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Project evaluation series

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# Mid-term evaluation of the Forest and Farm Facility programme

July 2016



**PROJECT EVALUATION SERIES**

**Mid-term evaluation of the Forest and  
Farm Facility programme**

**FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS  
OFFICE OF EVALUATION**

**July 2016**

Food and Agriculture Organization of the United Nations

Office of Evaluation (OED)

This report is available in electronic format at: <http://www.fao.org/evaluation>

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## Acknowledgements

The Office of Evaluation of FAO would like to thank all those who contributed to this report. The evaluation was led by James Gasana. The Evaluation Manager, Mr. Eoghan Molloy, provided guidance, input and support throughout the evaluation process. Juan José Ochaeta Castellanos conducted the analysis and interviews in Guatemala, while Dr. Ohnmar Myo Aung and Dr. Dao Trong Tu provided invaluable support to the evaluation team in Myanmar and Vietnam, respectively. Martin Corredoira from the Office of Evaluation provided administrative and logistical support for the evaluation missions.

We would like to thank the representatives of the institutions and organizations who met with the evaluation team in Kenya, The Gambia, Myanmar, Vietnam, and Guatemala and in particular the many members of forest and farm producer organizations who so generously cooperated with the evaluation process. We would also like to thank the FAO Representatives, FAO staff, and implementing partners in each of the five countries visited. Particular gratitude is due to the FFF national facilitators in each of the five countries visited: Kanimang Camara in The Gambia; Ogden Antonio Rodas in Guatemala; Philip Kisoyan in Kenya; U Aung Thant Zin in Myanmar; Vu Le Y Voan in Vietnam.

The Office of Evaluation is especially thankful for the insights and support provided by the FFF management team, the Project Steering Committee, and the FFF partners. Special thanks are due to Jeffrey Y. Campbell (FFF Manager), Jhony Zapata and Sophie Grouwels (FFF Programme Implementers) for their strong engagement and cooperation with the evaluation process.

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## Acronyms and abbreviations

|         |  |
|---------|--|
| ACOFOP  | Association of Forest Communities of Peten   |
| AFA     | Asian Farmers' Association for Sustainable Rural Development                         |
| AMPB    | Mesoamerican Alliance of People and Forests  |
| ANR     | Agricultural and Natural Resources Policy  |
| APROVE  | Honey Producers Association of the Velasco Province (Plurinational State of Bolivia) |
| ASDS    | Agricultural Sector Development Strategy   |
| CATIE   | The Tropical Agricultural Research and Higher Education Center                       |
| CFI     | Community Forestry Instructions  |
| CFNWG   | Community Forestry National Working Group  |
| COFO    | Committee on Forestry  |
| CONAFOR | Comisión Nacional Forestal   |
| COP21   | 21st Annual Conference of the Parties  |
| CPF     | Country Programming Framework  |
| FAO     | Food and Agriculture Organisation of the United Nations                              |
| FD      | Forestry Department  |
| FECOFUN | Federation of community Forestry Users Nepal   |
| FFF     | Forest and Farm Facility   |
| FFPO    | Forest and Farm producer organisation  |
| FF-SPAK | Farm Forestry Smallholder Producers Association of Kenya                             |
| FI      | Financial institution  |
| FLEGT   | Forest Law Enforcement, Governance and Trade   |
| FNCSI   | Federation of Nepal Cottage & Small Industries                                       |
| GACF    | Global Alliance of Community Forestry  |
| GCI     | Interinstitutional Coordination Group (Guatemala)                                    |
| GEF     | Global Environment Facility  |
| GFP     | Global Forest Partners   |
| IAITPTF | International Alliance of Indigenous and Tribal Peoples of the Tropical Forest       |
| IFFA    | International Family Forestry Alliance   |
| IIED    | International Institute for Environment and Development                              |
| IR      | Intermediate result  |
| IS      | Intermediate State   |
| IUCN    | The International Union for Conservation of Nature and Natural Resources             |
| KFS     | Kenya Forestry Service   |
| LOA     | Letter of Agreement  |
| M&LS    | Monitoring and Learning System   |
| MA&D    | Market Analysis and Development  |
| MFI     | Micro-Financial Institutions   |
| MITA    | Inter-sectoral Platform for Land and Environment, Petén                              |
| MTE     | Mid-Term Evaluation  |

|          |   |
|----------|---|
| NFC      | World Forestry Congress   |
| NFP      | National Forest Programme   |
| NGO      | Non-Governmental Organisation   |
| PINPEP   | Programa de incentivos forestales para poseedores de pequeñas extensiones de tierra de vocación forestal o agroforestal |
| PROFOR   | Program on Forests  |
| PSC      | Project Steering Committee  |
| REDD     | Reducing emissions from deforestation and forest degradation  |
| REFACOF  | The African Women's Network for Community Management of Forests   |
| ROPPA    | Network of Farmers' and Agricultural Producers' Organisations of West Africa)   |
| SO       | Strategic objective   |
| ToC      | Theory of Change  |
| UNFCCC   | The United Nations Framework Convention on Climate Change   |
| USA      | United States of America  |
| USD      | United States Dollars   |
| VCD      | Value Chain Development   |
| VNFOREST | Vietnam Administration of Forestry  |
| VNFU     | Viet Nam Farmers Union  |



## Executive summary

### Introduction

- ES1 This report is a mid-term evaluation (MTE) of the Forest and Farm Facility (FFF), one of the first “umbrella programmes” within the Food and Agriculture Organization of the United Nations (FAO). In support of the programme vision, “Smallholders, communities and indigenous peoples’ organizations have improved their livelihoods and decision-making over forest and farm landscapes”, FFF activities were organized under three working areas or pillars: i) Strengthen smallholder, women, community and indigenous peoples’ producer organizations for business/livelihoods and policy engagement; ii) Catalyze multi-sectoral stakeholder policy platforms with governments at local and country levels; iii) Link local voices and learning to global processes through communication and information dissemination.
- ES2 The FFF receives funding through a multi-donor trust fund, including Sweden, Finland, the United States, AgriCord (through its Farmers Fighting Poverty Programme) and Germany (under the Carlowitz project). Though the programme was established with a target budget of USD 50 million for five years, only USD 12.5 million dollars was secured by FAO as of June 2016. The project has a Monitoring and Learning (M&L) system to monitor progress on a range of indicators under each of the outputs described in the programme theory of change. FFF activities are currently underway across 10 countries in Latin America, Africa and Asia, albeit at different stages of intervention. This includes work by Apex level producer organizations supported through partnership agreements, small grants to producer organizations to support enterprises and other organizational needs, multi-sectoral platforms led by government actors at national and sub-national levels, exchange visits and capacity building.
- ES3 The MTE is programmed in the FFF Project Document and Financing Agreements. The purpose of the MTE is to inform the Project Steering Committee (PSC), Programme Management Team, Donor Support Group and other stakeholders about the project’s progress and performance toward attaining the expected outputs and outcomes. The intention is therefore to evaluate the programme for planning purposes as well as to inform the multi-donor fund of progress to date. The MTE is expected to bring valuable external reflections to help strengthen the programme, and to validate and complement the M&L system of the project. The MTE draws specific conclusions and formulates recommendations for necessary action by the Steering Committee, Project Management Team and other international and in-country FFF parties. It also identifies specific good practices and lessons learned for the formulation and execution of other similar projects that address forestry governance and/or utilizing a small grant scheme. With 1.5 years left in the current project, this evaluation provides an opportunity to improve implementation and to envisage its future after December 2017.
- ES4 The mid-term evaluation was conducted from January to June 2016. The evaluation team was composed of an evaluation manager from FAO’s Office of Evaluation (OED) who oversaw the management of the evaluation; an expert international evaluation consultant who was responsible for drafting the main findings, conclusions and recommendations; and regional and national consultants who participated in the country visits. To assess the contribution of the project toward its stated outcomes and expected impact, five participating countries were visited. In each country, national and sub-national stakeholders were interviewed and field visits were carried out to meet directly with FFF-targeted forest and farmer producer organizations (FFPOs). The five visited countries were Gambia, Kenya, Guatemala, Myanmar and Vietnam.
- ES5 The MTE adopted a consultative and transparent approach with FFF internal and external stakeholders throughout the evaluation process. The triangulation of evidence and information gathered underpins its validation and analysis, and supports the conclusions and recommendations. Several methods and tools for data collection were used to answer the evaluation questions, including a review of existing documentation on FFF; analysis of FFF self-reported information, in particular the 2014 and 2015 annual reports; semi-structured interviews with key informants, stakeholders and participants; targeted FFPOs discussion and direct observation during field visits; and validation of MTE mission observations through debriefing discussions with key stakeholders at country and FAO headquarters level. In addition, meetings were held with the FFF management team, partners and steering committee.

## Findings

The main findings of the evaluation are presented below, grouped by evaluation question.

**Evaluation question 1:** How relevant is the FFF's primary focus and logic in terms of its stated mission, in relation to the target countries' contexts, broader sustainable development initiatives, and smallholder farmers' needs?

ES6 The FFF approach is highly aligned with the national policies of participating countries. Its model of directly supporting FFPO proposals financially and technically is highly relevant to the needs and priorities of target forest and farm smallholders who view it as filling the gaps in rural development cooperation.

**Evaluation question 2:** How and to what extent does the project contribute to the broader strategic FAO objectives?

ES7 FFF is integrated within the Forestry Department of FAO and contributes significantly to FAO's Strategic Objectives SO2 and SO3. FFF supported the poverty reduction objective by targeting poor smallholder farmers as well as: (i) implementing the integrated development approach aimed at managing sustainable forest and farm landscapes; (ii) empowering smallholders through training to engage in business, and to participate in policy formation processes and forest and farm-based value chains; (iii) streamlining gender equity into the Theory of Change (ToC).

**Evaluation question 3:** Was the project design appropriate for achieving the mission, vision and outcomes?

ES8 The FFF design was appropriate for achieving its outcomes and vision. It addressed the challenges faced by forest and farm smallholders, such as limited access to markets and participation in policy formation processes. The design adapts solutions for addressing these challenges, including training smallholders organized in FFPOs to link to markets and to participate in policy formation processes.

**Evaluation question 4:** To what extent is the FFF on track to achieving outcomes across the three pillars, and what changes are attributable to the FFF's interventions which are directly linked to the FFF's main objectives?

ES9 Through its training activities, FFF is helping FFPOs to engage in business, link to markets and participate in value chains. The MTE found that in most participating countries, FFF was effective in supporting FFPOs' participation in policy dialogue with governments, and in supporting participating countries to include their issues in the political agenda. This resulted in strengthening the ownership of the FFF model at grassroots level.

**Evaluation question 5:** To what extent is the current operational modality contributing to the efficient achievement of the program outcomes?

ES10 The operational modality of the FFF is highly efficient in terms of inputs relative to results, considering the relatively limited financial resources invested, duration of implementation to date, and the number of countries participating. There was a high level of coordination among FAO, the International Institute for Environment and Development (IIED) and the International Union for Conservation of Nature and Natural Resources (IUCN). The monitoring and learning (M&L) system enabled learning by providing information to the communication efforts of the three partners.

**Evaluation question 6:** To what extent is FFF contributing to progress toward the expected outcomes and impact?

ES11 Overall, there is a strong likelihood of achieving the impact of the project and contributing

to its vision. Significant progress has already been made across the main livelihood “building blocks”, including human capital, social capital, political capital, natural assets, physical assets and financial assets.

**Evaluation question 7:** Was FFF successful at engaging other partners in the FFF-supported processes?

ES12 Partnerships have featured prominently at all levels of FFF’s interventions and contributed significantly to the operations at country and global levels.

**Evaluation question 8:** How sustainable is the FFF concept of investing in the organizational capacity of forest farm producer organizations – and how might this be enhanced?

ES13 The main factors of sustainability of the FFF concept include the high political and social ownership of the FFF model, and the social and economic incentives it offers to target FFPOs. Sustainability may be enhanced if target FFPOs contribute counterpart funding to the budget of their projects.

**Evaluation question 9:** To what extent have gender and human rights been taken into account in the design of the FFF and during the implementation?

ES14 FFF’s design adequately addressed gender equality and the rights of indigenous groups. Its implementation addressed gender equality and empowerment in FFPOs’ governance and activities. In most countries, women are well represented in the membership and governance structures of targeted FFPOs. There is also an effort to mainstream gender issues in the design of proposals submitted by those organizations to FFF for funding.

## Conclusions

ES15 **Conclusion 1:** FFF’s focus and logic are well aligned to participating countries’ policy frameworks, and there is a high level of ownership at all levels of government in each country. This model of providing direct support to FFPOs’ proposals is highly relevant to targeted forest and farm smallholders. The focus and logic are aligned with FAO’s strategic objectives SO2 and SO3. The project design is appropriate for achieving its outcomes and vision, and it addresses challenges such as the limited ability of forest and farm smallholders to access markets, participate in value chains and engage in policy processes.

ES16 **Conclusion 2:** The project is on track to achieving the expected outcomes of Pillar 1. FFPOs in each country are making progress in including their issues on political agendas, and in promoting inclusive business models, participation in value chains and linkage to markets. Regarding Pillar 2, implementation progress varied among the countries due to the fact that Outcome 3, being of a political nature, is not under FFF control. For Pillar 3, the project is on track at regional and global levels to link farmers’ voices to global processes.

ES17 **Conclusion 3:** FFF’s training activities aimed at improving target groups’ basic business skills are helping to improve their participation in value chains and their linkage to markets. While those trainings are essential, they are not sufficient to develop value chains which requires additional support to FFPOs to improve their terms of engagement with national, regional and international markets.

ES18 **Conclusion 4:** FFF was effective in linking FFPOs to markets and engaging in policy dialogue. FFF also contributed to raising the awareness of forest and farm smallholders on the multiple advantages of working together.

ES19 **Conclusion 5:** FFF’s operational modality is highly efficient in terms of inputs relative to results, considering the relatively limited financial resources invested, duration of implementation to date, and the number of countries participating. This efficiency is due to the effectiveness of the project steering committee in providing guidance to the FFF team; the high level of coordination among FAO, IIED and IUCN; the expertise of the FFF team and the commitment and enthusiasm of its members; and the national facilitators’ experience and dedication.

ES20 **Conclusion 6:** The M&L system is a robust tool for monitoring FFF's activities and learning. It has been used effectively in supporting learning by providing information to the communication efforts of FAO, IIED and IUCN.

ES21 **Conclusion 7:** FFF adequately takes into account FAO's commitment to gender equality and the rights of indigenous people, not only in its design but also in implementation and monitoring, and in proposals submitted by FFPOs for small grants. The inclusion of indigenous peoples' representatives on the project steering committee is an innovative and unique approach that has contributed to the effectiveness and relevance of the project.

## Recommendations

### Recommendation 1: To the FFF management and donor support group

The results achieved during the remaining 1.5 years of the FFF should be consolidated in order to maintain and build upon the programme's achievements, further improve progress and impact, and continue the political momentum achieved in participating countries to support the development priorities of forest and farm smallholders.

### Recommendation 2: To the FFF management and donor support group

A second phase of FFF should be considered in order to consolidate and expand its achievements, strengthen the capacity of participating countries to scale up results, and develop appropriate exit strategies.

### Recommendation 3: To the FFF management team and country facilitators

Consider refining the FFF's ToC and revising the M&L system accordingly to match the strength of its model by adding the missing building blocks.

### Recommendation 4: To the FFF management team and country facilitators

Increase efforts to improve the value chain development approach by adding elements which focus on value addition, processing, linkage to various actors in the same chains (especially downstream), and enable FFPOs to improve the terms of engagement with national, regional and international markets.

### Recommendation 5: To the FFF management team and country facilitators

While continuing to address gender-specific barriers (including lack of skills and poor access to resources), enhance support to the development of women's entrepreneurship in forest and farm-based value chains in order to ensure equal participation in value chains and linkages to markets. Increased focus should also be given to the inclusion of youth in FFPO activities.

## Lessons learned

The MTE draws the following lessons learned from the findings and conclusions:

ES22 **Lesson 1:** FFPOs have the potential to become important business organizations and to influence rural development policy agendas. To do so, they require capacity building support in order to reach a minimum level of organizational and business skills, as well as political and rights awareness.

ES23 **Lesson 2:** The ToC must adequately consider the key assumptions of an initiative's implementation; otherwise those assumptions are likely to become risks.

ES24 **Lesson 3:** With regard to FFPO's participation in value chains and linking to markets, peer to peer learning may offer shortcuts for the transfer of technologies, improving progress toward downstream nodes of value chains, and enhancing performance and impact.

## 1. Introduction

- 1 The Forest and Farm Facility (FFF) was one of the first “umbrella programmes” within the Food and Agriculture Organization of the United Nations (FAO). The FFF receives funding through a multi-donor trust fund, from donors including Sweden, Finland, United States, AgriCord (through its Farmers Fighting Poverty Programme) and Germany (under the Carlowitz project). The World Bank’s Program on Forests (PROFOR) also provided startup funds through two of the main partners: the International Institute for Environment and Development (IIED) and the International Union for Conservation (IUCN). Though the Programme was established with a target budget of USD 50 million for five years, only USD 12.5 million dollars were secured by FAO as of June 2016.
- 2 The FFF was designed under a partnership co-managed by IIED, IUCN and AgriCord, with inputs from major alliances of forest and farm producer organizations including representatives from the International Family Forest Alliance, the Global Alliance for Community Forestry and the International Alliance of Indigenous and Tribal Peoples of the Tropical Forests. The FFF was implemented through a participatory multi-stakeholder process and informed by scoping studies, resulting in a multi-year work plan that is country and context specific, and designed to improve the Country Programming Framework and to catalyze and leverage existing initiatives. The FFF was set up for a duration of five years, running from December 2012 to December 2017. However, the first significant funding was only received in August 2013, and a decision was made to launch in-country activities in six paired pilot countries during 2013: Guatemala and Nicaragua (Latin America), The Gambia and Liberia (Africa), and Nepal and Myanmar (Asia).
- 3 Beginning in November 2013, four more countries were selected (Bolivia, Kenya, Zambia and Vietnam) through a comprehensive selection process; work began in the second half of 2014 and the beginning of 2015. Expressions of interest were received in various forms from over 44 countries and 70 forest and farm producer organizations, indicating unmet demand.
- 4 The project has a monitoring and learning system (M&LS) to monitor progress on a range of indicators under each of the outputs described in the programme theory of change (ToC). An annual aggregated report on the FFF’s M&LS is presented to the Steering Committee each February, summarizing country level achievements and lessons learned.
- 5 FFF activities are currently underway across the 10 countries, albeit at different stages of intervention. This includes work by apex level producer organizations supported through partnership agreements, small grants to producer organizations to support enterprise and other organizational needs, multi-sectoral platforms led by government actors at national and sub-national levels, exchange visits and capacity building.
- 6 This MTE was conducted in accordance with the agreements signed with donors. With 1.5 years left in the current project, this evaluation provides an opportunity to improve implementation and to envisage its future after December 2017.

### 1.1 Purpose of the evaluation

- 7 As mentioned above, the mid-term evaluation is programmed in the FFF project document and financing agreements. The purpose of the MTE is to inform the Project Steering Committee, the Programme Management Team, the Donor Support Group and other stakeholders about the project’s progress and performance toward attaining the expected outputs and outcomes. The intention is therefore to evaluate the programme for planning purposes as well as to inform the multi donor fund of progress to date. The mid-term evaluation is expected to bring valuable external reflections to help strengthen the programme, and to validate and complement the M&L system of the project.
- 8 The MTE draws specific conclusions and formulates recommendations for necessary further action by the Steering Committee, the Project Management Team and other international

and in-country FFF stakeholders. It also identifies good practices and lessons learned for the formulation and execution of other similar projects that address forestry governance and/or utilizing a small grant scheme.

## **1.2 Intended users**

- 9 The intended users of the results of this MTE include the FFF Steering Committee, the Donor Support Group, the Project Management Team the FFF national facilitators, implementing partners, FAO country office staff, government stakeholders, and other international and in-country FFF parties.

## 2. Scope and objective of the evaluation

- 10 Scope: This MTE evaluates the results achieved from the inception of FFF in December 2012 until December 2015, bearing in mind that activities did not start until mid- to late-2013. The evaluation assesses all key elements of the programme across its interventions as outlined in the ToC, with a representative set of forest and farmer producer organizations (FFPOs) and government partners in the selected five countries, and at the regional and global levels. Additionally, the management and governance structure of the project were assessed as well as the linkages between the project and other in-country and global initiatives in the context of FAO's Strategic Objectives (in this case SO3 Output 1.1 and SO2 Output 2.2).

### Objectives and evaluation questions

- 11 The FFF mid-term evaluation had the following objectives:
- Assess progress made toward achieving project results; and
  - Identify design and implementation issues that should be addressed in order to achieve the project's intended results.
- 12 In order to achieve these objectives, the evaluation sought to deliver findings under the criteria of relevance, effectiveness, efficiency, impact, partnerships and coordination, normative values, sustainability, and coherence and synergies. In this regard, the evaluation was guided by the below preliminary evaluation questions respective to the criteria of relevance, effectiveness, efficiency, partnership and coordination, sustainability, and FAO's normative values. In the course of the work, the MTE added a question on the "Likelihood of Impact of the Project" to capture the project's crucial early effects which were not recorded by its M&LS.<sup>1</sup>

### Relevance

- 13 **Evaluation question 1:** How relevant is the FFF's primary focus and logic in terms of its stated mission, in relation to the target countries' contexts, broader sustainable development initiatives, and smallholder farmers' needs?
- 14 **Evaluation question 2:** How and to what extent does the project contribute to the broader strategic FAO objectives? Sub-questions: (2.1) How coherent is FFF in terms of how it fits in with the policies, programmes and projects undertaken by the governments, FAO and other development partners? (2.2) To what extent has the FFF integrated its programme with other technical teams within the Forestry Department; with FAO's internal priorities, building on Country Programming Frameworks and regional initiatives; and especially by linking with the Strategic Objectives (in this case SO3 Output 1.1 and SO2 Output 2.2)? (2.3) Is FFF coherent with other forestry initiatives operating within the target countries?
- 15 **Evaluation question 3:** Was the project design appropriate for achieving the mission, vision and outcomes?

### Effectiveness

- 16 **Evaluation question 4:** To what extent is the FFF on track to achieving outcomes across the three pillars, and what changes are attributable to the FFF's interventions which are directly linked to the FFF's main objectives? Sub-questions: (4.1) To what extent were producer organizations strengthened for business development and engagement in policy dialogue? (4.2) Did FFF Catalyze multi-sectoral policy platforms? (4.3) Did FFF link local voices to global processes?

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1 In order to avoid repetition in the presentation of the findings, some questions from the Evaluation Terms of Reference have been reclassified as sub-questions here in the final evaluation report where it was appropriate.

### **Efficiency**

- 17 **Evaluation question 5:** To what extent is the current operational modality contributing to the efficient achievement of the program outcomes?

### **Likelihood of impact**

- 18 **Evaluation question 6:** To what extent is FFF contributing to progress toward the expected outcomes and impact?

### **Partnership and coordination**

- 19 **Evaluation question 7:** Was FFF successful at engaging other partners in the FFF-supported processes?

### **Sustainability**

- 20 **Evaluation question 8:** How sustainable is the FFF concept of investing in the organizational capacity of forest farm producer organizations – and how might this be enhanced?

### **Normative values**

- 21 **Evaluation question 9:** To what extent have gender and human rights been taken into account in the design of the FFF and during the implementation?

### 3. Methodology

- 22 The MTE adopted a consultative and transparent approach with FFF internal and external stakeholders throughout the evaluation process. The triangulation of evidence and information gathered underpins its validation and analysis, and supports the conclusions and recommendations.
- 23 To assess the contribution of the project toward its stated outcomes and expected impact, five participating countries were visited. In each country, national and sub-national stakeholders were interviewed and field visits were carried out to meet directly with FFF-targeted FFPOs. A sixth mission was planned for Nicaragua, but this was cancelled due to timing and logistical constraints. The five visited countries were The Gambia, Kenya, Guatemala, Myanmar and Vietnam. While these five countries were the primary focus countries for the evaluation, the MTE team also conducted desk reviews of the FFF activities carried out in the other five countries in order to corroborate the findings from the primary evaluation missions.
- 24 Desk reviews and consultative interviews with the FFF team at FAO headquarters constitute an important aspect of the evaluation approach, primarily in relation to questions of programme management, coherence and synergies. Interviews were also conducted with staff of IUCN and IIED, the two main FFF partners.
- 25 To answer the above evaluation questions, the MTE's approach is based on mixed methods and triangulation of information. This approach was selected to ensure that the evaluation findings fully respond to the purpose of the evaluation. The methods used included the following:
- Review of existing documentation on FFF;
  - Analysis of FFF self-reported information, in particular the 2014 and 2015 annual reports;
  - Semi-structured interviews with key informants, stakeholders and participants, supported by the questions listed in the evaluation matrix;
  - Targeted FFPOs discussion and direct observation during field visits in the focus countries;
  - Validation of MTE mission observations through debriefing discussions with key stakeholders at country and FAO headquarters level.
- 26 In order to answer evaluation questions 1 and 3 on relevance, country visits and key informant interviews were conducted with in-country stakeholders and beneficiaries. To answer question 2 on the coherence and consistency of FFF with FAO's strategic objectives and other FAO initiatives, the evaluation team conducted interviews with key informants at FAO headquarters and country level, as well as a desk review. For questions 4 and 9, the MTE used different analytical approaches for assessing progress and impact under each FFF pillar. In assessing progress towards Outcome 1, Pillar 1, the analysis was based on four levels for influencing forest and farm related policies (adapted from Keck and Sikkink, 1998<sup>2</sup>), as follows:
- Getting issues on the political agenda;
  - Encouraging discursive commitment from government;
  - Securing procedural change at national level;
  - Influencing behavioral change in key actors.
- 27 In assessing the effectiveness of activities under Outcome 2, the MTE analyzed progress made by FFF in supporting interventions aimed at improving forest and farm based value

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2 Margaret E. Keck and Kathryn Sikkink (1998). *Activists beyond borders: Advocacy Networks in International Politics*. Cornell University Press.

chain governance<sup>3</sup> as well as the upgrading<sup>4</sup> trajectories followed by FFPOs. On value chains governance, three analytical lenses were used:

- i) Analyzing support to policy and institutional improvements of the environment in which value chains operate;
- ii) Analyzing support to new laws and regulations governing value chains;
- iii) Analyzing the facilitation offered to the negotiation of trade relationships between FFPOs and downstream value chain operators.

28 To analyze the upgrading strategies, three analytical lenses were used:

- i) Analyzing value chain upgrading strategies used by FFPOs with the support of FFF in different countries;
- ii) Analyzing market access models practiced by FFPOs;
- iii) Analyzing the outcomes for FFPOs and their member households.

29 The evaluation also analyzed why some FFPOs derived greater benefits from their participation in value chains. For Question 6 on the project's expected impact on forest and farm livelihoods, the achievements under each pillar were framed in terms of the assets and capitals identified in the sustainable livelihood approach (i.e. human capital, social capital, political capital, natural assets, physical assets and financial assets).

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3 Value chain governance is understood as the power to control, influence, and set the modes and rules of interaction in the value chain.

4 Value chain upgrading refers to the acquisition of capabilities and market linkages that enable enterprises to improve their competitiveness and move into higher-value activities.

## 4. Background and context of the project

### 4.1 Context of the project

- 30 FFF is a multi-donor project hosted by FAO. It is overseen by a Steering Committee and has a management team that includes staff from FAO, the International Union for the Conservation of Nature (IUCN), the International Institute for Environment and Development (IIED), and AgriCord. Its vision is "Smallholders, communities and indigenous peoples' organizations have improved their livelihoods and decision-making over forest and farm landscapes".
- 31 The project was formulated in a context where natural resources face global challenges including population growth and inequitable and unsustainable consumption patterns, which degrade ecosystems and threaten the resource base of rural communities, including access to land, food, fuel, construction materials and livelihoods. While smallholder farmers and communities who live close to forests understand the multiple benefits of forests and trees, their contributions are often marginalized by their distance from decision-making centers, markets and investment programmes, as well as their lack of organized representation in such groups. FFF was developed to address this contradiction. The idea evolved as a new phase of the National Forest Programme (NFP) facility<sup>5</sup> to address the challenges that it did not meet. FFF builds on the experience gained not only from NFP but also from other programmes undertaken in collaboration with IIED and IUCN, including the World Bank-funded Growing Forest Partnerships (GFP)<sup>6</sup> and the Forest Connect programme.<sup>7</sup>
- 32 The NFP Facility and the GFP each made significant contributions to increase stakeholder participation. Three key learnings from the NFP Facility were: i) the lack of direct representation and direct support to indigenous people, smallholders and community forestry groups; ii) the need to recognize the productive function of FFPOs not only in terms of the economy but also from an ecological, social, and rights perspective; iii) the need to transition to a landscape approach that integrates the productive sectors with livelihoods (i.e. move away from supporting multi-stakeholder forums within sectors, and toward establishing cross-sectoral multi-stakeholder groups).
- 33 The FFF aims to go a step further by improving the representation of local people in policy formation and focusing support on strengthening their capacity to network and organize. At the same time, tackling global challenges requires integrated programmes that span local, national and international levels and reflect the multiple functions and benefits of forests and farms. In most countries, the forest sector remains isolated and is not involved in national policy dialogues on poverty reduction, food security or climate change. In this regard, the FFF also seeks to mobilize the international community to support the organization of local people, and to foster better multi-sectoral policy platforms.
- 34 The FFF design is based on the principle that strengthening FFPOs is essential for ensuring the inclusive and sustainable management of productive landscapes; providing practical alternatives to economic migration; adapting and mitigating the effects of climate change; building wealth; and reducing rural poverty. This has become the core of the FFF's work and constitutes its Pillar I. Given the complexity that landscape scale solutions demand and the multiple challenges that FFPOs face, FFF's second major focus of work (Pillar II) focuses on facilitating and supporting multi-sectoral, multi stakeholder platforms that help develop coordination across ministries and departments – leading to greater coherence and more

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5 The NFP Facility was created in 2002 as a response to intergovernmental dialogue, which recognized the essential role of national forest programmes in addressing forest sector issues. Its main objective was to assist countries in developing and implementing NFPs that effectively address local needs and national priorities and reflect internationally agreed principles (country leadership, participation and integration of cross-sectoral issues). The NFP Facility followed the same management structure as the FFF, in that it was hosted by FAO and governed by a Donor Support Group and a Steering Committee, which included representatives of beneficiary countries, the World Bank, FAO, funding partners, research institutions, NGOs, foundations and the private sector. <http://www.fao.org/forestry/nfp-facility/en/>

6 Growing Forest partnerships (GFP): <http://www.growingforestpartnerships.org/>

7 Forest Connect: <http://www.iied.org/forest-connect>

integrated policies. Lastly, FFF prioritizes the direct sharing of knowledge and learning through exchange visits and communications activities that help link FFPOs, government officials and other stakeholders through genuine participatory processes within countries, between countries at a regional level, and at the global level decision-making processes (Pillar III).

- 35 The project is a unique partnership between FAO, IIED, IUCN and AgriCord. FAO hosts the core team and provides administrative support, technical knowledge and country contacts, linking to and supporting the policy making of partner country governments. IIED is active in the analytical work, especially through the FFF's monitoring and learning system and the formulation of lessons learned. With its large global network and presence in FFF partner countries, IUCN supports regional and global activities. Also very important is the partnership with AgriCord which, in addition to being a donor, is a farm-based agri-agency umbrella organization. AgriCord has a long history of supporting producer organizations in agriculture that expressed interest in FFF, and has linked FFF with many farmers' organizations to provide special funds for small grants.
- 36 FFF is guided by a Steering Committee which has a balance of female and male members affiliated with forest producers; community forest and indigenous peoples' organizations; the international research community; international advocacy and policy non-governmental organizations (NGOs); business development service provider organizations; the private finance sector; government; and international development agencies.
- 37 At country level, the FFF adopts an internally driven approach of encouraging FFPOs to identify the priority entry points by which reforms in the governance of the forest and farm sector can be achieved. The thinking behind this is that the stronger and more united the local voices, the more likely they are to achieve positive change. This approach is considered as an essential complement to other approaches such as those associated with climate change and REDD+, Forest Law Enforcement Governance and Trade (FLEGT) initiatives, and the implementation of the international arrangement on forests and the Sustainable Development Goals.
- 38 Country level FFF activities are coordinated by a national FFF facilitator in each country, who receives guidance and coaching from the FFF management team. In some countries the national facilitator is an FAO country office staff member, whereas in other countries the facilitators are based in FFPOs or civil society organizations.

## 4.2 The theory of change

- 39 FFF developed a generic ToC that links development results at FFPOs level (organizational capacity, access to technologies and access to markets) with voice and participation in policy processes at national and global levels, in order to achieve the intended impact. The strategies to achieve impact are arranged under three Pillars, four outcomes and seven outputs, as presented in Figure 1.
- 40 The FFF has sought to represent the dynamic linkages between each pillar through a generic theory of change, presented in Figure 2. The MTE found that on this basis the internal logic of the project is largely sound between the outputs and outcomes level. However, a close analysis shows that it does not express the conditions required to translate development results into impact. The ToC lacks important building blocks in terms of assumptions and impact drivers between the outcomes and impact level.<sup>8</sup>
- 41 Between the levels of outcomes and impacts, the project design should express the main changes expected to take place as "intermediate states (IS)", as the stepping-stones to impacts in the respective pathways. It is therefore important to indicate explicitly in the ToC the assumptions required to transform outcomes into intermediate results, and from there to planned impacts. The MTE reconstructed the ToC based on the original in order to include the missing building blocks (Assumptions and Impact Drivers); this provides a framework that more clearly articulates the conditions that are required to reach the

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8 Distinct from assumptions, impact drivers are factors that project/programme management can influence to a certain extent.

expected impact. The reconstructed ToC does not modify the outputs, outcomes, impact and vision. Rather it places them together with Intermediate Results (the current Pillars), Assumptions and Impact Drivers into a graphic representation of the FFF.

- 42 The FFF ToC building blocks are illustrated in Figure 3. The original ToC blocks are illustrated in green with connecting blue arrows, and are unchanged. Dashed arrows were added to show the connectedness based on the project implementation experience to date. Other colors indicate the blocks that are missing in the original ToC: blue for the Assumptions, and red for Impact Drivers.
- 43 During the country visits, the MTE team discussed with National Facilitators and their key partners the conditions necessary to achieve impact. The information obtained was used to identify factors and conditions that influence (or may influence) progress to impact. The reconstructed ToC shows that to achieve FFF impact, the following three Intermediary States (IS) that correspond to the three Pillars must be achieved:
- i) IS-1: FFPOs’ capacity for doing business is enhanced and they engage in policy decisions;
  - ii) IS-2: Multi-sectoral stakeholders’ policy platforms are catalyzed;
  - iii) IS-3: Local voices are linked to global processes.



Figure 1: FFF results framework

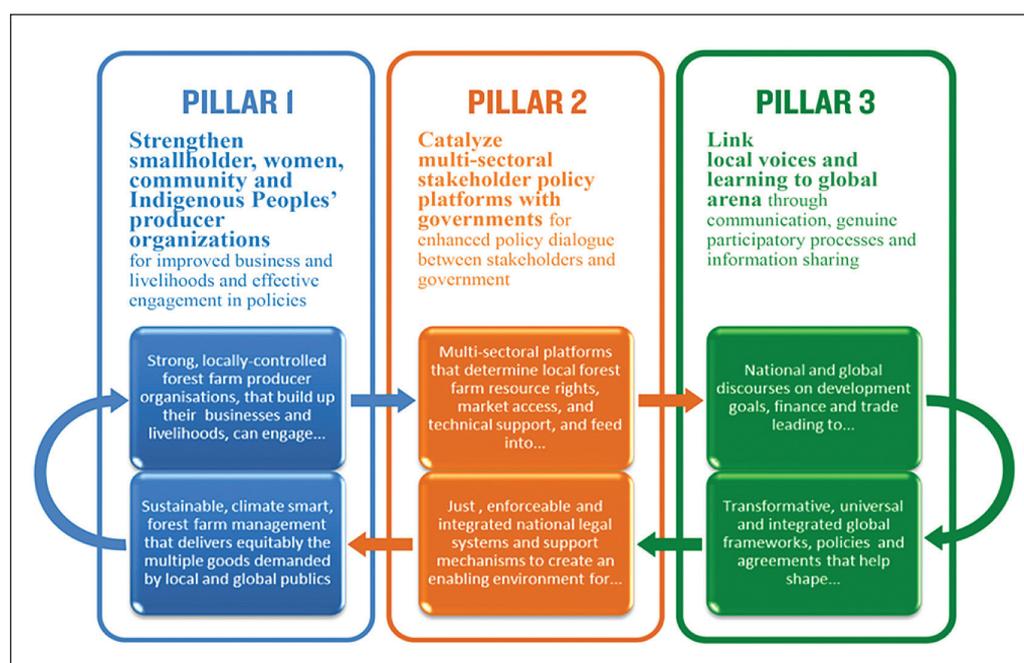


Figure 2: Original FFF Theory of Change

- 44 To achieve IS1, FFF enhances the FFPOs' capacity for doing business and engaging in policy decision processes. The MTE found that despite the considerable progress made in implementing related outputs at the FFPO level (as demonstrated later in this report), the real changes for sustainable results can take place if two important Assumptions are met:
- Governments put in place conditions enabling FFPOs to engage in business and policy formation;
  - Partnerships with Financial Institutions (FIs) and Micro-Financial Institutions (MFIs) can be mobilized to address FFPOs' finance issues.
- 45 To achieve IS-2, FFF intends to catalyze multi-sectoral policy platforms. However, this highly political objective can be reached only if, as above, the Assumption that "Governments put in place conditions enabling FFPOs to engage in business and policy formation" is met.
- 46 To achieve IS-3, FFF intends to link local voices to global processes. This can be achieved if the Assumption that "avenues for exchange at regional and global levels are offered" is met.
- 47 The vision is stated as "Smallholders, communities and indigenous peoples' organizations have improved their livelihoods and decision-making over forest and farm landscapes". This relates to 10 participating countries, which is an understatement because Pillar 3 of the project arguably leads to important regional and global impacts. FFF should integrate these impacts into the formulation of the vision. The MTE therefore added a plain blue arrow linking the Intermediary State "Local voices are linked to global processes" to the vision, while the arrow link to impact is dashed.
- 48 The impact is stated as "Smallholders, communities and indigenous peoples' groups have improved income and food security from sustainable forest and farm management". This is also an understatement of the impact. Considering the importance that the vision attaches to livelihood improvement, the FFF should articulate the impact accordingly in order to cover the potential livelihood-related impacts and not a subset of those impacts (e.g. income and food security). Given the wide regional and country scope of project implementation, the livelihood-related impacts should be defined in terms of improved human, social, political, natural and physical capitals.

49 At the impact level, FFF intends to contribute to improving the income and food security of smallholders, communities and indigenous peoples' groups through sustainable forest and farm management. This formulation is not wide enough to achieve the level of the vision, which emphasizes improving the livelihoods of smallholders, communities and indigenous peoples' organizations and their decision-making over forest and farm landscapes. In addition to income and food security (financial capital and resilience), important impacts can be expected in terms of improved human capital, social capital, political capital, natural capital and physical

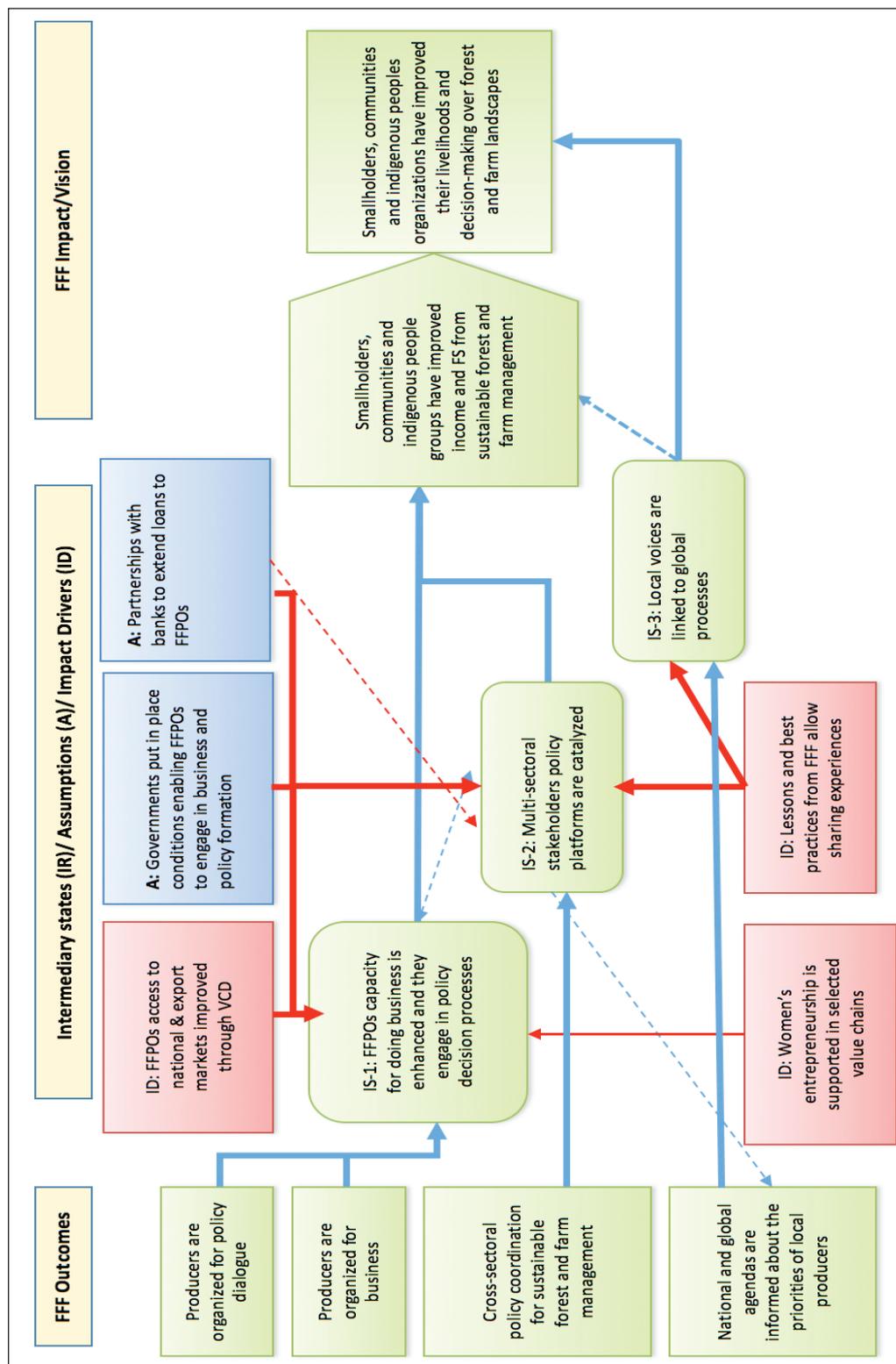


Figure 3: Reconstructed theory of change

## 5. Evaluation questions: Key findings

- 50 This section presents the evaluation team's findings which were based on a desk review of FFF documents, interviews with the FFF team, a country visit, interviews with target FFPOs at grassroots level, and key programme stakeholders in Gambia, Guatemala, Kenya, Myanmar and Vietnam.

### 5.1 Evaluation question 1: How relevant is FFF's primary focus and logic in terms of its stated mission, in relation to the target countries' contexts, to broader sustainable development initiatives, and to smallholder farmers' needs?

The FFF approach is highly aligned with the national policies of participating countries. Its model of directly supporting FFPO proposals financially and technically is highly relevant to the needs and priorities of target forest and farm smallholders, who view it as filling the gaps in rural development cooperation that other actors do not usually address.

- 51 The FFF approach is highly relevant to the national policies of participating countries, and it supports producer organizations for business and policy engagement to improve their livelihoods and decision-making over forest and farm landscapes, which is relevant to the national policies of all participating countries. In Guatemala for example, the Government welcomed FFF support for coordinating multi-stakeholder and cross-sector dialogue on forests-related agendas, and in the agendas of related sectors such as agriculture, economy, energy, food security, biodiversity and water.
- 52 In Kenya, the MTE found the FFF relevant to Kenya's Agricultural Sector Development Strategy 2010-2020 (ASDS), which is aimed at reducing rural poverty through commercialization of the agricultural sector, and to the new constitution 2010 and vision 2030 which target the recovery of 10 percent of forest cover. In the context of changes in the governance and administrative structure brought about by Kenya's new constitution, FFF contributes to the consolidation of agricultural and forestry services governance to the governments of Nakuru and Laikipia Counties.
- 53 In Gambia, FFF is in line with the Agricultural and Natural Resources Policy 2009-2015 (ANR), which was launched in 2012 and supports an integrated approach in managing landscape resources. FFF was well received, most notably for strengthening the experience gained through the NFP facility and in further supporting community forests.
- 54 In Viet Nam, FFF is well aligned with government policies, strategies and legal frameworks regarding rural social and economic development. Of particular importance was the Prime Minister's decision No 67-QD/TTg of 2012, enabling VNFU to implement directly and to collaborate with ministries to implement programmes and projects developing the rural economy, culture and society during the period 2011-2020.
- 55 In Myanmar, FFF activities are aligned with the government's Forestry Master Plan (2001) which has a target of transferring 2.27 million hectares to community ownership (community forestry) by 2030. Meanwhile, the revised community forestry instructions (CFI) explicitly encourage a market-led approach to community forestry, in line with FFF's approach.
- 56 FFF is highly relevant to smallholders' development needs and fills gaps that other development actors do not usually address. According to the FFPOs' representatives interviewed by the MTE team, by providing funding directly to FFPOs to support their projects, FFF fills a gap in both donor assistance and government assistance. FFF narrows this gap by recognizing that FFPOs can elaborate and implement proposals based on the priorities of their members, and be the drivers of change for their own development if they receive the necessary support.

- 57 Every FFPO representatives met by the MTE team agreed that FFF's outcomes and impacts addressed their problems and needs. In Kenya for example, the FFF programme was structured around the needs of smallholder farmers to receive income from the country's tree planting program. In Kenya and Gambia, many FFPO representatives told the MTE team that for the first time a development actor directly funded their projects agreed that trees should be considered as crops.
- 58 In Viet Nam, FFF is very relevant to the needs of most smallholder upland and forest farmers, whose livelihoods depend on small farms in forest and farm landscapes. Their production in farming and forest plantations contributes significantly to forestry sector growth and local and national economies. However, many farmer households in upland and mountain areas barely cover their food needs and suffer from poverty during unfavorable seasons. On the other hand, many smallholders can produce some forest and non-timber forest products (NTFPs), but they usually sell their products individually to middlemen and traders at unfavorable prices.

## **5.2 Evaluation question 2: Consistency with FAO's strategic objectives: How and to what extent does the project contribute to the broader FAO strategic objectives?**

FFF is integrated with FAO's Forestry Department and contributes significantly to the Organization's Strategic Objectives SO2 and SO3. FFF supported the poverty reduction objective by targeting poor smallholder farmers as well as: (i) implementing the integrated development approach aimed at managing sustainable forest and farm landscapes; (ii) empowering smallholders through training to engage in business, and to participate in policy formation processes and forest and farm-based value chains; (iii) streamlining gender equity into the Theory of Change (ToC).

- 59 FFF is relevant to the needs defined by the Collaborative Partnership on Forests (CPF) and the Committee on Forestry (COFO) to strengthen national forest resource management in developing countries. FFF is consistent with the global goals of the CPF, for which FAO is the Chair. The FFF is integrated within the Forestry Department, which provides significant in-kind support, and it collaborated with the Social Forestry Team, particularly with regard to World Forestry Congress. It has ties to the FLEGT and UNREDD programmes, the Forest Landscape Restoration Mechanism, the GEF, the Great Green Wall Initiative and the Voluntary Guidelines on the Governance of Tenure. The Inter-departmental committee on Indigenous Peoples, the Knowledge Platform on Family Farming and the Communications for Development team provide resources, expertise and coordination to FFF's country programmes.
- 60 The project is aligned to FAO's Strategic Objective 2 (SO2), "Increase and improve the provision of goods and services from agriculture, forestry and fisheries in a sustainable manner". FFF has played an important role in the evolution of a community of practice group within FAO on cross-sectoral policy processes, and its publications on this issue stimulated considerable internal interest.
- 61 FFF is particularly well aligned with FAO's Strategic Objective 3 (SO3), "Reduce rural poverty", to which it contributes significantly. Under SO3, FAO recognizes that rural poverty is mostly concentrated among households of small-scale subsistence producers and family farmers. It further recognizes that women are often amongst the most marginalized, and therefore need to strengthen their right to the natural resources on which they depend. Though FFF started its activities slightly before FAO's current strategic objectives were adopted, its design was based on the same analysis of the factors of rural poverty. Its focus target groups are also poor smallholder farmers whose livelihoods are tied to small forests and farm assets. FFF design also took into account the marginalization of women in smallholder communities, and the streamlining of gender equity into its ToC.
- 62 Under SO3, FAO's focus is on a holistic approach to rural development and poverty reduction. Likewise, FFF emphasizes integrated approaches in which forests and other farm components are considered functionally interdependent components of the same rural landscapes, which must be sustainably managed and used to improve the

livelihoods of their users. FFF also focuses on opportunities that strengthen linkages between forests, crops and animal production to improve sustainability. In this regard, members of FFF who supported FFPOs in Kenya told the MTE team that they consider trees on their farms as crops.

- 63 More specifically, the FFF is aligned to FAO's corporate Outcome 3.1: The rural poor have enhanced and equitable access to productive resources, services, organizations and markets, and can manage their resources more sustainably. The output under this outcome to which FFF is contributing most is Output 3.1.1: Support to strengthen rural organizations and institutions and facilitate empowerment of the rural poor. The FFF objectives under pillars 1 and 2 are closely in line with those of SO3. As such, FFF activities support the indicator for Output 3.1.1: Number of countries in which support was provided to create an enabling environment for rural organizations and institutions as well as the empowerment of the rural poor.
- 64 Regarding the support to national and local stakeholders, SO3 advocates providing policy tools to identify the critical conditioning factors that would enable sustainable rural development and poverty reduction. FFF contributes to this strategy because in its country level implementation it utilizes approaches and tools that enable sustainable rural development. Examples include the trainings given to smallholder farmers on MA&D, and being empowered to engage in business and to participate in the policy formation process, as well as in forest and farm-based value chains.
- 65 At the heart of FFF consistency with FAO's SO3 are FFF's Outcomes 1 and 2. Outcome 1 is instrumental in enabling poor rural smallholder farmers to engage in policy dialogue on forest and farm resource management and use-related issues. Outcome 2 is instrumental in enhancing the capacity of the same target groups to invest in forest and farm management to participate in value chains and integrate into the markets.

### **5.3 Evaluation question 3: Was the project design appropriate for achieving the outcomes and the vision?**

FFF design is appropriate for achieving its outcomes and vision. It addresses challenges faced by forest and farm smallholders, such as limited access to markets and participation in policy formation processes. The design adapts solutions for addressing these challenges, including training smallholders organized in FFPOs to link to markets and to participate in policy formation processes.

- 66 The project's design for achieving its outcomes and vision is appropriate. Forest and farm smallholders of developing countries face challenges that include limited organizational skills, as well as limited access to markets and market information, financial capital, smallholder-appropriate technologies, and participation in policy formation processes relating to forest and farm landscape management and use. Addressing these challenges is pertinent to FFF's vision and outcomes. All key informants interviewed by the MTE team said that the FFF model is a practical and effective methodology for delivering support to FFPOs, as compared with traditional development projects. FFF facilitates access to smallholders through these organizations, including training and other services, enabling them to do business and link to markets, and to participate in policy formation processes.
- 67 With respect to the appropriateness of FFF's design for achieving the vision and expected outcomes, the main strength of the model include a wide scope for addressing smallholder farmers' challenges, being demand-driven, and supporting with direct grants the proposals submitted by FFPOs for funding. While the ultimate goal is ensuring sustainable management and use of forest and farm landscapes, FFF's niche is in strengthening FFPOs directly, complementing other approaches focusing on rights, legality, payments for environmental services including REDD+, and technical capacity for sustainable forest management. It supports a range of advocacy and policy activities of FFPOs, including Indigenous peoples. Thus, FFF is relevant to the policies and strategies of participating countries, which in many cases support multi-stakeholder and multi-sectoral dialogue on forest-related agendas, FFPOs strengthening, sustainable management of forest and farm landscapes, and empowerment of FFPOs.

- 68 The MTE found that the FFF model also provided grassroots level results from which lessons and good practices can be drawn for future FFF action and upscaling in participating countries. In terms of methodology (e.g. concept, implementation, M&L system) the model is replicable, in participating and other countries as well. FFF's ToC should be improved to take into account the diversity of rural situations and political economy contexts of participating countries. The MTE noted that political economy assessments were missing from the initial baseline assessments in FFF focus countries. Such analysis, if conducted in a systematic methodical manner, might help to understand the key agents of change in the country for future FFF implementation.
- 69 The appropriateness of the FFF model is further evidenced by the strong response it has received from FFPOs in the 10 participating countries, in a relatively short time. Table 1 provides for each participating country the numbers of FFF-targeted organizations at local grassroots level. This table also lists the national and other apex organizations that are targeted by or interact with the project. The numbers of these organizations listed in the table have been achieved in each country in a relatively short time; they show that the interventions tailored on the basis of the FFF model were appropriate in meeting their development priorities, as formulated in their own proposals.
- 70 While the FFF model is largely appropriate, it was found that the project document and the M&L system make no mention of value chain development (VCD) approach.<sup>9</sup> This gap is corrected by the project's support for the MA&D trainings, which target value chain actions in five separate spheres of interventions: (i) natural resource access; (ii) institutional and legal; (iii) market chains/finance; (iv) social/cultural issues; and (v) technology, research and development. The model is therefore further strengthened by the degree to which FFF supports FFPOs in their participation in value chains. However, beyond supporting FFPOs to engage with markets, the question is also how to further enable them in improving the terms of engagement with national, regional and international markets. Considering the positive experiences that the FFF is generating in many countries, the VCD will need to be further expanded in this direction in the future.

**Table 1:** Organizations targeted by FFF in participating countries

| Country   | Number of organizations  |
|-----------|--|
| Bolivia   | 20 local organizations; 1 national federation                                    |
| Gambia    | 10 groups; 1 national platform   |
| Guatemala | 1 alliance; 11 regional associations comprising 400 community groups             |
| Kenya     | 12 local organizations and 1 apex  |
| Liberia   | 2 large groups: 35 700 members   |
| Myanmar   | 72 community-based groups (including 6 township and 2 sub-regional associations) |
| Nepal     | 26 producer organization; 1 national federation                                  |
| Nicaragua | 13 groups (9 Mayangna, 4 Mestiza)  |
| Viet Nam  | 4 regional processes; 1 National Union   |
| Zambia    | 48 local organization; 1 national organization                                   |

<sup>9</sup> Value chain development (VCD) is understood as a concerted effort to improve the conditions in the value chain. For FFPOs, VCD implies the improvement of their participation in value chains, enhancement of the benefits they get, and reducing the exposure to risks. Benefits and risks should be understood not only in financial terms but also in relation to the environment, livelihoods improvement and gender equity.

#### **5.4 Evaluation question 4: To what extent is the FFF on track to achieving outcomes across the three pillars, and what changes can be observed that are attributable to the FFF's interventions and are directly linked to the FFF's main objectives?**

Through its training activities, FFF is helping FFPOs to engage in business, link to markets and participate in value chains. The MTE found that in most participating countries FFF was effective in supporting FFPOs' participation in policy dialogue with governments, and in supporting participating countries to include their issues in the political agenda. This resulted in strengthening the ownership of the FFF model at grassroots level.

- 71 This section presents the MTE findings with respect to overall achievements per outcome for each pillar. Overall, the FFF management made a commendable effort to keep implementation on track. The MTE found substantive evidence that FFF is on track for most outcomes, particularly those of Pillar 1. Based on interviews with key informants and direct field observations regarding progress toward achieving the project Intermediary States, the MTE findings indicate that FFF has made the most progress in relation to the IS-1, "FFPOs capacity for doing business is enhanced and they engage in policy decision processes". With regard to IS-2, "Multi-sectoral stakeholder policy platforms are catalyzed", important achievements have been made in Gambia, Guatemala, Myanmar and Liberia, where governments have established cross-sectoral coordination mechanisms for policy formation. With regard to IS-3, "Local voices are linked to global processes", there are important achievements in relation to processes at global level, such as participation of FFPOs delegations in XIV World Forestry Congress and UNFCCC COP21. At regional level, there is good progress in Asia and Mesoamerica, where FFF supported the Asian Farmers' Association for Sustainable Rural Development (AFA) and the Mesoamerican Alliance of People and Forests (AMPB) to FFPOs members at local level, to access relevant information about issues and challenges faced and possible solutions and actions to sub-regional and regional levels.
- 72 There are variations in performance between countries which are mainly due to the fact that, as mentioned earlier, respective programmes did not all start in the same year. Secondly, external events affected implementation in three of the ten countries. In Nepal, the April and May 2015 earthquakes which dramatically affected the country also affected FFF work. In Liberia, the Ebola crisis which affected the country in 2014-2015 caused a long suspension of FFF activities. In Nicaragua the government issued new regulations requiring all external funding to go directly through government agencies and not to FFPOs. This resulted in a slowdown and complete redesign in the programme.
- 73 FFF's three pillars and their respective outcomes are shown in Figure 1. The project has also formulated a diagrammatic theory of change illustrating the relationship between each of its three pillars (See Figure 2.) To assess the extent to which FFF is on track in achieving the planned outcomes and observable changes, the MTE analyzed how the project is performing to date in relation to the four outcomes.

##### **5.4.1 Pillar 1: "Strengthen smallholder, women, community and indigenous peoples' producer organizations for business/livelihoods and policy engagement"**

- 74 Regarding Outcome 1, "Strengthened producer organizations engage in policy dialogue", FFF is on track in supporting grassroots FFPOs and their apex structures to organize for policy dialogue and engagement. FFF is effective in supporting FFPOs to engage in policy dialogue. Table 2 summarizes progress made by FFF in the participating countries in influencing forest and farm-related policies. As described in the methodology section, the MTE distinguished four levels for assessing policy influence (adapted from Keck and Sikkink, 1998), as follows:<sup>10</sup>

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<sup>10</sup> Margaret E. Keck and Kathryn Sikkink (1998). *Activists beyond borders: Advocacy Networks in International Politics*. Cornell University Press.

- i) Getting issues on the political agenda;
  - ii) Encouraging discursive commitment from government;
  - iii) Securing procedural change at national level;
  - iv) Influencing behavioral change in key actors.
- 75 Getting issues on the political agenda. Under Output 1.1, “Dispersed local producers are organized into effective and gender inclusive groups”, FFF’s approach of targeting smallholders through FFPOs, which act as the vehicle to transfer knowledge and skills for getting organized, has led to increased awareness of the many advantages of working together. In most countries, the numbers of FFPOs targeted are significant. In all countries, the targeted FFPOs and apex organizations play an increasing role in placing smallholders’ issues and concerns on political agendas.
- 76 The MTE found that in most participating countries, FFF was effective in supporting FFPOs’ participation in policy dialogue with governments, and in supporting participating countries to get issues on the political agenda. In Bolivia for example, the participation of forest–farm producer organizations in the MA&D training boosts the capacity of FFPOs in policy advocacy. With FFF support, the National Federation of Cocoa Producers and Collectors of Bolivia (COPRACAO) contributed to validation and approval of the National Policy for Cocoa Production. This policy targets crops grown in agroforestry systems, and the upgrading or restoration of native cocoa production systems. Moreover, it will link cocoa producers to important funding from the government.
- 77 With regard to Output 1.2, “Producer groups work together with government and private sector to improve policy”, the MTE noted that foundations for interaction between FFPOs and governments on policy improvements are improving. In Gambia for example, FFF played a broker role in facilitating dialogue between FFPOs’ representatives and parliamentarians. In Kenya, interaction for policy improvement between FFPOs, county governments and the private sector have not yet taken place in the form of multi-stakeholders platforms. However, FFF contributed to strengthening the capacity of the apex forest and farm producer organization, FF-SPAK, so that it can help FFPOs to have voice and place issues on the political agenda.
- 78 Encouraging discursive commitment from the government. In Gambia, FFF organized training of FFPOs in “law literacy” to influence behavioral change, and to use the relevant existing laws and regulations to engage with the government and parliamentarians on issues related to the access and use of forest resources. FFF also facilitated a multi-actor dialogue to revive the country’s community forestry programme and to discuss forest tenure transfers to local communities. Because of this effort, there is a favorable discursive commitment of government authorities, which led to profound change as far as forest tenure is concerned. In 2015, the Government transferred 77 community forest areas covering 5 335 hectares to local communities across Gambia. This transfer had an overwhelming effect on the prospects of rural development in the country, in general, and on the structuring of FFPOs in particular. This is arguably one of the most noteworthy successes of FFF’s advocacy efforts.

**Table 2:** Progress made by FFF in influencing forest and farm related policies (Pillar 1 & 2)

| Results levels                               | Countries          | Examples of results obtained with FFF support   |
|--|--------------------|---|
| Getting issues on political agenda           | Bolivia            | FFF supports the implementation of the Joint Mechanisms for adaptation and mitigation for climate change platforms in three regions.  |
|  | Gambia             | The ANR Working Group and Platform engaged with FFPOs on many issues, including those relevant to the Rio conventions and on the implementation of the Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security.  |
|  | Guatemala          | FFF supports 2 multi-sectoral platforms at national level (GCI; the Firewood and Energy Platform) and 2 regional level in the Petén (MITA; Petén Agroforestry Platform).  |
|  | Kenya              | Although cross-sectoral platforms have not yet been established, KFS organized two stakeholder workshops to develop rules for the registration of private forest owners. FF SPAK attends fora where issues relevant to farm forestry are discussed.   |
|  | Liberia            | Inter-sectoral policy dialogues were planned with the involvement ministries and agencies, apex farmer organizations and private/ plantation owners.  |
|  | Nepal              | FECOFUN and FNCSI, in collaboration with a consortium of producer organizations, engaged with government agencies on issues related to improving the policy environment and supporting forest and farm businesses.  |
|  | Nicaragua          | FFF supports CONAFOR Platform set up discuss forest policy issues. Participants are government institutions and producer groups.  |
|  | Myanmar            | CFNWG, a new political platform for FFPOs, led by the Forest Department was formed and has discussed revisions to the CFI and the new forest law.   |
|  | Viet Nam           | Roundtable discussions with all stakeholders at all levels are facilitated by VNFU with agendas focusing on how to support FFPOs in production and sustainable forest business by creating a more enabling policy environment.  |
|  | Zambia             | FFF is working with the Forestry Department to facilitate the formation of Local forest and farm platform that would discuss FFPOs related issues at District level.  |
| Encouraging discursive commitment from state | Kenya & Gambia     | There is a particular influence of the work of FFF on the state policy discourses at national and sub-national levels as far as rural development strategies are concerned.   |
| Securing procedural change at national level | Bolivia            | In the framework of the FFF's LoA with COPRACAO, an inter-ministerial platform in which other actors participate was set up for the elaboration of a national cocoa program.  |
|  | Gambia & Guatemala | Spaces were opened to allow Apex FFPOs organizations to participate in inter-institutional policy platforms and working groups.   |
| Affecting policy content                     | Guatemala          | The Alianza OFC Guatemala participated in the process for elaboration of the forest law "PROBOSQUE" and submitted 6 amendments. The law was adopted in March 2016; It also influenced the National Congress and the Government to allocate budget to PINPEP.  |
|  | Nepal              | FECOFUN lobbied the government to remove bureaucratic barriers that prevent communities from benefiting fully from forest resources, especially those related to the harvesting and sale of forest products such as timber; Government revised its policy to allow the free transport of 23 timber and non-timber species from private lands. It also allowed the harvest of timber from community forest lands in the Churia region (for self-consumption only). |
| Influencing behavioral change in key actors. | Gambia             | FFF influenced the decision-makers to enforce the Forest Act (in relation to transfer of forest ownership to communities) and the implementation of the Natural Resource and agricultural Policy.   |
|  | Nepal              | FNCSI advocated for the government to improve its support for FFPOs such as by simplifying the registration process, improving governmental technical extension services and supporting rural credit schemes that target forest and farm producers.   |

- 79 Securing procedural change at national level and influencing behavioral change in key actors. In Guatemala, FFF was very successful in facilitating the Forest Law (PROBOSQUE) process and in supporting the FFPOs to influence the outcome of the forest law formulation process. PROBOSQUE provides incentives for forest and landscape restoration to smallholders, indigenous peoples, community forests and the private sector. FFF supported the National Alliance of Forest Communities and Agroforesters (Alianza) to participate in the drafting of the Law. The Alianza proposed six amendments of which four were accepted. In Nepal the Federation of Community Forestry User Groups and the Association of Family Forest Owners of Nepal made a strong advocacy effort which led the government to pass new regulations to allow smallholders to harvest forest products from their farmlands.
- 80 With regard to Outcome 2, "Local communities and producers are organized and thereby have the capacity to invest in sustainable forest and farm management and integrate into the market", FFF is achieving notable progress in strengthening producer organizations' capacity to engage in business. Through Output 2.1 "Local forest and farms organizations have knowledge about business development", Outcome 2 is the key focus of FFF as far as meeting grassroots priority support needs is concerned. It links directly to the expected project impact and vision. It can be implicitly understood from its formulation that knowing about business for FFPOs means that they can access successfully forest and farm-based value chains and rural finance. It is therefore important that in the support provided to FFPOs, FFF addresses the main constraints affecting smallholders' access to value chains. In this regard, the trainings organized by the project in different countries have focused on the knowledge that smallholder farmers need to add value to their productions and to link to markets.
- 81 Poor forest and farm producers often struggle to gain market integration because they lack knowledge of market requirements or the skills to meet those requirements. Furthermore, lack of access to information, together with other obstacles in value chains, prevent FFPOs from getting the benefits that entering into national and global markets can offer. The existing Value Chain Development experiences achieved through MA&D trainings are essential to deepening the integration of smallholder farmers into the market.
- 82 The MTE found that the FFF project document and its ToC do not explicitly focus on VCD. However, it found that there is an encouraging frequent mention of value chains in subsequent FFF documents, particularly in its Annual Report 2015. For example, in relation to "Aggregate Indicators for 2015" for Nepal, under Indicator 2.3.2, "Number practices, designs, plans and systems adopted following exchange visits", it is reported that one value chain approach was adopted. This reflects the fact that country and field level activities are making efforts to support VCD priorities.
- 83 For these reasons, the MTE put the analysis of VCD progress made by FFF at country level at the heart of the assessment of Outcome 2. To this end, the MTE analyzed progress made by FFF in supporting interventions aimed at improving forest and farm-based value chain governance as well as the upgrading trajectories followed by FFPOs as described in more detail in the methodology section.
- 84 Emerging experience in value chain governance. In the country visits, the MTE team found interesting emerging experiences in value chain governance in Gambia and Viet Nam. In Gambia, FFF played a key advocacy role in the government's decision on the transfer of forest tenure to local communities, in implementation of its policy and enforcement of its Forest Act. As a result, local communities countrywide can clearly improve the use and management of forest resources, and participate profitably in the forest-based value chain development processes. An MA&D training conducted in 2015 led to the identification of six main value chains for forest and farm producers in Gambia: ecotourism, handicraft making, beekeeping, nursery production, timber production, and firewood production. These are the focus of FFF, although support is also given to other value chains such as cashew, horticulture, food processing and aquaculture.
- 85 FFF has also contributed to the application of laws and regulations in Gambia. At the national level, FFF supported the Federation of Gambia Cashew Farmers Associations (with 15 000 members from eight associations) to successfully lobby the government to

reduce the informal cross-border trade of cashews, which was affecting both the quality and prices. The farmers also benefited from the quintupling of cashew prices from 13 to 65 dalasi per kilogram.

- 86 With regard to experiences in facilitating negotiation between FFPOs and downstream value chain operators, FFF facilitated the convening of contact and collaboration fairs for producers and other actors on the product value chains. This initiative has proven effective in stimulating dialogue and forging alliances among FFPOs and other actors.
- 87 In Viet Nam, FFF-supported FFPOs rightly chose to focus their effort on a limited number of main value chains: Magnolia and Star Anise in Bac Kan Province, and Acacia and Cinnamon in Yen Bai Province. There are already positive early experiences in value chain governance, considering that the programme started its implementation only in 2015. With regard to improving the institutional environment in which smallholder farmers can organize to manage and use forest and farm landscapes, FFF supported the development of FFPOs and the strengthening of their bargaining power within value chains. There is a high level of attention by VNFU at all levels, and of administrative authorities at provincial, district and communal levels to the activities of FFF aimed at improving the governance of value chains. However, there are still challenges in passing of FFPOs to a higher status such as cooperatives, so that they can engage for example with financial institutions for loans. In the area of application of laws and regulations, FFF is actively lobbying local Districts and Communal authorities in Bac Kan Province for delivering to FFPOs Licenses for timber processing. FFF is currently assembling information on pertinent policies and laws for FFPOs and other potential users.
- 88 In both Gambia and Viet Nam, important knowledge is being generated about how to develop forest and farm-based value chains. The consolidation and systematization of this knowledge would have benefited from an explicit and complete VCD approach.

#### *Emerging experience in value chain upgrading*

- 89 The MTE found that FFF implicitly supports value chains upgrading through the activities aimed at value addition. It identified the following upgrading trajectories: products (and packaging) upgrading,<sup>11</sup> process upgrading,<sup>12</sup> functional upgrading<sup>13</sup> and inter-chain (or inter-sector) upgrading.<sup>14</sup> Table 3 presents examples of emerging experiences in value chain upgrading in participating countries, as summarized below.
- 90 **Products upgrading.** There are interesting results in product upgrading in many countries, including Bolivia, Gambia, Guatemala, Kenya and Vietnam. In those countries, FFF's support implicitly enhances product upgrading activities that raise forest and farm producers' awareness regarding the standards and quality that attract consumers. Product upgrading is related to process upgrading, as improving product quality often involves improving production processes. With product upgrading through packaging of processed products and process upgrading, FFF is transforming forest and farm economics in target communities. New livelihood opportunities are created for the beneficiaries, and smallholders are helped to improve technological skills and are stimulated to participate in value chains and engage in business. Favorable factors influencing product upgrading include linking value chains to national and export markets.
- 91 **Process upgrading.** With regard to process upgrading, the MTE identified promising examples in Kenya and Viet Nam. In Kenya, FFPOs which manage nurseries and produce fruit tree seedlings are trained to link with input markets for graft material and seeds, and to output markets. In Viet Nam, FFPOs processing timber or intending to process it are organizing harvesting infrastructure and delivery systems for processed products.

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11 Products upgrading: where a chain actor engages in the production of more sophisticated products in order to increase unit value.

12 Process upgrading: where a chain actor increases the efficiency of internal processes (production, new technologies, storages, distribution, logistics).

13 Functional upgrading: where a chain actor changes the mix of functions performed by producer organizations, by working in more than one node of a value chain.

14 Inter-chain upgrading: where a chain actor introduces value-adding processes from other chains to offer new products or services.

**Table 3:** FFF-supported FFPOs' experiences in value chain upgrading strategies

| Type of upgrading     | Country   | Example of FFPOs supported by FFF  |
|-----------------------|-----------|--|
| Product upgrading     | Bolivia   | APROVE packages honey of its production.   |
|                       | Gambia    | Pakalinding Women Food Processors and Nyangen Women Group Processors: packaging and hygiene standards<br>Many honey processing organizations: packaging<br>Aquaculture Fish Farmers Association: smoking and salting fish<br>FFPOs producing nursery seedlings: use of improved seeds. |
|                       | Guatemala | Many cacao producer FFPOs who participate in Global Value Chains practice Fair Trade standards.<br>Many members of the Alianza "Organisaciones comunitarios de Guatemala" are working on high value product processing including timber end products (ACOFOP, FEDECOVERA and others).  |
|                       | Kenya     | Nursery producers are producing tree seedlings from good quality seeds, and who intend to accede to quality certification from KFS.<br>Nettle World (located in Laikipia County): packaging and label of nettle root and sandalwood powder.  |
|                       | Viet Nam  | An FFPO in Bac Kan Province which has installed a plywood mill; its members have been trained to respect the plywood standards.<br>Timber producing FFPOs in Bac Kan and Yen Bai provinces intend to achieve FSC certification so that they can meet requirements of export markets.   |
| Process upgrading     | Kenya     | FFPOs which manage nurseries and produce fruit tree seedlings: linking to input markets for graft material and seeds, and to output markets.   |
|                       | Viet Nam  | FFPOs processing timber or intending to process it are organizing harvesting infrastructure and delivery systems for processed products.   |
| Functional upgrading  | Gambia    | Many FFPOs which process their productions are also involved in marketing activities.  |
|                       | Kenya     | Nettle World is engaged in post-harvest conditioning of its nettle production before passing to processing for value addition, and to marketing.   |
|                       | Nicaragua | Women group of the Mayangna community manage the Tuno tree bark products value chain: harvest, process, and marketing, and replanting the forest.  |
| Inter-chain upgrading | Gambia    | Tumani Tenda Ecotourism Camp: produces and packages honey, and collects oyster, and has developed an important eco-tourism activity.   |
|                       | Viet Nam  | In Yen Bai Province, of an FFPO sells Cinnamon bark as the main chain product, and sells logs to sawmills, and branches and leaves to plants that make cinnamon oil.   |

- 92 **Functional upgrading.** For functional upgrading, good examples are found in Gambia, Kenya and Nicaragua. In Gambia, Many FFPOs which receive FFF support for value addition through processing of their products are also involved in marketing activities. In Kenya, the FFPO Nettle World (located in Laikipia County) is engaged in post-harvest conditioning of its nettle production before passing to processing for value addition, and to marketing. In Nicaragua, the women's group of the Mayangna community manages the Tuno tree nut value chain, including harvesting, processing, and marketing, as well as replanting the forest.
- 93 **Inter-chain upgrading.** The MTE observed two emerging experiences in Gambia and Viet Nam. In Gambia, the FFPO Tumani Tenda Ecotourism Camp produces and packages honey, collects oysters, and has developed important eco-tourism activities. In Viet Nam, an FFPO in Yen Bai Province sells Cinnamon bark as the main chain product, and sells logs to sawmills, and branches and leaves to businesses that make cinnamon oil.
- 94 In Myanmar, there is little evidence thus far of value chain upgrading in FFF-targeted groups visited by the MTE; however, there is potential, especially following the market analysis and development training.

*FFF experiences in helping FFPOs to learn business skills and access markets*

- 95 With the training activities targeting FFPOs' members, FFF has been effective in the implementation of Output 2.1. The application of the acquired knowledge has further motivated the beneficiaries to orient their production systems to commercialization. In Table 4, the MTE summarizes FFF experiences to date in helping FFPOs to gain business skills and access to markets. Based on the information available, five main business models have been identified as fit for FFF-targeted groups: (i) Farm gate, roadside, or local market place driven; (ii) Trader-driven; (iii) Buyer company-driven; (iv) FFPOs-driven; (v) Public institution procurement driven.
- 96 Table 4 shows that all the five business models are practiced in Gambia, which illustrated not only a good integration of forests and farm activities, but also the diversity of sources of livelihoods supported by FFF in that country. It also reflects the challenge that FFF faces in providing trainings for business skills that are adapted to the requirements of each business model.
- 97 One of the business models with which FFF has shown positive results is the FFPO-driven model. Based on field observations, particularly in Gambia, Nicaragua and Viet Nam, this model is most likely to result in greater and more sustainable benefits to FFPOs and their members. The model reflects not only increased internal organization (e.g. the Tumani Tenda Ecotourism Camp in Gambia), but also entrepreneurship skills (e.g. FFPOs in Viet Nam). The buyer company-driven model practiced in Gambia and Viet Na, and the public institution driven model practiced in Bolivia, Gambia and Kenya are interesting because they provide incentives to FFPOs to maximize their production efficiency and reliability as far as product quality and respect for standards are concerned.
- 98 Access to finance is considered by many FFPOs visited by the MTE missions as an important barrier to increasing their business development. Without bank loans they cannot buy the equipment and material that processing activities require. FFF has not yet developed approaches to address this problem.

**Table 4:** Table 2 FFF-supported FFPOs' experiences in value chain upgrading strategies

| Type of business model                  | Country  | Examples of FFF targeted FFPOs  |
|---|----------|---|
| Farm gate, roadside, local market place | Gambia   | Pakalinding Women Food Processors sell products processed from NTFPs (mango juice and jam, Hibiscus and tamarind juice, pepper sauce) partly at roadside; Nyangen Women Group processors who add value to horticultural products. |
|   | Kenya    | Many FFPOs producing seedlings sell part of production at nursery sites.  |
| Trader-driven                           | Gambia   | Jassobo Community Forest Women Salt Producer; Pakalinding Women Food Processors sell processed food products (pepper sauce and tamarind juice) in bulk to Senegalese traders.   |
|   | Myanmar  | Ceramic groups sell primarily to a small number of wholesale brokers who dictate the price.   |
|   | Viet Nam | In Bac Kan and Yen Bai Provinces FFPOs which have not yet started processing their timber production sell logs to traders.  |
| Buyer company-driven                    | Gambia   | Cashew producers associations sell to buyer companies; Tumani Tenda Ecotourism Camp sell processed honey.   |
|   | Viet Nam | FFPOs which have started to process timber in Bac Kan and Yen Bai Provinces are selling production to companies.  |

| Type of business model                | Country   | Examples of FFF targeted FFPOs  |
|---------------------------------------|-----------|---|
| FFPOs-driven                          | Gambia    | Tumani Tenda Ecotourism Camp sells its services and honey to tourists.  |
|                                       | Guatemala | Many cacao producer FFPOs participate directly in Global value chains (GVC) through Fair Trade.   |
|                                       | Nicaragua | An Indigenous Group of Mayangna women harvest the bark of Tuno ( <i>Brosimum alicastrum</i> ) and market the processed products.  |
|                                       | Viet Nam  | In perspective: In Bac Kan and Yen Bai Provinces FFPOs which have started processing timber intend to get FSC certification for their forest management in order to link to external markets. |
| Public institution procurement driven | Bolivia   | APRODE produces honey and has a contract for school procurement.  |
|                                       | Gambia    | Aquaculture Fish Farmers Association has contracts to sell fish to Boarding Schools, Army Barracks, Prison, Hospital, in addition to local market.  |
|                                       | Kenya     | Many FFPOs producing seedlings plan to sell to counties governments for their planting programs.  |

99 FFF further strengthened FFPOs' business skills and access to markets through Output 2.2 and Output 2.3. Under Output 2.2, "Establishment of services in support of small forest business", FFF has been effective in establishing services to support small forest and farm-based businesses. In many countries, this was accomplished by involving the government in training and advising FFPO committee members in seedling production. In Kenya for example, the partnership between FFF, Kenya Forest Service (KFS), the Farm Forestry Smallholder Producers Association of Kenya (FF-SPAK) and county government services enabled extension officers at all county administration levels to play an increased role in training and advising target FFPOs. In Myanmar, the CF groups under FFF rely on NGOs for small forest business development. The support offered by NGOs is considered relevant to the needs of the Community Forestry groups, although its sustainability may be questionable if government services are not sufficiently empowered to provide this support in the longer term. Government support at the village and township level through the forestry department is primarily focused on the provision of seedlings and may not have the capacity to adequately address the concerns and problems faced by these groups.

100 Under Output 2.3, "Experience sharing between producer organizations in-country". In Viet Nam, FFF has had considerable success in sharing experiences between producer organizations. FFPOs representatives in Bac Kan Province told the MTE mission that they used exchange visits in other provinces to learn how to process Magnolia timber to produce veneer, and receive higher prices. The information from the exchange visits was so interesting to the participants that they organized follow-up exchange visits with their peers to learn more about processing technology. The incentive for this rapid pace of peer-to-peer learning seems to be the prospect of better prices and of shortening the value chain (i.e. connecting to bigger companies to sell their produce, and avoiding the traders who do not pay well).

101 In other countries, the main method of in-country sharing consists of exchange workshops, as well as reporting workshops.

#### 5.4.2 Pillar 2: "Catalyze multi-sectoral stakeholder policy platforms with governments and at local and national levels"

102 With regard to Outcome 3, "Cross-sectoral coordination (...) for sustainable forest and farm management operating at national and sub-national levels", countries have made unequal progress in establishing multi-sectoral and multi-stakeholder policy platforms. The MTE noted the distinctiveness of Pillar 2, which is a highly "political pillar". It is influenced by unpredictable challenges and outcomes in the domain of influencing policy formation

processes. The challenges to governments of setting up mechanisms that lead to giving voice to smallholder farmers' organizations relate to political dynamics at national and sub-national levels. These challenges must be addressed through politically informed approaches. This applies also to Outcome 3 whose achievement depends on the political commitment of governments. This is not well reflected in the ToC, particularly in the formulation of that outcome.

- 103 To achieve Outcome 3, FFF can only support governments' efforts for cross-sectoral coordination. For such support, the project is on track. For example, the greater part of this outcome has been achieved in Gambia and Guatemala, where FFPOs participate in cross-sectoral coordination for policy formation or law formulation processes. The basis is already established to make similar progress in Liberia. In Bolivia and Kenya, there are efforts by governments to invite apex organizations to participate in ad hoc cross-sectoral coordination meetings on forest and farm-related issues. In the remaining countries, the channel for smallholders and their FFPO's voice on such issues is limited to advocacy and lobbying action.
- 104 With regard to Output 3.1, "Establishment and coordination of multi-sectoral policy platforms", governments in most countries have not yet established formal multi-sectoral policy platforms relating to forest and farm issues. In Myanmar, government created in 2013 the Myanmar Community Forestry National Working Group (CFN WG) through support from RECOFTC. The members of the working group are representatives of several line departments, but civil society organizations (CSOs) are also members. Community forest groups are not yet represented, although CSOs advocate on their behalf.
- 105 FFF made important progress in advocacy and support to governments who took steps to enhance cross-sectoral coordination for sustainable forest and farm management. Practices vary with country contexts. The MTE distinguishes the following three types of practices:
- i) FFPOs are represented by their apex organizations in official cross-sectoral coordination mechanisms, on a permanent basis;
  - ii) FFPOs' apex organizations are invited to participate, on ad hoc basis, in policy formation, forest law formulation, or issue discussion processes;
  - iii) FFPOs form their own platform and meet regularly to discuss agendas for advocacy with the government.
- 106 Influencing through official cross-sectoral coordination, on a permanent basis. In countries where FFPOs are represented in cross-sectoral coordination mechanisms on a permanent basis, their influence on policy formation and decision-making promises to be far-reaching and to give a stronger voice to farmers. In Gambia, the MTE mission observed that in general FFF activities are politically smart, and FFF facilitation was able to influence the Government to bring key private sector and civil society actors, as well as representatives of farmer apex organizations to participate as members of the Natural Resource Working Group, which is a multi-sectoral platform for policy discussion. This platform is fostering the voice of farmer organizations in policy processes, and has been recognized by development actors in the country as an innovative effort. The MTE mission had an opportunity to participate in a meeting of this Working Group and found it quite effective in making heard the voice of participating sectors and groups.
- 107 In Guatemala, FFF supports four multi-sectoral platforms: at the national level, it supports the Inter-Institutional Coordination Group (GCI) and the Firewood and Energy Platform; and at the regional level (in the Petén), it supports the Inter-sectoral Platform for Land and Environment (MITA) and the Petén Agroforestry Platform. The GCI played an active role in the preparation PROBOSQUE, helped integrate issues such as the REDD National Needs Assessment, and convened a workshop on forest degradation under REDD in Guatemala.
- 108 In Liberia, FFF supports the NFLF, a multi-sectoral policy platform with the objective of improving coordination and consultation among forest and landscape management sectors. An expert panel discussion took place in October 2015 to discuss why natural resource sectoral coordination is key for forest and farm producer organizations.

- 109 In Myanmar, FFF has supported the Community Forestry National Working Group (CFN WG), which brings together the different line ministries, civil society and others. At present however, FFPOs are represented by civil society and they do not yet have direct representation on the working group (there is no apex-level CF association yet in Myanmar, although FFF is planning to support the creation of one).
- 110 Influencing through ad hoc multi-stakeholder consultation mechanisms. In Kenya, Cross-sectoral platforms are not yet established. Policy dialogue takes place through ad hoc mechanisms such as stakeholder workshops. FFF has signed a letter of Agreement (LoA) with KFS to support cross-sectoral platforms, among others. By virtue of the strong partnership between FFF and KFS, the project has been effective in engaging decision-makers at national and county government levels on issues relating to forest and farm development. To this end, FFF is influencing dialogue between county governments and forest and farm organizations.
- 111 In Bolivia, FFF supported the facilitation of the process to revise the National Forest Law of 1952. Through the support to COPRACAO, FFF influenced the creation of a multi-sectoral platform (Ministry of Rural Development, Ministry of Environment, Mother Earth Authority, CATIE, FFF, COPRACAO) aimed at giving a momentum to a process that was underway, of elaborating the national cocoa programme. The government has allocated USD 33 million to this programme, and the cocoa production policy was approved.
- 112 FFPOs forming their own platforms to form agendas for advocacy with the government. In Nepal, FFF supports cross-sectoral platforms with the aim of bringing FFPO priorities to the attention of the government. These are self-organized FFPO platforms, not piloted by the government. The meetings are organized by IUCN Nepal but the preparation of the agendas and the convening of meetings are done by the FFPOs.
- 113 In Viet Nam, formally institutionalized cross-sectoral platforms have not been established. However, the Vietnam Farmers' Union (VNFU) - which implements FFF activities in Viet Nam - facilitates roundtable multi-stakeholder meetings involving the Viet Nam Administration of Forestry (VNFOREST), the Viet Nam Academy of Forest Sciences, the provincial governments and other organizations. The meetings focus on how to support FFPOs in production and sustainable forest business by collaborating to create a more enabling working environment.
- 114 Where FFF has had success in supporting governments to enhance cross-sectoral coordination, an important factor has been the FFF national facilitators' dedication and experience, as well as political instinct which helped to align FFF interventions within a dynamic political environment, and without losing impartiality. Where there have been important changes in cross-sector coordination, for example in Gambia and Guatemala, the facilitators have been close to the heart of policy formation, forest law formulation, and law enforcement processes. They have been able to connect to government actors at different levels of power and authority, to embrace a diversity of stakeholders and to identify their interests and influence.
- 115 Influencing policy formation is a long-term process with unpredictable difficulties and challenges. The outcomes are unpredictable because they are influenced by many actors, interests, and by changing political circumstances. The formulation of Outcome 3 ought to have taken these unpredictable difficulties into account, and recognized that as far as ToC design is concerned the outcome in influencing policy formation can be realistically achieved at Intermediary State level. Outcome 3 should therefore be formulated to reflect what FFF can achieve, and leave what is dependent upon the power of decision-makers at the level of assumptions.

#### **5.4.3 Pillar 3 "Link local voices and learning to global processes through communication and information dissemination"**

- 116 With regard to Outcome 4, "National and global agendas and initiatives (...) are informed about knowledge and priorities of smallholders, women, communities and indigenous peoples", FFF has made good progress on regional and global levels, but findings are mixed

at country level. For Outcome 4, FFF delivers at national, regional and global levels. The MTE found that FFF made very good progress at regional and global levels where it supported the implementation of initiatives of sub-regional organizations with regard to linking local voices to global agendas on forest and farm issues. In Asia and Mesoamerica, FFF connected the Asian Farmers' Association for Sustainable Rural Development (AFA) and the Mesoamerican Alliance of People and Forests (AMPB) to FFPOs members at local level, in order to access relevant information about issues and challenges faced and possible solutions and actions to sub-regional and regional levels.

- 117 In both cases, the results are very interesting. In Asia for example, FFF supports AFA to organize national consultations in seven countries on "Sustainable forest-based livelihoods". In August 2015, a regional consultation involving 52 representatives of forest and farm producer organizations identified the main issues facing forest farmers in Asia, and identified policy interventions that would help overcome them. Participants called on their own organizations to push governments, develop forest and farm producer organizations, and consolidate knowledge.
- 118 In Mesoamerica, FFF supported AMPB to convene a meeting of about 100 representatives of community organizations, indigenous peoples, small-scale producers, NGOs and government organizations from Bolivia, Chile, Costa Rica, Guatemala, Mexico and Nicaragua in Mexico City to exchange experiences on community land and territorial management, forest governance, and market linkages. With regard to voice, the participants identified obstacles to public policy improvements for indigenous peoples, local communities and family smallholders, and generated key messages that its members could take to the political leaders of their countries and to the international community via the XIV World Forestry Congress and UNFCCC COP21.
- 119 In Africa, unlike for Asia and Mesoamerica, FFF has not yet provided support to sub-regional farmers' organizations such as the Network of West Africa Peasant and Agricultural Producers' Organizations (ROPPA) or the East African Farmers Federation (EAFF), to identify issues facing forest and farmers in Africa, or to make their voice heard on solutions. However, in Gambia, FFF supports FFPOs' participation in ROPPA events. It should also be noted that FFF supported the organization of the Africa Farm/Family Forest Producers Organizations Conference that was held in Nairobi 9-11 of June 2015, to prepare African FFPOs representation in the XIV World Forestry Congress.<sup>15</sup>
- 120 At regional level, the country-to-country exchange visits are of high value. For Myanmar in particular, the visits made to Nepal and Viet Nam were greatly appreciated given the recent political and historical context. They provided excellent opportunities for learning at all levels (government Forestry department, local level FD staff, FFPO leaders, and civil society participated). They also provided opportunity for participants to exchange ideas amongst themselves (e.g. FFPO with FD staff while traveling together).
- 121 At global level, FFF was effective in making forest and farm messages and voices heard by the international community via the XIV World Forestry Congress, UNFCCC COP21, and COFO by supporting the participation of delegates from Africa, Asia and Mesoamerica.
- 122 To support its work at country, regional and global levels, FFF has a global communication strategy and information dissemination strategies to strengthen FFPOs information and dissemination skills. This effort has helped to generate knowledge which was and still is widely disseminated (e.g. through the Forest Connect alliance membership of 1000 supporters of locally controlled forest and farm enterprises in 94 countries). The knowledge generated has also helped to enhance human capital in a much broader range of agencies, for example through WFC, COFO, Forest Connect, regional meetings in Africa, Asia and Latin America. Many knowledge products have had an important effect (e.g. FFF publications are integral to the new CoNGOs programme in West African attempts to scale up commercial community forestry, FLEGT Facility, FAO's work on multi-sectoral platforms and risk management meetings). The materials produced and activities carried out are listed in Appendix 1.

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<sup>15</sup> The conference outcomes were captured in "Resolution of the Africa Farm/Family Forest Producers Organizations Conference Nairobi 9-11 of June 2015 - An initiative of the International Family Forestry Alliance (IFFA)".

- 123 Five main factors have contributed to the effectiveness of FFF results. The MTE team found that the crucial factors influencing FFF effectiveness include: (i) the notable FAO, IUCN and IIED partnership; (ii) the exceptional dedication of the FFF team; (iii) the skills, dedication and experience of National Facilitators; (iv) the mobilizing and motivating implementation model; and (v) the enthusiastic FFPO response and full backing of counterparts in the countries' administrations.

### **5.5 Evaluation question 5: To what extent is the current operational modality contributing to the efficient achievement of the program outcomes?**

FFF's operational modality is highly efficient in terms of inputs relative to results, considering the relatively limited financial resources invested, duration of implementation to date, and the number of countries participating. There is good coordination among FAO, IIED and IUCN, and the M&L system has supported learning by providing information to the communication efforts of the three partners.

- 124 The MTE found that the FFF's Steering Committee (PSC) has been very effective in providing guidance and advice to the FFF Team with regard to effective and efficient oversight of the operations of the project at all levels of implementation. There is mutual esteem between the PSC and the FFF team.
- 125 The MTE also found that FFF's project management structure is appropriate. The functions within FFF's team provide the necessary expertise required to keep the project on track regarding the planned outputs and outcomes are concerned. Through interviews with partners and FFF team members, the MTE found them fully committed and enthusiastic; they value partnerships, and are convinced that FFF can make a change, and they are open to challenges. Their work is well appreciated by all the partners interviewed at FAO headquarters and at country level. Despite the challenging workload, the team has performed very well. However, the team's effectiveness in implementing the specialized development approaches required by Outcome 2, such as value chain development, inclusive business models and rural finance, can further be enhanced by widening FAO in-house collaboration with other services, such as the Agricultural Development Economics Division (ESA). Similarly, where capacity and expertise are available, the FFF could draw on the support of FAO country offices, particularly in countries where the FFF facilitator is not an FAO staff member.
- 126 In many participating countries and their diverse governance contexts, FFF provides support to the action of FFPOs and their apex for voice and engagement in policy processes. The facilitators' dedication has made possible the impressive progress made to date. Many of them are real agents of change, who operate skillfully as interlocutors between state actors and the FFPOs. In Gambia for example, FFF facilitation provided the needed political leverage for FFPOs to obtain from the government a quicker devolution of forest resources to communities.<sup>16</sup> In Viet Nam, the facilitation sought state support to FFPOs through mechanisms including Round Table and Focus Group discussions and annual multi-stakeholders meetings at provincial and district levels.
- 127 The operational FFF modality is one of the factors contributing to its efficiency. FFF can be regarded as – and commended for – being highly efficient in terms of inputs relative to results, considering the relatively limited financial resources invested, duration of implementation so far, and the number of countries participating. However, in some instances FAO's disbursements have been made with considerable delays, which may have an effect on activities carried out in particular seasons. In several cases, such delays have forced FFPOs to rush into the implementation of their activities with the risk that the correct timing for planting tree seedlings, for example, may have been missed (e.g. in Kenya). The rush is aggravated by the short duration of FFPOs' LoAs of only six months. Another consequence of the delay in the disbursements is that trainings are also shortened or rushed, leaving little time for coaching visits.

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<sup>16</sup> Political leverage refers to the advantage an actor has over others, which enables him/her to achieve his/her objectives, among other actors who are politically pursuing their objectives at the same interface. See: Tembo, F. (2003) Participation, Negotiation and Poverty: Encountering the Power of Images. Aldershot and Burlington, VT: Ashgate Publishers.

- 128 In Myanmar, a delay between two implementing phases of the FFF meant that some community forest groups' activities were stalled for several months and even up to one year. For one group in particular, this resulted in a loss of tenure over land that had been targeted for community forestry development.
- 129 Despite these instances, the MTE team's assessment is that the FFF operational modality is contributing to achieving its outcomes. The FFF governance structure and implementation procedures have aided in the achievement of outcomes to date. Its main delivery mechanisms – which include support missions, partnership agreements (through LoAs), small grants to FFPOs, exchange visits, communications and training – are appreciated by partners at different levels and target groups.
- 130 The FAO/IIED/IUCN partnership and AgriCord network are powerful factors of FFF effectiveness and efficiency. The partnership is formalized by contractual arrangements that specify the activities and responsibilities of each institution. Coordination with IIED and IUCN is strong, especially at global and regional levels. Even at country level, coordination with IUCN is strong in some countries. For example, IUCN houses the National Facilitation in Nepal, and contributes to FFF's activities of training and monitoring in Viet Nam.
- 131 The M&L system has supported learning by providing information to the communication efforts of the three partners. However, there is scope to improve feedback to stakeholders and the general public at country level and their subnational levels.
- 132 The MTE noted that the M&LS corrected some of the design gaps in the log frame and ToC, and was effective in informing the FFF team and the Project Steering Committee regarding management decisions. In its design, it introduced an interesting item of "reflective questions", which helps to streamline learning. However, reflective questions have been assigned only to process (i.e. output level), and not to outcome level, at which they would have an even stronger impact on development learning is concerned. Also regarding the M&L system, the indicators at outcome level are largely process indicators and not outcome indicators. Both aspects need to be addressed in the future in order to further enhance project effectiveness and efficiency.

## **5.6 Evaluation question 6: What is the likelihood that FFF will contribute to the expected impact?**

Overall, there is a strong likelihood of achieving the impact of the project and contributing to its vision. Significant progress has already been made across the main livelihood "building blocks", including human capital, social capital, political capital, natural assets, physical assets and financial assets.

- 133 There is a significant likelihood of reaching the impact of the project and contributing to its vision. Full project impact is normally reached some time or many years after completion of its activities. At this stage, the MTE can only assess the likelihood for reaching that impact and for contributing to the vision, which is "Smallholders, communities and indigenous peoples organizations have improved their livelihoods and decision-making over forest and farm landscapes".
- 134 The likelihood of FFF's rural poverty impact can be assessed by considering the extent to which FFF small grants, trainings, and other interventions are likely to contribute to improved livelihoods of target groups from forest and farm management. To this end, the main livelihood "building blocks" that are analyzed for likelihood of impact relate to human, social, and political capital, and to natural, financial and physical assets. By improving these building blocks, the FFF improves the long-term resilience of target smallholder farmers and communities. Field level observations by the MTE team revealed impressive progress made in these domains.
- 135 Human capital. The strongest FFF results related to human capital development, in which the skills of FFPOs members (organizational, managerial, technological, MA&D) were enhanced. The smallholders that the MTE team met in the visited countries were unanimous

in their appreciation of the contribution of training to their performance in production, processing and marketing activities. In all participating countries, there is an effort to make training activities gender inclusive, and to contribute to women's empowerment. The MTE team observed many cases at grassroots level of the positive effect on the quality of life of women who participated in trainings.

- 136 Impressive progress in the domain of social capital development at grassroots level. The most significant contribution of FFF to this domain has come from the support to FFPOs' organizational capacity. Its interventions are increasing the trust that FFPO members have in the governance of their organizations, and strengthening solidarity in communities. Smallholders are being empowered through increased awareness of the benefits of working together. The FFPOs and their governing committees are effectively contributing to a sense of local ownership of FFF's results by their members.
- 137 Political capital. This is understood as the increase in power held by FFPOs and the apex organizations that can be used to achieve the development goals of their members. FFF supported the enhancement of political capital of its target FFPOs through a diversity of trainings. As a result, in participating countries FFPO leaders of their apex organizations are in regular interaction with government and elected officials at national and subnational levels on matters relating to forest and farm management. In some countries, Apex organizations take part in policy-making processes and cross-sectoral coordination mechanisms and raise issues for discussion through these mechanisms. In countries where governments opened such mechanisms to farmers' representatives, there is a likelihood that with time, the buildup on accumulated social and political capital of FFPOs will allow them to exercise influence on policy agendas.
- 138 Natural assets. FFF's main focus at the local level in participating countries is to support sustainable forest and farm management for improved supply of forest products, NTFPs, and forest resource services. Many FFPOs received support to develop integrated forest and land management plans. In many countries, such plans are the basis for securing commercial rights for local and indigenous communities.
- 139 Physical assets. In general, FFF grants to FFPOs do not cover investment in physical capital. There is therefore likelihood that FFF will have limited impact on FFPOs' physical assets. Vietnam, however, is an exception. The project has leveraged FFPOs' own resources for investment. As a result, there are important FFPO achievements in terms of physical assets such as sawmills and processing plants.
- 140 Financial assets. Due to limited data available, it is not possible to assess the full extent to which FFF is affecting financial assets of households of FFPOs members. From the interviews with FFPO representatives in the visited countries, the MTE team believes that production and value addition activities supported by FFF grants are positively affecting household income. In Gambia for example, working together has allowed men and women to adopt the practice of growing off-season crops by means of small-scale irrigation, which offers the possibility of year round income, and boosts community resilience. Increased income enables improvements to home equipment and the ability to pay school fees for their children. Women of the horticulture FFPO told the MTE mission that revenue from sales have substantially contributed to household asset accumulation for members. In many poor rural communities in Kenya and Gambia, this has strengthened the resilience of the communities in which these FFPOs are based.
- 141 In general, the factor that may weaken the impact likelihood in the domain of financial assets is the target groups' lack of access to bank loans. In this regard, MA&D trainings organized by FFF make explicit links to financial aspects, including exposure to and exchanges between producers and micro-finance providers. There have also been larger efforts to engage Equity Bank in Kenya, and to host events related to access to finance with the Finance Alliance for Sustainable Trade (FAST) and policy engagement on increasing the length of loans for tree planting for timber in Vietnam. This work is still in the initial stages which could be expanded. However, additional efforts are needed to develop partnerships with financial institutions and micro-finance institutions for providing financial services to FFPOs, particularly with regard to their post-project investment needs.

## 5.7 Evaluation question 7: Has FFF been successful in engaging other partners in FFF-supported processes?

Partnerships have featured prominently in FFF interventions at all levels of its interventions, and contributing significantly to the operations at country and global levels.

- 142 Partnerships have featured prominently in FFF interventions at all levels of its interventions. They are contributing strongly to the operations at country and global levels. Arguably the main strength of FFF is the strong tripartite partnership of FAO-IIED-IUCN. This partnership has enabled synergies of the three at international, regional and country levels, as well as avoided the duplication of effort. It has significantly contributed to the efficient use of resources in attaining results that could have otherwise cost several times more under more traditional project formulae.
- 143 The FAO-IIED-IUCN collaboration and partnership with AgriCord have been instrumental in leveraging resources for FFF, for example through the linkages to regional activities of the Forest Connect programme and the locally controlled forestry work that IIED conducted in a number of countries. IUCN country offices are directly involved in implementation assistance in Nepal and Vietnam and have been very supportive in other countries. IIED developed the M&L system and is involved in overseeing its implementation, as well as the application of information learned through its use. It has played a key role in the communication activities and the synthesis of information.
- 144 At the country level, FFF has developed strong partnerships for implementation of certain interventions in Kenya and Viet Nam. In Kenya, FFF is working in partnership with KFS, FF-SPAK, and We Effect to strengthen the capacity and organization of forest and farm producer organizations. In 2015, FFF collaborated with We Effect for stakeholder capacity-building assessment. In addition, We Effect collaborates in administering small grant proposals together with FF-SPAK, KFS and county governments, and in strengthening the internal capacities of FFPOs. It should also be underlined that the partnership between FFF and We Effect offers an opportunity for resource mobilization for funding similar programs in the country. In Kenya, this has led to the possibility of scaling up FFF activities to an additional ten counties with German funding, with about USD 12 million.
- 145 In Myanmar, FFF is working with RECOFTC and the Social Forestry Team to engage the country's government in developing and financing a comprehensive programme on community-based forestry.
- 146 In Viet Nam, FFF collaborates with RECOFTC, which provides trainers and materials for MA&D training. It collaborates with UN-REDD in understanding UN-REDD's activities and how to link them with the activities of FFPOs. The FFF has also partnered with We Effect and the World Agroforestry Centre for learning from them about their experiences in developing entrepreneurial skills of producer organizations.
- 147 In Myanmar, partnerships with local NGO networks are crucial to the implementation and success of FFF activities. The Myanmar FFF facilitator is the CEO of the Myanmar Environment Rehabilitation-Conservation Network (MERN) and many of the member NGOs of this network are implementing partners for FFF activities.
- 148 At regional and global levels, FFF has also started collaborating with the Mesoamerican Alliance of People and Forests (AMPB), the Asian Farmers' Association for Sustainable Rural Development (AFA) the International Family Forestry Alliance (IFFA), the International Alliance of Indigenous and Tribal Peoples of the Tropical Forest (IAITPTF), the Global Alliance of Community Forestry (GACF) for regional and international events, including the pre-congress of the World Forestry Congress (WFC).

## **5.8 Evaluation question 8: How sustainable is the FFF concept of investing in the organizational capacity of forest farm producer organizations – and how might this be enhanced?**

The main factors of sustainability of the FFF concept include the high political and social ownership of the FFF model, and the social and economic incentives it offers to target FFPOs. Sustainability may be enhanced if target FFPOs contribute counterpart funding to the budget of their projects.

- 149 Sustainability is defined as the likelihood of programme benefits being delivered for an extended period after its completion. The MTE found that the high political and social ownership of the FFF model is a powerful factor of sustainability. In many FFF countries, government agencies have integrated the FFF model in rural development discourse, particularly at sub-national levels, and are doing their best to ensure its success. The MTE also found that target FFPOs have been the main advocates of the model, and the steadily increasing social and economic benefits of their members contribute to the likelihood of sustainability of the FFF concept.
- 150 Another equally important factor is the success of the training activities targeting smallholders through their FFPOs. These activities are transforming farms into businesses and motivating them to move further in commercialization activities.
- 151 However, the MTE found that the provision of grants without a defined counterpart FFPO contribution may in certain situations generate an unintended dependency, albeit temporary. This may be the case in certain contexts for public procurement driven business model, if political economy factors change. Although small grant agreements and the larger LoAs have sections on cash or in-kind contributions by the service providers, sustainability may be enhanced if FFPOs in receipt of FFF grants contribute matching funds to their project budgets, either from their own resources, other partners, or from bank loans.
- 152 The level of ownership at the country level varies from country to country. In Kenya, sustainability seems most likely, given that after one year of implementation there is already commitment by the government and other donors to scale up the FFF model. In Myanmar, however, where FFF activities commenced earlier, ownership of the FFF lies primarily with the implementing civil society organizations and a clear handover strategy is not yet in place (whereby the government would eventually take the lead in scaling up the FFF model). Such varying levels of ownership of the model across countries (and therefore the unequal likelihood of sustainability) call for different timeframes for FFF activities in each country. This should be considered if a second phase of the FFF is to be enacted – particularly, when deciding on whether to continue FFF activities in existing focus countries.

## 6. Crosscutting issues

### 6.1 Evaluation question 9: To what extent have gender and human rights been taken into account in the design of the FFF and during the implementation?

FFF's design adequately streamlined gender equality and the rights of indigenous groups. Its implementation addresses gender equality and empowerment in FFPOs' governance and activities. In most countries, women are well represented in the membership and governance structures of targeted FFPOs. There is also an effort to mainstream gender issues in the design of proposals submitted by those organizations to FFF for funding.

- 153 The main cross-cutting issues with respect to the analysis of the FFF design are Gender and the rights of indigenous people. The design mainstreamed gender and indigenous people in the expected impact, Pillar 1, and Outcome 4, but at its more strategic levels, gender focus is stronger at outputs level than at outcomes level. At outputs level gender is featured in Outputs 1.1, 1.2, 2.2, 2.3 and 4.1. There is no specific women's empowerment relating outcome or output.
- 154 With regard to Indigenous groups, FFF supports the International Alliance of Indigenous and Tribal People of the Tropical Forest and the Mesoamerican Alliance of People and Forests. The Project also has an excellent collaboration with FAO's Indigenous Peoples' Team. In particular, this collaboration has materialized on FFF's interventions for the Mayangna community in Nicaragua. The MTE also noted that there are many contexts at grassroots level in which FFF's interventions have addressed their needs. In Nicaragua for example, the Project provides support to 13 groups (9 Mayangna, 4 Mestiza). In Vietnam all the target FFPOs in Bac Kan Province belong to Indigenous groups. In Myanmar, FFF provides support to a Chin community group in Rakhine state.
- 155 With regard to gender, FFF has supported efforts in most countries to address gender equality and empowerment in FFPOs' governance and activities. In most countries visited by the MTE Team, gender equality awareness among women and men in target organizations has improved, and trainings supported by FFF have enhanced the capacity of female members of the FFPOs governance committees, and technology skills of female members of those organizations. Women are well represented in the membership and governance structures of targeted FFPOs, with some exceptions (e.g. Myanmar). There is also an effort to mainstream gender issues in the design of proposals submitted by those organizations to FFF for funding.
- 156 The MTE noted FFF's effort in supporting the development of women's leadership skills. In countries visited, it is particularly noteworthy that female members of FFPOs governance committees mentioned the positive effects of the training they received in organizational and management aspects. A woman who is accountant of an FFPO in Bak Kan Province, Viet Nam told the MTE Mission that her increased knowledge from training in leadership organized by FFF has empowered her to more openly discuss in the Committee and make joint decisions with men. Such change in empowering women for leadership is arguably one of the most important contributions from FFF model. In most FFPOs visited in Gambia, the MTE mission found women are more enthusiastic in their organizations' activities than are men. In many countries visited, they are considered as more effective in treasury positions in the FFPOs governance Committees.
- 157 With regard to support to development of leadership skills, it is worth noting that at a multi-country sub-regional level (Africa), FFF has signed an LoA with the African Women's Network for Community Management of Forests (REFACOF) to implement the project "Promotion of women's leadership and advocacy for the inclusion of gender and women's interests in sustainable management policies and mechanisms of forests and farms in Cameroon, The Gambia, and Liberia". The objective is to contribute to the promotion and better integration of the interests and needs of women in political and decision-making bodies related to the management of forests, farms and other activities.

- 158 Despite the important attention it pays to gender, FFF lacks a more affirmative approach in designing and implementing interventions that aim specifically at developing women's entrepreneurship in the on- and off-farm forest and farm based value chains, for example in the nodes of processing and commercialization. The MTE noted that there are currently many encouraging cases of FFF-supported development of women entrepreneurship. In Myanmar, women are involved in most of the crafting ceramics work and there is potential to capitalize on this through the creation of a woman's only brand, which may carry favor with international customers.
- 159 An important crosscutting is issue that is not given focus in the design or in the implementation is youth. In view of the demographic weight of the youth and their responsibility in sustainable landscape management in the future, the design and implementation of interventions should deliberately address their needs as far as access to/use of natural resources are concerned.

## 7. Conclusions and recommendations

### 7.1 Conclusions

160 Based on the findings of this MTE and on the main evaluation questions, the following key conclusions can be drawn.

#### 7.1.1 Conclusion 1 (EQ1/2/3)

161 FFF's focus and logic are well aligned with participating countries' policy frameworks, and there is a high level of ownership of FFF's model at all levels of government in each country. This model of providing direct support to FFPOs' proposals is highly relevant to the targeted forest and farm smallholders. The focus and logic are also in line with FAO's strategic objectives SO2 and SO3. The project design is appropriate for achieving the FFF's outcomes and vision; it addresses the challenges faced by forest and farm smallholders (e.g. limited access to markets and participation in policy formation processes) and addresses these challenges by training FFPO smallholders to i) link with markets, and ii) to participate in policy formation processes.

162 The MTE found that FFF's focus and logic are relevant to improving the livelihoods of smallholder farmers and their decision-making over forest and farm landscapes. The focus is highly relevant to the national development frameworks of participating countries, which promote agriculture sector development, as well as their natural resources policies. The project is highly relevant to smallholders' development needs and fills gaps that other development actors usually do not address by providing funding directly to FFPOs to support their projects. In the FAO context and considering the needs defined by CPF and COFO, the activities aimed at strengthening national forest resource management in developing countries were found to be relevant. FFF is consistent with the global goals of the CPF, for which FAO is the chair. FFF is also well aligned with FAO's Strategic Objective 3 (SO3), "Reduce rural poverty", to which it contributes significantly.

#### 7.1.2 Conclusion 2 (EQ4)

163 The project is on track to achieving the expected outcomes of Pillar 1. FFPOs in each country are making progress in including their issues on political agendas, and in promoting inclusive business models, participation in value chains and linkage to markets. Regarding Pillar 2, implementation progress varied among the countries due to the fact that Outcome 3, being of a political nature, is not under FFF control. For Pillar 3, the project is on track at regional and global levels to link farmers' voices to global processes.

164 The MTE found that the FFF implementation is on track in achieving its outcomes. The supported FFPOs are engaging through their apex organizations, and are able to include their issues on political agendas. FFPOs also made notable progress in strengthening their capacity to engage in business and to participate in forest and farm based value chains through inclusive business models. Although there were encouraging results in enhancing cross-sectoral cooperation, some countries have made more progress than others in establishing multi-sectoral and multi-stakeholder policy platforms. While FFF has made impressive achievements in a relatively short period, there is variance across countries. This is due largely to the different starting dates as well as certain country-specific challenges. With regard to linking smallholders' voices to global processes, progress was made at regional and global levels; however the results were mixed at national level in relation to informing national policy agendas.

#### 7.1.3 Conclusion 3 (EQ4)

165 FFF's training activities aimed at improving target groups' basic business skills are helping to improve their participation in value chains and their linkage to markets. While those trainings are essential, they are not sufficient to develop value chains, which requires

additional support to FFPOs to enable them to improve the terms of engagement with national, regional and international markets.

- 166 The MTE found positive experiences in the value chain upgrading of grassroots value-addition activities. However, FFF's approach in those activities remains implicit and, consequently, fragmented (i.e. for given chains in which FFPOs want to enhance their participation, there is a lack of a unifying vision or strategy for all actors, including those who are operating downstream).

#### **7.1.4 Conclusion 4 (EQ4)**

- 167 FFF has been effective in linking FFPOs to markets and engaging in policy dialogue. It has contributed to raising the awareness of forest and farm smallholders on the multiple advantages of working together.

- 168 The MTE found that FFF design is appropriate for achieving its outcomes and vision. The project's model of providing funding directly to FFPOs to support their projects is a practical and effective approach in delivering support, as compared to traditional development projects. As FFF is demand-driven, it has a wide scope for addressing smallholder farmers' challenges and supporting with direct grants the proposals submitted by FFPOs for funding. In terms of methodology (concept, implementation, M&L system) the model is replicable in participating and other countries; however it will need to be adjusted to a revised ToC.

#### **7.1.5 Conclusion 5 (EQ5)**

- 169 FFF's operational modality is highly efficient in terms of inputs relative to results, considering the relatively limited financial resources invested, duration of implementation to date, and the number of countries participating. This efficiency is due to the effectiveness of the PSC in providing guidance to the FFF team; the high level of coordination among FAO, IIED and IUCN; the expertise of the FFF team and the commitment and enthusiasm of its members; and the national facilitators' experience and dedication.

- 170 The FFF team at FAO headquarters provided excellent backstopping and conducted adequate oversight missions to the participating countries to ensure that: the project is on track and on focus; target groups' needs are fairly taken into account; and management procedures are respected. The Project Steering Committee has been effective in providing support, guidance and oversight of project's progress. At country level, the National Facilitators played a key role in ensuring FFF effectiveness and efficiency. They have been effective as brokers of relevant specialist services on behalf of target FFPOs.

#### **7.1.6 Conclusion 6 (EQ5)**

- 171 The M&L system is a robust tool for monitoring FFF's activities and learning. It has been used effectively in supporting learning by providing information to the communication efforts of FAO, IIED and IUCN.

- 172 For a project that is committed to transformational changes in the way forest and farm resources are managed and used, the M&L system has proved its value as a learning tool and for increasing implementation effectiveness. It is fully operational and enables learning and adaptive management across the entire portfolio of project activities.

#### **7.1.7 Conclusion 7 (EQ9)**

- 173 FFF adequately takes into account FAO's commitment to gender equality and the rights of indigenous people, not only in its design but also in implementation and monitoring, and in proposals submitted by FFPOs for small grants. The inclusion of indigenous peoples' representatives on the Project Steering Committee is an innovative and unique approach that has contributed to the effectiveness and relevance of the project.

174 Gender and the rights of indigenous people are streamlined into the FFF design. At country level, FFF implementation addresses gender equality and empowerment in FFPOs' governance and activities. Trainings help to enhance the capacity of female members of FFPO governance committees, and the technology skills of female members of those organizations. Women are well represented in the membership and governance structures of targeted FFPOs. There is also an effort to mainstream gender issues in the design of proposals submitted by those organizations to FFF for funding. In many countries, empowering women for leadership is one of the most important contributions of the FFF model. However, the MTE found that there is scope for the FFF to aim specifically at developing women's entrepreneurship in the on- and off-farm forest and farm based value chains. Meanwhile, the FFF organizational modality and management structure is unique and innovative in that it directly involves representatives from indigenous communities on the project steering committee. As a result, the oversight and guidance of the steering committee has strengthened the relevance of FFF activities at country level.

## 7.2 Recommendations

175 Based on the evidence and its analysis, the MTE makes the following recommendations:

### **Recommendation 1: To FAO and FFF donors on consolidating the results achieved during the remaining 1.5 years of the project**

**The results achieved during the remaining 1.5 years of the FFF should be consolidated in order to maintain and build upon the programme's achievements, further improve progress and impact, and continue the political momentum achieved in participating countries to support the development priorities of forest and farm smallholders.**

176 The FFF model has proven its appropriateness and the project approach of providing direct support to FFPOs has produced excellent results. The implementation partnership of FAO, IIED and IUCN and the collaboration with AgriCord have supported the project's successful implementation. During the remaining period of the project's planned duration, the results achieved to date should be consolidated and efforts should be to maintain FFPO's engagement in business and policy processes; to support the continued generation and dissemination of knowledge; and to ensure the follow-up and implementation of the recommendations below.

### **Recommendation 2: To FAO and FFF donors on envisaging a second phase**

**A second phase of FFF should be considered in order to consolidate and expand its achievements, strengthen the capacity of participating countries to scale up results, and develop appropriate exit strategies.**

177 FAO, donors and FFF management should consider extending the activities into a second phase for the following five reasons:

- i) First, the target smallholder farmers have discovered their potential to be the agents of their own development. The progress they have made in such a short time is unprecedented in their contexts, and has greatly enhanced their ambition to engage in business and policy processes; in this regard their expectations from FFF are very high.
- ii) Second, there is a high level of ownership of the FFF model and its results in the participating countries.
- iii) Third, while FFF progress is largely on track in most of the six pilot countries, the other four countries will have implemented their activities for only two or three years and would need more time to catch up.
- iv) Fourth, the FFF team has increased its capacity and experience to manage the innovations implied in the FFF model. The team is well positioned within FAO and has worked with competence and dedication. These strengths are an important asset for increasing and scaling up the results in the target countries and in others which may wish to qualify and participate.

v) Fifth, the tripartite partnership of FAO-IIED-IUCN remains instrumental for the effectiveness and efficiency of the model, and for deepening the lessons learned from its implementation. The three partners should continue refining their collaboration on the sustainable management of forest and farm landscapes.

178 In selecting focus countries for a second phase, consideration should be given to the level of ownership of the FFF model in existing FFF countries, and activities should be extended in countries where sustainability has not yet been assured in order to develop convincing exit strategies. In selecting new and/or additional focus countries, the capacity of the FFF management team should also be considered.

**Recommendation 3: To the FFF team on refining the FFF's ToC to match the strength of its model**

**Consider refining the FFF's ToC and revising the M&L system accordingly to match the strength of its model by adding the missing building blocks.**

179 The ToC must be considered as a way of working and facilitating dialogue and building relationships and partnerships with country actors at national and sub-national levels. Furthermore, the ToC at any level of FFF should be updated whenever necessary to incorporate changes in the contexts, or to incorporate new developments or concerns. More attention should be paid therefore to refining the ToC at all levels of FFF implementation. At the global level, the ToC is necessarily generic and flexible to allow participating countries to adjust and adapt the Intermediate States, Assumptions, Impact Drivers (and their respective indicators) to the context. At country level, contextualization of ToCs should be the starting point of programme elaboration; ToC workshops should be held with key partners and national system actors in order to increase their ownership and commitment. Furthermore, the revised ToC should acknowledge that the outcomes described in Pillar 2 may be beyond the control of the FFF, considering that enabling environments can be very dependent on the political contexts in each country.

**Recommendation 4: To FFF team to streamline VCD in interventions relating to Pillar 1**

**Increase efforts to improve the value chain development approach by adding elements which focus on value addition, processing, linkage to various actors in the same chains (especially downstream), and enable FFPOs to improve the terms of engagement with national, regional and international markets.**

180 The FFF's experience in Gambia, Viet Nam and Nicaragua shows that VCD enables FFPOs to accelerate value chain upgrading, increase their benefits from participating in the chain, and strengthen their linkages to markets. These experiences have been achieved thanks to an important effort invested by FFF in MA&D trainings. However, efforts to deepen VCD are needed. This may consist of adding elements focused on value addition, processing, linkages to various actors in the same chains (especially downstream), and enabling FFPOs to improve the terms of engagement with national, regional and international markets. This will require a strategy on how to further address the barriers preventing FFPOs from achieving the benefits that participation in value chains might offer. Although the barriers vary from chain to chain and from country to country, the following VCD-related issues require FFF's increased attention: equipment and infrastructure needed for farm-to-market connectivity (particularly for perishable goods); access to bank loans to invest in value addition activities; narrowing gender and age group gaps in the value chains; equity in the contracts between FFPOs and traders and buyer companies (and required regulations); and dialogue and coordination of actors in the chains.

**Recommendation 5: To the FFF team to enhance support to the development of women's entrepreneurship**

**While continuing to address gender-specific barriers (including lack of skills and poor access to resources), enhance support to the development of women's entrepreneurship in forest and farm-based value chains in order to ensure equal participation in value chains and linkages to markets. Increased focus should also be given to the inclusion of youth in FFPO activities.**

- 181 Overall, women tend to be less integrated in value chains than men, particularly where they lack tenure, capital to invest, or technology and skills to be entrepreneurs. Social norms may also impede their interaction with value chain actors. In contrast, men dominate value addition when the acquisition of processing equipment requires significant financial capital. For this reason, women tend to participate mostly as labor in value chains. Addressing this situation requires support for developing women's entrepreneurial skills, including addressing the barriers to loan schemes, and informing women about their rights – particularly land and forest tenure rights. Training modules should include awareness-raising on gender for male farmers. Furthermore, youth should be included in FFF activities in order to strengthen their engagement in FFPOs and to ensure the longer term sustainability of impacts.

## 8. Lessons learned

182 The MTE draws the following lessons learned from the findings and conclusions:

183 **Lesson 1:** FFPOs have the potential to become important business organizations and to influence rural development policy agendas. To do so, they require capacity building support in order to reach a minimum level of organizational and business skills, as well as political and rights awareness.

184 **Lesson 2:** The ToC must adequately consider the key assumptions of an initiative's implementation; otherwise those assumptions are likely to become risks.

185 **Lesson 3:** With regard to FFPO's participation in value chains and linking to markets, peer to peer learning may offer shortcuts for the transfer of technologies, improving progress toward downstream nodes of value chains, and enhancing performance and impact.

## Appendices

### Appendix 1: Evaluation terms of reference

#### Background and context

The Forest and Farm Facility (FFF) is a multi-donor programme, hosted by the Food and Agriculture Organization of the United Nations (FAO), is overseen by a Steering Committee, and has a management team including staff from FAO, the International Union for the Conservation of Nature (IUCN) and the International Institute for Environment and Development (IIED).

In support of the programme vision: “Smallholders, communities and indigenous peoples’ organizations have improved their livelihoods and the decision-making over forest and farm landscapes”, FFF activities are organized under three working areas or pillars (the theory of change and project results framework are outlined in Annex 1):

- Pillar 1: Strengthen smallholder, women, community and Indigenous Peoples’ producer organizations for business/livelihoods and policy engagement. (Closely linked to FAO Strategic Objective 3, Output 1.1)
- Pillar 2: Catalyze multi-sectoral stakeholder policy platforms with governments at local and country levels. (Closely linked to FAO Strategic Objective 2, Output 2.2)
- Pillar 3: Link local voices and learning to global processes through communication and information dissemination. (Connected to both S03 and S04 but also to the FAO Family Farming Knowledge Platform)

The FFF is currently set up as a five-year programme to run from December 2012 to December 2017. FFF was launched in September 2012. The first significant funding was only received in August 2013 and thereafter. At the first ad hoc Steering Committee meeting (10-11 January 2013) a decision was taken to launch in-country activities in six paired pilot countries during 2013 where FFF has ongoing programmes: Guatemala and Nicaragua (Latin America), Gambia and Liberia (Africa), and Nepal and Myanmar (Asia).

The first meeting of the fully constituted Steering Committee of the Forest and Farm Facility (FFF) was held in Guilin China on November 23-24th, 2013. Four more countries: Bolivia, Kenya, Zambia and Vietnam have been selected through a comprehensive selection process during the first six months of 2014 and work began in the second half of 2014 and the beginning of 2015. Expressions of interest have been received in various forms from over 44 countries and 70 forest and farm producer organizations, indicating unmet demand.

Project activities are currently underway across each of the 3 pillars in 10 countries, albeit at different stages of intervention. This includes work by Apex level producer organizations supported through partnership agreements, small grants to producer organizations to support enterprises and other organizational needs, multi-sectoral platforms led by government actors at national and sub-national levels, exchange visits and capacity building. In addition a series of training programmes, particularly around Market Analyses and Development have been supported at regional levels in each region to train trainers in each country, and these are being replicated with producer organizations within countries. Finally a set of 5 regional and global producer organizations have been supported to amplify the voices and concerns of producers at regional and global fora, and a series of regional and global workshop and conferences have been organized to highlight the role of forest and farm producer organizations (FFPOs).

FFF receives funding under an “umbrella” through a multi-donor trust fund. Donors include Sweden, Finland, USA, AgriCord through its Farmers Fighting Poverty Programme and Germany under the Carlowitz project. The Profor programme at the World Bank also provided startup funds through IIED and IUCN. Though the Programme was established with a target budget of \$ 50 million for 5 years, only \$ 12.5 million dollars have been secured by FAO as of November 2015. As a result the programme has had to focus on fewer countries than initially planned, with a lower average annual budget.

The FFF was one of the first “umbrella programmes” within the FAO and was designed as a partnership with IIED and IUCN with a horizontal and multi-sectoral approach that was country driven. The project is implemented through a participatory multi-stakeholder launching process, informed by scoping studies and results in a multi-year work plan that is country and context specific, designed to add value to the Country Programming Framework and to catalyze and leverage existing initiatives.

The FFF has a monitoring and learning system to monitor progress on a range of indicators under each of the outputs described in the project theory of change. An annual aggregated report on the FFF Monitoring and Learning system is presented to the Steering Committee each February, summarizing country level achievements and learnings.

As outlined in the Agreements with donors (see Annex 4), instruction of the Steering committee and included in the Monitoring and Learning Framework of the Forest and Farm Facility a mid-term evaluation is now due. With two years left in the current programme there are excellent opportunities to improve implementation and to consider the future trajectory.

### **Evaluation purpose**

The mid-term evaluation is included in the Forest and Farm Facility Programme Document and Financing Agreements. The purpose of the Evaluation is to inform the Project Steering Committee, the Programme Management Team, the Donor Support Group and other stakeholders about the project’s progress and performance towards attaining the expected outputs and outcomes. The intention is therefore to evaluate the programme for both planning purposes as well as to inform the multi donor fund of progress to date. The mid-term evaluation is expected to bring valuable external reflections to help strengthen the programme, and to validate and complement the M&L system of the project.

The evaluation will draw specific conclusions and formulate recommendations for any necessary further action by the Steering Committee, the Project Management Team and other international and in-country FFF parties. The evaluation may also identify specific good practices and lessons to be learned for the formulation and execution of other similar projects that address forestry governance or/and utilizing a small grant scheme. The evaluation may contribute to identify corrective actions if necessary.

### **Evaluation scope**

The independent Mid-Term Evaluation will evaluate the results achieved from the inception of the project in December 2012, up to December 2015, bearing in mind that activities did not commence until mid- to late-2013. The Mid-Term Evaluation will assess all key elements of the programme to date, across the three pillars of intervention outlined in the theory of change, with a representative set of producer organizations and government partners in selected countries and at the regional and global level. Additionally the management and governance structure of the project will be assessed along with the linkages between the project and other major in-country and global initiatives in the context of FAO’s Strategic Objectives and reorganization.

### **Evaluation objectives and evaluation questions**

The objective of the evaluation will be to provide valuable recommendations based on evidence and findings under the topics of: relevance; effectiveness and impact; partnerships and coordination; normative values; Sustainability; and Coherence and Synergies. In this regard, the evaluation will be guided by the following preliminary evaluation questions under each of these topics – further questions will be developed and elaborated in the evaluation which will be developed by the evaluation team during the inception phase of the evaluation:

- a. Relevance
  - How relevant is the primary focus and programme logic of the Forest and Farm Facility in terms of its stated mission, the respective country contexts and in relation to broader sustainable development initiatives?

- b. Effectiveness and impact
- To what extent is the FFF on track to achieving outcomes across the three pillars and what changes can be observed that are attributable to the FFF's interventions and are directly linked to the FFF's main objectives?<sup>17</sup> (i) Strengthening producer organizations for business development and engagement in policy dialogue; (ii) changes relating to national policy and rules, and increased access by forest and farm producer organizations in decision-making and policy processes through cross-sectoral platforms; and (iii) processes to increase awareness at national, regional and global levels regarding the priorities of local producers.
  - To what extent is the current operational modality contributing to the efficient achievement of the project outcomes?
- c. Partnerships and coordination
- What efforts has the FFF made to link to other partners within countries and at regional and global levels? How has this contributed to FAO's larger strategy of partnerships? What have been the benefits, outcomes and challenges of these partnerships?
  - How efficient is the current "governance" structure with the Steering Committee and the Donor Support Group providing overall policy guidance and direction to the management team?
- d. Normative values
- To what extent have gender and human rights been taken into account in the design of the FFF and during the implementation?
- e. Sustainability
- How sustainable is the FFF concept of investing in the organizational capacity of forest farm producer organizations – and how might this be enhanced? To what extent are the results owned by forest and farm producer organizations?
- f. Coherence and synergies
- To what extent has the FFF integrated its programme with other technical teams within the Forestry Department, with the internal priorities within the FAO building on Country Programming Frameworks, Regional Initiatives, and especially by linking with the Strategic Objectives (in this case SO3 Output 1.1 and SO 2 Output 2.2)? Is the FFF coherent with other forestry initiatives operating within the target countries?

The evaluation team will develop an evaluation matrix, expanding on the above key questions, in which sub-questions will be developed and information sources, specific data collection methods and roles and responsibilities within the evaluation team will be outlined. The evaluation matrix will be developed in the inception phase of the evaluation when the evaluation consultants have been recruited.

## Methodology

### Approach and tools

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.

To assess the contribution of the programme towards its stated outcomes (primarily for evaluation questions under (A) relevance, (B) effectiveness and impact, and (C) partnerships and coordination) field research will be conducted to meet directly with national stakeholders. Case studies will be prepared for some focus countries to illustrate lessons that may be applied in other focus areas.

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<sup>17</sup> Where appropriate, the evaluation will use information gathered by the FFF Monitoring and Learning (M&L) system.

Evaluation country missions will be conducted in five countries: The Gambia, Kenya, Guatemala, Myanmar and one other country (to be confirmed<sup>18</sup>). These countries were selected on a number of criteria, including regional representation; level of activities completed to date; feasibility of travel; a representative sampling both of pilot countries (Gambia, Myanmar, Guatemala) and of newer FFF countries (Kenya, Vietnam, Bolivia); as well as suggestions by the project team. In the case of Liberia, the Ebola crisis has had an untoward negative effect on FFF activities, and the country cannot be therefore considered a viable focus country for the evaluation. The frequency and concurrence of OED evaluation missions was an additional criterion in selecting focus countries. In this regard, Guatemala and Myanmar were considered favorable given that ongoing FAO country-programme evaluations were scheduled for the same time-frame as the FFF mid-term evaluation, and there were opportunities for collaboration and information-sharing between evaluation teams which would allow for more efficient use of the FFF evaluation budget. Further detail on the criteria used for the selection of evaluation focus countries can be found in the country selection matrix in Annex 3.

While the above-listed countries will be the primary focus countries for the evaluation, the evaluation team may also conduct desk reviews of FFF activities carried out in other countries in order to corroborate the findings from the primary evaluation missions. In so doing, skype interviews with project staff (in countries that are not focus countries for the evaluation), supported by desk review of country reports may be conducted in early April 2016.

Desk reviews and consultative interviews with project staff at FAO HQ will constitute an important aspect of the evaluation approach, primarily in relation to questions of coherence and synergies. In addition, the assessment may draw on the Monitoring and Learning System of the Forest and Farm Facility where appropriate.

In summary, 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 in the focus countries;
- Surveys and questionnaires.

Particular attention will be devoted to ensure that women and other under-privileged groups will be consulted in adequate manner.

The evaluation will adhere to the UNEG Norms & Standards<sup>19</sup>. 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. The evaluation will draw specific conclusions and formulate recommendations for any necessary further action by FAO and/or other parties to refine the focus and strengthen the coordination of the FFF and to ensure long term sustainability of the project outcomes.

### Roles and responsibilities

The **Office of Evaluation (OED)** 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; 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. OED also has 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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18 The final selection depends partially on the hiring of competent regional/national consultants, and their ability to cover more than one country in the respective region. For this reason, a final decision has yet to be made on the inclusion of either Nicaragua (for Latin America), or Vietnam (for Asia).

19 United Nations Evaluation Group, <http://www.uneval.org/normsandstandards>

The **Project Team**, which includes the 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, providing inputs to 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 evaluation 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. 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.

The **Evaluation Team (ET)** is responsible for conducting the evaluation, applying the methodology as appropriate 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. The evaluation team will agree on the outline of the report early in the evaluation process, based on guidance from OED. The ET will also 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. 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. The team members will also be responsible of completing an anonymous and confidential questionnaire requested by OED at the end of the evaluation to get their feedback on the evaluation process.

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

## Evaluation team composition and profile

The evaluation team will consist of an external international consultant as Team Leader and one or two regional- or national-level consultants with the guidance and participation of the FAO Evaluation Manager and team. The team will include competence and skills in evaluation and relevant technical topics (see below); to the extent possible it will be balanced in terms of geographical and gender representation to ensure diversity and complementarity of perspectives.

Team members 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.

Key skills set for the Lead external consultant

- Experience with locally controlled and community forestry and smallholder producer organizations in multiple countries and an understanding of the linkage between producer organizations and policy making across sectors. In depth experience in at least one of the three regions – preferably more than one and experience and understanding of gender relevant approaches.
- Relevant evaluation experience is a necessity

Skill set for regional/national consultant(s)

- In depth experience with relevant and related projects in one of the three regions especially in:
- Enterprise development and forest and farm producer organizations, indigenous peoples, smallholders, gender and governance issues in the context of rural development.
- Multi-sectoral policymaking and dialogue processes.
- Forestry project design and implementation.

## Evaluation products (deliverables)

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.

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

The evaluation team will agree on the outline of the report early in the evaluation process, with guidance from the Evaluation Manager. The report will be prepared in English, with numbered paragraphs, following OED template for report writing.

The team leader bears responsibility for submitting the final draft report to OED within 4 weeks from the conclusion of the mission.

## Evaluation timeframe

This section lists and describes all tasks and deliverables for which evaluators or the evaluation team will be responsible and accountable, as well as those involving the commissioning office, indicating for each the due date or time-frame (e.g. briefings, draft report, final report), as well as who is responsible for its completion.

| Task   | Dates                                | Duration  | Responsibility                                       |
|--|--------------------------------------|-----------|--|
| ToR finalization   | Early January 2016                   | 3 weeks   | Evaluation manager in consultation with Project team |
| Team identification and recruitment                                    | End December 2015 - Mid-January 2016 | 2-3 weeks | Evaluation manager                                   |
| Mission organization   | January, February 2016               | 3 weeks   | Evaluation manager                                   |
| Reading background documentation                                       | End January 2016                     | 3 weeks   | Evaluation team                                      |
| Travel   |                                      |           |  |
| Mission to Countries 1 & 2   | February 2015                        | 2 weeks   |  |
| Mission to SC meeting in Rome, plus interviews with Project management | 15-02—19-02-2016                     | 1 week    |  |
| Mission to Countries 3 & 4   | February-March 2016                  | 2 weeks   |  |
| First draft for circulation  | Late March 2016                      | 4 weeks   | Team leader  |
| Final draft for circulation  | Mid-April 2016                       | 2 weeks   | Team leader  |
| Validation of the recommendations                                      | Late April 2016                      | 1 week    | Project team   |
| Final Report   | End April 2016                       |           | Evaluation manager/team Leader                       |
| Management Response  | End May 2016                         |           | Project team   |
| Follow-up Report   | End May 2017                         |           | Project team   |

## Appendix 2: FFF's communication materials and activities

- 1 Ten country baseline studies (Available here: <http://www.fao.org/partnerships/forest-farm-facility/85484/en/> )
- 2 Prioritizing support for locally controlled forest enterprises, IIED 2014. <http://pubs.iied.org/pdfs/13572IIED.pdf>
- 3 Four briefing papers:
- 4 Stronger forest and farm producers' groups can help deepen Myanmar democracy <http://pubs.iied.org/pdfs/17186IIED.pdf>
- 5 Stronger forest and farm producer groups can reduce poverty in the Gambia <http://pubs.iied.org/pdfs/17187IIED.pdf>
- 6 Multi-stakeholder governance strengthens sustainable livelihoods in Bosawás, Nicaragua <http://pubs.iied.org/pdfs/17207IIED.pdf>
- 7 The FFF: building strength in numbers <http://pubs.iied.org/pdfs/17210IIED.pdf>
- 8 Talking about forests and family farms: Growing Relationships On Fertile Ground, FAO 2014 <http://www.fao.org/3/a-i4231e.pdf>
- 9 Forests and Family Farming, COFO22, FAO 2014 <http://www.fao.org/3/a-mk152e.pdf>
- 10 Strength in numbers: effective forest producer organizations (FAO, coproduced with AgriCord) <http://www.fao.org/docrep/016/ap452e/ap452e00.pdf>
- 11 The policy brief: A road map for strengthening forest producer organizations, FAO 2014 <http://www.fao.org/3/a-i3886e.pdf>
- 12 FFF Working Paper 1: Making change happen: what can governments do to strengthen forest producer organizations? co-produced with the IFFA, FAO, the FFF and Tropenbos, FAO 2014. <http://www.fao.org/3/a-h0038e.pdf>
- 13 FFF Working Paper 2: Multi-sectorial policy platforms: how they might better serve forest and farm, FAO 2014. <http://www.fao.org/3/a-i4168e.pdf>
- 14 FFF infographic - <http://www.fao.org/partnerships/forest-farm-facility/infographic/en/>
- 15 Declarations from Philippines, Mexico and WFC in South Africa
- 16 Democratic forest business models: a harder but more rewarding path/ IIED & FFF briefing: <http://pubs.iied.org/pdfs/17308IIED.pdf>
- 17 Organization – how it ignites successful, locally controlled forestry business/ WFC article: <http://pubs.iied.org/pdfs/G03969.pdf>
- 18 Democratizing forest business: a compendium of successful locally controlled forest business organizations/ IIED & FFF learning and knowledge product: <http://pubs.iied.org/pdfs/13581IIED.pdf>
- 19 Workshop report on Forest Connect / FFF joint meeting: <http://pubs.iied.org/G03900.html?c=forest>
- 20 Reports of Exchange visit, including:
- 21 Pre-Congress Exchange Visit Report by African the Team Implementing the Forest and Farm Facility in Africa (5th to 7th of June 2015) <http://www.fao.org/partnerships/forest-farm-facility/44033-0640efbef2f10079b647e3c475bffc350.pdf>
- 22 Forest And Farm Facility Exchange Visit And Africa Family Farm Forestry Producer Organizations Conference <http://www.fao.org/partnerships/forest-farm-facility/44039-028c8559214616b01c43871795a73189b.pdf>
- 23 Myanmar-Nepal Exchange of Forest and Farm Producer Groups [http://www.iucn.org/sites/dev/files/import/downloads/fff\\_nepal\\_exchange\\_report\\_june\\_2014\\_jz.pdf](http://www.iucn.org/sites/dev/files/import/downloads/fff_nepal_exchange_report_june_2014_jz.pdf)
- 24 Myanmar-Vietnam Exchange of Forest and Farm Producer Groups <http://www.fao.org/partnerships/forest-farm-facility/44043-0d47dcc6cd18bfc0074309ff80b173ac5.pdf>
- 25 Securing the future, Managing risk and building resilience within locally controlled forest businesses, IIED 2016 <http://pubs.iied.org/pdfs/13587IIED.pdf>
- 26 Securing forest business, A risk management toolkit for locally controlled forest businesses, IIED 2016: <http://pubs.iied.org/pdfs/13583IIED.pdf>

**Appendix 3: People met**

| <b>Name</b>                        | <b>Role/title</b>  | <b>Institution</b>  |
|------------------------------------|--|---|
| <b>FFF management and partners</b> |  |   |
| Jeffrey Campbell                   | FFF Manager  | Forest Economics, Policy and Products Division, FAO                                 |
| Jhony Zapata                       | FFF Forestry Officer   | Forest Economics, Policy and Products Division, FAO                                 |
| Sophie Grouwels                    | FFF Forestry Officer   | Forest Economics, Policy and Products Division, FAO                                 |
| Marguerite France-Lanord           | FFF Communications Officer   | Forest Economics, Policy and Products Division, FAO                                 |
| Dr. Auguste Temu                   | Chairperson  | FFF Steering Committee  |
| Duncan Macqueen                    | Senior Researcher  | IIED  |
| Pauline Buffle                     | Programme Officer, Global Forests and Climate Change Programme, Nature-based Solutions Group | IUCN  |
| Chris Buss                         | Senior Programme Officer, Forest Conservation Programmes                                     | IUCN  |
| Stewart Maginnis                   | Global Director, Forest and Climate Change Programme, Nature-based Solutions Group           | IUCN  |
| <b>FAO Rome</b>                    |  |   |
| Dominique Reeb                     | Team Leader, Social Forestry   | Forestry Policy and Resources Division, FAO   |
| Carol Djeddah                      | Leader, FAO SO3, Output 3.1.1  | FAO   |
| Robert Simpson                     | Manager, FLEGT Programme   | Forest Economics, Policy and Products Division, FAO                                 |
| Marc Vandenhoute                   | Forestry Officer, EU FAO FLEGT Programme   | Forest Economics, Policy and Products Division, FAO                                 |
| Mario Acunzo                       | ComDev Officer   | Advocacy Unit, Office for Partnerships, Advocacy and Capacity Development, FAO      |
| Marzia Pafumi                      | ComDev Officer   | Advocacy Unit, Office for Partnerships, Advocacy and Capacity Development, FAO      |
| Eva Muller                         | Director   | Forest Economics, Policy and Products Division, FAO                                 |
| Siobhan Kelly                      | Agribusiness Officer   | Agricultural Development Economics, FAO   |
| Yon Fernandez-de-Larrinoa          | Indigenous Peoples Team  | Advocacy Unit, Office for Partnerships, Advocacy and Capacity Development, FAO      |
| Frederic Deve                      | Senior policy and Governance Officer   | policy and Governance Support Unit, Economic and Social Development Department, FAO |
| Emilio Hernandez                   | Agricultural Finance Officer   | Social Policies and Rural Institutions Division, FAO                                |
| Carlos Tarazona                    | Evaluation Officer   | Office of Evaluation, FAO   |
| <b>Regional associations</b>       |  |   |
| Cécile Ndjebet                     | Chairperson (and Coordonnatrice Nationale, Cameroon Ecology Edea, Cameroon)                  | African Women's Network for Community Management of Forests (REFACOF)               |
| Esther Penunia                     | Secretary General  | Asian Farmers Association for Sustainable Rural Development (AFA)                   |

Mid-term evaluation of the Forest and Farm Facility programme

| Name               | Role/title                                   | Institution  |
|--------------------|--|--|
| <b>Myanmar</b>     |  |  |
| U Paing Htet Thu   | Intern                                       | MERN   |
| Dr. Kyaw Tint      | Chairman                                     | ECCDI/MERN   |
| U Aung Thant Zin   | FFF Facilitator/ CEO MERN / Treasurer, CFNWG | MERN   |
| U Phyo Thu         | Project staff                                | ECCDI  |
| U Myat Ko Oo       | Asst. Planning and Operations Officer        | ECCDI  |
| U Phyo Thu         | Project staff                                | ECCDI  |
| U Myat Ko Oo       | Field Officer                                | ECCDI, Ywangan   |
| Prof. Ohn Lwin     | Professor                                    | Forest Products Department, University of Forestry (MoECAF)            |
| U Kyaw Yaw Lin     | Deputy Director General                      | Forest Department, MoECAF  |
| U Bo Ni            | Director/FFF Focal point                     | Watershed Management Division, Forest Department, MoECAF               |
| U Tint Swe         | Director                                     | Training, Research and Development Division, Forest Department, MoECAF |
| U Myo Min          | Director                                     | Natural and Plantation Forest Division, Forest Department, MoECAF      |
| Dr. Ei Ei Shwe Zin | Staff Officer                                | Forest Research Institute, Forest Department, MoECAF                   |
| U Sein Moe         | Staff Officer                                | CF Unit, Forest Department, MoECAF                                     |
| Dr. Maung Than     | Country Programme Director                   | RECOFTC  |
| Ms. Bui Thi Lan    | FAO Representative                           | FAO Myanmar  |
| U Ye Kaung         | Forestry officer                             | FAO Myanmar  |
| U Aung Swe         | Assistant FAO Representative (Program)       | FAO Myanmar  |
| Daw Thin Mya       | Project staff                                | Myanmar Ceramic Society  |
| U Myint Aung       | Project staff                                | Friends of Wildlife  |
| U Naung Zin Latt   | Project staff                                | Social Vision Services   |
| U Than Htay        | Vice Chairman)                               | RCA  |
| U Myint Aung       | Field Technician)                            | RCA  |
| Daw Kyu Than       | Admin & Finance Assistant                    | RCA  |
| U Kyi Soe Lwin     | Project Officer                              | Friends of Wildlife  |
| U Zaw Lin Than     | Township FD officer, Gwa                     | Forest Department, Gwa   |
| U Myint Maung      | Secretary                                    | Kyeintali CF Group   |
| U Myin Aung        | Chairman                                     | Sundar CF Group  |
| U Win Pe           | CFUG Member                                  | A Le Chaung CF Group, Ywarngan   |
| U Khin Maung       | CFUG Member                                  | Kyauk Ku Lay Ywar CF Group, Ywar Ngan                                  |
| Daw Mya Yin        | CFUG Member                                  | Kyauk Ku Lay Ywar CF Group, Ywar Ngan                                  |
| U Kyaw Mya         | CFUG Member                                  | Kyauk Taing Village CF Group, Inle, Nyaung Shwe                        |
| U Hla Kyaw         | CFUG Member                                  | Kyauk Taing Village CF Group, Inle, Nyaung Shwe                        |
| U Kyaw Soe         | CFUG Member                                  | Kyauk Taing Village CF Group, Inle, Nyaung Shwe                        |
| Thazin Oo          | CFUG Member                                  | Ywar Ngan  |
| Khin Moe           | CFUG Member                                  | Ywar Ngan  |
| Khin Myo           | CFUG Member                                  | Ywar Ngan  |
| Zin Min Thant      | CFUG Member                                  | Ywar Ngan  |
| Kyaw Win           | CFUG Member                                  | Ywar Ngan  |

Mid-term evaluation of the Forest and Farm Facility programme

| <b>Name</b>                     | <b>Role/title</b>  | <b>Institution</b>                |
|---------------------------------|--|-----------------------------------|
| Saw Htun                        | CFUG Member  | Ywar Ngan                         |
| Ba Saung                        | CFUG Member  | Ywar Ngan                         |
| U Myint Hla                     | CFUG Member  | Kyeintali                         |
| U Myint Maung                   | CFUG Member  | Kyeintali                         |
| U Tin Han                       | CFUG Member  | Kyeintali                         |
| Daw Myint Khaing                | CFUG Member  | Kyeintali                         |
| Daw May Myint                   | CFUG Member  | Kyeintali                         |
| Daw Khin Toe Yi                 | CFUG Member  | Kyeintali                         |
| U Tun Min                       | Chairman, CFUG   | Ywar Thit Kone                    |
| U Tin Aung Lay                  | Treasurer, CFUG  | Ywar Thit Kone                    |
| U Min Swe                       | Secretary, CFUG  | Ywar Thit Kone                    |
| U Myint Win                     | CFUG Member  | Ywar Thit Kone                    |
| <b>Guatemala</b>                |  |                                   |
| Víctor Lopez                    | Presidente   | Utz Che                           |
| Eusebio Tomas                   | Facilitador dialogo político   | Utz Che / ASORECH                 |
| Jorge Iram Macham               | Facilitador desarrollo empresarial   | Utz Che / ASORECH                 |
| Hugo Moran                      | Director Departamento Forestal   | FEDECOVERA                        |
| Julio Madrid                    | Facilitador de implementación CdA ACOFOP   | ACOFOP                            |
| Eddy Pullido                    | Facilitador de implementación CdA ACOFOP   | ACOFOP                            |
| Donald Grijalva                 | Gerente Comercial  | Chachaklum                        |
| Carlos Camranes                 | Presidente   | Chachaklum                        |
| Aldo Rodas                      | Intersectorial local   | MAGA Peten                        |
| Marvin Martínez                 | Intersectorial local   | INAB/Chachaklum y Mesa            |
| Bayron Castellanos              | FLEGT  | Asociación Balam/Peten            |
| Andrés Ixim                     | Presidente   | COACAP                            |
| Simeón Camposeco Aguilar        | Presidente y Representante Legal   | Cooperativa Unión Huiste          |
| Feliciana Vilma Salusio Montejo | Vocal del Consejo de Administración  | Cooperativa Unión Huiste          |
| Ebal Sales                      | Coordinación intersectorial  | INAB/Contraparte Institucional    |
| Fatima Castaneda                | Coordinación intersectorial  | INAB/Bosques y energía            |
| Francisco Figueroa              | FLEGT  | INAB                              |
| Mártir Vásquez                  | FLEGT  | INAB                              |
| Ogden Rodas                     | Coordinador FFF Guatemala  | FFF                               |
| Alejandra Lopez                 | Monitoreo y Evaluación FFF Guatemala   | FFF                               |
| Diego Recalde                   | representante FAO Guatemala  | FAO Guatemala                     |
| <b>Gambia</b>                   |  |                                   |
| Omar Ceesay                     | Programme Officer/Agriculture and Natural Resource, Secretary to the ANR WG & Platform | National Environment Agency (NEA) |
| Sheikh Alkinky Sanyang          | Assistant Programme Officer/ Environmental Education and Communication                 | National Environment Agency (NEA) |
| Ajie Binta Jagne Kinteh         | Senior Programme Officer/ Environmental Education and Communication                    | National Environment Agency (NEA) |

Mid-term evaluation of the Forest and Farm Facility programme

| <b>Name</b>            | <b>Role/title</b>  | <b>Institution</b>                |
|------------------------|--|-----------------------------------|
| Lamin Komma            | Senior Programme Officer, Coastal and Marine Environment | National Environment Agency (NEA) |
| Kanimang Camara        | FFF national facilitator, Gambia                         | FFF                               |
| Perpetua Katepa-Kalala | FAO Representative                                       | FAO Gambia                        |
| Abdoulie Danso         | Natural Resource Working Group member                    | Ministry of Fish                  |
| Basadi Gassama,        | Natural Resource Working Group member                    | SWMS                              |
| Alkali Javjusey        | Natural Resource Working Group member                    | NACO                              |
| Mariama A. Jallow      | Natural Resource Working Group member                    | DCD                               |
| Musa F. Sowe,          | Natural Resource Working Group member                    | NaYAFS                            |
| Alh. Ebrina Beyai,     | Natural Resource Working Group member                    | Rice Farmers                      |
| Bubakary Kinteh,       | Natural Resource Working Group member                    | DPWM                              |
| Abubacar Krubally,     | Natural Resource Working Group member                    | AGFP                              |
| Lamin Bojang           | Natural Resource Working Group member                    | GTBOARD                           |
| Edrissa Ceesay         | Natural Resource Working Group member                    | GBOS                              |
| Bambandag Kanyi        | Natural Resource Working Group member                    | Dept. of Fisheries                |
| NgaNsa Touray,         | Natural Resource Working Group member                    | FAO                               |
| Amadou Badge           | Natural Resource Working Group member                    | NEA                               |
| Alagie Manyang         | Natural Resource Working Group member                    | Ministry of Environment           |
| Isatou Yarboe          | Natural Resource Working Group member                    | Ministry of Agriculture           |
| Sheikh Alkinky         | Natural Resource Working Group member                    | NEA                               |
| Jalamang Camara        | Natural Resource Working Group member                    | NARI                              |
| Bakary KS Sanyang,     | Natural Resource Working Group member                    | PSU/DOA                           |
| Saikou Jagne           | Natural Resource Working Group member                    | DPPA                              |
| Anna Mbenga            | Natural Resource Working Group member                    | DOF                               |
| Alhajie Basse Mboge    | Natural Resource Working Group member                    | Farmers Platform                  |
| Lamin Komma            | Natural Resource Working Group member                    | NEA                               |
| Jainaba Badjie         | Natural Resource Working Group member                    | Farmers Platform                  |
| Chermo Gaye            | Natural Resource Working Group member                    | Forestry                          |
| Salmina E. jobe        | Natural Resource Working Group member                    | GCCA                              |
| Mambabou Sowe          | Natural Resource Working Group member                    | TANGO                             |

Mid-term evaluation of the Forest and Farm Facility programme

| <b>Name</b>                           | <b>Role/title</b>                     | <b>Institution</b>  |
|---------------------------------------|---------------------------------------|---|
| Malang Jatte                          | Natural Resource Working Group member | OP  |
| Mbassi Sanneh,                        | Natural Resource Working Group member | NDMA  |
| M. Sock,                              | Natural Resource Working Group member | NEA   |
| Michelle Njie                         | Natural Resource Working Group member | NEA   |
| <b><i>FFPOs and Apex Leaders</i></b>  |                                       |   |
| M. Musa F. Sowe,                      | Programme Head                        | NaYAFS  |
| M. Pateh Gayigo,                      | Farmer                                | Small Ruminants   |
| M. Ebrina Camara                      | Coordinator                           | AGFP  |
| M. Muhamadou B. Drammeh               | Executive Director                    | Tumana Association for Development (TAD)                              |
| Ms. Gass Ceesay                       | Regional President                    | Farmers Platform  |
| M. Kausu Conteh,                      | Programme Officer                     | AFET  |
| M. Kauscu Conteh                      | Programme Officer                     | AFET  |
| M. Ebriama Biyai                      | National Treasurer                    | Farmers Platform  |
| M. Seku Janko                         | President                             | KOMFFORA  |
| M. Ebrima Jarjou                      | Secretary                             | Cashew Federation   |
| Ms. Mai Sonko                         | Vice President                        | Farmers Platform  |
| Ms. Isatou Sanneh                     | Regional Women Representative LRR     | Farmers Platform  |
| M. Alhajie Basse Mboge                | President                             | Farmers Platform  |
| Ms. Sima Sonka                        | Vice President                        | National Farmers  |
| M. Wandi Keita                        | NFP agric Focal point                 |   |
| Ms. Bakoto Mboge                      | President                             | WVFFP   |
| M. Ebrima O. Jallow                   | President                             | NLOA  |
| M. Demba Sanyang                      | Regional Coordinator                  | NACO  |
| M. Haruna Nyass                       | Assistant Programme officer           | NFPG  |
| Abubacar Kubally                      | President                             | All Gambia Forestry Platform  |
| Ms. Aja Mai Bojang                    |                                       | Brufut NFPG Regional  |
| Ms. Jainaba Badjie                    | Women leader                          | R FAG   |
| <b><i>Governorate Lower River</i></b> |                                       |   |
| Abdou Njai                            | Deputy Governor                       | Office of the Governor  |
| Iamin Sawaneh                         | Regional Forestry Officer             | Department of Forestry  |
| Sillah Manneh                         | Representative                        | National Farmers platform   |
| Alhagy Jatta                          | Representative                        | Department of Community Development                                   |
| Ansumana njie                         | Representative                        | Department of Agriculture   |
| Demba Sanyang                         | Hewad District Chief                  | Local Government Authority, Kiang West District                       |
| <b><i>Vietnam</i></b>                 |                                       |   |
| Ms. Vu Le Y Voan                      | Deputy Director/FFF Facilitator       | International Cooperation Department, Vietnam National Farmers' Union |
| Mr. Phan Tai Thang                    | FFF Project Assistant                 | Vietnam national Farmers' union                                       |
| Luu van Quang                         | Chairman                              | Bac Kan Farmer union (PFU)  |
| Be ha Xuyen                           | Vice Director                         | Socio-Economic Department, Bac Kan PFU                                |
| Luu Thi Bich Hien                     | Member                                | Bac Kan PFU   |

| <b>Name</b>        | <b>Role/title</b>     | <b>Institution</b>  |
|--------------------|-----------------------|---|
| Nguyen van Dong    | Chairman              | Chu Huong Commune people's Committee, Ba Be District, Bac Kan                   |
| Hoang Van Quan     | Vice-Chairman         | Chu Huong Commune people's Committee, Ba Be District, Bac Kan                   |
| Pham Van Dang      | Agriculture Staff     | Commune Forestry, Chu Huong Commune people's Committee, Ba Be District, Bac Kan |
| Dong Van Nghien    | Member                | Na Ngom, Chu Huong Commune, Ba Be District, Bac Kan                             |
| Dong Van Huu       | Chief of Farmer union | Na Ngom, Chu Huong Commune, Ba Be District, Bac Kan                             |
| Ly Van Tien        | Chairman              | Chu Huong Commune Farmer Union  |
| Nong Trung Thong   | Chief                 | May Phay cooperation group  |
| Trieu Hoang Hoan   | Member                | May Phay cooperation group  |
| Hoang Van Cuong    | Member                | May Phay cooperation group  |
| Hoang Thi Mai      | Vice-Chief            | May Phay cooperation group  |
| Ly Van Linh        | Chairman              | Ba Be District Farmer Union   |
| Duong Van Huynh    | Member                | Thach Ngoa cooperation group  |
| Hoang Ha Doan      | Vice-team             | Thach Ngoa cooperation group  |
| Dong Van Tong      | Chairman              | Commune Farmer Union  |
| Duong Van Khoa     | Member- cashier       | Thach Ngoa cooperation group  |
| Duong Thi Nga      | Member                | Thach Ngoa cooperation group  |
| Ha Quoc Hieu       | Accountant            | Thach Ngoa cooperation group  |
| Duong Van Chuong,  | Member                | Thach Ngoa cooperation group  |
| Hoang van Anh      | Member                | Khuooi Lien cooperation group   |
| Hoang Thi Lo       | Member                | Khuooi Lien cooperation group   |
| Max Hoang Ta       | Leader                | Khuooi Lien cooperation group   |
| Hoang Van Hai      | Member                | Khuooi Lien cooperation group   |
| Luu Van Quang      | Chairman              | Bac Kan Farmer Union (PFU)  |
| Tran Thi Thu Huong | Vice-Chairman         | Bac Kan Farmer Union (PFU)  |
| Be Ha Xuyen        | Vice Director         | Socio-Economic Department, Bac Kan Farmer Union (PFU)                           |
| Luu Thi Bich Hien  | Member                | Bac Kan Farmer Union (PFU)  |
| Nguyen Van Mau     | Facilitator           | UN-REDD program at provincial level   |
| Pham Ngoc Kien     | Vice – Director       | Bac Kan province Sub-department of Forestry                                     |
| Cao Thi Hong Thang | Staff                 | Bac Kan DARD  |
| Tran Van Cuong     | Vice – Director       | Bac Kan province DOIT   |
| Hoang Huu Do       | Chairman              | Farmer Union of Yen Bai Province  |
| Ho Van Tinh        | Vice - Chairman       | Farmer Union of Yen Bai Province  |
| Nguyen Cong Loi    | Director              | Socio-Economic Department, Farmer Union of Yen Bai Province                     |
| Do Thi Thu Hien    | Vice director         | Yen Bai FU Financial Department   |
| Ha Thi Lien Phuong | Staff                 | Socio-Economic Department, Farmer Union of Yen Bai Province                     |
| Tran Hoang Thanh   | Staff                 | Socio-Economic Department, Farmer Union of Yen Bai Province                     |
| Do Van Thuc        | Secretary             | Commune's Party, Dao Thinh Commune, Yen bai Province                            |
| Nguyen Xuan Hong   | Member                | Cinnamon Cooperation Group, Dao Thinh Commune, Yen bai Province                 |

Mid-term evaluation of the Forest and Farm Facility programme

| <b>Name</b>        | <b>Role/title</b>      | <b>Institution</b>   |
|--------------------|------------------------|--|
| Doan Thu Phuong    | Chairman               | Commune's Farmer Union, Dao Thinh Commune, Yen bai Province              |
| Tran Thi Tuoi      | Member                 | Cinnamon Cooperation Group, Dao Thinh Commune, Yen bai Province          |
| Vu Quoc Viet       | Member                 | Cinnamon Cooperation Group, Dao Thinh Commune, Yen bai Province          |
| Pham Xuan Giao     | Vice Leader            | Cinnamon Cooperation Group, Dao Thinh Commune, Yen bai Province          |
| Nguyen Thi Huong   | Chairman               | Women Farmer Union, Dao Thinh Commune, Yen bai Province                  |
| Chu Duc Hien       | Chairman               | Commune Peoples' Council, Dao Thinh Commune, Yen bai Province            |
| Trieu Anh Kim      | Vice-Chairman          | Commune FU , Phu Thinh Commune – Yen Binh                                |
| Nguyen Dinh Hai    | Head                   | Lem 's Cooperation Group (CG), Phu Thinh Commune – Yen Binh              |
| Dao Quang Binh     | Vice-head              | Lem 's Cooperation Group (CG), Phu Thinh Commune – Yen Binh              |
| Nguyen Thi Thu     | Member                 | Lem 's Cooperation Group (CG), Phu Thinh Commune – Yen Binh              |
| Luong Thi Yen      | Member                 | Lem 's Cooperation Group (CG), Phu Thinh Commune – Yen Binh              |
| Hoang Thi Doan     | Member                 | Lem 's Cooperation Group (CG), Phu Thinh Commune – Yen Binh              |
| Chu Thi Hong       | Member                 | Lem 's Cooperation Group (CG), Phu Thinh Commune – Yen Binh              |
| Le Thi Hien        | Member                 | Lem 's Cooperation Group (CG), Phu Thinh Commune – Yen Binh              |
| Luong Van Ban      | Member                 | Lem 's Cooperation Group (CG), Phu Thinh Commune – Yen Binh              |
| Nguyen Van Mien    | Member                 | Lem 's Cooperation Group (CG), Phu Thinh Commune – Yen Binh              |
| Luong Hong Thang   | Member                 | Lem 's Cooperation Group (CG), Phu Thinh Commune – Yen Binh              |
| Nguyen Thi Thom    | Member                 | Lem 's Cooperation Group (CG), Phu Thinh Commune – Yen Binh              |
| Nguyen Dinh Tuong  | Member                 | Lem 's Cooperation Group (CG), Phu Thinh Commune – Yen Binh              |
| Chu Duc Hien       | Member                 | Lem 's Cooperation Group (CG), Phu Thinh Commune – Yen Binh              |
| Hoang Huu Do       | Chairman               | Farmer Union of Yen Bai Province, Chairman of provincial FFF program PMU |
| Hoang Viet Hung    | Standing Vice-Chairman | Farmer Union of Yen Bai Province, Chairman of provincial FFF program PMU |
| Ho Van Tinh        | Vice - Chairman        | Farmer Union of Yen Bai Province, Chairman of provincial FFF program PMU |
| Vuong Thi Thoan    | Vice - Chairman        | Farmer Union of Yen Bai Province, Chairman of provincial FFF program PMU |
| Nguyen Cong Loi    | Chairman               | Socio-Economic Board - FU Yen Bai. Member of provincial FFF program PMU  |
| Tong Quang Sau     | Chairman               | FU of Tran Yen District  |
| Dao Thi Tam        | Chairman               | FU of Yen Binh District  |
| Do Nhan Dao        | Chairman               | Cooperative Alliance of Yen Bai Province                                 |
| Ha Thi Lien Phuong | Staff                  | Socio-Economic Board- FU of Yen Bai Province                             |
| Do Thi Thu Hien    | Vice director          | Financial Department - Farmer Union of Yen Bai Province                  |

| Name                    | Role/title   | Institution                             |
|-------------------------|--|---|
| <b>Kenya</b>            |  |   |
| Philip Kisoyan          | FFF Facilitator  | FAO Kenya                               |
| Francisco Carranza      | Head of Sector, Land and Natural Resource Management             | FAO Kenya                               |
| Jose Lopez              | Resilience Coordinator   | FAO Kenya                               |
| Oscar Simanto           | Head Forest Extension Management                                 | Kenya Forest Service                    |
| Patrick M. Kariuki      | Deputy Director Forest Extension Services                        | Kenya Forest Service                    |
| Mercy Korir             | Accounts Assistant   | FF-SPAK                                 |
| Zipporah Matumbi        | Treasurer  | FF-SPAK                                 |
| Geoffrey Wanyama        | Executive officer  | FF-SPAK                                 |
| Boaz Kiboi              | Chairman   | FF-SPAK                                 |
| Edwin Kamau             | Programme Officer  | FF-SPAK                                 |
| George Onyango          | Programme Coordinator  | We Effect                               |
| Faith Mutuko            | Programme Officer, Rural Development                             | We Effect                               |
| Peter Githukia          | Bahati Chair   | Lake Elementaita Self Help Group        |
| Izack Kariuki Maima     | Rongai Chair   | Lake Elementaita Self Help Group        |
| Benson Njoroge Ilanyoro | Secretary NCTNA  | Lake Elementaita Self Help Group        |
| Korir Evans             | Environmental Scientist (Volunteer)                              | Lake Elementaita Self Help Group        |
| Joseph Gaiho Mwaura     | member   | Lake Elementaita Self Help Group        |
| Ann Njoki Kinutha       | Treasurer  | Nakuru Country Tree Nursery Association |
| Hjoneje Hdevitu         | Secretary/FF-SPAK focal point                                    | Cofeg FA, Molo                          |
| Lydia Odiyo okwengu     | Member   | Cofeg FA, Molo                          |
| David Muchai            | Member   | Cofeg FA, Molo                          |
| Hellen                  | Treasurer  | Cofeg FA, Molo                          |
| John Mwangi             | Member   | Cofeg FA, Molo                          |
| john Musioke            | Member   | Cofeg FA, Molo                          |
| Mercy Kimone            | Member   | Cofeg FA, Molo                          |
| Clement Kariuki         | Chair  | Cofeg FA, Molo                          |
| Dr. Maara T. Nelson     | Chief Officer, Environment, Natural Resources, Water and Energy, | Nakuru County                           |
| Mary W. Nyama           | Country Forest Extension Coordinator                             | Kenya Forest Service, Nakuru County     |
| Paul M. Nyutu           | Chairman   | Lariak Forest Association               |
| Joseph Maina Mwanki     | Vice Secretary   | Lariak Forest Association               |
| Ann Mwihaki Mugo        | Treasurer  | Lariak Forest Association               |
| Willy Kiplangat         | Marginalised Groups representative                               | Lariak Forest Association               |
| Maina Kibe              | Vice Chairman  | Lariak Forest Association               |
| Lucy Wangari Munuhe     | Gender focal point   | Lariak Forest Association               |
| Julius Maina            | Secretary  | Lariak Forest Association               |
| Francis Njuguna Kimani  | Nursery Manager  | Lariak Forest Association               |
| David Kiruki            | Chairman   | Nettle World Self-Help Group            |
| Joseph Thekeri          | Vice-Chairman  | Nettle World Self-Help Group            |
| Charles Nyingi          | Committee Member   | Nettle World Self-Help Group            |
| Mary Kimotho            | Chairperson  | Laikipia East Marura Group              |

**Appendix 4: Evaluation focus country selection matrix**

| Country    | Region        | Pilot/new | Feasibility of travel   | overlapping evaluation mission(s)           | Comments   | Selected |
|------------|---------------|-----------|---|---|--|----------|
| Guatemala  | Latin America | Pilot     | May use national consultant, supervised by country-evaluation team. Could potentially be covered by Latin America Regional consultant | Concurrent FAO country programme evaluation | Opportunity for collaboration between evaluation teams in producing country case-study for FFF   | Yes      |
| Nicaragua  | Latin America | Pilot     | could potentially be covered by Latin America Regional consultant - close proximity to Guatemala                                      | No  | There has reportedly been a slowdown in activity since the government in Nicaragua decided to centralize all support through government agencies. The project team has advised that Nicaragua may be of less comparative value as a result. However, it might be easily visited if paired with a mission to Nicaragua. | Yes      |
| Bolivia    | Latin America | New       | could potentially be covered by Latin America Regional consultant   | Upcoming FAO Country Programme Evaluation   | Potential for 'evaluation fatigue' - if too many evaluation missions in short time frame   | No       |
| Myanmar    | Asia          | Pilot     | Asia Regional consultant?   | Concurrent FAO Country Programme evaluation | Opportunity for collaboration between evaluation teams in producing country case-study for FFF   | Yes      |
| Vietnam    | Asia          | New       | Asia Regional consultant?   | No  | FFF targeting Vietnam Farmers' Union (rather than forestry) 10 million members - interesting in this regard. Also the facilitator is from the national partner's office, not an FAO consultant - increased likelihood of sustainability? Relatively high level of activities completed in short timeframe.             | Yes      |
| Nepal      | Asia          | Pilot     | Asia Regional consultant?   | No  | Possible disruption to FFF activities after earthquake?  | No       |
| Liberia    | Africa        | Pilot     |   | No  | Ebola has halted many FFF activities.  | No       |
| The Gambia | Africa        | Pilot     | Combine mission with Kenya/Zambia?  | No  | Rarely visited by evaluation teams.  | Yes      |
| Kenya      | Africa        | New       | Combine mission with Gambia?  | No  |  | Yes      |
| Zambia     | Africa        | New       |   | No  | Activities here only recently underway. (Very new)   | No       |

## Appendix 5: Agreement with donor for mid-term evaluation

Sida's contribution no: 61050022  
FAO ref: PGM/MUL/2012-2017/FFF

# Amendment no 1 to the Agreement between Sweden and the Food and Agriculture Organization of the United Nations on support to the Forest and Farm Facility

The Swedish International Development Cooperation Agency (Sida) and the Food and Agriculture Organization of the United Nations (FAO), entered in July 2013 into Agreement on support to the Multi-Donor Trust Fund of the Forest and Farm Facility during 2013-2017. The parties have now decided to amend the agreement as stipulated in the articles below. Un-amended conditions in the mentioned Agreement will continue unimpaired.

### Amendments of the agreement

Articles 2, 3, 5, 6 of the above mentioned Agreement shall be amended as follows.

#### Article 2 – (on programme design)

*Instead of:*

“The specific details on programme design, component inputs and budgets are described in the attached document named “Forest Farm Facility – The Umbrella Programme, Project Document PGM/MUL/2012-2017/FFF” (hereinafter referred to as “the Programme”).”

*Read:*

The specific details on programme design, component inputs and budgets are described in the attached documents named “Forest Farm Facility – The Umbrella Programme, Project Document PGM/MUL/2012-2017/FFF” and “Forest Farm Facility – Enhancing Learning, Communications and visibility to Ensure Effective Implementation. A proposal for Additional Funds from Sida, October 2014” (hereinafter referred to as “the Programme”).

#### Article 3 – (on amounts)

*Instead of:*

“Sweden shall support the implementation and monitoring of the Programme with a contribution of 30.600.000 (thirty million six hundred thousand) Swedish Kronor to *the Facility's* Multi-Donor Trust Fund (GCP /GLO/812/MUL). FAO will for this Programme apply a Support cost of maximum 6%. The payment schedule is tentatively as follows: The first

instalment of SEK 10.000.000 will be deposited by Sida after the signature of this Contribution Agreement and upon request from FAO

- Thereafter SEK 10.000.000 shall be made available by April 2014 and April 2015 respectively and disbursed upon request from FAO.
- In 2015, Sida will make available an additional amount of SEK 600.000 for the external Mid-term Evaluation of *the Facility* as foreseen in paragraph 2.7 of the Programme. The evaluation shall as far as possible be planned and conducted in joint donor coordination; it will be carried out under the direct responsibility of FAO Office for Evaluation. Terms of Reference for the Evaluation shall be made valid after written approval from Sida.”

*Read:*

Sweden shall support the implementation and monitoring of the Programme with a contribution of 45.500.000 (forty five million five hundred thousand) Swedish Kronor to the Facility's Multi-Donor Trust Fund (GCP /GLO/495/MUL). FAO will for this Programme apply a Support cost of maximum 5,9%. The payment schedule is tentatively as follows:

- The first instalment of SEK 10.000.000 will be deposited by Sida after the signature of this Contribution Agreement and upon request from FAO
- Thereafter SEK 10.000.000 shall be made available by April 2014, April 2015 and April 2016 respectively and disbursed upon request from FAO.
- An additional amount of SEK 4.900.000 for specific purposes described in the above mentioned proposal dated October 2014 shall be made available upon signing of this amendment and disbursed upon request, from FAO. This specific request must be registered at Sida no later than December 5<sup>th</sup>, 2014.
- In 2016, Sida will make available an additional amount of SEK 600.000 for the external Mid-term Evaluation of *the Facility* as foreseen in paragraph 2.7 of the Programme. The evaluation shall as far as possible be planned and conducted in joint donor coordination; it will be carried out under the direct responsibility of FAO Office for Evaluation. Terms of Reference for the Evaluation shall be made valid after written approval from Sida.

#### **Article 5 – (option for continued funding)**

*Instead of:*

“An option for continued funding during the financial years 2016 and 2017 is part of this Contribution Agreement. It will depend on the priorities of the new Swedish Global Strategy for Sustainable Economic Development (expected to enter into force by January 2014) and an assessment based on yearly reports and findings from the Mid-term Review of *the Facility*. Provided that Sida will release the option for continued funding, Sida will then make available a

Sida's contribution no: 61050022  
FAO ref: PGM/MUL/2012-2017/FFF

maximum of SEK 10 million for 2016 and SEK 7 million for 2017, that is, the two final years of the 5-year period which the programme is planned for. ”

**Read:**

An option for continued funding during the financial year 2017 is part of this Contribution Agreement. It will depend on an assessment based on yearly reports and findings from the Mid-term Review of *the Facility*. Provided that Sida will release the option for continued funding, Sida will then make available a maximum of SEK 7 million for 2017, that is, the final year of the 5-year period which the programme is planned for.

**Article 6 – (reports and refunding)**

**Add:**

For the refund to Sida of interest income and/or unspent balances the bank instructions are as follows:

Bank : Swedbank AB  
Bank address : SE-105 34 Stockholm  
Bankaccount : 890119240551268  
Swift/BIC : SWEDSESS  
IBAN: SE8580000890119240551268  
Accountholder :  
Swedish International Development Cooperation Agency (Sida)

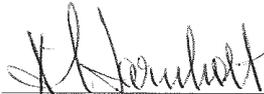
**Entry into force**

This amendment of the Agreement shall enter into force upon its signature and remain valid until June 30th, 2018.

Two originals of this amendment of the Agreement have been signed, of which the parties have taken one each.

Stockholm 18/11 2014

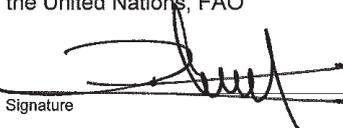
Place and date  
Sweden, represented by Sida

  
Signature

Aninka Larsson  
(First name / last name / title)  
Acting Head of Global  
Programmes Unit

Roma, 02/12/2014

Place and date  
Food and Agriculture Organization of  
the United Nations, FAO

  
Signature

Laurent Thomas  
(First name / last name / title)  
Assistant Director-General  
Technical Cooperation Department





**Food and Agriculture  
Organization of the  
United Nations**

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