will be required to be gathered to support this tool (e.g. anecdotal evidence from partners and target actors/organisations; surveys of stakeholders in policy/practice process), the use of other tools/MoV and wider evaluation during programme implementation. The scale used in the tool, even if used in

conjunction with maximum participation, does by its nature include an element of subjectivity. The 'rating' assigned therefore is a broad indication of progress and is to be used in conjunction with more detailed quantitative and qualitative evidence for evaluation purposes. In this respect, it also is important to note that the tool can only serve as a kind of '*proxy indicator*' for influencing by WWF/partners, and it is not intended that the actions/commitments outlined are deemed solely attributable to WWF/partners.

Guidance on 'Moulding' at the Programme Level

Naturally, it will probably make sense to 'tweak' and adapt this tool in order to make it more programme and context specific, especially in terms of the specific programme indicator/s being measured. In that sense, anything within reason that helps the applicability of the tool at programme level is encouraged. However, it must be borne in mind that programme level information is required to feed back in and be aggregated meaningfully at portfolio level. Therefore, extreme care must be taken not to alter what is being measured beyond usefulness in terms of aggregation across the portfolio.

As a basic rule, the specific word descriptors being used are not so important, but the number of the level of action/commitment being referred to at the programme level must correspond with the type of action/commitment described for that number of level in the generic tool. If in doubt, please consult the PPA team and/or Design and Impact Advisers on any alterations to the tool design prior to utilisation.

Capturing of the 'Process' in Policy/Practice Influencing and Making

On piloting of this tool with particular programmes, some of the feedback has been that the tool is too linear/sequential in nature, and that this does not reflect the true nature of policy/practice influencing and making processes (e.g. in terms of feedbacks and loops in such systems in reality). This tool is envisaged, as already indicated, to be used as one of a variety of means of evaluating influence on policy and practices. It may be that if a particular policy/practice in development is stalled, or scrapped, that the 'commitment and action' rating would be lowered for that particular programme reporting period. Reflections on and reasons for this would be captured elsewhere in more detailed data recording and reporting. If WWF/partners were able to exert influence to re-start the policy/practice process, then the rating would likely be raised for the next programme reporting period, and this would thus reflect the 'process' to some extent (again, in combination with more detailed data and report detail). The danger in adding too much detail to the tool in terms of feedback loops, etc. is that it would begin to become cumbersome/complicated to use, and aggregation would become challenging and risk losing meaning.

Limitations of the Tool

The tool has an inherent element of subjectivity, and also does not give a direct measure of only WWF-specific influencing impact: the policy/practice outcomes may be achieved through a variety of actors besides WWF/partners. Whilst it has been noted earlier that this is not the intention of the tool, the influence of other actors/organisations/networks outside of WWF/partners' sphere should be acknowledged as far as possible within detail provided in the programme database/records or relevant report. The element of subjectivity will be lowered if the tool is used in as participative a manner as possible, and key partners and other stakeholders/beneficiaries are involved as far as is practical and possible.

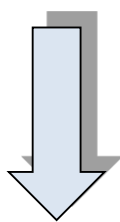
Another possible limitation raised when consulting with teams was that this is more directly and obviously applicable to the national influencing context, but becomes more difficult to apply in the international context in terms of assigning key tangible actions/commitments in a more complex multi-stakeholder international process. In this case, it may be possible for example to track actions/commitments by a particular network/lobby that WWF supports, but particular thought and effort is perhaps required regarding tailoring of this tool for international policy influencing and advocacy.

Important Note: - the commitment and action being tracked is not the full policy/practice development process *per se*, but the extent to which this process has been supported, improved and moved along by particular commitments and actions by targeted actors/organisations (i.e. targeted for influencing by WWF/partners). To be more exact: where there is **commitment** to integrating what WWF perceives as ‘good’ into these policies and practices (i.e. pro-poor, climate-smart and environmentally sustainable), and key actions resulting from this commitment that have significantly contributed to the overall policy/practice process.

Table 1: The Core ‘Commitment and Action’ Tool

Level of Commitment and/or Action ⁴	generic Examples of types of commitments/actions
<p>Level 0 – Passive</p> <p>Fairly ‘Passive’ in terms of commitment to the particular policy/practice issue in general</p> <p>No real interest in or focussed dialogue</p>	<ul style="list-style-type: none"> • No significant interest in or discussion about changing policies or practices; • Only limited engagement with general issues to date.
<p>Level 1 – Low</p> <p>‘Declaratory’ in terms of mostly verbal interest or commitment to issues/action shown at this stage.</p> <p>Engaging and exploring good practice⁵ (on a conceptual basis mostly at this point)</p>	<ul style="list-style-type: none"> • Demonstrating increased interest and/or knowledge of the issue; • Exploring, establishing or participating in new partnerships (with WWF/partners or others); • Agreement to participate in project, committee or attend a key event/training; • Significant discussion/dialogue with WWF and/or partner organisations around what constitutes ‘good practice’; • Identification/emergence of ‘champions’ (e.g. key political figures) for change
<p>Level 2 – Medium</p> <p>More active collaboration/co-operation, with more tangible commitments and actions in evidence</p> <p>Developing policies and practices for change (practical steps towards this end being in evidence, although in the earlier stages of the process)</p>	<ul style="list-style-type: none"> • Representation/support for WWF/partner position at key event/meeting; • Commitment to or conducting relevant research and studies (e.g. interest in learning from experience elsewhere); • Commitment to and/or initial development or revision of policies and practices to reflect good practice (e.g. targeted companies beginning to develop/revise standards, but limited implementation at this stage); • New methods, tools, guidelines, etc. being

Increasing Levels of
Commitment & Action



⁴ Levels of Commitment and Action by key targeted actors/organisations that WWF/partners are engaging with, as per the stakeholder/influencing mapping exercise (see ‘Setting the Context’ section of this guidance)

⁵ ‘Good Practice’ in the context of this tool and guidance is taken to be: policies and practices that are deemed to be ‘climate-smart, environmentally sustainable and pro-poor’ as far as is practical and possible.

	<p>advocated (as part of policy/practice influencing) by WWF/partners being trialled.</p>
<p>Level 3 - High</p> <p>Collaboration/influencing results in significant actions that move the policy/practice forward</p> <p>Procedures for change in place (process has gained some momentum)</p>	<ul style="list-style-type: none"> • Political/media prominence given to issue by ‘champions’, or other key actors who have been influenced by champions/players; • Commitment to or evidence that results from studies/research/trials have been integrated into policy or practice; • Policies and practices have been revised, updated or developed and are seen as an improvement by WWF (in terms of reflecting ‘good practice’); • Companies/governments implement standards or policy/practice, albeit perhaps weakly and inconsistently at this stage.
<p>Level 4 – Very High</p> <p>Collaboration/influencing results in significant change and key outcomes being achieved.</p> <p>Supported by investment of financial and human resources</p> <p>Procedures being implemented/rolled out</p>	<ul style="list-style-type: none"> • Revised/updated/new policies and practices being rolled out/implemented more robustly; • Increased investment (financial and/or technical capacity) in support of ‘good’ policy/practice and subsequent implementation.
<p>Level 5 – Impact</p> <p>Long term changes in policy and practice in evidence</p> <p>Evidence of ‘secondary’ impact of initial change (showing sustained commitment to the issue, e.g. initiation of related policy/practice initiatives or supplementary funding)</p>	<ul style="list-style-type: none"> • Evidence of ‘secondary’ policy and practice initiatives as a result of initial change/outcome; • Evidence of ‘secondary’ (additional/complementary) funding support as a result of change; • Evidence of impact at policy/practice level (e.g. sustained commitment in terms of resources and capacity) over time; • Sustained interest in issue/WWF position evidenced through media, public meetings, etc. where raised, and subsequent involvement of further actors/organisations.

Examples of Using the Tool To-Date

Please note that the tool used in the following examples was the original tool produced by Kate Studd. The portfolio tool presented in this guidance has been adapted and modified from the original version using feedback from teams and outcomes of testing of the tool conducted by the Design and Impact Adviser, amongst other materials/resources/knowledge.

WWF-Nepal's Version of the Commitment and Action Tool

WWF-Nepal found the Level 0 an unhelpful level to note/monitor in their context, so for Nepal purposes this will not be used. The word descriptors for the levels were altered slightly from the original tool (i.e. 'weak' to 'low' for Level 1). Level 5 was seen as redundant as 'organisations working at Level 4 will always produce an impact – an impact is not a commitment'. The detail in the examples column has been particularly tailored to context and programme-specific issues (e.g. 'Allocation to fund from government and government access to fund (PPCR and other)' in place of the more generic 'increased investment in terms of resources and capacity-building by organisation to ensure good practice').

As outlined earlier in the guidance, as long as it is clear what these programme-levels 'match to' at the portfolio/generic tool level, then this type of 'tailoring' makes the tool easier to apply at the programme level whilst allowing aggregation at portfolio level.

Table 2: WWF-Nepal Version of Original Tool

Level of Commitment	Example
LEVEL 0 – Insignificant	<ul style="list-style-type: none">N/A
LEVEL 1 – Low Engaging and Exploring good practice	<ul style="list-style-type: none">Exploring and establishing or participating in new partnerships;<ul style="list-style-type: none">LOI shared between the partners;Government line agencies are interested to understand good practices from other countries;Discussion / dialogue with WWF and/or partner organisations around what constitutes good practice.
Level 2 - Medium Developing policies, guidelines, practices for change	<ul style="list-style-type: none">MoU/SoC signed: Between Government and WWF Between partners and WWF;Conducting relevant research and studies;Policies, guidelines, standards (etc.) in development or being updated to reflect good practice (pro-poor, climate smart, socially environmentally sustainable, social inclusion);

	<ul style="list-style-type: none"> • New methods and tools in development.
Level 3 - High Procedures for change in place	<ul style="list-style-type: none"> • Appropriate institutional mechanism set up and budget allocated for implementing MoU/SoC; • Evidence that results from studies/research have been linked with practice in selected sites or as appropriate; • Methods and tools applied; • Allocation of fund from government and government access to fund [PPCR (Pilot Program for Climate Resilience) and other].
Level 4 - Very High Procedures being implemented rolled out	<ul style="list-style-type: none"> • MoU/SoC implemented; • Increased investment (financial, technical capacity) in pro-poor/ environmentally sustainable/climate-smart work; • Mobilisation of resources (human, finance, institutional) according to plan and policies.
LEVEL 5: Impact	<ul style="list-style-type: none"> • N/A

WWF-Colombia's Version/Supplementary Tool

WWF-Colombia have a complementary policy influence/advocacy tracking tool, 'Annex 4', which they used to inform and adapt the Commitment & Action Tool for the Colombia context with the support of the Design and Impact Adviser. The Colombia team did, in contrast to the Nepal team, find Levels 0 and 5 useful in their context. The word descriptors for levels were again changed from the original tool (e.g. 'strong' and 'very strong' altered to 'high' and 'very high' – this has now been utilised in the latest version of the portfolio tool presented in this guidance). Descriptions of actions/commitments relating to the particular levels were again altered for the Colombian context.

Table 3: WWF-Colombia Version of Original Tool

Level of Commitment/Action	Government/Institutional Project Partnership – Annex 4
LEVEL 0 – Insignificant	<ul style="list-style-type: none"> • No obvious support for the project
LEVEL 1 – Basic Engaging and	<ul style="list-style-type: none"> • Government/public institutional behaviour, through its statements and actions, is exhibiting ownership and commitment to the project during design and implementation

Exploring good practice	
<p>Level 2 - Medium</p> <p>Developing policies, guidelines, practices for change</p>	<ul style="list-style-type: none"> Government/public institutions are formulating and implementing quality policies, legislation, regulations, institutional reforms, etc. and/or providing counterpart funding supportive of the WWF project in a timely way
<p>Level 3 – High</p> <p>Procedures for change (e.g. guidelines) in place</p>	<ul style="list-style-type: none"> Government/public institutions are providing political and counterpart management support for the WWF project
<p>Level 4 - Very High</p> <p>Procedures being implemented/ rolled out</p>	<ul style="list-style-type: none"> Government/public institutions have the necessary capacity (staff, knowledge, administrative, financial) to conduct its work as a project partner
LEVEL 5: Impact	<ul style="list-style-type: none"> Government/public institutions continue to support the project initiative after WWF has withdrawn its support

Diagram 1: Overview of How to Use the Commitment and Action Tool

