Office of Evaluation

Strengthening Forest Resources Management and Enhancing its Contribution to Sustainable Development, Landuse and Livelihoods Project-GCP /GLO/194/MUL

Final Evaluation Report

Acknowledgements

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Acronyms

COFO	Committee on Forestry
COP	Conference of the Parties
CPF	Collaborative Partnership on Forests
CTA	Chief Technical Advisor
FAO	Food and Agricultural Organization of the United Nations
FD	Forest Department
FLES	Forest Livelihoods and Economic Survey
FOMR	Forest Resources Development Service
FRA	Forest Resources Assessment
FRM	Forest Resource Management
GEF	Global Environment Facility
GFIS	Global Forest Information Service
GIS	Geographical Information System
FIPI	Forest Inventory and Planning Institute
HQs	Headquarters
HRBA	Human Rights Based Approach
ILUA	Integrated Land Use Assessment
LIS	line-intersect sampling
LULC	Land Use Land Cover
MDG	Millennium Development Goals
MAE	Ministerio de Ambiente (Ecuador)
MAGAP	Ministerio de Agricultura, Ganadería, Acuacultura y Pesca (Ecuador)
MARD	Ministry of Agriculture and Rural Development (Viet Nam)
M&E	Monitoring and Evaluation
MINAGRI	Ministerio de Agricultura y Riego (Peru)
MINAM	Ministerio del Ambiente (Peru)
MRV	Monitoring, Reporting and Verification
MTE	Mid-term Evaluation
NAFORMA	National Forest Resource Monitoring and Assessment
NFA	National Forest Assessment (abbreviation of the "Support to National Assessment and Long Term Monitoring of the Forest and Tree Resources" Project)
NFI	National Forest Inventory
NFIMAP	National Forest Inventory Map
NFMA	National Forest Monitoring and Assessment
NFP	National Forest Programme
NGO	Non-governmental Organization
NLBI	Non-Legally Binding Instrument
OED	FAO Office of Evaluation
ProDoc	Programme document
PSC	Project Steering Committee
REDD	Reducing Emissions from Deforestation and Degradation
ROtI	Review of Outcomes to Impacts
SD	Sustainable development
SERFOR	Servicio Forestal (Peru)
SFM	Sustainable Forest Management
SMART	Specific, Measurable, Accurate, Realistic, and Time-bound
ToC	Theory of Change

ToRs   Terms of reference
UNCED   United Nations Conference on Environment and Development
UNFCCC   United Nations Framework Convention on Climate Change
UNFF   United Nations Forum on Forests
UN-REDD   United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries
VNFOREST   Viet Nam Administration of Forestry
WFS   World Food Summit
WSSD   World Summit on Sustainable Development

Executive summary

ES1. This is the Final Evaluation (FE) report of project GCP/GLO/194/MUL "Strengthening Forest Management in a Changing Climate" – A Contribution by the Government of Finland to the Programme "Strengthening Forest Resources Management and Enhancing its Contribution to Sustainable Development, Land use and Livelihoods" -. The Agreement between the Government of Finland and FAO was signed in March 2009 with an initial budget of Euro 14 million. Following FAO's request, Finland granted the Programme additional funding of 1.25 million euros and an extension until the end of 2014. Thus the originally four year programme was extended to last five years and its total budget became Euro15.25 million

ES2. The Programme's intended impact is to enhance the ecological, social and economic sustainability of forests and tree resources and increase their benefits for rural livelihoods and their role in mitigating of, and adaptation to, climate change. Its activities focus on innovative approaches for forest resource inventory and monitoring, national forest carbon stock assessment, building capacity, and delivering good practices and methods on sustainable forest management at the national level in five partner countries: Ecuador, Peru, Tanzania, Viet Nam and Zambia. These activities, which include mainstreaming forestry into other sectors, address not only the sustainable supply of goods and services from forest resources, but also the social, political, economic, and environmental contexts for sustainable forest management – including policies and institutions.

ES3. The purpose of the FE was to identify specific good practices that validate the approach, fine tune the concept, and assess the potential for follow-up or up-scaling action and lessons to be learned for the formulation and execution of other similar projects. To this end, the FE assessed programme performance, using the internationally accepted evaluation criteria (project's relevance, effectiveness and efficiency, sustainability and impact).

ES4. The FE covered the Programme's conceptual, inception and implementation aspects from the initial project period of January 2009 to December 2013, and the extension period covering January to December 2014. It covered the five country-level projects in Ecuador, Peru, Tanzania, Viet Nam and Zambia. The FE Terms of Reference (ToR) are given in Annex I of this evaluation report.

ES5. The FE process involved three phases: preparation, partner countries visits, and reporting. The countries visits took place in October 2014 for Viet Nam and Zambia, and in November 2014 for Peru and Ecuador. Tanzania was not visited because its project had undergone a Mid-Term Evaluation in 2011. The approach used to assessing effectiveness and likelihood of impact is based on the Review of Outcomes to Impacts (ROtI) methodology.

Key Findings

ES6. The FE found that the Programme is consistent with key global priorities and challenges of achieving SFM, reducing deforestation, and mitigating climate change are adequately reflected in the design of the Programme. The Programme is also a relevant response to the need defined by CPF and COFO to strengthen national forest resource management in developing countries.

ES7. The Programme is very complex and its expected double impact is too ambitious. Overall its design has not adequately captured the ambition that is illustrated by the gap between the dimensionality of the expected impact and the limited scope of the outputs as far as resources and time are concerned. The design of the Programme lacks a unifying theory of change as to how its activities and processes enhance ecological, social and economic sustainability of forests and tree resources and increase their benefits for rural livelihoods and their role in mitigating of, and adaptation to, climate change. The FE overcame this weakness by reconstructing a ToC and ROtI.

ES8. In terms of technical coordination and financial resource management, all the partners in the five partner countries perceive the management by the Technical Unit at FAO HQ as highly effective. In most cases the right institutions were chosen to anchor and implement the projects.

ES9. The Programme was efficient in making available the resources to the five partner countries projects in conformity with their plans of operations. In two of the five partner countries (Ecuador and Tanzania) the projects have already completed their planned activities, with a reasonably good value for money spent, based on project reports and interviews with project stakeholders. In the three other countries, respective projects have a reasonable likelihood of high efficiency, but more for physical results that for their timeliness. However, using M&E systems as an integral part of project implementation and management processes has been a weak point in the partner countries projects

ES10. In all the five partner countries, the projects have been most effective with the outputs relating to NFI. Progress was achieved with a highly innovative approach of associating socio-economic survey with ground sampling and in data analysis for NFI. These results, in addition to staff training and development of NFI methodologies and tools have arguably strengthened the capacity of the countries in planning and implementation of SFM and REDD through better information, dissemination of information, and improved multi-sectoral dialogue.

ES11. The programme has achieved clear results under the four outcomes (see Table 2). It was particularly successful in applying in all the five partner countries an integrated approach to assessing and monitoring of forest resources in multipurpose NFI. The field manuals and inventory tools were produced and used in supporting staff capacity building. Training activities have contributed to enhancing the capacity of counterpart institutions staff in planning, conducting and analysing forest inventory and monitoring data. The Project was therefore effective in creating new opportunities of cross-sectoral dialogue and communication by supporting the removal of barriers towards the integration in NFI and NFA of climate change and socio-economic dimensions.

ES12. The programme complexity and its too ambitious expected impact implies that the programme was compromised by its design, however, the Programme went a long way to achieve its Outcomes in Ecuador and Tanzania. For the first time, these two countries had reliable multipurpose forest inventory data, also covering forest carbon and non-timber forest products. Further to having information, the two countries took steps to mainstream forestry into national development, and to enhance participatory SFM policy and planning. In Ecuador, the Draft Environmental Code and Draft Forest Law are at the level of Parliament. In Tanzania, NAFORMA results have been an evidence base for the revised NFP 2015-2024.

ES13.   The Programme design adequately reflected FAO's commitment to gender equality, but this was not sufficiently reflected in the stakeholders and target beneficiaries analysis.

ES14.   No firm overarching conclusions can be drawn on sustainability of the results of the Programme, as most partner countries projects did not build M&E systems to collect information on which firm conclusions can be based. Moreover, the projects in the five partner countries did not reflect sufficiently on exit strategies and sustainability of the results. However, partner country level decisions that have worked well in favour of sustainability include the modality of counterpart funding (in Ecuador, Peru, and Tanzania), the anchoring of the project office in the official counterpart structure and the institutionalization of project activities (Ecuador, Tanzania, Viet Nam, Zambia), the involvement of key officials in the governance and administration of the project, and the decision to partner with statutory government institutions.

ES15.   The FE found that the Programme Document did not provide sufficient guidance to formulators of partner countries projects as far as ensuring sustainability is concerned.

ES16.   It is still too early to assess the overall impact of the programme, as the activities of partner countries projects are only recently completed (Ecuador and Tanzania) or are not yet completed (Peru, Viet Nam and Zambia). However, the ROtI analysis carried out by the FE indicated that there is a strong likelihood that some desired Project impacts will be attained in varying extents and pace depending on partner countries contexts. Earlier impacts include enhanced better information and supported knowledge through effective national forest monitoring systems. The information generated allows national forest policy analysts and decision makers to develop knowledge about the factors that affect the changing forest condition in a country. It can also make it possible to monitor the effects of previous policy efforts and to develop alternative policy instruments that are more effective in achieving the national forest policy goals.

Conclusions

ES17.   Based on the evidence collected throughout the evaluation process, the FE drew a number of conclusions, which can be organized around the five key evaluation questions as follows.

Are key global and regional priorities and challenges adequately reflected in the design?

ES18.   The Programme's design clearly addresses the global and regional challenges of deforestation and forest degradation. It highlights activities that are aimed to improving governance of forest resources, enhancing institutional capacity and developing systems for monitoring forest resources and national forest carbon stocks. In particular, the Programme is a relevant response to UNFCCC negotiations and the emerging REDD+ agenda. It is therefore adding value as far as addressing global/regional challenges and priorities is concerned.

Did the financial resources meet the requirements for programme execution?

ES19.   Overall, the Programme was efficient in making available resources to the 5 partner countries projects in conformity with their work plans. The resources disbursed allowed projects to achieve high activity execution rates. The cost-efficient measures adopted resulted in the successful completion of the Project within the budget.

Have the planned outputs been produced in quantity, quality and time frame?

ES20.   Achieving outputs in quantity, quality and time frame was compromised by the Programme design which was overly ambitious as far as the scope of many Outputs is concerned. The limited duration and resources of the Programme further compounded the problem. The achievement of Outputs varied between countries and according to Outcomes. Outcome 3 was overly ambitious in its formulation and all its Outputs cannot be achieved in project durations of 4-5 years. However in all the 5 partner countries, the projects have been most effective with the Outputs relating to NFI.

ES21.   Overall, the Programme has made good progress towards the first 3 of the 4 Outcomes although there are important differences in progress among the five partner countries. It has been effective in achieving most key outputs level results. With regard to the issue of the difficulties of developing countries in reporting on their forests, and to the lack of accurate field data on the extent of and condition of forests, the Programme supported national forest monitoring and assessment (NFMA) and multipurpose national forest inventories. The support included the concept and harmonization of field approach to NFMA and NFI, information management, reporting and support to national policy impact analysis. The Programme was also successful in applying in all the five partner countries an integrated approach to assessing and monitoring of forest resources in multipurpose NFI that cover woody and non-wood forest resources, forest carbon and the socio-economic aspects, in all types of forests.

Did the programme contribute to broadening the scope of forest management?

ES22.   The Programme has largely succeeded in broadening the scope of forest management. In addition to supporting national NFIs in partner countries, it has positioned key issues of carbon assessment and monitoring, and socio-economic aspects which are usually not taken into account in traditional forest inventories, and has helped produce information allowing reporting and support to national policy processes and national development agendas.

ES23.   The five partner countries have not yet reached the stage of more efficient and effective SFM of all types of forests but they have enhanced their reporting capacities. The NFIs do not provide information to meet the needs related to planning and management at the Forest Management Unit level. However, the information they provide can be used to support developing policies and plans to address the challenges facing sustainable forest resource management. The NFI results are building blocks for making forest resource management an integral part of the sustainable development processes. There is no evidence yet of the likelihood of changes in forest management that contributes to sustainable land use and livelihoods.

ES24.   The Programme has enhanced the capacities of participating countries to assess the state of their national forests and to use remote sensing technologies to monitor changes in areas under forest use. At the same time it has strengthened the countries' capacity to improve their forest resource information base, which is quite in line with FRA's priorities.

ES25.   The partner countries projects enhanced better information and supported knowledge through effective national forest monitoring systems. The NFI approaches used include gathering data on forest products and services derived from sample areas, property rights and policies associated with such products and services, as well as the socioeconomic

and institutional characteristics of forest use and users. The information generated allows national forest policy analysts and decision makers to develop knowledge about the factors that affect the changing forest condition in a country.

ES26. There is no evidence yet of the likelihood of changes in forest management that contribute to poverty alleviation and to meeting the MDGs in the partner countries. However, the partner countries projects allowed capturing the characteristics of human communities adjacent to forests. They also allowed a possibility of carrying out a close analysis of the link between the biophysical and socioeconomic data, thereby strengthening the policy relevance of the NFI data. Furthermore, they make it possible to conduct a robust analysis of forest-related factors that affect the livelihoods of people and how they relate to the biophysical conditions of forests.

ES27. Nevertheless, the Programme is consistent with FAO's global goals for forests and forestry. SFM is FAO's normative priority and is CPF's priority. FAO being chair of CPF, the Programme is consistent with its global goals. The Programme is also aligned with FAO's Strategic Objective 2 "Increase and improve provision of goods and services from agriculture, forestry and fisheries in a sustainable manner", Strategic Objective 3 "Reduce rural poverty", and Strategic Objective 5 "Increase the resilience of livelihoods to threats and crises".

To what extent the Programme supported approaches will continue?

ES28. The implementation arrangements adopted by the Programme allowed counterpart institutions to have full leadership in planning and implementation of the project activities and coordinate the interventions of the national stakeholders and partners. This is favourable to the continuation of the Programme supported approaches for the long-term monitoring programme. In some countries, the main obstacle could be the absence of modalities to ensure long-term financing for addressing continuous inventory, particularly in states with decentralized political systems, where forest resource management responsibilities may be strongly decentralized.

ES29. As most outcomes are overly ambitious in their formulation, they cannot be achieved in project duration of 4-5 years. Although achieving the desired impacts is a long-term process, the project has had significant positive short-term impacts in most partner countries. These impacts include using NFA as evidence base for the revised NFPs (ex. Tanzania), enhancing legal and regulatory frameworks to promote SFM (ex. Ecuador), reporting and using project generated information in REDD+ negotiations (ex. Ecuador), and enhanced institutional dialogue and collaboration (all the five partner countries). There is a considerable likelihood of attaining some key impacts to extents that vary with partner countries contexts.

ES30. The factors that enabled the programme to reach the above achievements include the political commitment of government counterparts in the five partner countries, their strong ownership of the results, the application of cutting edge technologies for NFI operations, the capacity building of the staff, the intervention package including technical, institutional and policy outcomes, and the technical support provided by FAO.

ES31. The programme was premised on the assumption that timely relevant and reliable information on the state, extent and uses of the forest resources allows informed decision-making and development of relevant policies and programmes with the ultimate goal of

achieving sustainable forest management. The general conclusion of this FE is that the achievements show that this assumption holds true.

ES32.   The theme "forest protection for fire and forest health management" has not been adequately addressed for not having been focused in partner countries project designs.

ES33.   Public participation was enhanced in all five participating countries, given the opportunities that respective projects have offered for cross-sectoral dialogue and collaboration. However, it may be compromised in the countries with advanced political decentralization, where projects have not integrated sub-national governments in their implementation. It is also compromised by the week integration of the gender equality dimension.

ES34.   The extent of changes in quality of stakeholder participation is likely to be strong in Ecuador with the expected enhancement of the legal and regulatory frameworks.

Recommendations

ES35.   The following recommendations emerge from the FE's findings and conclusions.

Recommendation 1:   to FAO and the Government of Finland

A second phase is highly recommended to consolidate the partner countries projects' achievements and strengthen their capacities in analysing the huge quantities of NFI data for their use in policy-making and development planning processes.

ES36.   The FE suggests to focus on following aspects:

- Pursue the unachieved outcomes differentially according to partner countries specific needs.
- In countries with two-tiers governance systems, the design of follow-up NFI interventions should take into account the responsibilities and needs of the sub-national governments, and the fact that there is greater scope for using multipurpose NFI data to address sustainable land use and livelihoods needs at sub-national than national level.
- Build capacity of counterpart institutions in partner countries in NFI data analysis and interpretation, but also in policy analysis to enhance evidence-based decision-making.
- Support pilot ground FRM activities designed to influence policy processes and to allow scaling-up.
- Support participation of academic and research institutions, and organizations of the civil society as strategic partners in forest resource assessment and monitoring.

Recommendation 2:   to FAO on improving programme and project designs:

It is recommended that when designing projects aiming at policy, institutional, and forest management practices, FAO should formulate realistic outcomes that should lead to the attainment of impacts.

ES37.   The FE suggests that a particular attention be paid on the following aspects:

- The design should be explicit on the assumptions underlying the causal links between the various elements of the results chain. The outputs, outcomes, impacts and respective indicators in the Logical Frameworks should be formulated to be achievable within a reasonable and specified timeframe, measurable, and (if feasible) quantifiable. The criteria or indicators for measuring impacts should be clearly presented in the Logical Framework. Projects designs should have sound built-in exit strategies.

- Pilot type projects should identify measures for post-project situations particularly where there are assumptions on policy decisions to be adopted and allocation of resources needing to be integrated into counterpart institution's work programmes.
- Provide sufficient guidance on the establishment of M&E systems in order to enhance likelihood of achieving the expected outcomes and impact.
- Include specific policy dialogue outputs and respective indicators of achievements in the Logical frameworks, and allocate sufficient resources in the budgets.

Recommendation 3: to FAO on gender mainstreaming:

FAO/programme management should deliberately strengthen gender mainstreaming in project design to reflect its commitment to gender equity and the priorities of the beneficiary countries.

ES38. The FE suggests a particular attention on the following aspects:

- Mainstream best practices and approaches in the identification of gender issues and deliberately include them in programme/project design.
- Develop specific gender equity outcomes and indicators for the programme/project.
- Provide guidance for the development of gender action plans at project level.
- Allocate adequate resources to achieve gender outcomes.

Recommendation 4: to FAO and partner countries:

It is recommended that FAO's programme management and partner countries should start discussions about institutional and financial sustainability at the stage of project design.

ES39. In some of the partner countries, two aspects of sustainability should be addressed in the perspective of follow-up actions or similar initiatives in new partner countries: institutional and financial sustainability. The FE suggests a particular attention on the following aspects:

- Include in the initiatives exit strategies in form of exit plans.
- In countries where there may be some uncertainty on financial sustainability include in the design of the initiative outputs and activities aimed at ensuring that financial and economic resources will be available after the initiative ends.

Lessons Learned

ES33. With respect to the partner countries projects, the following key lessons may be drawn from the findings and conclusions.

- Lesson 1. The ToC provides a means of validating causal linkages between activities, outputs, and outcomes, thus yielding an adaptive framework for measuring and achieving change. The development of an explicit ToC is essential for sound project management and effective stakeholder engagement.

- Lesson 2. The technical aspects are not the most important factors for the effectiveness and sustainability of the project. There are process dimensions and contextual factors in a country's political economy that are as important as the amount, quality and timeliness of the outputs. In Peru for example, greater efforts could have been dedicated to establishing strategic partnerships with government and non-government institutions at national and local level.

- Lesson 3: Government approval and support of a project does not necessarily mean there is readiness to implement it. The case of Peru shows that where more than one ministry is interested in a project, it is important to clarify political leadership and the share of roles, and be sure of the buying in of implementation arrangements by all line ministries.

- Lesson 4. Projects promoting cross-sector collaboration and stakeholder's participation, particularly in complex two-tier governance systems should be designed after a well-conducted political economy analysis to better understand the factors that determine the quality and outcomes of the policy change process that will be supported.

- Lesson 5. Strong project coordination, with clear political leadership, enhances ownership and stakeholders' collaboration. In countries with strong coordination, with partners and stakeholders sharing information on results and progress, there are good opportunities for national ownership and future cross-sectoral collaboration. Integration of project results into national policy processes is more likely.

- Lesson 6. More focused "Outcomes" tend to have greater impact, and represent more strategic interventions, compared with outcomes that give the impression that the Project tries to do it all. Ensuring the scope of a project is consistent with the resources and time frame allocated to it is critical to its success.

- Lesson 7. Capacity building through learning by doing build ownership and enhances impact. A large part of the success of partner country projects is due to the training given to the staff involved in field NFI operations.

- Lesson 8. The biomass of lianas and climbers is an important part of the aboveground biomass in tropical natural forests. The information on that biomass should be captured in in multipurpose forest inventories.

1 Introduction

1.1 Background and purpose of the evaluation

1.   This is a Final Evaluation (FE) of FAO-Finland Programme "Strengthening Forest in a Changing Climate" - GCP/GLO/194/MUL. The Agreement between the Government of Finland and FAO was signed in March 2009 with an initial budget of Euro 14 million. Following FAO's request, Finland granted the programme additional funding of 1.25 million euros and an extension until the end of 2014. Thus the originally four-year programme was extended to last five years and its total budget became Euro15.25 million. "

2.   The Programme was implemented through five partner countries projects, in Ecuador, Peru, Tanzania, Viet Nam and Zambia. Most of the planned inception phase activities in FAO Headquarters were completed by the end of 2009. Planning and initiation of activities in the participating countries were staggered over the period 2010-2011. In 2014, two out of five countries (Ecuador and Tanzania) had completed their activities, 2 (Peru and Viet Nam) were expected to complete by December 2014, and Zambia is expected to complete in 2015.

3.   This FE was carried out to identify specific good practices that validate the approach, fine tune the concept, and assess the potential for follow-up or up-scaling action and lessons to be learned for the formulation and execution of other similar projects. On this basis, it is expected to draw specific conclusions and formulate recommendations for any necessary further action by Governments, FAO and/or other parties.

1.2 Methodology of the evaluation

4.   The FE covered the project's conceptual, inception and implementation aspects from the initial project period of January 2009 to December 2013, and the extension period covering January to December 2014. It covered the five country-level projects in Ecuador, Peru, Tanzania, Viet Nam and Zambia. The FE Terms of Reference (ToR) are given in Annex I of this evaluation report.

5.   The FE investigated the design, implementation/delivery of the project, the quality of its capacity to strengthening forest resources management, its contribution to sustainable development, land use & livelihoods processes and the effective achievement of its intended objectives and the likelihood of impact. It involved discussions by Skype with the staff of FAO Headquarters, as well as approximately a one-week mission to 4 partner countries to interview selected stakeholders and collect other relevant secondary data. Tanzania was not visited because its project had undergone a Mid-Term Evaluation in 2011. Follow-up to the field visits were made via e-mail and phone contacts. The FE tools used were:

- Evaluation Guide consisting of a set of questions covering the criteria of relevance, effectiveness, efficiency, impact, sustainability, and reproducibility. This served as a general guide during data collection the FE Team.
- Programme and partner countries projects documentation provided by FAO HQs/Rome and the Project Coordinations in partner countries visited, including study reports, field manuals, progress reports, and preliminary analysis results.
- Programme and partner countries projects Logical Frameworks and to verify completion of the planned project activities and outputs (Project Documents).

6.   Based on the reading of ProDoc, a theory of change (ToC) analysis together with a Review of Outcomes to Impacts (ROtI) were reconstructed in order to examine the key

aspects in the outcomes to impacts pathways that are intermediate states, impact drivers and assumptions. From a theoretical standpoint, the premise is that if the Programme Outcomes are assessed as having been achieved and the key ToC conditions between Outcomes and Impacts are in place, then it can be concluded that there is likelihood that the desired Impacts will be achieved. The ROtI consists in describing the "intermediate states[1]" or outcomes, which are the transitional conditions between the Programme's immediate Outcomes and its desired impacts, and which are necessary conditions for achieving these Impacts. The ROtI also identifies impact drivers[2] which are significant factors that if present are expected to contribute to the realization of the desired Impacts and are within the control of the Programme.

2   Context of the project

7.   The Programme is rooted in the global environment concern over deforestation and in countries' in NFI information needs for development planning. Since early 1990s, the development of international forest-related policy and obligations has been particularly rapid since the United Nations Conference on Environment and Development (UNCED), known as "Earth Summit", which was held in Rio de Janeiro in 1992. UNCED was held in response to concern over high rates of deforestation and forest degradation globally. It adopted the Non-legally Binding Authoritative Statement of Principles for a Global Consensus on the Management, Conservation and Sustainable Development of All Types of Forests (known as Forest Principles), together with Agenda 21, which included a chapter (Chapter 11) on "Combating Deforestation". The guiding objective of these principles is to contribute to the management, conservation and sustainable development of forests and to provide for their multiple and complementary functions and uses.

8.   In 2000, the UNFF was formed with the main objective to promote the management, conservation and sustainable development of all types of forests and to strengthen long-term political commitment to this end. In 2001, the Collaborative Partnership on Forests (CPF) was also formed to support the work of the UNFF and its member states, and to enhance cooperation and coordination among CPF member organizations. At its creation, CPF was put under the chairmanship of FAO which plays a key role in the partnership that includes facilitating the collection of comparable forest-related data by major international processes and instruments including FAO's Forest Resources Assessments (FRA). FAO has been supporting the dissemination of forest-related information through the Global Forest Information Service12 (GFIS). In 2007, the UNFF adopted the Non-Legally Binding Instrument (NLBI) to reinforce commitments and policy actions aimed at promoting sustainable forest management (SFM).

9.   At its 6th Session in 2006, the UNFF agreed on four shared Global Objectives on Forests, which seek to, (a) reverse the loss of forest cover worldwide through sustainable forest management (SFM), including protection, restoration, afforestation and reforestation, and increase efforts to prevent forest degradation; (b) enhance forest-based economic, social

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[1]   Intermediate states are the transitional conditions between the project's outcomes and impacts that must be achieved in order to deliver the desired impacts. They are process-oriented.
[2]   Impact drivers are the significant factors that, if present, are expected to contribute to the achievement of project impacts, and are within the ability of the project to influence.

and environmental benefits, including by improving the livelihoods of forest-dependent people; (c) increase significantly the area of sustainably managed forests, including protected forests, and increase the proportion of forest products derived from sustainably managed forests; and (d) reverse the decline in official development assistance for sustainable forest management and mobilize significantly increased new and additional financial resources from all sources for the implementation of sustainable forest management.

10.   In 2007, the UN General Assembly adopted the Non-Legally Binding Instrument on All Types of Forests negotiated by the UNFF. Their purpose is (a) to strengthen political commitment and action at all levels to implement effectively sustainable management of all types of forests and to achieve the shared global objectives on forests; (b) to enhance the contribution of forests to the achievement of the internationally agreed development goals, including the Millennium Development Goals, in particular with respect to poverty eradication and environmental sustainability; and (c) to provide a framework for national action and international cooperation

11.   In 2010, the 16th Conference of the Parties to the UNFCCC took place in Cancun. The Cancun Agreements reached set the stage for a nationally driven phased approach to REDD+. The framework involves a three-phase process for the further development of a REDD+ mechanism for developing countries: (a) Development of national strategies or action plans and capacity building; (b) Implementation of national strategies or action plans that could involve REDD+ pilot projects; and (3) Results-based REDD+ with financing likely to include both market and non-market mechanisms.

12.   With regards to REDD+, the issues of focus of attention when developing related national action plans or strategies include addressing the drivers of deforestation and forest degradation, land tenure issues, forest governance issues, and gender considerations, while ensuring effective and full participation of the relevant stakeholders including indigenous peoples and local communities. Subsequent the 16 COP, among the main areas of debate on REDD+ were measurement, reporting and verification (MRV) and REDD+ and financing. Technical issues regarding MRV included: (a) how to design national forest monitoring systems; (b) how to create an appropriate MRV framework for result-based payments; (c) how to link this in with reference levels; (d) the need for additional guidance on designing REDD+ safeguards and (e) the drivers of deforestation.

13.   These recent global developments are part of the foundation of the rationale of the Project. An other important part is the requests made by developing countries to donors in different fora, including UNFF, COFO, WFC, for support to address their needs in NFI information.

14.   **FAO's unique Mandate embraces all aspects of SFM and sustainable development**. FAO's Mandate is to raise levels of nutrition, improve agricultural productivity, better the lives of rural populations and contribute to the growth of the world economy. FAO leads international efforts to defeat hunger by helping developing countries and countries in transition to modernize and improve their agriculture, forestry and fisheries practices and to ensure food security for all. It follows the UN General Assembly in recognizing SFM as a dynamic and evolving concept, which aims to maintain and enhance the economic, social and environmental values of all types of forests, for the benefit of present and future generations.

15.   **FAO's comparative advantages in enhancing values of all types of forests.** FAO cumulates more than 60 years experience in forest inventory. It has important accomplishments towards strengthening the forest resource information base for policy-making nationally, regionally and internationally, included country data collection for the Global Forest Resources Assessment (FRA) and supporting countries to assess the state of their national forests and using remote sensing technologies to monitor changes in areas under forest use.

16.   FRA is a process that reports on the worldwide status and trends of forest resources, their management and uses. It is led by FAO and it involves all countries and other partners. With FRA, FAO periodically provides the most comprehensive assessment of forests and forestry, examining the status and trends for about dozens of variables covering the extent, condition, uses and values of forests and other wooded land, with the aim of assessing all benefits from forest resources. This has made FAO a key source of knowledge and information, not only for countries but also for international environmental governance in general, and relevant multilateral environmental Agreements in particular. It is therefore only one of the elements that show the relevance of FAO to implement the Programme, and of the Programme to FAO's Mandate.

3   Analysis of Programme concept and design

 Box 1.   Key findings

> **The Programme is very complex and its expected double impact is too ambitious. Overall its design has not adequately captured the ambition that is illustrated by the gap between the dimensionality of the expected Impact and the limited scope of the outputs as far as resources and time are concerned. The high number Activities gives an impression of a fragmented initiative. The design of the Programme lacks a unifying theory as to how its activities and processes enhance ecological, social and economic sustainability of forests and tree resources and increase their benefits for rural livelihoods and their role in mitigating of, and adaptation to, climate change. The FE overcame this weakness by reconstructing a ToC and ROtI.**

17.   **The Programme's intervention logic.** In order to evaluate the Programme, it is necessary to first understand its intervention logic, to clarify the objectives and to relate them to the desired impacts. The ProDoc identifies the following as the main problems to be addressed by developing countries, in order to tackle the challenges posed by substantial unplanned land use changes, continuing loss of forests and increasing forest degradation:

- Difficulties in reporting on their forests because their monitoring and assessment systems are not adequate to meet the growing international reporting requirements;
- Lack of accurate field data on the extent of and condition of forests, their uses and users as well as trends in forest cover, forest biomass, and wood and NWFP or services provided by forests;
- Need to improve the quality of forest management, afforestation, reforestation and forest rehabilitation for effective preparedness, mitigation and recovery related to natural and human induced disasters and climate change.
- Need of a strategic approach to improve forest health and fire management.

18.   To conclude the analysis of these problems, the ProDoc stresses the need to strengthen links of forestry sector with the agriculture and livestock sectors, and enhance outreach to jointly meet the sustainable forestry, livelihoods and land use objectives in poor communities in developing countries. Further to this broad outlook, the ProDoc mentions that the Program focuses on SFM in a changing climate and intends to build capacity, test and develop methodologies and deliver good practices and methods at national level to enhance reporting by countries to international processes with support from FAO and other development partners.

19.   The Programme reconciles country level priorities with the above outline of the issues. It supports governments of five partner countries to implement their national REDD+ strategies and build the forest monitoring systems that are needed for REDD+ readiness. At partner countries level, the Programme approach has been two-pronged. First, FAO provides needs-based support by funding projects which are tailored to their specific contexts. Second, there is a more supply-driven approach, by which FAO assists in designing methodologies and tools for national forest inventory (NFI) implementation.

20.   The Programme logic is that timely relevant and reliable information on the state, extent and uses of the forest resources allows informed decision-making and development of relevant policies and programmes with the ultimate goal of achieving sustainable forest management.

21.   With regard to the desired Programme impact, the ProDoc presents a double expected Impact formulation as follows:

- To enhance the ecological, social and economic sustainability of forests and tree resources and increase their benefits for rural livelihoods and their role in mitigating of, and adaptation to, climate change.
- To contribute to enhance livelihoods and land use through sound management of forest and tree resources to better contribute to sustainable development, alleviation of poverty and meeting the MDGs.

22.   The formulation of such an overly ambitious double expected impact makes the programme look unrealistic. However, in most of its relevant parts the ProDoc has limited its attention to the first impact (ex. in the Executive Summary and Logical Framework).

23.   At the Outcome level, the ProDoc describes the outcomes and respective outputs as follows:

24.   **Outcome 1:** "Policy and practice affecting forests and forestry are based on timely and reliable national forest monitoring and assessment (NFMA) information for national and international reporting":

- **Output 1.1**: Improved and strengthened National Forest monitoring and assessment (NFMA) programme by use of new initiative technologies, FRA 2010 Remote Sensing Survey, remote sensing methods, global research and emerging national and international information needs, to support SFM and REDD policy, planning and monitoring;
- **Output 1.2**: Country tailored, improved NFMAs set up in 3-5 countries and integrated into national policy and planning processes;

- **Output 1.3**: National forest information system planned and established in 2-4 countries to integrate the NFMA results and products to national information and planning systems to produce updatable information on forests and land cover to meet national and international reporting for policy making and planning on SFM, REDD accounting and other development and monitoring purposes;

- **Output 1.4**: FAO position strengthened as a Centre of excellence with a knowledge reference and information services for countries, organizations and specialists on the access to, and use of, forest inventories and remote sensing for forest monitoring in order to increase the technical capacity for developing countries;

- **Output 1.5**: New knowledge generated to monitor progress towards 2010 Biodiversity target, the UNFF Global Objectives on Forests and the Millennium Development Goals through a series of special studies on SFM e.g. forest degradation, forest fragmentation, forests in protected areas, trees outside forests, and forests and poverty; and

- **Output 1.6**: A strategy for future global forest resources assessments developed taking into account coordination with new needs of countries and recent technological developments and the need for up-to-date information on a number of key forest-related topics.

25.   **Outcome 2:** "National Forest Programs (NFPs) serve as an effective mechanism for integrating forestry into national development plans and processes, including for climate change and considering links between forestry, and other land uses and livelihood benefits":

- Output 2.1: Cross-sectoral dialogue between forestry and other sectors established and/or strengthened at national and local levels, integrating emerging issues related to climate change;

- **Output 2.2:** The capacity of governmental and non-governmental stakeholders to implement the NFP through participatory processes, taking into consideration poverty aspects is increased;

- **Output 2.3:** Enhanced capacity of forestry administrations and other stakeholders to participate actively in national development strategies, programmes and international discussions, including those related to climate change.

- **Output 2.4:** Countries have developed national financing strategies, plans and mechanisms for SFM, including climate change adaptation and mitigation, through participatory processes;

- **Output 2.5**: Guideline for integrating climate change into national forest programmes (i.e. forest and climate change strategies) are developed, applied in 3-5 countries, discussed in regional workshops, and widely distributed; and

- **Output 2.6:** Based on participatory analysis of forest-related institutions and governance processes, strategies are developed and implemented in 3-5 countries to strengthen the institutional capacity to implement forest policy and legislation and to respond to the new challenges, including climate change, and advance towards SFM.

26.   **Outcome 3:** "Sustainable forest management (SFM) more widely practiced, including through the application of Good Practices Guidelines, meeting the climate change adaptation needs and leading to reduction in deforestation and forest degradation:

- **Output 3.1**: Guidelines for integrating climate change into forest management planning and operational practices;
- **Output 3.2**: A Forest Guide for implementation of the International phytosanitary standards and measures and Good practices guidelines for Agroforestry systems prepared through multi-stakeholder processes and field tested in three to five countries; and
- **Output 3.3**: Strengthened country stakeholder capacity to implement existing Good Practices Guidelines towards achieving sustainable forest management in three to five partner countries.

27. **Outcome 4:** "Countries capabilities enhanced to meet their international forest related commitments and negotiations":

- **Output 4.1:** All partner countries are able to actively participate in key international processes, including both regional and global processes;
- **Output 4.2:** Strengthened partner country capacity to provide high quality reports to the main forest-related processes, including Regional Forestry Commissions, COFO, FRA, CBD, UNFCCC, UNFF and MDG process; and
- **Output 4.3:** Increased awareness of the role of forests and sustainable forest management in climate change mitigation adaptation.

28. The above four outcomes guided partner countries in defining country-level projects' Objectives and Outcomes that would allow reaching the desired Impact of the Programme. However the ProDoc lacks a unifying theory as to how the various Programme activities and processes contribute to "enhancing livelihoods and land use through sound management of forest and tree resources to better contribute to sustainable development, alleviation of poverty and meeting the MDGs". Outcome 3 is overly ambitious and may not be achievable or measurable at the completion of the programme. All the four outcomes together give an impression of a fragmented initiative, with too many areas of work and are not sufficiently focused to contributing to achieving the Programme's double impact.

29. A total of 81 activities were planned to achieve the outputs, and are listed in the Logical Framework. They include 40 activities for output 1, 21 for output 2, 12 for output 3, and 8 for output 4. This represents a considerable scatter for the programme, particularly for output 1. The consequence is a reduction in focus.

30. For each outcome and output the ProDoc describes respective indicators and assumptions in the Logical Framework Matrix. Most indicators are not SMART[3], and therefore are not helpful in evaluating the achievement of programme results. Many of them are too broad to facilitate measurement. They should have been stated in a way that shows they can be observed, measured and attained in the short term for the Outputs, and at Programme completion for the outcomes. Overall, there are challenges in assessing the achievements from output to outcomes level, and further to impact level. These weaknesses in the Programme have had a repercussion in the designs of the five partner country projects which had to align the definition of their planned objectives and outputs.

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[3] SMART is an acronym built around the five qualities of good indicators: Specific, Measurable, Accurate, Realistic, and Time-bound.

31.   This description shows that the programme is very complex given its double expected Impact, and the high number of activities. There is a gap between most outputs and the dimensionality of the impact (ex. in relation to livelihoods and land use, and MDG), and the linkage from Outcomes to each one of the desired impacts are in many cases unclear.
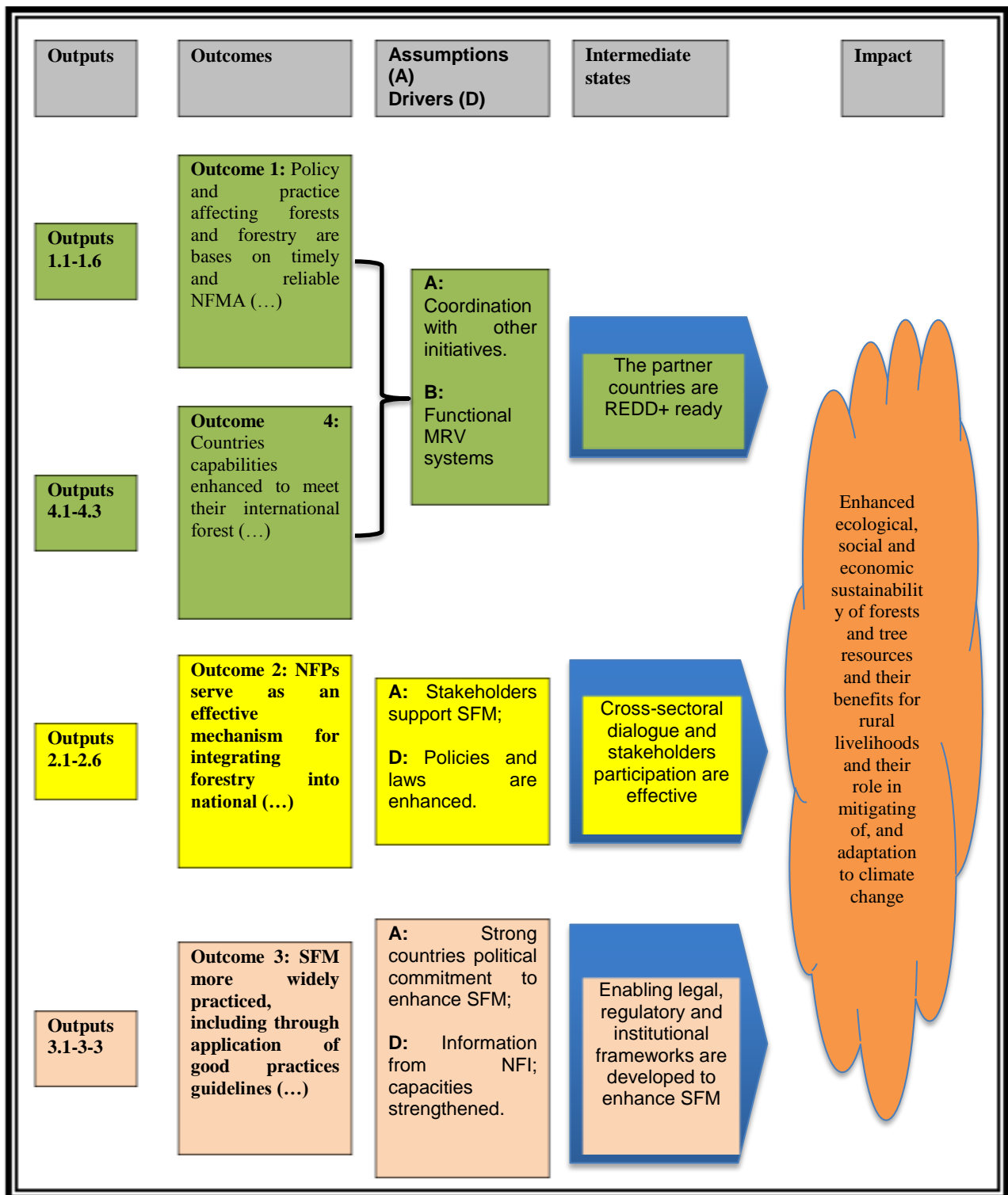
32.   Secondly, The ProDoc does not outline an explicit ToC. However the reading of the narrative of the ProDoc leads to deduce that to contribute to the double expected Impact of the, it is necessary to follow appropriate pathways for change. The implicit ToC consists of three strands of interventions that determine from the strategies of four Outcomes, three interlinked impact pathways as illustrated in Figure 1. Each impact pathway has a different colour (Green for Impact Pathway 1, yellow for Impact Pathway 2, and light orange for Impact Pathway 3). The three pathways are as follows:

- Pathway to change 1: To develop partner countries' capacities to use multi-purpose National Forest and Carbon Inventory and monitoring systems as sources of evidence for policy development, and to enhance their capabilities to meet their international forest related commitment and negotiations". Related activities are directed towards the development of forest inventory skills, tools and methodologies, the realization of NFI, and REDD+ readiness. Expected changes are enhanced information and knowledge use to mainstream forest resource management processes;
- Pathway to change 2: To use NFPs as mechanisms for integrating forestry into national development plans and processes. Related activities are guided towards support to the participation of stakeholders in policy development, planning, implementation, and monitoring. The expected changes are the use of inventory information by decision-makers as a source of evidence to effect changes in forests vision, policy, institutions, national planning, and cross-sectoral policy dialogue; and
- Pathway to change 3: SFM more widely practiced. Related activities are directed towards developing national policies, laws and regulations, strategies and plans, and guidelines with the aim of improving forest management. Included is the development of holistic approaches to forest protection for fire management and forest health. Expected changes are in the area of forest management practices.

33.   The FE identified the following three respective "intermediate states" or intermediate outcomes, that need to be achieved in order to eventually lead to desired impacts:

- The partner countries are REDD+ ready. Assumption: adequate coordination with other initiatives for establishing national carbon stocks. Impact driver: Functional MRV systems are in place in partner countries;

- Cross-sectoral dialogue and stakeholders' participation are effective. Assumption: Broad-based stakeholders support for SFM in partner countries. Impact driver: existing policies and laws are enhanced to enable stakeholders' participation; and

- Enabling legal, regulatory and institutional frameworks are developed to enhance SFM. Assumption: strong countries political commitment to enhance SFM. Impact drivers: information from NFI and thematic surveys is made available to decision-makers; partner countries institutional and professional capacities are strengthened.

Figure 1: Overall ToC and ROtI analysis

Outputs	Outcomes	Assumptions (A) Drivers (D)	Intermediate states	Impact
Outputs 1.1-1.6	**Outcome 1:** Policy and practice affecting forests and forestry are bases on timely and reliable NFMA (…)	**A:** Coordination with other initiatives. **B:** Functional MRV systems	The partner countries are REDD+ ready	Enhanced ecological, social and economic sustainability of forests and tree resources and their benefits for rural livelihoods and their role in mitigating of, and adaptation to climate change
Outputs 4.1-4.3	**Outcome 4:** Countries capabilities enhanced to meet their international forest (…)			
Outputs 2.1-2.6	**Outcome 2:** NFPs serve as an effective mechanism for integrating forestry into national (…)	**A:** Stakeholders support SFM; **D:** Policies and laws are enhanced.	Cross-sectoral dialogue and stakeholders participation are effective	
Outputs 3.1-3-3	**Outcome 3:** SFM more widely practiced, including through application of good practices guidelines (…)	**A:** Strong countries political commitment to enhance SFM; **D:** Information from NFI; capacities strengthened.	Enabling legal, regulatory and institutional frameworks are developed to enhance SFM	

34.   Further under the subchapter on the assessment of the Effectiveness, the FE analyses the degree to which the above intermediate states have been achieved as a result of Programme interventions. This will give an indication of the likelihood that the Programme may contribute to attaining the desired impacts.

4 Analysis of the implementation process

Box 2. Key findings

The regular backstopping and oversight missions provided by FAO/HQs allowed ensuring that high standards of technical implementation are respected at partner countries projects level. All the partners in the five partner countries perceive the management by the Technical Unit at FAO HQ as highly effective. In most cases the right institutions were chosen to anchor and implement the projects.

4.1 Programme management

35. In terms of technical coordination and financial resource management, the programme was implemented under the FAO-Finland programme for Support to: *Sustainable Forest Management in a Changing Climate*. A Technical Unit at FAO/HQs, Rome, provided regular backstopping and oversight missions to the partner countries projects and other countries as well, to ensure that high standards of technical implementation are respected and to respond to specific demands of technical assistance. The ProDoc planned as management arrangements the setting up of a Steering Committee at global level, chaired by Chief/Forest Resources Development Service (FOMR). At partner countries level, Project Steering Committees (PSCs), which include representatives from the related government agencies, FAO donor, were established to oversee and monitor the projects. At programme and partner countries level, activities were implemented according to annual plans of operations approved by respective PSCs.

36. At partner country level, the National Project Coordinator (NPC) is responsible for the management. He/she undertakes all project planning, directs and supervises the implementation of project activities, organizes project technical team work and manages project personnel, ensures the implementation of participatory mechanisms, reporting progress to the Project Steering Committee, seeking appropriate assistance when required and promoting liaison and cooperation with other projects. FAO's appointed Chief Technical Advisor (CTA) supports NPC and provides technical guidance. Whereas the CTAs have supervised and monitored day-to-day activities of the projects, the HQ team has supported data collection and analysis in all partner countries through technical support and capacity building.

37. While at country level in most of the five partner countries each project responds to its technical needs directly or with support from international technical advisors, in the case of Tanzania FAO HQ provided short-term support to the project to help do the data analysis.

38. All the partners of the five partner countries projects perceive the management by the Technical Unit at FAO HQ as highly effective. Specifically, the responsiveness and excellent cooperation with UN-REDD projects was highly appreciated. The MTE had highlighted a problem in the relationship between the CTA and the counterpart institution which was fractious, but which has been remedied.

39. With regard to financial resource management, the Project and partner countries level projects have been managed in a clear and accountable manner. Considerable efforts have been made to avoid undue delays in executing procurement plans.

4.2 Efficiency and effectiveness of the institutional arrangements

40.   Institutional arrangements for the implementation of partner countries projects varied between countries due to differences in national contexts. Generally the arrangements were well thought as far as the execution of projects outputs is concerned. In most cases the right institutions were chosen to anchor and implement the projects.

41.   The FE believes that efficiency and effectiveness of institutional arrangements were higher in Tanzania, Viet Nam and Zambia, where the projects are within FAO's national counterpart's institutions. These arrangements were appropriate because they allow counterpart institutions to have full leadership in planning and implementation of the project activities and coordinate the interventions of the national stakeholders and partners when required, and guarantee the sustainability of project results for the long-term monitoring programme. In Viet Nam however, having separation between Implementing Agency (Viet Nam Administration of Forestry – VNFOREST) and Implementing Agency (Forest Inventory and Planning Institute – FIPI) apparently caused some constraints on the project, such as delays in decision-making due to a lot of paper work and administrative blocks.

42.   In Ecuador, the project Coordination Unit was anchored in FAO's Representation Office because there was no forest inventory and monitoring unit in the institutions of the FAO's counterpart which is the Ministry of Environment. In Peru, the institutional anchorage of the project was complicated because of the division of the forestry sector in two ministries. This and the fact that there was no office space in both ministries led the project to work in rented offices. FAO covered the cost of office rent. In this situation of lack of clear political leadership of the project, the PSC gave the political oversight and general advice for the implementation strategy. The weakness of the lack of institutional anchorage is that the chosen solution cannot ensure the project is consistent with other on-going or planned forest resources and carbon assessment and monitoring initiatives in the country. FAO could have addressed this situation had there been an adequate political economy analysis[4] prior to project design. The project started in 2011, year that saw the start of institutional arrangements in the country, with the emergence of new actors at national and regional level with distinct roles and functions. This justified revisiting the project design to take into account the evolving political and administrative context.

43.   This arrangement adopted by FAO and accepted by its two Government partners was effective in the political context of 2011-2012. In spite of being a complicated institutional arrangement, the NFI project was a point of contact and coordination between MINAGRI[5] and MINAM for supporting the implementation of the forest inventory. During its implementation, it played a facilitation role, managed to reconcile the approaches at the level of both ministries, but it missed playing the same role between the National Government (Lima) and the regional governments.

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[4]   Political economy analysis is a way of understanding how governance works in practice. It allows taking into account in project design the factors that determine both the quality and the outcomes of the political decision-making processes.

[5]   The mandate of MINAM has to do with conservation and use of biodiversity, while the mandate of the MINAGRI has to do with sustainable use of forest resources. MINAM wants forest inventory that is not only for wood but also for biodiversity, forest carbon and the socio-economic aspects.

5   Analysis of results and contribution to stated objectives

Box 3.   Key findings

> **The Programme was particularly successful in applying in all the five partner countries an integrated approach to assessing and monitoring of forest resources in multipurpose NFI. The field manuals and inventory tools were produced and used in supporting staff capacity building. Training activities have contributed to enhancing the capacity of counterpart institutions staff in planning, conducting and analysing forest inventory and monitoring data. The programme design adequately reflected FAO's commitment to gender equality, but this was not sufficiently reflected in the stakeholders and target beneficiaries analysis. Overall, there are no success stories of formal partnerships with Civil Society Organizations (CSOs) or private sector organizations, research and educational institutions.**

5.1   Achievements by Outcome

5.1.1   Outcome 1:   Policy and practice affecting forests and forestry are based on timely and reliable national forest monitoring and assessment (NFMA) information for national and international reporting

44.   In relation to outcome 1, the achievements of the programme in the area of timely and reliable national forest monitoring and assessment information for national and international reporting in the five partner countries based on respective indicator are summarized in Table 2. In all the five partner countries, technical capacity in biophysical data collection, entry and validation, and FLES data collection, has been significantly enhanced. Substantial progress was made in capacity building.

45.   The achievements have been high on most related outputs. Under output 1.1: Improved *and strengthened National Forest monitoring and assessment (NFMA) programme by use of new initiative technologies, FRA 2010 Remote Sensing Survey, remote sensing methods, global research and emerging national and international information needs, to support SFM and REDD policy, planning and monitoring,* which is the backbone of the programme, field inventory, and biophysical and socioeconomic data were collected. Substantial progress was made in building human capacity in collecting and analysing forest resource information for Sustainable Forest Management, REDD monitoring and carbon inventory. The projects have optimized NFI designs based on information needs, sampling, plot design, and data processing. Technical manuals for inventory of biophysical forest attributes have been developed and field-tested, and training in the use of newly purchased equipment and devices has been conducted. Biophysical survey field manuals have been prepared and are detailed and fairly complete. However, there is a biomass component that is not sampled or is only partly sampled depending on projects – this is the climbers (lianas) and dead wood hanging on the forest canopy. In Viet Nam, biomass of climbers in forest canopy and on tree boles was only partially collected and reported. Biomass of climbers in the forest canopy and on tree boles was missed; only that component lying on the forest floor is captured using fixed-area plots. In Zambia, biomass of all climbers is not sampled; yet climbers are apparently frequent in the riparian forest types.

46.   The inventory/monitoring sampling designs cover all lands (including trees outside forest in most countries). Methods for monitoring socio-economic indicators linked to the

biophysical attributes have been developed and tested. Progress was also made in dissemination and utilization of the information for multi-sectoral dialogue. Results for Ecuador and Tanzania deserve a special mention because both countries got the first ever ground-based national forest inventory with a high accuracy.

47.   In relation to Output 1.3, "*National forest information system planned and established in 2-4 countries to integrate the NFMA results and products to national information and planning systems to produce updatable information on forests and land cover to meet national and international reporting for policy making and planning on SFM, REDD accounting and other development and monitoring purposes*", there have been interesting developments in Vietnam. The NFA is closely linked with the FORMIS II (Forest Management Information System) project. The FORMIS is expected to allow different forestry agencies and stakeholders to access and share forestry-related information and provide a modern ICT platform for agencies in forestry sector to integrate their own data and applications into FORMIS system. Raw data management, data validation, and calculations and analyses of future NFIMAP cycles data is to be done at FIPI using the OpenForis installed in the FIPI server. Aggregated data will be linked to the VNFORET server (FORMIS platform), in the form of national and provincial level statistics and maps on forest resources, for distribution and dissemination. The NFA project is also closely linked with the UN-REDD in Viet Nam project; all the inventory aspects of REDD are to be addressed by NFA, and the national biomass equations being developed under the UN-REDD will be used in the NFA biomass data compilation. The NFA has provided training to UN-REDD in OpenForis, and advice on what attribute data/species to collect in their biomass sampling.

48.   With the exception of Vietnam which has not yet implemented NFA but developed the methodology, overall the partner countries projects provide information on forest resources on all land cover types and their results are serving as information evidence in cross-sectoral integrated plans and policies. In the future, the projects results will be useful as baseline information to monitor the effect of implemented policies and programmes. However, as had rightly observed the MTE of NAFORMA, Tanzania, there is a risk of collecting scientifically credible data without necessary impact to policy development and management direction, unless there is a commensurate effort to fully develop analytical capacities in counterpart agencies units to serve strategic decision-making.

Table 1: Achievements of the Programme under the four outcomes

Outcomes	Indicators	Achievements
Outcome 1: Policy and practice affecting forests and forestry are based on timely and reliable national forest monitoring and assessment (NFMA) information for national and international	New information and knowledge generated by the programme integrated into national information systems and widely used by multi-sectoral stakeholders in national and international level processes related to forests and forestry	In all the five partner countries: (1) Methodology was developed to perform multipurpose forest inventories. Methods for forest carbon the mapping based on biophysical inventory and remote sensing were developed. The national inventories also include socio-economic component. (2) Technical capacity in biophysical data collection, entry and validation, and FLES data collection, has been significantly enhanced. (3) Substantial progress was made in capacity building. In Zambia: (1) the project trained about 200 technical FD staff in forest inventory biophysical and FLES data collection, 10 FD staff in data entry and 2 staff in data analysis. Database in most of the five partner countries

		are operating; (2) The draft data portal for ILUA II information has been incorporated into the national forest monitoring system that is being developed under the UN-REDD project. In Viet Nam: (1) Integration of the NFA database is still pending. In Viet Nam, the project conducted 17 training courses and one study tour in Finland. In Peru: (1) A letter of agreement between FAO and UNALM for the development of a proposed methodology of the NFI was signed in 2012; (2) Consultants were contracted to support the development and updating of the database tool for carbon calculation developed by REDD-MINAM based on existing information. In Ecuador, support was given to the MAE for developing an MRV system and recommendations were made for the monitoring of natural resources in general, as inputs for the development of the monitoring unit within the Ministry.
Outcome 2: National forest programmes (NFPs) serve as an effective mechanism for integrating forestry into national development plans and processes, including for climate change and considering links between forestry, other land-uses and livelihood benefits.	Forestry contribution to poverty reduction is recognized in national programs and strategies to reduce poverty	Most projects have been successful in strengthening the integration of forest management in sustainable development processes. In all the five partner countries, the Programme has played a key role to make FRM part of the national policy and planning dialogue. More striking results in Tanzania and Ecuador. In Tanzania, a land use-land cover (LULC) map for the Mainland was one of the key outputs of the NAFORMA project, giving a potential for integration of FRM in SD processes. In Zambia, FLES is linked to the Central Statistics Office.
	Effective participation of other relevant sectors in multi-stakeholder fora of NFPs	Projects have involved relevant government stakeholders. There is variance as far as involvement of non-government stakeholders is concerned. In all the five partner countries, progress was made in dissemination and utilization of the information for multi-sectoral dialogue. Further to recommendation of MTE of NFMA Tanzania to consider supporting a model forest district, contacts with other partners were undertaken to start to use the local level planning data for land use change and specific sector planning scenario analysis.
Outcome 3: Sustainable forest management (SFM) more widely practiced, including through the application of Good Practices Guidelines, meeting the climate change adaptation needs and leading to reduction	Global good practices guidelines transposed into national guidelines and implemented in programme partner countries to support climate change mitigation and adaptation in their	Knowledge Reference for NFA was developed jointly by FAO and IUFRO. The support to NFMA is organized under the Forest Management Division (FOM) at FAO HQs. Guidelines on integrating climate change into NFPs, namely by contributing to FAO (2011)

in deforestation and forest degradation.	unique contexts.	publication "Climate Change for Forest Policy-Makers - An approach for integrating climate change into national forest programmes in support of sustainable forest management". The Phytosanitary Guidelines have been published. Experiences in Ecuador and Peru contributed to the development of Guidelines on Agroforestry.
Outcome 4: Countries' capabilities enhanced to meet their international forest related commitments and negotiations.	Strengthened partner country capability to participate with full capacity in international discussions and meetings on SFM and climate change	The activities as defined in the PRODOC were not implemented as part of project plans. However the capacity of the countries was strengthened by improved reporting.
	Strengthened country capability to fulfil their international reporting commitments	-Idem-

5.1.2 Outcome 2: National Forest Programs (NFPs) serve as an effective mechanism for integrating forestry into national development plans and processes, including for climate change and considering links between forestry, and other land uses and livelihood benefits

49. In relation to outcome 2, the achievements of the programme in supporting the integration of forestry into national development plans and processes in the five partner countries are summarized per indicator in Table 1. Most partner countries projects have been successful in strengthening the integration of forest management in sustainable development processes. In Tanzania for example, nationwide thematic maps showing spatial distribution of LULC, with statistical distribution of LULC classes were produced. A LULC map for the Mainland was one of the key outputs of the NAFORMA project, giving a potential for integration of FRM in SD processes. Based on NAFORMA estimates that the 2012 annual harvesting of wood exceeded the annual sustainable growth by 19.5 million m3, leading to widespread degradation and further loss of productivity, biodiversity and water retention capacity, the country's policy makers became aware that dealing with this growing wood deficit is the principal challenge for the NFP which was revised accordingly so that the NFP 2015-2024 has identified the urgent need for consolidating the woodlot and plantation efforts to contribute to bridging the gap.

50. In Viet Nam, a harmonized classification system of the forest vegetation and land use has been submitted to the Scientific Commission of MARD for approval, and harmonized classification guidelines have been approved by VNFOREST. In Ecuador, the Draft Environmental Code and Draft Forest Law are at the level of Parliament[6]. In Zambia, FLES is linked to the Central Statistics Office, which conducts regular surveys, studies and assessments and reports to the nation. A new Forest Act is being prepared and there is a good opportunity to incorporate the ILUA II results into this process.

51. With regard to outcome 2.1, "Cross-sectoral dialogue between forestry and other sectors established and/or strengthened at national and local levels, integrating emerging issues related to climate change", the Programme has played a key role to make FRM part of

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[6] Interview of Daniel Segura, MAE, Quito/Ecuador.

the national policy and planning dialogue in all the five partner countries. Particularly striking results were achieved in Tanzania and Ecuador. With regard to output 2.3 *"Enhanced capacity of forestry administrations and other stakeholders to participate actively in national development strategies, programmes and international discussions, including those related to climate change."* there were substantial achievements in capacity building in all the five partner countries. In Zambia for example, the respective project trained about 200 technical FD staff in forest inventory biophysical and FLES data collection, 10 FD staff in data entry and 2 staff in data analysis. In Viet Nam, the project conducted 17 training.

52.   Projects in Ecuador, Peru, and Zambia have involved relevant government stakeholders in policy and strategies development. In Peru for example, the project's Steering Committee has been an excellent forum for inter-sectoral policy and strategies discussion, involving in particular MINAGRI and MINAM, and joined by some representatives of decentralized governments (Departments). Connecting MINAGRI and MINAM in policy discussion through the PSC coordination has been a key success of the Project. In Zambia, the project implementation approach was inter-sectoral and multi-stakeholders, through the involvement of non-forestry stakeholders such as the government departments (e.g., Survey Department, National Remote Sensing Centre). However, projects in Tanzania and Viet Nam involved mostly one sector, though in Viet Nam other ministries, such as the Ministry of Finance and the Ministry of Natural Resources and Environment were represented in the PSC.

53.   Output 2.4, *"Countries have developed national financing strategies, plans and mechanisms for SFM, including climate change adaptation and mitigation, through participatory processes"* was of high importance because it links to sustainability of Programme results. However it did not get sufficient focus in most projects and the achievements are of limited scope.

54.   Overall, the partner countries projects enjoyed strong buy-in from and participation by government counterpart institutions. The involvement of policy-makers was limited, probably for lack of activities supporting different stages of policy cycles. Similarly there has been limited involvement of non-forestry or environment ministries in co-implementation of activities that may be relevant to their missions.

5.1.3   Outcome 3:   Sustainable forest management (SFM) more widely practiced, including through the application of Good Practices Guidelines, meeting the climate change adaptation needs and leading to reduction in deforestation and forest degradation

55.   Outcome 3 could not be achieved as formulated above in anyone of the five partner countries, because of the relatively short project durations. However some important activities relating to the support given by the Programme to developing, testing and dissemination of Guidelines under outputs 3.1, *"Guidelines for integrating climate change into forest management planning and operational practices"*, and output 3.2, "A Forest Guide for implementation of the International phytosanitary standards and measures and Good practices guidelines for Agroforestry systems prepared through multi-stakeholder processes and field tested in three to five countries". A Forest Guide for implementation of the International phytosanitary standards and measures, (…)" were carried out. Under Output 3.2, guidelines on integrating climate change into National Forest Programmes, namely by contributing to FAO (2011) publication "Climate Change for Forest Policy-Makers - An approach for integrating climate change into national forest programmes in support of sustainable forest management" were developed. Phytosanitary Guidelines have been

published, and experiences in Ecuador and Peru contributed to the development of Guidelines on Agroforestry. However, Output 3.3, "Strengthened country stakeholder capacity to implement existing Good Practices Guidelines towards achieving sustainable forest management in three to five partner countries", was not achieved because the projects were not involved in on-ground forest management activities.

5.1.4 *Outcome 4: Countries capabilities enhanced to meet their international forest related commitments and negotiations*

56.   The activities as defined in the ProDoc were not implemented as part of project plans. However the availability of forest inventory data improved countries reporting, and thus strengthened their capacities. In Ecuador, some project activities can be underwritten under this Outcome. The Project participated in the construction of the country's REDD+ proposal, with the participation of indigenous organizations in workshops convened by MAE and UNDP. It also participated in the preparation of the report on Ecuador's forest genetic resources, and it initiated support for the preparation of the Country report on forest genetic resources in collaboration with INIAP.

5.2 *Gender equality*

57.   Gender mainstreaming is the strategy adopted by the UN for integrating gender equality in programming. In its 1997 Report, the ECOSOC characterizes gender mainstreaming as a "strategy for making women's as well as men's concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation of policies and programme in all political, economic and societal spheres, so that women and men benefit equally and inequality is not perpetuated".

58.   The programme design reflected adequately FAO's commitment to gender equity, but the stakeholder analysis did not reflect specific gender priorities in partner countries. The ProDoc stated that FAO's Gender and Development Plan of Action for 2008-2013 would be the basis for mainstreaming gender issues and promoting gender equality in access to, control over, and management of forest and natural resources. On these bases it intended to make gender equality a crosscutting issue in the Programme. However, in the stakeholders and target beneficiaries analysis, women are mentioned without additional operational specification as far as targeting is concerned. The ProDoc did not provide an outline of specific gender equality considerations needing to be addressed by country level projects designs, based on an adequate gender analysis. It did not outline any output on gender equality, nor define gender sensitive indicators at Outcomes level to monitor Programme achievements in that area.

59.   At activities level, the Programme assisted partner countries projects to develop tools for use in collecting sex-disaggregated socio-economic data. However, there is considerable variance between countries in the way gender analyses are structured and on how gender roles should be taken into account in the implementation phase. In particular, the Programme helped develop gender-sensitive tools for forest assessment and inventories to improve information on how women use and benefit from forests. In the case of Zambia for example, gender equality is discussed extensively in the project document and gender issues are incorporated into activities such as incorporating gender variables in the ILUA database, recognizing gender in the background study reports, and integrating gender-specific data into socio-economic surveys. In Viet Nam, the NFA Project has included data collection on gender in its socio-economic data collection methods. In Tanzania, though the project document does not include specifically gender equality in its design, one of its development

objectives mentions women's involvement, and is formulated as "*mainstream the benefits of better forest resources management in national economies and policies for better involvement of women, alleviation of poverty and meeting the Millennium Development Goals*". No further specifications are given in more operational aspects, such as the specific objectives, outputs and indicators of achievements.

60.   In general, it can be expected that the statistics generated from the socio-economic surveys will likely contribute to highlighting gender-related forestry issues and designing of effective intervention policies in partner countries. The surveys took into consideration gender, and gender-specific data. For example, in Zambia gender-specific individual questionnaires and focus group discussions are conducted separately for men and women. The biophysical information generated from the projects shall, in the future, encourage governments and private investors to plan forest-based income generating enterprises and activities. The sustainable use of natural resources will positively enhance employment opportunities and reduce poverty in remote areas.

5.3   Capacity development

61.   The ProDoc paid adequate attention to capacity building. The partner countries projects made an appropriate balance between capacity building as a major focus area other activities. Training activities have contributed to enhancing the capacity of counterpart institutions staff in planning, conducting and analysing forest inventory and monitoring data. The training of the large numbers of field staff was an important contribution to the building of countries capacities for undertaking national forest inventory.

62.   In Tanzania, the capacity development for forest assessment was a noticeable effort by NAFORMA. An organizational structure and key staff were put in place to take advantage of the consultants and advisors for building the capacity. There was also an effort to make sure that there are capacities to use NFI data to influence forest management and policy. In Ecuador and Zambia, trainings were organized for the staff of respective counterpart ministries. In Viet Nam, training activities have contributed to enhancing the capacity of VNFOREST and FIPI staff in planning, conducting and analysing forest inventory and monitoring data. It should also be noted that the projects in partner countries procured modern equipment and devices for forest inventory, and high configuration computers for remote sensing data interpretation and forest mapping.

63.   Relating to capacity development, the FE noted that in Peru there are no strong linkages built between the project trainings and the institutions at national and sub-national levels. The country project claims that people who were trained in field tasks will be available in similar future operations. This is only partially true. People tend to move while institutions are more stable, and can ensure sustainability.

5.4   Human-Rights Based Approach

64.   In the understanding of this FE, enhancing Human Rights Based Approach (HRBA) in forest resource governance should aim at contributing to improved forest governance through strengthened capacities of the duty-bearers (government policy makers, forest administrators and managers at various levels, and elected leaders at sub-national and local level) and right-holders who depend on forests for their livelihoods. In HRBA approach, the projects designs should include outputs that support the right-holders and duty-bearers to organize platforms to interact and discuss, share information from forest assessment, plan actions to resolve any conflicts pertaining to forest goods and services delivery with duty-bearers.

65.   The Programme does not have in its design a theory of change contending that national forest resource inventory contributes to enabling marginalized communities as rights holders who depend on forest resources to claim rights to means of livelihoods and to duty bearers to collaborate with civil society service providers to ensure that benefits from the forests are increased and managed with mutual accountability. Rather, the ProDoc does seem to have a mitigated approach to what might resemble HRBA.

66.   The Programme did not plan outputs for strengthening civil society capacity to engage in policy dialogue and to hold government to account for the rights of communities to get benefits from the forest resources, and to create an enabling institutional environment to uphold the rights of forest dependent groups. Generally, no partner country project has included plans in its design to the support of processes and a strategies to build the capacity of the civil society to engage with government on crucial points regarding the way information of forest resource assessment can be used to enhance social accountability vis-à-vis the rights holders. In Peru the country project made an attempt to working at the community level, but the work has not aimed at influencing specific policies and practices that affect local communities and their ability to claim rights at an institutional level, such as district, departmental or national. One of the communities met by the FE was aware of the existence of the project and community level activities but could not mention any value addition as far as right holders are concerned.

67.   At country level, the reality is that human rights awareness in forest communities has increased in each one of the participating countries. However, in the forestry practices there is still no evidence to show that HRBA approach is integrated in SFM discourse at forest management unit level. The projects documents do not make a sufficient difference between mere community participation and HRBA approaches. While it is the responsibility of duty bearers to undertake their roles and responsibilities in line with national forest and environment law and government policies, in reality the duty bearers may not know the applicable policies and laws, have the required skills to carry out their responsibilities or the ability to reach marginalized people and groups. This is why partner countries projects should have cooperated with NGOs who may have that experience.

68.   To ensure that appropriate support for access and use of forest resources is available to communities that depend on forests, the Programme needed to design activities that focus on promoting the commitment of duty bearers to plan and deliver socially inclusive forestry development. This would have required going beyond the mere governance dimension, and design human-rights sensitive tools for forest assessments and inventories. At country project level, it would have further required cooperating with specialized partners to build the capacity of duty bearers at subnational levels.

5.5   *Partnerships and alliances*

69.   With respect to partnerships and alliances, the ProDoc states that "Outsourcing or partnership arrangements with other organizations, institutions, or private service providers will be undertaken in selected specialist fields such as testing new remote sensing technologies for forest monitoring (…)", and "the programme will also actively build partnerships and outsource such tasks which will benefit development of innovative new technologies and methods and support developing countries in their efforts". These statements have not been explicitly developed in the programme design. Although partnerships did take place during the implementation, in the ProDoc only Output 3.3, "The International Partnership (Fire Management Actions Alliance) to Implement the Fire

Management Voluntary Guidelines and Enhance International Cooperation" refers to this theme.

70.   Most stakeholders met by the FE agree that FAO has a considerable convening legitimacy and credibility that are key factors of success in establishing partnerships and alliances with key development partners at international and country levels. Partnerships and alliances at projects level have varied in scope and intensity depending on countries. At a wider level, the project has been active in establishing partnerships with research institutions and universities (Metla, JRC, CATIE, University of La Molina, Sokoine University of Agriculture, University of Göttingen, etc.) and has taken steps towards establishing Private-public partnerships (Google, Arbonaut). At country level, some countries projects have had limited success in developing cross-ministerial collaboration and coordination for their implementation. However, generally projects obtained support across ministries and agencies through a broad composition of the Steering Committees. Projects teams forged alliances and linkages with relevant stakeholders through workshops, or students work in the case of universities in Ecuador. There has been some interaction with other donor projects in different thematic areas. In Peru for example, the country project collaborated with Peru Forest Sector Initiative (USFS/PFSI) in the design of national forest inventory. FAO has collaborated closely with UNDP for the implementation of UN-REDD project in Ecuador, Tanzania, Viet Nam, and Zambia.

71.   In all the five partner countries, the FE believes that for "multi-purpose" NFI projects, it would have been more beneficial to build strategic partnerships by more involvement of specialized research and educational institutions, and the organizations of the civil society, and of course to collaborate more with sub-national governments where there are advanced processes of devolution of responsibility over natural resource management. In Peru for example, many key research stakeholders met believe that there was room to involve more in the NFI activities the universities and research institutions specialized in the Amazon, and the organizations of the civil society in the socioeconomic activities. A more extensive collaboration with Departments would have enhanced their capacities, improved cost-effectiveness and sustainability.

72.   Overall, there are no success stories of formal partnerships with Civil Society Organizations (CSOs) or private sector organizations, even where the potential is high. In Peru for example, opportunities were lost that could have allowed the project to establish linkages with the Academia, the CSOs, Indigenous Communities Organizations, and the Research institutions.

6 Analysis by evaluation criteria

Box 4.   Key findings

> **The programme is consistent with global priorities and challenges of achieving SFM, reducing deforestation, and mitigating climate change. It was efficient in making available resources to the five partner countries projects in conformity with their respective work plans. It has been effective in applying in all the five partner countries an integrated approach to assessing and monitoring of forest resources in multipurpose NFI that cover woody and non-wood forest resources, forest carbon and the socio-economic aspects, in all types of forests. The effectiveness is low with regard to inadequate protection of forests. Short-term impacts include using NFA as evidence base for the revised NFPs (ex. Tanzania), enhancing legal and regulatory frameworks to promote SFM (ex. Ecuador), reporting and using project generated information in REDD+ negotiations (ex. Ecuador), and enhanced institutional dialogue and collaboration (all the five partner countries).**

6.1 Relevance

73.   **The Programme is consistent with global priorities and challenges**. The key global priorities and challenges of achieving SFM, reducing deforestation, and mitigating climate change are adequately reflected in the design of the Programme. It is an intervention that is clearly addresses the challenges of deforestation and forest degradation, contributes to improving governance of forest resources, to enhancing institutional capacity and developing systems for monitoring forest resources and national forest carbon stocks. In particular, the Programme is a relevant response to UNFCCC negotiations and the emerging REDD+ agenda. However, as had noted the MTE, uncertainties over the future of REDD+ financing may be a challenge to this relevance.

74.   The Programme is also a relevant response to the need defined by CPF and COFO to strengthen national forest resource management in developing countries for a greater contribution towards sustainable livelihoods and land use. The geographical scope of the Programme (2 countries in Africa, 2 countries in Latin America, and one in Asia) enhances this relevance.

75.   **The alignment with partner countries policies is quite high**. With its holistic approach to sustainable forest management, the Programme is largely consistent with partner countries sustainable development needs and priorities. The Programme's intended Impact as stated in the ProDoc, which is "*To enhance the ecological, social and economic sustainability of forests and tree resources and increase their benefits for rural livelihoods and their role in mitigating of, and adaptation to, climate change*", is aligned to the partner countries policies frameworks of sustainable development, SFM, poverty eradication and mitigation of the effects of climate change. However, in countries with two-tiers political systems, the relevance of the Programme at subnational levels has been low. Yet reaching the objectives of SFM means that subnational governments need to take ownership and responsibility in managing forest inventory systems.

76.   Key stakeholders in the five partner countries are satisfied with the Programme's value addition as far as addressing global/regional challenges and priorities is concerned. The Programme is responsive to country needs of information for carbon markets negotiations, as well as needs in the use of land and forest resources to enhance sustainable livelihoods and

reduce poverty. It is particularly relevant for supporting changes in the forest sector with the aim of enhancing inter-sectorial cooperation and coordination in order to contribute to sustainable land use in developing countries economies and to achieve readiness for REDD+. Indeed one of the needs at country level is effective coordination and communication within government at the national and sub-national levels and among sectors.

77.   **The Programme is consistent with FAO's global goals for forests and forestry**. SFM is FAO's normative priority and is CPF's priority. FAO being chair of CPF, the Programme is consistent with its global goals. The Programme is also aligned with FAO's Strategic Objective 2 "*Increase and improve provision of goods and services from agriculture, forestry and fisheries in a sustainable manner*", Strategic Objective 3 "*Reduce rural poverty*", and Strategic Objective 5 "*Increase the resilience of livelihoods to threats and crises*".

6.2   Efficiency

The FE believes that in Ecuador and Tanzania where countries projects have already completed their planned activities, the Programme has achieved reasonably good value for money. In Viet Nam and Zambia, respective projects have a reasonable likelihood of high efficiency, but more for physical results that for their timeliness. The Programme was efficient in making available resources to the five partner countries projects in conformity with their work plans. The resources disbursed allowed projects to achieve high activity execution rates. These resources were used adequately, in respect of FAO's rules.

78.   In the case of Peru, financial management was a factor of problems in the implementation of its NFI the project. Matching the funds for the different counterpart institutions (MINAGRI, MINAM, Regional governments) has been a quite complicated process, since each entity has its financial management modalities, sources of financing and even its own spending and accountability guidelines. For the NFI project, this involves wasting much time and effort on heavy administrative procedures. Furthermore, while MINAM had funding to cover its counterpart contribution, MINAGRI lacked budget to support its counterpart for field operations. In 2014, there were problems in carrying out fieldwork due mainly to the lack of funds.

79.   To overcome the financial constraints, the project adopted the panelled inventory approach, by which the total number of sample plots in the country (1850) is divided into five parts called panels, which involves measuring one fifth of the total number of the plots every year. This means that the project cannot have the results with the targeted accuracy before the end of the fifth year. Using the panel approach would not yield precise results until after the fifth year because the desired target sampling error would only be achieved after all the panels are completed.

80.   **The financial resources met the requirements for projects execution**. Efficiency in terms of meeting most project targets was adequate. The Project's cost efficiency was very good. Funds were disbursed directly to the country level projects implementation coordination, which reduced the management cost and strengthened proponents' ownership. The cost-efficient measures adopted resulted in the successful completion of the project within the budget.

81.   **Monitoring and evaluation systems.** On monitoring and evaluation (M&E), the countries projects have generally produced the required progress and financial reports in a

timely manner. However, using M&E systems as an integral part of project implementation and management processes has been a weak point in the partner countries projects. Under its sub-chapter "5.2 Monitoring and Knowledge Sharing", the ProDoc has not provided sufficient guidance on how partners' projects should elaborate their M&E systems

6.3 Effectiveness

82. Effectiveness measures the extent to which the Programme's intended results have been achieved. The FE of effectiveness is based on the Programme's higher-level Outcome, "*Better realization of the benefits from forest resources management, through improved knowledge and information, enhanced participatory policy and planning processes and strengthened linkages between sectors*", and the five lower-level Outcomes. This sub-chapter analyses therefore the extent to which the planned outputs were achieved and the intended outcomes were attained. A ROtI analysis is carried out to assess the overall likelihood of impact achievement at the stage of Programme completion.

6.3.1 Achievement of Outputs and attainment of Outcomes

83. The effectiveness of the Programme was compromised by its design which was overly ambitious as far as the scope of the impact and many Outcomes and Outputs is concerned. The scatter of activities reduced the focus of partner countries project. The problem was further compounded by the limited duration and resources of the Programme. The project's effectiveness varied significantly between countries and according to Outcomes.

84. The Programme has a great potential of contributing to improved knowledge and information, enhanced participatory policy and planning processes, and strengthened linkages between sectors. Measured by how far the five partner countries benefited from the products of respective projects, the Programme made a concrete difference. Though the countries did not make progress at the same pace, and Peru did not yet deliver expected results at the time of this FE, the Programme went a long way to attain key outcomes in Ecuador and Tanzania. For the first time, these two countries had reliable multipurpose forest inventory data, also covering forest carbon and non-timber forest products. Further to having information, the two countries took steps to mainstream forestry into national development, and to enhance participatory SFM policy and planning. As mentioned earlier, in Ecuador the Draft Environmental Code and Draft Forest Law are at the level of Parliament. In Tanzania, NAFORMA results have been an evidence base for the revised NFP 2015-2024[7].

85. In all the five partner countries, the projects have been most effective with the Outputs relating to NFI. Progress was achieved with a highly innovative approach of associating socio-economic survey in ground sampling and in data analysis for NFI. These results, in addition to staff training and development of NFI methodologies and tools have arguably strengthened the capacity of the countries in planning and implementation of SFM and REDD through better information, dissemination of information, and improved multi-sectoral dialogue. The Programme was therefore effective in creating new opportunities of cross-sectoral dialogue and communication by supporting the removal of barriers towards the integration in NFI and NFA of climate change and socio-economic dimensions.

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[7] Report of the National Forest Resources Monitoring and Assessment of Tanzania (NAFORMA) prefaced by M. Juma Mgoo, Chief Executive Officer, Tanzania Forest Service Agency. See also http://www.naforma.mnrt.go.tz.

86.   **The Programme was not effective with regards to Outcomes 3**. As already mentioned, the overly ambitious Programme design with regard to Outcome 3 on "Sustainable forest management (SFM) more widely practiced, including through the application of Good Practices Guidelines, meeting the climate change adaptation needs and leading to reduction in deforestation and forest degradation" did not allow its attainment, which affects the overall effectiveness of the initiative. One of the issues outlined in the project justification, "Need of a strategic approach to improve forest health and fire management" has not been adequately addressed for not having been focused in partner countries project designs.

87.   **One of the key factors of the Programme's effectiveness is the support role played by FAO.** FAO, through the Team in the Headquarters, Rome, has demonstrated a great capacity and ability to promote and accompany processes of inter-sectoral policy dialogue. A similar capacity was demonstrated in developing capacities in partner countries to use the cutting-edge technical technologies in forest resource monitoring and forest inventories. According to people who were interviewed, the attributes that explain the effectiveness of FAO's quality technical support provided include the consistency and robustness of its needs analysis, the development of inventory methodologies and tools that generate information which is perceived as valid and reliable, the skills of the technical personnel of the HQ Office, and above all, the readiness to address the needs expressed by member countries.

6.3.2   ROtI Analysis: the likelihood of progress from Outputs and Outcomes towards Impact at Programme completion

88.   It is a challenging task to assess the overall effectiveness of the Programme in the absence of data from M&E systems at partner countries projects level. To overcome this difficulty, the FE used the ROtI, a process oriented and cost effective method of assessing the potential of a project to deliver impact in the future, as explained earlier. The assessment is presented according to the three pathways that have been identified for achieving the Programme's Impacts. The pathways link with identified intermediate states as Figure 1 illustrates. The intermediate states are considered as necessary to reach impacts in the future. The overall effectiveness of the Programme is therefore commensurate with the extent to which it has attained the intermediate states at its completion.

89.   **Intermediate state "*The partner countries are REDD+ ready*"**. The Programme Outcomes allowing delivering this intermediate state are is Outcomes 1 and 4. Progress towards this intermediate state is built on the Assumption "*Adequate coordination with other initiatives for establishing national carbon stocks*". This assumption holds true in all the five partner countries where there have been efforts in coordinating and collaborating with other initiatives, such as UN-REDD projects. The Impact Driver "*Functional MRV systems are in place in partner countries*" is largely achieved in Ecuador and Tanzania.

90.   **Intermediate state "*Cross-sectoral dialogue and stakeholders participation are effective".*** Progress toward this intermediate state delivered through Outcome 2 is built on the Assumption "*Broad-based stakeholders support for SFM in partner countries*". The FE believes that this assumption holds true in all the five partner countries, given the opportunities that respective projects have offered for cross-sectoral dialogue and collaboration. However, it may be compromised in the countries with advanced political decentralization, where projects have not integrated sub-national governments in their implementation. In Peru, the issue of coordination between national and sub-national levels of governance was not a focus of the country project. However, some Departmental

governments expressed an interest of collaborating with the country project, and provided contributions to its budget to support inventory operations.

91.   The Impact Driver for this intermediate state was identified as *"Existing policies and laws are enhanced to enable stakeholders participation"*. This will be achieved in Ecuador with the expected enhancement of the legal and regulatory frameworks.

92.   **Intermediate state *"Enabling legal, regulatory and institutional frameworks are developed to enhance SFM".*** Programme Outcome 3 allows delivering this intermediate outcome. The key Assumption is the strong political commitment of partner countries to enhance SFM. The FE found that this assumption holds true in at least three of the five partner countries, and there is a varying progress in the others. The progress made by Ecuador in improving its legal and regulatory frameworks, and setting up a forest resources monitoring unit in MAE has already been described. In Peru, in the start the project could not develop a solid process of institutionalization at national and regional level for long-term forest inventory and monitoring. However, the potential results of its activities prompted the establishment of SERFOR, an institution that will ensure the use of its results. In Tanzania, FBD took a decision to have NAFORMA organizational set up institutionalized within its structure. In Zambia, FLES is linked to the Central Statistics Office which conducts regular surveys, studies and assessments, and reports to the nation. However, in Viet Nam as well as in Zambia, to hold true this assumption needs the approval by respective government relevant authorities of NFA tools and guidelines developed by the project. Furthermore, the capacities put in place by respective projects need to be further institutionalized in order to move beyond the projects outputs and outcomes towards impacts.

93.   In addition to the Assumption, two Impact Drivers were identified as critical factors to bridge the gap between the Outcomes 3 and the above intermediate state. These are: (i) information from NFI and thematic surveys is made available to decision-makers, and (ii) partner countries institutional and professional capacities are strengthened. The Impact Drivers (i) and (ii) were largely achieved because they relate to the areas of work in which the projects had most success, i.e. NFI and NFA information and staff and institutional capacity building. The Impact Driver (ii) was largely achieved in most countries where additional funding was provided to support NFA and NFI implementation, which is a sign of ownership of the projects.

94.   To conclude this ROtI analysis, the FE is of the view that the intermediate states needed to attain the desired Programme impacts are already in place in partner countries, though at varying extents depending on countries contexts. The same can be said of the realization of impact drivers. To contribute to the attainment of the Impact, follow-up action will be needed to address differentially the problems where impact drivers need to be achieved and assumptions met.

6.4   Sustainability

95.   Sustainability is understood as the likelihood of the Programme benefits to be delivered for an extended period of time after its completion. The FE found that the project design provided opportunities for national partners to participate in the implementation of the projects. At country level, design decisions that have worked well in favour of sustainability include the modality of counterpart funding in Ecuador, Peru, and Tanzania, the anchoring of the project office in the official counterpart structure and the institutionalization of project activities, the involvement of key officials in the governance and administration of the

project, and the decision to partner with statutory government institutions. However, it was found that the considerations given to sustainability in the Programme Document are general and did not provide sufficient guidance to formulators of partner countries projects as far as ensuring sustainability is concerned. Hence the projects in the five partner countries concentrated their effort on the implementation activities, and there was little reflection on exit strategies and sustainability of the results. For this reason, the assessment of sustainability at this stage of the Programme is largely forward looking. No hard overarching conclusions can be drawn as most projects did not build M&E systems to collect information on which firm conclusions can be based. The FE will only make an attempt to identify key elements that make believe that certain results are sustainable.

96.   To start, it should be recalled that with regard to sustainability of results achieved with the Programme's support, the FE found that the main factor in favour is strong government ownership. Indeed, government agencies have in many cases designed the original project proposals before the Programme came into being. They have been the direct beneficiaries of Programme's support and earliest users of its results. In most cases they have been directly involved in the implementation of respective projects. The FE considers this to be an important factor of sustainability. Another factor of sustainability is the success made by all the five partner countries in embedding the concept of SFM in the national discourse on sustainable development. Tanzania has even swiftly gone further in implementing NAFORMA results as integral part of NFP 2015-2024.

97.   However, the results in many partner countries remain fragile and a continued technical and financial support will be still needed. The main obstacle to sustainability of results achieved up to now is the absence of modalities to ensure long-term financing for addressing continuous inventory, particularly in countries with decentralized political systems, where forest resource management responsibilities may be strongly decentralized.

98.   The political sustainability of the Programme is certain in all the five countries. It is mainly grounded in the alignment of the project to national policies and priorities and to countries international engagements as far as international conventions are concerned. In Peru and Ecuador, the FE found a strong commitment among the stakeholders to continue working towards reaching project goals and objectives even after the completion of the present project.

99.   The technical sustainability will largely depend on the strategy of forging alliances with universities and research institutions to support efforts to ensure the constant replenishment and updating of the skills. Of all the project activities, the ones relating to forest inventory, institutional development and coordination, capacity building and normative work are likely to be the most sustainable.

100. In relation to institutional sustainability, the evidence gathered by the FE gives strong signals. On the one hand, there are clear commitments by governments to use data for planning, which requires strengthening their relevant forest service (ex. Tanzania), setting up more empowered institutions (ex. SERFOR in Peru) or setting up forest monitoring units (ex. Ecuador).

101. Financial sustainability of the project is considered moderately likely in most of the partner countries, based on the fact that at least most of them have contributed important amounts of their own resources to respect country projects budgets. There is also a high likelihood that the information provided by the projects will allow to have access to REDD+

resources. On the other hand, the activities to achieve livelihoods sustainability in some countries may not be self-supporting, in the face of community needs.

6.5 Impacts

102. The FE of impacts looks beyond the Programme's outcomes to analyse the likelihood of achieving the Programme's intended Impact, which is "To enhance the ecological, social and economic sustainability of forests and tree resources and increase their benefits for rural livelihoods and their role in mitigating of, and adaptation to, climate change". It should be recalled that the outcomes are the achieved or the likely short-term and medium-term effects of a project's outputs, while the impact is about its long-term effects.

103. It is still too early to assess the overall Impact of the Programme, as the activities of partner countries projects are only recently completed (Ecuador and Tanzania) or are not yet completed (Peru, Viet Nam and Zambia). In addition to this, assessing the impact in such an a final evaluation exercise is difficult as the partner countries projects did not set up M&E systems that could have provided the data. However, projects in the five projects have had some early significant short-term impact and show trends of strong likelihood of long-term impacts. Indeed the ROtI analysis presented earlier provides indications that there is a strong likelihood that some desired Programme impacts will be attained in varying extents and pace depending on partner countries contexts. On this basis some earlier impacts can be described at this stage. In Peru the likelihood of impact is less than expected, largely because the lack of inventory was subject of scepticism among the stakeholders at the time this FE took place.

104. The five partner countries have not yet reached the stage of more efficient and effective SFM of all types of forests but they have enhanced their reporting capacities. The Programme supported forest inventory projects in five partner countries. These projects provided the NFI data that constitutes credible baselines and have the potential to support policies aimed at promoting planning processes at national and sub-national levels, and changing forest management practices. Furthermore, the countries have obligations for reporting to international organizations and processes such as FAO's FRA, CBD, and UNFCC. They are now in a position of fulfilling the requirements of those organizations. With regard to effective SFM, at the scale of sampling used by the projects, the NFIs do not provide information to meet the needs related to planning and management at the Forest Management Unit level.

105. The partner countries NFI results are building blocks for making forest resource management an integral part of the sustainable development processes. Information from partner countries national forest inventories is of direct use to support the national level planning and reporting processes and for developing policies and plans and policies to address the challenges facing sustainable forest resource management. In Tanzania for example, NAFORMA results have been an evidence base for the revised NFP 2015-2024. The NFP relies on NAFORMA findings to target the areas in need of intervention.

106. The partner countries projects enhanced better information and supported knowledge through effective national forest monitoring systems. The NFI approaches used by partner countries projects include gathering data on forest products and services derived from sample areas, property rights and policies associated with such products and services, as well as the socioeconomic and institutional characteristics of forest use and users. The information generated allows national forest policy analysts and decision makers to develop knowledge about the factors that affect the changing forest condition in a country. It can also make it

possible to monitor the effects of previous policy efforts and to develop alternative policy instruments that are more effective in achieving the national forest policy goals. In Tanzania, NAFORMA results have shown that the main drivers of deforestation and forest degradation are population growth, growing energy needs, poverty and agricultural expansion. They have further shown the need for holistic and integrated planning across sectors. The current loss of forest resources cannot be halted through sustainable forest management alone but will need addressing the drivers related to energy, agriculture and population growth as well. In Peru, the project was a point of contact and coordination between MINAGRI and MINAM to support the implementation of the forest inventory.

107. There is no evidence yet of the likelihoods of changes in forest management that contribute to poverty alleviation and to meeting the MDGs in the partner countries. To achieve impacts on livelihoods, it is important to address development issues affecting groups that depend on forests by working at the local level in order to foster people's capacity to act and play an active role in determining their own outcomes. In this regard, the partner countries projects allowed capturing the characteristics of human communities adjacent to forests. They also allowed a possibility of carrying out a close analysis of the link between the biophysical and socioeconomic data, thereby strengthening the policy relevance of the NFI data. They also make it possible to conduct a robust analysis of forest-related factors that affect the livelihoods of people and how they relate to the biophysical conditions of forests.

108. Overall, the main message conveyed by the Programme on use of inventory data to change or improve policy was effectively received and was having effects. Although it was not possible to quantify the emerging impacts outcomes and impacts, the interviews conducted and documentation consulted point to changes and early positive impacts that are occurring in the counterpart institutions of partner countries. Also the practical skills developed to design and conduct inventory are contributing to institutional development. Thanks to the technical skills acquired, particularly as relates to forest inventory, countries are now better equipped to successfully administer forest information services. Some positive externalities have also been observed in the use of project-generated information by donors in REDD+ negotiations (ex. Ecuador).

7 Conclusions and Recommendations

Key Findings

109. The FE found that the Programme is consistent with key global priorities and challenges of achieving SFM, reducing deforestation, and mitigating climate change are adequately reflected in the design of the Programme. The Programme is also a relevant response to the need defined by CPF and COFO to strengthen national forest resource management in developing countries for a greater contribution towards sustainable livelihoods and land use. The Programme's expected impact is aligned to the partner countries policy frameworks of sustainable development, SFM, poverty eradication and mitigation of the effects of climate change. It responded to their needs of information for carbon markets negotiations, as well as needs in the use of land and forest resources to enhance sustainable livelihoods and reduce poverty.

110. The Programme is very complex and its expected double impact is too ambitious. Overall its design has not adequately captured the ambition that is illustrated by the gap between the dimensionality of the expected impact and the limited scope of the outputs as far as resources and time are concerned. The high number of activities gives an impression of a fragmented initiative. The design of the Programme lacks a unifying theory of change as to how its activities and processes enhance ecological, social and economic sustainability of forests and tree resources and increase their benefits for rural livelihoods and their role in mitigating of, and adaptation to, climate change. The FE overcame this weakness by reconstructing a ToC and ROtI

111. In terms of technical coordination and financial resource management, a Technical Unit at FAO/HQs, Rome, provided regular backstopping and oversight missions to the partner countries projects and other countries as well, to ensure that high standards of technical implementation are respected and to respond to specific demands of technical assistance. All the partners in the five partner countries perceive the management by the Technical Unit at FAO HQ as highly effective. In most cases the right institutions were chosen to anchor and implement the projects.

112. In all the five partner countries, the projects have been most effective with the outputs relating to NFI. Progress was achieved with a highly innovative approach of associating socio-economic survey with ground sampling and in data analysis for NFI. These results, in addition to staff training and development of NFI methodologies and tools have arguably strengthened the capacity of the countries in planning and implementation of SFM and REDD through better information, dissemination of information, and improved multi-sectoral dialogue.

113. The programme has achieved clear results under the four outcomes (see Table 2). It was particularly successful in applying in all the five partner countries an integrated approach to assessing and monitoring of forest resources in multipurpose NFI. The field manuals and inventory tools were produced and used in supporting staff capacity building. Training activities have contributed to enhancing the capacity of counterpart institutions staff in planning, conducting and analysing forest inventory and monitoring data. The Project was therefore effective in creating new opportunities of cross-sectoral dialogue and communication by supporting the removal of barriers towards the integration in NFI and NFA of climate change and socio-economic dimensions.

114. The programme complexity and its too ambitious expected impact implies that the programme was compromised by its design, however, the Programme went a long way to achieve its Outcomes in Ecuador and Tanzania. For the first time, these two countries had reliable multipurpose forest inventory data, also covering forest carbon and non-timber forest products. Further to having information, the two countries took steps to mainstream forestry into national development, and to enhance participatory SFM policy and planning. In Ecuador, the Draft Environmental Code and Draft Forest Law are at the level of Parliament. In Tanzania, NAFORMA results have been an evidence base for the revised NFP 2015-2024.

115. The Programme design adequately reflected FAO's commitment to gender equality, but this was not sufficiently reflected in the stakeholders and target beneficiaries analysis. Overall, there are no success stories of formal partnerships with Civil Society Organizations (CSOs) or private sector organizations, research and educational institutions.

116. The Programme was efficient in making available the resources to the five partner countries projects in conformity with their plans of operations. In two of the five partner countries (Ecuador and Tanzania) the projects have already completed their planned activities, with a reasonably good value for money spent, based on project reports and interviews with project stakeholders. In the three other countries, respective projects have a reasonable likelihood of high efficiency, but more for physical results that for their timeliness. Efficiency in terms of meeting most project targets was adequate. The Programme's cost efficiency was very good. Funds were disbursed directly to the country level projects implementation coordination, which reduced the management cost and strengthened proponents' ownership. The cost-efficient measures adopted resulted in the successful completion of the project within the budget. The partner countries projects have generally produced the required progress and financial reports in a timely manner. However, using M&E systems as an integral part of project implementation and management processes has been a weak point in the partner countries projects.

117. No firm overarching conclusions can be drawn on sustainability of the results of the Programme, as most partner countries projects did not build M&E systems to collect information on which firm conclusions can be based. However, partner country level decisions that have worked well in favour of sustainability include the modality of counterpart funding (in Ecuador, Peru, and Tanzania), the anchoring of the project office in the official counterpart structure and the institutionalization of project activities (Ecuador, Tanzania, Viet Nam, Zambia), the involvement of key officials in the governance and administration of the project, and the decision to partner with statutory government institutions.

118. The FE found that the Programme Document did not provide sufficient guidance to formulators of partner countries projects as far as ensuring sustainability is concerned. Hence the projects in the five partner countries did not reflect sufficiently on exit strategies and sustainability of the results.

119. It is still too early to assess the overall impact of the programme, as the activities of partner countries projects are only recently completed (Ecuador and Tanzania) or are not yet completed (Peru, Viet Nam and Zambia). However, the ROtI analysis carried out by the FE indicated that there is a strong likelihood that some desired Project impacts will be attained in varying extents and pace depending on partner countries contexts. Earlier impacts include enhanced better information and supported knowledge through effective national forest monitoring systems. The information generated allows national forest policy analysts and

decision makers to develop knowledge about the factors that affect the changing forest condition in a country. It can also make it possible to monitor the effects of previous policy efforts and to develop alternative policy instruments that are more effective in achieving the national forest policy goals.

7.1 Conclusions

120. Based on the evidence collected in this FE, the following conclusions can be drawn around all evaluation questions, as follows.

121. *Are key global and regional priorities and challenges adequately reflected in the design? Is the Program adding value as far as addressing global/regional challenges and priorities is concerned?*

122. The Programme's design clearly addresses the global and regional challenges of deforestation and forest degradation. It highlights activities that are aimed to improving governance of forest resources, enhancing institutional capacity and developing systems for monitoring forest resources and national forest carbon stocks. In particular, the Programme is a relevant response to UNFCCC negotiations and the emerging REDD+ agenda. The Program is therefore adding value as far as addressing global/regional challenges and priorities is concerned.

123. *Was the Program design appropriate for achieving the objectives (links with outcomes and outputs and activities, financial allocations, project management, supervision, M&E arrangements)?*

124. Overall, the Programme has made good progress towards the first 3 of the 4 Outcomes although there are important differences in progress among the five partner countries. It has been effective in achieving most key outputs level results. With regard to the issue of the difficulties of developing countries in reporting on their forests, and to the lack of accurate field data on the extent of and condition of forests, the Programme supported national forest monitoring and assessment (NFMA) and multipurpose national forest inventories. The support included the concept and harmonization of field approach to NFMA and NFI, information management, reporting and support to national policy impact analysis. The Programme was also successful in applying in all the five partner countries an integrated approach to assessing and monitoring of forest resources in multipurpose NFI that cover woody and non-wood forest resources, forest carbon and the socio-economic aspects, in all types of forests.

125. *Is the program aligned with FAO Strategic Objectives SO2, SO3 and SO5?*

126. The Programme is consistent with FAO's global goals for forests and forestry. SFM is FAO's normative priority and is CPF's priority. FAO being chair of CPF, the Programme is consistent with its global goals. The Programme is also aligned with FAO's Strategic Objective 2 "Increase and improve provision of goods and services from agriculture, forestry and fisheries in a sustainable manner", Strategic Objective 3 "Reduce rural poverty", and Strategic Objective 5 "Increase the resilience of livelihoods to threats and crises".

127. *Is the Program aligned with the global Forest Resources Assessment program priorities?*

128. The Project has enhanced the capacities of participating countries to assess the state of their national forests and to use remote sensing technologies to monitor changes in areas under forest use. At the same time it has strengthened the countries' capacity to improve their forest resource information base, which is quite in line with FRA's priorities.

129. *Did the financial resources meet the requirements for project execution?*

130. Overall, the Programme was efficient in making available resources to the five partner countries projects in conformity with their work plans. The resources disbursed allowed projects to achieve high activity execution rates. The cost-efficient measures adopted resulted in the successful completion of the Project within the budget.

131. *Have the planned outputs been produced in quantity, quality and time frame?*

132. Achieving outputs in quantity, quality and time frame was compromised by the Programme design which was overly ambitious as far as the scope of many Outputs is concerned. The limited duration and resources of the Programme further compounded the problem. The achievement of Outputs varied between countries and according to Outcomes. Outcome 3 was overly ambitious in its formulation and all its Outputs cannot be achieved in project durations of 4-5 years. However in all the five partner countries, the projects have been most effective with the Outputs relating to NFI.

133. *How much has been achieved by participating countries in progressing towards more efficient and effective sustainable management of all types of forests? How much progress was made in making forest resource management an integral part of the sustainable development processes, better linked with relevant sector and contributing to sustainable land use and livelihoods?*

134. The five partner countries have not yet reached the stage of more efficient and effective SFM of all types of forests but they have enhanced their reporting capacities. The NFIs do not provide information to meet the needs related to planning and management at the Forest Management Unit level. However the information they provide can be used to support developing policies and plans to address the challenges facing sustainable forest resource management. The NFI results are building blocks for making forest resource management an integral part of the sustainable development processes. There is no evidence yet of the likelihood of changes in forest management that contributes to sustainable land use and livelihoods.

135. *How much progress was made in enhancing better information and supporting knowledge through effective national forest monitoring systems?*

136. The partner countries projects enhanced better information and supported knowledge through effective national forest monitoring systems. The NFI approaches used include gathering data on forest products and services derived from sample areas, property rights and policies associated with such products and services, as well as the socioeconomic and institutional characteristics of forest use and users. The information generated allows national forest policy analysts and decision makers to develop knowledge about the factors that affect the changing forest condition in a country.

137. *How much progress was made in establishing effective and more holistic, intersectoral, multidisciplinary and participatory approaches to forest protection for fire and forest health management?*

138. The theme "forest protection for fire and forest health management" has not been adequately addressed for not having been focused in partner countries project designs.

139. *How much progress was made in enhancing public participation, more institutionalized and better integrated with national forest management processes?*

140. Public participation was enhanced in all five participating countries, given the opportunities that respective projects have offered for cross-sectoral dialogue and collaboration. However, it may be compromised in the countries with advanced political decentralization, where projects have not integrated sub-national governments in their implementation. It is also compromised by the week integration of the gender equality dimension.

141. *Did the program contribute to broadening the scope of forest management?*

142. The Project has largely succeeded in broadening the scope of forest management. In addition to supporting national NFIs in partner countries, it has positioned key issues of carbon assessment and monitoring, and socio-economic aspects which are usually not taken into account in traditional forest inventories, and has helped produce information allowing reporting and support to national policy processes and national development agendas.

143. *Are there changes in forest management that contribute to poverty alleviation and to meeting the MDGs in participating countries?*

144. There is no evidence yet of the likelihood of changes in forest management that contribute to poverty alleviation and to meeting the MDGs in the partner countries. However, the partner countries projects allowed capturing the characteristics of human communities adjacent to forests. They also allowed a possibility of carrying out a close analysis of the link between the biophysical and socioeconomic data, thereby strengthening the policy relevance of the NFI data. Furthermore, they make it possible to conduct a robust analysis of forest-related factors that affect the livelihoods of people and how they relate to the biophysical conditions of forests.

145. *What are the changes in the extent and quality of stakeholder participation?*

146. The extent of changes in quality of stakeholder participation is likely to be strong in Ecuador with the expected enhancement of the legal and regulatory frameworks.

147. *To what extent the Programme supported approaches will continue?*

148. The implementation arrangements adopted by the Program allowed counterpart institutions to have full leadership in planning and implementation of the project activities and coordinate the interventions of the national stakeholders and partners. This is favourable to the continuation of the Programme supported approaches for the long-term monitoring programme. In some countries, the main obstacle could be the absence of modalities to ensure long-term financing for addressing continuous inventory, particularly in states with

decentralized political systems, where forest resource management responsibilities may be strongly decentralized.

7.2   Recommendations

Recommendation 1 to FAO and the Programme Donor on programme extension

> A second phase is highly recommended to consolidate the partner countries projects' achievements and strengthen their capacities in analysing the huge quantities of NFI data for their use in policy-making and development planning processes.

149.   The FE suggests to focus on following aspects:
- Pursue the unachieved outcomes differentially according to partner countries specific needs.
- In countries with two-tiers governance systems, the design of follow-up NFI interventions should take into account the responsibilities and needs of the sub-national governments, and the fact that there is greater scope for using multipurpose NFI data to address sustainable land use and livelihoods needs at sub-national than national level.
- Build capacity of counterpart institutions in partner countries in NFI data analysis and interpretation, but also in policy analysis to enhance evidence-based decision-making.
- Support pilot ground FRM activities designed to influence policy processes and to allow scaling-up.
- Support participation of academic and research institutions, and organizations of the civil society as strategic partners in forest resource assessment and monitoring.

Recommendation 2 to FAO on improving programme and project designs.

> When designing projects aiming at policy, institutional, and forest management practices, FAO should formulate realistic outcomes that should lead to the attainment of impacts.

150.   The FE suggests that a particular attention be paid on the following aspects:

- The design should be explicit on the assumptions underlying the causal links between the various elements of the results chain. The outputs, outcomes, impacts and respective indicators in the Logical Frameworks should be formulated to be achievable within a reasonable and specified timeframe, measurable, and (if feasible) quantifiable. The criteria or indicators for measuring impacts should be clearly presented in the Logical Framework. Projects designs should have sound built-in exit strategies.
- Pilot type projects should identify measures for post-project situations particularly where there are assumptions on policy decisions to be adopted and allocation of resources needing to be integrated into counterpart institution's work programmes.
- Provide sufficient guidance on the establishment of M&E systems in order to enhance likelihood of achieving the expected outcomes and impact.
- Include specific policy dialogue outputs and respective indicators of achievements in the Logical frameworks, and allocate sufficient resources in the budgets.

Recommendation 3 to FAO on gender mainstreaming

FAO should deliberately strengthen gender mainstreaming in project design to reflect its commitment to gender equity and the priorities of the beneficiary countries.

151. The FE suggests a particular attention on the following aspects:
- Mainstream best practices and approaches in the identification of gender issues and deliberately include them in programme/project design.
- Develop specific gender equity outcomes and indicators for the programme/project.
- Provide guidance for the development of gender action plans at project level.
- Allocate adequate resources to achieve gender outcomes.

Recommendation 4 to FAO and partner countries on sustainability of project results

FAO's Programme management and partner countries should start discussions about institutional and financial sustainability at the stage of project design.

152. In some of the partner countries, two aspects of sustainability should be addressed in the perspective of follow-up actions or similar initiatives in new partner countries: institutional and financial sustainability. The FE suggests a particular attention on the following aspects:
- Include in the initiatives exit strategies in form of exit plans.
- In countries where there may be some uncertainty on financial sustainability include in the design of the initiative outputs and activities aimed at ensuring that financial and economic resources will be available after the initiative ends.

8 Lessons Learned

153. With respect to the Programme and the partner countries projects the following key lessons may be drawn from the findings and conclusions.

Lesson 1. The ToC provides a means of validating causal linkages between activities, outputs, and outcomes, thus yielding an adaptive framework for measuring and achieving change. The development of an explicit ToC is essential for sound project management and effective stakeholder engagement.

Lesson 2. The technical aspects are not the most important factors for the effectiveness and sustainability of the project. There are process dimensions and contextual factors in a country's political economy that are as important as the amount, quality and timeliness of the outputs. In Peru for example, greater efforts could have been dedicated to establishing strategic partnerships with government and non-government institutions at national and local level.

Lesson 3: Government approval and support of a project does not necessarily mean there is readiness to implement it. The case of Peru shows that where more than one ministries are interested in a project, it is important to clarify political leadership and the share of roles, and be sure of the buying in of implementation arrangements by all line ministries.

Lesson 4. Projects promoting cross-sector collaboration and stakeholders' participation, particularly in complex two-tier governance systems should be designed after a well-conducted political economy analysis to better understand the factors that determine the quality and outcomes of the policy change process that will be supported.

Lesson 5. Strong project coordination, with clear political leadership, enhances ownership and stakeholders collaboration. In countries with strong coordination, with partners and stakeholders sharing information on results and progress, there are good opportunities for national ownership and future cross-sectoral collaboration. Integration of project results into national policy processes is more likely.

Lesson 6. More focused "Outcomes" tend to have greater impact, and represent more strategic interventions, compared with outcomes that give the impression that the Programme tries to do it all. Ensuring the scope of a project is consistent with the resources and time frame allocated to it is critical to its success.

Lesson 7. Capacity building through learning by doing build ownership and enhances impact and sustainability. A large part of the success of partner country projects is due to the training given to the staff involved in field NFI operations.

Lesson 8. The biomass of lianas and climbers is an important part of the aboveground biomass in tropical natural forests. The information on that biomass should be captured in in multipurpose forest inventories.

Annexes to the final evaluation report

Annex 1.   Evaluation terms of reference

Background of the Project

1. The agreement between the Government of Finland and FAO on a four year "Sustainable Forest Management in a Changing Climate Programme" was signed in March 2009 with an initial budget of € 14 million. Following FAO's request, Finland granted the Programme additional funding of 1.25 million euros and an extension until the end of 2014. Thus the originally four year programme was extended to last five years and its total budget became € 15.25 million.

2. The project focuses on building capacity, testing and developing methodologies, and delivering good practices and methods on sustainable forest management at the national level in the partner countries; Ecuador, Peru, Tanzania, Viet Nam and Zambia. It aims to mainstream forestry into other sectors and therefore addresses not only the sustainable supply of goods and services from forest resources, but also the social, political, economic, and environmental contexts for sustainable forest management – including policies and institutions.

3. The project supports the establishment/formulation of a core team in FAO headquarters to oversee the planning and implementation of the country activities in the five partner countries. About 46 percent of the total budget has been allocated to the five partner countries and regional activities, and the remaining 54 percept to FAO headquarters for development of tools and methodologies, backstopping of country activities, external expert support and for Programme management.

The immediate objective of the project is:

4. Reverse the loss of forest cover worldwide through sustainable forest management, including protection, restoration, afforestation and reforestation, and increase efforts to prevent forest degradation; enhance forest-based economic, social and environmental benefits, including by improving the livelihoods of forest dependent people; increase significantly the area of protected forests worldwide and other areas of sustainably managed forests, as well as the proportion of forest products from sustainably managed forests; and reverse the decline in official development assistance for sustainable forest management and mobilize significantly increased new and additional financial resources from all sources for the implementation of sustainable forest management

The project's outcomes are[8]:

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[8]   The support has been targeted especially to the "Strengthening of the information base for sustainable forest management: Building countries' capacities to manage forests and trees based on timely and reliable information" component of FAO's Strategic Framework, which was defined by the Conference Committee in November 2008 as a possible Impact Focus Area where extra-budgetary resources are needed. Accordingly, some 70 percent of the Programme budget has been allocated to achieving Outcome 1: "Policy

- Outcome 1: Policy and practice affecting forests and forestry are based on timely and reliable NFMA information for national and international reporting
- Outcome 2: National Forest Programmes (NFPs) serve as an effective mechanism for integrating forestry into national development plans and processes, including for climate change, and considering links between forestry, other land-uses and livelihood benefits
- Outcome 3: Sustainable forest management more widely practiced, including through the application of good practices guidelines, meeting the climate change adaptation needs and leading to reduction in deforestation and forest degradation
- Outcome 4: Countries' capabilities enhanced to meet their international forest related commitments and negotiations
- Main achievements; are illustrated in Annex 4

Purpose of the Evaluation

5. The final evaluation is a reporting requirement in the project document. The Evaluation is expected to draw specific conclusions and formulate recommendations for any necessary further action by Governments, FAO and/or other parties. The evaluation is expected to identify specific good practices that validate the approach, fine tune the concept, and assess the potential for follow-up or up-scaling action and lessons to be learned for the formulation and execution of other similar projects. The evaluation would build on the mid-term evaluation (MTE) carried out in 2012.

Evaluation framework

3.1 Scope

6. The evaluation will cover the project's conceptual, inception and implementation aspects from the initial project period of January 2009 to December 2013, and the extension period covering January to December 2014, the evaluation will cover Ecuador, Zambia and Viet Nam.

7. The evaluation will investigate into the design, implementation/delivery of the project, the quality of its capacity to strengthening forest resources management, Its contribution to sustainable development, land use & livelihoods processes and the effective achievement of its intended objectives and the likelihood of impact.

3.2 Evaluation criteria

8. The project will be critically assessed through the internationally accepted evaluation criteria, i.e. relevance, efficiency, effectiveness, impact, and sustainability. In line with the new FAO project cycle, the evaluation will assess compliance with the following UN Common Country Programming Principles: Human Rights Based Approaches (HRBA)/ Right to Food/ Decent Work; Gender equality, Environmental sustainability, Capacity

and practice affecting forests and forestry are based on timely and reliable national forest monitoring and assessment information for national and international reporting.

Development and Results Based Management. Furthermore, the technical quality of the methodologies, tools and support will be assessed.

Evaluation issues

I.   Relevance of concept and design

How relevant is the project in regard to FAO Countries Programming Framework (CPFs) and strategic priorities?

a. Project relevance to: i) national development priorities; ii) FAO Global Goals and Strategic Objectives; iii) Other forest-data generation and compilation efforts in the sector; iv) Millennium Development Goals; v) United Nations Framework Convention on Climate Change (UNFCCC); and vi) Global Objectives on Forests of the United Nations Forum on Forests (UNFF) vii) Development policy guidelines for forest sector of the Finnish Ministry for Foreign Affairs and viii) The Finnish Development Policy Programme 2012.;

b. Robustness and realism of the theory of change underpinning the project;

c. Clarity, coherence and realism of the Logical Framework[9] of the project and of its design, including:

- The causal relationship between inputs, activities, outputs, expected outcomes (immediate objectives) and impact (development objectives);
- Validity of indicators, assumptions and risks;
- Approach and methodology;
- Resources (human and financial) and duration;
- Stakeholder and beneficiary identification and analysis; and
- Institutional set-up and management arrangements.

II.   Effectiveness of outputs and outcomes

How effective is the project's interventions in the selected countries in relation to sustainable forest management;
- Changing climate programme at the national level and
- How these interventions   contribute to FAO's country level?
- To what extend has the project succeeded in forming platforms the selected countries?
- To what extent the technical support from HQ has contributed to sustainable forest management in the piloted and non-piloted countries?

d. Overall effectiveness of the project, actual or potential in attaining its intermediate/specific objectives;

e. Description and analysis of the outputs produced in terms of quantity, quality and timelines is presented in Annex 4 (Summary of the outcomes June 2014) and a more detailed description of the objectives and deliverables of the post-MTE period can be found in Annex 5 (FAO-FIN final evaluation matrix). A list of finalized and draft publications is in Annex 6.

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[9]   The Logical Framework embodies the Results-Based Management approach in a project

f. Use made by the project of FAO's normative and knowledge products and actual and potential contribution of the project to the normative and knowledge function of the Organization.

III.   Efficiency and effectiveness of project implementation process

g. Assessment of project management:
- Quality, realism and focus of work plans;
- Assessment of delivery, causes and consequences of delays and of any remedial measure taken, if any;
- Monitoring and feed-back loop into improved management and operations;
- Staff management;
- Development and implementation of an exit strategy;

h. Institutional Setup:
- Administrative and technical support by FAO HQ, regional, sub-regional and country office, as appropriate;
- Collaboration among relevant teams within FAO HQ Forestry Department
- Institutional set-up, internal review processes, coordination and steering bodies;
- Inputs and support by the Government/s and resource partner/s.

i. Assessment of financial resources management, including:
- Adequacy and realism of budget allocations to achieve intended results;
- Adequacy and realism of Budget Revisions in matching implementation needs and project objectives;
- Rate of delivery and budget balance at the time of the evaluation and in relation to work-plans.

j. Analysis of the application of the UN common country programming principles, cross-cutting themes,

To what degree have gender considerations been mainstreamed into the project work?

k. Analysis of gender mainstreaming for gender equality. This will include:
- extent to which gender equality considerations were reflected in project objectives and design to address the needs, priorities and constraints of both women and men, and in the identification of beneficiaries;
- extent to which gender equality considerations were taken into account in project implementation and management;
- extent to which gender relations and equality have been or will be affected by the project.[10]

l. Analysis of the Capacity Development dimension in the design, implementation and results of the project, at individual, organizational and enabling environment

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[10]   See: http://typo3.fao.org/fileadmin/templates/gender/docs/FAO_FinalGender_Policy_2012.pdf

levels.11 This will include CD on both technical and soft-skills, i.e. planning, budgeting, partnering and negotiating.

m. Analysis of the adoption of the Human-Rights Based Approach, namely:
- the integration of the Right to Food dimension and principles, in the design, implementation and results of the project;
- the integration of decent rural employment concerns in the design, implementation and results of the project.

n. Analysis of Partnerships and Alliances, namely:
- how they were planned in the project design and developed through implementation;
- their focus and strength; and
- their effect on project results and sustainability.[12]

o. Analysis of how environmental impacts were taken into consideration and addressed, following the steps and criteria contained in the FAO Environmental Impact Assessment guidelines.

IV. Impact

p. Overall impact of the project, actual or potential, positive and negative, produced directly or indirectly, intended or unintended; and

q. Overall contribution of the project to FAO Country Programming Frameworks, Organizational Result/s and Strategic Objectives, as well as to the implementation of the corporate Core Functions.

V. Sustainability

r. The prospects for sustaining and up-scaling the project's results by the beneficiaries and the host institutions after the termination of the project. The assessment of sustainability will include, as appropriate:

s.
- Institutional, technical, social and economic sustainability of proposed technologies, innovations and/or processes;
- Expectation of institutional uptake and mainstreaming of the newly acquired capacities, or diffusion beyond the beneficiaries or the project;
- Environmental sustainability: the project's contribution to sustainable natural resource management, in terms of maintenance and/or regeneration of the natural resource base.
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- Based on the above analysis, the evaluation will draw specific conclusions and formulate recommendations for any necessary further action by Governments, FAO and/or other parties to ensure sustainable development, including any need for follow-up or up-scaling action.

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[11] See: http://www.fao.org/capacitydevelopment/en/
[12] See: http://www.fao.org/partnerships/partners-home/en/

9. Based on the above analysis, the evaluation will draw specific conclusions and formulate recommendations for any necessary further action by Governments, FAO and/or other parties to ensure sustainable development, including any need for follow-up or up-scaling action.

10. The evaluation will draw attention to specific good practices and lessons to be learned as they are of interest to other similar activities. Any proposal for further assistance should include specification of major objectives and outputs and indicative inputs required.

4. Evaluation methodology

Approach and tools

11. The evaluation will adhere to the UNEG Norms & Standards[13]
12. The evaluation will adopt a consultative and transparent approach with internal and external stakeholders throughout the evaluation process. Triangulation of evidence and information gathered will underpin its validation and analysis and will support conclusions and recommendations.
13. Follow on key background documentation will be consulted:
    - Projects Agreements for all partner countries and in particular selected countries for this evaluation;
    - Funding Agreement between FAO and Government of Finland and its relevant amendments;
    - Projects documents'
    - mid-term evaluation of the project March 2012; and
    - FAO's corporate guidance on HRBA, Right to Food and Decent work, Gender equality, Environmental sustainability, Results Based Management.
    - FAO Strategic Objectives, Results and core functions, 2010-2019.

14. The evaluation will make use of the following methods and tools: review of existing reports, semi-structured interviews with key informants, stakeholders and participants, supported by check lists and/or interview protocols; direct observation during field visits; surveys and questionnaires.

15. Particular attention will be devoted to ensure that women and other under-privileged groups will be consulted in adequate manner. Insofar as possible and appropriate, interaction will also take place with non-participants to canvass their opinions. The Sustainable Livelihoods Framework;14 the Strengths, Weaknesses, Opportunities and Threats (SWOT) framework can be used for assessment of project results15.

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[13] United Nations Evaluation Group, http://www.uneval.org/normsandstandards
[14] The Sustainable Livelihoods Framework identifies five different capitals (human, social, natural, financial, and physical), each including different assets. It helps in improving understanding of livelihoods, in particular of the poor. For more information, among others: http://www.livelihoods.org/info/guidance_sheets_pdfs/section2.pdf
[15] SWOT is a widely used strategic planning tool, useful also in the assessment of development interventions, to canvass their strengths and weaknesses, as well as future perspectives. It is particularly used in focus groups, but it can be adapted to individual interviews as well.

Stakeholders and consultation process

16. The evaluation team will discuss in detail with the key stakeholders of the project and will take into account their perspectives and opinions. Key stakeholders will include:
    - Government representatives in the partner organizations;
    - Project Task force members in the participating countries;
    - Project Core Team at the FAO involved colleagues of the FOE and FOM divisions at the headquarter
    - BMU, FRA, NFMA and UN-REDD teams at the FAO HQ.
    - the resource partner;
    - the partner organizations;
    - FAO Representative
    - finalisation; suggestions will be incorporated as deemed appropriate by the evaluation team.

Roles and responsibilities

17. Should other stakeholders engage in the evaluation process beyond participating in meetings, discussions and information gathering, their roles and responsibilities should be added here. Additional tasks can also be added to those proposed below.

18. FAO Budget Holder (BH), the Lead Technical Officer (LTO) and the Project Task Force (PTF) of the project to be evaluated are responsible for initiating the evaluation process, drafting the first version of the Terms of Reference, and supporting the evaluation team during its work. They are required to participate in meetings with the team, make available information and documentation as necessary, and comment on the draft final terms of reference and report. Involvement of different members of the project Task Force will depend on respective roles and participation in the project.

19. The BH is also responsible for leading and coordinating the preparation of the FAO Management Response and the Follow-up Report to the evaluation, fully supported in this task by the LTO and PTF. OED guidelines for the Management Response and the Follow-up Report provide necessary details on this process.

20. FAO Office of Evaluation assists the BH and LTO in drafting the ToR, in the identification of the consultants and in the organization of the team's work; it is responsible for the finalization of the ToR and of the team composition;[16] it shall brief the evaluation team on the evaluation methodology and process and will review the final draft report for Quality Assurance purposes in terms of presentation, compliance with the ToR and timely delivery, quality, clarity and soundness of evidence provided and of the analysis supporting conclusions and recommendations.

21. The Office of Evaluation has also a responsibility in following up with the BH for the timely preparation of the Management Response and the Follow-up to the MR.

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[16] The responsibility for the administrative procedures for recruitment of the team, will be decided on a case-y-case basis.

22. The Evaluation Team is responsible for developing evaluation methodology, applying the methodology as appropriate, conducting the evaluation and for producing the evaluation report. All team members, including the Team Leader, will participate in briefing and debriefing meetings, discussions, field visits, and will contribute to the evaluation with written inputs for the final draft and final report.

23. The Team Leader guides and coordinates the team members in their specific work, discusses their findings, conclusions and recommendations and prepares the final draft and the final report, consolidating the inputs from the team members with his/her own.

24. The Evaluation team will be free to expand the scope, criteria, questions and issues listed above, as well as develop its own evaluation tools and framework, within time and resources available.

25. The team is fully responsible for its report which may not reflect the views of the Government or of FAO. An evaluation report is not subject to technical clearance by FAO although OED is responsible for Quality Assurance of all evaluation reports.

26. As a contribution to the OED Knowledge Management System.

27. The Team Leader will be responsible for completing the OED quantitative project performance questionnaire, to be delivered at the same time with the final evaluation report.

28. OED will ask all team members to complete an anonymous and confidential questionnaire to get their feedback on the evaluation process.

For further details related to the tasks of the Team leader and team members, please refer to template TORs provided in annex.

Evaluation team

29. The Evaluation team will have had no previous direct involvement in the formulation, implementation or backstopping of the project. All will sign the Declaration of Interest form of the FAO Office of Evaluation.

30. The evaluation team will comprise the best available mix of skills that are required to assess the project, and as a whole, will have expertise in all the following subject matters:
   - Programme appraisal, evaluation and planning in the relevant sectors: project cycle management, logical framework approach, result based management
   - Forest inventories and
   - Forest information systems,
   - Socio Economic surveys,
   - Remote sensing,
   - National Forest Programmes,
   - Institutional capacity building
   - Knowledge of the region

31. Furthermore, to the extent possible, the team will be balanced in terms of geographical and gender representation to ensure diversity and complementarity of perspectives.

Evaluation deliverables

32. Evaluation deliverables are:
    - Evaluation methodology and tools;
    - Report outline;
    - Evaluation final draft report; and
    - Final evaluation report

33. The evaluation report will illustrate the evidence found that responds to the evaluation issues, questions and criteria listed in the ToR. It will include an executive summary. Supporting data and analysis should be annexed to the report when considered important to complement the main report.

34. The recommendations will be addressed to the different stakeholders and prioritized: they will be evidence-based, relevant, focused, clearly formulated and actionable.

35. The evaluation team will agree on the outline of the report early in the evaluation process, based on the template provided in Annex I of these ToRs. The report will be prepared in English/French/Spanish[17], with numbered paragraphs, following OED template for report writing. Translations in other languages of the Organization, if required, will be FAO's responsibility.

36. The team leader bears responsibility for submitting the final draft report to FAO within two weeks from the conclusion of the mission. Within three additional weeks, FAO will submit to the team its comments and suggestions that the team will include as appropriate in the final report within maximum two weeks.

37. Annexes to the evaluation report will include, though not limited to, the following as relevant:

    - Terms of reference for the evaluation;
    - Profile of team members;
    - List of documents reviewed;
    - List of institutions and stakeholders interviewed by the evaluation team;
    - List of project outputs;
    - Evaluation tools.

Evaluation timetable

38. The evaluation is expected to take place during September 2014. The country visit phase is expected to last approximately one week for each country. The timetable in the Table 1

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[17] Select as appropriate

below shows a tentative programme of travel and work for the evaluation team. It will be finalised upon the recruitment of the evaluation team.

Table 1:   Tentative timetable of the evaluation

Task	Dates	Duration	Responsibility
ToRs finalization	End of July		PTF/OED
Team identification and recruitment	End of July		OED
Mission organization	25/06-15/08/14		OED
Reading background documentation	1-5 September		OED/ETF
Briefing	18 August July		OED
Travel	Mid-September		OED
Mission to Viet Nam, Ecuador and Peru and Zambia	15 September – 15 October		PTF
Draft report	30 October		PTF
Final report	21 November		ET/OED

Annex 2.   Brief Profile of evaluation team members

James K. Gasana (Team leader)

Dr. James K. Gasana is a national of Rwanda and Switzerland. He is independent consultant in the fields of international forestry, natural resources management and climate change. His most recent professional position was as Senior Advisor to Helvetas Swiss Intercooperation on Resource Governance, prior to which he worked for Intercooperation in various capacities including as Programme Officer in Forestry and Environment. Dr Gasana has led or contributed to evaluations of FAO's work at country level in the Democratic Republic of Congo (2008), Zimbabwe (2011), Ethiopia (2011), Sudan (2011), and Colombia (2014); and contributed to the Strategic Evaluation of FAO's Role and Work in Forestry (2011-12), and to the Evaluation of FAO's Regional and Sub-Regional Offices for Africa (2013). He was Consultants Team Leader in IFAD's country programme evaluations (CPE) of Madagascar (2013-2013), and Tanzania (2014), and was member of the Team for the evaluation of IFAD's Grants Policy (2013). Currently he is Principal Consultant for UNDP's Assessment of Development Results of Sao Tomé & Principe (2007-2016). Dr. Gasana was previously Minister of Agriculture, Livestock and Environment in Rwanda (1990-1992) and of Defense (1992-1993). He holds a PhD in Forestry, Wildlife and Range Sciences (University of Idaho), an MSc in Forest Management (Los Andes University, Mérida, Venezuela), and a BSc (forestry)(Honours) (Makerere University, Kampala, Uganda).

A. Y. Omule (International Consultant)

Dr. Omule is a Canadian citizen, born in Uganda, and now residing in Bangkok, Thailand. He is an independent International Forestry Consultant specializing in forest and natural resources inventory and monitoring. He is also an Adjunct Professor at the Faculty of Forestry, Kasetsart University, Bangkok, Thailand, where he advises graduate students in forest management, including forest biometry and inventory, and is a co-advisor of several graduate Masters and PhD student theses. He holds PhD and MSc degrees from the University of British Columbia, Vancouver, Canada, and a BSc (Forestry) (First Class Honours) from Makerere University, Kampala, Uganda. He has thirty-two years experience, in government and private consulting, practicing forest inventory and monitoring in Canada, South-East Asia, South America, and Africa.

Oswald Mulenga (National Consultant)

Mr. Mulenga is Zambian. He is currently Director in Twiza Associates Limited, a private company he jointly owns with three other colleagues based in Lusaka, Zambia. He does consultancies in programme/project formulation/evaluations, workshop facilitation, M&E systems, baseline surveys, and market surveys. He has a MS in Agricultural Economics from New Mexico State University (USA) and an MBA from the Management College of Southern Africa (MANCOSA). His Bachelor's degree was in agricultural economics from the University of Zambia. His last full time job was as a Director for Research and M&E for the National AIDS Council having previously worked for an Irrigation project under the African Development Bank as M&E Officer, Work Bank Environmental Support Programme as M&E Coordinator, Lecturer of M&E at the University of Zambia and as an agricultural Economist responsible for M&E in the then Ministry of Agriculture and Cooperatives.

José Eloy Cuéllar (National Consultant)

José Eloy Cuéllar is Peruvian citizen. He has a Professional degree in forest engineering, masters in forests and forest management and PhD in environment and sustainable development, with nineteen years of professional work in the forest sector. His experience is in research, policies, project management, extension and technology transfer in public and private institutions in coast, mountains and humid forest in Peru. He is visiting professor at the Peruvian universities of the UNALM, UCV and UCSUR.

Dat Dinh Ngoh (National Consultant)

Mr. Dat is a citizen of Viet Nam. He has more than 7 years working as independent consultant for many forestry projects. He is also a researcher at Space Technology Institute specializing in remote sensing and GIS. He graduated with an MSc from Hanoi University of Sciences. Currently, Mr. Dat is a PhD student through cooperation programme by University of Sciences and Technology of Hanoi, Viet Nam and University of Lille 1, France.

Annex 3. **List of documents reviewed, by category**

The list of documents reviewed was quite extensive; only broad categories are listed below:
1. FAO-Finland Programme Document and partner countries project documents
2. Project work plans
3. Project progress reports
4. Field manuals: Biophysical survey manual; FLES manual.
5. Field biophysical survey reports
6. Study reports
7. Project publications
8. Evaluations: MTE of National Forest Monitoring and Assessment of Tanzania (NAFORMA); FAO Finland Forestry Programme

Annex 4.   List of institutions and stakeholders met during the FE process

Ecuador

N°	Persons met	Position/Institution
1	Pedro Pablo Peña	Representante de FAO; Ecuador
2	Jorge Samaniego	Representante Asistente de Programa; FAO Ecuador
3	Comité Directivo	Programa ONU-REDD
4	Equipo ONU-REDD	Programa ONU-REDD
5	Vanessa Cáceres	Representante Asistente de Administración; FAO Ecuador
6	Ángel Valverde	Director de Mitigación al Cambio Climático; Ministerio del Ambiente, Ecuador
7	Tania Villegas	Ex-Subsecretaria de Patrimonio Natural; Ministerio del Ambiente, Ecuador
8	Daniel Segura	Subsecretaria de Patrimonio
9	María Elisa Carrión	Ex - Coordinadora del proyecto MFSCC
10	Fabián Englert	GIZ, Quito
	Emilio Cobo	Especialista en Mitigación al Cambio Climático; Ministerio del Ambiente
11	Mario Añazco Asesor	Subsecretaria Patrimonio Natural; Ministerio del Ambiente

Peru

N°	Person met	Position/Institution
1	César Sotomayor	Vice-minsitro de Políticas/MINAGRI
2	Gabriel Quijandría	Vice-ministro de Desarrollo Estratégico del Patrimonio Natural/MINAM
3	Roger Loyola Gonzales	Representante del MINAM para el INF/MINAM
4	Gustavo Suarez de Freitas	Director Ejecutivo del PNCB/MINAM
5	Fabiola Muñóz	Directora SERFOR/MINAGRI
6	Rosario Acero	Ex Directora DGFFS/SERFOR
7	Enrique Schwartz	Asesor SERFOR y exdirector de Promoción Forestal y Fauna Silvestre/SERFOR
8	Antonio Morizaki	Asesor SERFOR
9	Alberto Garcia de Romaña	Asesor FAO/Lima
10	Outi Myatt-Hirvonen	Consejera de la Embajada de Finlandia para países andinos; Embajada de Finlandia; Lima
11	John Preissing	Representante de la FAO en el Perú

12	Carla Ramírez	Asesora Técnica Principal, FAO
13	José Dancé	Ex - coordinador del Proyecto INF-MFS-CC, FAO
14	Renzo Vergara	Coordinador encargado de inventarios forestales, ahora Director de Inventarios; SERFOR
15	Daniel Matos	Punto focal de MINAM para coordinación del INF/MINAM
16	Jorge Malleux	Consultor para elaboración del documento de proyecto/INDEPENDIENTE
17	Giovanna Ortocoma	Coordinadora proyecto REDD MINAM
18	Henning Weise	Asesor Tecnico Principal proyecto REDD-MINAM; KfW
19	Shinichiro Tsuji	Experto en Conservación de Bosques de la Agencia de Cooperación Internacional del Japón; JICA
20	Pavel Bermundez	Coordinador para el INF e IBPP; PSFI-USFS
21	Hubert Portuguez Yactayo	Especialista del MINAM
22	Antonio Morizaki	Asesor SERFOR
23	Víctor Barrena	Profesor principal de la Facultad de Ciencias Forestales/UNALM
24	Pavel Bermundez	Coordinador para el INF e IBPP/PSFI-USFS
25	Chip Scott/ Andy Lister	Expertos en biometria e INF, principales asesores de la metodología/USFS
26	Carla Ramírez	Asesora Técnica Principal/FAO
27	José Dancé	Ex - coordinador del Proyecto INF-MFS-CC/FAO
28	Daniel Matos	Especialista en Inventarios y valoración/ MINAM-DEVFPN
29	Angel Salazar	Director IIAP/MINAM
30	Jose Maco	Especialista IIAP/MINAM
31	Renzo Vergara	Coordinador encargado de inventarios forestales, ahora Director de Inventarios/ SERFOR
32	Kelly Soudre	Corodinadora Componente 2 (Políticas y programa Nacional Forestal)/MINAGRI
33	José Dancé	Ex - coordinador del Proyecto INF-MFS-CC/FAO
34	Carla Ramírez	Asesora Técnica Principal/FAO

35	Daniel Matos	Especialista en Inventarios y valoración/ MINAM-DEVFPN
36	Kelly Soudre	Apoyo a la coordinación operative/MINAGRI
37	José Dancé	Ex - coordinador del Proyecto INF-MFS-CC/FAO
38	Ignacio Lombardi	Profesor principal de la Facultad de Ciencias Forestales/UNALM
39	Carla Ramírez	Asesora Técnica Principal/FAO
40	Renzo Vergara	Coordinador del Proyecto INF-MFS-CC/FAO
41	Daniel Matos	Especialista en Inventarios y valoración/ MINAM-DEVFPN
42	Jaime Fernández-Baca	Especialista/BID
43	Ignacio Lombardi	Profesor principal de la Facultad de Ciencias Forestales/UNALM
44	James Leslie	Coordinador de Proyectos REDD/PNUD
45	Alex Abramonte	Asesor CONAP/CONAP

Vietnam

N°	Person met/Position	Institution
1-2	**Mr. Tran Kim Long, Director** **Mrs. Bui My Binh, Deputy Director**	**ICD, MARD**
3-5	**- Mr. Tu Quoc Huy, Deputy director** **- Mr. Ngo Quoc Binh, Head of Department of Forest Management and Protection** **- Mr. La Manh Cuong, Deputy Head of Department of Forest Management and Protection**	**Forest Protection Department, Bac Giang province**
6-11	**- Dr. Lauri Vesa, CTA** **- Dr. Nguyen Huy Dzung, Project Director** **- Mr. Ho Manh Tuong, Project Coordinator** **- Dr. Hoang Thi Sen, Consultant** **- Mrs. Le Lan Huong, Secretary** **- Mr. Tu, Remote Sensing Expert**	**NFA project**
12	**Dr. Nguyen Nghia Bien, Director**	**FIPI**
13-14	**Mr. Doan Hoai Nam, Vice-Director** **Mr. Nguyen Danh Thanh Hai, Vice-Head**	**Department of Forest Protection and Management, FPD, MARD**
15	**Dr. Nguyen Phu Hung, Director**	**ICD, VNFOREST, MARD**
16	**Dr. Nguyen Ba Ngai, Vice-General Director of VNFOREST**	**VNFOREST, MARD**
17	**Dr. Tran Quang Bao, Associate Professor, Head of Training Division**	**Viet Nam Forestry University (VFU)**
18-19	**Mr. Nguyen The Chien**	**SNV**

Vietnam

N°	Person met/Position	Institution
	Country Project Manager, Forest Carbon Stock Enhancement, Viet Nam Ms. Ly Thi Minh Hai REDD+ Sector Leader	
20-22	**Mr. Nguyen Xuan Giap, technical Specialist, UN-REDD** **Mr. Gael Sola, Forest Inventory & Biomass Assessment Expert, UN-REDD** **Mr. Ben Vickers, Regional Programme Officer**	**UN-REDD**
23-24	**Mr. Tapio Leppanen, CTA** **Mr. Harri Seppanen, Consultant**	**FORMIS project**

Zambia

No.	Person met	Position and Organization
1	Mr. Keddy Mbindo	Senior Research Officer; Forest Department
2	Mr. Brian Nkandu	Senior Draughtsman; Forest Department
3	Mr. Kasimone Sichela	IT Consultant; Forest Department
4	Mr. Brian Mutasha	Assistant Cartographer; Forestry Department
5	Ms. Marja Ojanen	Programme Officer; Embassy of Finiland
6	Mr. Eric Chipeta	Programme Analyst (Energy and Environment); UNDP
	Mr. Joseph Minango	Surveyor-General; Survey Department
7	Mr. Elly Mulenga	Survey Department
8	Mr. Mwiya Mooka	Survey Department
9	Mr. S Maango	Manager Data Access, Processing and Distribution (DAPD); National Remote Sensing Centre
10	Mr. Mutukwa Ben Musole	Technical Assistant DAPD; National Remote Sensing Centre
11	Mr. Noah Zimba	Chairperson; Zambia Climate Change Network (ZCCN)
12	Celestina Lwatula	Programme Officer; FAO
13	Dr. D. Chibamba	Lecturer; UNZA
14	Dr. Vinya Royd	Lecturer & Head; Copperbelt University (CBU) - School of Natural Resources
15	Mr. Ignatius N. Makumba	Director of Forestry; Forest Department
16	Mr. George Okech	FAOR; FAO
17	Mr. Deuteronomy Kasaro	REDD+ Coordinator; Forest Department
18	Mr. Gregory Chiilufya	Assistant FAOR; FAO
19	Mr. Michel Basil	Consultant/FAO
20	Ms. Terhi Paikkala	Consultant/FAO
21	Ms. Mercy Mupeta	Forest Extension Officer; Forest Department
22	Ms. Elsie Attafuah	UN-REDD Technical Coordinator; UNDP
23	Mr. Katati	Zambia Institute for Environmental Management (ZIEM)
24	Mr. Abel Siampale	Field Coordinator/Quality Assurance Team Leader; Forest Department (Monze)
25	Mr. Victor Chiiba	Provincial Forestry Officer; Forestry Department (Monze)
26	Mr. Chendauka B	National Project Coordinator; Forestry Department
27	Mr. Jones Mulomba	Team Leader Forestry Department; (Field QA crew)
28	Ms. Clara Simwinga	Enumerator; Forestry Department(Field QA crew)
29	Ms. Charity Mweemba	Assistant Enumerator; Forestry Department(Field QA crew)
30	Mr. Michale Daka	Driver/crew, Forestry Department (Field QA crew)
31	Mr. Abel Siampale	Field Coordinator; Forestry Department(Field QA crew)
32	Mr. Fostelo Maambo	Community member (accompanied to visit ILUA II Cluster No. 2866 at Sinyoninyoni, Choompa)