
Logframe Report

Financial Year 2015-2016

September 2016

Executive Summary

The ESPA programme has performed well against the indicators in the Logical Framework. The programme has already achieved 42% of the 2017 targets and is steadily progressing against the other targets and is expected to achieve 84% of all the targets by 2017. Action is proposed in this Logframe report to ensure progress is made against targets at risk.

The Logical Framework underwent a revision last year to streamline monitoring and reporting and the programme is delivering well against all three logframe outputs and is making good contributions towards the programme's outcome "**to positively influence end users and decision makers through the generation of cutting edge evidence on ecosystem services, their value, and links to sustainable development.**"

The programme has already met its 2017 target for ESPA research to influence policy and practice at national, regional and international levels. Examples this year include supporting the improvement of water quality and food security in Latin America, which have strong replicability in Africa, whose implementation in these contexts is also being facilitated by ESPA research. In addition the ESPA programme has already doubled its initial investment by contributing to over £80m of new research and development investments including informing and responding to the £4m DFID-NERC funded "Understanding the Impacts of the Current El Niño" research programme as well as feeding into two USAID conservation interventions in Tanzania with the combined value of nearly \$30m.

The ESPA programme is continuing to excel in delivering high quality, interdisciplinary scientific research (**Output 1**) as shown by the substantial increase in peer reviewed journal articles, nearly 80% of which are multi-disciplinary, and high citation rates that have doubled in the last year illustrating that the programme is now entering a very significant phase of academic output and potential impact. The ESPA programme has substantially exceeded expectations which is reflected in a new indicator that shows citations of ESPA's journal articles far exceed the global average for environmental science reported by ISI / Web of Science in all of the years between 2009 and 2016, as well as exceeding the average citation rates of journal articles produced by comparable research programmes. The programme has also significantly improved open access rates reaching nearly 70% this year.

The ESPA programme continues to perform well in facilitating the demand and uptake of ecosystem services for poverty alleviation research (**Output 2**). There has been a notable improvement this year including ESPA researchers presenting their evidence at a number of international fora led by, for example, the World Bank, the Convention on Biological Diversity (CBD) Secretariat and the United Nations Environment Programme (UNEP). However, the programme remains in danger of not achieving its target. The report outlines a number of actions that should address this.

The programme also continues to perform well in relation to the way that developing country researchers are empowered and contribute to putting research into use to link ecosystem services and poverty alleviation (**Output 3**). There are high levels of developing country participation in ESPA projects (nearly 50%) and most major research projects have significant representation in the team leading the research. There are good levels of developing country authorship of publications but this is one area where the programme could seek to substantially improve. However, the programme's developing country researchers are significantly contributing to putting research into use and engaging in advisory capacities in international, regional, and national decision-making forums. In particular, a number of developing country researchers presented evidence from their ESPA projects at the UN Conference on Climate Change (COP21) in Paris in November.

The report highlights a number of areas where the programme may fail to achieve the existing 2017 targets namely achieving the 100% open access target and the targets for developing country authorship by the end of the programme. The report includes recommendations on how these may be addressed by the end of programme.

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1 Introduction

- 1.1.1 The ESPA Logical Framework was revised in 2016 to reflect recommendations made at the DFID Annual Review 2015. Indicators repeated at the Output level have been removed and a number of indicators have been merged to streamline monitoring and reporting. An additional indicator has been added to provide a better measure of the value of research. Progress for FY 2015/16 has been measured against this revised Logframe.
- 1.1.2 ESPA's Logical Framework has milestone targets set for 2013, 2015, and the planned conclusion of the programme in 2017. There are no milestones for 2016. This report assesses expected achievement of the 2017 target based on 2016 data.
- 1.1.3 During 2015, the RCUK reporting system used for ESPA migrated from the Research Outcomes System (ROS) to a new unified system, Researchfish. A mapping process was conducted in 2015 to ensure that all relevant reported data were being captured in ESPA's systems. Despite the preparatory work conducted by the Directorate to accommodate the transition, the Directorate has had to continue to invest significant time and resources this year to ensure data have been effectively captured by ESPA's monitoring systems.
- 1.1.4 Data for each of the indicators used in this report come from two main sources: (1) ResearchFish managed by Research Council UK (RCUK) on behalf of all UK Research Councils; (2) ESPA reporting systems for projects managed by the ESPA Directorate
- 1.1.5 This year, the Directorate has not requested supplementary reporting data from researchers (beyond biannual project catch up reports). However, the Directorate has noted that ESPA researchers continue to struggle with the new ResearchFish system, which may have led to underreporting in a number of significant areas. The Directorate will reinstate supplementary reporting to capture Logframe specific data.
- 1.1.6 A key role performed by the Impact team this year has involved the quality assurance of the data recorded in the Directorate's own management information system. The transition from ROS to ResearchFish has led to some duplication of outcomes making this process of quality assurance necessary. As this quality assurance process was not conducted last year, in some cases milestones for this financial year in the Logframe do not reflect the increase expected. Despite this, the programme continues to perform well again most indicators.

2013 Target	2015 Target	2017 Target
2013 target achieved: 90 %	2015 target achieved 85 %	2017 target already achieved 42%
2013 target not met 10 %	2015 target not met. 15 %	2017 target at risk 16 %

Table 1 Progress report against Output-level indicators

2 Logframe Revision

2.1 Introduction

- 2.1.1 During the DFID Annual Review (AR) it was agreed that “the DFID logframe should be further revised to ensure that this focuses specifically on DFID priorities and objectives and that some of the indicators and milestones that have proven notoriously difficult to monitor and measure be redrafted and recalibrated to allow for more streamlined monitoring.”
- 2.1.2 The suggested amendments also bring the Logframe in line with ESPA’s new Impact Strategy and Theory of Change.

2.2 Summary of changes

- 2.2.1 Duplicated indicators at the Output/Outcome level have been removed (3.2.3, 3.3.1, 3.3.2, 3.4.1, 3.4.2) and retained at the Outcome level only. Former indicators 3.3.1 and 3.3.2 were merged to streamline monitoring (now outcome level indicator O.2.1).
- 2.2.2 A new indicator has been added under Output 1 to measure the value of research using global average citation rates.
- 2.2.3 ESPA’s impact strategy was revised and published in March 2016. Minor adjustments were made to the Logframe, to more closely align with ESPA’s Theory of Change (ToC).¹ Namely, Output 2 indicators were moved to Output 1 and consequently Output 2 has been deleted. Also, some indicators have been redrafted and language has been amended to clarify scope.
- 2.2.4 Indicator 3.1.2 has been deleted as per the Annual Review due to ongoing difficulties in measuring against this indicator.
- 2.2.5 Former Output indicators 3.2.1 and 3.2.2 were merged to streamline reporting and monitoring (now Output indicator 2.1.2)
- 2.2.6 Targets were revised as per the 2015 Annual Review.

¹ ESPA Impact Strategy (revised 2016) is available [here](#).

3 Highlights from Logframe

3.1 Publications

- 3.1.1 ESPA continues to perform well above expectations. In August 2016², the programme had recorded 245 academic outcomes of which 201 were journal articles (86% have been published in ISI journals). This represents a 45% increase from last year. The large increase in publications can perhaps be attributed to the fact that most projects are entering their final phase of delivery and are now focusing their attention on publishing findings and ensuring research uptake.
- 3.1.2 The large increase in publications means that the ESPA programme has now met its 2017 target.
- 3.1.3 In addition to journal articles the ESPA programme has continued to produce a large amount of grey literature, such as books, book chapters, policy briefs, reports and conference papers. The Directorate will make these research outcomes also available once the ESPA website has been redeveloped to improve functionality and navigation (scheduled for completion by Jan 2017).
- 3.1.4 The Directorate has already acquired an ISSN number and set up a [working paper series](#), which provides a platform to share significant findings and learnings from ESPA research projects, which may not be suitable for publication in a peer-reviewed journal.
- 3.1.5 The ESPA Directorate will use these key academic findings and emerging thematic areas to develop a synthesis strategy for the programme which builds on the ESPA 2016 synthesis call.
- 3.1.6 The growth in academic publications reported by projects since the start of the programme is presented as Figure 1.

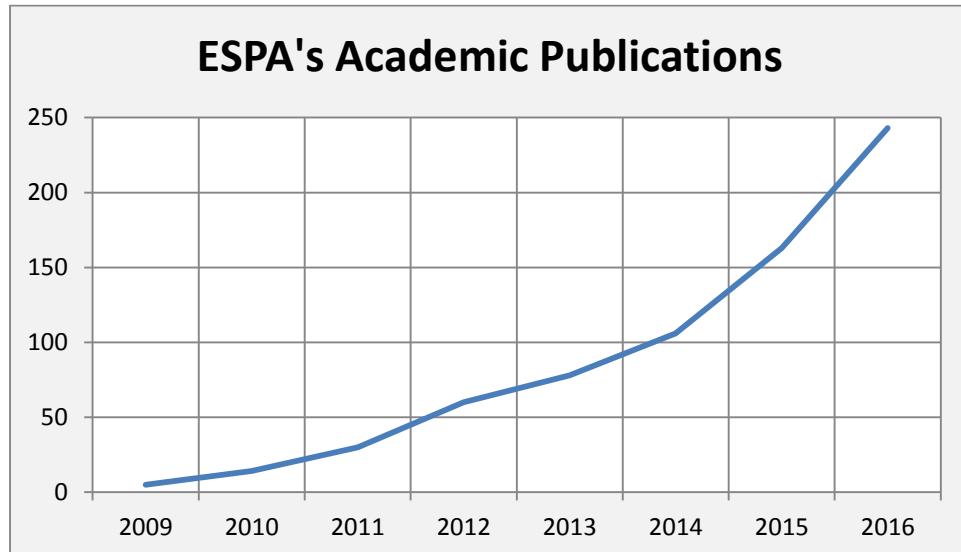


Figure 1 The growth of ESPA's academic publications since the start of the programme. (Journal articles, books and book chapters).

3.2 Citations

- 3.2.1 This is an area where the ESPA programme has excelled. Citations of ESPA publications have almost doubled from 1689 to 3135 over the last year indicating that the ESPA programme has entered a significant phase of academic output and potential impact.

² Data extracted 15th August 2016

- 3.2.2 In the recent revision of the ESPA Logframe, the programme set its 2017 target to an ambitious target of 5000 for 2017, which was extrapolated based on previous performance. The programme looks set to achieve this if citations continue to increase at the projected rate. This will represent one of the most significant achievements of the programme.
- 3.2.3 The Directorate has also created a new indicator to compare the citation rates of ESPA publications with the global average for environmental science research to allow an assessment to be made on the programme's research value.
- 3.2.4 Citations of ESPA's journal articles far exceed the global average for environmental science reported by ISI / Web of Science (WoS) in all of the years between 2009 and 2016, and there have been more than twice as many citations as the global average in most years.
- 3.2.5 In addition, in most years, according to NERC's own analysis, ESPA's citation rates exceeds the average citation rates for NERC papers in the same years.
- 3.2.6 It is clearly apparent that ESPA projects are producing academic papers that are highly topical and are more highly cited than would normally be expected for similar research.

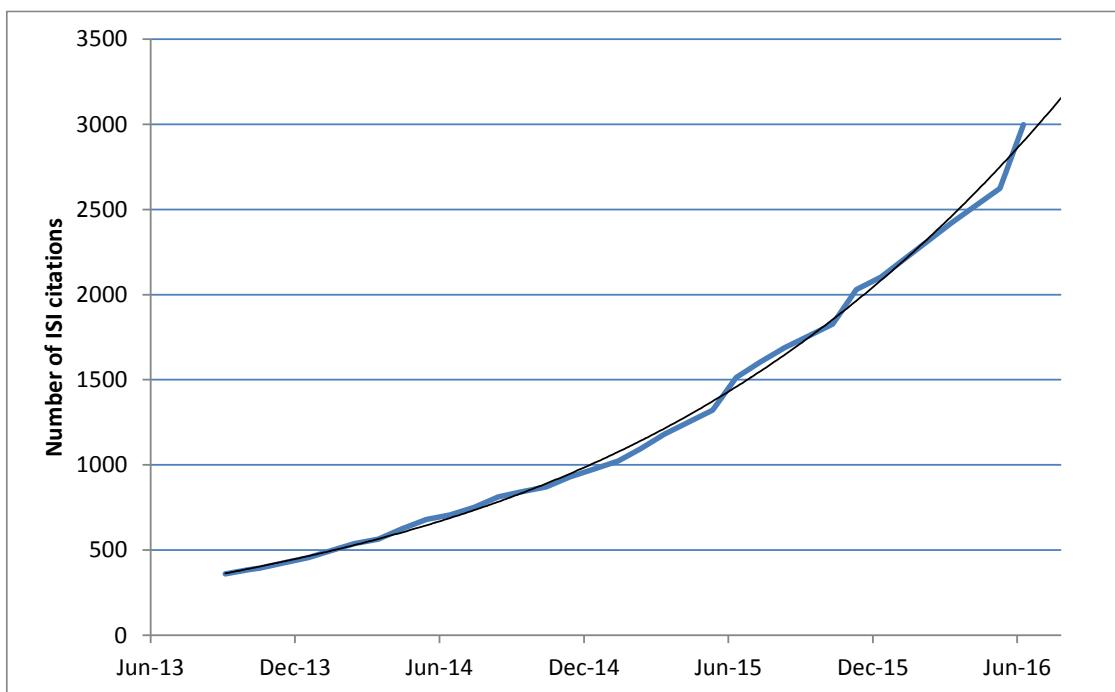


Figure 2 Trend in citations in ISI Web of Science for ESPA journal publications recorded since August 2013.

3.3 Scientific Contribution

- 3.3.1 The growth of ESPA's research publications over the last year has led to a significant expansion of the scientific narrative that the programme is building. A number of themes have emerged from recent ESPA publications such as: the links between Ecosystem Services (ES) and Livelihoods, particularly forest and agricultural ES; the impact of Climate change on ES and the role ES play in mitigation; new models and methods showing the complex relationships between ES and human well-being; as well as exciting insights on social-ecological systems, gender and health. The ESPA Directorate will use these key academic findings and emerging thematic areas to develop a synthesis strategy for the programme which builds on the ESPA 2016 synthesis call.

3.4 Open Access

- 3.4.1 The area of most significant positive change relates to open access publication. The proportion of publications published as open access since 1 July 2015 has increased to 67%.

17% more than last year. Across the programme as a whole 56% of publications are open access, with almost all of these in an ISI listed journal.

- 3.4.2 However, the ESPA programme is in danger of not meeting its 2017 target. There are a number of constraints, which are highlighted below including the fact that ESPA's funders provide a block grant to UK institutions only to cover open access publishing. Therefore if a project or project component is led by a non-UK institution, it will not be eligible for a block grant. Furthermore, due to this policy, UK institutions are not incentivised to allocate open access funding to papers whose lead author (or at the very least co-authors) are not affiliated with that institution. The implications of this are two-fold. The ESPA programme will struggle to achieve its targets both with regard to open access funding and developing country authorship.
- 3.4.3 Although the Directorate is unlikely to meet its 2017 target, the increase this year has been a very positive development and the 100% target will be retained as a key aspirational goal.
- 3.4.4 The ESPA Directorate captures and archives copies of all available publications, including most that are not open access, which are available to Directorate staff and ESPA's funders.

3.5 Multi/interdisciplinary

- 3.5.1 One of the ESPA programme's key goals is to lead the way in delivering cutting edge multi/interdisciplinary research. One of the indicators for this is assessing whether projects are publishing multi/interdisciplinary papers (the ESPA programme does not expect all publications to be multi/interdisciplinary, as single disciplinary publications are an important aspect of interdisciplinary ways of working)
- 3.5.2 This year represents a significant achievement where all of the projects in the main research calls (ESPA Programme Framework Grants (2010) onwards) have published at least one interdisciplinary paper. Last year only 67% of ESPA 2012 projects had published multi/interdisciplinary research, which rose to 100% this year. By the end of last year all of the 2013 projects had already produced interdisciplinary papers, despite being younger than the 2012 projects. This is perhaps a reflection of the fact that the 2013 projects were smaller and more focused making it easier to conduct interdisciplinary research.
- 3.5.3 Across the programme as whole, nearly 80% of academic papers are multi-disciplinary, which also represents a significant achievement.
- 3.5.4 The ESPA programme has shown that interdisciplinary science is highly valued as demonstrated by high citation rates, and can have significant value.
- 3.5.5 Important lessons are emerging from the ESPA programme on the costs and benefits of multidisciplinary research and the Directorate will seek to synthesise these before the end of the programme.

3.6 Contributions of developing country researchers³

- 3.6.1 The programme continues to record significant contributions from developing country researchers, who currently make up around 50% of the 916 individuals from 52 countries who have worked with ESPA.
- 3.6.2 However unfortunately there has been a slight decrease from last year in the contribution of developing country authors, both as a lead author (Indicator 3.2.2 – 22.8%) and as any author to ESPA publications (Indicator 3.2.1 – 60%). The Directorate is committed to ensuring that projects are aware of their obligations to involve partners in publications and the importance this carries for enhancing the impact of their work. The importance of co-production has been highlighted, for example, in ESPA's recently revised impact strategy and in two impact capacity strengthening events run by the Directorate.

³ Defined as either a developing country national or working for a developing country institution. Multi-national institutions with in-country offices categorised as "other" (e.g. UN country offices).

- 3.6.3 However, the Directorate recognises that further progress against this indicator requires both culture change and institutional change.
- 3.6.4 Despite the lack of reflection of DC contribution in the authorship of ESPA publications, ESPA continues to perform well in relation to the way that the programme's developing country researchers are contributing to putting research into use and engaging in advisory capacities in international, regional, and national decision-making forums (Indicator 3.3.1). The programme is doing well against this indicator and is on target to exceed the 2017 target. In particular, a number of developing country researchers presented evidence from their ESPA projects at the UN Conference on Climate Change (COP21) in Paris in November.
- 3.7 Influencing development and new research**
- 3.7.1 Significant progress has been made in these areas in the last financial year. The ESPA programme has already informed new investments with a total value two times larger than the UK Government's initial investment in ESPA.
- 3.7.2 In particular, two ESPA projects have received supplementary funding from NERC's urgency grant to work together to address some of the problems arising from El Niño in particular seeking to evaluate its effects on corals and possible lag effects on fish and fisheries. Early results suggest that corals are evolving to higher sea temperatures and have considerable adaptive potential, although this is true only for some types of coral. The team will conduct further research to assess how El Niño is affecting human wellbeing and impacted communities.
- 3.7.3 In addition, a new £4m research programme on "Understanding the Impacts of the Current El Niño Event" funded by DFID and NERC has awarded grants to 3 major research projects that can be linked to ESPA. According to Dr. Simon Kurley, Head of Terrestrial Science at NERC, ESPA's thinking contributed in a general way to the development of the programme. In addition, the existence of ESPA ensured there was a strong academic community operating in Overseas Development Assistance (ODA) listed countries suffering the impact of El Niño that was capable of delivering both NERC and DFID outputs and consequently NERC and DFID would be in a position to deliver the programme in the short time available to do so.
- 3.7.4 The programme is also influencing development funding. ESPA research findings have been taken up and applied by two major USAID funded conservation interventions in Tanzania: the \$14.5 million PROTECT anti-poaching project, and the \$12 million livelihoods project spearheaded by The Nature Conservancy (TNC). In addition, a \$1.3 million investment from the Inter American Development Bank (IADB) is building on ESPA results and extending the Reciprocal Watershed Agreements (RWA) Model developed by the ESPA project further to seven municipalities in the Chaco Tarijeño in Bolivia. Yuri Soares, Chief of the Market Innovation Lab Unit of the Multilateral Investment Fund (MIF) of the Bank, blogged about how this project (<http://www.fomin.org/en-us/Home/FOMINblog/Blogs/PID/13850/authorid/185/AuthorName/Yuri-Soares.aspx>) would build on the results of the ESPA-funded Randomised Control Trial (RCT). Most interestingly, three IADB staff wrote the blog and seem to have appropriated the RWA model as their own—giving great potential for ESPA research to have Bank-wide impact.

4 Proposed Actions for Over/Under Achieving Indicators

4.1 Introduction

- 4.1.1 In the last Logframe report, the Directorate identified a number of indicators that were either over- or under-performing and as per discussions in ESPA's DFID Annual Review, some targets were revised to reflect more ambitious or achievable goals.
- 4.1.2 While this process resolved most of the issues, the ESPA programme continues to exceed expectations on a number of indicators while underperforming on others. This is partly impacted by two processes that have taken place this financial year.
- 4.1.3 Firstly reporting processes have changed. The reporting system used by the Research Councils has changed from ROS to ResearchFish. Researchers are still adjusting to the system and there may be a degree of underreporting still occurring. In addition, the Directorate did not request researchers to submit supplementary reporting this year to reduce the burden of reporting, which may have resulted in further underreporting. Secondly, the impact team within the Directorate has conducted a light touch quality assurance process to improve the quality of reporting and to ensure duplicated outcomes that may have occurred during the transition process from ROS to ResearchFish were removed. This process has revised downwards the data for a number of indicators. However, more rigorous quality assurance may be undertaken.
- 4.1.4 The Directorate makes the following suggestions for over-performing/under-performing targets.

4.2 Proposed actions for the “over-performing” indicators

- 4.2.1 The ESPA Directorate is proposing the following amendments.

Indicator	Commentary	Proposed Action (Practice and Indicators)
O.1.1 ESPA research outputs reflected in national, regional or international development policies and practice at a national, regional, or international level	The programme has already achieved the 2017 target.	The Directorate proposes further quality assurance to occur on this indicator. Once this has been completed a more ambitious target will be suggested
O.2.1 Value of new investment in ESPA-related research provided by agencies outside of the ESPA partnership.	The programme has already achieved the 2017 target. This metric was duplicated in Output indicators 3.3.1 and 3.3.2 but now sits in an aggregated form at the Outcome level only.	No action suggested. The programme has informed ESPA related research funding that exceeds the value of funding for the ESPA programme, this was the main target for the programme and represents a significant achievement. The programme is expected to continue to further inform research funding. However it is hard to predict the increase. A revised target is not suggested as the original target represented an appropriate and ambitious target.

Indicator	Commentary	Proposed Action (Practice and Indicators)
O.2.2 Development activities or investments informed by or utilising ESPA research.	The programme has already achieved the 2017 target. This metric was duplicated in Output indicator 3.4.1 but now sits at the Outcome level only.	No action proposed. The programme has informed development activities and funding that exceeds the value of funding for the ESPA programme, this was the main target for the programme and represents a significant achievement. The programme is expected to continue to further inform development funding. However it is hard to predict the increase. A revised target is not suggested as the original target represented an appropriate and ambitious target.
O.2.3 Number of Payment for Ecosystem Service (PES) or equivalent schemes informed by ESPA research.	The ESPA programme has already achieved the 2017 target of 10 PES schemes.	No action proposed. This is an indicator that may benefit from the collection of additional supplementary reporting and more rigorous quality assurance. The Directorate proposes no action to be taken until these activities have been undertaken.
1.2.1 Total number of journal articles attributed to ESPA projects.	The programme has significantly already reached the 2017 target.	The number of publications increased steeply by 45% over the last financial year. The Directorate forecasts a similar growth next year as the programme comes to a close and based on this, proposes a target of 290 publications.
1.2.2 Number of other research outcomes (books, book chapters, briefing papers, conference papers, grey literature).	The target for this indicator was revised in the Logframe revision. However, the programme continues to overperform on this indicator and is projected to exceed the 2017 target of 600.	The Directorate proposes that the indicator is refined to clarify scope in parallel with work undertaken to ensure ESPA's grey literature is made available online. Following this activity, the Directorate will propose an appropriate revised target.
1.2.4 For each project that has published journal articles at least one is of a multi-/interdisciplinary nature	The ESPA programme has already achieved the 2017 target of 70%.	No action proposed. All projects in the main funding calls, have already published at least one interdisciplinary paper. The programme is also publishing a high number of interdisciplinary papers across the programme as a whole around 80%. The Directorate may consider adding an additional indicator measuring the number of interdisciplinary papers produced by the programme as a whole, seeking to maintain the 80% goal.

Indicator	Commentary	Proposed Action (Practice and Indicators)
1.3.2 Global average citation rates of journal articles from ESPA projects published from 2009 to 2015	The Directorate created this new indicator to allow the comparison of the citation rates of ESPA publications with the global average for environmental science research. The ESPA programme has already exceeded the global average in all of the years between 2009 and 2016.	The Directorate proposes the retaining of this indicator and targets, which critically enable assessment to be made of ESPA's research value. The Directorate will consider collecting data which allows the comparison of ESPA citation rates with the citation rates of other Research Councils (such as NERC). The Directorate will explore the ease by which this data can be collected.
2.1.1 ESPA projects engaging in knowledge exchange: Number of impact-related records reported to ROS.	A new target was suggested in the recent revision of the Logframe. However, the programme has already exceeded this revised target.	The Directorate proposes that the indicator is refined to clarify scope and that a process of quality assurance is undertaken. Following this activity, the Directorate will propose an appropriate revised target.
3.1.2 Proportion of cost allocated to developing country researchers as shown in project applications.	The programme has already exceeded its 2017 target.	No action suggested. The majority of projects have already been allocated so the Directorate does not expect to see significant change up to 2017.

4.3 Proposed actions for indicators that are currently under performing

- 4.3.1 There are a small number of indicators where the programme's performance needs to improve. These are listed below:

Indicator	Commentary	Proposed Action (Practice and Indicators)
1.2.3 Percentage of total journal articles published as open access.	<p>The programme has significantly improved against this indicator at 67% but remains substantially below the target of 100%. ESPA funders are aware of the constraints that relate to:</p> <ul style="list-style-type: none"> a) Institutions not included in the RCUK block grant for open access. b) Early ESPA projects including specifically the ESPA-2011 projects which pre-date the current policy. 	<p>The ESPA Directorate will continue to explore alternative approaches such as through enhancing access to "Green" open access using institutional document repositories. The ESPA Directorate made little progress on this last year due to competing priorities and limited resources.</p> <p>The Directorate will also continue to encourage discussions among the funders to resolve the constraints identified.</p>

Indicator	Commentary	Proposed Action (Practice and Indicators)
2.1.2 ESPA Directorate and researchers contribute evidence to national/regional/ international processes, panels and committees of policy relevance	Improvement on this indicator has been seen over the last year. However, the programme is still in danger of underachieving on this indicator by 2017. This partly reflects the process of quality assurance undertaken by the Directorate to remove duplication between former outputs 3.2.1 and 3.2.2 to enable the aggregation of the two outputs (now indicator 2.1.2) as requested at the Annual Review in 2015. In addition, there may be a significant degree of underreporting against this indicator.	The Directorate proposes retaining the 2017 indicator. In addition, the Directorate will seek to improve reporting for this indicator by manually extracting relevant data from reporting submitted biannually by projects (this is ESPA-led and separate to ResearchFish reporting). The template for these reports was modified by the impact team last year to improve the collection of data on research into use and policy influencing activities. This will enhance the collection of data against this indicator.
3.1.1 Percentage of projects with developing country researchers listed in project applications, disaggregated by call.	The programme achieved 94% against this indicator in 2015, slightly below the 100% target.	No action suggested. The majority of projects have already been allocated so the Directorate does not expect to see significant change up to 2017 (the nature of the ESPA-2016 round means that data collected from the proposals is inappropriate for this indicator).
3.2.1 Percentage of academic papers attributed to ESPA with developing country (DC) authorship.	The 2017 target for this indicator was reduced from 80% to 70%. However, the ESPA programme continues to underperform on this indicator.	The Directorate will remind the projects of the importance of DC authorship and support this indicator as part of the Directorate's impact operational strategy.
3.2.2 Percentage of publications attributed to ESPA with a developing country lead author.	<p>The 2017 target for this indicator was reduced from 45% to 35%. However, the ESPA programme continues to underperform on this indicator.</p> <p>An important constraint for achieving this target is academic institutions will only allocate Open Access funds if one of their academics is the lead author for a paper.</p>	<p>The Directorate will remind the projects of the importance of DC authorship.</p> <p>As with 3.2.1, further progress against this indicator requires both culture change and capacity strengthening for ESPA researchers and will be supported by the ESPA impact team.</p>

5 ESPA Logical Framework Reporting: Financial Year 2014-15

5.1.1 The report provides details of all indicators with their relevant targets for 2013, 2015 and 2017, along with a report on progress against each target with data from 2013 and 2015 and 2016.

Outcome: To positively influence end users and decision makers through the generation of cutting edge evidence on ecosystem services, their value, and links to sustainable development.							
Indicator	2013 Target	2015 Target	2017 Target	2016 Narrative	2013 Report	2015 Report	2016 Report
O.1.1 ESPA research outputs reflected in national, regional or international development policies and practice at a national, regional, or international level	1	8	20	<p>The wording of this indicator has been changed to include changes in practice as well as policy.</p> <p>This metric was duplicated in Output indicator 3.2.3 in the previous Logframe but now sits at the Outcome level only.</p> <p>Examples of ESPA research influencing policy this year include the development and implementation of PES protocols that have led to more than 30 municipal governments in the Andes, one state government and the Bolivian national government developing new forest conservation and climate change adaptation and mitigation legislation. ESPA research has also contributed to updating the Regional Concerted Development Plan of Ucayali, Peru which is a key policy instrument guiding development in the region up to 2021.</p> <p>In Colombia, ESPA research is influencing policy and practice as ESPA data is being used to design new food security guidelines to support the development of a food security strategy for communities living in the Lower Caquetá River, which will be presented to the regional authorities of the Department of Amazonas.</p>	7	19	21



A research programme co-funded by DFID, NERC & ESRC and accredited by LWEC

O.2.1 Value of new investment in ESPA-related research provided by agencies outside of the ESPA partnership.	£2 m	£30 m	£41 m Co-financing of espas research: 1m External ESPA related research funding: 40m	This metric was duplicated in Output indicators 3.3.1 and 3.3.2 but now sits in an aggregated form at the Outcome level only. Target and actual values presented for this indicator will be disaggregated by type of funding secured i.e. co-financing for ESPA research or external funding for ESPA-related research. The programme has performed well on this indicator. In particular, supplementary funds of £125K were provided to two ESPA projects as part of NERC's rapid response grant to address the problems associated with El Nino. The suggestion for the proposal was brought up at the projects' biannual reporting meeting and was conveyed to NERC by the Directorate. Also, 3 additional major grants under NERC's El Nino call can be linked to ESPA projects. ESPA research is also feeding into a half a million pound ESRC-DFID project "Measuring complex outcomes of environment and development interventions" and a number of ESPA researchers are now participating in research funded by the DFID-IDRC Collaborative Adaptation Research Initiative in Africa and Asia (CARIAA) programme, which closely follows on from their ESPA research.	£20.9 m	£37.7 m	£40.8 m Co-financing: £1.4 m External ESPA research: £39.4 m
O.2.2 Development activities or investments informed by or utilising ESPA research.	£2 m	£30 m	£40 m	This metric was duplicated in Output indicator 3.4.1 but now sits at the Outcome level only. ESPA research findings have been taken up and applied by two major USAID funded conservation interventions in Tanzania: the \$14.5 million PROTECT anti-poaching project, and the \$12 million livelihoods project spearheaded by The Nature Conservancy. A \$1.3 million investment from the IADB is building on ESPA results and extending the Reciprocal Watershed Model further to seven municipalities in the Chaco Tarijeño in Bolivia.	£16.3 m	£32.6 m	£40.9 m



A research programme co-funded by DFID, NERC & ESRC and accredited by LWEC

O.2.3 Number of Payment for Ecosystem Service (PES) or equivalent schemes informed by ESPA research.	2	5	10	The growth in the number of PES schemes influenced by ESPA over the year has been as a result of scaling out from earlier schemes in East Africa and South America to include new countries or contexts.	3	10	10
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Output 1: A high quality, multi/ interdisciplinary ⁱ and extensive body of knowledge on ecosystem services, their dynamics and human use generated.							
Indicator	2013 Target	2015 Target	2017 Target	2016 Narrative	2013 Report	2015 Report	2016 Report
1.1.1 Annual review of strategy documents identifies gaps and opportunities that shape ESPA Programme focus.	Annual review complete.	Annual review complete.	Annual review complete.	The ESPA Impact strategy was revised and published in March 2016. The Impact strategy supersedes the previous ESPA Impact strategy as well as the communications and research into use and capacity strengthening strategy.	Annual review complete.	Annual review complete.	Annual review complete
1.2.1 Total number of journal articles attributed to ESPA projects.	20	100	200	The ESPA programme has achieved a significant milestone in its scientific output and impact producing over 200 journals, nearly 1.5 times as many as last year. 86% of the articles have been published in ISI, an increase of 8% from last year. -	66	138	201



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1.2.2 Number of other research outcomes (books, book chapters, briefing papers, conference papers, grey literature).	20	300	600 Target increased as per AR 2015	The ESPA website is being redeveloped to improve functionality and navigation while modernising the look and feel of the site to enhance dwell times, encourage return visits and improve the experience for end users of science and research. This work will support the transition towards a legacy website once the programme closes. Once this work has been completed, relevant grey literature, such as books, book chapters, policy briefs, reports, conference papers and working publications will be uploaded and organised appropriately on the website.	50 (2014 = 104)	6 books 19 book chapters 312 other publications 337 Total	9 books 34 Book chapters 529 other publications 572 Total
1.2.3 Percentage of total journal articles published as open access.	25% since start of the programme.	50% since previous milestone.	100% since previous milestone	The proportion of publications published as open access since 1 July 2015 has increased to 67%. Although ESPA is unlikely to meet its 2017 target of 100%, this represents a significant improvement for the programme. The problems with funding open access in non-UK organisations and to a target of 100% compliance is an issue that is not specific to ESPA and outside the control of ESPA (Note: RCUK policy has a target of 53% compliance via the 'gold' or 'green' route by 2015 and 100% by 2018).	50%	50% since 1/4/2013 50% since start of programme	67% 1/7/2015 56% since the start of the programme
1.2.4 For each project that has published journal articles at least one is of a multi-/interdisciplinary nature Previously output 2.2.1	25% of total projects	60% of total projects	70% of total projects	ESPA was designed as a programme requiring multi or interdisciplinary research. This is assessed by the proportion of projects within each of the main research rounds which have published at least one paper that has been assessed as being multi or interdisciplinary (social and natural sciences). The programme has exceeded the 2017 target (based on existing research rounds) - all of the main research projects in each of the project rounds are producing multi/inter-disciplinary papers. In particular, all 2012 projects have now produced at least one interdisciplinary paper, which is an improvement from last year. Across the programme as whole, 79% of academic papers are multi-disciplinary, which is a significant achievement.	PPD 25% PFG` 83%	SRC 89% PPD 86% PFG 100% ESPA-2011 100% ESPA-2012 67% ESPA-2013 100%	SRC 89% PPD 89% PFG 100% ESPA-2011 100% ESPA-2012 100% ESPA 2013 100%



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1.3.1 External citations of ISI journal articles from ESPA projects in research publications.	2	600	5000 Target changed as per AR 2015	ESPA continues to perform extremely well against this target. ESPA citations have doubled since last year. The programme has revised its targets regularly since the start of the programme and an ambitious target of 5000 for 2017 was set in the recent revision of the Logframe. The programme looks set to achieve this if citations increase at the projected rate. This will represent one of the most significant achievements of the programme.	322	1,689 ⁴	3135 ⁵
1.3.2 Global average citation rates of journal articles from ESPA projects published from 2009 to 2015 New indicator	n/a	n/a	Matching global average citation rates from environme ntal science between 2009 – 2017 reported by ISI/ Web of Knowledge in 2017 2009: 18 2010: 16 2011: 12 2012: 9 2013: 6 2014: 3 2015: 1 2016: 0	The Directorate has created a new indicator to compare the citation rates of ESPA publications with the global average for environmental science research, using the data capture system set up by the Directorate. This indicator enables an assessment to be made on the programme's research impact. Citations of ESPA's journal articles far exceed the global average for environmental science reported by ISI / Web of Science in all of the years between 2009 and 2016, and there have been more than twice as many citations as the global average in most years. In addition, in most years, according to NERC's own analysis, ESPA's citation rates exceeds the average citation rates for NERC papers. It is clearly apparent that ESPA projects are producing academic papers that are highly topical and are more highly cited than would normally be expected for similar research.	n/a	n/a	2009: 49 2010: 23 2011: 20 2012: 56 2013: 15 2014: 10 2015: 6 2016: 1

⁴ Data extracted on 1st September 2015

⁵ Date extracted 19 August 2016



1.4.1 Number of models/ tools/ datasets/ frameworks that support decision-makers to deliver evidence-based policy and investment decisions Previously output 2.1.1	ESPA Directorate provides guidance	5 new tools/ models/ framework from ESPA projects	65 new framework , methods, tools and models from ESPA projects: 30 models 15 tools and datasets 20 methods/fr ameworks Target changed as per AR 2015	<p>This indicator was relocated from Output 2 (formally 2.1.1) to Output 1. The target was revised upwardly to reflect the large increase in methods, tools and frameworks produced by the programme. The 2016 milestone is lower than the 2015 milestone as this indicator was quality assured by the impact team to ensure accuracy. The data was also disaggregated to distinguish between datasets/tools and methods/frameworks. The revised number still exceeds the original target and reflects the growing innovation in the programme.</p> <p>New outcomes include the finalisation of the Delta Dynamic Integrated Emulator Model (ΔDIEM) by the ESPA Deltas project, which is providing new insights into the current and future status of the Ganges Brahmaputra Meghna delta. In addition, the methodological approach pioneered by the ESPA project P-Mowtck has been cited repeatedly in the Inter-governmental panel on Biodiversity and Ecosystem Services (IPBES) methodological assessment of scenarios and models of biodiversity and ecosystems services as a rare example linking models from ecology to human wellbeing.</p>	ESPA Directorate develops guidance	61 Total including: 27 Models 19 Datasets	48 Total 26 models 10 tools and datasets 13 methods and frameworks



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Output 2: Increased demand for and uptake of ecosystems for poverty alleviation research.								
Indicator	2013 Target	2015 Target	2017 Target	2016 Narrative	2013 Report	2015 Report	2016 Report	
2.1.1 ESPA projects engaging in knowledge exchange: Number of impact-related records reported to ROS.	200	400	1500 <small>Target revised as per AR 2015</small>	The Directorate adapted this indicator last year to the new RCUK Researchfish system. The indicator provides a broad measure of SPA's projects efforts to engage with stakeholders. The target was revised upwardly reflecting the large number of outcomes recorded by the Directorate's systems. However the 2016 milestone already exceeds the 2017 target. The Directorate will consider quality assuring this indicator and tightening the parameters.	516	1,082	1889	
2.1.2 ESPA Directorate and researchers contribute evidence to national/regional/international processes, panels and committees of policy relevance	69	62 <small>Targets for indicators 3.2.1 and 3.2.2 aggregated</small>	90 <small>Targets for indicators 3.2.1 and 3.2.2 aggregated</small>	Improvement on this indicator has been seen over the last year but the programme is still in danger of underachieving by 2017. A process of quality assurance was undertaken by the Directorate to remove duplication between former outputs 3.2.1 and 3.2.2 to enable the aggregation of the two outputs (now 2.1.2). Examples this year include SPA researchers presenting their evidence in a number of different fora including providing recommendations to the World Bank on protected areas, the Convention on Biological Diversity (CBD) Secretariat on marine and coastal biodiversity, and contributing to panel sessions at United Nations Environment Programme (UNEP) to develop indicators for Sustainable Development Goals (SDGs) linked to the sustainable management of natural resources. Examples of contributing to policy processes nationally include SPA researchers providing advice and evidence to inform the 20 year DELTA Plan in Bangladesh, as well as submitting evidence to key stakeholders involved in developing Dharamashala's (India) smart city bid. The International Development Secretary of State recently visited India and emphasized UK-India trade relations to promote Smart Cities and sustainable urbanisation. However, there was little emphasis on the environmental implications.	27	49	69	



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Output 3: New developing country-led partnerships and networks formed and delivering ecosystems services and poverty-alleviation, research, influencing and impact.								
Indicator	2013 Target	2015 Target	2017 Target	2016 Narrative	2013 Report	2015 Report	2016 Report	
3.1.1 Percentage of projects with developing country researchers listed in project applications, disaggregated by call	50% of projects up to ESPA-2012	75% of projects since last milestone (ESPA-2013 and SPA-2014)	100% of projects since last milestone	There have been no further funding calls apart from the SPA-2016 synthesis call, and the nature of this call renders this indicator inappropriate.	84%	ESPA-2013 100% ESPA-2014 80% Total: 94 %	Data not updated.	
3.1.2 Proportion of cost allocated to developing country researchers as shown in project applications.	No target	40% DC or unknown	50% DC or unknown	There have been no further funding calls apart from the SPA-2016 synthesis call, and the nature of this call renders this indicator inappropriate. The proportion of staff costs going to DC institutions and researchers is within the range of 26-57% for all SPA projects, with a significant proportion unknown due to how data is collected during application. The 2015 and 2017 targets have been achieved.	DC 25% Non-DC 36% Other 5% Unknown 35%	DC 26% Non-DC 38% Other 4% Unknown 31%	Data not updated	
3.2.1 Percentage of academic papers attributed to SPA with developing country authorship.	55%	65%	70% The target has been reduced from 80% as per AR 2015	The SPA programme continues to underperform on this indicator. The drop in the percentage this year reflects the large increase in academic papers published this year, and the lower proportion of DC authorship. The Directorate will remind the projects of the importance of DC authorship not only to support the professional development of DC researchers but also to enhance the value and impact of SPA research.	62%	62%	60%	



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3.2.2 Percentage of publications attributed to ESPA with a developing country lead author.	25%	35%	35% The target has been reduced from 45% as per AR 2015	The ESPA programme continues to underperform on this indicator. The drop in the percentage this year reflects the large increase in academic papers published this year, and the lower proportion of DC authorship. The Directorate will remind the projects of the importance of DC authorship not only to support the professional development of DC researchers but also to enhance the value and impact of ESPA research.	24%	26%	22.8%
3.3.1 Number of DC researchers who are recognised for the quality of their research by advising or participating on national or international advisory, planning or decision making bodies related to ecosystem services and poverty alleviation.	5	10	20 The target has been increased	ESPA continues to perform well in relation to the way that the programme's developing country researchers are contributing to putting research into use to link ecosystem services and poverty alleviation. New outcomes reported during the year included the ESPA member of the United Nations Secretary General's Advisory Board's (UNSGAB) contribution and submission of the final report on water and sanitation to the UN Secretary-General. DC researchers also presented evidence from their ESPA projects at COP21. ESPA impact partners SIAS and CEDAR are leading the project "Impact pathways for Cities", which is part of the recently launched IDRC-funded research consortium on Cities and Climate Change. This builds on ESPA's on-going work on the Political Economy of Water Security in Himalayan towns.	7	14	18



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6 Abbreviations

Abbreviation	Definition
AR	Annual Review
CBD	Convention on Biological Diversity
COP	Conference of the Parties
DC	Developing Country
DFID	Department for International Development
DIEM	Dynamic Integrator Emulator Model
ES	Ecosystem Services
ESRC	Economic and Social Research Council
ESPA	Ecosystem Services for Poverty Alleviation Programme
IPBES	Intergovernmental Platform on Biodiversity and Ecosystem Services
IADB	International American Development Bank
MIF	Multilateral Investment Fund
NERC	Natural Environment Research Council
PES	Payment for Ecosystem Services
RF	ResearchFish
RCT	Randomised Control Trial
RCUK	Research Council United Kingdom
ROS	Research Outcomes System (RCUK)
RWA	Reciprocal Watershed Agreements
SDGs	Sustainable Development Goals
TNC	The Nature Conservancy
ToC	Theory of Change
UN	United Nations
UNEP	United Nations Environment Programme
UNSGAB	United Nations Secretary General Advisory Board
USAID	United States Agency for International Development
Wos	Web of Science



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- Inter-disciplinary defined as research collaboration from at least one natural and one social or economic science discipline, multi-disciplinary defined as being research collaboration from at least two disciplines.

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