

Programme Evaluation Series

Evaluation of the FAO-EU forest law enforcement, governance and trade programme – Phase III

**GCP/GLO/600/MUL
GCP/GLO/397/EC**

Annex 1. Programme logical framework

Mission: Tackle illegal logging, promote trade in legal timber products and ultimately contribute to sustainable forest management (SFM) and poverty reduction.			
Results chain	Indicators	Means of verification (MOV)	Assumptions
<p>Impact</p> <p>Forest sector stakeholders achieve improved forest governance, legality of timber produced and traded on domestic, regional and international markets, and more equitable forest management systems.</p>	<p>Improved forest governance:</p> <ol style="list-style-type: none"> 1. Number and description of VPA countries with evidence of improved forest governance. 2. Number and description of non-VPA countries with evidence of improved forest governance in the Programme work areas. <p>Legality of timber:</p> <ol style="list-style-type: none"> 3. Number and description of countries starting to issue FLEGT licenses during the period of the Programme. <p>More equitable forest management:</p> <ol style="list-style-type: none"> 4. Number and description of countries with increased quantity of Micro, Small and Medium Sized Enterprises (MSMEs) that have secured rights and demonstrating compliance to legality requirements. 5. Number and description of countries where women's voice and power in decision making in the forestry sector is improved through FLEGT actions. 6. Number and description of countries with stronger voice and increased power of civil society in national FLEGT related governance processes. 7. Number and description of countries with stronger voice and increased power of private sector (in particular MSMEs) in national FLEGT related governance processes. 	<ol style="list-style-type: none"> 1. VPA-impact monitoring, VPA impact monitoring assessment, external evaluations (mid-term evaluation and closing evaluation), including surveys & interviews among country stakeholders. 2. Non-VPA country governance assessment in the beginning and in the end of Programme's work in the country. 3. VPA documentation, press releases. 4. External assessments, studies, evaluations, service provider reports. 5. Country level assessments, e.g. in context of external evaluations, including surveys and interviews with stakeholders, service provider reports. 6. Country level assessments, e.g. in context of external evaluations, including surveys and interviews with stakeholders, service provider reports. 7. Country level assessments, e.g. in context of external evaluations, including surveys and interviews with stakeholders, service provider reports. 	<ul style="list-style-type: none"> - Partner governments and other country stakeholders (CSOs, private sector) are genuinely committed to FLEGT principles including long-term goal of SFM - Benefits of compliance are visible and sustained; penalties of non-compliance outweigh potential short-term gains from non-compliance - Transaction costs do not disadvantage MSMEs or similar, more fragile groups - Statistical information is accurate and reliable

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<p>Outcome 1 Voluntary Partnership Agreements contribute to improved forest sector governance and timber legality on domestic and international markets</p>	<p>VPA countries demonstrate progress on one or several of the following aspects following Programme support:</p> <p>Improved governance:</p> <p>1.1. Number and description of forest-governance related documents that have been made public as a result of programme support</p> <p>1.2. Number and description of infractions reported by independent monitors.</p> <p>1.3. Number and description of forest governance related multi-stakeholder platforms that have organized meetings during the year following the receipt of programme support.</p> <p>Legality/Traceability:</p> <p>1.4. Number and description of components of the TLAS adopted/implemented by governments as a result of Programme support.</p> <p>1.5. Number and description of revisions of laws, policies and regulations that have been adopted or made public for consultation purposes as a result of programme support.</p>	<p>1.1. Service provider reports and other deliverables, websites, follow-up surveys with service providers</p> <p>1.2. Documentation showing report of infractions by independent monitors. Service provider reports.</p> <p>1.3. Brief follow up survey with service providers, documentation of meetings that is publicly available.</p> <p>1.4. Documentation from the JIC, public information on progress of VPA negotiations, service provider reports, EFI</p> <p>1.5. Service provider reports, brief follow-up surveys with service providers, public information, text/legislations</p>	<p>- FLEGT brings national-level political and economic gains that outweigh national-level costs</p> <p>- Relevant government institutions effectively engage in all formal steps of the VPA process</p>
<p>Output 1.1 Stakeholders have the knowledge, skills and technical information needed to fulfill their role in the VPA process</p>	<p>1.1.1. Number and description of projects where civil society stakeholders were integrated in VPA-related governance processes or platforms.</p> <p>1.1.2. Number and description of projects where private sector representatives were integrated in VPA-related governance processes or platforms.</p> <p>1.1.3. Number and description of workshops or training events per country to develop technical capacities of stakeholder groups to engage effectively in the VPA process.</p>	<p>1.1.1. Service provider reports, documentation from the JIC or some other type of official records</p> <p>1.1.2. Service provider reports, documentation from the JIC or some other type of official records</p> <p>1.1.3. Service provider reports, documentation of trainings delivered by PMU</p> <p>1.1.4. Service provider reports</p>	<p>- Skills training based on needs assessment will improve ability of stakeholders to effectively engage and improve governance and enhance quantity legality-assured timber on international markets</p> <p>- Governments are supportive in integrating civil society and other non-governmental stakeholders in governance processes</p>

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	<p>1.1.4. Number and description of instances where FAO technical support has responded to requests from national stakeholders as framed by JIC priorities.</p> <p>1.1.5. Percentage of women participating in trainings and workshops.</p>	1.1.5. Service provider reports, documentation of trainings delivered by PMU	- It's possible to foster increased participation of women even in regions and sectors that are still very male dominated.
<p>Output 1.2 Measures to increase transparency in the VPA process are successfully implemented</p>	<p>1.2.1. Number and description of independent monitoring processes that have received programme support.</p> <p>1.2.2. Number and description of projects where VPA related information has been made publicly available.</p> <p>1.2.3. Number and description of projects where the Programme has provided capacity building support for information management.</p>	<p>1.2.1. Service provider reports, LoAs with service providers</p> <p>1.2.2. Service provider reports</p> <p>1.2.3. Service provider reports</p>	- Support to independent monitoring organizations and public information processes increases transparency in the overall sector and improves forest governance.
<p>Output 1.3 Forest sector policy and legal frameworks are made more coherent and law enforcement more effective.</p>	<p>1.3.1. Number and description of inter-ministerial coordination beyond the forestry sector for forest law enforcement supported.</p> <p>1.3.2. Number and description of policy and legal framework reviews carried out.</p> <p>1.3.3. Number and description of policies, laws or regulations developed or revised.</p> <p>1.3.4. Number and description of components of the TLAS developed.</p> <p>1.3.5. Number and description of projects where the programme contributed to address the issue of cross-border trade.</p>	<p>1.3.1. Service provider reports, documentation of meetings</p> <p>1.3.2. Service provider reports</p> <p>1.3.3. Service provider reports</p> <p>1.3.4. Service provider reports</p> <p>1.3.5. Service provider reports</p>	<p>- Coordination with law enforcement agencies beyond the forest sector leads to more effective enforcement and eventually more compliance with laws in the sector</p> <p>- A clarified legal framework lead to more compliance with and better enforcement of laws</p> <p>- Successful law enforcement processes are adequate to complement improved governance processes</p>
<p>Output 1.4 Government and private sector put in</p>	1.4.1. Number and description of Programme sponsored learning events on procurement policies	1.4.1. Service provider reports, documentation of events supported directly by PMU	- Increased understanding of the domestic and regional market foster the identification of

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place in VPA countries procurement policies and incentive structures promoting the use of legal wood products.	1.4.2. Number and description of tools or policies for public or private procurement of legal wood developed.	1.4.2. Service provider reports, draft legislations	incentives for legal production and consumption
Outcome 2 Initiatives that support legal production and consumption of timber and better forest sector governance in countries that are not engaged in the VPA process are strengthened	<p>Legal production and consumption:</p> <p>2.1. Number and description of revisions of laws, policies and regulations that have been adopted or made public for consultation purposes.</p> <p>2.2. Number and description of components of traceability, control and verification systems implemented in non-VPA countries following programme support.</p> <p>Improved governance</p> <p>2.3. Number of description forest governance-related multi-stakeholder platforms that have organized meetings during the year following the receipt of programme support.</p> <p>2.4. Number and description of countries where additional funding was leveraged to address issues identified in the country roadmaps.</p>	<p>2.1. Service provider reports, brief follow-up surveys with service providers, public information, list of texts</p> <p>2.2. Service provider reports</p> <p>2.3. Brief follow-up survey with service providers, documentation of meetings that is publicly available</p> <p>2.4. Responsible Programme staff</p>	- Improved governance and more equitable forest management systems will lead to poverty reduction through intelligent design and appropriate regulation
Output 2.1 Priorities for strengthening forest governance in the country are identified through a multi-stakeholder process	<p>2.1.1. Number of situational analyses of forest governance that have been conducted.</p> <p>2.1.2. Number and description of endorsed country roadmaps identifying needs for support in strengthening forest governance that have been developed through a participative process.</p> <p>2.1.3. Percentage of representatives of different stakeholder groups (Women, Private sector and Civil society)</p>	<p>2.1.1. Responsible Programme staff</p> <p>2.1.2. Responsible Programme staff</p> <p>2.1.3. Meeting reports</p>	- Divergent interests can be bridged leading to buy-in from all stakeholder groups

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Output 2.2 Forest sector policy and legal frameworks are made more coherent and effective	2.2.1 Number and description of policy and legal framework reviews carried out. 2.2.2 Number and description of policies, laws, or regulations revised or developed.	2.2.1. Service provider reports 2.2.2. Service provider reports	- Reviews, revisions and development of policies and legal framework leads to more compliance and can be applied by all actors along the supply chain, including SMEs and community actors
Output 2.3 Procedures, tools and strategies are developed for the verification of compliance with forest laws	2.3.1. Number and description of procedures, tools, guidelines or strategies developed to increase compliance with existing forest laws 2.3.2. Number and description of tools for traceability and control of timber production, processing and trade developed in non-VPA countries.	2.3.1. Service provider reports 2.3.2. Service provider reports	- Procedures, tools and guidelines are accessible and can be applied by all stakeholders along the supply chain, including SMEs and community actors.
Output 2.4 Implementation of forest sector governance processes are inclusive and well-coordinated	2.4.1. Number and description of tools or plans to improve forest governance developed by multi-stakeholder initiatives, working groups, dialogue platforms or roundtables. 2.4.2. Number and description of forest governance - related multi-stakeholder platforms that have received programme support. 2.4.3. Percentage of representatives of different stakeholder groups (Women, Private sector, and CS) that have participated in the meetings of the platforms.	2.4.1. Service provider reports 2.4.2. Service provider reports 2.4.3. Service provider reports	- Government is supportive and open to include non-governmental stakeholders in governance processes
Output 2.5 Stakeholders are empowered to participate in processes to promote forest governance and legal timber production and trade procedures	2.5.1. Number and description of tools for community planning, management or monitoring of forests developed. 2.5.2. Number and description of training events to develop capacities of stakeholder groups. 2.5.3. Percentage of women trained in aforementioned events.	2.5.1. Service provider reports 2.5.2. Service provider reports 2.5.3. Service provider reports	- Pressures from more powerful interest groups can be identified and controlled and groups lacking influence will be given support and encouragement to engage

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Output 2.6 Government and private sector put in place in non-VPA countries procurement policies promoting the use of legal wood products.	2.6.1. Number and description of tools or policies promoting, incentivizing or mandating public or private procurement for legal wood developed and/or disseminated. 2.6.2. Number and description of pilot exercises testing key elements of the legal supply chain implemented. 2.6.3. Involvement of MSMEs in the pilot exercises testing components of legal supply chain.	2.6.1. Service provider reports 2.6.2. Service provider reports 2.6.3. Service provider reports	- Increased understanding of domestic and regional markets foster the identification of incentives for legal production and consumption
Outcome 3 The capacity of private sector (particularly MSMEs) to participate in the trade of legal timber has increased	3.1. Increased publicly available information on private sector (including formal/informal) in producer countries. 3.2. Number and description of cases where the Programme has created or improved the enabling conditions for MSMEs. 3.3. Number and description of private sector associations formed or made more sustainable following Programme support.	3.1. Websites and reports by EFI, FAO, other partners 3.2. Service provider reports 3.3. Documentation of meetings, service provider reports	- FLEGT related initiatives foster sufficient incentives for private sector actors at all scales to commit to and engage exclusively in legal trade.
Output 3.1 Private sector composition, incentives, market dynamics and needs are better understood by the Programme in order to direct support more effectively.	3.1.1. Number and description of private sector assessments conducted with programme support including partner initiatives 3.1.2. Number and description of cases where women's role in the forest sector or company gender policies were analysed.	3.1.1. Private sectors assessments 3.1.2. Private sector assessments, gender specific assessments & studies	- A better understanding of the dynamics in the (formal and informal) private sector, including the role of women and women-owned businesses eases the promotion of legality among private actors.
Output 3.2 Private sector stakeholders have the skills to comply with	3.2.1. Number and description of tools or manuals for legal and/or sustainable practices in the timber industry produced. 3.2.2. Number and description of technical training events organized for private sector actors to	3.2.1. Service provider reports 3.2.2. Service provider reports, documentation of training delivered by PMU	- Target groups are interested and willing to attend events and apply tools and manuals. - Tools and manuals are frequently updated according to new laws, policies and regulations.

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legal frameworks and access markets	engage in legal and/or sustainable timber production, processing or trade. 3.2.3. Composition of stakeholders in training events support by the Programme (% women, % MSMEs).	3.2.3. Service provider reports, documentation of training delivered by PMU	- Availability of tools and manuals increases compliance in the private sector.
Output 3.3 Policies and legal frameworks are reviewed and revised to promote fair access to forest resources	3.3.1. Number and description of procurement policies supported by the Programme and partner initiatives.	3.3.1. Service provider reports	- Equitable access to resources in the private sector will increase incentives for legality
Output 3.4 Private sector stakeholders are empowered to self-organize and to participate in governance processes	3.4.1. Number and description of knowledge sharing events among private sector associations regarding position and benefits to members. 3.4.2. Number and description of funding requests received from private sector associations.	3.4.1. Service provider reports 3.4.2. Programme statistics on PS- funding requests	- There is sufficient outreach to represent the majority of private sector voices. SMEs in some economies do not develop beyond subsistence level due to a lack of capital and/or no ownership stake in the capital or the business.
Output 3.5 Synergies between VPA and private sector initiatives promoted by facilitating (at national level) or ensuring (at regional level) better coordination of related processes and support programmes.	3.5.1. Number and description of Programme-supported projects that promote or test elements of integration of private certification in TLAS design. 3.5.2. Number and description of on-going processes in VPA and non-VPA countries that explicitly recognize synergies with voluntary initiatives in the private sector. 3.5.3. Number and description of documented lessons learned about synergies of voluntary private sector initiatives and utilization in national governance procedures across all regions.	3.5.1. Service provider reports 3.5.2. Service provider reports 3.5.3. Service provider reports, events supported by the PMU, documentation of events	- Complementarity of certification schemes leads to reduced verification demands and better streamlining of TLAS

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Outcome 4 Stakeholders in both consumer and producer countries demonstrate an improved knowledge of benefits from legal logging, international trade requirements and of best practices for forest law enforcement, governance and trade.	4.1. Number and description of cases of improved dialogue between major timber consumer countries. 4.2. Number and description of cases where the work of the Programme has been mentioned in media and other publicly available information.	4.1. Documentation of multi-lateral dialogues, agreements made public. 4.2. Statistics of the outreach team of forestry department, service provider reports, media.	- Improved information to stakeholders, exchange between stakeholders (including supply and demand side) will improve uptake of best practices etc.
Output 4.1 Country-level FLEGT-related stakeholders develop and implement FLEGT-related communication plans.	4.1.1. Number and description of communication strategy actions and awareness raising campaigns.	4.1.1. Service provider reports	- FLEGT/VPA will have an accelerated uptake if country stakeholders, media houses and the general public understand the process and benefits more clearly
Output 4.2 FLEGT-related information, knowledge and experiences effectively collected, analyzed and shared at national, regional and global level.	4.2.1. Number and description of publications (reports, briefing notes, or other) produced. 4.2.2. Number and description of international events supported by the Programme 4.2.3. Number and description of visibility actions (news articles, TV/Radio-shows etc.).	4.2.1. Service provider reports, publications by PMU 4.2.2. Service provider reports, documentation of events supported by the PMU 4.2.3. Service provider reports, visibility actions by the PMU	- Information is produced in appropriate formats specifically designed for the target audiences
Output 4.3 Experience on national timber Traceability,	4.3.1. Number and description of regional events including technical exchanges on TCV systems organized.	4.3.1 Service provider reports, documentation of events supported by PMU	- Information on experience with TCV systems encourages and helps stakeholders to design

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Control and Verification (TCV) systems consolidated and communicated especially at regional level	4.3.2. Number and description of studies produced which address issues of traceability, control and verification systems	4.3.2. Service provider reports, studies developed by PMU	effective and efficient systems that are applicable to all operators, including SMEs
Output 4.4 Improved multilateral dialogue is facilitated between major timber products markets, notably the EU, US, Japan, Australia, Korea, India, Brazil and China on the problem of imports of illegally sourced wood products.	4.4.1. Number and description of documents (research, publications, information sharing) to enhance understanding of global timber trade flows, existing demand side measures and their effectiveness, produced. 4.4.2. Number and description of international events with key consumer countries representatives, aimed at identifying global challenges and potential multi-lateral responses.	4.4.1. Documents produced with PMU support, service provider reports 4.4.2. Documentation of the events supported by the PMU	- Increased knowledge of consumer driven incentives lead global supply towards legal, and ultimately sustainable practices
Outcome 5 The progress, achievements and impacts of the FLEGT action plan are better understood and information is made available through updated, robust and user-friendly information system.	5.1. A monitoring framework is available that contains information on progress, achievements and impacts from FLEGT on global level 5.2. Number and description of VPA impact monitoring components developed with Programme support that were integrated in VPA impact monitoring frameworks.	5.1. EC documentation and reports 5.2. Service provider reports, documentation from JIC meetings	- The understanding of the impact of the FLEGT Action Plan, including VPAs in particular, lead to improved implementation on global and county level, both on demand and supply side.
Output 5.1 Robust indicators to monitor the overall impact of the FLEGT	5.1.1. Number and description of contributions by the FAO FLEGT Programme that have been incorporated in the Theory of Change of the FLEGT-AP	5.1.1. Documentation of meetings and consultation processes, communication with CIFOR and the EC.	- Tested indicators are validated by key stakeholders

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action Plan are defined and tested; monitoring of progress against indicators is conducted at global level.			- Part of the indicators designed for global impact monitoring can be adapted to local contexts
Output 5.2 Support to national level impact monitoring of VPAs is provided.	5.2.1. Number and description of support provided by the Programme to components of the VPA impact monitoring frameworks. 5.2.2. Number and description of knowledge sharing events within and between countries on best practices of impact monitoring systems.	5.2.1. Service provider reports 5.2.2. Service provider reports, documentation of events supported directly by PMU.	- Frameworks for national impact monitoring are developed through consensus
Outcome 6 Increased technical and institutional capacities of Service Providers	6.1 Number of Local CSOs and Private Sector Organizations securing further funding after project implementation 6.2 % of projects resulting in outcomes actively sustained by their implementing grantees 6.3 % of grantees with significant capacity improvement	6.1 / 6.2 / 6.3. Programme mid-term and closing evaluations / due diligence forms for grantees with repeated projects/ FORIS database monitoring section and management/financial evaluations	- Willingness of SPs to collaborate with PMU - Political contexts allowing the sustainability of project outcomes
Output 6.1 Adequate capacity building in project management, and operational backstopping is delivered to service providers	6.1.1. % of service providers having received training in project management 6.1.2. % of trained Service Providers demonstrating increased management capacities	6.1.1. PMU Training reports (with attendance lists) 6.1.2. Post-training test results / FORIS database monitoring section and management/ financial evaluations	- Sufficient basic management skills of participants to the trainings - Sufficient due diligence documentation provided by grantees
Output 6.2 Efficient technical backstopping and	6.2.1. % of projects outputs delivered and target indicators reached	6.2.1 Final reports of projects, in particular the "results" section	- Sufficient awareness and capacity of SP to finalize outputs and collect indicators data

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monitoring is provided to grantees	6.2.2 % of projects with positive technical evaluations 6.2.3 % of projects having received on-site technical backstopping	6.2.2. Final reports of the projects, in particular the monitoring section, Monitoring and Evaluation reports 6.2.3 Project reports / PMU mission reports/ Surveys	
Output 6.3 Programme communication increases service providers' visibility and fosters South-South cooperation	6.3.1. Number and type of grantees products (publications, reports, documentaries etc.) published 6.3.2 Number of success stories from projects leveraged for replication 6.3.3. Number of south-south coalitions/ initiatives	6.3.1. Programme website, FAO website and social networks platforms / Service providers website and social media 6.3.2. & 6.3.3. Programme bi-annual reports / project reports/ mid-term and closing evaluations / Surveys / Programme statistics on south-south funding requests	- Efficient transmission of data by the SPs - Sufficient quality of the material produced - Efficient information sharing between all stakeholders

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