

Evaluation

Finnish Support to Forestry and Biological Resources

MAIN REPORT



Evaluation report 2010:5/1

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MINISTRY FOR FOREIGN AFFAIRS OF FINLAND

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PREFACE

The current evaluation examined the development cooperation of Finland in the forestry and biological resources sector during the last decade. The evaluation was carried out as part of a wider umbrella evaluation dealing with the sustainability dimension and poverty reduction. In addition to the document research the evaluation included a comprehensive field study phase. It included six principal partner countries of Finland, namely Kenya, Mozambique, Nicaragua, Tanzania, Vietnam, and Zambia as well as Peoples' Republic of Laos and regional cooperation in Central America and in the Western Balkans region. The scope of the evaluation was from the international and the EU policy levels to individual development intervention level in the cooperating countries.

The main message of the report is positive, although the impacts of interventions on poverty reduction were less discernible. On the other hand, the report points out that at the local level progress was good. The report also states that Finland has been able to contribute markedly to the international debate on forests and their significance in combating and mitigating the effects of climate change, in the sustainable forest management and many other areas of forestry.

This evaluation was carried out by an international team gathered together by LTS International from the UK. Interesting was that the team leader of this evaluation had been leading also the earlier evaluation on the same topic about a decade ago.

The evaluation report is divided into two volumes so that volume I constitutes the main report and volume II the country specific reports. The evaluation gives a number of interesting and important recommendations and lessons learned to benefit future planning in the forestry and biological resources sector.

Helsinki, 4 December 2010

Aira Päivöke
Director
Evaluation of Development Cooperation

ACRONYMS

ABS	Access and Benefit-Sharing
ADB	Asian Development Bank
AHTEG	Ad Hoc Technical Expert Group on Biodiversity and Climate Change
AIDS	Acquired immune deficiency syndrome
CAPFOR	Capacity Building in Forest Management
CATIE	Centro Agronómico Tropical de Investigación y Enseñanza
CBD	Convention on Biological Diversity
CDF	Community Development Fund
CDM	Clean Development Mechanism
CFM	Collaborative Forest Management
CGIAR	Consultative Group on International Agricultural Research
CIFOR	Centre for International Forestry Research
CITES	Convention on International Trade in Endangered Species
COP-8	eighth meeting of the Conference of the Parties to the Convention on Biological Diversity
DANIDA	Danish international development agency
DF	Department of Forests
DFID	UK Department For International Development
EA	Ecosystem Approach
EFI	European Forest Institute
EQ	Evaluation Question
EU	European Union
EU FLEGT	Forest Law Enforcement, Governance and Trade
EUR	EURO
EVA-11	Development Evaluation Office of the Ministry for Foreign Affairs of Finland
FAO	Food and Agriculture Organisation
FBD	Forestry and Beekeeping Division
FCPF	Forest Carbon Partnership Facility
FINNIDA	Finnish International Development Agency
FORMACOP	Forest Management and Conservation Programme
FOMIS	Forest Sector Monitoring Information System
FOPER	Forest Policy, Economics, Education and Research
FORIG	Forest Research Institute of Ghana
FRA	Forest Resources Assessment
FSC	Forest Stewardship Council
FSDS	Forest Sector Development Strategy
FSSP	Forest Sector Support and Partnership Program
GDP	Gross Domestic Product
GEF	Global Environment Facility
GFC	Ghana Forestry Commission

GHG	Greenhouse Gases
GIS	Geographical Information System
GoF	Government of Finland
GoK	Government of Kenya
GoL	Government of Laos
GoV	Government of Vietnam
GRZ	Government of the Republic of Zambia
HIV	Human immunodeficiency virus
IPCC	Intergovernmental Panel on Climate Change
ILUA	Integrated Land Use Assessment
ISDR	International Strategy for Disaster Reduction
ITTO (ITTA)	International Tropical Timber Organisation (Agreement)
IUCN	International Union for Conservation of Nature
IUFRO	International Union of Forestry Research Organisations
IYDD	International Year on Deserts and Desertification (2006)
JFM	Joint Forest Management
JICA	Japan International Cooperation Agency
JPFM	Joint Participatory Forest Management Programme
KFS	Kenya Forest Service
LUX-DEX	Luxembourg Agency for Development Cooperation
M&E	Monitoring and Evaluation
MAF	Ministry of Agriculture and Forestry
MAP-FINNFOR	Forests and Forest Management in Central America Project
MARD	Ministry of Agriculture and Rural Development
MCPFE	The Ministerial Conference on the Protection of Forests in Europe (Forests Europe)
MDG	Millennium Development Goal
MDTFF	Multi-Donor Trust Fund for Forests
MEA	Multilateral Environment Agreement
METLA	Finnish Forestry Research Institute
MFA	Ministry for Foreign Affairs of Finland
MFA-HQ	Ministry for Foreign Affairs of Finland - Headquarters
MFW	Ministry of Forestry and Wildlife
MM	Mama Mimitu Advocacy Campaign Project
MMMB	Miti Mingi Maisha Bora
MNRT	Ministry of Natural Resources and Tourism
MRV	Monitoring, Reporting and Verification
MSPNDV2030	Ministry of State for Planning, National Development and Vision 2030
MTENR	Ministry of Tourism, Environment and Natural Resources
MTR	Mid-Term Review
NAFES	National Agriculture and Forestry Extension Service
NAFOBEDA	National Forestry and Beekeeping Database
NAFORMA	National Forestry Resources Monitoring and Assessment

NFBKP	National Forest and Beekeeping Programme
NFMA	National Forest Monitoring and Assessment Programme
NFP	National Forest Programme
NFP–CUSP	National Forest Programme – Coordination Support
NFP–ISP	National Forest Programme – Implementation Support
NFPF	National Forest Programme Facility
NGO	Non-Governmental Organisation
NTFP	Non-timber forest product
ODA	Official Development Assistance
OECD	Organisation for Economic Cooperation and Development
PERFOR	Central American Regional Forestry Strategy
PFA	Production Forest Areas
PFAP	Provincial Forestry Action Programme
PFM	Participatory Forest Management
PROAGRI	National Agricultural Project
PROCAFOR	Central American Forestry Programme
PRODEZA	Support to Rural development in Zambezia Province
PRORURAL	Agriculture and Rural Development Sectoral Programme
PRSP	Poverty Reduction Strategy Paper
REDD	Reducing Emissions from Deforestation and Forest Degradation
SADC	Southern African Development Community
SBSTTA	Subsidiary Body on Scientific, Technical and Technological Advice
SCP	Sustainable Consumption and Production
SFM	Sustainable Forest Management
SFRM	Sustainable Forest Resource Management Programme
SME	Small/Medium sized Enterprise
SPGS	Sawlog Production Grant Scheme
SUFORD	Sustainable Forestry and Rural Development
SUNAFOP	Support to the National Forestry Project
TA	Technical Assistance
TFF	Trust Fund for Forests
TFRK	Traditional forest-related knowledge
ToR	Terms of Reference
TRAFFIC	WWF and IUCN wildlife trade monitoring network
UM	Ulkoasiainministeriö
UN	United Nations
UNCCD	United Nations Convention to Combat Desertification
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNFF	United Nations Forum on Forests
UN-REDD	United Nations - Reducing Emissions from Deforestation and Forest Degradation
UNCSD	United Nations Commission on Sustainable Development
USAID	United States Agency for International Development

US\$	United States Dollar
VDF	Village Development Fund
VFFP	Vietnam Finland Forestry Sector Co-operation Programme
VITRI	Viikki Tropical Resources Institute
WB	World Bank
WGRI	Working Group on the Review of Implementation
WMO	World Meteorological Organisation

Evaluointi Suomen Kehitysyhteistyöstä Metsien ja biologisten Luonnonvarojen Sektorille

Patrick Hardcastle, Alex Forbes, Irene Karani ja Kaisu Tuominen sekä Jim Sandom, Robert Murtland, Vera Müller-Plantenberg ja Deborah Davenport

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TIIVISTELMÄ

Suomen metsäsektorille ja biologisiin luonnonvaroihin kohdistuvan kehitysyhteistyön evaluoinnin tavoitteena on tarkastella kehitysyhteistyön tehokkuutta ja tuloksia kestävä kehityksen kolmen ulottuvuuden kautta. Evaluointi on osa laajempaa synteesi-evaluointia kestävä kehityksen ja köyhyyden välisistä suhteista. Evaluointi perustuu toimeksiannon kymmeneen evaluointikysymykseen, joita on tarkasteltu Taloudellisen Yhteistyön ja Kehityksen Järjestön (OECD) evaluaatiokriteerin (tarkoituksenmukaisuus, tehokkuus, tuloksellisuus, kestävyys ja vaikutukset) sekä sovittujen lisäkriteerien (suomalainen lisäarvo, johdonmukaisuus, asiainyhteys, koordinaatio ja täydentävyys) kautta. Työ toteutettiin kahdessa vaiheessa, aineistotutkimuksena ja kenttävaiheena, joka koordinoitiin samanaikaisesti toteutettujen energiasektorin ja kirkotukiluottojen evaluointien kanssa.

Tässä evaluoinnissa on tarkasteltu Suomen metsäalan kehitysyhteistyötä kuudessa Suomen pitkäaikaisessa yhteistyömaassa (Kenia, Mosambik, Tansania, Sambia, Vietnam ja Nicaragua), kahdenvälistä yhteistyötä Laosissa ja alueellista yhteistyötä Keski-Amerikassa ja Länsi-Balkanilla. Evaluointi totesi vähän myönteisiä tuloksia ja vaikutuksia köyhyyden vähenemisessä. Yhteiskunnallisen ulottuvuuden vahvistamisessa on edistytty suhteellisen hyvin ja jossain määrin myös ympäristöulottuvuuden osalta. Todelliset taloudelliset hyödyt ovat kuitenkin olleet melko rajallisia. Paikallistasolla on saavutettu hyviä tuloksia, mutta kansallisella tasolla muutokset ovat vähäisempiä. Vaikka Kehityspoliittisen metsälinjauksen soveltaminen on ilmeistä viimeaikaisessa yhteistyössä, on vielä liian aikaista nähdä merkittäviä todellisia vaikutuksia. Metsälinjaus tarjoaa kuitenkin vahvan pohjan.

Raportti suosittelee interventioiden suunnitteluvaiheen vahvistamista siten, että siihen osallistuvat monialaiset asiantuntijaryhmät jo identifikaatio- ja toteutettavuuden arviointivaiheissa kentällä ja Ulkoasiainministeriössä Helsingissä, jotta läpileikkaavien

teemojen käsittely ja kansallinen, eri tasojen kapasiteetin arviointi voitaisiin varmistaa. Tapauksissa, joissa yhteistyömaiden hallitusten epäonnistuminen sitoumustensa toteuttamisessa haittaa hankkeiden etenemistä ja tuloksia, tulee harkita vaihtoehtoisia, muutokseen pakottavia järjestelmiä. Maissa, joissa sektorien välinen koordinointi on heikkoa ja tietojärjestelmät puutteellisia, tulee ottaa käyttöön paremmat tietojärjestelmät hyödyntäen suomalaista kansallista osaamista. Raportti suosittelee myös ulkoasiainministeriön arkistointijärjestelmän arviointia Helsingissä sekä konsulttitoimistoihin kertyvän dokumentoinnin parempaa hyödyntämistä.

Avainsanat: metsäsektorin kehitysyhteistyö, biologiset resurssit, kestävä metsätalous, köyhyden vähentäminen, läpileikkaavat teemat

Utvärdering av Finlands Utvecklingsarbete inom Skogsbruk och Biologiska Resurser

*Patrick Hardcastle, Alex Forbes, Irene Karani och Kaisu Tuominen samt Jim Sandom,
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ABSTRAKT

Syftet med denna utvärdering av Finlands utvecklingssamarbete inom skogsbruk och biologiska resurser, som ingår i en större utvärdering av hållbarhetsdimensionen i fattigdomsbekämpningen, är att bedöma hur prestationerna och resultaten i samarbetet stöder de tre dimensionerna i hållbar utveckling. Utvärderingsmetodiken grundade sig på tio utvärderingsfrågor inom ramen för OECD:s utvärderingskriterier (relevans, effektivitet, hållbarhet och effekt) tillsammans med andra överenskomna kriterier (finländskt mervärde, koherens, anknytning, samordning och komplementaritet). Utvärderingen bestod av två delar: en inledande teoretisk studie och en påföljande fältfas. Båda samordnades med de samtidigt genomförda utvärderingarna av energisektorn och förmånliga krediter. Granskningen omfattar Finlands insatser i skogsprogrammets sex långsiktiga partnerländer (Kenya, Moçambique, Tanzania, Zambia, Vietnam och Nicaragua) och i Laos samt regionala insatser i Centralamerika och på västra Balkan.

När det gäller positiva resultat och skogsbrukets bidrag till minskad fattigdom var resultaten något av en besvikelse. Det har gjorts relativt goda framsteg i arbetet med att stärka den sociala dimensionen och i viss mån även på miljösidan. De konkreta ekonomiska fördelarna har dock varit ganska begränsade. I de flesta partnerländerna har den totala effekten och förändringarna varit relativt begränsade med goda resultat på lokal nivå och något mindre förändringar på nationell nivå. Det är uppenbart att de utvecklingspolitiska riktlinjerna för skogssektorn har tillämpats vid de senaste insatserna, men det är ännu för tidigt att kunna se konkreta effekter. Riktlinjerna ger dock en god grund för arbetet.

Utvärderingen rekommenderar en förstärkning av insatsplaneringen genom att tvärvetenskapliga team bildas för identifiering och bedömning av insatserna samt att tvärvetenskapliga grupper vid Utrikesministeriet i Helsingfors involveras. Dessa arbets-

grupper skulle på ett bättre sätt kunna hantera genomgående teman och underlätta bedömningen av den nationella kapaciteten på alla nivåer. I de fall där regeringarna i partnerländerna underlåtit att uppfylla sina åtaganden och detta äventyrar framstegen och resultaten i insatserna måste alternativa system som kan påtvinga förändringar övervägas. Informationssystemen måste förbättras genom att nationell expertis i Finland utnyttjas när den sektorsövergripande samordningen är svag eller informationssystem saknas så att de nödvändiga förbättringarna kan genomföras. I en annan rekommendation föreslås en översyn av ministeriets arkivsystem och att dokumentation som sparats av konsultföretag utnyttjas bättre.

Nyckelord: utvecklingsamarbete, skogssektorn, biologiska resurser, hållbart skogsbruk, fattigdomsbekämpning, genomgående teman

Evaluation of Finnish Support to Forestry and Biological Resources

Patrick Hardcastle, Alex Forbes, Irene Karani and Kaisu Tuominen with contributions from Jim Sandom, Robert Murtland, Vera Müller-Plantenberg, and Deborah Davenport

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ABSTRACT

The evaluation of Finnish Support to Forestry and Biological Resources, as part of the wider evaluation of the Sustainability Dimension in Addressing Poverty Reduction, aims to assess the performance and outcomes in terms of contribution to the three dimensions of sustainable development. The evaluation methodology consisted of applying ten evaluation questions within the context of the Organisation for Economic Cooperation and Development (OECD) evaluation criteria (relevance, efficiency, effectiveness, sustainability and impact) along with other agreed criteria (Finnish added value, coherence, connected-ness, coordination and complementarity). The evaluation consisted of two parts: an initial desk study and a subsequent field phase; and both were coordinated with simultaneous evaluations looking at the energy sector and concessional credits. The portfolio of forestry programme interventions reviewed included those in six long-term partner countries of Finland (Kenya, Mozambique, Tanzania, Zambia, Vietnam and Nicaragua) as well as Laos, and regional interventions in Central America and the Western Balkans.

The findings are somewhat disappointing in terms of positive outcomes and impact in respect to forestry contributing to poverty reduction. There has been relatively good progress with strengthening the social pillar and to some extent on the environmental side while tangible economic benefits have been rather limited. In most partner countries the overall impact and changes have also been relatively restricted in extent, with good results at local level but somewhat less change at national levels. Although the application of the Development Policy Guidelines for Forest Sector of the Ministry for Foreign Affairs of Finland (MFA) is evident in recent interventions, it is too early to see marked effect although the Guidelines provide a very sound basis on which to work.

Main recommendations relate to strengthening intervention designs through fielding multi-disciplinary teams at identification and appraisal, and also involving multi-disciplinary teams in MFA Headquarters, in order to address cross-cutting issues and assessment of national capacity at all levels. In cases where partner governments failure to undertake their commitments are prejudicing the progress and outcomes of interventions than alternative systems that force change need to be considered. Improved information systems need to be put in place where cross-sectoral coordination is poor and information systems lacking by using Finnish national expertise to provide improvements. A review of the archive systems at the Ministry and better use made of documentation retained by consulting companies are recommended.

Key words: forest sector development cooperation, biological resources, sustainable forest management, poverty reduction, cross-cutting themes

Evaluación del Programa Finlandés de Apoyo a los Recursos Biológicos y Forestales

Patrick Hardcastle, Alex Forbes, Irene Karani y Kaisu Tuominen con aportaciones de Jim Sandom, Robert Murtland, Vera Müller-Plantenberg y Deborah Davenport

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RESUMEN

La evaluación del Programa Finlandés de Apoyo a los Recursos Biológicos y Forestales forma parte de un informe valorativo más amplio dedicado a evaluar la importancia de la sostenibilidad en la lucha contra la pobreza, y su objetivo es valorar sus resultados y su contribución a las tres dimensiones del desarrollo sostenible.

La metodología de evaluación consiste en aplicar diez preguntas relacionadas con los criterios de evaluación de la OCDE (relevancia, eficiencia, efectividad, sostenibilidad e impacto) y con otros criterios aprobados (valor añadido que aporta Finlandia, coherencia, conexión, coordinación y complementariedad). La evaluación se divide en dos partes: un estudio teórico inicial y el posterior trabajo de campo. Ambas se han coordinado con evaluaciones simultáneas centradas en el sector energético y los préstamos en condiciones favorables. Las intervenciones enmarcadas en el programa forestal objeto de estudio incluyen las realizadas en seis países socios de Finlandia a largo plazo (Kenia, Mozambique, Tanzania, Zambia, Vietnam y Nicaragua), además de las acometidas en Laos y de las intervenciones regionales en Centroamérica y en la zona occidental de los Balcanes.

Por lo que respecta a los resultados positivos y a la repercusión en los recursos forestales y su contribución a la reducción de la pobreza, las conclusiones son en cierto modo decepcionantes. Se ha producido un avance notable en el refuerzo del pilar social y, en cierta medida, en el ámbito medioambiental. No obstante, los beneficios económicos tangibles han sido bastante limitados. En la mayoría de los países socios, tanto la repercusión global como los cambios han tenido un efecto restringido y aunque los resultados locales han sido buenos, la transformación a escala nacional ha sido menor. A pesar de que la aplicación de las Directrices para el Sector Forestal del Ministerio de Asuntos Exteriores de Finlandia es evidente en las últimas intervenciones, es

demasiado pronto para constatar un efecto marcado. Aunque estas directrices proporcionan sin duda una buena base sobre la que trabajar.

La evaluación recomienda incidir en el objetivo de las intervenciones creando equipos multidisciplinares dedicados a la identificación y la valoración, e implicando a equipos multidisciplinares en la sede del Ministerio de Asuntos Exteriores. Estos equipos podrían abordar de un modo más eficaz los aspectos multisectoriales y contribuir a analizar la capacidad nacional a todos los niveles. En los casos en los que la incapacidad de los Gobiernos socios a la hora de cumplir sus compromisos perjudica el avance y los resultados de las intervenciones, es necesario estudiar sistemas alternativos que fuercen el cambio. Es preciso implementar mejores sistemas de información cuando la coordinación intersectorial es escasa y los sistemas de información son deficientes. Para lograr las mejoras necesarias se utilizará la experiencia adquirida en Finlandia a escala nacional. Otra recomendación es revisar el sistema de archivos del Ministerio y hacer un mejor uso de la documentación que conservan las empresas asesoras.

Palabras clave: cooperación en el desarrollo del sector forestal, recursos biológicos, gestión forestal sostenible, reducción de la pobreza, aspectos multisectoriales

Avaliação do Apoio Finlandês aos Recursos Florestais e Biológicos

Patrick Hardcastle, Alex Forbes, Irene Karani e Kaisu Tuominen, com a colaboração de Jim Sandom, Robert Murtland, Vera Müller-Plantenberg e Deborah Davenport

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SINOPSE

A avaliação do Apoio Finlandês aos Recursos Florestais e Biológicos, como parte da avaliação mais alargada das Dimensões da Sustentabilidade na Abordagem de Redução da Pobreza, tem como objectivo analisar o desempenho e os resultados em termos de contributo para as três dimensões do desenvolvimento sustentável.

A metodologia de avaliação consistiu na aplicação de dez perguntas de avaliação, no âmbito dos critérios de avaliação da OCDE (relevância, eficiência, eficácia, sustentabilidade e impacto), bem como de outros critérios acordados (valor acrescentado finlandês, coerência, conexão, coordenação e complementaridade). A avaliação consistiu em duas partes: um estudo teórico inicial e uma fase de trabalho de campo posterior. Ambos foram coordenados com avaliações simultâneas que examinaram o sector da energia e os créditos concessionais. O conjunto de intervenções revistas do programa florestal incluíram seis países que são parceiros de longa data da Finlândia (Quênia, Moçambique, Tanzânia, Zâmbia, Vietname e Nicarágua), bem como o Laos e intervenções regionais na América Central e nos Balcãs Ocidentais.

Em termos de resultados positivos e do impacto no contributo florestal para a redução da pobreza, as constatações são algo decepcionantes. Registou-se uma evolução relativamente positiva no reforço do pilar social e, até certo ponto, no sector ambiental. No entanto, os benefícios económicos tangíveis foram extremamente limitados. Na maioria dos países parceiros, o impacto e as alterações globais também foram relativamente limitados, apresentando bons resultados ao nível local mas menos visíveis ao nível nacional. Embora a aplicação das Orientações da Política para o Sector Florestal do Ministério dos Negócios Estrangeiros da Finlândia (Ministério) seja evidente em intervenções recentes, é muito cedo para constatar um efeito assinalável. Contudo, as Orientações proporcionam uma base de trabalho sólida.

A avaliação recomenda projectos de intervenção de reforço através do recrutamento de equipas multidisciplinares, para as áreas da identificação e apreciação, bem como através do envolvimento de equipas multidisciplinares nas instalações do MNE. Estas equipas poderão resolver questões transversais de uma forma mais adequada, assim como ajudar na avaliação da capacidade nacional a todos os níveis. Nos casos em que o incumprimento dos compromissos dos governos parceiros estiver a prejudicar a evolução e os resultados das intervenções, será necessário tomar em consideração sistemas alternativos que forcem mudanças. Será necessário implementar sistemas de informação melhorados nos casos em que a coordenação intersectorial é deficiente e os sistemas de informação são insuficientes, utilizando os conhecimentos da Finlândia ao nível nacional para introduzir as melhorias necessárias. Uma outra recomendação propõe uma revisão dos sistemas de arquivo do Ministério e uma melhor utilização da documentação na posse de empresas de consultoria.

Palavras-chave: cooperação no desenvolvimento do sector florestal, recursos biológicos, gestão florestal sustentável, redução da pobreza, temas transversais

YHTEENVETO

Suomen Ulkoasiainministeriön (UM) Kehitysyhteistyön evaluointi (EVA-11) on tilannut evaluoinnin kestäväen kehityksen lähestymistavan ja köyhyyden vähentämisen tavoitteen välisestä suhteesta Suomen kehitysyhteistyössä. Synteesievaluoinnin tavoitteena on määrittää kuinka taloudellisesti, luonnontaloudellisesti ja yhteiskunnallisesti kestäväen kehityksen lähestymistapa on edistänyt Suomen kehityspolitiikan päätavoitteen eli köyhyyden vähentämisen päämäärää. Osana laajempaa synteesievaluointia toteutettiin Suomen metsä- ja biologisten luonnonvarain sektorien kehitysyhteistyön evaluointi, jonka tarkoituksena oli tarkastella Suomen vuosina 2000–2010 toteuttaman metsäsektorin ja biologisten luonnonvarain alueen kehitysyhteistyön tehokkuutta ja tuloksia kestäväen kehityksen kolmen ulottuvuuden suhteen.

Suomen Kehityspoliittinen ohjelma vuodelta 2007 painottaa kestäväen kehitystä ja köyhyyden vähentämistä. Ohjelman toiminnallistamiseksi metsäsektorilla julkaistiin vuonna 2009 Kehityspoliittinen metsälinjaus, jonka tavoitteena on kestäväen metsätalouden edellytysten vahvistaminen ja siten oikeudenmukainen taloudellinen kasvu, köyhyyden vähentäminen ja ympäristöuhkien torjunta.

Käsillä oleva evaluointi toteutettiin samanaikaisesti energiasektorin ja korkotuki- luottojen evaluointien kanssa. Työ tapahtui kahdessa vaiheessa: aineistotutkimuksena ja sitä seuranneena kenttävaiheena. Evaluointi perustuu toimeksiannon kymmeneen evaluointikysymykseen, joita on tarkasteltu Taloudellisen Yhteistyön ja Kehityksen järjestön (Organisation for Economic Co-operation and Development, OECD) kehitysapukomitean (Development Assistance Committee, DAC) viiden evaluointikriteerin (tarkoituksenmukaisuus, tehokkuus, tuloksellisuus, kestävyys ja vaikutukset) sekä sovittujen lisäkriteerien (suomalaisen lisäarvo, johdonmukaisuus, asiainyhteys, koordinaatio ja täydentävyys) suhteen.

Evaluoinnissa on tarkasteltu Suomen metsäsektorin kehitysyhteistyötä kuudessa Suomen pitkä-aikaisessa yhteistyömaassa (Kenia, Mosambik, Tansania, Sambia, Vietnam ja Nicaragua), kahdenvälistä yhteistyötä Laosissa ja alueellista yhteistyötä Keski-Amerikassa ja Länsi-Balkanilla. Lisäksi tarkasteltiin lyhyesti Suomen monenkeskistä yhteistyötä. Biologiin luonnonvaroihin kohdistuneen kehitysyhteistyön evaluointi rajoittui tarkasteltuihin pääkohdemaihin ja kansainväliseen kontekstiin.

Huolimatta rahoituksen ja panostuksen yleisestä tasosta, evaluoinnin löydökset myönteisistä tuloksista ja vaikutuksista köyhyyden vähenemiseen ovat vähäiset. Yhteiskunnallisen ulottuvuuden vahvistamisessa on edistytty suhteellisen hyvin ja jossain määrin myös ympäristöulottuvuuden osalta. Todelliset taloudelliset hyödyt ovat kuitenkin olleet melko rajallisia. Useimmissa yhteistyömaissa yleiset vaikutukset ja muutokset ovat olleet laajuudeltaan melko rajallisia. Paikallistasolla on saavutettu hyviä tuloksia, mutta kansallisella tasolla muutokset ovat vähäisempiä.

Rajallinen vaikutus köyhyyden vähentämiseen voi osin johtua lähtötason tiedon ja indikaattoreihin perustuvan seurantatiedon puutteesta. Väestö on kasvanut, metsäpinta-ala vähentynyt ja metsien laatu heikentynyt huomattavasti kaikissa Suomen pääyhteistyömaissa. Nämä tekijät lisäävät tuottavuuden lisäämisen merkitystä, mikäli jäljellä olevia metsiä halutaan kohdentaa köyhyyden vähentämiseen. Kaksi omaksuttua

päästrategiaa köyhyden vähentämiseksi ovat luonnonmetsien yhteishallinta, toimeentuloa varten Afrikassa ja tuotantoa varten Laosissa ja Keski-Amerikassa, ja istutusmetsät, joita kohtaan on yhä kasvavaa mielenkiintoa lähes kaikissa yhteistyömaissa.

Vaikka yhteiskunnallisen kehityksen osalta on saavutettu hyvää edistystä ja jossain määrin ympäristönsuojelussakin, huono taloudellinen tehokkuus uhkaa heikentää saavutettua edistystä. Poliittikatason ongelmat liittyvät valtion keräämiin liiallisiin tuotto-osuuksiin, lainmukaisten tuoton jakamismekanismien puutteeseen sekä rajalliseen tai täysin puuttuvaan uudelleeninvestointiin resurssipohjan ylläpitämiseen. Näitä ongelmia pahentaa useiden yhteistyömaiden heikentynyt tekninen osaaminen ja rajallinen kapasiteetti, etenkin Afrikassa. Kaikki pääyhteistyömaat ovat tuoneet julki sitoutumisensa kestävänsä metsätalouden päämäärään, jota Suomi on tukenut vahvasti hallitustenvälisissä prosesseissa ja korostanut erityisesti viimeaikaisessa yhteistyössä. Kestävän metsätalouden saavuttamista estävät tekniset ja kapasiteetin rajoitteet, jotka täytyy tunnistaa ja voittaa. Kestävän metsätalouden osalta on edistytty parhaiten Länsi-Balkanilla.

Monet tarkastelluista interventioista ovat edistäneet metsien yhteishallintaa, jota on kokeiltu erilaisissa tilanteissa ja erilaisin lähestymistavoin. Näitä kokeiluja, joista monet ovat menestyneet paikallisesti, ei ole tähän mennessä onnistuttu laajentamaan hyötyjen ja uudelleeninvestointien mahdollistamiseksi. Laajemmat hyödyt edellyttävät koordinoituja toimia niin poliittika- kuin kenttätasollakin. Jos muutos ei tapahdu nopeasti, menetetään yhteisöjen mielenkiinto. Mikäli rajoitteet voidaan ylittää, yhteishallinta sisältää huomattavan potentiaalin köyhyden vähentämiseksi taloudellisen kasvun edistämiseksi.

Kaikissa Afrikan yhteistyömaissa resurssipohjan ylläpitämiseen on kiinnitetty rajallisesti huomiota. Muutamia tarkoituksenmukaisia hallintasuunnitelmia on olemassa, mutta tarjotut hallintavaihtoehdot ovat usein riittämättömiä johtuen heikosta tietämyksestä ja siitä, ettei sidosryhmien tarpeita ymmärretä. Muilla alueilla suunnittelu on ollut onnistuneempaa ja joitakin hyötyjä on saavutettu.

Mahdollisuuksista metsärahoitukseen REDD + -mekanismin kautta keskustellaan laajasti ja asialle on ollut merkittävää tukea Sambiassa (FAO: n välityksellä), Laosissa, Tansaniassa ja Vietnamin. Suomen Metsäntutkimuslaitos on tukenut teemaa Nepalissa. Jotta maat voivat hyötyä REDD+ rahoituksesta, niiltä tullaan vaatimaan asianmukaisia seuranta-, raportointi- ja todentamisyjärjestelmiä sekä sovittujen tavoitteiden täyttämistä. Suomella on valtavaa potentiaalia tukea näiden vaatimusten saavuttamista metsäinventointiasiantuntemuksensa sekä kansainvälisillä foorumeilla saavuttamansa tunnustetun aseman vuoksi. Vahvempi yhteistyömaiden tuki sopivissa kansainvälisissä kokouksissa olisi hyödyllistä.

Eryityisesti Vietnam on käynnistänyt aktiivisen istutusmetsäohjelman, joka sisältää pienviljelijöille suunnattuja lähestymistapoja. Vaikka ohjelma on ollut hyvin onnistunut, on olemassa riski kaikkien köyhimpien jäämisestä ulkopuolelle ja siitä, etteivät tarjolla olevat vaihtoehdot ole aina ”toimeentuloystävällisiä”. Kaupallisten istutusmetsien laajenemista kohtaan on suurta kiinnostusta Tansaniassa, Mosambikissa, Keniassa ja Laosissa. Afrikassa suunnitelmana on, että ulkopuoliset investoijat toteuttavat ohjelmat. Monissa tapauksissa aiempi asiantuntemus ja infrastruktuuri kuten siemenvarat on menetetty. Ohjelmat näyttävät olevan hyvin riippuvaisia investoijien sosiaali-

sesta vastuusta. Tarvitaan tehokkaasti toimeenpantavia standardeja ja suosituksia. Pientuottajien osallistumisesta ei ole selvyyttä. Mikäli istutusmetsillä halutaan edistää laajempia köyhyyden vähentämisen ja kestäväen kehityksen tavoitteita, tulee taata pelkkiä työpaikkoja laajemmat osallistumismahdollisuudet sekä tilaisuus paikallisen jalostusarvon kohottamiseen.

Yhteistyömaiden rajallinen kapasiteetti, etenkin Afrikassa, on suuri huolenaihe. On puutetta niin henkilölukumäärästä kuin kokemuksesta ja asiantuntemuksestakin, etenkin teknisissä asioissa. Nämä puutteet voidaan ylittää melko nopeasti edellyttäen, että annetaan riittävää tukea. Suomi on hyvässä asemassa tähän. Suuri osa tarpeista on ennemmin teknisellä kuin ammattimaisella tasolla ja vastaavasti ennemmin mentoroinnin kuin koulutuksen tasolla – lähestymistapa, jonka suomalaiset asiantuntijat ovat olleet halukkaita omaksumaan ja onnistuneet siinä.

Suomen merkittävä asema hallitusten välisissä järjestelmissä metsiin, biodiversiteettiin ja ilmastomuutokseen liittyen sekä Suomen vahva tuki kahdelle FAO:n johtamalle prosessille (the Global Forest Resources Assessment and the National Forest Programme Facility) asettaa Suomen ainutlaatuisen asemaan metsäsektorin avunantajien joukossa. Tätä asemaa vahvistaa entisestään metsäsektorin huomattava merkitys Suomen omalle taloudelle. Metsätalous on monissa yhteistyömaissa voimakkaan huomion kohteena laajempien näkökantojen, sellaisten kuin biodiversiteetin ja paikallisten oikeuksien takaamiseksi. Suomi on noussut luontaiseksi johtajaksi ja malliksi muille sen sitouduttua selkeästi kansainvälisiin velvoitteisiin metsänhoidossa.

Metsäsektorille ja biologisiin luonnonvaroihin kohdistetun kehitysyhteistyön määrä ja osuus ovat nousseet viime vuosina. Tämä mahdollistaa mittavimmat interventiot, joilla voi olla laajempia vaikutuksia. Vaikka vuoden 2009 Kehityspoliittisen metsälinjauksen soveltaminen on ilmeistä viimeaikaisessa yhteistyössä, on vielä liian aikaista nähdä merkittäviä vaikutuksia. Metsälinjaus tarjoaa kuitenkin vahvan pohjan, jolta työskennellä. Suomalaisen osaamisen tunnistaminen ja hyödyntäminen monissa eri metsäsektorin toiminnoissa nykyistä huomattavasti merkittävämmällä tasolla toisi epäilemättä hyötyjä. Erityisesti suunnittelu, inventointi, suojelun integrointi, tehokkaampi prosessointi, koulutus ja mentorointi ovat kaikki mahdollisia aloja. Suomen pitkä kokemus metsätilojen tukemisessa näyttää olevan erityisen arvokasta tässä suhteessa.

Huomiota tulee kiinnittää myös Suomen kehitysyhteistyön läpileikkaaviin teemoihin. Tulokset ovat tältä osin olleet hyvin vähäiset. Tämä näyttää johtuvan osin siitä, miten interventioita suunnitellaan, rahoitetaan ja seurataan. Alla on esitetty suositukset siitä, miten nämä puutteet voidaan korjata. Suomessa on kokemusta metsätalouden mukauttamisesta useisiin eri päämääriin. Käytettyjen konseptien ja lähestymistapojen siirto pääyhteistyömaihin ja sisällyttäminen Suomen tukemiin interventioihin ei tulisi olla siten vaikeaa. Monet läpileikkaavista teemoista liittyvät sosiaaliseen osallisuuteen ja tasa-arvoon. Kattavampi suunnitteluvaihe yhdistettynä matriisihallintoon voisi varmistaa tulokellisuutta myös läpileikkaavien teemojen osalta.

Tulokset	Johtopäätökset	Suositukset
Suunnittelu		
<p>Rajalliset saavutukset laajempien läpileikkaavien teemojen suhteen näyttävät johtuvan osin riittävän asiantuntemuksen puutteesta identifikaatiovaiheessa. Useimpien valmisteluryhmien koossa ja asiantuntemuksessa on ollut puutteita. Interventioiden suunnittelua tukisi alusta asti lähestyä painottaen laajempia kokonaisuuksia ja hyötyjä.</p>	<p>Metsäsektorin interventioiden suunnittelu riippuu eri tavoitteiden suhteellisesta prioriteetista. Muut avunantajat ovat luoneet hyviä käytäntöjä, joista voisi ottaa opiksi suunnitteluvaiheessa. Suomessa on merkittävää osaamista ja konsulttitoimistojen kautta voidaan tarjota täydentäviä taitoja.</p>	<p>Muiden avunantajien evaluointijärjestelmien tarkastelu erityisesti suhteessa siihen, miten läpileikkaaviin teemoja käsitellään.</p> <p>Varmistaa identifikaatio- ja evaluointiryhmien riittävä koko ja monialainen ammatillisuus.</p>
<p>Saatavilla olevaa asiantuntemusta ei hyödynnetä täysin interventioiden suunnitteluprosessissa Helsingissä. Järjestelmä perustuu vastuuvirkamiehiin, joilta voi puuttua asiantuntemusta. Erityisasiantuntijat eivät tapaa säännöllisesti virallisesti.</p>	<p>Nykyinen käytäntö rajoittaa johdonmukaisuutta ja synergiota, jotka voitaisiin saavuttaa osallistamalla vahvemmin saatavilla oleva asiantuntemus, mukaan lukien konsulttitoimistojen asiantuntijat, laajemmin suunnitteluvaiheiden ryhmiä koottaessa. Joissakin tapauksissa hanke-ehdotukset eivät perustu yhteistyömaiden todellisuuteen.</p>	<p>Interventioiden suunnittelun kriittisempi arviointi identifiointivaiheessa Helsingissä moniammatillisessa tiimissä, joka kattaa kaikki tarkoituksenmukaiset sektorit, ja joka toimii matriisihallinnon periaatteiden mukaisesti.</p>
<p>Yhteistyömaissa, joissa on heikoin kapasiteetti, on saavutettu vähiten edistystä. Monien hankkeiden ja ohjelmien monimutkaisuus sisältää jo olettamuksen, että sopivaa kapasiteettia ja järjestelmiä on käytettävissä. Useiden interventioiden osalla on epäselvää, onko todellinen kapasiteetti</p>	<p>Interventioiden kasvaessa ja monimuotoistuesssa kapasiteettirajoitukset tulevat yhä kriittisemmiksi. Vaikka kapasiteetti voi ylemmillä tasoilla olla riittävä, keski- ja paikallistason osaamisessa on merkittäviä puutteita etenkin Afrikan yhteistyömaissa.</p>	<p>Kansallisen kapasiteetin arviointi kaikilla oleellisilla tasoilla suunnitteluvaiheessa on varmistettava ja tarkoituksenmukainen kapasiteetin vahvistaminen integroitava osaksi suunnittelua.</p>

huomioitu suunnittelu- vaiheessa riittävästi.		
<p>Evaluoinnin johtopäätös vähäisistä vaikutuksista pätee laajalti, mutta saattaa johtua osin lähtötason tiedon puuttumisesta ja puutteellisista raportointijärjestelmistä, joiden takia vaikutukset eivät ole todennettavissa. Usean avunantajan lähestymistavat vaikeuttavat Suomen tuen vaikutuksen osoittamista.</p>	<p>Ongelma voitaisiin välttää täsmällisemmällä järjestelmällä, joka kattaa tiedot lähtötasosta ja indikaattorien monitoroinnin. Suomessa on paljon hyvää osaamista esimerkiksi metsäresurssien inventointiin ja seurantaan liittyen. Tätä osaamista voitaisiin hyödyntää paremmin seurannan tukemiseksi.</p>	<p>Indikaattorien laadintaa tulosten ja vaikutusten evaluoimiseksi sekä taroituksenmukaisen tiedon keräämistä ja raportointia on vahvistettava. Tarvittaessa yhteistyömaille on tarjottava erityistä tukea tiedon keruun, analysoinnin ja raportoinnin kehittämiseksi.</p>
Ehdollisuus		
<p>Vallalla näyttäisi olevan yleinen vastustus avun ehtona olevien seurausten toimeenpanoa kohtaan. Tästä voi tulla ongelmallista REDD+ rahoituksen myötä maksatusten perustuessa vain todellisiin saavutuksiin. Laosissa ja Sambiasissa on ollut suuria puutteita ehtojen toteuttamisessa.</p>	<p>Epäonnistuminen avun ehtona olevien velvoitteiden toimeenpanossa Laosissa ja Sambiasissa on heikentänyt Suomen tuen potentiaalisia saavutuksia ja hyötyjä erityisesti osallistuville yhteisöille. Näissä tapauksissa on riski, että sosiaalisen ulottuvuuden saavutukset menetetään kun taloudellisia hyötyjä ei kyetäkään luomaan.</p>	<p>Tapauksissa, joissa yhteistyömaiden hallitusten epäonnistuminen sitoumustensa toteuttamiseksi vahingoittaa interventioiden etenemistä ja tuloksia, tarvitaan vaihtoehtoinen järjestelmä säännöllisesti toistuville tarkasteleluille, jotka pakottavat muutokseen tai vähintään tuovat painokkaasti esille sen, että tilanne on hyvin tiedostettu ja on tai ei ole hyväksyttävä.</p>
Paremmat tietojärjestelmät		
<p>Metsäsektori on Suomessa yhä taloudellisesti merkittävä. Maan institutionaalinen järjestelmä on tehokas tietovirtojen koordinoinnissa eri instituutioiden ja sektorien välillä suunnittelua ja raportointia ajatellen, esimerkiksi kansainvälisten sitoumusten seuraami-</p>	<p>Sektorien välinen koordinaatio ja hyvä informaatiopohja ovat olennaisia yhteistyömaiden institutionaalisen tehokkuuden vahvistamiseksi. Suomessa on saatavilla hyvää asiantuntemusta mallien ja taitojen vahvistamisen tarjottavaksi yhteistyömaiden käyttöön. Tällai-</p>	<p>Suomen kansallista asiantuntemusta tulisi hyödyntää maissa, joissa sektorien välinen koordinaatio on heikkoa ja tietojärjestelmät puutteellisia. Koordinaatioita ja tietojärjestelmiä voidaan kehittää kohdistetulla lyhytkestoisella tuella ja mentoroinnilla, mukaan lukien taust-</p>

<p>seksi. Suomella on pitkä historia tietojen tehokkaasta keruusta ja käytöstä.</p>	<p>nen kapasiteetin vahvistaminen hyödyntäisi merkittävästi Suomen tulevia kehitysyhteistyön interventioita ja olisi arvokasta yhteistyömalleille.</p>	<p>tatukijärjestelmät, jotka mahdollistavat jatkuvan sitoutumisen huomattavana ajanjaksona.</p>
<p>Evaluoijien oli vaikeaa ja joissakin tapauksissa mahdotonta paikantaa kaikkea tarkoituksenmukaista aineistoa. Lähetystöillä oli yleisesti ottaen hyvät arkistot. Ministeriö ei näytä hyödyntävän konsulttitoimistojen kanssa tehtyjen sopimustensa edellyttämää arkistointia muutoin kuin epävirallisesti.</p>	<p>Havaitut puutteet dokumenttien paikantamisessa voitaisiin hoitaa hallinnollisena tehtävänä. Kysymys on enemmän tiedon saatavuudesta kuin arkistoinnista itsestään. Vaivaton pääsy arkistotietoon Ministeriössä auttaisi vahvistamaan sisäisiä keskusteluja.</p>	<p>UM arkistointijärjestelmän toimivuuden arviointi ja konsulttitoimistojen dokumentoinnin tehokkaampi hyödyntäminen.</p>
Avun muodot		
<p>Perustelut tietyn avun muodon valinnalle ja se, missä määrin Suomella on mahdollisuus vaikuttaa valittavaan apumuotoon, ovat epäselviä. Useamman avunantajan yhteinen metsäsektorin rahasto Vietnamissa osoittautui hyvin tehokkaaksi. Kumppanuudet EFI:n kanssa Länsi-Balkanilla ja FAO:n kanssa Sambiassa osoittautuivat erittäin kannatettaviksi.</p>	<p>Avun muotojen valintaa on aihetta tarkentaa, jotta kussakin interventiotilanteessa valitaan sopivin. Avun muotojen tulee vastata molempien osapuolten tarpeisiin ja valinnassa tulee huomioida yhteistyömaiden rajoitteet.</p>	<p>Kaikkia asianosaisia toimijoita tulee konsultoida ja eri apumuotojen edut ja haitat analysoida tehokkaimman avun muodon tunnistamiseksi eri tilanteissa. Mikään järjestelmä ei ole ideaali kaikissa tilanteissa.</p>
<p>Avun eri muotojen vaatimukset, edut ja rajoitteet olisi hyödyllistä määrittää ja keskustella niistä.</p>	<p>Eri apumuotojen toimivuuden analysointi eri tilanteissa voisi auttaa tunnistamaan eri tilanteisiin soveltuvia indikaattoreita ja niitä tekijöitä, jotka kussakin tilanteessa vaikuttavat.</p>	<p>Eri apumuotojen toimivuuden analysoinnin hyödyntäminen päätöksentekoon ohjeen laatimiseksi. Ohjeessa on tunnistettava ne ydinkysymykset, jotka tulee huomioida eri apumuotojen</p>

		valinnassa kussakin yhteistyömaassa.
Vastaukset Helsingistä ovat tulleet ideaalitalanetta hitaammin. Eevaluoiijat löysivät todisteita viivytysten vaikutuksista interventioiden etenemiseen. Ei ole selvää, miksi päätöksentekoa ei ole hajautettu enemmän.	Päätöksenteon desentralisaatiokysymys liittyy interventioiden suunnittelun ja seurannan tehokkuuteen. Mikäli suunnittelun ja seurannan tehokkuutta parannettaisiin, päätöksenteon hajauttaminen olisi houkuttelevampi ja toteuttamiskelpoisempi vaihtoehto.	Nykyinen hallintojärjestelmä tulee arvioida siten, että tutkitaan toiminnan nopeus ja delegointitaso, jonka se sallii.
Lähetystöjen neuvonantajat ja muu palkattu henkilökunta muodostavat merkittävän asiantuntijaresurssin yhteistyömaissa. Näiden henkilöiden hallinnollisten tehtävien taakka saattaa heikentää heidän potentiaalista panostaan teknisiin asioihin.	Käsittlemättömien teknisten asioiden määrä on yllättävä ottaen huomioon yhteistyömaissa oleva suomalainen asiantuntemus lähetystöissä ja teknisinä asiantuntijoina. Henkilöresursseja ei käytetä aina hyvin siitä huolimatta, että niistä aiheutuneet kustannukset ovat korkeita.	Teknisen avun ja lähetystöihin sijoitettujen metsäneuvonantajien tehtävät tulee arvioida ja tarkastella, missä määrin neuvonantajat toteuttavat rooliaan teknisissä tehtävissä, ja sitä, voitaisiinko heidän ydinosaamistaan hyödyntää paremmin?
Suomalainen lisäarvo		
Metsäsektorin ja biologisten luonnonvarojen osalta Suomessa on olemassa huomattavaa potentiaalista lisäarvoa, jota ei ole viime vuosina hyödynnetty riittävästi. Suomella on paljon annettavaa liittyen suunnitteluun, tietojärjestelmiin, koulutukseen ja opetukseen, teollisuuteen ja metsätalouteen. Tämän potentiaalinen hyödyntämistä tulisi tarkastella uudestaan.	Ottaen huomioon evaluoinnin johtopäätökset suhteellisen huonoista taloudellisista tuloksista ja tarpeesta lisätä tuotantoa ja tulonmuodostusta, saatavilla oleva asiantuntemus tulisi hyödyntää paremmin. Yhteistyömaiden teknisen asiantuntemuksen puute rajoittaa merkittävästi metsätalouden kehittämistä, erityisesti Afrikassa.	Käynnissä olevia ja suunniteltavia interventioita tulee tarkastella sen tunnistamiseksi, missä ja miten suomalaista asiantuntemusta voitaisiin hyödyntää enemmän tunnistettujen pullonkaulojen ratkaisemiseksi ja saavutusten vahvistamiseksi kohti köyhyyden vähentämistä ja kestävästä kehityksestä.

Kansainväliset sopimukset		
<p>Metsiä ja biologisia luonnonvaroja koskevien kansainvälisten sopimusten kansalliset yhteyshenkilöt ovat yhteistyömaissa usein eri virastoissa ja ministeriöissä. Evaluointi ei löytänyt todisteita koordinoitijärjestelmistä eri viranomaisten välissä missään yhteistyömaassa, jossa tämä oli mahdollisesti ongelma.</p>	<p>Suomi on onnistunut sitoutumaan laajasti kansainvälisiin sopimuksiin erityisesti kansallisesta näkökulmasta. Yhteistyömaat hyötyisivät sellaisesta tuesta, jolla kehitettäisiin koordinoitumpia lähestymistapoja kansainvälisten sitoumusten toteuttamiseksi.</p>	<p>Yhteistyömaita tulisi tukea koordinoitua parantavien mekanismien kehittämiseksi ministeriöiden ja virastojen välillä liittyen metsiä ja biologisia resursseja koskeviin kansainvälisiin sopimuksiin.</p>
<p>Suomi on ollut aktiivinen kaikilla asianmukaisilla kansainvälisillä foorumeilla. Se on tukenut onnistuneesti kahdenvälisiä ohjelmia kansainvälisten lähestymistapojen, kuten kansallisten metsäohjelmien, kautta. Kansallisella ja kehityspoliittisella näkökulmalla on useita yhtymäkohtia, joita voisi hyödyntää kumppanimaiden eduksi ja Suomen kehityspoliittisen johdonmukaisuuden edistämiseksi.</p>	<p>Suomen lähestymistapa kansainvälisiin sopimuksiin tarjoaa käyttökelpoisen mallin useille maille, myös sellaisille, joissa metsäsektorin kehitysyhteistyötä toteutetaan. Suomi voisi tukea proaktiivisemmin yhteistyömaitaan kansainvälisissä kokouksissa, jotta voitaisiin paremmin varmistaa merkittävien hyötyjen ja sitoumusten saavuttaminen.</p>	<p>Suomen tulisi käyttää vaikutusvaltaansa kansainvälisissä kokouksissa sen varmistamiseksi, ettei köyhiä ja heikkoja maita unohdeta. Kokousten esityksissä tulisi huomioida kehitysmaiden kapasiteetti, erityisen tuen tarjoaminen tarvittaessa ja se, että ne maat, joilla on suurimmat tarpeet saavat suurimman osuuden eduista.</p>

SAMMANFATTNING

Utrikesministeriet (UM) har som ett led i utvärderingen av utvecklingssamarbetet (EVA-11) beställt en utvärdering av hållbarhetsdimensionen vid fattigdomsbekämpningen inom ramen för Finlands utvecklingsbistånd. Denna paraplyutvärdering har som mål att fastställa hur inriktningen på en ekonomiskt, ekologiskt och socialt hållbar utveckling möjliggjort och bidragit till framsteg i fattigdomsbekämpningen, som är det övergripande målet för Finlands utvecklingspolitik. Som en del i den större utvärderingen genomfördes en noggrannare utvärdering av insatserna inom skogsbruk och biologisk mångfald mellan åren 2000 och 2010. Inriktningen har varit att bedöma prestationer och resultat utifrån hur Finlands insatser har bidragit till de tre dimensionerna i hållbar utveckling.

I oktober 2007 antog regeringen i Finland nya riktlinjer för utvecklingssamarbetet: *Utvecklingspolitiskt program 2007 – Mot en hållbar och rättvis mänsklighetspolitik*. I riktlinjerna betonas hållbar utveckling och fattigdomsbekämpning (Utrikesministeriet i Finland 2007). Som stöd för denna politik fastställdes utvecklingspolitiska riktlinjer för skogssektorn (Development Policy Guidelines for Forest Sector, Utrikesministeriet i Finland 2009b), som syftar till att stärka förutsättningarna för ett hållbart skogsbruk och därmed uppnå en rättvis ekonomisk tillväxt, minska fattigdomen och förebygga miljöfaror.

Denna utvärdering genomfördes samtidigt med två andra delutvärderingar, dels av energisektorn och dels av förmånliga krediter. De tre utvärderingarna har sammanförts till en övergripande utvärdering som innefattar resultaten av tidigare tematiska utvärderingar för perioden 2008–2010. Utvärderingarna består av två delar: en inledande teoretisk studie och en påföljande fältfas. I metodiken tillämpades tio utvärderingsfrågor inom ramen för OECD:s (Organisationen för ekonomiskt samarbete och utveckling) utvärderingskriterier (relevans, effektivitet, hållbarhet och effekt) tillsammans med andra överenskomna kriterier – finländskt mervärde, koherens, anknytning, samordning och komplementaritet.

Granskningen omfattar insatserna i de sex långsiktiga partnerländerna i UM:s skogsprogram (Kenya, Moçambique, Tanzania, Zambia, Vietnam och Nicaragua) och i Laos samt regionala insatser i Centralamerika och på västra Balkan. Finlands insatser på den internationella arenan granskades också i korthet. Granskningen av stödet för biologiska resurser begränsade sig till dessa insatser i partnerländerna och på den internationella arenan.

Trots den allmänna nivån på stödet och ansträngningarna är granskningsresultaten något av en besvikelse när det gäller positiva resultat och effekter i fattigdomsbekämpningen. Det har gjorts relativt goda framsteg inom den sociala dimensionen och i viss mån på miljösidan. De konkreta ekonomiska fördelarna har dock varit ganska begränsade. I de flesta partnerländerna har den totala effekten och förändringarna va-

rit relativt begränsade. Goda resultat har uppnåtts på lokal nivå medan förändringarna på nationell nivå varit något mindre.

De begränsade effekterna på fattigdomsbekämpningen kan delvis bero på att det saknas uppgifter om utgångsläget och indikatorer för uppföljning. Alla partnerländer har haft ansevärda befolkningsökningar och både skogsarealen och skogarnas kvalitet har minskat. Dessa faktorer understryker betydelsen av produktivitetsökningar om fattigdomen ska kunna bekämpas genom utnyttjande av den återstående skogsarealen. I detta syfte har två huvudsakliga strategier antagits. Den första handlar om gemensam förvaltning av naturskog för eget uppehälle (i Afrika) och för produktion (i Laos och Centralamerika). Den andra strategin utgår från plantering, som möter ett ökat intresse hos nästan alla partner.

Även om relativt goda framsteg har gjorts inom den sociala dimensionen, och i mindre utsträckning även inom miljödimensionen, är risken att de svaga ekonomiska resultaten undergräver dessa framsteg. Problemen på politisk nivå handlar om att landets regering lägger beslag på intäkterna, bristen på rättsliga mekanismer för intäktsfördelningen och begränsade eller inga återinvesteringar i resursbasen. Dessa problem förvärras av urholkad teknisk expertis och begränsad kapacitet i många partnerländer, särskilt i Afrika. Alla parter anger hållbart skogsbruk som mål. Det får starkt stöd av Finland i mellanstatliga processer och har betonats särskilt i de senaste insatserna. Utvecklingen på detta område hämmas av tekniska och kapacitetsmässiga begränsningar, som måste erkännas och övervinnas. De största framstegen inom hållbart skogsbruk har skett på västra Balkan.

I många av de granskade insatserna förvaltas skogen gemensamt, och pilotprojekt har genomförts utifrån en rad olika situationer och strategier. Många av pilotprojekten har varit framgångsrika lokalt, men man har inte klarat av att göra dessa mer storskaliga så att fördelar och återinvesteringar skapas. Detta kräver samordnade åtgärder både på politisk nivå och på fältnivå. Om inga snabba förändringar sker går möjligheterna att vidmakthålla lokalsamhällets intressen förlorade. Genom en gemensam förvaltning finns en avsevärd potential att minska fattigdomen och skapa ekonomisk tillväxt förutsatt att begränsningarna kan övervinnas.

I alla afrikanska partnerländer har upprätthållandet av resursbasen bara fått begränsad uppmärksamhet. Det finns få lämpliga skogsförvaltningsplaner, men valmöjligheterna är ofta begränsade på grund av dåliga kunskaper och bristande uppfattning om intressenternas behov. I andra regioner har planeringen varit mer framgångsrik och där har man nått begränsade framgångar.

Möjligheterna att finansiera skogsbruket genom REDD + (minskning av utsläpp som beror på avskogning och skogsförstörelse) har diskuterats brett, och det har fått bra stöd i Zambia (genom FAO, organisationen för livsmedels- och jordbruksfrågor), Laos, Tanzania och Vietnam. Stöd har även erbjudits i Nepal genom Skogsforskningsinstitutet i Finland. Om länderna ska kunna dra nytta av REDD + krävs tillräcklig kompetens för uppföljning, rapportering och verifiering förutom att länderna uppfyl-

ler de överenskomna målen. Finland har betydande potential att bidra till detta genom sin inventeringsexpertis och landets framskjutna position i många internationella forum. En starkare förbindelselänk till landpartnern i syfte att ge stöd vid relevanta internationella möten skulle kunna vara värdefull.

Aktiva planteringsprogram har startats särskilt i Vietnam, däribland sådana som fokuserar på småbrukare. Även om dessa kan vara mycket framgångsrika finns det en viss risk för att de fattigaste hamnar utanför programmen och att valmöjligheterna inte alltid består av ”utkomstvänliga” alternativ. Kommersiell expansion av odlingarna är av stort intresse i Tanzania, Moçambique, Kenya och Laos. I Afrika utgår planerna från att de genomförs av externa investerare. I många fall har den tidigare expertisen och infrastrukturen, bl.a. tillgången på utsäde, gått förlorade. Dessa program förefaller vara starkt beroende av investerarnas sociala ansvar och förutsätter att standarder och riktlinjer tillämpas effektivt. Det är oklart i vilken utsträckning småbrukare kommer att delta. Om utvecklingen av odlingarna ska kunna uppfylla högre ställda mål för fattigdomsbekämpning och hållbar utveckling krävs att möjligheter utöver ren sysselsättning garanteras och att lokalt mervärde skapas genom förädling.

Den begränsade kapaciteten, särskilt i Afrika, är en faktor av stor betydelse. Det finns såväl numerära brister som bristande sakkunskap och erfarenhet, särskilt i tekniska frågor. Båda dessa begränsningar kan övervinnas ganska snabbt förutsatt att lämpligt stöd ges. Finland har goda förutsättningar att ge ett sådant stöd. En stor del av behovet ligger på ett tekniskt snarare än ett professionellt plan och gäller handledning snarare än undervisning. Detta är en approach som finska experter i allmänhet har varit villiga att tillämpa och haft framgång med.

Finlands framträdande roll i mellanstatliga mekanismer för skogsförvaltning, biologisk mångfald och klimatförändringar samt landets starka stöd till två FAO-ledda processer – Global Forest Resources Assessment och National Forest Programme Facility – ger landet en unik position bland biståndsgivare inom skogssektorn, en position som ytterligare förstärks av den stora ekonomiska betydelse skogsnäringen har för den finländska ekonomin. I många partnerländer är skogsbruket mycket kontrollerat för att bredare aspekter, som biologisk mångfald och lokala rättigheter, ska kunna tillgodoseas i tillräcklig utsträckning. Genom Finlands tydliga engagemang för att uppfylla internationella åtaganden och bedriva skogsvård har landet vuxit fram som en naturlig ledare och förebild för andra.

Den andel av Finlands utlandsbistånd som går till skogsbruk och biologiska resurser har ökat under de senaste åren liksom volymen. Detta har skapat möjligheter för mer omfattande insatser med eventuellt större genomslagskraft. Det är uppenbart att Utrikesministeriets riktlinjer för skogssektorn tillämpats vid de senaste insatserna, men det är ännu för tidigt att kunna se konkreta effekter. Riktlinjerna ger dock en mycket god grund för arbetet. Det är utan tvekan en fördel om finländsk kompetens på en rad skogsrelaterade verksamhetsområden inhämtas och anlitas i mycket högre grad än vad som varit fallet på sistone. Som nämnts ovan är planering och inventering, integrering av bevarandefrågor, effektiv förädling, utbildning och mentorskap allihop områden

där det finns möjligheter till ökad aktivitet. Finlands långa erfarenhet av stöd till skogsbruket bland jordbrukare skulle vara särskilt värdefull i detta hänseende.

Utöver försummelser i tekniska frågor, som borde vara lätta att åtgärda i förekommande fall, måste de genomgående teman som är avgörande i alla finländska insatser beaktas. När det gäller dessa har granskningsresultaten i allmänhet varit nedslående. Detta förefaller delvis bero på hur insatserna har planerats, finansierats och följts upp. Rekommendationer om hur dessa brister kan åtgärdas ges nedan. Med tanke på den erfarenhet som finns i Finland av att anpassa skogsbruket till ett brett spektrum av mål bör det inte vara svårt att överföra de koncept och tillvägagångssätt som används här till partnerländerna och inkludera dessa i de insatser som Finland stöder. Många av de genomgående temaområdena handlar i grunden om social integration och rättvisa. En mer omfattande planeringsfas i kombination med en matrisapproach i ledningen av insatserna skulle bidra till bättre resultat på dessa områden.

Granskningsresultat	Slutsatser	Rekommendationer
Insatsplanering		
<p>De begränsade framgångarna i större genomgående teman förefaller delvis bero på att tillräcklig sakkunskap saknats vid den initiala kartläggningen, där de flesta teamen har varit ganska begränsade till sin storlek och omfattning. Insatsplaneringen skulle bli anorlunda om det från början fanns ett starkare fokus på större teman och fördelar.</p>	<p>Utformningen av en skogsbruksinsats beror på hur de olika målen prioriteras. Det finns god praxis hos andra givare som kan vara till nytta i planeringen, och det finns betydande kapacitet i Finland och hos konsultföretag att tillföra ytterligare kompetens och kompletterande kompetens.</p>	<p>Granska andra givares system för insatsbedömning, särskilt när det gäller hantering av större genomgående teman och se till att stora tvärvetenskapliga team bildas för identifiering och bedömning.</p>
<p>En process där insatsplaneringen sker i Helsingfors drar inte full nytta av den befintliga sakkunskapen. Systemet är starkt beroende av de ansvariga tjänstemännen, som kan sakna erfarenhet på området, och specialister som inte håller regelbundna formella möten.</p>	<p>Det nuvarande systemet begränsar den enhetlighet och de synergieffekter som kunde skapas genom att i planeringsfasen fånga upp all tillgänglig expertis via en teambaserad approach, inklusive expertisen hos konsultföretag. I vissa fall är förslagen orealistiska för partnerlandets del.</p>	<p>Gör en mer kritisk granskning av insatsplaneringen i den initiala kartläggningsfasen med hjälp av en tvärvetenskaplig grupp vid UM i Helsingfors som involverar alla relevanta sektorer och som leds enligt en matrismodell.</p>
<p>Minst framsteg har gjorts hos partner med den lägsta kapaciteten. Komplexiteten i många insatser antar på ett realistiskt sätt att tillräcklig kapacitet och system finns tillgängliga. I fråga om ett antal insatser är det oklart om den verkliga kapaciteten har bedömts tillräckligt väl i planeringsfasen.</p>	<p>När insatserna är större och mer komplexa blir kapacitetsbegränsningarna mer kritiska. Även om kapaciteten kan vara tillräcklig på den högre nivån kan det finnas stora begränsningar i expertisen på mellan- och fältnivåerna, särskilt hos afrikanska partner.</p>	<p>Se till att den nationella kapaciteten på alla berörda nivåer bedöms vid planeringen, i förekommande fall på den lägre fältnivån, och att kapacitetsuppbyggnaden på alla nivåer integreras i planeringen.</p>

<p>Trots att slutsatserna om insatsernas begränsade effekt är långtgående kan detta bero på att utgångsdata saknas och på begränsade rapporteringssystem, vilket innebär att effekterna inte registrats. En inriktning på flera givare gör det svårt att bedöma effekterna av det finländska stödet.</p>	<p>Ett mer rigoröst system för grundläggande information och uppföljning av indikatorer kan lösa detta problem. Det finns stor kompetens i Finland, t.ex. för inventering av skogsresurser och uppföljning, som skulle kunna utnyttjas bättre vid uppföljning.</p>	<p>Förbättra indikatorerna för bedömning av resultat och effekter samt insamlingen och rapporteringen av relevanta uppgifter. Om det behövs särskilt stöd för att insamlingen, analyserna och rapporteringen ska kunna förbättras bör detta också ges.</p>
<p>Villkor</p>		
<p>Det förefaller finnas en allmän motvillighet att upprätthålla villkoren för finansieringen. Detta blir sannolikt mer problematiskt om REDD + -finansiering används eftersom utbetalningar endast kommer att göras mot faktiska resultat. Både Laos och Zambia uppvisar stora brister när det gäller att uppfylla villkoren.</p>	<p>Underlåtenheten att upprätthålla villkoren i Laos och Zambia har underminerat potentiella fördelar för Finland och ytterst för de samverkande lokalsamhällena. När dessa situationer ges en grogrund riskerar man att framstegen som gjorts inom den sociala dimensionen går förlorade eftersom de ekonomiska fördelarna inte realiserar.</p>	<p>Om en partnerregering inte uppfyller sina åtaganden och detta äventyrar framstegen och resultaten i insatserna så behövs det ett alternativt system till upprepade granskningar, helst ett som tvingar fram förändringar eller åtminstone tydliggör att frågan är väl känd och om den är eller inte är acceptabel.</p>
<p>Bättre informationssystem</p>		
<p>Finland, ett land som fortfarande drar stor ekonomisk nytta av sin skogssektor, har en effektiv institutionell struktur för samordning av informationsflödena mellan olika institutioner och sektorer vid planering och rapportering av internationella åtaganden. Man har också en lång historia av rationell insamling och användning av information.</p>	<p>Sektorsövergripande samordning och god information är båda väsentliga för att förbättra den institutionella effektiviteten i partnerländerna. Det finns tillgång till god expertis i Finland som kan tillhandahålla både modeller och kompetensutveckling för partnerländerna. Sådan kapacitetsuppbyggnad skulle i hög grad underlätta kommande finländ-</p>	<p>Om den sektorsövergripande samordningen är svag och informationssystem saknas bör nationell expertis i Finland användas för att förbättra båda processerna genom riktat kortsiktigt stöd och handledning, inklusive stödmekanismer som möjliggör kontinuerligt engagemang över en längre tidsperiod.</p>

	ska insatser och vara av värde för partnerländerna.	
Det visade sig svårt, och i vissa fall omöjligt, att hitta kopior av allt relevant material. Ambassaderna har allmänt sett goda arkiv, men konsultföretagens arkiv – som måste finnas enligt deras avtal med UM – förefaller inte vara väl utnyttjade av UM annat än sporadiskt.	Uppdagade brister vid inhämtning av dokument kan åtgärdas som en administrativ uppgift. Det handlar om tillgänglighet och inte arkivering i sig. God tillgång till arkivinformation på UM i Helsingfors skulle bidra till att förbättra de interna diskussionerna.	En översyn av UM:s arkivsystem i Helsingfors och bättre utnyttjande av den dokumentation som sparats av konsultföretag i enlighet med deras avtal.
Biståndsformer		
Motiveringarna för valet av metoder är fortfarande oklara liksom i vilken utsträckning Finland har haft valmöjligheter. Fonden med flera givare i Vietnam visade sig vara mycket effektiv och partnerskapen med EFI (västra Balkan) och FAO (Zambia) har också varit värdefulla.	Det finns utrymme för att förfina urvalet av biståndsformer för att se till att det lämpligaste väljs för varje insatssituation. Formerna bör vara lämpliga för bägge parter behov och återspegla de begränsningar som finns i partnerländerna.	Samråd med alla relevanta aktörer och analysera de olika biståndsformernas fördelar och nackdelar i syfte att identifiera de effektivaste formerna i olika situationer. Dessutom bör man beakta att inget system är perfekt i alla avseenden.
Det vore bra om de särskilda krav som ställs på olika former samt deras fördelar och nackdelar definieras tydligare och diskuteras mer.	En analys av hur olika former fungerar i olika situationer kan hjälpa till att identifiera indikatorer för de lämpligaste formerna i olika situationer och vilka faktorer som påverkar detta.	Använd analysen för att utarbeta en beslutsguide som identifierar de centrala frågorna som måste beaktas vid val av biståndsformer för specifika insatser i olika partnerländer.
Det tar lägre tid att få svar från Helsingfors än vad som är optimalt och även förseningar som påverkat framstegen har uppdagats. Det är oklart varför beslutsfattandet	Här är det fråga om effektiviteten i insatsplaneringen och uppföljningen. Om den förbättras blir ökad decentralisering ett mer praktiskt och attraktivt alternativt.	Granska effektiviteten i det nuvarande administrativa systemet i fråga om handlingsnabbhet och nivån på tillåten delegering.

inte har varit mer decentraliserat.		
Det finns betydande teknisk expertis i partnerländerna, till exempel rådgivare vid ambassader och anställd personal. Den administrativa bördan på dessa medarbetare kan undergräva deras möjligheter att bidra i tekniska frågor.	Antalet obehandlade tekniska frågor är förvånande med tanke på graden av finländsk expertis vid ambassaderna och som tekniska rådgivare i partnerländerna. Slutsatsen är att dessa resurser inte alltid utnyttjas väl trots deras höga kostnader.	Översyn av hur den tekniska biståndspersonalen används så att den omfattar utstationerade rådgivare inom skogssektorn och i vilken utsträckning de arbetar med tekniska frågor och huruvida deras huvudkompetens kunde eller borde utnyttjas bättre.
Finländskt mervärde		
Det finns ett stort potentiellt mervärde för skogsbruket och de biologiska resurserna som inte tycks ha utnyttjats i tillräcklig utsträckning de senaste åren. Finland har mycket att erbjuda på områden som planering, informationssystem, utbildning, industri och skogsbruk för jordbrukare. Indikationen är att denna potential bör studeras på nytt.	Mot bakgrund av de relativt svaga ekonomiska resultaten och behovet av ökad produktion och intäktsgenerering har den tillgängliga expertisen mycket att erbjuda och bör utnyttjas bättre. Bristen på teknisk expertis utgör nu ett stort hinder för utveckling av skogsbruket, särskilt i de afrikanska partnerländerna.	Översyn av pågående och planerade insatser i alla partnerländer i syfte att identifiera var och hur man bäst kan utnyttja tillförd finsk kompetens för att övervinna identifierade flaskhalsar och öppna nya möjligheter som förbättrar resultaten i riktning mot minskad fattigdom och hållbar utveckling.
Internationella konventioner		
Partnerländernas kontaktpersoner för internationella konventioner om skogsbruk och biologiska resurser finns ofta inom en rad olika myndigheter och ministerier. Vid granskningen kunde man inte finna några samordningsmekanismer i de partnerländer där det fanns potentiella problem.	Finland har varit framgångsrikt när det gäller att ansluta sig till internationella konventioner, särskilt ur ett nationellt perspektiv, och det vore bra om partnerländerna fick hjälp med att utveckla mer samordnade tillvägagångssätt i fråga om internationella åtaganden.	Hjälp partnerländerna att utveckla effektiva mekanismer för att förbättra samordningen mellan ministerier och myndigheter när det gäller internationella konventioner om skogsbruk och biologiska resurser.

<p>Finland har varit mycket aktivt i alla relevanta internationella forum och stöttat sina bilaterala program genom internationell inriktning – t.ex. i skogsprogrammen – med gott resultat. Det finns många sammanfallande punkter mellan den nationella positionen och utvecklingspositionen som skulle kunna utnyttjas ännu mer till fördel för partnerländerna och den övergripande samordningen av Finlands utvecklingsbistånd.</p>	<p>Det sätt på vilket Finland har anslutit sig till internationella konventioner är en användbar modell för många länder, inklusive partländerna inom skogssektorn. Finland skulle kunna vara mer proaktivt i sitt sätt att hjälpa sina partnerländer vid internationella möten så att de får bättre förmåner och mer realistiska förpliktelser.</p>	<p>Använd Finlands inflytande vid internationella möten för att försöka se till att behoven hos fattigare och svagare länder inte förbises, att förslagen ligger inom deras kapacitetsförmåga, att specifik hjälp ges vid behov och att de länder som har de största behoven får den största andelen av förmånerna.</p>
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SUMMARY

The Development Evaluation office (EVA-11) of the Ministry for Foreign Affairs of Finland (MFA) commissioned an Evaluation of the Sustainability Dimension in Addressing Poverty Reduction of Finland's development assistance. The objectives of this umbrella evaluation is to determine how the sustainable economic, ecological and social development approach has enabled and supported progress to the overall goal of Finnish development policy, namely the reduction of poverty. As a sub-component of this wider evaluation, an evaluation of the forestry and biological diversity interventions between 2000 and 2010 was undertaken with an orientation on assessing the performance and outcomes in terms of contribution to the three dimensions of sustainable development.

In October 2007, the Government of Finland adopted a new development cooperation policy, *Development Policy Programme 2007: Towards a Sustainable and Just World Community*, which places emphasis on sustainable development and poverty reduction (Ministry for Foreign Affairs of Finland 2007a). In support of this policy, the Government of Finland issued in 2009 the *Development Policy Guidelines for Forest Sector* (Ministry for Foreign Affairs of Finland 2009b) which aim to strengthen the conditions for sustainable forest management and thus achieve fair economic growth, reduce poverty and prevent environmental hazards.

This evaluation was carried out simultaneously with two other independent evaluations: one for the energy sector and one on concessional credits. The three independent evaluations feed into a synthesis evaluation along with the results of earlier thematic evaluations for the period 2008–2010. The evaluations comprise of two parts: the initial desk study and a subsequent field phase. The methodology applied consisted of applying the ten evaluation questions contained in the terms of reference within the context of the Organisation for Economic Co-operation and Development (OECD) evaluation criteria (relevance, efficiency, effectiveness, sustainability and impact) along with other agreed criteria of Finnish added value, coherence, connectedness, coordination and complementarity.

The portfolio of interventions reviewed included those in six long-term partner countries of the MFA forest programme (Kenya, Mozambique, Tanzania, Zambia, Vietnam and Nicaragua) as well as Laos, and regional interventions in Central America and Western Balkans. Finland's interventions in the international arena were also briefly reviewed. Review of support to biological resources was limited to those interventions in partner countries and the international arena.

Despite the general levels of funding and effort, the findings are somewhat disappointing in terms of positive outcomes and impact in respect to poverty reduction. There has been relatively good progress with strengthening the social pillar and to some extent on the environmental side while tangible economic benefits have been

rather limited. In most partner countries the overall impact and changes have also been relatively restricted in extent, with good results at local level but somewhat less change at national level.

The limited impact on poverty reduction may be due in part to the lack of baseline data and monitoring indicators but all partner countries have experienced substantial population increase, reduction in forest area and quality and this emphasises the importance of increasing productivity if poverty is to be addressed from the remaining forest. The two main strategies that have been adopted are collaborative management of natural forest, for livelihood use in Africa but for production also in Laos and Central America, with plantations being of increasing interest in nearly all partners as a second strategy.

While relatively good progress has been made with the social developmental pillar and to a lesser extent the environmental pillar, the poor economic performance risks undermining this progress. Policy level problems relate to excess revenue capture by government, lack of legal mechanisms for revenue sharing and limited or no reinvestment in the resource base. These problems are compounded by eroded technical expertise and limited capacity in many partner countries, especially in Africa. The goal of Sustainable Forest Management (SFM) is stated by all partners, strongly supported by Finland in intergovernmental processes and specifically noted in the more recent interventions. Its achievement is limited by technical and capacity limitations that need to be recognised and overcome. The best progress has been in the Western Balkans on SFM.

Many of the interventions examined include collaborative forest management and there is a wealth of different situations and approaches that have been piloted. What has been missing so far is the ability to scale up these pilots – many of which have been locally successful – so that benefits and reinvestment can take place. This will require coordinated actions at both policy and field levels. Unless changes occur quickly, the chance of maintaining interest from communities will be lost. Collaborative management carries substantial potential for both poverty reduction and economic growth provided the constraints can be overcome.

In all African partners, limited attention has been given to sustaining the resource base. There are few adequate management plans but the range of management options offered is often limited due to poor knowledge and lack of appreciation of stakeholder needs. In other regions, planning has been more successful and there have been limited gains.

The opportunities for forestry finance through REDD+ (Reducing Emissions from Deforestation and Forest Degradation) are widely discussed and there has been good support in Zambia, through the Food and Agricultural Organisation (FAO) of the United Nations (UN), Laos and in Tanzania and Vietnam. There has also been support through Finnish Forestry Research Institute to Nepal. If countries are to benefit from REDD+, then adequate competence in Monitoring, Reporting and Verification

(MRV) will be required, in addition to countries meeting their agreed targets. Finland is demonstrating huge potential to assist this through its expertise in inventory as well as its prominent position in many international fora. A stronger link supporting country partners in relevant international meetings could be useful.

Vietnam in particular has commenced an active plantation programme, including smallholder approaches. While very successful, there is some danger of the poorest being excluded and the range of options on offer is not always “livelihood friendly”. Commercial plantation expansion is of major interest in Tanzania, Mozambique and Kenya as well as in Laos. In Africa, the plans are for outside investors to undertake the programmes. In many cases, previously held expertise and infrastructure such as seed supplies have been lost and these programmes seem to rely heavily on the social responsibility of the investors and effectively enforced standards and guidelines are required. The extent to which small growers will be engaged is not fully clear. If plantation development is to meet the wider goals of poverty reduction and sustainable development then attention will be needed to ensure wide opportunities beyond simple employment and for locally added value processing.

The limited capacity especially in Africa is of major concern. There is a shortage of numbers and a shortage of expertise and experience, especially on technical matters. Both of these constraints can be overcome quite rapidly provided appropriate support is given and Finland is well placed to assist in this. Much of the need is at technical rather than professional level and for mentoring rather than education, again an approach that Finnish experts have been generally willing to undertake and at which they have been successful.

The prominence of Finland in the intergovernmental regime on forestry, biodiversity and climate change as well as through its strong support to two FAO led processes – the Global Forest Resources Assessment and the National Forest Programme Facility – puts Finland into a unique position among forestry donors, a position that is further enhanced by the substantial economic importance of forestry to the Finnish economy. Forestry in many partner countries is under strong scrutiny to ensure that wider aspects such as biodiversity and local rights are adequately met. Finland, through its clear commitment to meeting international obligations while conducting forest management has emerged as a natural leader and model for others.

The amount and proportion of Finnish Official Development Assistance (ODA) channelled into forestry and biological resources have both risen over recent years. This has provided opportunity for larger interventions that can have wider impact. Although the application of the MFA Development Policy Guidelines for the Forest Sector (MFA 2009b) is evident in the most recent ones, it is too early to see marked effects although the Guidelines provide a very sound basis on which to work. There is no doubt that there would be benefit from capturing and engaging Finnish expertise in a wide range of forestry related activities at a much higher level than has been the case recently. In particular, planning and inventory, integration of conservation, efficient processing, training and mentoring are all possible areas, as noted in the pre-

ceding paragraphs. In particular, Finland's long experience of supporting farm forests would seem to be especially valuable in this regard.

While technical issues may have been neglected and can be fairly readily addressed, the cross-cutting issues essential in all Finnish interventions also need to be considered. The findings are that the results have been generally disappointing in respect of these. Part of the reason appears to lie in the way in which interventions have been designed, funded and monitored and recommendations are given below to try and overcome this deficiency. Given the experience of adapting forest management to meet a wide range of aims in Finland, it should not be difficult to transfer the concepts and approaches used to partner countries and include these in Finnish supported interventions. Many of the cross-cutting issues are fundamentally about social inclusion and equity and a more comprehensive design phase combined with a matrix approach to management would be helpful in securing better results on cross-cutting issues.

Findings	Conclusions	Recommendations
Intervention Design		
<p>The limited success with wider cross-cutting issues seems to be in part due to the lack of sufficient expertise in initial identification missions, the size and scope of most teams has been quite limited. Intervention design would be different if approached from the outset with stronger focus on wider issues and benefits.</p>	<p>The design of a “forestry” intervention depends on the relative priority of different objectives. There are good practices established by other donors that could benefit design and there is significant capacity in Finland and through consulting companies to provide additional and complementary skills.</p>	<p>Review other donors’ intervention appraisal systems, especially in regard to handling of wider cross-cutting issues and ensure that large multi-disciplinary teams are fielded for identification and appraisal.</p>
<p>The process by which intervention design is developed in Helsinki does not capture the full benefit of the expertise available. The system relies heavily on desk officers, who may lack experience and specialists do not meet formally with any regularity.</p>	<p>The present system restricts the coherence and synergies that could be captured by involving all available expertise in a team-based approach, including that from consulting companies, in the design stage process. In some cases, proposals lack reality for the partner country.</p>	<p>Make more critical review of intervention design from the initial identification phase through a multi-disciplinary team at MFA Headquarters, which involves all relevant sectors and operates by a matrix management.</p>
<p>Less progress has been made in partners with least capacity. The complexity of many interventions presumes capacity and systems will be available that is unrealistic. It is not clear that real capacity was adequately assessed at the design phase of a number of interventions.</p>	<p>As interventions become larger and more complex, capacity constraints become more critical. Although capacity at upper levels may be adequate, there are major limitations with mid level and field level expertise in African partners especially.</p>	<p>Ensure that national capacity is assessed during design at all relevant levels, including where appropriate, at lower field level, and that appropriate capacity building at all levels is integrated into the design.</p>
<p>Although the finding of limited impact is widespread, this could be due to lack of baseline data</p>	<p>A more rigorous system of baseline information and monitoring of indicators could overcome</p>	<p>Enhance the formulation of indicators for assessing achievement and impact and the collection</p>

and limited reporting systems, so that impact is unrecorded. Multi-donor approaches create difficulties in attribution of impact to Finnish support.	this problem. There is great expertise in Finland, as with forest resource inventory and monitoring that could be better utilised to support monitoring.	and reporting of relevant data, if necessary providing specific assistance to improve information collection, analysis and reporting.
Conditionality		
There appears to be a general resistance to enforcing conditionalities of funding. This is likely to become more problematic if REDD+ funding is utilised as payments will only be made in return for real achievements. Laos and Zambia both have major failures to respond to conditionalities.	The failure to enforce conditionalities in Laos and Zambia has undermined potential gains for Finland and, crucially, for collaborating communities. By allowing such situations to fester, there is danger that the gains made under the social pillar may be lost through failure to deliver economic gains.	In cases where partner governments failure to undertake their commitments are prejudicing the progress and outcome of interventions, an alternative system to repeated reviews is required that preferably forces change or at least makes explicit that the issue is well-known and is or is not acceptable.
Improved Information Systems		
The institutional structure in Finland, which is a country that still derives huge economic benefit from its forest sector, is effective in coordinating information flows across institutions and sectors for planning and reporting purposes, as in respect of international commitments. There is also a long history of sound information gathering and use.	Cross-sector coordination and good information are both vital to improving institutional effectiveness in partner countries. There is good expertise available in Finland to provide both models and skills building for partner countries. Such capacity building would greatly assist future Finnish interventions as well as being of value to the partner countries.	Where cross-sectoral coordination is poor and information systems lacking, make use of Finnish national expertise to provide improvements to both processes through targeted short-term support and mentoring, including back-stopping systems that allow continuous engagement over a substantial period.
It proved difficult, and in some cases impossible, to locate copies of all relevant material. Embassies generally maintained	The deficiencies encountered in document retrieval could be dealt with as an administrative task. The issue is one of	Review the operation of the MFA archive system at Headquarters and make better use of the documentation retained

<p>good archives but those held by consulting companies – as required under their contracts with MFA – do not seem to be well utilised by MFA, other than informally.</p>	<p>accessibility rather than archiving itself. Ready access to archive information in MFA Helsinki would assist in enhancing internal discussions.</p>	<p>by consulting companies as required by their contracts.</p>
<p>Aid Modalities</p>		
<p>The rationale for selecting specific modalities remains unclear, as does the extent to which Finland had choice in this. The multi-donor trust fund in Vietnam proved very effective while the partnerships with EFI (Western Balkans) and FAO (Zambia) both proved highly worthwhile.</p>	<p>There is scope for refining the selection of aid modalities to ensure that the most appropriate is selected for each intervention situation. Modalities need to be appropriate for the needs of both partners and to reflect the constraints operating in partner countries.</p>	<p>Consult with all relevant actors and analyse the advantages and disadvantages of different modalities with a view to identifying the more effective in various situations, noting that no one system will be ideal in all respects.</p>
<p>The specific requirements, advantages and constraints of different modalities would benefit from being more clearly defined and discussed.</p>	<p>An analysis of the functionality of different modalities in various situations could help identify indicators as to the more appropriate in different situations and the factors that affect this.</p>	<p>Use the analysis to prepare a decision guide that identifies the core issues to be considered in selection of aid modalities for specific interventions in different partner countries.</p>
<p>The speed of response from Helsinki is slower than optimal and evidence was found of delays affecting progress. It is not clear why decision making has not been more decentralised.</p>	<p>This question relates to the effectiveness of intervention design and monitoring. Were those improved, the option of greater decentralisation would be more feasible and attractive.</p>	<p>Review the efficiency of the current administrative system in respect of the speed of action and level of delegation allowed.</p>
<p>There is substantial technical expertise in partner countries with advisers in embassies and contracted staff. The administrative burden placed on these</p>	<p>The number of technical issues that have not been dealt with is surprising given the level of Finnish expertise in partner countries at embassies</p>	<p>Review the use of technical assistance personnel include out-posted forest sector advisers and the extent to which they are performing their role</p>

people may be undermining their potential contribution on technical issues.	and as technical advisers. The conclusion is that these personnel are not always being well used despite their high cost.	on technical aspects and whether better use could and should be made of their main competencies.
Finnish Added Value		
There is substantial potential added-value for forestry and biological resources that seems to have not been adequately exploited in recent years. Finland has much to offer on planning, information systems, training and education, industry and farm forestry. A revisiting of this potential is indicated.	In the light of the findings on the relatively poor economic results and the need for increased production and income generation, the expertise available has much to offer and should be better utilised. Lack of technical expertise is now a major constraint on forestry development in African partners particularly.	Undertake a review of the interventions in process and being planned in all partner countries with a view of identifying where and how best additional Finnish expertise might be applied to overcome identified bottlenecks and open new opportunities that will enhance achievements towards poverty reduction and sustainable development.
International Conventions		
Contact points for international conventions in partner countries relating to forestry and biological resources are often in a range of different agencies and ministries. No evidence was found of coordination mechanisms in any of the partner countries where this was a potential problem.	Finland has succeeded in engaging widely in international conventions, especially from a national perspective, and there would be benefit in helping partner countries to develop more coordinated approaches to international obligations.	Assist partner countries to develop effective mechanisms that improve coordination across ministries and agencies in respect of international forestry and biological resources-related conventions.
Finland has been very active nationally in all relevant international fora and has supported its bilateral programme through international approaches – such as NFPs – to good effect. There	The way in which Finland has approached international conventions is a useful model for many countries, including its forestry development partners. It appears Finland could be more	Use its influence at international meetings to try and ensure that the needs of poorer and weaker countries are not overlooked, that the proposal are within their capacity to meet, with specified

<p>are many points of congruence between the national and developmental position that could be further exploited with benefit for the partner countries and for the overall coherence of Finnish development assistance.</p>	<p>proactive in assisting its partner countries at international meetings to secure better benefits and more feasible obligations.</p>	<p>assistance where appropriate, and that those countries that have the greatest need are able to access the greatest share of benefits.</p>
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RESUMEN EJECUTIVO

La Evaluación de Desarrollo (EVA-11) del Ministerio de Asuntos Exteriores (MFA) de Finlandia ha supuesto la realización de la Evaluación de la Sostenibilidad en la Lucha contra la Pobreza en el marco de la ayuda al desarrollo impulsada por Finlandia. Los objetivos de esta evaluación general pasan por determinar cómo se ha aplicado el enfoque de desarrollo económico, ecológico y social sostenible, y cómo ha contribuido dicho enfoque al avance en la consecución del objetivo global de la política de desarrollo finlandesa: la reducción de la pobreza. Como parte de este amplio estudio se ha llevado a cabo una evaluación específica de las intervenciones relacionadas con la diversidad biológica y forestal realizadas entre los años 2000 y 2010. Su propósito es evaluar el rendimiento y los resultados en función de cómo han contribuido las intervenciones a las tres dimensiones del desarrollo sostenible.

En octubre de 2007, el Gobierno finlandés aprobó una nueva política de cooperación al desarrollo, el llamado *Programa de política para el desarrollo 2007: Hacia una comunidad mundial sostenible y justa*. Esta política se centra en el desarrollo sostenible y la reducción de la pobreza (Ministerio de Asuntos Exteriores de Finlandia, 2007). Como apoyo a esta política, el Gobierno finlandés publicó las *Directrices de la política de desarrollo para el sector forestal* (Ministerio de Asuntos Exteriores de Finlandia, 2009b), cuyo objetivo es afianzar las condiciones de la gestión forestal sostenible y lograr de ese modo un crecimiento económico justo, la reducción de la pobreza y la prevención de los riesgos medioambientales.

Esta evaluación se llevó a cabo paralelamente a otras dos subevaluaciones: una del sector energético y otra sobre los préstamos en condiciones favorables. Estas tres evaluaciones se han incorporado a una evaluación resumida junto con los resultados de las primeras evaluaciones temáticas referidas al periodo 2008–2010. Dichas evaluaciones se dividen en dos fases: un estudio teórico inicial y el posterior trabajo de campo. La metodología usada consiste en aplicar las diez preguntas de evaluación incluidas en los términos de referencia en el contexto de los criterios de evaluación de la Organización para el Desarrollo y la Cooperación Económicos (OCDE) —relevancia, eficiencia, efectividad, sostenibilidad e impacto— y otros criterios aprobados como el valor añadido que aporta Finlandia, la coherencia, la conexión, la coordinación y la complementariedad.

Las intervenciones objeto de estudio incluyen las realizadas en seis países socios a largo plazo del programa forestal del MFA (Kenia, Mozambique, Tanzania, Zambia, Vietnam y Nicaragua), además de las acometidas en Laos y de las intervenciones regionales en Centroamérica y en la zona occidental de los Balcanes. También se evalúan brevemente las intervenciones finlandesas en el ámbito internacional. La revisión del apoyo a los recursos biológicos se ha limitado a las intervenciones en los países socios y en el ámbito internacional.

A pesar del nivel general de financiación y esfuerzo, las conclusiones en cuanto a los resultados y la repercusión positiva en la reducción de la pobreza han resultado en cierto modo decepcionantes. Se ha producido un avance notable en el afianzamiento del pilar social y, en cierta medida, en el ámbito medioambiental. No obstante, los beneficios económicos tangibles han sido bastante limitados. En la mayoría de los países socios, tanto la repercusión global como los cambios han tenido un efecto restringido y aunque los resultados locales han sido buenos, la transformación a escala nacional ha sido menor.

El hecho de que la repercusión en la reducción de la pobreza haya sido limitada puede deberse en parte a la carencia de datos de referencia y de indicadores de seguimiento. Sin embargo, todos los países socios han experimentado un incremento notable de la población, y una reducción de la superficie y la calidad de su masa forestal. Estos factores ponen de relieve la importancia que tiene el aumento de la productividad para hacer frente a la pobreza mediante la masa forestal aún existente. Para ello, se han adoptado dos estrategias. La primera es la gestión colaborativa de los bosques primarios para fines de subsistencia (en África) y producción (Laos y Centroamérica). La segunda estrategia consiste en el uso para plantación, que goza de un creciente interés entre prácticamente todos los socios.

Aunque se ha logrado un claro avance en el ámbito del desarrollo social y, en menor medida, en el medioambiental, el riesgo de obtener unos resultados económicos muy pobres está dificultando este progreso. Los problemas en la esfera política están relacionados con la captación de excedentes por parte del Gobierno, la falta de mecanismos legales que obliguen a compartir los beneficios y la escasez o ausencia total de reinversión en los recursos. Estos problemas se agravan debido a una deficiente habilidad técnica y a la capacidad limitada en muchos países socios, especialmente los africanos. El objetivo de la gestión forestal sostenible (GFS) ha sido refrendado por todos los socios, Finlandia le ha prestado un apoyo especial en los procesos intergubernamentales y se ha observado específicamente en las intervenciones más recientes. Su éxito se ha visto restringido por limitaciones técnicas y de capacidad que deben tenerse en cuenta y que es necesario superar. El avance más notorio en cuanto a GFS se ha conseguido en la zona occidental de los Balcanes.

Muchas de las intervenciones estudiadas incluyen la gestión forestal colaborativa y revelan la puesta en marcha de diversos proyectos piloto en una amplia variedad de situaciones y enfoques diferentes. Lo que ha faltado hasta el momento es la capacidad de ampliar esos proyectos piloto —muchos de los cuales han sido un éxito a escala local— de modo que sea posible obtener beneficios y reinvertirlos. Para ello, es necesario acometer acciones coordinadas tanto en el plano político como sobre el terreno. Si no se producen cambios rápidamente, se desaprovechará la oportunidad de mantener el interés de las comunidades. La gestión colaborativa supone un importante potencial tanto para la reducción de la pobreza como para el crecimiento económico siempre que sea posible superar las limitaciones.

En el caso de los socios africanos, se le ha prestado muy poca atención al mantenimiento de la base de recursos. Existen pocos planes de gestión adecuados, aunque a menudo las opciones de gestión que se ofrecen están limitadas debido al conocimiento deficiente y la escasez de valoración de las necesidades de los implicados. En otras regiones, la planificación ha sido más eficaz y se han logrado ciertos beneficios.

Se han debatido ampliamente las posibilidades de financiación forestal a través del programa REDD+ (reducción de emisiones resultantes de la deforestación y la degradación forestal) y se ha logrado un óptimo respaldo en Zambia (a través de la FAO, la Organización de las Naciones Unidas para la Agricultura y la Alimentación), Laos, Tanzania y Vietnam. También se ha constatado el apoyo del Instituto de Investigación Forestal de Finlandia en Nepal. Si los diversos países van a beneficiarse del programa REDD+, será necesario lograr una competencia adecuada en los ámbitos del seguimiento, la notificación y la verificación, así como conseguir que dichos países cumplan los objetivos pactados. Finlandia posee un importante potencial para contribuir a ello gracias a su experiencia en la realización de inventarios y su posición destacada en múltiples foros internacionales. Sería útil contar con un vínculo más fuerte de apoyo a los países socios en las reuniones internacionales correspondientes.

En concreto, Vietnam ha comenzado un programa de plantación que incluye enfoques minifundistas. Aunque ha tenido mucho éxito, existe el riesgo de que los más pobres queden excluidos y la gama de opciones que se ofrece no siempre es «compatible con la subsistencia». La expansión de la plantación comercial suscita un gran interés en Tanzania, Mozambique, Kenia y Laos. En África, el objetivo es que los inversores extranjeros se hagan cargo de los programas. En muchos casos se ha perdido la experiencia y la infraestructura previas, como por el ejemplo el suministro de semillas. Estos programas parecen depender demasiado de la responsabilidad social de los inversores y es necesario conseguir un cumplimiento eficaz de las normas y directrices. No está claro hasta qué punto se implicarán los pequeños productores. Si con el desarrollo de la plantación se pretenden conseguir objetivos más amplios como la reducción de la pobreza y el desarrollo sostenible, deberá prestarse atención para garantizar oportunidades que vayan más allá del empleo y deberán crearse procesos de valor añadido a escala local.

La capacidad limitada es un problema importante, especialmente en África. Existe una carencia en cuanto a cantidad, pero también en lo referido a la experiencia y la habilidad, especialmente en aspectos técnicos. Estas dos limitaciones pueden resolverse bastante rápido siempre y cuando se preste el apoyo necesario. Finlandia disfruta de una buena situación para brindar esa ayuda. Las necesidades se centran en el ámbito técnico, no en el profesional, y en el del asesoramiento, no en el de la educación. Nuevamente, se trata de un enfoque que los expertos finlandeses están dispuestos a asumir y en el que ya han tenido éxito.

La importancia de Finlandia en el grupo intergubernamental sobre bosques, biodiversidad y cambio climático y su decidido respaldo a dos procesos liderados por la FAO —el Programa Mundial de Evaluación de los Recursos Forestales y el Mecanismo

para los Programas Forestales Nacionales— colocan al país en una posición única entre los donantes en el campo forestal, una posición que resulta aún más relevante debido a la enorme importancia económica de la silvicultura en la economía finlandesa. En muchos de los países socios, la silvicultura está siendo objeto de un minucioso estudio para garantizar que se cumplen adecuadamente objetivos más amplios como la biodiversidad o los derechos locales. Finlandia, a través de su sólido compromiso de cumplir las obligaciones internacionales en cuanto a gestión forestal, se ha convertido en un líder natural y en un modelo para otros países.

La cantidad y la proporción de la ayuda finlandesa al desarrollo internacional destinada a los recursos biológicos y forestales han aumentado durante los últimos años, lo que ha proporcionado la posibilidad de efectuar intervenciones de mayor calado y con una mayor repercusión. Aunque la aplicación de las Directrices para el Sector Forestal del MFA es evidente en las últimas intervenciones, es demasiado pronto para constatar un efecto notorio. No obstante, estas directrices proporcionan sin duda una buena base sobre la que trabajar. Es obvio que resultará beneficioso recopilar y utilizar la experiencia finlandesa en una amplia variedad de actividades forestales a una escala mayor de la alcanzada recientemente. Como se ha comentado anteriormente, la planificación y elaboración de inventarios, la integración de la conservación, la eficacia de los procesos, la formación y el asesoramiento son todas ellas áreas en las que se puede aumentar la actividad. En concreto, la amplia experiencia de Finlandia en el apoyo a las zonas forestales enmarcadas en explotaciones agrícolas puede resultar de gran interés.

Los aspectos técnicos han podido pasar desapercibidos, pero pueden resolverse fácilmente. Sin embargo, también es necesario tener en cuenta los aspectos multisectoriales que son esenciales en todas las intervenciones finlandesas. Los estudios demuestran que los resultados a este respecto son decepcionantes, lo que en parte se debe a cómo se han diseñado, financiado y controlado las intervenciones. A continuación se aportan recomendaciones para solucionar esta deficiencia. Dado que Finlandia ya posee experiencia en la adaptación de la gestión forestal a una amplia variedad de objetivos, no debería ser difícil transferir los conceptos y enfoques usados aquí a los países socios, incluyéndolos en las intervenciones realizadas con apoyo finlandés. Muchos de los aspectos multisectoriales se refieren esencialmente a la inclusión social y la igualdad. Una fase de diseño más detallada combinada con un sistema de gestión basado en matrices podría resultar muy útil para garantizar la consecución de mejores resultados en estos ámbitos.

Resultados	Conclusiones	Recomendaciones
Diseño de la intervención		
<p>El éxito limitado con los aspectos multisectoriales de carácter más amplio se debe en parte a la falta de suficiente experiencia en las misiones iniciales de identificación y a que el tamaño y las funciones de la mayoría de los equipos han sido muy limitados. El diseño de la intervención sería diferente si se abordara desde el principio pensando en los beneficios y los aspectos globales.</p>	<p>El diseño de una intervención forestal depende de la prioridad relativa de los distintos objetivos. Existen buenas prácticas establecidas por otros donantes que podrían resultar beneficiosas para el diseño. Además, Finlandia y las empresas asesoras cuentan con una importante capacidad para proporcionar competencias complementarias.</p>	<p>Proceder a una revisión de los sistemas de valoración de las intervenciones de otros donantes, especialmente por lo que respecta a la gestión de aspectos multisectoriales, y garantizar la creación de amplios equipos multidisciplinares destinados a la identificación y la evaluación.</p>
<p>El proceso mediante el que se diseña la intervención en Helsinki no recoge todos los beneficios potenciales de la experiencia disponible. El sistema depende demasiado de las personas que trabajan en la oficina, que pueden carecer de experiencia, y de especialistas que no cumplen con las formalidades.</p>	<p>El sistema actual restringe la coherencia y las sinergias que podrían lograrse reuniendo toda la experiencia disponible en un enfoque de equipo, incluidas las empresas asesoras, durante la fase de diseño. En algunos casos, las propuestas no son realistas para los países socios.</p>	<p>Hacer una revisión más crítica del diseño de la intervención en la fase inicial de identificación mediante un equipo multidisciplinar en la sede del MFA que reúna a todos los sectores pertinentes y se gestione mediante matrices.</p>
<p>Se han logrado menos avances en el caso de los socios con menos capacidad. La complejidad de muchas de las intervenciones asume de modo poco realista la disponibilidad de sistemas y suficiente capacidad. No está claro que se haya evaluado correctamente la capacidad real en la fase de</p>	<p>Dado que las intervenciones son cada vez de mayor envergadura y más complejas, las limitaciones de capacidad son cada vez más esenciales. Aunque la capacidad en las esferas superiores puede ser adecuada, existen importantes limitaciones en cuanto a la experiencia en el nivel me-</p>	<p>Garantizar que se evalúa la capacidad nacional durante el diseño y a todos los niveles correspondientes, inclusive sobre el terreno cuando sea necesario, y que se integra en el diseño la creación de la capacidad requerida a todos los niveles.</p>

diseño de múltiples intervenciones.	dio y sobre el terreno, especialmente entre los socios africanos.	
Aunque se ha demostrado que la limitación de los resultados es generalizada, esto puede deberse a la carencia de datos de referencia y a las restricciones de los sistemas de informes, lo que se traduce en una infravaloración de los resultados. Los enfoques de donantes múltiples provocan dificultades a la hora de determinar la repercusión de la ayuda finlandesa.	Un sistema más riguroso de recopilación de información de referencia y de seguimiento de los indicadores puede solucionar el problema. Finlandia posee una amplia experiencia (por ejemplo, en la realización y el control de inventarios de recursos forestales), que podría usarse mejor para contribuir al seguimiento.	Mejorar los indicadores de evaluación de los logros y resultados, la recopilación de datos pertinentes y la creación de informes. En caso necesario, debe aportarse ayuda específica para mejorar la recopilación de información, el análisis y la generación de informes.
Condicionantes		
Parece haber una resistencia generalizada a hacer cumplir los condicionantes de la financiación. Este hecho puede resultar más problemático si se utiliza la financiación REDD+, ya que los pagos únicamente se efectúan como contrapartida de logros reales. Laos y Zambia presentan problemas importantes de capacidad para cumplir los condicionantes.	La imposibilidad de hacer cumplir los condicionantes en Laos y Zambia ha socavado las potenciales ventajas para Finlandia y para las comunidades colaboradoras, lo que resulta crucial. Al permitir el agravamiento de estas situaciones, existe el riesgo de que las ganancias obtenidas en el ámbito social se pierdan debido a la imposibilidad de lograr ganancias económicas.	En los países en los que la incapacidad del Gobierno de asumir sus compromisos esté perjudicando el avance y los resultados de las intervenciones, es necesario implantar un sistema distinto a las revisiones reiteradas, un sistema que fuerce el cambio o que, al menos, ponga de relieve que se conoce el problema y si éste es o no aceptable.
Sistemas de información mejorados		
La estructura institucional de Finlandia, un país que aún obtiene enormes beneficios económicos de su sector forestal, es eficaz en cuanto a la co-	La coordinación multisectorial y la calidad de la información son esenciales para mejorar la eficacia institucional en los países socios. Finlandia	En los casos en los que la coordinación multisectorial es deficiente y en los que faltan sistemas de información, utilizar la experiencia finlandesa

<p>ordinación de los flujos de información entre instituciones y sectores para fines de planificación y generación de informes referentes a los compromisos internacionales. También cuenta con una larga tradición de recopilación y uso de información.</p>	<p>cuenta con experiencia para proporcionar modelos y crear competencia en los países socios. Esa capacidad de creación será de gran ayuda para las futuras intervenciones finlandesas y tendrá valor para los socios.</p>	<p>para mejorar ambos procesos mediante asesoramiento y apoyo específico a corto plazo, incluidos sistemas de apoyo que posibiliten un compromiso continuo a largo plazo.</p>
<p>Ha sido difícil, incluso imposible en algunos casos, localizar copias del material correspondiente. Las embajadas suelen tener buenos sistemas de archivos pero parece que el MFA no usa correctamente los de las empresas asesoras —que cumplen lo requerido según los contratos con el MFA— para fines formales.</p>	<p>Las deficiencias encontradas en la recuperación de documentos pueden subsanarse mediante el trabajo administrativo. Se trata de un problema de accesibilidad más que de archivado. La disponibilidad de información lista para su archivo en el MFA de Helsinki podría contribuir a mejorar la calidad de los debates internos.</p>	<p>Revisar el funcionamiento del sistema de archivo en la sede del MFA y hacer un mejor uso de la documentación que conservan las empresas asesoras según lo estipulado en sus contratos.</p>
Modalidades de ayuda		
<p>Las razones para escoger modalidades específicas de ayuda siguen sin estar claras, al igual que el margen que posee Finlandia para tomar decisiones. El fondo fiduciario de donantes múltiples de Vietnam ha resultado muy eficaz y las colaboraciones con EFI (zona occidental del los Balcanes) y FAO (Zambia) también han sido muy positivas.</p>	<p>Existe margen para mejorar la selección de las modalidades de ayuda y garantizar que se selecciona la más apropiada para cada intervención. Las modalidades deben ser adecuadas para las necesidades de todos los socios y deben reflejar las limitaciones existentes en los países socios.</p>	<p>Consultar a todos los implicados y analizar las ventajas y desventajas de las distintas modalidades con el fin de identificar las más eficaces en distintas situaciones, teniendo en cuenta que no hay ningún sistema totalmente perfecto.</p>
<p>Los requisitos específicos, las ventajas y las lim-</p>	<p>El análisis de la funcionalidad de las distintas</p>	<p>Recurrir al análisis para preparar una directriz</p>

<p>itaciones de las distintas modalidades deberían definirse y debatirse de un modo más claro.</p>	<p>modalidades en diversas situaciones puede ayudar a identificar indicadores, además de la modalidad más adecuada en distintas situaciones y los factores influyentes.</p>	<p>para la toma de decisiones que identifique los aspectos esenciales que deben tenerse en cuenta a la hora de seleccionar la modalidad de ayuda para las intervenciones específicas en los distintos países socios.</p>
<p>La velocidad de respuesta de Helsinki es inferior a la óptima y se han detectado evidencias de retrasos que repercuten en el progreso. No está claro por qué no se ha descentralizado la toma de decisiones.</p>	<p>Esta cuestión está relacionada con la eficacia del diseño y el seguimiento de las intervenciones. Cuando mejoren, podría resultar factible y positivo optar por una mayor descentralización.</p>	<p>Revisar la eficacia del actual sistema administrativo con respecto a la velocidad de acción y al nivel de delegación permitido.</p>
<p>Existe una notable experiencia técnica en los países socios gracias a los asesores de las embajadas y al personal contratado. La carga administrativa que soportan estas personas puede estar obstaculizando su contribución potencial a aspectos técnicos.</p>	<p>La cantidad de aspectos técnicos que no han sido resueltos es sorprendente dado el nivel de experiencia de Finlandia puesto a disposición de los países socios en las embajadas y mediante los asesores técnicos. La conclusión es que este personal no siempre se usa correctamente a pesar de su alto coste.</p>	<p>Revisar el uso del personal de asistencia técnica para incluir asesores forestales sobre el terreno y evaluar hasta qué punto están realizando su función de asesoramiento técnico y si se podría y debería hacer un mejor uso de sus competencias.</p>
Valor añadido finlandés		
<p>Existe un enorme potencial de valor añadido para los recursos biológicos y forestales que no se ha explotado adecuadamente durante los últimos años. Finlandia tiene mucho que ofrecer en cuanto a planificación, sistemas de información, formación y educación,</p>	<p>A la vista de las conclusiones sobre la relativa escasez de resultados económicos y la necesidad de incrementar la producción y la generación de beneficios, la experiencia disponible tiene mucho que ofrecer y debe usarse mejor. En estos momentos, la falta</p>	<p>Realizar una revisión de las intervenciones en proceso y planificadas en todos los países socios para identificar dónde y cómo podría aplicarse la experiencia finlandesa para solucionar problemas, y crear nuevas oportunidades que mejoren los logros que</p>

<p>silvicultura y zonas forestales en explotaciones agrícolas. Debe revisarse este potencial.</p>	<p>de experiencia técnica es un problema importante para el desarrollo forestal, especialmente entre los socios africanos.</p>	<p>apuntan hacia la reducción de la pobreza y el desarrollo sostenible.</p>
<p>Convenios internacionales</p>		
<p>Los puntos de contacto para los convenios internacionales relativos a recursos forestales y biológicos en los países socios suelen estar en distintas agencias y ministerios. No se han hallado mecanismos de coordinación en ninguno de los países socios en los que esto puede suponer un problema.</p>	<p>Finlandia ha sabido comprometerse en gran medida en convenios internacionales, especialmente desde una perspectiva nacional, y resultaría beneficioso contribuir a que los países socios desarrollaran enfoques más coordinados por lo que respecta a sus obligaciones internacionales.</p>	<p>Ayudar a los países socios a desarrollar mecanismos eficaces que mejoren la coordinación entre los distintos ministerios y agencias en todo lo referente a los convenios internacionales sobre recursos biológicos y forestales.</p>
<p>Finlandia ha participado activamente como país en los foros internacionales correspondientes y ha apoyado su programa bilateral mediante enfoques internacionales —como los NFP— consiguiendo buenos resultados. Existen múltiples puntos de contacto entre la posición nacional y la de desarrollo que podrían explotarse en beneficio de los países socios y de la coherencia global de la ayuda al desarrollo finlandesa.</p>	<p>La forma en la que Finlandia ha abordado los convenios internacionales es un modelo útil para muchos países, incluidos sus socios para el desarrollo forestal. Parece que Finlandia puede ser más proactiva a la hora de ayudar a sus socios en las reuniones internacionales para garantizar la consecución de mayores beneficios y lograr compromisos más factibles.</p>	<p>Utilizar su influencia en las reuniones internacionales para garantizar que no se olvidan las necesidades de los países más pobres y más débiles, que las propuestas entran dentro de los límites de lo que pueden cumplir, que se presta ayuda en los casos necesarios y que los países con las necesidades más acuciantes pueden acceder a la mayor proporción de los beneficios.</p>

RESUMO

A Avaliação de Desenvolvimento (EVA-11) do Ministério dos Negócios Estrangeiros (MNE) da Finlândia promoveu uma Avaliação das Dimensões da Sustentabilidade na Abordagem de Redução da Pobreza, relativamente à ajuda ao desenvolvimento por parte da Finlândia. A finalidade desta avaliação global é determinar a forma como a abordagem de desenvolvimento sustentável, ao nível económico, ecológico e social, permitiu e contribuiu para a evolução até ao objectivo global da política de desenvolvimento finlandesa, designadamente a redução da pobreza. Como complemento desta avaliação mais vasta, foi realizada uma avaliação mais específica das intervenções de diversidade florestal e biológica levadas a cabo entre 2000 e 2010. A orientação aponta para uma avaliação do desempenho e dos resultados, relativamente à forma como as intervenções contribuíram para as três dimensões do desenvolvimento sustentável.

Em Outubro de 2007, o Governo da Finlândia adoptou uma nova política de cooperação, denominada *Programa da Política de Desenvolvimento 2007: Estratégia para uma Comunidade Mundial Sustentável e Justa*. A política realça o desenvolvimento sustentável e a redução da pobreza (Ministério dos Negócios Estrangeiros da Finlândia 2007). Para sustentar esta política, o Governo da Finlândia emitiu as *Orientações da Política de Desenvolvimento para o Sector Florestal* (Ministério dos Negócios Estrangeiros da Finlândia 2009b), cujo objectivo é reforçar as condições para uma gestão florestal sustentável, conseguindo desta forma atingir um crescimento económico justo, reduzir a pobreza e prevenir os riscos ambientais.

Esta avaliação foi realizada simultaneamente com duas outras subavaliações: uma sobre o sector da energia e outra sobre os créditos concessionais. As três avaliações constituem um complemento de uma avaliação sintetizada, com os resultados de avaliações temáticas anteriores relativas ao período 2008–2010. As avaliações são compostas por duas partes: um estudo teórico inicial e uma fase de trabalho de campo posterior. A metodologia utilizada consistiu na aplicação de dez perguntas de avaliação incluídas nos termos de referência, no âmbito dos critérios de avaliação da OCDE (Organização de Cooperação e de Desenvolvimento Económicos) (relevância, eficiência, eficácia, sustentabilidade e impacto), bem como de outros critérios acordados, de valor acrescentado finlandês, coerência, conexão, coordenação e complementaridade.

O conjunto de intervenções revistas incluíram seis países que são parceiros de longa data do programa florestal do MNE (Quênia, Moçambique, Tanzânia, Zâmbia, Vietname e Nicarágua), bem como o Laos e intervenções regionais na América Central e nos Balcãs Ocidentais. Também foi realizada uma breve revisão das intervenções da Finlândia no contexto internacional. A revisão do apoio aos recursos biológicos limitou-se às intervenções em países parceiros e no contexto internacional.

Apesar dos níveis gerais de financiamento e esforços envidados, as constatações são algo decepcionantes em termos de resultados positivos e do impacto na redução da

pobreza. Registrou-se uma evolução relativamente positiva no reforço do pilar social e, até certo ponto, no sector ambiental. No entanto, os benefícios económicos tangíveis foram extremamente limitados. Na maioria dos países parceiros, o impacto e as alterações globais também foram relativamente limitados, apresentando bons resultados ao nível local mas menos visíveis ao nível nacional.

O impacto limitado na redução da pobreza pode dever-se, em parte, à falta de dados de base e indicadores de monitorização. No entanto, todos os países parceiros sofreram aumentos de população significativos e reduções nas áreas e na qualidade das suas florestas. Estes factores realçam a importância do aumento da produtividade, no caso de a abordagem à pobreza passar pela utilização da floresta restante. Para este efeito, foram adoptadas duas estratégias principais. A primeira é composta por uma gestão colaborativa das florestas naturais como meio de subsistência (em África) e produção (no Laos e na América Central). A segunda estratégia consiste na utilização da plantação, cujo interesse está a aumentar em praticamente todos os parceiros.

Embora se tenha verificado uma evolução relativamente positiva no pilar de desenvolvimento social e, em menor escala, no pilar ambiental, os riscos de um desempenho económico deficiente estão a prejudicar esta evolução. Os problemas ao nível da política estão relacionados com a retenção excessiva de receitas por parte do governo, a falta de mecanismos legais para a partilha de receitas e o reinvestimento limitado ou inexistente nos recursos de base. Estes problemas devem-se aos deficientes conhecimentos técnicos e à capacidade limitada de muitos países parceiros, especialmente em África. O objectivo da Gestão Florestal Sustentável (GFS) é comum a todos os parceiros, fortemente apoiado pela Finlândia nos processos intergovernamentais e especificamente registado nas intervenções mais recentes. O seu sucesso é limitado por restrições técnicas e em termos de capacidades, que necessitam de ser identificadas e resolvidas. A maior evolução registada, no âmbito da GFS, verificou-se nos Balcãs Ocidentais.

Muitas das intervenções examinadas incluem uma gestão florestal colaborativa, tendo sido analisadas inúmeras situações e abordagens diferentes. Até ao momento, o que tem faltado é a capacidade de alargar o alcance destes estudos-piloto – muitos dos quais foram bem sucedidos ao nível local – de modo a dar lugar a lucros e reinvestimentos. Para tal, serão necessárias acções coordenadas tanto ao nível da política como do trabalho de campo. Se não se verificarem mudanças rapidamente, perder-se-á a oportunidade de manter o interesse das comunidades. A gestão colaborativa representa um potencial substancial tanto para a redução da pobreza como para o crescimento económico, desde que as restrições possam ser superadas.

Em todos os parceiros africanos, tem sido dada pouca atenção à sustentação dos recursos de base. Existem poucos planos de gestão adequados e o leque de opções de gestão propostas é frequentemente limitado, devido à falta de conhecimentos e de avaliação das necessidades das partes interessadas. Noutras regiões, o planeamento tem tido mais êxito e têm-se registado benefícios limitados.

As oportunidades de financiamento florestal através do programa REDD+ (Reducing Emissions from Deforestation and Forest Degradation - Redução de Emissões da Desflorestação e da Degradação Florestal) são amplamente discutidas e tem-se verificado um bom apoio na Zâmbia, através da FAO (Food and Agricultural Organisation - Organização das Nações Unidas para a Alimentação e a Agricultura), no Laos, na Tanzânia e no Vietname. O Nepal também recebeu apoio através do Instituto de Investigação Florestal Finlandês. Se os países beneficiarem do REDD+, serão necessárias competências adequadas na Monitorização, Informação e Verificação, além do facto de os países terem de atingir os objectivos acordados. A Finlândia possui um potencial significativo neste tipo de apoio, graças à sua experiência em inventários e à sua posição de destaque em diversos fóruns internacionais. Poderia ser útil uma ligação mais forte que apoiasse os países parceiros em reuniões internacionais importantes.

O Vietname, em particular, iniciou um programa activo de plantação, incluindo abordagens a pequenos agricultores. Apesar da grande percentagem de sucesso, existe algum risco de os proprietários mais pobres serem excluídos e de o vasto conjunto de opções propostas nem sempre favorecer o meio de subsistência. A expansão da plantação comercial tem um enorme interesse na Tanzânia, Moçambique, Quênia e Laos. Em África, os planos apontam para que os programas sejam promovidos por investidores externos. Em muitos casos, perderam-se capacidades e infra-estruturas previamente existente, tais como provisões de sementes. Estes programas parecem depender fortemente da responsabilidade social dos investidores, sendo necessária uma aplicação eficaz de normas e orientações. O grau de envolvimento dos pequenos agricultores não é totalmente claro. Se o desenvolvimento da plantação se destina a atingir os objectivos mais vastos de redução da pobreza e de um desenvolvimento sustentável, será necessário prestar atenção de modo a garantir oportunidades mais extensas, que vão além do simples emprego, e criar um processo local de valor acrescentado.

A capacidade limitada, especialmente em África, é uma questão que causa grande preocupação. Existe uma escassez de números, assim como uma escassez de conhecimentos e experiência, especialmente nas áreas técnicas. Estas duas limitações podem ser superadas rapidamente, desde que seja prestado o apoio necessário. A Finlândia está bem posicionada para ajudar a prestar este apoio. Grande parte das necessidades prendem-se ao nível técnico, e não ao nível profissional, bem como ao nível do aconselhamento, e não ao nível da formação. Mais uma vez, trata-se de uma abordagem em que os especialistas finlandeses têm estado envolvidos, de uma forma geral, e na qual têm obtido sucesso.

A notoriedade da Finlândia no regime intergovernamental sobre a floresta, a biodiversidade e as alterações climáticas, assim como o seu forte apoio a dois processos conduzidos pela FAO – a Avaliação Global de Recursos Florestais e o Fundo para o Programa Florestal Nacional – coloca este país numa posição única entre os colaboradores florestais, posição esta que é ainda mais reforçada graças à enorme importância económica da floresta na economia finlandesa. Em vários países parceiros, a floresta está a ser submetida a uma análise aprofundada para garantir que aspectos mais vastos, tais como a biodiversidade e os direitos locais, são devidamente respeitados. A

Finlândia, através do seu claro compromisso de cumprimento de normas internacionais durante o processo de gestão florestal, emergiu como um líder e modelo natural para outros países.

A quantidade e a proporção de Ajuda ao Desenvolvimento Ultramarino finlandesa, tanto em recursos florestais como biológicos, aumentaram nos últimos anos. Isto possibilitou a realização de intervenções de maior escala, que podem ter um maior impacto. Embora a aplicação das Orientações da Política para o Sector Florestal do MNE seja evidente nas intervenções mais recentes, é demasiado cedo para constatar efeitos assinaláveis. Contudo, as Orientações proporcionam uma base de trabalho extremamente sólida. Não há dúvida de que seria vantajoso utilizar e aplicar os conhecimentos da Finlândia, adquiridos ao longo da realização de um vasto conjunto de actividades florestais, a um nível muito mais elevado do que foi até ao momento. Conforme referido anteriormente, o planeamento e o inventário, a integração da conservação, o processamento eficiente, a formação e o aconselhamento são possíveis áreas para uma maior actividade. Em particular, a longa experiência da Finlândia no apoio a florestas rústicas seria especialmente valiosa neste contexto.

Embora as questões técnicas possam ter sido negligenciadas e possam ser rapidamente resolvidas, também é necessário tomar em consideração as questões transversais, essenciais em todas as intervenções da Finlândia. As constatações revelam resultados no geral decepcionantes, relativamente a essas questões. Uma parte do problema parece estar relacionada com a forma como as intervenções foram concebidas, financiadas e monitorizadas. Para colmatar esta falha, são apresentadas recomendações mais abaixo. Graças à experiência na adaptação da gestão florestal de modo a cumprir um vasto conjunto de objectivos na Finlândia, não deverá ser difícil transferir para países parceiros os conceitos e abordagens utilizados na Finlândia, e incluí-los nas intervenções de apoio finlandesas. Muitas das questões transversais estão relacionadas, fundamentalmente, com a inclusão social e a igualdade. Uma fase de projecto mais completa, associada a uma abordagem matricial à gestão, seria útil para garantir melhores resultados nestas questões.

Resultados	Conclusiones	Recomendaciones
Diseño de la intervención		
<p>El éxito limitado con los aspectos multisectoriales de carácter más amplio se debe en parte a la falta de suficiente experiencia en las misiones iniciales de identificación y a que el tamaño y las funciones de la mayoría de los equipos han sido muy limitados. El diseño de la intervención sería diferente si se abordara desde el principio pensando en los beneficios y los aspectos globales.</p>	<p>El diseño de una intervención forestal depende de la prioridad relativa de los distintos objetivos. Existen buenas prácticas establecidas por otros donantes que podrían resultar beneficiosas para el diseño. Además, Finlandia y las empresas asesoras cuentan con una importante capacidad para proporcionar competencias complementarias.</p>	<p>Proceder a una revisión de los sistemas de valoración de las intervenciones de otros donantes, especialmente por lo que respecta a la gestión de aspectos multisectoriales, y garantizar la creación de amplios equipos multidisciplinarios destinados a la identificación y la evaluación.</p>
<p>El proceso mediante el que se diseña la intervención en Helsinki no recoge todos los beneficios potenciales de la experiencia disponible. El sistema depende demasiado de las personas que trabajan en la oficina, que pueden carecer de experiencia, y de especialistas que no cumplen con las formalidades.</p>	<p>El sistema actual restringe la coherencia y las sinergias que podrían lograrse reuniendo toda la experiencia disponible en un enfoque de equipo, incluidas las empresas asesoras, durante la fase de diseño. En algunos casos, las propuestas no son realistas para los países socios.</p>	<p>Hacer una revisión más crítica del diseño de la intervención en la fase inicial de identificación mediante un equipo multidisciplinario en la sede del MFA que reúna a todos los sectores pertinentes y se gestione mediante matrices.</p>
<p>Se han logrado menos avances en el caso de los socios con menos capacidad. La complejidad de muchas de las intervenciones asume de modo poco realista la disponibilidad de sistemas y suficiente capacidad. No está claro que se haya evaluado correctamente la capacidad real en la fase de</p>	<p>Dado que las intervenciones son cada vez de mayor envergadura y más complejas, las limitaciones de capacidad son cada vez más esenciales. Aunque la capacidad en las esferas superiores puede ser adecuada, existen importantes limitaciones en cuanto a la experiencia en el nivel me-</p>	<p>Garantizar que se evalúa la capacidad nacional durante el diseño y a todos los niveles correspondientes, inclusive sobre el terreno cuando sea necesario, y que se integra en el diseño la creación de la capacidad requerida a todos los niveles.</p>

diseño de múltiples intervenciones.	dio y sobre el terreno, especialmente entre los socios africanos.	
Aunque se ha demostrado que la limitación de los resultados es generalizada, esto puede deberse a la carencia de datos de referencia y a las restricciones de los sistemas de informes, lo que se traduce en una infravaloración de los resultados. Los enfoques de donantes múltiples provocan dificultades a la hora de determinar la repercusión de la ayuda finlandesa.	Un sistema más riguroso de recopilación de información de referencia y de seguimiento de los indicadores puede solucionar el problema. Finlandia posee una amplia experiencia (por ejemplo, en la realización y el control de inventarios de recursos forestales), que podría usarse mejor para contribuir al seguimiento.	Mejorar los indicadores de evaluación de los logros y resultados, la recopilación de datos pertinentes y la creación de informes. En caso necesario, debe aportarse ayuda específica para mejorar la recopilación de información, el análisis y la generación de informes.
Condicionantes		
Parece haber una resistencia generalizada a hacer cumplir los condicionantes de la financiación. Este hecho puede resultar más problemático si se utiliza la financiación REDD+, ya que los pagos únicamente se efectúan como contrapartida de logros reales. Laos y Zambia presentan problemas importantes de capacidad para cumplir los condicionantes.	La imposibilidad de hacer cumplir los condicionantes en Laos y Zambia ha socavado las potenciales ventajas para Finlandia y para las comunidades colaboradoras, lo que resulta crucial. Al permitir el agravamiento de estas situaciones, existe el riesgo de que las ganancias obtenidas en el ámbito social se pierdan debido a la imposibilidad de lograr ganancias económicas.	En los países en los que la incapacidad del Gobierno de asumir sus compromisos esté perjudicando el avance y los resultados de las intervenciones, es necesario implantar un sistema distinto a las revisiones reiteradas, un sistema que fuerce el cambio o que, al menos, ponga de relieve que se conoce el problema y si éste es o no aceptable.
Sistemas de información mejorados		
La estructura institucional de Finlandia, un país que aún obtiene enormes beneficios económicos de su sector forestal, es	La coordinación multisectorial y la calidad de la información son esenciales para mejorar la eficacia institucional en los	En los casos en los que la coordinación multisectorial es deficiente y en los que faltan sistemas de información, utilizar la

<p>eficaz en cuanto a la coordinación de los flujos de información entre instituciones y sectores para fines de planificación y generación de informes referentes a los compromisos internacionales. También cuenta con una larga tradición de recopilación y uso de información.</p>	<p>países socios. Finlandia cuenta con experiencia para proporcionar modelos y crear competencia en los países socios. Esa capacidad de creación será de gran ayuda para las futuras intervenciones finlandesas y tendrá valor para los socios.</p>	<p>experiencia finlandesa para mejorar ambos procesos mediante asesoramiento y apoyo específico a corto plazo, incluidos sistemas de apoyo que posibiliten un compromiso continuo a largo plazo.</p>
<p>Ha sido difícil, incluso imposible en algunos casos, localizar copias del material correspondiente. Las embajadas suelen tener buenos sistemas de archivos pero parece que el MFA no usa correctamente los de las empresas asesoras —que cumplen lo requerido según los contratos con el MFA— para fines formales.</p>	<p>Las deficiencias encontradas en la recuperación de documentos pueden subsanarse mediante el trabajo administrativo. Se trata de un problema de accesibilidad más que de archivado. La disponibilidad de información lista para su archivo en el MFA de Helsinki podría contribuir a mejorar la calidad de los debates internos.</p>	<p>Revisar el funcionamiento del sistema de archivo en la sede del MFA y hacer un mejor uso de la documentación que conservan las empresas asesoras según lo estipulado en sus contratos.</p>
<p>Modalidades de ayuda</p>		
<p>Las razones para escoger modalidades específicas de ayuda siguen sin estar claras, al igual que el margen que posee Finlandia para tomar decisiones. El fondo fiduciario de donantes múltiples de Vietnam ha resultado muy eficaz y las colaboraciones con EFI (zona occidental del los Balcanes) y FAO (Zambia) también han sido muy positivas.</p>	<p>Existe margen para mejorar la selección de las modalidades de ayuda y garantizar que se selecciona la más apropiada para cada intervención. Las modalidades deben ser adecuadas para las necesidades de todos los socios y deben reflejar las limitaciones existentes en los países socios.</p>	<p>Consultar a todos los implicados y analizar las ventajas y desventajas de las distintas modalidades con el fin de identificar las más eficaces en distintas situaciones, teniendo en cuenta que no hay ningún sistema totalmente perfecto.</p>

<p>Los requisitos específicos, las ventajas y las limitaciones de las distintas modalidades deberían definirse y debatirse de un modo más claro.</p>	<p>El análisis de la funcionalidad de las distintas modalidades en diversas situaciones puede ayudar a identificar indicadores, además de la modalidad más adecuada en distintas situaciones y los factores influyentes.</p>	<p>Recurrir al análisis para preparar una directriz para la toma de decisiones que identifique los aspectos esenciales que deben tenerse en cuenta a la hora de seleccionar la modalidad de ayuda para las intervenciones específicas en los distintos países socios.</p>
<p>La velocidad de respuesta de Helsinki es inferior a la óptima y se han detectado evidencias de retrasos que repercuten en el progreso. No está claro por qué no se ha descentralizado la toma de decisiones.</p>	<p>Esta cuestión está relacionada con la eficacia del diseño y el seguimiento de las intervenciones. Cuando mejoren, podría resultar factible y positivo optar por una mayor descentralización.</p>	<p>Revisar la eficacia del actual sistema administrativo con respecto a la velocidad de acción y al nivel de delegación permitido.</p>
<p>Existe una notable experiencia técnica en los países socios gracias a los asesores de las embajadas y al personal contratado. La carga administrativa que soportan estas personas puede estar obstaculizando su contribución potencial a aspectos técnicos.</p>	<p>La cantidad de aspectos técnicos que no han sido resueltos es sorprendente dado el nivel de experiencia de Finlandia puesto a disposición de los países socios en las embajadas y mediante los asesores técnicos. La conclusión es que este personal no siempre se usa correctamente a pesar de su alto coste.</p>	<p>Revisar el uso del personal de asistencia técnica para incluir asesores forestales sobre el terreno y evaluar hasta qué punto están realizando su función de asesoramiento técnico y si se podría y debería hacer un mejor uso de sus competencias.</p>
Valor añadido finlandés		
<p>Existe un enorme potencial de valor añadido para los recursos biológicos y forestales que no se ha explotado adecuadamente durante los últimos años. Finlandia tiene mucho que ofrecer en cuanto a planificación, siste-</p>	<p>A la vista de las conclusiones sobre la relativa escasez de resultados económicos y la necesidad de incrementar la producción y la generación de beneficios, la experiencia disponible tiene mucho que ofrecer y</p>	<p>Realizar una revisión de las intervenciones en proceso y planificadas en todos los países socios para identificar dónde y cómo podría aplicarse la experiencia finlandesa para solucionar problemas, y crear nuevas</p>

<p>mas de información, formación y educación, silvicultura y zonas forestales en explotaciones agrícolas. Debe revisarse este potencial.</p>	<p>debe usarse mejor. En estos momentos, la falta de experiencia técnica es un problema importante para el desarrollo forestal, especialmente entre los socios africanos.</p>	<p>oportunidades que mejoren los logros que apuntan hacia la reducción de la pobreza y el desarrollo sostenible.</p>
Convenios internacionales		
<p>Los puntos de contacto para los convenios internacionales relativos a recursos forestales y biológicos en los países socios suelen estar en distintas agencias y ministerios. No se han hallado mecanismos de coordinación en ninguno de los países socios en los que esto puede suponer un problema.</p>	<p>Finlandia ha sabido comprometerse en gran medida en convenios internacionales, especialmente desde una perspectiva nacional, y resultaría beneficioso contribuir a que los países socios desarrollaran enfoques más coordinados por lo que respecta a sus obligaciones internacionales.</p>	<p>Ayudar a los países socios a desarrollar mecanismos eficaces que mejoren la coordinación entre los distintos ministerios y agencias en todo lo referente a los convenios internacionales sobre recursos biológicos y forestales.</p>
<p>Finlandia ha participado activamente como país en los foros internacionales correspondientes y ha apoyado su programa bilateral mediante enfoques internacionales — como los NFP— consiguiendo buenos resultados. Existen múltiples puntos de contacto entre la posición nacional y la de desarrollo que podrían explotarse en beneficio de los países socios y de la coherencia global de la ayuda al desarrollo finlandesa.</p>	<p>La forma en la que Finlandia ha abordado los convenios internacionales es un modelo útil para muchos países, incluidos sus socios para el desarrollo forestal. Parece que Finlandia puede ser más proactiva a la hora de ayudar a sus socios en las reuniones internacionales para garantizar la consecución de mayores beneficios y lograr compromisos más factibles.</p>	<p>Utilizar su influencia en las reuniones internacionales para garantizar que no se olvidan las necesidades de los países más pobres y más débiles, que las propuestas entran dentro de los límites de lo que pueden cumplir, que se presta ayuda en los casos necesarios y que los países con las necesidades más acuciantes pueden acceder a la mayor proporción de los beneficios.</p>

1 INTRODUCTION

1.1 Background

The evaluation of forestry and biological diversity interventions is one independent component of the wider study on the Evaluation of the Sustainability Dimension in Addressing Poverty Reduction commissioned by the Development Evaluation office (EVA-11) of the Ministry for Foreign Affairs in Finland. The other independent evaluations within the umbrella evaluation context relate to the energy sector and to concessional credits. The Desk-based studies of the Finnish interventions on forestry and biological diversity identified a number of issues, both country-specific and more general, that would benefit from field follow-up. These were partially discussed during the workshop held in Helsinki on 5 May 2010 and pursued during a series of further meetings organised in Helsinki during the week commencing 24 May 2010. These meetings were as far as possible held jointly for each of the individual evaluations and the Synthesis Evaluation.

The evaluation on forestry and biological resources was commissioned as two separate parts: the first part was a desk-based study of documents; the second part comprises field visits. The Terms of Reference (ToR) are attached as Annex 1. Annex 2 lists the people consulted during the evaluation whilst Annex 3 lists the interventions that were considered in the desk study. Initially, it was envisaged that the field visits would be limited to three countries but the findings from the desk study recommended that a much wider set of field visits would be beneficial. At the same time, it was also agreed that the more detailed study of the coherence and synergy between the bilateral programme and Finland's work in the wider field of forestry-related international conventions would be valuable. This aspect was presaged in the initial inception report for the evaluation and discussed in more detail during and after the workshop on 5 May. As a result of these two elements, an expanded agenda of field visits was approved.

In order to minimise the burden on embassies and national institutions, the field visits of the three independent evaluations were coordinated as far as practicable. The need for coordination was thus a major consideration in setting the dates for forestry visits in Kenya, Vietnam and Nicaragua. As part of the forestry team is based in Kenya, the coordination was more easily accommodated although it affected the timing of other visits undertaken by the Kenya based people.

In allocating countries for field visits to individuals, the plan was as far as possible that people who had led the desk study for a particular country and drafted the country report would undertake the field visit. This did not always prove possible to achieve but in cases where it was a different person, close liaison was maintained. The approach adopted in delivering the evaluation has been very much a team one with close contact, regular exchanges by email and use of phone and internet discussion when required.

1.2 Finnish Development Policy

Finland's current development policy dates from 2007 although the main elements long predate this. Poverty reduction has been a core goal since 1993, and in making this so explicit, Finland was a leader. The goal of poverty reduction is identified as only being achievable sustainably through attention to all three elements – economic, social and environmental – being addressed and tackled in a coherent way.

Furthermore, the policy recognises, and has done so for a long time, that the enabling issues of good governance, respect for human rights, gender and social equity, combating Human Immuno Deficiency Virus/ Acquired Immuno Deficiency Syndrome (HIV/AIDS), and a strong civil society must also be in place, and supported as appropriate, to secure sustainable poverty reduction. Climate change is identified as a major issue in its own right and also for its potential to affect other core development concerns including peace building, food and energy security and environmental issues: the last encompassing biodiversity and water resources.

The modalities of development envisaged encompass direct assistance as well as economic development driven by trade and an active and ethical private sector. Finland is an active participant in international development fora and in European Union (EU) development and seeks to build cross-sectoral approaches that are coherent and mutually supporting. Finland signed the 2005 Paris Declaration and is prominently engaged in harmonisation among donors and partner countries. Finland is also, of course fully committed to the Millennium Development Goals (MDG) and these provide the basic framework for its development assistance.

1.3 Support to Forestry and Biological Resources

Support from Finland for the forestry and biological resources sectors is fully congruent with the wider development policy. While it has the same overarching aims of poverty reduction and sustainable development, the Development Policy Guidelines for Forest Sector (MFA 2009b) amplifies the vital roles forestry resources can and must play as well as identifying mechanisms and modalities for aid delivery.

The four global objectives identified and agreed by United Nations Forum on Forests (UNFF) form the cornerstones. These are:

- ❖ Reverse the loss of forest cover worldwide through sustainable forest management (SFM), including protection, restoration, afforestation and reforestation, and increase efforts to prevent forest degradation;
- ❖ Enhance forest-based economic, social and environmental benefits, including by improving the livelihoods of forest-dependent people;
- ❖ Increase significantly the area of sustainably managed forests, including protected forests, and increase the proportion of forest products derived from sustainably managed forests; and

- ❖ Reverse the decline in official development assistance for sustainable forest management and mobilize significantly-increased new and additional financial resources from all sources for the implementation of SFM.

In supporting these objectives, Finland seeks to bring its particular expertise to give added-value to strengthening the conditions under which SFM can flourish and help deliver the economic, environmental and social benefits SFM can provide. Finland itself is a model of such national development in a country that was highly dependent on forestry and in which forestry still plays an important role in the economy.

Forestry support is concentrated on a limited number of partner countries while support for biological resources, much of which is channelled through international institutions, is more widely spread.

There are four primary themes for forestry support:

- ❖ Supporting national forestry programmes;
- ❖ Strengthening the importance of the forest sector in combating climate change and adapting to it;
- ❖ Integrating forest sector development into rural development, national land allocation processes and agriculture policy; and
- ❖ Supporting international forest policy processes.

In delivering these four themes, strategic partnerships are developed with United Nations (UN) and other international agencies and Consultative Group on International Agricultural Research (CGIAR) institutes. The expertise of Finnish and European institutions, including the European Forestry Institute in Joensuu, is harnessed and partners include a wide range of national and international Non Governmental Organisations (NGOs).

In terms of modalities and instruments, the aim is to identify and use the most appropriate and a wide range of possibilities is noted in the Finnish Development Policy Guidelines for the Forest Sector (MFA 2009b).

1.4 Intergovernmental Forest-related Processes

Finland is an active participant in the core international instruments and bodies that are relevant to forestry: including UNFF, International Tropical Timber Organisation (ITTO), United Nations Framework Convention on Climate Change (UNFCCC), Convention on Biological Diversity (CBD), Convention on International Trade in Endangered Species (CITES), and the Global Environment Facility (GEF). Finland is also a major supporter of Food and Agriculture Organization of the United Nations (FAO), which both delivers the Global Forest Resources Assessment and assists with development and implementation of National Forest Programmes through its National Forest Programme Facility (NFPF). The former is vital for international re-

porting, including MRV for REDD+, and the latter is the primary mechanism at national level through which NFPF funding recipients pursue SFM and develop their forestry sectors. Finland has been an active proponent of SFM as a major aim of forestry management at all levels, from management unit to the national level and beyond.

Finland also supports international bodies in the CGIAR group, such as the Centre for International Forestry Research (CIFOR), the World Agroforestry Centre, and the International Union of Forest Research Organisations (IUFRO), which has been an important partner in facilitating aid delivery, notably in the Western Balkans.

Within the international forest regime, Finland, as a major forestry donor, has two sets of interests. Because Finland is an active participant in all of the major international bodies it has commitments to report on what is happening within Finland. At the same time, its Official Development Assistance (ODA) mandate means that there is interest from MFA in respect of its partner countries. Annex 3 presents a tabular summary of the focal points for each of the more important forestry-related instruments and bodies for Finland itself and for its major partner countries receiving forestry assistance.

As a member of the EU, Finland also has interests in EU-wide forestry-related initiatives, including the Programme on Improved Forest Governance and Trade (EU-FLEGT) and EU development assistance for forestry. It should be noted that the initial focus of EU-FLEGT was on tropical countries exporting timber to the EU, and Finland is a very minor importer of tropical wood and wood products. The programme as it has evolved, however, has moved towards including temperate countries such as Russia, from which Finland is a major importer. There is thus overlap from trade and investment between the Finnish national forestry sector and Finland's interests in forestry globally. Finland has also been active in the Forests Europe group (formerly MCPFE), which is dedicated to promoting SFM within its members.

2 APPROACH AND METHODOLOGY

2.1 Approach Adopted and Rationale

The approach adopted and rationale for the forestry and biological resources evaluation largely reflected those detailed in the comprehensive Terms of Reference (ToR) (Annex 1).

Key components included: 1) a desk-based review of key programme and country intervention documentation previously sourced by the Development Evaluation office of the Ministry for Foreign Affairs of Finland (EVA-11); and, 2) a field-based assessment centred on addressing information and analytical gaps from the desk-based re-

view including interview of MFA-Headquarters (HQ) staff and country-based teams and Embassy staff.

Taking into consideration that three sector based evaluations took place simultaneously and each overlapped in at least one country and required meetings with the same MFA HQ staff, an internal harmonisation approach was adopted whereby joint evaluation meetings with MFA HQ staff, Embassy of Finland offices in common countries (e.g. Kenya and Vietnam) and key partner country ministries (e.g. Ministry of Planning and National Development in Kenya and the equivalent in Vietnam) were organised. One rationale for the in-country coordination between the independent evaluation missions was to apply principles of the Paris Declaration in terms of improving efficiency in use of country partner and Embassy staff time. Whilst this was partially achieved from the point of view of the in-country partners and MFA HQ staff, it did involve more preparatory time by the evaluation teams which were not sufficiently planned for in work plans and the individual meetings tended to exceed 60 minutes.

The evaluation on forestry and biological resources adopted a process shown diagrammatically in Figure 1. It commenced with a review of individual projects and programmes. These were evaluated using available reports and information, and in particular design documents, visit reports, reviews and evaluations. At the same time, consideration was given to MFA policies and guidelines, both the wider ones and those that are specific to the forestry and biological resources sectors as well as country specific material. The Finnish Development Guidelines for the Forest Sector (Ministry for Foreign Affairs of Finland 2009b) are obviously of particular importance in this as well as Finnish Development Policy Guidelines for Environment (Ministry for Foreign Affairs of Finland 2009a).

National and regional projects must of course also be set in the context of national and regional policies. In addition to those that are sector specific, there are also wider policies relating to national development and to poverty reduction as well as to the environment. Where appropriate, the evaluation also gave consideration to country and region specific policies and commitments relating to the international processes that impinge on forestry and biological resources.

2.1.1 Desk Phase

In accordance with the evaluation ToRs, a desk based assessment was undertaken on a number of closed and ongoing forest sector interventions (Annex 3) at global, regional and priority country levels.

The assessment was undertaken in accordance with a methodology outlined in section 2.2 and based on the review and analysis of material provided by the Development Evaluation office. The material included project cycle documentation, plans, mid-term reviews, and evaluations of the list of forest sector interventions provided by the Development Evaluation office. The desk analysis was also informed by the

preliminary compilation and analysis of information available on MFA support to the forestry sector (Ruotsalainen 2010) commissioned by the Development Evaluation office prior to the start of the evaluation. Regarding the biological resources the evaluation team took into consideration those interventions whose funding was more than 50% contributing to the implementation of the CBD and for which documentation was available.

The general findings from the desk review phase of the forestry and biological resources interventions highlighted the following:

- ❖ There is little evidence from the review of documents of measurable impact on poverty and environmentally sustainable development.
- ❖ Cross-cutting issues do not appear to have been as thoroughly integrated into the interventions as they might have been.
- ❖ In some countries, especially in Africa, despite long engagement it is not easy to see real progress in the sector.
- ❖ Processes have at times become the goal rather than outcomes from these processes while enhanced production has not featured prominently in the interventions.
- ❖ The document trail is incomplete in many cases and there may be additional evidence available that will go some way towards answering the points noted above.
- ❖ The biological resources are largely supported through global and regional initiatives or in countries that do not correspond to the priority countries and regions of the forestry sector.

Based on the results from the desk review, the Evaluation team recommended that both information gaps identified from the desk phase and available information triangulated through in-country assessments and interviews with MFA-HQ staff and country Embassies.

2.1.2 Field Phase

Based on the findings from the desk phase review, the Development Evaluation office endorsed the proposition to conduct in-depth country assessments of forestry and biological resources in Africa (Kenya, Mozambique, Tanzania and Zambia), Asia (Laos and Vietnam) and Central America (combining Nicaragua, Honduras and Costa Rica). For the Western Balkans, additional desk based review was undertaken by experts with recent previous work experience in the region. The rationale for selection of the country missions was that each country included past and current interventions thus covering the time period under review and offering an opportunity to identify changes overtime, information gaps were substantial and prevented a firm desk-based assessment, and current interventions had sufficient timeframes to have accumulated preliminary achievements and reflected the orientations of the Finnish Development Policy on forests.

In order to minimise the burden on embassies and national institutions, the field visits of the independent evaluation teams were coordinated as far as practicable. The need for coordination with the Energy and Concession Credit evaluations was thus a major consideration in setting the itineraries for forestry and biological evaluation team visits in Kenya, Vietnam and Nicaragua.

The field missions to selected countries and interviews in Helsinki took place in late May and June 2010. The main tool used was focused interviews and discussions with key individuals. These covered both the general points that were noted in several country reviews as well as country specific gaps. The full list of individuals consulted in Finland and during the field missions is found in Annex 2.

2.2 Methodology

The basic methodology applied was the standard OECD framework which examines *relevance, efficiency, effectiveness, impact* and *sustainability*. This is also in accordance with the MFA's own evaluation guidelines (Ministry for Foreign Affairs of Finland 2007b). In addition, we also took into consideration criterion of *coherence, coordination, compatibility, connectedness* and Finnish added value within the content of the five OECD criteria. The evaluation matrix (Annex 6) defines the criteria, their description and corresponding judgement criteria, indicators and means of verification under each of the 10 evaluation questions. These guided the work of the desk and field studies.

In the case of interventions that had previously closed, every effort was made to meet or at least contact those individuals who were key people; in many cases such people now hold different posts. Where direct contact was not possible, the reviewers endeavoured to establish telephone and/or email contact with key individuals. The information obtained was largely subjective and efforts were made to triangulate to the extent possible with other views and where available, objective evidence.

It was anticipated that local embassies and institutions would have additional documentation available. The full list of documentation consulted by the evaluation team is found in Annex 7. Individual reviewers established contacts and requested this in advance. The biological resources interventions proved lean in terms of documentation and all reviewers focused on trying to secure additional details for the larger and more important interventions relating to biological resources to complement that available for forestry, with varying degrees of success.

Finnish added value is an important item that was included in the mandate and addressed from the perspective in Finland, taking note of forestry relevant added value as well as the wider attributes Finland can offer relating to governance, ethics, concern for human rights and peace-building. It was discussed with key advisers and potential collaborators in Finland as well as being considered from the perspective of the partners to determine what they view as Finnish added value, whether they consider it has

been delivered and what elements appeared to be relevant in the light of the country studies. In essence, it relates to the extent that Finland can be differentiated from other donors and is thus important to the shape of the overall programme.

Following the interviews with MFA personnel conducted during the week commencing 24 May, contacts were established for further follow up with geographical desks to support the field visits. Close contact was also established with the advisers for forestry and environment as well as making arrangements for more detailed discussion with cross-cutting advisers.

On the basis of both the desk phase and field phase assessments, country/regional evaluations on MFA support to the forestry and biological resource sectors were compiled. From the synthesis of these country/region assessments, answers to the 10 evaluation questions laid down in the terms of reference are presented in Chapter 4. These two elements are then drawn together to provide the basis for Chapter 5, which examines the overall programme for forestry and biological resources against the standard OECD evaluation framework. Thereafter, following the Discussion in Chapter 6, Conclusions are presented in Chapter 7, and Lessons learned and Recommendations in Chapter 8.

The period of the evaluation is from 2000 onwards; the first years of the decade were included in the previous evaluation of the forestry sector from 1990 to 2002 (LTS International 2003). The elaboration of a forestry development strategy was one of the core recommendations of that evaluation. Although it was not finally published until 2009 (Ministry for Foreign Affairs of Finland 2009b), the policy guideline was being developed and refined for several years prior to that date.

It was considered important that the evaluation takes place against the policies and thinking, in Finland, in partner countries and in the international arena, at the time they were being designed and delivered. It is important not to judge earlier activities against current thinking and policies without recognising the changes that have occurred. Where relevant, the country evaluation reports have noted the major changes that have occurred since the interventions reviewed were initiated.

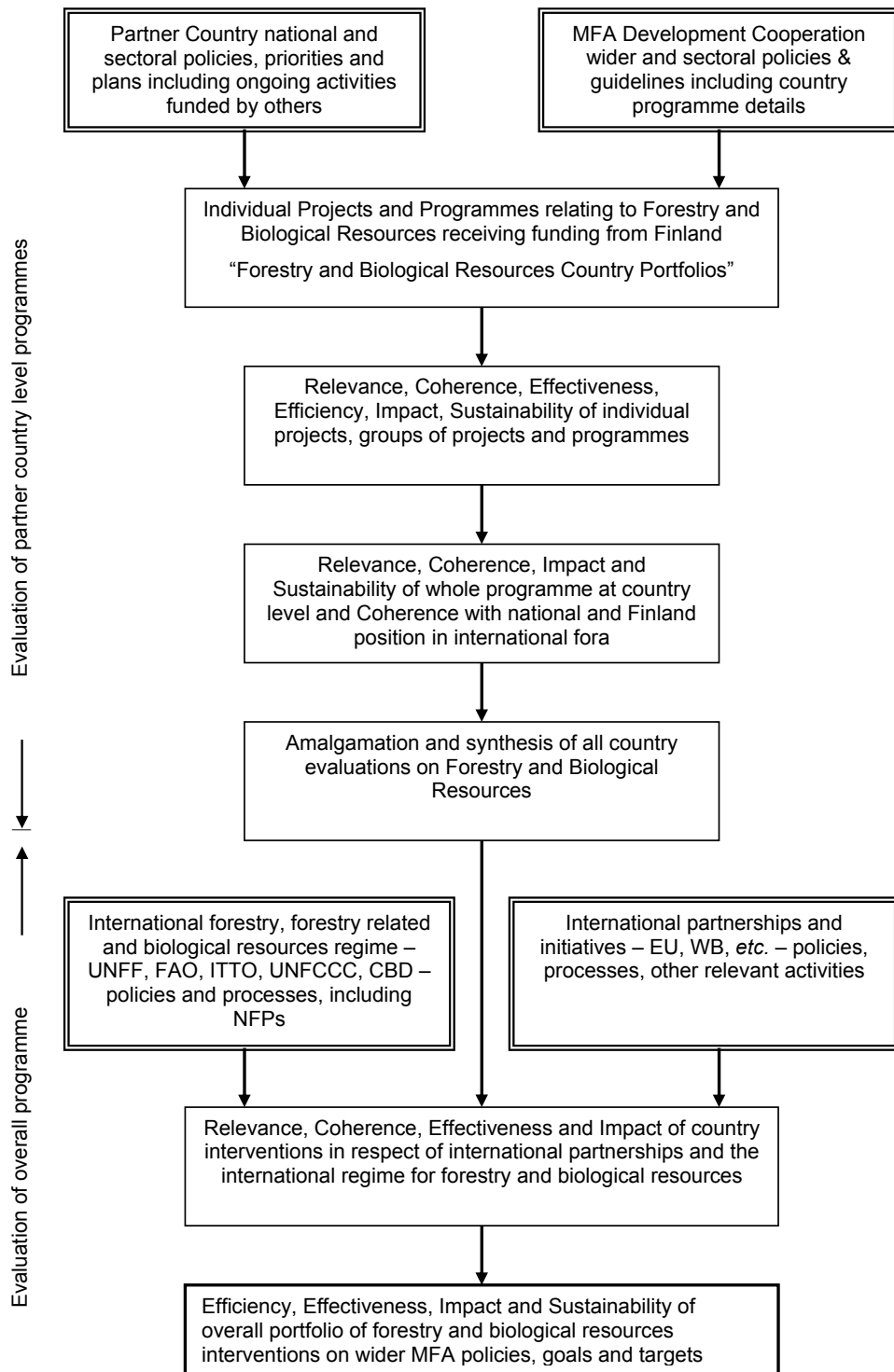


Figure 1 Forestry and Biological Resources Evaluation Process.

3 COUNTRY ASSESSMENT SUMMARIES

3.1 Africa

3.1.1 Kenya

The country synthesis draws on a desk study of country and project documents and meetings with key individuals in Finland and Kenya (Annex 2) that took place between April and June 2010. Key stakeholders met at the country level include staff of the Kenya Forest Service (KFS), the Ministry of Forests and Wildlife (MFW), the Ministry of State for Planning, National Development and Vision 2030 (MSP-NDV2030), the Ambassador and staff of the Embassy of Finland, donor representatives and civil society organisations.

The long history of MFA support in Kenya was suspended in 1998 due to the Government not endorsing a new Forestry Policy. It resumed in 2004 following a change in Government. The Miti Mingi Maisha Bora (MMMB) project was developed during 2006 and the inception phase started in July 2007 and ended in December 2009. The MMMB Implementation Phase commenced in September 2009 and will last for five years. The project is centred on supporting the forest sector reform in Kenya and is one of the MFA largest single country interventions and makes the MFA a significant partner to the Kenya Forest Service (KFS).

The main findings from the country assessment are:

- ❖ The MMMB is an ambitious programme that carries forward the main objectives of the MFA Development Policy Guidelines for Forest Sector (Ministry for Foreign Affairs of Finland 2009b) and the MFA Development Policy Programme (Ministry for Foreign Affairs of Finland 2007a), and is well integrated within the needs and priorities of the Kenyan forestry sector and main national development priorities. The MMMB has one of the largest MFA financial allocations (EUR 18,644,990) for a country intervention and is potentially a “flag ship” intervention for MFA should it be successful.
- ❖ However, the main project risks are associated with political commitment to effect reforms in the sector, namely the lifting of the logging ban and endorsement of guidelines and procedures for charcoal production and trade and for other woody and non-woody commodities.
- ❖ The Kenya Forest Service (KFS) is a semi-autonomous parastatal agency with an independent Board established in February 2007, following the endorsement of the new Forest Act of 2005. It has made significant progress in strengthening its institutional capacity with support from the United States Agency for International Development (USAID) and the MMMB. The latter played an important role in strengthening internal governance and management systems including the design and application of a financial management system which is now in use by KFS.

- ❖ The effective engagement of the Embassy of Finland in leading the Forest Sub-Committee of the Government of Kenya (GoK)/Partner Harmonisation and Coordination Committee on Environment has played an important role towards a successful design and implementation of the MMMB Inception Phases. The Government led MMMB project has also been effectively complemented with support to local NGOs engaged in the forestry sector using the Embassy Local Development Fund.
- ❖ Whilst the MMMB can have a positive impact towards sustainable development and poverty reduction in the medium to long-term, there is need to maintain focus in the short-term on continued institutional capacity building of KFS so as to ensure institutional sustainability.
- ❖ The Finnish led Technical Assistance (TA) team provides inputs in a range of technical areas that draw on Finnish added value in the areas of forest plantations, inventories, Small and Medium sized Enterprise (SMEs) and farm-based forestry among others. It was very effective during the Inception Phase and at the time of writing the report, the new team for the Implementation Phase is in the process of finalising workplans and best work practices.
- ❖ Support to the Ministry of Forests and Wildlife (MFW) and KFS through different aid modalities while under one intervention offers a case study for similar projects and serve to reinforce the mutually support nature of two separate components with one address regulatory requirements and National Forest Plan elaboration, and KFS addressing forest sector implementation and management.
- ❖ Cross-cutting issues (gender, equity, HIV/AIDs) were partially addressed during the Inception Phase and in the design of the Implementation Phase, but lacked clear direction on the “what” and “how”. For instance, indicators of change reflecting gender, equity and HIV/AIDs were not found in the logical framework at the level of objectives and results and therefore no corresponding activities and financial allocations. A study has been commissioned on gender and social equity to provide this input.

3.1.2 Mozambique

This report is a synthesis of the findings of a desk study, interviews of stakeholders and staff of MFA in Helsinki and Mozambique that took place between April and June 2010. Stakeholders interviewed by phone or met physically in Mozambique included the Forestry Advisor-Finnish Embassy, Head of Cooperation- Finnish Embassy, technical assistance to two Finnish programmes, government officials at national, provincial and district levels, civil society and private sector actors. The three programmes that were assessed were the Sustained Forest Resource Management Project in Zambézia and Inhambane (SFRM), Support to Rural Development in Zambézia Province (PRODEZA) and Support to the National Forestry Programme (SUNAFOP). The National Agriculture Project (PROAGRI) was also referred to.

The main findings are:

- ❖ Finland has played and continues to play a major role in the forestry sector especially in building the capacities of government institutions at all levels and NGOs. It has also enhanced the links between the government and private sector and private sector and civil society.
- ❖ Donor coordination in budget support is chaired by Finland and has improved over the years. As a result Finland has been asked to chair the coordination of PROAGRI under which forestry lies. Finnish Aid is appreciated by all stakeholders.
- ❖ Inclusion of relevant stakeholders in planning of intervention design is better at the district level than at national level. However all stakeholders are invited to the annual forestry forum supported by SUNAFOP where work plans and other information are exchanged.
- ❖ Of great importance is that Finland has played a big role in assisting communities access the 20% revenue from licence fees. Communities are more empowered and are investing the funds to enhance their quality of life in various ways.
- ❖ With respect to monitoring, there is limited evidence of baseline information and reporting of intervention progress is done against activities rather than indicators in the older projects such as SFRM. In addition to this are the poor forestry information systems which cannot be relied upon. Thus attribution of impact in the forestry sector to Finnish Aid is not really evident.

- ❖ Whilst projects are being implemented, there are efforts to enforce stricter controls on licensing and illegal logging. However this does not take place outside project areas and after the project ends. In addition despite concessions having management plans there is no enforcement and there is lack of a national strategy for reforestation by concessionaires. As such there is no evidence of progress towards Sustainable Forestry Management especially of indigenous species. Another effect of weak law enforcement and governance is the exploitation of indigenous forests by the Asian markets. This has led to loss of revenue for the Mozambican government.
- ❖ Impact assessments and collection of poverty reduction data will need to be factored into future project/programme designs in order to provide a baseline and gauge actual impact and sustainability of Finnish aid.
- ❖ Environmental education which emphasises ecosystem approaches to forestry and biodiversity conservation also needs to be integrated into forestry projects as clearly projects and communities are not able to see the linkages between different ecological cycles.

3.1.3 Tanzania

This report is a synthesis of the findings of a desk study and interviews and discussions with MFA-HQ staff and key stakeholders in Tanzania (Annex 2), that took place between April and June 2010. Stakeholders met in Tanzania included the Deputy Head of Mission and Counsellor Natural Resources in the Finnish Embassy, gov-

ernment officials from the Ministry of Natural Resources and Tourism (MNRT), project team from the Forestry and Beekeeping Division (FBD) and Natural Forestry Resources Monitoring Assessment (NAFORMA) unit, forestry officers at district level, civil society, communities and other development partners.

The interventions assessed were the Joint Participatory Forest Management Programme (JPFM), National Forest Programme-Coordination Support (NFP-CUSP), National Forest Programme –Implementation Support (NFP-ISP), National Forest and Beekeeping Programme (NFBKP), NAFORMA and Mama Misitv Advocacy Campaign Project (MM).

The main findings are:

- ❖ All interventions were in line with Tanzanian environment, forestry and land policies. They have also contributed to the UNFCCC.
- ❖ Baselines were conducted for various interventions and currently the National Forestry Resources Monitoring and Assessment (NAFORMA) is taking place. It will serve as a sound monitoring tool for biophysical, socio-economic and REDD+ information.
- ❖ Finnish value added was seen in its support for NAFORMA and the potential of the system being a best practice in the region. In addition the encouragement of private-public partnerships with linkages to carbon credits was also seen as value addition.
- ❖ There is a lot of cooperation amongst donors through various forums but not all subscribe to the loose Sector Wide Approaches hence development partners are pursuing their own aid modalities.
- ❖ There has been increased participation and decentralisation in forest management through the Community based Forest Management systems and there is more demand for Participatory Forest Management (PFM) as a result of the Mama Misitv campaign financed by Finland.
- ❖ There has been an increase in income in a few villages due to income generating activities or from fines paid under PFM but poverty reduction is still not yet evident at household level.
- ❖ Transparency, accountability and weak capacities are still challenges being faced by MNRT, hence the current suspension of Finnish funding to the Ministry.
- ❖ Integration of cross cutting issues is still a challenge for the interventions. However the positive impact of energy saving stoves on women is being felt in some villages.
- ❖ There has been a steady increase of forestry contribution to the Gross Domestic Product (GDP) from 2005. However, it is difficult to measure the extent to which Finnish Aid has contributed to this growth.
- ❖ Monitoring of poverty alleviation attributed to investments in the forestry sector does not take place and there are no systems to capture this that have been put in place. However there is an opportunity under NAFORMA for this.

3.1.4 Zambia

The country synthesis draws on a desk based review of key country and project documents, interviews and meetings with stakeholders in Finland, including the staff of MFA-HQ (Annex 2) and a country mission that took place between April and June 2010. Key stakeholders that were consulted include staff of the Department of Forestry in Lusaka and Ndola, the Ministry of Tourism, Environment and Natural Resources (MTENR), the Ambassador and staff of the Embassy of Finland, donor and partner institutions, civil society and representatives of village forest management committees adjacent to Katanino forest.

The Government of Finland has had a long standing cooperation programme with Zambia, starting back in 1966. It was suspended between 1996 and 2004 due to concerns on undemocratic developments in the country although support to the forest sector continued through a regional Southern African Development Community (SADC) forestry training project and the Provincial Forestry Action Programme (PFAP). Zambia is regarded as one of the highly forested countries in Southern Africa, characterised by its extensive indigenous Miombo forests.

The evaluation assessed the Provincial Forestry Action Programme (PFAP) Phase II (2000–2010) implemented by the Department of Forestry and the National Integrated Land Use Assessment (ILUA) project also implemented by the Department of Forestry and with technical support from the FAO. The mission also met with the Lusaka based Coordinator of the International Union for the Conservation of Nature (IUCN) implemented and MFA funded Regional Programme on Climate Change and Development.

Key findings from the country assessment include:

- ❖ All MFA funded interventions address key objectives and priorities of Government as defined in Vision 2030, the Poverty Reduction Strategy Paper (PRSP) 2002-2004 and the 5th National Development Plan (2006-2010). The 5th National Development Plan makes reference to sustainable environmental and natural resource management within the context of achieving development objectives.
- ❖ Both the PFAP and ILUA respond to the needs and priorities of the Department of Forestry (DF), namely strengthening capacity in facilitating participatory forest management and forest/land use surveys towards achieving sustainable forest management. Whilst DF staff have applied PFM skills for other donor supported activities (e.g. USAID), the staff have not benefited from exposure to PFM implementation since the Forest Act (1999) has not come into effect and the Statutory Instrument No. 47 (2006) does not provide a clarity on benefit sharing mechanisms between the Government of the Republic of Zambia (GRZ) and communities as intended under joint forest management plans (JFM).
- ❖ The PFAP evolved from a broad based decentralised institutional capacity programme to one centred on piloting participatory forest management and result-

ed in the preparation and endorsement of collaborative forest management plans to be implemented by organised and trained village management committees in collaboration with the Department of Forestry. However, up to today the legal framework has not been commissioned by the Department and therefore collaborative forest management has not been implemented.

- ❖ Consequently there are no discernable impact of PFAP outcomes at economic levels other than some very limited benefits to village committees from sale of honey and timber resulting from inputs provided by PFAP (and not from implementing CFM). At a community level the outcome is mixed; at one level expectations remain high that CFM will eventually be implemented and benefits will reach communities while at another level it is apparent that the village committees have been empowered in organisational management and basic management.
- ❖ Once the Forest Act (1999) comes into effect and benefit sharing mechanisms that effectively support JFM put in place, there will be pressure from village management committees and the Department of Forestry to implement endorsed collaborative forest management plans and to further roll out CFM in Zambia. The Director of the DF stated that the Forest Act (1999) could come into effect as soon as September 2010 due to requirements for REDD+ readiness planning. Should this be the case, then the MFA as lead donor for the last ten years on PFM is likely to be under pressure to provide technical support to the DF. However it does not appear that a provision is in place for anticipating such a request from the DF should it arise. Although the Embassy stated that in such an eventuality an option would be to support SME engagement and local administrations at decentralised levels to support village committees in forest product based enterprises.
- ❖ Finland is the lead coordinating donor in the environment and natural resource management sector since 2006, a role that is positively received by other key donors and partners although it was stated that MFA decision-making remains centralised (*i.e.* Helsinki based) compared to other in-country missions.
- ❖ The ILUA I programme has successfully produced a forest cover and land use map for Zambia drawn from an extensive database that also includes socio-economic information from household surveys. The intervention has benefited from FAO technical support at country, regional and headquarters levels. The DF positively comments on the outcomes of this project as providing a valuable planning tool although there is little evidence that the information and analysis has yet been used to inform policy. Wider distribution and sensitisation on the planning tool with key stakeholders in Zambia remains to be done and so as to maximise the number of users.
- ❖ ILUA II has been elaborated with a main focus of providing core monitoring, reporting and verification (MRV) requirements for REDD+ within the context of replicating the forest and land cover inventory in 2012–2013.

3.2 Asia

3.2.1 Lao PDR

The country synthesis draws on a desk based review of key country and project documents, interviews and meetings with stakeholders and MFA-HQ staff in Finland (Annex 2), and a country mission which took place between April and June 2010. Key stakeholders that were consulted include staff of the National Agriculture and Forestry Extension Service (NAFES) of the Ministry of Agriculture and Forestry (MAF), the Department of Forestry of MAF, the Ministry of Industry and Commerce, REDD Secretariat in the Ministry, staff of the Sustainable Forestry and Rural Development Project (SUFORD), District Forest Officers in Xebong Fai District and members of Village Development Committees in Xebong Fai District, representatives of World Bank and Japan International Cooperation Agency (JICA), Swedish Embassy, and representative of the Embassy of Finland in Bangkok.

The evaluation assessed the Sustainable Forestry and Rural Development Project (SUFORD) Phase I (2003 to 2008) and Phase II (2009–2012). The project is implemented by the Department of Forestry of the Ministry of Agriculture and Forestry in collaboration with the National Agriculture and Forestry Extensions Services, with financial and technical support provided by the World Bank and the Government of Finland. The project objective is to implement participatory, sustainable forest management in Production Forest Areas (PFA) throughout the country, thus helping to reduce rural poverty, protect biodiversity, and enhance the sustainable contribution of forestry to the development of local and national economies.

Key findings from the evaluation include:

- ❖ The SUFORD project is closely aligned with declared government objectives and commitments as reflected in the 5th and 6th National Socio-Economic Development Plans, the Decentralisation Policy (2000) and the Forestry Vision for 2020.
- ❖ The SUFORD project has coincided with, and helped stimulate, a coordinated approach to participatory forest management and its integration with other national Policies.
- ❖ Whilst the Government Lao (GoL) is committed to sustainable forest management (SFM), its national development policies and programmes (e.g. major infrastructural improvements and revenue generation opportunities at national scale) can result in conflict with SFM. The project operates within the smaller scale rural sector which makes it difficult for it to exert an influence on broader developmental debate and the conflict between national development priorities.
- ❖ Phase I placed 656,000ha of natural forest under participatory sustainable forest management and 412 villages adjacent to the forests have developed village development plans and implementing priorities development initiatives. Of this area, 45,000 ha had initially been certified to FSC standards – reflecting adherence to social, environmental and economic standards based on SFM. This area

has subsequently been increased to over 81,000 ha. The total area corresponds to 33% of the total PFA of the country.

- ❖ The establishment of the Village Development Fund (VDF) has been well received and there is evidence that they are functioning and have delivered funds that are utilised in the communities. The project reports that a 9% improvement in rural wealth ranking of 131 sample householders.
- ❖ A small proportion of the total revenue generated from harvesting of PFA is actually disbursed to Community Development Fund (CDF). Only that portion of the revenue that exceeds the value established by the Ministry of Trade and Industry is available to be subdivided for direct dispersal to communities.
- ❖ The SUFORD Phase I was implemented through a parallel structure to Government consisting of a National Project Management office at central level and Project Implementation Units at provincial and district levels. This hampered ownership by and coordination within implementing agencies. For Phase II, implementation is integrated into the work programme of the relevant government institutions.
- ❖ The project is a joint project of the World Bank (WB) and Government of Finland, with Finnish aid supporting the TA component provided by Indufor. The project is complex and the modality is innovative between partners.
- ❖ The project design and Phase I implementation has benefited from unique Finnish added value to terms of production forest management, revenue generation and achieving certification status. However, with the design in place and the project in its second phase it is uncertain how Finland has been able to exert any additional value to the project. The Finnish support and expertise is acknowledged positively by all staff and local institutions.
- ❖ Gender-based issues have been recognised and reflected in gender-based studies. However the lack of clear objectives, outcomes and targets within the project means that no specific actions are taken. Marginalised groups are recognised in the project design through an Ethnic Group Development Plan but little evidence of consideration during implementation and outcomes.
- ❖ Looking ahead and considering the advent of REDD and possible flow of funds available for climate change mitigation and revenue from REDD-based projects, it is possible that a more cost-effective option is to simply pay communities directly from the revenue generated by preserving and protecting the forest and its specific conservation values, rather than trying to add value through certification during the exploitation of the forest. For this to be effective it will require the GoL to accept the basic principles of revenue sharing.

3.2.2 Vietnam

The country synthesis draws on an initial desk based review of key country and project documents, interviews and discussions with stakeholders and MFA-HQ staff in Finland (Annex 2) and a country mission during the period from April to June 2010. Key stakeholders that were consulted include staff of the Forestry Department in the Ministry of Agriculture and Rural Development (MARD), the Ambassador and staff of the Embassy of Finland, donor and partner institutions and civil society.

The Government of Finland (GoF) has had a long standing cooperation programme with Vietnam. The evaluation assessed the: Vietnam Finland Forestry Sector Co-operation Programme (VFFP), Phase II 1999–2003; Forest Sector Support and Partnership Program (FSSP) and Forest Sector Development Strategy (FSDS): 2003–2007; and the Multi-Donor Trust Fund for Forests (MDTFF) 2004–2011.

Key findings from the evaluation include:

- ❖ Finland's ODA to the forestry sector are fully aligned with Government of Vietnam (GoV) policies and strategy. All the interventions are, however, in principle geared towards poverty reduction and sustainable use of natural resources. However there are hardly any explicit references to MDGs or international forest and biodiversity regimes in the documents.
- ❖ The extent to which baselines have been used in the WB and Asian Development Bank (ADB) projects co-financed by Finland through MDTFF is unclear and the VFFP baseline information was not systematically established at the beginning of the project. Linked to this is that reporting of project progress was against project outputs as opposed to outcomes. As a result linking the forestry sector to poverty alleviation becomes difficult to ascertain. Furthermore, within both programmes the definition of poverty remains a purely financial one and consequently issues related to other forms of poverty, such as poverty of knowledge, poverty of resources, power or livelihood options, remain either unaddressed or the benefits unrecorded. Even within the limited definition of financial poverty it remains uncertain whether the preferred modality – increased income generation through the establishment of forests and the sale of wood products – is the most effective or appropriate means of achieving the goal.
- ❖ Under the current modality GoF's ODA is unable to apply its expertise effectively or be able to effectively direct its support to those areas of particular concern thus compromising on effective value addition. However there is an opportunity under the Forest Sector Monitoring Information System (FOMIS) project in term of provision of broad benefits to the forestry sector as a whole.
- ❖ There were recorded successes in the facilitation of enhanced dialogue and in the creation of consensus on sector goals and program framework. However there was less success in the establishment of active coordination mechanisms with interventions using parallel and different donor procedures, funding routes, and classifications for budgeting and reporting.
- ❖ The objectives of interventions include reference to all three dimensions of sustainability of forestry and forest management. However, the attention given to sustainability dimensions in the follow-up documents is less clear.
- ❖ With respect to funding modalities FSSP and MDTFF has been implemented through pooled funding. Whilst aimed at improving aid harmonisation and coordination, the practical impact of utilising this modality has been that it is difficult to identify the specific benefits that GoF ODA has contributed to the key goals of poverty alleviation and sustainability. In addition as the GoF has no direct involvement in the day to day management of the interventions it loses the opportunity to add Finnish value.

- ❖ For the FSSP and MD'TFF the existence of the partnership, together with the availability of funding from partners and from the Trust Fund for Forests (TFF), has enabled strategic interventions in order to support the development of the policy and legislative framework of the forestry sector, including piloting new approaches.
- ❖ Under the VFFP there was an increase in the coverage of forests through the land allocation to farmers. In addition with respect to cross cutting issues support of the Women' Union enhanced the Union's performance having been better, especially in reaching the neediest and female borrowers.
- ❖ The 2009 Evaluation rated the effectiveness of TFF in achieving its goal of protection of environment as "good", indicating that TFF's effectiveness in terms of environmental protection was better than in terms of improved livelihoods for forests-dependent populations or increased contribution from forests to national economy. Furthermore through FSDS Finnish funds have contributed towards the establishment of 30,000ha of high yielding plantation forest, the income from which is directly benefiting rural households.
- ❖ There was also evidence of enhanced partnerships under the FSSP as donors, multilateral agencies, international non-governmental organizations, the Ministry of Agriculture and Rural Development (MARD), local organizations, national non-governmental organizations, and the private sector, including both domestic and foreign enterprises and investors were involved.
- ❖ With respect to conservation of biological resources although goals do exist for protection and conservation of the forest, the absence of an equally clear vision and targets for activities related to conservation and protection could result in an over-emphasis of resources being applied to the production aspect of 'development' and donors in general should be aware of the need to offer a 'balanced' programme of support to the sector and ensure that GoV applies the same energy and focus to the protective and conservation aspects of its forest resources.
- ❖ In summary forestry can clearly provide a means alleviating rural poverty, but the linkages between forestry and poverty are complex and they can only be made with a system that develops clear indicators and that collects the required information systematically.

3.3 Western Balkans

This report is a synthesis of the findings of a desk study review of the Western Balkans that was supplemented by discussions with MFA staff (Annex 2). The interventions assessed were:

1. Forest Policy and Economics Education and Research;
2. Forest Policy and Economics Education and Research (FOPER);
3. Environmental Geographic Information System (GIS) for Montenegro, Phase I; and
4. Forest Sector Development in Serbia.

The main findings were that:

- ❖ All interventions are based on Western Balkans' governments' general recovery efforts in the transition to an open market economy and for democratisation process and have taken into account the EU integration process and the legislative and policy changes EU requires.
- ❖ Coordination in the Montenegro GIS was found to be good between the project, the Luxembourg Agency for Development Cooperation (LUX-DEX) funded project and the JICA support.
- ❖ There are opportunities for Finnish added value in forest harvesting and utilisation and rural montane housing.
- ❖ A good baseline foundation has been provided by Montenegro GIS project. It delivered consistent systems for creating and sharing basic data in key sectors for conservation and planning. The project was strategic and timely for Montenegro catalysing change throughout and the benefits have been ably demonstrated and taken on board by the Government, the private sector and civil society, sustainability should therefore follow especially as it will become a subject in the curriculum of schools.
- ❖ The interventions have built the national and regional capacity in sustainable forest management as well as in promoting commercial investment and forestry business in the region.
- ❖ There is no evidence yet of poverty reduction and there is no monitoring information on poverty indicators as expressed in the project documents.
- ❖ Due to participation by stakeholders their inclusion in key decision making organs in the forestry sector is evident as reflected in the FOPER intervention.
- ❖ All interventions have contributed to improved accountability and transparency that improve governance.

3.4 Central America

The Central America assessment is based on a review of documents covering country and regional programmes in Belize, Guatemala, Honduras, El Salvador, Nicaragua, Costa Rica and Panama. A field mission took place from late May to early June 2010 in Nicaragua, El Salvador and Costa Rica. The interventions reviewed include: Central American Forestry Programme (PROCAFOR) 1992–2003; Forests and Forest Management in Central America Project (MAP-FINNFOR) 2009–2013; Capacity Building in Forest Management: 2010–2012 (CAPFOR); and the Nicaragua intervention Agriculture and Rural Development Sectoral Programme (PRORURAL – around 25% to forestry related activities) 2006 to 2014. Key stakeholders consulted included the MFA Helsinki staff, Ambassador and staff of the Embassy in Nicaragua, Government and civil society representatives in Nicaragua and El Salvador, and staff of Centro Agronómico Tropical de Investigación y Enseñanza (CATIE) in Costa Rica (Annex 2).

The main findings include:

- ❖ In general, national, regional and global development, environment and forestry agendas are reflected in the interventions. The major goal of poverty reduction was strongly visible in the design and in the implementation of the PROCAFOR project. Regional projects face the challenge of ensuring relevance in different national and local contexts as well as mainstreaming the outcomes to national policies and practices.
- ❖ Central American governments have renewed interest in the forestry sector and increasingly see the potential of forests to contribute to rural development, biodiversity and water protection and climate change adaptation and mitigation. The challenge is the implementation of the forestry laws and strategies. The resources of the forest authorities are limited compared to their ambitious mandates. The sector has a low status, multi-functionality is not fully recognised and influence of forestry in wider planning instruments is limited. Illegal harvesting and trade of timber remains a huge problem hindering sustainable forest management.
- ❖ PRORURAL responds best to strategic and priorities of the national forestry authorities in the case of Nicaragua. From the point of view of local communities, PROCAFOR took their needs best into account. MAP-FINNFOR supports the priorities of the implementing research and education organisation CATIE, their chosen implementing partners and Central American Regional Forestry Strategy (PERFOR). Incorporation of the achievements into national policies and practices was a major challenge to PROCAFOR and will be so for MAP-FINNFOR. The most outstanding characterization of PROCAFOR compared to other forestry sector projects in Central America, even to MAP-FINNFOR, is that the intervention logic combined national projects with large-scale inputs at community level with regional cooperation. The current trend is to focus at forestry policy and governance with less involvement at local level in strengthening forest economy as part of rural sustainable livelihoods.
- ❖ Finnish added value is related to technical know-how in the forestry sector as well as to working methods and good management of funds. PROCAFOR had a strong Finnish identity. PROCAFOR is praised for long-term commitment to promote community forestry and engagement with the local communities. The most important difference to other projects is attributed to be the focus on capacity building. In PRORURAL and MAP-FINNFOR, funds are the most visible Finnish added value.
- ❖ Three dimensions of sustainability are reflected in project objectives. Promotion of sustainable forest management is assumed to lead to ecologically, economically, socially sustainable equitable outcomes. To monitor and evidence whether the outcomes are truly sustainable at all dimensions, relevant baseline studies should be conducted, indicators defined, and proper monitoring systems set up.
- ❖ Regional projects cause significant coordination, management and coordination pressures for the implementing organisation and control and monitoring pres-

asures for the MFA. On the other hand regional projects enable to work at different levels and support horizontal learning and sharing of experiences.

- ❖ Forest management plan model developed and promoted by PROCAFOR was widely adopted in the region and still used for pine forests at least in El Salvador, Guatemala, Honduras and Nicaragua. The project strengthened the organisational, technical and professional capacity in sustainable use and management of pine forests at all levels: at producer organisations, municipalities, state forestry institutions, research and training institutes and specialists in the sector. It is not possible to evidence the change in quantitative terms due to lack of final evaluation, result-based monitoring and socioeconomic studies against baseline.
- ❖ PROCAFOR achieved social, economic and ecological benefits in the project area visited in Nueva Segovia, Nicaragua. The project contributed to sustainable management of pine forests, control of forest fires and plagues, to strengthened organizational capacity of producer organizations and diversification forest-based economic activities. The scale and sustainability of the achievements was limited to a great extent by Forestry Ban in 2006.
- ❖ PROCAFOR contributed to a small extent to forestry law in Nicaragua and in Honduras and to formulation of the regional forestry strategies. The project did not succeed in communicating the local experiences to national level policies and practices in order to strengthen the recognition of the potential of the forestry sector for poverty reduction and conservation of biodiversity. Obstacles for fully materialising the potential of the sector are the starting point for the regional MAP-FINNFOR project funded by Finland. There is a lot of technical capacity in Central America. Legal and policy framework is more or less in place. The challenge is the implementation of the policy plans, the required resources as well as conflicting interests of forestry, agriculture, energy and environmental conservation. Thus the problems of forestry are mostly situated outside the sector and dependent on political will.
- ❖ Lessons learnt from PROCAFOR are not incorporated into institutional memory of MFA. That is partly explained by the timing. PROCAFOR ended in a time when the focus of Finnish forestry cooperation was turned from bilateral projects to forestry governance and policy as well as including forestry as a component of sector wide rural development programs. It was also reported that information was lost at the disappearance of the Finnish International Development Agency (FINNIDA). As a consequence of the Development Policy of 2007 and increased global interest in forests, the lessons learnt are still very valuable. The lessons learnt are not fully taken into account in the planning process of MAP-FINNFOR.
- ❖ The strategy of MAP-FINNFOR is to work with partners. There are several activities planned in various locations. As a result the activities are dispersed and coordination pressures will be high. There is demand among different stakeholders for regional projects and added value seen in regional sharing of experiences.

- ❖ The main challenge for ensuring sustainability has been and continues to be the commitment and ownership of national governments and stakeholders in other sectors. The low status of forestry results in lack of resources for forestry authorities and little power to influence decisions. MAP FINNFOR has adopted different strategies in different countries for ensuring the engagement of the national forestry authorities. Yet there are no discernible factors for supporting the sustainability.
- ❖ Cross-cutting issues of the current Development policy of 2007 are not considered in the MAP-FINNFOR project design. After dialogue with MFA, CATIE has taken up the issue of gender and equity trying to find out more on how it should be concretised. Rights of indigenous forest-dependent communities are a major issue in Central America, especially from the point of view of poverty reduction and biodiversity protection. MAP-FINNFOR project design has not taken the issue explicitly into account.
- ❖ It is assumed that promotion of sustainable forest management is automatically environmentally sustainable. Ecological baseline studies and monitoring of environmental impacts should be taken into account in the project design phase.
- ❖ Partner country institutions and representatives are represented in the project steering committees or equivalent structures. It is not possible to judge to what extent they have real influence in development interventions.

3.5 Intergovernmental Aspects

Within intergovernmental processes that are related to forests and biodiversity, Finland has visibly supported a number of positions either through interventions or funding of multilateral processes, or both.

3.5.1 Biodiversity

The **Convention on Biological Diversity (CBD)** has recognised sustainable forest management (SFM) as ‘a tool’ of the ecosystem approach, and conceptually the two approaches are virtually identical, particularly if SFM is taken in its broadest sense, as it should be, to encompass biodiversity and all the other values of forests. Finland has an international reputation for advocating and applying a strong ecosystem-centric interpretation of SFM although there is debate within Finland itself on this. Finland has been a vocal, and in some cases financial, supporter of a number of positions within the CBD.

These include support for:

- ❖ The rights of indigenous and local communities and support for use of traditional forest-related knowledge (TFRK) (Subsidiary Body on Scientific, Technical and Technological Advice (SBSTTA) – 14/Working Group on the Review of Implementation (WGRI)-3, May 2010;

- ❖ Hosted conference on “Opportunities and challenges of responses to climate change for indigenous and local communities, their traditional knowledge and biological diversity”, March 2008;
- ❖ Access and benefit-sharing (ABS) (financial contribution toward ABS-6 pledged at the 8th Conference of Parties (COP-8) in April 2006);
- ❖ Sustainable use of biodiversity and natural resources (SBSTTA-14/WGRI-3, May 2010);
- ❖ A post-2010 target addressing sustainable consumption and ecological footprint related to biodiversity (SBSTTA-14/WGRI-3, May 2010);
- ❖ A communication plan to disseminate knowledge on how to curb biodiversity loss (SBSTTA-14/WGRI-3, May 2010);
- ❖ Transboundary cooperation on biodiversity (SBSTTA-14/WGRI-3, May 2010);
- ❖ Connectedness between ecosystems (SBSTTA-14/WGRI-3, May 2010);
- ❖ Synergies between the Rio conventions (SBSTTA-14/WGRI-3, May 2010);
- ❖ Work on the connections between biodiversity, forests and climate change, including:
 1. a precautionary approach on adaptation of biodiversity to climate change (SBSTTA-14/WGRI-3, May 2010; WGPA-2/SBSTTA-13, February 2008);
 2. Hosted AHTEG-2 on Biodiversity and Climate Change, April 2009; tools to measure response of ecosystems and their services to climate change (SBSTTA-12, July 2007);
- ❖ Work to develop biodiversity and other safeguards under Reduced Emissions from Deforestation and [forest] Degradation (REDD) (SBSTTA-14/WGRI-3, May 2010); and
- ❖ Work on the ecosystem approach (EA) such as through developing global biosphere networks as EA demonstration and research sites (SBSTTA-12, July 2007).

Finnish bilateral biodiversity-related support has been delivered through a number of grants and smaller interventions although the latest interventions in Mozambique and Central America include CBD goals within them.

3.5.2 Climate Change

United Nations Framework Convention on Climate Change (UNFCCC): Climate change and particularly REDD+ is widely seen as a provider of substantial funds for forestry. At present, the precise mechanism by which it will be delivered remains unclear. The Government of Finland (GoF) is supportive of actions in relation to climate change, particularly with regard to forests and biodiversity, but its positions have been expressed by and large through the for a of other intergovernmental processes, not the UNFCCC (in which it works mainly through the EU), as can be seen in its climate change-related positions taken within CBD-related negotiations. For instance, Finland has echoed concerns being widely expressed, notably by NGOs, that non-carbon forest values, such as biodiversity conservation, may be compromised within REDD+ and that safeguards, such as those related to access rights and improved governance, need development.

There is scope for Finnish influence on the UNFCCC through the EU, to ensure that the interests of its bilateral partners are adequately considered during negotiations and especially in respect of the modality of REDD+.

Intergovernmental Panel on Climate Change (IPCC):

Within the IPCC the Government of Finland has been a vocal supporter of:

- ❖ Management of extreme risks by:
 1. Support for Norwegian/International Strategy for Disaster Reduction (ISDR) proposal for an IPCC Special Report on Disaster Risk Reduction, on managing risks of extreme events to advance climate change adaptation, stressed its importance to developed countries as well (IPCC-29, September 2008);
 2. Support for Norwegian proposal for a workshop in collaboration with the World Meteorological Organisation (WMO) on managing risks of extreme events (IPCC-28, April 2008); and
 3. Stressed disaster risk reduction, noting the need for IPCC assessments to be linked to other assessments such as the Arctic Climate Impact Assessment (IPCC-28, April 2008);
- ❖ Work on biomass – suggestion on including sustainable forest management within the context of biomass use;
- ❖ Knowledge-building on renewable energy through proposed IPCC special report:
 1. Address energy efficiency (IPCC-28, April 2008); and
 2. Take into account all pros and cons of renewable energy sources (IPCC-28, April 2008).

3.5.3 Forest Instruments

Food and Agricultural Organisation of the UN (FAO) National Forest Programmes (NFPs): Of the main international processes, Finland's most prominent support has been to the NFP process, through its support to the NFP Facility and to partner countries. The NFP is considered the core mechanism by which SFM, the consistent theme in all forest-focused international bodies, should be secured. Finland has provided financial support to:

- ❖ “NFPs for All” capacity-building initiative (FAO, 2010);
- ❖ The NFPF multi-donor trust fund;
- ❖ NFPs through funding for PROFOR (World Bank); and
- ❖ EUR 400,000 funding to FAO/National Forest Programme Facility and World Bank PROFOR in 2010.

FAO global Forest Resource Assessment (FRA): In relation to the decennial FAO Global Forest Resource Assessment, Finland:

- ❖ Contributed financial support to FAO Forest Resources Assessment (FRA) Working Paper #162: “Monitoring Degradation in the Scope of REDD”, to identify the elements of forest degradation and the best practices for assessing

them and help strengthen the capacity of countries to assess, monitor and report on forest degradation, including broadening information to include e.g., growing stock, wood and non-wood products, carbon, protected areas, use of forests for recreation and other services, biological diversity and forests' contribution to national economies (2009);

- ❖ Partnered with FAO to provide EUR 14 million in funding for pilot programme on “Sustainable Forest Management in a Changing Climate” (2009). This programme, as part of the FAO National Forest Monitoring and Assessment (NFMA) initiative is supporting FAO's engagement in the UN-REDD (Reducing Emissions from Deforestation and Forest Degradation) programme, a UN consortium comprising of FAO, the United Nations Development Programme (UNDP) and the United Nations Environment Programme (UNEP). Through the MFA support to FAO, innovative approaches to piloting monitoring, reporting and verification (MRV) are taking place in MFA Forest Sector partner countries with additional in-country support channelled by Embassies of the Government of Finland. Examples include Tanzania and Zambia; and
- ❖ Hosted the Expert Consultation on Global Forest Resources Assessment (FRA): Towards FRA 2010 (2006).

International Tropical Timber Organisation (ITTO): In the ITTO Finland is not vocal in interventions but contributes funding for project and policy work in areas of its specific interest. These include:

- ❖ Clean Development Mechanism (CDM): funder for International Workshop on CDM: opportunities and challenges for the forest sector in Sub-Saharan tropical Africa, hosted by ITTO, the Ghana Forestry Commission (GFC) and the Forest Research Institute of Ghana (FORIG) (Accra, Ghana, October 2006);
- ❖ Community forestry: funder for ITTO project on Production systems and integrated management of shoot-borers for the successful establishment of Meliaceae plantations in the Yucatan Peninsula and Veracruz, Mexico (2006);
- ❖ Compensation for ecosystem services/environmental services: funder for ITTO project on Development and promotion program for financial compensation of environmental services derived from tropical forest ecosystems in Guatemala; and
- ❖ Legality and governance: funder for Thematic Programme on Forest Law Enforcement, Governance and Trade under International Tropical Timber Agreement (ITTA) of 2006.

United Nations Forum on Forests (UNFF): Within the UNFF context, Finland has been a visible supporter of:

- ❖ Strengthening synergies between instruments by:
 1. Hosted Workshop on Forests in the Changing Environment (UNFF/MCP-FE joint activity), Koli, Finland, September 2008; and
 2. Reference to contributions to FAO global Forest Resources Assessment (FRA) and State of Europe's Forests Report in Finland's National Report to

UNFF-9 in lieu of duplication of reporting to meet different reporting obligations;

- ❖ Enhancing legality by provided funding for UNFF Country led initiative workshop on “Enhancing the Legality of the international timber trade: creating enabling environments and Opportunities for the private Sector and other Stakeholders” held in Hanoi, Vietnam, in November 2010).

Ministerial Conference on the Protection of Forests in Europe (MCPFE – Forests Europe): The Government of Finland has been an active supporter and contributor to MCPFE. Recent examples of support include:

- ❖ Hosted 3rd meeting of the MCPFE Open-Ended Ad-Hoc Working Group on “sustainability criteria”, Uppsala, 11–12 June 2009; and
- ❖ Indicated funding support for an open-ended *ad hoc* working group for updating the MCPFE Criteria & Indicators and guidelines for SFM in the context of the needs for sustainability criteria for forest biomass production, including bioenergy (MCPFE Expert Level Meeting, May 2008).

World Bank’s Forest Carbon Partnership Facility (FCPF): In July 2010, the MFA contributed USD 9 million to the FCPF’s REDD Readiness Fund to support countries to elaborate and implement REDD Readiness Plans. The funds are part of pooled funding that aims to build capacity of developing countries in tropical and subtropical regions to reduce emissions from deforestation and forest degradation and to tap into any future system of positive incentives for REDD+.

3.5.4 Other UN and Multilateral Conventions and Processes

The Government of Finland has demonstrated a strong commitment to the **Millennium Development Goals** (MDG) in several fora:

- ❖ **UN Commission on Sustainable Development (CSD):** Finland’s report to CSD-16, “Africa Poverty Reduction in Finland’s Development Cooperation in Africa”, confirmed Finland’s commitment to:
 1. The implementation of the UN Millennium Declaration, the eradication of poverty, and its other values and goals;
 2. Coherence in all policy areas;
 3. A rights-based approach;
 4. The principle of sustainable development;
 5. The concept of comprehensive financing for development;
 6. Partnerships for development;
 7. Respect for the integrity and responsibility of developing countries and their people; and
 8. Long-term commitment and transparency.
- ❖ **MDG Summit 2010:** Finland co-facilitated, with the CBD Secretariat, IUCN, and the Millennium Challenge Corporation, a luncheon discussion on “Gender inequality – A constraint to economic growth, biodiversity protection, poverty

reduction and sustainable development: Linkages between MDG 1, 3, and 7” (September 2010).

The **United Nations Convention to Combat Desertification** (UNCCD) touches forestry tangentially and has not received high profile support from many donors. There is, however, a possible link to many forestry interventions through the UNCCD work on land use. Agriculture and rural development are crucial elements of the wider land use framework within which SFM, forest development and indeed climate change will need to be accommodated. The GoF has provided some policy and programme level support through the UNCCD, as noted in Annex 4, although it has not been vocal on its positions within the UNCCD itself. It is interesting to note that the GoF has been a more prominent supporter of UNCCD than many other donors. Finland’s support to the UNCCD has included:

- ❖ EUR 600,000 to the CDM Global Mechanism (2010);
- ❖ EUR 250,000 for:
 1. Work of the Intersessional Intergovernmental Working Group (IIWG) for the preparation of a new 10 year strategic plan and framework for UNCCD regional cooperation (2006);
 2. International Year of Deserts and Desertification (IYDD – 2006): Youth Congress held in Bamako, Mali in September 2006; and
 3. Global Mechanism: Facilitation of mainstreaming, partnership building and contribution towards the work of the IIWG.

The **Global Environment Facility** (GEF) unites 182 member governments – in partnership with international institutions, nongovernmental organizations, and the private sector – to address global environmental issues. An independent financial organization, the GEF provides grants to developing countries and countries with economies in transition for projects related to biodiversity, climate change, international waters, land degradation, the ozone layer, and persistent organic pollutants. These projects benefit the global environment, linking local, national, and global environmental challenges and promoting sustainable livelihoods.

Finland replenished its support in the 5th GEF replenishment in 2010, increasing its share more than any other donor, by 80 percent from the previous replenishment. With its replenishment Finland provided comments calling for:

- ❖ Full GEF engagement in the reform process of the UNCCD and pro-active work with the UNCCD Global Mechanism;
- ❖ Efficient use of synergetic possibilities in other focal areas to preserve the biodiversity, and vice versa, with stress on biodiversity, through ecosystem services, as the foundation to sustainability;
- ❖ GEF as the focal financial mechanism for the major Multilateral Environment Agreements (MEA), with a strong replenishment;
- ❖ Continuation of the GEF reform process, using the programmatic approach and taking into account on-going related processes, such as UNFCCC negotia-

tions and the discussions on further development of the international environmental governance;

- ❖ Maintenance of one primary function for the GEF – to assist countries in implementing the GEF MEAs by providing capacity-building, technical assistance, institutional strengthening etc. while generating global environmental benefits – and retention of its nature as a network of partnering institutions and actors;
- ❖ More explicit mainstreaming of the gender perspective in GEF project planning and implementation;
- ❖ Making the concept of sustainable consumption and production (SCP), already supported by GEF in climate change and energy efficiency a clearer cross-cutting GEF principle;
- ❖ Improvements to GEF's accountability to the MEAs and to the dialogue between the GEF Secretariat and the conventions, including restructuring and broadening of the participation at parts of the Council meetings;
- ❖ GEF 'business plans' at the national implementation level, with further enhancement of appropriate forms of horizontal cooperation and networking at the country and regional level;
- ❖ The GEF is prepared to fulfil an important role in the 'bridging period' up till 2012. Adequate up-front financing for adaptation and capacity building activities already before 2012 is needed. Given the present situation, an increase in the climate change resource envelope for the GEF 5th replenishment period is well justified; and
- ❖ GEF focus on capacity building and enabling activities in the climate change context.

Further information on Finland's responses and interventions under various international conventions and initiatives is provided in Annex 4.

4 RESPONSES TO THE EVALUATION QUESTIONS

4.1 Evaluation Question 1

Did the respective budget appropriations, overall policy measures, sector policies and their implementation plans adequately reflect the development agenda in general, and in particular the major goal of poverty reduction?

Key Indicators relating to relevance and design:

1. Coherence with partner country long and medium term plans;
2. Consideration of MDGs, and relevant international obligations and processes; and
3. Use of baseline data in design and monitoring plans.

4.1.1 Findings on Evaluation Question 1

The findings related to this question vary largely according to the geographical groupings of the partner countries. The four African partners are possibly the weakest in respect of all three key indicators. In part this is linked to the general fragility of administrations in Africa compared with other regions, to the weaker planning frameworks encountered and to forestry being regarded as providing less economic and social benefits compared to other sectors.

Although at the highest level, there is reasonably good coherence with top level plans, such as National Development Strategies, these strategies themselves often lack significant mention of forestry and natural resources other than in the general sense. Similarly, while these plans may give lip-service to wider commitments such as MDGs and international obligations and processes, these are seldom translated into effective intervention strategies.

This creates an immediate challenge for Finland, or any other partner, since, while it is relatively easy to secure coherence with general aspirations and statements of intent, there is seldom an adequately detailed framework within which interventions can be placed. Associated with the weakness of the operating framework, there is also relatively poor data from which to establish a baseline for monitoring and, unless the intervention contains provision to collect data, monitoring data will be hard to find.

In Kenya, the intervention supporting reform of the forestry sector was well grounded in the long and medium term plans for the Kenya Forest Service as well as being congruent with national poverty reduction strategies and international instruments. The recently completed inception phase gathered useful baseline data and the main phase plans were developed through a participatory and open consultation process. The greatest problem is that the transition through into the main phase is very slow and close to being stalled at the time of the field visit.

In Mozambique, there is again good reflection of high level goals and aspirations, although specific mention of poverty and of cross-cutting issues is quite elusive. Again, it is not easy to see these aspirations being effectively translated to the operational level and baseline data is patchy. There is fair data for specific interventions but no overall systematic collection and recording of information that might be useful for monitoring and reporting of wider impacts of forestry interventions.

In respect of biological resources, apart from that relating to elephant populations, there is no hard data set although there are numerous localised biodiversity inventories of both animals and plants. Consequently, hunting licences quotas, for example, are recorded but there is no adequate information to determine whether such off-take is sustainable.

The findings from Tanzania, which has been a long term partner of Finland, are broadly similar to those from Kenya and Mozambique. There is good coherence with

relevant policies, including mention of MDGs but again, these policies do not go significantly beyond statements of aspiration. Although there have been lesson learning processes, including such potentially valuable studies as the review of Joint Forest Management (JFM) by the Danish International Development Agency (DANIDA), MFA and WB, it is hard to see the conclusions of these studies being applied in detail.

NAFORMA includes a specific objective to enhance the impact on poverty and the benefits to women and is establishing a database of biophysical and socio-economic information, with a view to improved coordination of planning and providing detailed information that will facilitate new approaches such as REDD+. It is intended that the information being captured will slot into the National Forestry and Beekeeping Database (NAFOBEDA) being supported jointly by Denmark, Finland and WB. The 2010 review, however, noted that the functioning of this useful database had been prejudiced by staff transfers and that unless personnel gaps were remedied, the database would not deliver the benefits it should.

In Zambia, again, all interventions show good recognition of key national policies and international initiatives. It is of note that the Poverty Reduction Strategy Paper (2002–2004) made no specific mention of forestry and was largely silent on wider natural resource management although this was remedied in the fifth plan. This observation makes explicit the core weakness in all African partners that forestry has seldom managed to secure recognition and influence in contributing to poverty reduction and major national planning documents. Consequently, forestry is always operating at a disadvantage in terms of being seen as a national priority. There is some evidence that the magnitude of potential finance associated with REDD+ may alter this view at national level, although in general the understanding of the national costs associated with REDD+ is very limited compared with the wide recognition of the potential national revenues.

The Zambian Provincial Forestry Action Plan support (two phases) in theory addressed many wider development concepts, including SFM, MDGs and empowerment of local communities through JFM. There is little indication that lessons learned from Phase 1 were applied, which was unfortunate. A significant disappointment, however, has been the failure on the part of the Government of Zambia to put in place a legal framework that effectively enables benefit sharing and JFM as promoted by the PFAP programme over a period of more than ten years. The Forest Act (1999) was endorsed but has not come into effect by June 2010 and the Statutory Amendment of 2006 does not address key benefit sharing mechanisms for revenue collection by and sharing with communities. In the absence of these benefits, the other aspects of JFM, while well done, have been undermined. This has created disappointment and dissatisfaction on the part of the communities involved.

In Laos, the core intervention is the SUFORD project, which was redesigned to address the criticisms levelled at its predecessor (FOMACOP). The main aim is to undertake and demonstrate collaborative forest management and deliver enhanced rural income within an environmentally and socially sustainable programme of forest use.

The intervention is very coherent with the national policy and strategy framework and also with Finnish wider goals.

The greatest difficulty encountered relates to the revenue sharing formula. Under current regulations, the largest share accrues to government resulting in very limited benefit accruing to the participating communities. This matter is made worse by failure to base felling quotas on the management plans. At the same time, lack of willingness to apply revenue sharing from timber generated as part of infrastructure development, means that the wider government commitment to revenue sharing must be called into question. A formulaic approach to log sales is also unhelpful to generating optimum revenue, in addition to the wider problem of excess royalty charges, which result in less than 10% of the timber revenue reaching the communities.

Relatively minor changes would result in significant improvement. It has been suggested, although the detailed calculation is unclear, that raising the proportion to 15% would result in poverty decrease of between 4% and 10%. There is also further potential to enhance benefits through greater harvesting of NTFPs. Although preliminary work was done, including participatory inventory, it does not seem to have been pursued and timber sales remain the major source of benefit.

Although SUFORD has collected a great deal of information on the forest resource and on socio-economic details, there does not appear to be a coherent and readily used system of data monitoring in place. The impression is that the intervention continues to struggle to do things in the face of a partner that has little apparent real understanding of the broader aims. The recent steps to adapt SUFORD as a REDD+ pilot may bring further leverage for change since if currently stated intentions on REDD+ are enacted, these should include many of the issues that Finland has been trying to progress.

While SUFORD itself can be considered a successful project in terms of its impact on forest management, the limited influence at policy level, with government appearing to give limited attention to the findings from SUFORD and the model it has promoted, limit its wider value and its influence.

The situation in Vietnam is in many ways the most encouraging amongst all the partners. There is a comprehensive, although dynamic, set of policies and strategies in place and all interventions have been fully congruent with this. The framework provides a solid platform for future development assistance.

Vietnam has concentrated to a greater extent than other partners on production and economic development, and has done so successfully when measured by the sheer extent of tree planting. This rapid expansion of the resource base is very much focused on providing raw material for the timber industry. Vietnam is already noted as a globally important centre of wood processing. As a result, although there is some notional attention to MDGs, the impact of the sector changes is such that some quite vulnerable groups are excluded and cross-sector considerations such as biodiversity

may not be receiving the attention they deserve. This means that despite the general very good success in economic terms there are reservations in respect of the other elements of sustainability.

At the same time, Vietnam has been active in including climate change related matters into its forest and development planning although climate change and biodiversity issues lie within the Ministry of Environment as opposed to forestry which lies in the Ministry of Agriculture and Natural Resources.

In terms of ecological and socio-economic data, Vietnam is again far better than most other partners. It also benefits from Finnish support to the FOMIS intervention that concentrates on forestry information systems. Despite this, the information being collected, while comprehensive, tends to be related to bio-physical data and that on targets and activities. Good information that would clarify impacts is much harder to find and this suggests that further modifications may be required to data collection. Vietnam benefits, in comparison with other partners, from having considerable depth of expertise on data collection and handling.

The two major interventions in Central America have taken a regional approach, which brings additional complexity at all stages but also has potential for wider impact as well as cross-learning and mutual support. In common with the findings in other countries, both PROCAFOR and the more recent MAP-FINNFOR interventions were consistent with relevant national policy priorities and plans and international forestry and environmental agendas and priorities. PROCAFOR was based on the strategy of community engagement and needs assessments influenced its design. Some resistance was encountered to the idea of community engagement at the scale proposed by PROCAFOR although ultimately, this has been overcome and is now accepted.

The latest intervention, MAP-FINNFOR, has overall poverty reduction as its aim and although it appears to lack detailed baseline data for this, there has been good national consultation to ensure congruence with national priorities and needs. It is specifically designed to assist countries meet their obligations under international processes, including climate change and CBD.

The greatest challenge observed is the relatively low importance ascribed to the forestry related sector in the various partner countries. As a consequence, national agencies are generally under-funded and lack leverage at the highest levels of government to influence relevant national plans. This finding is similar to that found elsewhere apart from in Vietnam and the Balkans.

The forestry situation in the Western Balkans is rather different from that in other partner countries. There has been a long tradition of relatively good forest management in the Balkans. Although this has not prevented forest loss and degradation, and in many cases resulted local people being excluded from the benefit stream, there is a pool of well-educated personnel and a much better information base from which to work.

Finnish interventions were also more narrowly focused in the Western Balkans than elsewhere and concentrated largely on capacity building and technical enhancements; their underlying purpose to improve cross-national communication in a post-conflict situation. The interventions have all been supportive of governments' efforts to move to a market economy, support the wider application of SFM and prepare countries' policies and legislation to meet the requirements that ultimate EU membership would place on them. Poverty reduction is an implicit but largely un-stated goal.

The Balkans partners have all been engaged in international processes, including Forests Europe (MCPFE) and have international research linkages through Europe-wide initiatives, including those on forest health and biodiversity, and through IUFRO.

The support to GIS in Montenegro, delivered through UNDP, meshed closely with forest sector development supported by Luxembourg and was regarded as both highly successful and sustainable in what it achieved. The FOPER intervention as well as being well-regarded by those benefiting from its education opportunities, continues in a second phase that is mainly delivered by national personnel.

4.1.2 Conclusions on Evaluation Question 1

Although there is evidence that all interventions are fundamentally relevant and coherent with the high order policy framework in all partner countries, the limited nature of this framework in a number of partners renders this of limited value. The weak links to real coherence with poverty reduction and, especially, the absence of good data for both planning and monitoring are of significance in respect of the limited impact reported. The lack of specific policies and strategies within partner countries that relate to Finland's cross-cutting issues further limits wider successful impact.

More resources need to be applied at the design stage, especially in the setting up of monitoring and evaluation (M&E) systems that can reflect the impact of forestry interventions to positive contributions to poverty reduction and MDGs. This is particularly so given the general trend towards larger financial commitments for specific interventions. The difficulty will come where partner countries themselves have not developed their own national policies and strategies into more detailed plans and specific implementation plans.

There are also questions relating to the handling of cross-cutting issues during the appraisal process within MFA. These issues are widely included by other donors and there are standard methodologies, such as those of EU, available to ensure that they are adequately considered; these could be usefully applied. The consulting companies, which in the main undertake design missions, have access to people who have the right expertise and experience.

Within MFA, it seems that proposals are circulated for comment and greater use of a "matrix management" approach, with a group of relevant advisers operating as a

team for each intervention from the beginning might overcome the current criticisms that cross-cutting advice is sought at too late a stage. The result is that the design is adapted by “bolting on” amendments when the better solution might be a different design altogether. This issue is exemplified very clearly in the country study on Vietnam.

One final conclusion is on the willingness of Finland to apply rigorous conditionalities within interventions. There are two good examples, from Laos and Zambia, where the position of the partner government is seriously undermining the wider impact potential. In both cases, the issues are long standing yet there has apparently been no restriction on continued support. While this may be desirable in terms of the higher order political relationship between Finland and these partners, the benefits of this need to be offset against the cost of the continued investment in interventions that cannot meet their stated aims until changes are made.

4.2 Evaluation Question 2

Are the interventions responding to the priorities and strategic objectives of the cooperating party, are they additional or complementary to those done by others, or are they completely detached and stand-alone – in other words, what is the particular Finnish value-added in terms of quality and quantity or presence or absence of benefits, and in terms of sustainability of the benefits and in terms of filling a gap in the development endeavour of the partner country?

Key indicators relating to coherence – complementarity, connectedness and Finnish added-value:

1. Engagement and synergies with government and other donors;
2. Harmonisation;
3. Level and relevance of Finnish expertise provided; and
4. More general Finnish added-value.

4.2.1 Findings on Evaluation Question 2

The support to Kenya is concentrated on a single large intervention to support forest sector reform. This has completed its inception phase but as noted earlier, progression to the main phase has been slow. The intervention has been very much in line with government priorities, the most obvious of which is to replace the Forestry Department with an agency, the Kenya Forest Service. This change is in line with similar interventions across the region, such as that in Uganda led by the UK’s Department For International Development (DFID) and the inception phase received some parallel support from USAID.

Finland is appreciated as the lead donor in the forestry sector and there has been useful complementarity from a number of small NGO projects supported from Embassy funds. Other donors may be willing to enter the sector in future but are awaiting more signs of progress. Although there have been no excisions of forest land since

2007, the administrative vacuum that has occurred during the transition period has meant that there has been uncontrolled exploitation.

Although the plantation resource has been neglected for many years, with little or now thinning or pruning to improve the crops, the value relative to local salaries is very large. One hectare containing 200 m³ of standing timber with a notional value of US\$ 20/m³ would have a value of US\$ 4,000 compared with a divisional forest officer's annual current salary of around US\$ 1,200. The preservation of the value of the plantation resource is crucial to the next stage of the intervention, which is to utilise this value to pay for the Kenya Forest Service.

If this value is prejudiced through loss or sale at a price under the market value, the net result would be that Finland is subsidising the Kenya Forest Service. This would not be an acceptable outcome but with the current logging ban due to be lifted in 2011, time is running out for progress to be made. Noting the failure of both Zambia and Laos to undertake required legal reforms, that should have been negotiated as conditionalities, there may be a case for a more rigorous requirement to be applied to progress in Kenya in order to achieve a sustainable outcome.

There is considerable potential for Finnish Added Value in the forest sector reform process. As well as previous experience of such reform (in Namibia and Malawi, for example) the development of small-scale forest owners is very relevant as is the development of wood using enterprises of various scales. Until further progress is made, however, this cannot be captured.

Although there have been quite significant delays on the partner side, the administration of the programme, with strong central management from Helsinki, has also contributed. This aspect of aid delivery modality is discussed later (section 4.5).

In Mozambique, Finland was an early donor and its support was well received. Finland continues to be an important donor and currently chairs the general budget support group of 19 donors and has greatly improved harmonisation. Earlier support was characterised by poor coordination and communication both among donors and across the various levels of national government (district – province – national). Although there has been improvement, there still appears to be room for further enhancement. In particular, there is some evidence of poor liaison from province to national level and from national level down to district level. There is still some provincial level support in Zambézia owing to the past capacity building there.

All the interventions appear to have been in line with national priorities and objectives, although in some cases these were only expressed at the aspirational level. There have also been examples where Finland has provided information on new opportunity. Following a study visit to Finland, the Mozambique government has identified commercial scale forestry development, including support for small-scale farm forestry, as a major forestry development strategy. There is already considerable interest from external investors and the country has extensive areas of plantable land in large

blocks that has considerable forestry potential. At the same time, there are many unresolved issues relating to such a development strategy that will need to be covered in the National Forest Programme. These include issues relating to the field side and to the type of processing industry envisaged; these are discussed further in Chapter 6.

Where Finland seems to have been most successful is in the support for the “soft” side of forestry development. The support to community groups appears to have been effected in the creation of community management committees and the revenue sharing that provides for 20% of revenue to accrue to communities. What has been less successful is the magnitude of such revenue sharing. For example, the sum of US\$ 2.2 million transferred to 1,089 communities over a 5-year period represents only US\$ 400 per community per annum. In terms of either poverty reduction or community development, this is quite limited. Furthermore, although this aspect of forest management was achieved, it is not clear that adequate reinvestment in resource management is being undertaken.

In terms of the TA supplied, this has been substantial although there have been a number of issues that require attention. In some projects such as PRODEZA and SFRM the TA input added value and built capacities of local counterparts. However there were concerns from the main project stakeholders that the expatriate TA input which also includes JPOs was not eliciting the expected outputs for various reasons.

For example as stated in the SFRM Mid Term Review 2002 conducted by Impact Consulting, specific points noted are that Junior Professional Officers did not have fluency in Portuguese before arrival in country while the more senior personnel seem to have spent a fair proportion of their time engaged in administrative tasks and were neither in a single unit nor were they integrated into the national administration. The whole question of the aid modality in respect of TA needs to be given attention. At the same time, there is a very complex cross-ministry structure within Mozambique that is relevant to the wider forestry sector.

The findings from Tanzania are somewhat disappointing given the overall level of support and the length of the engagement. Finland is the lead forestry donor in the country and although in some areas it is operating as the sole donor, there are also good examples of harmonisation and coordination. Examples include work on PFM jointly with Denmark and with Denmark and WB on the National Forestry and Beekeeping Database, through support to the NAFORMA information system. Given the more general finding that lack of data is a major constraint on reporting impact as well as progress, the support for NAFORMA is valuable.

Donors in Tanzania appear to be working together effectively and there have been several significant joint donor planning initiatives as well as joint donor reviews, as for example that on PFM. Against this, donors continue to utilise different modalities and there appears to be a plethora of modalities available, suggesting lack of control by government. The limited capacity of the government is further evidenced by the current suspension of funding through National Forestry and Beekeeping Pro-

gramme due to financial audit findings of inadequate financial control and reporting systems.

Despite long periods of support, the results from PFM have not yielded the level of benefits anticipated although there is good evidence of successful empowerment. More recently, there has been a switch of emphasis to wards private tree-growing associations, linked with wider encouragement of commercial investment in plantations. This has potential to deliver direct benefits in terms of income generation although it will not benefit the poorest sectors of society.

In terms of TA, Tanzania appears to have had less abundant resources than Mozambique and the limit may have been too low given the problems that have arisen. Finnish Added Value was apparent in the support to forestry training and potentially could be utilised through the support to independent tree growers providing supplies of industrial wood. There has been little use made of Finnish expertise in forest processing.

In Zambia, which again has a long history of support for forestry, support has consistently been responsive to nationally identified priorities. Finland has been active and effective in donor coordination and ensuring relevant support for other initiatives.

In terms of Finnish Added Value, training support should have been one area that benefited but the work at the forestry training college, while well received, was not ultimately as successful as it might have been and suffered considerably from lack of national support. More recently, the provision of assistance delivered through FAO at Headquarters and country level related to enhanced capacity in monitoring reporting and verification (MRV) for REDD+ related work (in the light of the US\$ 4.5 million UN-REDD payment to Zambia and similar support in Tanzania) draws on Finnish expertise in inventory and this is an area that could be more widely applied.

The findings from Laos show that Finland's intervention, both the original FOMACOP and the subsequent SUFORD addressed an area of interest identified by the national partner that was one where other donors were not active. Both interventions have been undertaken jointly with WB and this joint approach has operated extremely well, with joint missions and a strong level of agreement on all issues.

The topic of the interventions, PFM operating in productive secondary moist forest, is unusual and the potential value from sustainable harvesting is much higher than that from PFM interventions supported in East Africa. The level of complexity of management of this type of forest is quite high and there has been considerable success in piloting a relatively complex management system through an active participatory approach. The difficulty has been that the intervention has been somewhat isolated from the higher levels of sectoral planning and the valuable benefits and demonstration delivered have not had the right level of influence. The continuing system by which the bulk of the revenue is retained by government and the failure of government to extend the system of equitable revenue sharing greatly diminishes the wider value that could have come from this excellent intervention.

In terms of Finnish Added Value, the systems that have been developed are not ones that appear at first take to be unique to Finland or ones to which Finland brought specific experience. Nevertheless, what has been done is very impressive and the professional inputs made have been of a very high standard. It is frustrating that, without the dead hand of government, it would have been possible for much greater impact to have been achieved, making use of Finnish expertise in strategic planning as well as in timber marketing and processing.

There remains strong potential to develop what has been done through greater attention to non-timber forest products (NTFPs) and to environmental services. SUFORD is already actively engaged in preparatory work for climate change related services and there are other environmental services that could be added for which Finland also has good expertise to offer. The fundamental constraint, however, remains the unwillingness of the government to reduce the high proportion of revenue taken into central funds and the application of centralised quotas that are not based on the findings of local inventory work.

Forestry has been identified and prioritised as an important sector in Vietnam and of all the partner countries, Vietnam appears to be among the most committed to an active and extensive forestry sector development. The sector objectives and priorities have been well defined in Vietnam and all interventions are fully congruent with these.

In parallel with the clear strategy development, donor coordination has also been very effective, with a multi-donor trust fund created that operates smoothly and effectively. While this outcome is to be welcomed, it does have implications for other Finnish considerations. Perhaps the most significant of these is that by operating in this way, Finland has less influence over the specific targets to which the funds are applied. In Vietnam, this issue is most significant in respect of poverty reduction although there are secondary considerations in respect of biodiversity conservation. Operating through the trust fund also limits the influence at field level, meaning that even where Finnish expertise is available, it is harder to apply than it would be in a situation with more direct support.

Vietnam has prioritised production forestry, notably short rotation monocultures to supply forest industry. While this will have good economic impact, and on poverty for those involved in growing, mainly small farmers, there are some indications that farmers would prefer more diversity and the strategy excludes the poorer farmers.

Although the multi-donor trust fund has been an effective vehicle and has enhanced donor coordination, there are some negative aspects. Because donor support represents only a small proportion of overall support for forestry in Vietnam, it is important that donors take opportunities to influence policy directions. While this has been done to some extent, elements that are donor priorities – poverty reduction and conservation mainly – have yet to feature as strongly as is desirable.

For Finland, while operating through the trust fund leads to good donor coordination it also leads to a lack of direct influence and also makes attribution of specific gains difficult if not impossible and may affect the ability of TA personnel to address issues quickly. The desire was expressed from the Vietnam side for more use of specific Finnish expertise, which has been highly valued, and an example of this is provided by the FOMIS intervention on improved information. The Forest Protection and Development Fund should be able to learn from the valuable lessons learned from the operation of the trust fund. This may provide opportunity to promote the valuable lessons gained from the SUFORD intervention in Laos.

For Central America, Finland has been a prominent donor during a period when some donors (Sweden and Norway) withdrew although there is now a broader donor presence in the region. There appears to be good coordination, and the main current intervention is channelled through the regional international research organisation CATIE, although informal contacts seem to continue to be an important complement to formal systems.

While there is good evidence that all interventions have been well-grounded in national priorities, with the PROCAFOR intervention, Finland was at times leading with the concept of community engagement as a preferred strategy to deliver sustainable forest management and conservation. PROCAFOR supported this strategy through direct field engagement, and ultimately community based approaches have become an accepted practice. This field engagement provided additional leverage which will be lacking in the latest MAP-FINFOR intervention with its higher order focus.

Finnish expertise is highly regarded in Central America and there is good evidence of added-value under PROCAFOR in the application of forest management planning derived from practice in Finland applied successfully to pine forests in the region and still being used. This idea came from experience of working with small forest owners in Finland and this is an area that could be usefully promoted more widely.

At the same time, the cost of the TA utilised in PROCAFOR was very substantial and represented some 50% of the overall cost. In Zambia, again with a participatory approach applied under the PFAP, the TA cost was even heavier, at 63% of overall budget. TA is relatively expensive but there were also comments from Mozambique on the relatively high proportion of the budget being spent on TA and, at least in some countries, this appears to be a sensitive issue and one that will need to be addressed and justified during the initial negotiations.

The situation in the Western Balkans in respect of this question is related to the rather different forestry background and drivers that applied, as noted earlier. In terms of engagement with governments and other donors, the FOPER and Montenegro interventions were delivered through third parties, European Forest Institute (EFI) and UNDP (United Nations Development Programme) respectively, and were responses to identified needs. In Serbia, the proposal was subjected to rigorous review during its inception period and adjustments made to eliminate overlaps and duplication. Har-

monisation was limited, although in Montenegro, UNDP was active in promoting co-ordination with other GIS work in the country.

Finnish expertise was primarily engaged in the FOPER intervention, which had almost exclusively Finnish experts during the first phase although this has now changed radically and national expertise is the main source for phase 2. No Finnish expertise was engaged significantly in the interventions in either Montenegro or Serbia.

The FOPER intervention captured Finnish Added Value in education while in Serbia, Finland brought a focus on small-scale forest owners that had been lacking. This is highly relevant across the region, especially as a result of forest restitution, and one that Finland has very useful experience to support.

4.2.2 Conclusions on Evaluation Question 2

The record on engagement and synergies with partner governments and other donors, where relevant, is generally a good one. There are no instances noted where Finland did not engage thoughtfully although in some cases, such as in central America, where it was leading on community engagement and in Laos, where it is still attempting to wean government onto a more community friendly stance, it was perhaps in advance of national thinking at the time but this was appropriate in the circumstances.

Various approaches to harmonisation have been adopted ranging from the relatively informal to donor groups and more formal structures such as the trust fund being applied successfully in Vietnam. Where perhaps there is room for improvement is in cross sectoral collaboration within countries. This is an issue that is widely regarded as not having been well conducted and has stalled the National Forest Programme process in many countries; it is also significant in the finding that in many partners, forestry is not strongly reflected in top level national plans and strategies.

No criticisms of Finnish expertise have been recorded nor were any reported and indeed in most cases, Finnish expertise is highly valued. There are, however, some questions raised over the size and expense of the TA component in a number of cases, Mozambique in particular has questioned this although in Zambia and Central America, the TA budget was a substantial proportion of the overall assistance package.

Nevertheless, there are also questions over the effectiveness of TA. These relate to the structure of assistance delivery and there appears to be a top heavy system in place, with substantial central control from Helsinki. This seems to be unnecessary given the existence of out-placed advisers but there is also a wider question of the relationship between MFA and consulting companies contracted to deliver interventions. It appears that there is scope for more devolution than is currently in place. Such a system would of course place greater reliance on monitoring, which is an area of apparent weakness.

There are good examples of Finnish Added value in forestry, such as with education and training and with extension and planning for small-scale forest owners. Not all interventions capitalise to the extent that could be possible on areas of particular Finnish expertise and this could be usefully addressed.

4.3 Evaluation Question 3

How have the three dimensions of sustainability been addressed in the intervention documents, and were the aim modalities and instruments conducive to optimal materialisation of the objectives of the aid intervention?

Key indicators relating to relevance and efficiency:

1. Evidence that planned impacts are positive or neutral on all dimensions; and
2. Extent to which interventions have supported efficient and effective implementation.

4.3.1 Findings on Evaluation Question 3

In all cases, all three dimensions of sustainability are addressed to at least some degree in the intervention documents. At times, the three elements of sustainability are perhaps too implicit and would benefit from more explicit attention. In the case of highly technical interventions, such as the Montenegro GIS, which are supportive and only have indirect impact, this was also taken into account. The more critical finding relating to the three elements of sustainability is the generally weak baseline information and in many cases, the non-availability of hard data to confirm the changes that have occurred. This leads to a situation that when impacts are sought it is impossible to know whether they have taken place but are unrecorded or whether they have not taken place.

Related to this is the formulation of indicators for monitoring. There is criticism from a number of country reports that monitoring tends to report activities rather than impacts. While management requires that activities and inputs be monitored and reported, this seems to have become confused with impact monitoring, which in essence should relate to the next higher element in a logical framework and should as far as possible encompass both quantitative and qualitative aspects.

Of the three dimensions of sustainability, the one that is most commonly noted as being weakly considered is the economic. This is the case in all the African partners and in Laos although in Vietnam, it seems that the reverse is true and the economic dimension is the one that is emphasised in the government development strategy. While there are no formal studies, the finding on PFM in various forms in Mozambique, Tanzania and Zambia is that the benefit stream for various reasons has been quite limited and is unlikely to prove sustainable, or indeed sufficient to maintain interest, in the long term. In Zambia, high expectations remain but on the basis of ex-

perience elsewhere in the region, these may prove unrealistic. In Laos, the benefit stream has been very limited, as already noted. Whether it justifies the transaction costs is hard to know but it seems unlikely as the government does not appear to be disposed to continue the high cost process in the absence of donor support.

This situation may change with REDD+ funding, which is already at an advanced stage in both Tanzania and Zambia. The structures within which increased benefits from REDD+ could be distributed are already in place but to date, the precise mechanisms have not been determined. The economic dimension may also be better addressed by small-scale tree planting. Both Vietnam and Mozambique record proposals for short rotation (5 to 7 year) industrial wood crops. While the potential returns may be quite high, in both cases it is far from clear that the risks associated with schemes where growers are locked into a single buyer have been adequately considered. In Africa, Tanzania and ultimately Kenya, both have similar proposals, there are major issues with silviculture that will need to be addressed if adequate returns are to be secured. This is discussed in more detail in Chapter 6.

In respect of modalities, although a wide variety has been employed, the decision on which to use appears to have been more strongly influenced by practice in the partner country than by deliberate choice. In no case did it prove possible to conduct useful analysis of the strengths and weaknesses of each, still less reach conclusions on how the most appropriate modality should be selected.

What is apparent at the general level, is that the system in Vietnam appears to be efficient in delivering finance although the separation of TA from field activities creates a problem. In Tanzania, the system of direct funding through the Forestry and Beekeeping Department has stalled due to lack of adequate reporting. This raises a question over plans to utilise a similar system in Mozambique. It is not clear whether adequate capacity exists at provincial level there to ensure that fund disbursement is recorded and reported to an acceptable standard.

In Kenya, there are concerns over whether the current logging ban will be lifted by 2011 so that the revenue stream will provide the running costs for the new Kenya Forest Service. If this does not happen in accordance with the planned timetable, there will be a major question to be addressed on whether Finnish funding should be withheld until the revenue stream starts.

From Central America, the main issue raised on modality by the field visit is the high cost to the Embassy of running a regional intervention, such as PROCAFOR. This should be dealt with by using CATIE as an intermediary. There are no negative comments noted in respect of the work in the Western Balkans, which relied almost entirely on this approach. Some funding in Zambia is being delivered through FAO but at present it is not possible to say whether it proves more effective.

There were negative comments from Mozambique about the cost and complexity of funding through consulting companies and similar comments from Vietnam prior to

the trust fund being established. It is not fully clear why the problems have arisen in Mozambique, many donors use precisely that system. There is, however, a wider issue which is that donor “projects” operating in parallel with government systems tend to work against the concept of mentoring support, which is the rationale for the provision of TA. Given the disappointing results of direct funding from Tanzania, however, it is not possible to make clear cut recommendations that funds should be channelled through government.

4.3.2 Conclusions on Evaluation Question 3

Although all three dimensions of sustainability are adequately mentioned in intervention documents, it is far from clear that there is provision for appropriate provision for data collection to support monitoring and reporting, especially of impacts and outcomes as opposed to input use and activities. Of the three dimensions, in most cases it seems to be the economic one that is given least attention and there is little evidence of adequate projections.

Where commercially associated interventions are being promoted, there are questions over whether the technology is appropriate and, particularly, whether the risks to the growers who often have very limited market outlets, have been fully appraised. Given the number of partner countries where this type of intervention is being proposed, these are serious issues.

In respect of modalities, although a wide range has been tried, the conclusion is that the modality was chosen more on the basis of what was acceptable to the partner than on its potential efficiency and effectiveness for specific interventions. Problems have been recorded with nearly all modalities in one partner or another and it seems that a specific study of where and why different modalities should be used would be beneficial.

4.4 Evaluation Question 4

What are the major discernible changes (positive or negative, intended or unintended, direct or indirect) and are these changes likely to be sustainable, and to what extent these sustainable changes may be attributed to the Finnish aid interventions or to interventions in which Finnish aid have been a significant contributing factor? (Individual intervention impact plus interventions supported by others, Aggregate programme level.)

Key questions on impact, connectedness, coordination and sustainability:

1. Changes at national level in MDGs and in international level regimes;
2. Support and commitment by partners in respect of sustainability and amendments to policies and plans to sustain outcomes; and
3. Consideration of scale of Finnish financial and technical investment.

4.4.1 Findings on Evaluation Question 4

By its nature, forestry is a long term intervention and changes may not become evident for a decade or more. This makes finding impact within the normal intervention cycle of development assistance very challenging. In most cases under review, the lack of baseline data makes finding any evidence of impact even more challenging and consequently, it is necessary to rely on interpretation and changes of attitude as much as on physically measurable parameters. Furthermore, in the case of the African partners, the dominant forest type is savanna woodland, which is subject to considerable variation from year to year and these patterns of natural variation are poorly understood and not well documented.

It is not possible to comment in detail in respect of Kenya. The inception phase of the Forest Sector Reform intervention identified appropriate changes to be undertaken, including enhanced monitoring and securing better coherence for the sector with the international regime but so far, there is insufficient progress to determine whether these plans will be put into effect. The scale of Finnish funding and technical support is substantial but given the scope of the intervention is in line with similar interventions, such as that from DFID in Uganda some years ago.

In Mozambique, the intervention supporting the National Forest Programme includes provision for baseline data gathering although this has not yet been done. There are a number of baseline studies conducted by various other donor supported interventions that provide some information although it is neither complete nor always coherent. For biological resources, the information base is very limited with the exception of that on elephant populations. Neither the botanical nor the zoological aspects of biodiversity is adequately recorded in Mozambique although localised studies have been carried out.

The work at provincial level in *Zambézia* and Inhambane included forest inventory and this has been used by the local forestry services to determine harvesting quotas. In terms of wider changes, no evidence was found to support definitive changes to MDGs while reporting under international conventions tends to be descriptive. It was apparent from the field visit that there had been impact on skills at community level and, in common with Tanzania and Zambia, there was definite strengthening of the “soft” side of collaborative forest management, in terms of people’s understanding, willingness to organise and run village level committees and the general conclusion was that the social side was firmly in place as a result of Finnish support. What is missing in all three countries is the technical side and adequate economic benefits to the engaged communities.

In Mozambique, the forestry is identified as a growth sector and there is active use of natural woodlands and an ambitious commercial plantation programme. There are no guidelines in place to ensure production potential is maintained in natural woodlands nor is there any system to ensure that the plantation resource is sustained. There is a replanting requirement but without stringent control of plant quality, tending and

protection, this is not likely to be effective. Unless this situation is remedied, the resource base is not likely to be sustained in the longer term.

Mozambique has received substantial financial support for forestry (over €100 million to date) and extensive TA. The gains so far appear to be rather limited in return. There are certainly issues that need to be resolved in respect of the use of TA as noted earlier. Of more concern is that under current arrangements, the quality of plantation management relies on the corporate social responsibility and professionalism of external investors. In some cases, as with the Norwegian company Green Resources, their record is quite sound but it would be preferable to have a more formal and transparent system in place.

In respect of EU-FLEGT, Mozambique has expressed interest and has started preliminary discussions. There would need to be large improvements in control which is currently very limited by capacity constraints and a lack of plans and records. Overall, Mozambique has a long way to go before its policy level commitments are adequately delivered through appropriate plans and control systems.

For Tanzania, the NAFORMA database, which feeds into the national forestry and beekeeping database, provides a somewhat better baseline than in the other African partners although there are staffing issues that currently undermine its utility. The planning framework in Tanzania, as a result of Finnish leadership on harmonisation, is more effective and has less overlap and duplication than in the other African partners.

The greatest frustration in Tanzania, has been in the translation of higher order plans into practices that deliver real and sustainable benefits. Collaborative forest management, or JFM, has been enthusiastically welcomed by local communities but the delays to the process, some communities have still not had management plans approved after 3 to 4 years, has created disappointment. It appears that potentially income generating activities, through enterprises and JFM, have been relatively under-financed and the joint donor review of JFM from 2009 documents the disappointing outcomes.

The reason for the delays, and the resistance to enabling communities receive adequate returns from JFM, are unclear but at least in part are due to poor understanding on the part of District Forestry personnel and at times their personal interests overriding their professional work. Informal discussion in Kenya revealed a similar problem there. Forestry personnel seem to be uncomfortable with the concept of managing forests and woodlands other than for maximum wood production, seem to be unwilling to take guidance from local communities on what they would like and regrettably seldom fail to ensure that benefits accrue as they should to the local communities.

Given that while there have been few if any examples of successful collaborative forest management (CFM) in any of the African partners, the social side has most defi-

nately been strengthened, giving good potential for sustainable use with adequate economic returns. The constraint is mainly the resistance from forestry personnel who lack adequate knowledge, usually resist acting as facilitators rather than directors and at times are corrupt. Until these issues are made more explicit and tackled properly, it is unlikely that CFM approaches will be effective. Unless this is done fairly rapidly, the current interest and commitment on the part of the communities that has been built up will be lost.

The scale of Finnish investment in Tanzania appears to have been somewhat less in relative terms than in Mozambique for example and the lack of support on economically productive activities may have diminished the value of the returns. The level of TA in particular has been limited in recent years, given the challenges in Tanzania and the extensive nature of the forest.

Zambia has benefited from two substantial interventions to support Provincial Forestry Action Plans in three provinces totalling some €7 million between 2000 and 2010. Although there has been positive change in respect of the supportive side, through the development of village level committees for example, there has been no benefit. The reason is that the necessary legal framework to allow revenue collection by and sharing with communities has not been put in place. This failure has seriously undermined the value that could have been obtained. Expectations of future benefits remain high in the communities although it is unclear that these will be met in full even if and when the change to the law is approved.

The support for Integrated Land Use Assessment (ILUA) has just entered a second phase. The opportunity here is to collect information that is sufficient to support REDD+ MRV through addressing issues of sampling intensity, review of data variables collected and use of GIS/remote sensing data. Zambia has recently received US\$ 4.5 million from UN-REDD and payments will require appropriate monitoring, reporting and verification. There is potential for Finnish support to facilitate both a continued flow of REDD+ funding and, through the mechanisms established for JFM to channel and equitable proportion of these funds to local communities. This possibility is only a potential one, it will require a higher level of commitment and response from the Government of Zambia than that recorded so far if it is to be realised.

The SUFORD intervention in Laos contains practices that if more widely and equitably applied have the potential to have impact on MDG 1 – poverty – and MDG 7 – environmentally sustainable development. At the same time, the components of participatory management, biodiversity conservation and consideration of indigenous peoples' rights are all consistent with relevant international regimes. As already noted, however, there are two major constraints to securing wider impact and uptake of the technologies piloted.

The high level of royalty collected by government leaves little revenue to be shared with communities and so far, government has shown no inclination to adopt the con-

cept of revenue sharing outside of the SUFORD project – for example from forest clearance for infrastructure development. The lack of wider influence from SUFORD is a great disappointment and the resistance of government to modify its current practices of centralised quota allocation together with high royalty rates effectively undermines the considerable potential that could be captured from SUFORD. Although it is accepted that salvage logging and similar issues are broader policy issues and outside of the direct remit of SUFORD, it is this ‘compartmentalisation’ of issues that limits the effectiveness of the SUFORD approach and highlights the criticality of the commitment of the GoL.

Despite these weaknesses being well-recognised within MFA, there appears to be reluctance to press the partner government to lever change, with a preference for continued political engagement. While this may be desirable, it is coming at considerable cost to both Finland and, more importantly, to the local communities who are actively engaged but receiving scant return for their commitment and effort. Most recently, SUFORD has started to address climate change related issues, including REDD+ related payments but unless the revenue sharing can be made more equitable, the impact from this will be less than desirable.

The findings from Vietnam are more positive than from either Laos or Africa. Underpinning the changes to the policy and strategy framework was a participatory approach and there has been extensive piloting of possible activities with a view to inform policy development.

Vietnam is very strongly engaged with small-scale plantation forestry for industrial wood production. Although there are issues surrounding this in terms of risk to the growers and loss of other opportunities, there has been impressive change in the country in respect of poverty, to which forestry and Finnish support, has made a contribution that is difficult to attribute specifically in the absence of detailed information. It is evident that Vietnam has both valued and made good use of Finnish expertise.

With the development of the multi-donor trust fund, it has become much more difficult to see a direct link between progress and Finnish support. Nevertheless, it is apparent that the much earlier Forest Sector Cooperation programme (VFFP) succeeded in assisting changes on land use planning and a credit source for poor farmers and these changes were directly attributable to Finnish support. The former, especially, has been crucial to the more recent developments, which, while still at a relatively early stage, certainly have potential to bring marked positive impact due in part to Finnish support.

Vietnam has been very successful in addressing poverty and hence MDG 1. It is not possible to ascribe a definite contribution to either forestry or Finnish support and there are some reservations in respect of rural poverty and in that the main forestry strategies exclude the poorest sectors of society. The work being done on piloting other approaches may in due course provide guidance on mechanisms through which this might be addressed.

In Central America, PROCAFOR was successful in securing recognition of the value and place of community based approaches to sustainable forest management and the delivery of enhanced income from good planning at community level. The level of the direct impact was small but the system has become widely adopted across the region. This is supportive of MDG 7 and also of international policy instruments such as the sustainable use and benefit sharing components of CBD. The fact that the approach promoted by PROCAFOR has been widely taken up, albeit still at a relatively small scale, is also very positive. At the time of the field visit, the potential benefits had been reduced substantially by the ban on logging in Nicaragua dating from 2006.

The level of financial support to PROCAFOR was substantial with roughly half being expended on TA. The influence on policy was less than had been hoped for but the new intervention, MAP-FINNFOR should assist in capitalising on the interest generated and the existence of successful examples from PROCAFOR.

In the Western Balkans, it proved hard to find definitive evidence on changes relating to the MDGs although there is considerable potential for impact in respect of MDG 7 on environmental sustainability. The contribution from the support to GIS in Montenegro had marked impact on improving forest planning, management and control and thus made a solid contribution to ultimate impact in terms of improved sustainability and in due course poverty reduction: there is a high level of forest dependency in Montenegro. In Serbia, the intervention was crucial to having SFM accepted as a major strategy to replace the strong production only focus while the effective skills enhancement delivered by the regional forestry education intervention, FOPER, enhanced regional cooperation and greatly improved skills and expertise.

It is worth noting here the support to the Tarapota process, which supported SFM in South America. Although Finland was just one of many donors supporting this process, the process has been valuable in creating a framework for the region and also enhancing recognition of the specific needs of the region. At the same time, the process itself is one which is fully consistent and coherent with Finland's development policy and with the strategies and position adopted in relevant international fora.

The impact from Finnish interventions in the Western Balkans region was compared with that in other regions, remarkable given the limited funding allocated. Although the first phase of FOPER relied heavily on external technical expertise, the current phase is being successfully delivered by a team drawn largely from national expertise.

The Western Balkans region overall shows very effective partnerships with national and regional agencies as well as international bodies such as IUFRO and MCPFE (Forest Europe).

4.4.2 Conclusions on Evaluation Question 4

It is hard to discern formal evidence on changes at MDG level and indeed, the evidence on trail on impact is generally faint in part due to the lack of both baseline and

monitoring data. In all four African partners there has been relatively good progress in respect of the wider framework for potentially valuable interventions on collaborative forest management but little in the way of real benefits accruing to the collaborators. In Laos, an excellent framework has been created but government intransigence restricts the benefit flow while lack of capacity, or in the case of Zambia, government unwillingness to take action, has resulted in an inability to capitalise on progress.

Potentially economically productive systems based on plantations are evident in Mozambique, Tanzania and Vietnam. The last is the most advanced but there are serious issues relating to the risk to growers from market saturation and natural catastrophes while in Africa, there is no adequate system to ensure that plantation development takes place within a system of guidelines to ensure sound practices.

In essence, the various elements of the sustainable development framework are differentially lacking in each country although much of what has been created is conducive towards the wider aim of full sustainable development. The situation in Central America is perhaps better balanced although here the acceptance of the strategies at the policy level has proved to be hard to secure and it is unclear that there is real commitment from governments.

In the Western Balkans, starting from a stronger base, the Finnish supported interventions have perhaps been more effective in making significant changes and thereby creating a much improved platform on which sustainable forestry development can be based.

Finnish support has been at a generous level although it is not clear that value for money has been secured. Technical assistance while universally acknowledged as highly competent and in most cases relevant and appropriate, has been at times restricted through operational modalities from delivering best value.

4.5 Evaluation Question 5

Have the financial and human resources, as well as the modalities of management and administration of aid been enabling or hindering the achievement of the set objectives in the form of outputs, outcomes, results or effects?

Key questions on efficiency and effectiveness include:

1. Financial allocation and expenditure;
2. Achievements of TA; and
3. Application of agreed modalities.

4.5.1 Findings on Evaluation Question 5

The intervention supporting reform of the forestry sector in Kenya has only just moved from inception to implementation. Although there are no outcomes in terms

of impact from forestry, the inception phase was successful in supporting strengthened capacity on the part of the Kenya Forest Service to manage and report on financial matters. This is linked with a comprehensive information system and earlier USAID capacity building support. It is however, too early to know whether it will be effective and progress with appointing staff remains slow, leaving a transitional situation that is not conducive to wider progress.

Whether Kenya will prove to be more successful than Mozambique and Tanzania in respect of management and administration, especially funds, remains to be seen. In both these partners, there have been considerable problems. In Tanzania, there have been major problems with adequate reporting on funds channelled through the Ministry of Natural Resources and Tourism while in Mozambique, the main issue has been very slow disbursement. A range of different modalities was tried in Mozambique but none proved notably effective although the precise problems varied. The underlying issue would appear to be limited capacity in the government partner.

The outcome from the inception phase in Kenya is judged to have been successful in establishing clear roles and mandates for the Kenya Forest Service and the Ministry of Forestry and Wildlife. Whether this will lead to enhanced and more effective sector wide impact is too early to know.

The situation in Zambia in respect of the modalities was generally less beset with problems than in Mozambique or Tanzania. This was only achieved, however, with considerable inputs from the Embassy at various times. The Embassy in Zambia seems to have been willing to suspend funding when the partner did not deliver its local funding commitment although the more crucial failure, relating to the delay in putting into force the Forest Act to allow JFM to start, did not result in any suspension of funds. A conditionality in 2000 for MFA support to PFAP was Parliament endorsement of the Forest Bill. Whilst this conditionality was met it was not anticipated that Government of Zambia would delay to put into effect the Act. It is unclear why this leverage was not applied. The modality with FAO for the integrated land use intervention (ILUA) does not appear to have encountered management or administration problems.

Although the aid modalities adopted in Laos were efficient and there were no issues reported relating to delivery, under SUFORD phase 1, there was a lack of national ownership. Phase 2 addressed this problem by closer integration of the activities into relevant work programmes, which appears to have helped. A similar perception of "exclusion" on the part of the partner was noted in earlier interventions in Vietnam but the multi-donor trust fund appears to have overcome this. All of the interventions used in Vietnam appear to have been effective in terms of securing progress towards achieving outputs and outcomes, which tends to support the view that partner capacity is a key element in this, given the somewhat better capacity found in Vietnam compared with some other partners.

In Central America, the main intervention was PROCAFOR. Its regional nature meant that the management and administration were more complex than with a simple bilateral intervention. This placed considerable responsibility on the Embassy. One problem encountered was the rapid turnover of desk officers in Helsinki, leading to lack of institutional memory outside the consulting company and apart from in the sector advisers but desk officers were not able to provide all the assistance that would have been desirable.

The newly instituted intervention, MAP-FINNFOR, has been contracted out through the regional organisation, CATIE. It is too early to know whether this will assist in enhancing delivery efficiency but the general finding from other interventions that have been delivered in this way, such as FAO in Africa and EFI and UNDP in the Western Balkans suggests that it should prove helpful.

Interventions in the Western Balkans generally ran smoothly and efficiently although in Serbia there were some national capacity constraints. In the case of FOPER, it was noted that there was substantial cost associated with stakeholder consultation, needs assessments and feasibility studies to refine the selection of modality. The Mid-Term Review (MTR) subsequently validated this as has the ultimate success.

4.5.2 Conclusions on Evaluation Question 5

A wide range of modalities has been employed across and within partner countries. Without the benefit of a specific study of aid modalities, it is hard to discern any real pattern that could guide the selection of which modality to use. It appears that difficulties and problems are more strongly correlated with partner country than with the type of modality and this is not unexpected given that partner capacity is ultimately a significant constraint on effectiveness.

Where international institutions have been engaged, the management and administration appear to have run effectively. It is not clear why similar effectiveness has not always been achieved when delivery was contracted out to a consulting company, as was reported from Mozambique. It is possible that the problem was more connected with the specific individuals than the modality itself but this would require more detailed analysis.

The questions relating to financial allocations and expenditure are discussed below under EQ 6 while issues relating to TA have been addressed under EQ 2.

4.6 Evaluation Question 6

What are the discernible factors, such as exit strategies, local budgetary appropriations, capacity development of local counterpart organizations or personnel, which can be considered necessary for the sustainability of results and continuance of benefits after the closure of a development intervention?

Key questions on sustainability include:

1. Organisational strengthening;
2. Local counterpart budgetary provision; and
3. Sector and institutional strategies for sustainability.

4.6.1 Findings on Evaluation Question 6

The inception phase of the forestry sector reform intervention in Kenya was agreed by all parties to have been effective in creating a solid foundation for the newly started main programme. The process of capacity building was started during the inception phase and a basic structure is in place that, provided it is continued, could result in a sustainable outcome. The existence of a degraded but still substantial plantation forest resource provides a sound basis for generation of revenues that with adequate reinvestment can provide a sound financial sustainability for the new Kenya Forest Service. The partner is committed to providing 21% of the overall funding during the period of support.

Whether this structure ultimately results in sustainable outcomes depends on a number of factors, some of which have been touched on earlier. Most urgent is the need to lift the logging ban and allow planned harvesting to take place. Provided this is done as it should be with transparency to secure market prices, the revenues will be substantial. Dangers arise from enforcement of subsidised prices to aid forest industry and from local corrupt practices. Sustainability in the long term also requires effective reforestation. There is also need to implement the planned control of charcoal production and trade and the effective capture of due revenues.

Although adequate systems have been put in place to ensure good information, sound management and financial sustainability, only time will tell if these and other elements of sustainability are being achieved in practice. There appears to be need for close monitoring of progress against an agreed timetable and for appropriate responses in the event of backsliding. There are worrying signs of loss of a possible impetus although this has not yet led to an irrevocable situation.

In Mozambique, all the interventions included elements for institutional strengthening through training, and through improved planning and monitoring. Despite this, capacity remains limited and this has not been helped by the significant number of trained personnel who have taken employment with civil society, commercial and international organisations. Capacity in the field is a particular problem and the government is attempting to remedy this for offering enhanced packages for those working in rural locations.

In terms of the sector needs for comprehensive sustainability, Mozambique remains quite weak. There has been little progress so far with creating an appropriate operating environment for the major plantation developments planned and in progress while natural forest and woodland management continues to exhibit patchy control.

There is no evidence of investment in sustainable management of the resource base as far as could be ascertained.

The social side has been better addressed with interventions that have led, for example, to the sharing of licence fees in some localities but overall, the situation requires further attention. The proposed activities under the latest intervention, SUNAFOP have considerable potential and there is evidence of the creation of stakeholder interest and mechanisms by which this can be fed into the higher level processes but some danger remains of repetition of the situation in Zambia where advanced progress on the social side of JFM has not been matched with benefit delivery, which could undermine the progress made.

Tanzania has been the focus of very extensive capacity building in terms of both formal forestry training and in associated skills and expertise. Staff retention has proved to be problematic, although this situation seems to be more as a result of postings within government rather than, as in Mozambique, people moving to other employers. What seems to be lacking in Tanzania is good consolidation of results from the inputs made, as for example with the failure to follow up on training given at district and regional levels.

One good indicator of the extent to which local communities have become empowered was noted in the 2010 report from the NGO Tanzania Natural Resources Forum on the Mama Mitsu pilot phase report, which has raised awareness of illegal forest activities within local communities as part of wider empowerment. As a result there has been raised demand for PFM to be more widely possible. Given the relatively poor economic returns that this has provided, it suggests that having more control over local forest resources is in itself seen as a valuable benefit.

This may partially explain the continued enthusiasm for PFM in Zambia, despite there still being no economic benefits accruing to participating communities. The two phases of Finnish support for the Provincial Forestry Action Plan were effective in creating an appropriate operational environment for PFM but this has been stalled by lack of progress with enactment of the revised Forest Act (1999). It is not possible to confirm that PFM is effective and sustainable until the Act is in effect, benefit sharing commences and its value to communities is confirmed. The success with putting in place most of the essential structures for PFM came at considerable cost (€6.4 million from MFA but only € 180 000 from Government of Zambia) with the proportion of expenditure on TA relatively high at 63%.

In Laos, the lack of an adequate structure to maintain sustainability, and to retain the expertise, was identified during phase 1 and rectified in phase 2 with greater focus on processes and less on the activities themselves. Nevertheless, structural limitations continue in Laos and it is noted that the limited national contribution of US\$ 0.5 million was dropped during phase 1 and is “in kind” for phase 2. Although a good demonstration has been provided, the limitations on the magnitude of revenue for shar-

ing, caused by government taking too large a share, makes the framework sustainability rather fragile.

Vietnam by contrast appears to have made good progress towards a sustainable framework although there is still substantial donor funding to the sector. In comparison with other partner countries, the systems for planning and for the distribution of finance are much more effective, although they are not without some problems and there are still delays in applying finance at field level. The forest policy and strategy framework has been established although as noted earlier, there are questions over the almost exclusive focus on industrial wood growing and the extent to which other problems, such as the needs of the poorer members of society and conservation have been fully addressed.

In Central America, the challenges for PROCAFOR were somewhat greater than for most bilateral interventions in that it was regional with separate national government partners. The intervention succeeded ultimately in securing recognition for the community forestry approach and there was a substantial capacity enhancement across the region as a result of support for higher level studies for individuals and for developing producer organisations.

The basis for sustainability was thus supported but and this will be used by the forestry component of the PRORURAL rural development intervention and the regional MPA-FINNFOR intervention being delivered through CATIE. The challenge remains the continuing low profile accorded to forestry in most countries in the region.

The FOPER education has perhaps made the most progress with creating a sustainable outcome and, notably, by a substantial contribution to regional capacity building. Contributions were made and continue to be made by regional partners while the international partners in phase 1 provided cash contributions.

Of the two national interventions, the support for Serbia created a platform from which the National Forestry Programme can be taken forward, although this will require considerable support from national and external sources. The Montenegro GIS support, which is being continued with Japanese assistance, created a solidly effective institutional capability and capacity and one that has had major cost reduction impact on forestry planning. GIS is now becoming institutionalised in Montenegro, which is a good outcome. His particular intervention was perhaps one of the most obviously effective and successful but was also a relatively simple technical expertise development intervention.

4.6.2 Conclusions on Evaluation Question 6

The relative value of national contributions has been quite limited in Mozambique, Tanzania and Zambia, as well as Laos. In Tanzania, there were some problems with securing even the rather limited national contribution in a timely manner. Apart from

Kenya, where it is too soon to draw conclusions, the overall finding from the other three African partners is that despite the structures for sustainability being in place, the operational ability seems insufficient to be sustainable. Retention of trained personnel in the sector has been a particular problem in Mozambique and Tanzania.

Progress in Laos is constrained by the limited influence obtained from the intervention and especially by the rather unresponsive attitude of government. By contrast, a potentially sustainable framework has been created in Vietnam although questions remain concerning the needs of the poorest members of society and wider issues such as biodiversity conservation.

In Central America, a basic structure for a sustainable outcome was created by PRO-CAFOR but the challenge remains the limited recognition of forestry in national plans. There is scope for this to be remedied through the two ongoing interventions being supported currently.

Of the Western Balkans interventions, the support to GIS in Montenegro resulted in an effective and sustainable capability that is being widely applied. The education support has also been effective and continues with national personnel and good potential sustainability. The outcome from the support to forest sector planning in Serbia created a platform from which a National Forestry Programme can be developed that can be sustainable but it was not sustainable in the sense of creating a directly supportive outcome.

4.7 Evaluation Question 7

What has been the role of considering the cross-cutting issues of Finnish development policy in terms of contributing to the sustainability of development results and poverty reduction; has there been any particular value-added in the promotion of environmentally sustainable development?

Key questions on relevance, impact, consistency, connectedness and sustainability include:

1. Enhanced rights for women and girls;
2. Improved consideration of and participation by minority groups;
3. Matters relating to HIV/AIDS; and
4. Environmental sustainability.

4.7.1 Findings on Evaluation Question 7

The intervention supporting Kenya Forest Sector reform was found at appraisal to have recognised the cross-cutting issues of gender, HIV/AIDS and indigenous peoples but to be lacking in adequate implementation and monitoring plans; this deficiency is being addressed. The support to local civil society institutions from the Local Development Fund grants given by the Embassy appears to have been helpful in this

respect. Monitoring and review missions will need to check whether the revised plans are being successfully implemented.

In Mozambique, a similar finding was made; cross-cutting issues were flagged and noted in documentation but translation into effective action has been limited. It was concluded that was a lack of expertise on how to do this, and it is also noted that the gender specialist in the team was not able to provide the expected assistance. It would be expected that matters would improve over time but the situation in the latest (national level) SUNAFOP intervention does not show marked improvement over the earlier, more limited (provincial level) SFRM intervention. Even the more recent provincial level rural development intervention (PRODEZA) was considered defective in that while there were specific activities on gender and HIV/AIDS, limitations such as literacy as well as more fundamental socio-cultural challenges, reduced the gains.

It was expected that Tanzania would show better performance and to some extent this was true. The attention to cross-cutting issues in the planning frameworks is certainly greater than in Kenya or Mozambique but, while there was substantial effort on awareness raising on cross-cutting issues, successes are harder to find. One example was located of relatively successful of promotion of energy efficient stoves through women in Handeni district but the numbers are small, some 50 in total.

HIV/AIDS has been the subject of comprehensive training and awareness-raising but in the absence of follow up, it is not clear whether this resulted in measurable effects. Minority groups have not been given any specific attention, as far as could be ascertained. Even the village level plans are unclear on how the needs of the poorest sections of the community and those, for example, who are physically disabled will be addressed under PFM approaches.

Similar weaknesses were found in Zambia with little action beyond the statements of aspiration in documents other than recording the gender balance of committees, even when further studies had been undertaken. Although some additional information on household income and so on is being collected by the Integrated land Use Assessment intervention, this does not appear to be the result of a clearly constructed strategy and the use to which the information will be put remains undefined. What was interesting in Zambia was the stated unawareness amongst partners of MFA's emphasis on cross-cutting issues in its wider development policies and strategies although the reason for this gap could not be identified.

The SUFORD intervention in Laos has attempted to include cross-cutting agencies but has encountered a number of constraints. The manner of distributing benefits is at the household level and thus the opportunities to influence decisions on sharing within the household are outside the sphere of influence. There does not seem to capacity within project staff to develop an alternative benefit-sharing methodology and this would be hard given the very limited revenue being generated. The village groups themselves have on occasions concentrated benefits onto poorer households although this was a decision taking by the village committee.

The extension of the project area will bring in more need for consideration of ethnic groups and the SUFORD has formulated an Ethnic Group Development Plan. This has not yet been finally agreed with the government and there are potential conflicts. For example, the SUFORD plan proposes to support and enhance traditional land uses whereas government policy is more committed to land use rationalisation and re-settlement. HIV/AIDS has not been specifically addressed in Laos and the view of the reviewer was that the cultivation and use of narcotics was a more pressing need in the project area.

Frustratingly, SUFORD is probably one intervention that has contributed most to environmental sustainability and the substantial area that has been certified is evidence of this. Its capacity to influence and achieve wider impact is limited by the restrictive hand of the government and the lack of a coherent and effective land use and development framework. Unless these restrictions can be overcome, the capacity of SUFORD to achieve measurable effect on the cross-cutting issues will remain limited.

In Vietnam, the situation is largely similar to that found elsewhere, with cross-cutting issues reflected in documentation but limited evidence being found of measurable changes. There is some evidence that the situation has improved over time and of more concrete findings and recommendations, such as the Women's Union becoming the sole operator of the revolving fund in the light of its better focus on poorer borrowers and women, although it is not clear whether this was put into effect. HIV/AIDS is not mentioned in any of the Vietnam documentation.

Ethnic minorities were specifically targeted under VFFP in Bac Kan province although there was no information on the impact achieved. It is noted, however, that one of the five priorities for the multi-donor trust fund for forests is Sustainable Forest Management and Development on natural forests and that this includes attention to the specific needs of ethnic minorities.

Vietnam has certainly made progress on poverty reduction and on economically sustainable development but the picture relating the environmental sustainability of this development is less clear and the evidence is limited, although the 2009 evaluation of TFF noted good progress on achievement of the goal of environmental protection, which includes improved livelihoods for forest dependent people.

The point has been made earlier that there are reservations over whether the risk element of the current forestry development strategy of small-holder industrial wood production have been adequately considered and also that further attention is required to the needs of the poorest, who are not engaged in this strategy.

The PROCAFOR intervention in Central America had its genesis more than 10 years ago and some of the current cross-cutting issues were not at that time specifically noted. There was progress on gender issues, notably in Nicaragua with the proportion of women engaged in forestry activities rising from 16% in 1999 to 57% by 2002 and some of the women then engaged have now risen to important positions of influence

over forestry activities in their communities. Although indigenous groups were not a specific target of PROCAFOR, in fact the intervention did work extensively with some groups although no records could be found to confirm the significance of this.

While the 2002 of PROCAFOR was critical of the lack of environmental monitoring and of the reliance on SFM as the primary goal to secure these, the field visit to a former PROCAFOR site in Nicaragua confirmed that there was still evidence to be seen of effective control of fire and bark beetle infestations. This control reduces pressure for forest conversion.

The original documentation for MAP-FINNFOR appears to have paid limited attention to cross-cutting issues. This matter has been taken up and is being addressed although how strongly the issue of forest dwelling people will be engaged is unclear. The issue of more detailed monitoring and reporting of the ecological parameters may also need further attention.

There was little information from the Western Balkans on cross-cutting issues although equal access was specifically included in the designs for FOPER and support to Serbia, while UNDP gender streamlining process applied in Montenegro. The proportion of female students (33%) and staff (35%) in the FOPER intervention was remarkable. These figures are impressive and are much higher than was expected although gender awareness was probably starting from a higher base in this region compared with other regions.

4.7.2 Conclusions on Evaluation Question 7

The cross-cutting issues especially matters related to gender, marginalised groups, better governance and environmental sustainability are firmly embedded in wider MFA development policies and in the forestry development guidelines. Despite this, the findings suggest that considerable problems remain to be solved before these aims will be adequately achieved.

There has been progress in raising awareness of cross-cutting issues but there are few examples of intervention designs being developed with the cross-cutting issues fully integrated as opposed to being considered as an “add-on” or as specific activities, although guidelines have been developed and distributed in Laos on how to work with ethnic groups. There is little evidence of either specific indicators or monitoring of impact, with data being mainly limited to collecting numbers, such as the proportion of women in village committees.

If this issue is to be improved, then the point of action needs to be at the design stage, with checks that the intervention design is relevant. This needs to be complemented by indicators and effective monitoring and reporting that measures progress in tackling these cross-cutting issues.

There is little evidence of negative impact on cross-cutting issues. In the main it has been neutral or, in some cases, needs have been largely overlooked. In some countries, there needs to be greater understanding of cross-cutting issues; not in the sense of raising awareness but in the sense of how to integrate them into mainstream activities, which comes back to design.

There may also be value in changing the way cross-cutting issues are handled in Helsinki. The system currently being applied is for relevant advisers to comment on proposals. By this time in the project cycle, it is only normally possible to make “add-ons” rather than fundamental changes to the design. It would be better to manage the whole design process using a “matrix-management” structure rather than the “discipline based” structure that is reflected within MFA at present.

4.8 Evaluation Question 8

Are there any concrete identifiable examples of interventions, which maybe classified to be environmentally, economically and socially sustainable, which have lead to poverty reduction or alleviation of consequences of poverty?

Key question on relevance and impact include:

1. In securing positive economic, social and/or environmental impacts, to what extent have these also delivered a positive impact on poverty?

4.8.1 Findings on Evaluation Question 8

The situation in Kenya is that the main intervention has only just started. There is certainly potential for positive economic, social and environmental impacts and from these on poverty. The monitoring and reporting framework has been specified in such a way that all these impacts should also be measurable.

Mozambique presents a mixed picture. In those provinces where MFA supported interventions, such as Zambézia, communities are receiving 20% of the licence fees. They appear to be competent in computing what their share should be and the examples of the way the money has been used also appear to be appropriate and beneficial. Against this, there is no re-investment from either government or communities in sustaining the resource, such as with fire protection, simple silviculture and management. Unless this is remedied, the productivity will decline.

Despite the localised examples of improved practice, the pressures on the sector, uncontrolled and illegal and including logging, charcoal making and conversion are rapidly diminishing the long term potential. The SUNAFOP intervention is designed to address these issues but the scale and urgency of the problem are such that there is considerable danger that it will not prevent serious losses. The level of control outside those provinces that have had donor support is weak, capacity is limited while pressures are huge. Although SUNAFOP is supportive of Finnish wider aims, the indica-

tors need to be improved and the monitoring tightened to assist in targeted application of resources.

The findings from Tanzania, which like Mozambique is switching its focus towards commercial forestry plantation development, are generally disappointing in respect of hard evidence of sustainability and poverty impact. There are localised examples of success but these are neither nationwide nor large compared with the funding allocated.

REDD+ has generated huge interest, at least in part because of the magnitude of the funds being discussed internationally but the costs, and the importance of capacity to deliver the conditionalities and real progress seem to be largely either under-estimated or ignored. The findings on capacity other than in the Western Balkans and Vietnam suggest that this will be a major constraint. Furthermore, the generally poor success with PFM and benefit sharing does not bode well for a more effective benefit sharing of REDD+ funds unless major changes are made.

In Zambia, the substantial investment on the PFAPs (estimated at €285 per household, €13,900 per community, where annual household income is around €300) should have led to a sustainable result and some positive impact on poverty. It has not happened, mainly because of the Forest Act 1999 not coming into force and inadequate benefit revenue sharing legislation. Although local communities still maintain commitment to and interest in JFM, there has been some degradation of the resource base and communities have not been able to prevent this, although they have reduced it. A resolution of this unsatisfactory state of affairs by the Government of Zambia would enable economic and social benefits to reach communities and also assist to improve forest resource management.

In Laos, the management applied to the forest has been of a high standard and the pilot area has made good progress towards a sustainable outcome environmentally, socially and economically. The certification achieved is good confirmation of this. The greatest challenge, and indeed a considerable constraint on the level of poverty impact achieved, is the very limited amount of revenue that percolates down to the communities. While good use has been made of this, and the systems set up seem to be transparent, equitable and effective, the limited amount has essentially been used to perpetuate slightly improved livelihoods. If greater amounts of revenue were shared, and this would require less be taken by government, then the possibilities for adding value and actually funding development, as opposed to maintaining the status quo, could be taken, with potentially impressive and valuable results.

This situation has continued since the first phase and it is perhaps time that MFA considered whether in the light of government intransigence on this matter, the further funding of the SUFORD intervention should be continued. There seems to be little rationale for doing so in the light of the limited additional impact that could be secured.

In Vietnam, most of the interventions supported have been addressing policy level issues and as a result, there is no evidence of direct impact on poverty. Funding through TFF has been used for commune level forestry development plans, important components of which are the sustainable management of the resource and the generation of enhanced income. The impact of this cannot be determined at present and there are some reservations with the models being widely promoted, that may limit opportunities and exclude the poorest.

In Central America, there is inadequate information to provide quantified comment on the successes. Two specific points stand out. The first is the adoption of the improved management plans, which are still being used for pine forests in El Salvador, Guatemala, Honduras and Nicaragua. The second, confirmed by a field visit to Nueva Segovia, Nicaragua found that PROCAFOR had generated improved management, better control of fire and pests and led to diversification and improved incomes. The gains were at the time of the visit much more limited due to a ban on logging promulgated in 2006. There is thus at least some tangible impact as well as the wider gains from the capacity building, which have indirect impacts.

None of the interventions in the Western Balkans was expected to have direct impact on poverty or indeed on forest management. What all have done very successfully, is to promote SFM as the core approach to forest management and to provide enhanced capacity for this. This has been achieved and the contribution made by Finnish funding to this achievement has been substantial. There is now a platform from which improved sustainable production can be delivered and progress is being made. All the partner countries in the region are working towards closer links, and membership, of EU and the strategies promoted and supported by MFA are fully coherent with those demanded by EU. The partner countries in the region are more actively engaged in regional and international forums than is the case with most partners elsewhere.

4.8.2 Conclusions on Evaluation Question 8

The greatest difficulty in answering this question is that there is little or no evidence from monitoring data to provide either a baseline or periodic updates on poverty either directly to those touched by specific interventions or indeed more widely. It is thus unclear whether there has been no impact or an impact but one that has not been measured. It appears that the direct impact on poverty has been quite limited in nearly all cases, although the reasons differ from country to country.

In some cases, the nature of the interventions is such that no direct impact would be expected. This is the case where the focus has been on systems and planning or the intervention is highly technical although there has been indirect impact for example from the support to Western Balkans. To achieve direct impact requires engagement at or close to field level. Even where this has been done, as in Laos, for example, other factors may intervene to restrict the magnitude of the benefits and hence the impact.

In Africa, excluding Kenya where it is too soon to draw conclusions, it appears that there has been good social impact and structures have been created within communities that appear to motivate people for good practice and have maintained interest despite limited economic returns. This will allow for effective progress in due course provided the economic elements can be better addressed.

At the same time, the environmental side will also require attention, to ensure that wider environmental values are secured and long term productivity potential is maintained. If the interventions such as PFM in Africa are to be effective then there will need to be more attention and resources directed onto increasing and sustaining productivity. Some basic points relating to the forest resource base are discussed in Chapter 6. The size of the enhanced benefits is disappointingly low given the size of the interventions. The scope for adding value has not been fully exploited yet this could greatly enhance the returns.

There is a strong resurgence of interest in commercial timber plantations evident in Mozambique, Tanzania and Vietnam. Of these, the last is the most advanced and successful although there are issues concerning the marginalisation of poorer sectors of society and with the wider impact of the technology promoted.

Climate change related payments are being noted as potentially valuable sources of finance for forestry and both Tanzania and Zambia in Africa as well as Vietnam have made significant progress. Readiness activities are also underway in other countries. It is not clear, however, that the lessons from PFM have been applied and, while these funds may have potential to meet Finnish development, and partner government stated goals, it is far from clear that this will be achieved with any more success than with ODA. The big difference, perhaps, is that REDD+ funds are supposed to be conditional on specific achievements but whether this will actually apply remains to be seen.

In both Zambia and Laos, the partner government actions severely jeopardise the impact from the development investment made. It is not clear why these situations have been allowed to continue for so long. In both cases, the technical aspects of the interventions have been good but it has proved impossible to secure the benefits and impact that should have resulted.

4.9 Evaluation Question 9

Have interventions which support economic development or private sector, been able to contribute towards sustainable economic results, let alone, raising people from poverty?

Key questions on effectiveness and impact include:

1. Extent to which the interventions have stimulated private sector activities; and
2. Extent to which economic outcomes have been positive or neutral on other MDGs.

4.9.1 Findings on Evaluation Question 9

The structure of the intervention in Kenya includes substantial economic development at a range of scales based on commercial plantations and natural forest management but so far there is no basis on which to judge whether this will be effective.

In Mozambique, the picture is rather mixed. There was success through the micro-credit scheme operating under PRODEZA although there is no information on either the scale or the sustainability of the results from the 815 applications granted. Forest industry rehabilitation using finance channelled through the Nordic Fund led to over 2,000 jobs being created even though the available finance was not fully taken up.

Increased processing is not necessarily beneficial and Mozambique has considerable problems with control of concessions, demand being driven by the Asian market for hardwoods. The result is that even where there is economic activity, the benefits are not adequately gathered and available to support wider economic and social development, while the lack of investment in the resource base prejudices long term sustainability of the supply and precludes any environmental sustainability. Until the current scale of largely illegal timber harvesting is brought under control, all elements of sustainable development in the remaining areas of natural woodland are threatened.

MFA supported the identification of land for extensive commercial timber production, and this strategy has considerable potential. It is still at an early stage but without stronger control of operating standards and a properly enforced fiscal framework there is considerable danger that it will fail to bring the sustainable benefits that should follow.

In Tanzania, there are extensive softwood and teak plantations although MFA has not been actively engaged in the current concessions. There are current plans, supported by MFA, for expansion of the softwood plantation resource in the Southern Highlands, including small-holder schemes, although little has happened so far. As in Mozambique, there are dangers from plantation development in the absence of enforced standards and guidelines, although current investors have a good record of social responsibility and are aiming for certification. There is considerable NGO pressure from within Finland against support for plantations although this is more a question of a position on plantations in general rather than a view based on relevant and objective evidence.

There has been private sector engagement in forestry in Tanzania, notably with bee-keeping, and there is trade in forest products such as timber from small-holder lots. The wood trade overall is poorly recorded and marketing is very limited. Charcoal production is very much a private sector enterprise and of immense value in all African partner countries but it is primarily seen in a negative light due to lack of control and a high proportion of illegal trade. The limited availability of accurate statistics makes forward planning problematic across the whole of Sub-Saharan Africa and render supportive actions difficult to achieve.

In Zambia the training and motivation components were well done and continue to provide a framework that could be used. It remains to be seen, however, whether the benefit flow will be sufficient to trigger economic activity above merely meeting subsistence level livelihood needs.

Certainly in Laos, the restricted benefit flow under PFM is such that no entrepreneurial development is taking place and the potential for support to the economic component is lost. Although both social and environmental aspects are potentially sustainable, without the associated economic growth, this sustainability may erode over time.

The SUFORD intervention in Laos has the potential to influence other MDGs relating governance as well as providing a base for economic development. Neither of these is being achieved and even if the model is more widely applied, similar limitations will occur until a greater proportion of benefits accrues to the communities.

SUFORD also provided an interesting insight into certification, on which there has been some rather uninformed criticism by Chris Lang, who now maintains the REDD-Monitor website, and others. The high transaction costs of certification bring little advantage to participating communities. This is partly because few current markets require it, the price premium is low and the communities' share of revenue is very small. There is potential in Laos to expand the sustainable use of NTFPs, which could bring considerable economic benefit. To do so would require major investment in inventory and planning to determine and control off-take to sustainable levels.

Vietnam proved frustrating when addressing this question. While it is amply evident that there is impressive private sector development in Vietnam and that social, economic and environmental gains are clearly recorded nationally, as well as considerable improvement in MDGs, including major impact on forestry, the absence of data that would allow attribution to Finnish support precluded a formal link being made. It is apparent that Finnish support was helpful in this, and was coherent, but it is impossible to put any figures on its value.

This exemplifies the importance of improved M&E systems. Without this is impossible to know whether an apparent lack of impact is due to there being no impact secured or due to positive impact simply not being recorded. Field observations suggest that there is some, albeit limited impact but the data to support and quantify this hard in the general absence of baseline and M&E data.

In Central America, there has been little economic development beyond the local and household levels. A more substantial outcome might have been possible had it not been for the logging ban imposed in Nicaragua in border areas in 2006. The greatest benefits from PROCAFOR have been supportive and the ultimate wider acceptance of community based management in the region. To date, the subsequent improvement in livelihoods, let alone larger scale economic development has proved elusive.

The Western Balkans interventions were all supportive of enhanced sustainable forest use, which will in due course lead to economic development and enhanced benefit flows. In some cases, this has been more direct, as with the private forestry associations supported in Serbia, in other cases it has been indirect, as with the FOPER education programme and the Montenegro GIS support. The latter has for example provided a mechanism for much more cost-effective forest management planning and control, which will in due course improve the income stream to forest owners. The widespread adoption of SFM across the region is very conducive to improved social and environmental dimensions.

4.9.2 Conclusions on Evaluation Question 9

Although few examples were found of substantial economic results, there has been useful supportive work for this. No cases of directly negative impact on the key components of sustainability or other MDGs were encountered although where positive results were located, they tended to be small-scale. There are plans for substantial commercial scale forestry in a number of partner countries; these plans being at different stages.

Both Tanzania and Mozambique have plans for major expansion of their commercial timber plantation resource. It is intended that small-holders be associated with the developments in both countries but there are major issues relating to standards and guidelines that have yet to be developed in both countries.

In Laos, there is considerable potential for sustainable development based on the participatory management of secondary natural forest, some of which is certified. The weak link in this is the economic component, which is restricted by the excessive revenue capture by government, leaving insufficient to develop the rural economy through adding value and other initiatives. The benefit sharing essentially only allows sufficient to sustain some livelihoods within the participating communities.

Vietnam appears to have the most extensive potential for sustainable development that impacts on poverty and engages the private sector. On the negative side, poorer people are not included in this and there are considerable risks to those who are engaged. The environmental effects from large scale replanting of degraded areas with short rotation monocultures of exotic industrial timber species do not appear to have been extensively studied although no specific negative impacts were recorded.

There do appear to be some examples in Central America of sound development and nascent enterprises but the scale is very restricted. In the Western Balkans, the bulk of the interventions were concerned with creating an environment in which sustainable forest development could take place and indications are that this was achieved. The only intervention that might be seen as directly addressing field practices was that in Serbia and although appropriate changes were made, the time is too short to see any evidence of sustainable development from the forest resource.

4.10 Evaluation Question 10

How is the society touched upon by the development interventions taken into account in the strategic and project/programme plans, and what have been the major modalities for the society to influence and affect the development interventions and the decision-making on them?

Key questions on relevance, effectiveness and impact include:

1. Level of participation of wider society in design, implementation and monitoring; and
2. Modalities that encourage and support that participation.

4.10.1 Findings on Evaluation Question 10

In Kenya, the process by which the inception-phase of the Forest Sector Reform intervention was exemplarily participatory allowing NGOs and the private sector ample opportunity for constructive engagement. The implementation phase focuses on building capacity in the Kenya Forest Service and Ministry and it will be towards the end of the phase before judgement can be made on how effective wider society engagement will prove to be. MFA provided substantial support for this process.

In Mozambique, the provincial level field interventions were undertaken with good participation by local stakeholders. The results have been variable but in general there has been at least some advance in greater control over local resources in the areas affected. In some of the earlier interventions at provincial level, although there was good engagement at community level, this was less so with the public administration.

The current large intervention supporting the National Forestry Programme does not seem to have been active during its design phase in securing inputs from communities and the private sector. Now fully operational, it has annual forum and additional joint events and discussions although the invitees appear to be largely from government and donor communities plus some large private sector companies and international NGOs. It is not clear that the participation of wider stakeholders has yet been adequately ensured.

There does, however, seem to be real progress on transparency, brought about largely by the focus on illegal logging. While this remains an issue, there has been open discussion, including with communities and devolution of control as well as benefit sharing. The social development side is generally the most advanced of the three sustainability elements. The activities of national NGOs have been supportive in this strengthening of civil society.

Although in Tanzania it proved hard to find positive impact on poverty and significant economic benefits, there is no doubt that participation and social awareness are generally good. A strong civil society voice has resulted while donor coordination continues to be effective and the range of modalities used – from more formal meet-

ings with senior officials through to village level meetings and participatory JFM development is an effective process.

Although PFM in Tanzania is well advanced and there is evidence of improved management as a result, the administrative mechanisms seem to be hard to finalise. The recent audit findings that led to suspension of funding through National Forest and Beekeeping Programme demonstrates low capacity that is at the root of the delays with fully implementing PFM.

While economic benefits remain relatively limited, as in Mozambique the strengthened civil society voice is a very positive achievement and this voice is increasingly active in raising criticisms and requesting assistance.

Interventions in Zambia were generally rather top-down although the PFAP intervention subsequently remedied this and engaged effectively with local communities, as evidenced by their continuing enthusiasm despite a delay of almost a decade in securing any benefit flows!

Despite its nominally participatory design and approach, the SUFORD intervention provides relatively little opportunity for the ultimate beneficiaries to have significant influence. The overall coordination is comprehensive but there appear to still be somewhat divergent views between the two donors on one side and the government on the other. There is active work that may result in additional REDD funding in due course but whether this will deliver enhanced benefits to the local communities remains unclear.

In contrast with Laos, Vietnam appears to have made considerable progress in recent years in both improved coordination of higher level actors and, particularly, with a more responsive and participatory system for engagement with ultimate beneficiaries. While there are questions as to why alternatives to use of short rotation monocultures for industrial wood supply are seldom used even where offered, and with the exclusion of poorer members of society, the overall picture that emerges is a very positive one. The field visit included meetings with local farmers, who proved impressively aware of the opportunities and technical issues surrounding them. This suggests a very effective communication network across all levels.

The findings from Central America on this question are relatively slim. Both of the main interventions are regionally based and consequently there were and are differences between countries. In general PROCAFOR proved effective in establishing steering committees that included national and local government representatives as well as SMEs. The representation of lower level interests is not clear. Nevertheless, the findings that effective community based was taken up successfully, albeit on a relatively limited scale, suggests that there was success. It is too early to comment in respect of MAP-FINNFOR but given the overall management structure and the experience of the main partner, CATIE, there should be adequate attention to creating effective systems that allow stakeholder influence.

In the Western Balkans, there are rather different findings in respect of the three interventions. The Montenegro GIS intervention is the simplest as it was a purely technical training intervention. There was nonetheless, effective communication amongst stakeholders as to the purpose and value of GIS and as a result have been supportive. In an intervention of this nature, there is little scope for alteration of the design. Stakeholder engagement will be ultimately important when it comes to the application of GIS systems, but this was not part of the intervention.

The FOPER intervention engaged six universities and three research institutes as partners. There was a history of professional contacts and their membership of IU-FRO was also an important additional mechanism to facilitate discussion and engagement. One significant issue was the selection of English as the medium of instruction, which was essential due to the inclusion of Albania although those who undertook the training subsequently appreciated their command of the language as it facilitated their work through wider access to publications and other material.

The universities and research institutes were themselves already engaged in contact with their national forestry sectors and the training was geared towards the identified needs. Each country had consultative group that included public and private sectors to feed views into the overall steering group. Again, as much of the intervention was based around highly technical education, the scope for wider engagement is more limited than in field based interventions. One significant outcome of the FOPER intervention has been to engage academics and researchers more actively in the regional and international forestry regimes.

The intervention in Serbia proved the most problematic with initially strongly opposed views focused around conservation versus production. This was ultimately resolved and the intervention utilised a wide range of mechanisms, including field visits, meetings and a website to gather information and views and from these refine and adapt its structure and activities. It is not clear whether the planned Forest Forum was ever established.

4.10.2 Conclusions on Evaluation Question 10

Although it is too early to draw conclusions in respect of Kenya, in the other three African partners, there has been relatively good engagement with stakeholders and fair coordination. The most impressive outcome has been the positive enthusiasm for PFM approaches, despite limited returns so far and the greatly strengthened civil society voice. This should prove helpful if and when climate change related payments start to flow, as they are about to do in Tanzania and Zambia although the lack of really effective benefit sharing experience remains an issue. The systems that have been created provide a potential mechanism for channelling REDD funding.

In Laos, despite considerable efforts by both MFA and the World Bank, the level of real participation in the sense of ultimate beneficiaries having capacity to influence design and delivery remains very restricted. Vietnam by contrast has moved success-

fully to a very effective and responsive system in which there is good coordination at higher levels and adequate capacity to make informed choices at farmer level.

The findings from Central America were that PROCAFOR overcame the challenges of a regional approach and the outcomes were responsive to stakeholder opinion. There was certainly widely based engagement with national and local government but the precise mechanisms by which other stakeholder influence was captured are no longer clearly identifiable. It is too early to comment on MAP-FINNFOR but systems appear to be in place to ensure adequate engagement.

From the Western Balkans, it appears that all three interventions adopted appropriate and effective mechanisms to capture stakeholder views and were responsive to these. The Serbian and FOPER interventions were particularly effective in this, whereas it was not really relevant in Montenegro.

5 ASSESSMENT AGAINST EVALUATION CRITERIA

In this Chapter, the focus is on the performance of the overall Forestry and Biological Resources Programme. The comments are drawn from the country summaries, discussions with MFA Helsinki staff and Finnish based institution, and the answers to the ten evaluation questions. The structure of the Chapter reflects the standard OECD evaluation categories (Annex 6).

5.1 Relevance and Coherence

At the highest level all of the interventions have been both relevant and coherent but this has not always been translated into the more precise details and focus of delivery. The core problem in most cases is the lack of progress below this level in many partner countries, resulting in an operating vacuum. It is consequently not directly a problem on the Finnish side; rather, it is one that is widely experienced by other donors. The issue is one of national forest sector relevance and coherence. In terms of coherence with other donors, the finding is that MFA has been active and effective in leading and liaising within the donor community and in working in partnership with other donors.

In the four African partner countries, MFA is supporting National Forestry Programmes (NFP), either directly or implicitly. FAO and others have already expressed concern, however, that after an enthusiastic start, progress on NFPs has been less than expected in many countries. There is scope for Kenya to pilot an effective NFP process, as MMB is in its first year of a five-year programme and there is a conscious approach of linking forestry to other development sectors and strengthening links with private sector and civil society institutions.

In Vietnam, good relevance and coherence have been secured through the operation of the Multi-donor Trust Fund for Forests, which effectively links sector donors and national agencies. The only concern is that much attention is given to the small-holder industrial forestry model and rather less to the needs of the poorest groups in society, who seem to be somewhat excluded. In terms of natural forest management, conservation and use by forest dwelling people, there has been limited action and it is too soon to pass judgement on this. It is positive that the government has recognised this need.

In Laos, the SUFORD intervention is highly relevant. It is coherent with Finland's development aims but there are issues relating to the way the sector is being developed, which leads to more limited coherence. The failure to make better use of PFM lessons and experience in the major land use changes associated with infrastructure development for example reflects a limited commitment on the part of the government.

In Central America, the PROCAFOR intervention was highly relevant and ultimately coherent. It managed to achieve acceptance of the role of community based approaches in national forest strategies and this will now potentially be further developed through the latest intervention, MAP-FINNFOR. By operating regionally, the interventions in Central America all face greater difficulties than those faced by bilateral interventions and coordination is both time consuming and expensive. Overall, the results from PROCAFOR ultimately appear to have justified the regional approach.

The interventions in the Western Balkans were all coherent within the partner countries and the nationally based ones have been successfully integrated into wider sector development. The regional education intervention, FOPER, was highly relevant in that it assisted building professional contacts across the region in the post-conflict situation and also created a sustainable initiative and led to much enhanced capacity amongst professionals.

In the light of these findings, it is apparent that more attention is required at the design stage. There is also, however, an even more fundamental problem that needs to be addressing, which cannot be addressed by MFA alone. It has long been recognised that forests in any given country are affected by activities in multiple sectors and that national forestry agencies alone cannot manage all the drivers that influence the state of forests; indeed, this realisation is at the core of the National Forestry Programme approach. However, the collaboration and cooperation that are required in such an approach often seem to be lacking. National development policies are primarily the preserve of the ministries of finance and planning, and forestry is seldom seen to have significant influence at this 'higher' level. Core documents such as national development strategies, PRSPs (Poverty Reduction Strategy Paper) and future vision statements do not often mention forestry in any detail, nor is there any evident analysis of the impact of such strategies on the forestry sector. Consequently, forestry tends to be reactive and/or to follow a path that is not coherent with core national plans.

At the international level, there are a number of binding and voluntary instruments that impinge directly on the forestry sector. In most but not all of MFA's partner countries, the national contact points and the responsible agencies are in different departments or ministries (Annex 4). There is no evidence of collaboration before, during or after the international meetings at which binding or voluntary commitments are made. This leads to a lack of coherency and in some cases to direct conflict. Finland itself provides an exemplary model for handling international conventions at national level. While it would be unrealistic to expect partner countries to be able to make a similar level of inputs, there are lessons for a more coherent approach that could usefully be applied.

Related to this is the question of information. On the supply side, even the most basic forestry statistic, the extent of forest cover in the country, is not always available. More detailed statistics on the status and health of the growing stock, increment and removals are often lacking. Information on NTFPs is almost totally missing, including for such major products as the actual amount of fuelwood and charcoal supplied. On the demand side, there is seldom adequate information on wood processing, and in countries where this is predominantly at artisan level there is often a complete information vacuum. For the less tangible forest services including biodiversity, soil and water conservation and so on, there is no information in most countries.

The result is that information on the extent and the economic importance of the forestry sector is seldom adequately known, seldom acknowledged and consequently seldom integrated into relevant plans. While this situation has been largely accepted to date, the current proposals for climate change related funding for forestry in the form of REDD and its derivatives will require accurate data in order to secure payments and confirm observance of safeguards. It is not clear that adequate capacity exists in most partners to provide this.

5.2 Efficiency

Overall MFA supported interventions have implemented work plans and disbursed funds in a timely manner. Where delays and slippages have occurred it is normally more associated with the absorption capacity of in-country partners rather than MFA. It is noted that technical, administrative and managerial capacity of national forest authorities are determinant factors in affecting efficiency of MFA delivery. As previously noted, interventions at times underestimate the inherent capacity of institutions and factors like high turnover of staff where staff depart for study leave, seek other employment and retire from civil service.

The portfolio of interventions in the different countries and regions are implemented through a range of different aid modalities. They can be grouped in three categories: 1) direct bilateral assistance often involving a competitively procured consultancy company; 2) basket funding through a multi-donor financing mechanism or direct budget support; and 3) through an international organisation (e.g. FAO or IUCN).

Direct bilateral assistance involves substantial time and resources of Embassies in supporting the planning, coordination and monitoring of interventions. The posting of MFA Forest Advisors and hiring of national Forest Sector Advisors / programme officers has provided valuable support to guide interventions and provide support to the Embassies in guiding implementation although it is not clear that their expertise is always used as fully as it might be.

Direct bilateral assistance often involves the procurement of a Technical Assistance (TA) consultancy company that in turns provides Advisors on assignment to specific interventions. It is noted that the costs of a TA input can be a substantial part of an intervention budget. For instance, in Zambia the cost of the TA component on PFAP was 63% of the total project budget and there are similar arrangements in other Africa based interventions although the total cost can be lower where project implementation costs are channelled directly to the partner country and the TA contract is a separate contractual arrangement. It is recognised that the Technical Assistance companies are able to mobilise largely relevant expertise to support and guide the implementation of interventions through individuals and institutions. They provide a significant capital of knowledge and experience that is the basis for the Finnish Added Value in the MFA Forestry programme.

It was stated by partners in several countries that MFA decision making is centralised with Embassies having limited latitude to make programmatic decisions concerning intervention design and implementation. Consequences can include delays in finalising MFA commitments to both bilateral and multi-donor programmes.

The Forest Trust Fund in Vietnam and the Regional programme in Central America are examples of interventions where MFA is one donor among others contributing to a sector wide programme. According to country analysis these interventions appear to provide efficiency advantages in terms of transactions costs associated for the MFA where these interventions are operating successfully. However, a consequence of this approach is the challenge of attributing outcomes specific to MFA or other participating donors since funding is generally pooled as highlighted in Vietnam.

The modality of providing funds through international organisations such as FAO (e.g. Forest Monitoring and Assessment Programme) to support in-country interventions appear to reduce transaction costs on the MFA. For instance, in Zambia the Embassy's engagement is limited to participating in coordination and monitoring meetings and missions while the day to day management lies with FAO. MFA support to the IUCN implemented Climate Change and Development programme, which covers Mozambique, Tanzania and Zambia, is coordinated through MFA Headquarters, IUCN Gland and IUCN Eastern and Southern Africa Regional Office. The Embassy of Finland in Lusaka sits on coordination committees for the Zambia component of the programme but there is little coordination at a regional level. The recent mid-term review of the IUCN regional programme highlights that IUCN has not provided the scientific and technical backstopping to the programme contributing to concerns on whether adaptation activities are indeed relevant and risk being poten-

tially harmful to ecosystems (Mid Term Review Climate Change and Development Project, MFA, 2010)

In terms of value for money, it appears that in the short to medium term the level of investment in forestry sector projects is high compared to economic and social benefits accrued by beneficiaries. This can be in particular striking for interventions supporting PFM (e.g. Zambia, Tanzania and to a certain extent Vietnam). However, it is the opinion of the evaluation mission that outcomes from forestry accrue over a long timeline as awareness on sustainable forest management practices and roll out of management practices which can eventually lead to changes in attitude and actions by key stakeholders at national and local levels. Changes in attitude with rural communities takes time considering issues of risk and implications of failure.

In terms of the international regime, there have been a large number of relatively small grants and programmes to support national implementation of the CBD. With the recent trend towards larger and more complex interventions such as MAP-FINNFOP in Central America and SUNAFOP in Mozambique, there will be attention given to CBD as well as commitments under other international instruments through a single modality. This should greatly assist achieving national coherence.

5.3 Effectiveness

The country-focused analysis reveals a number of positive outcomes resulting from intervention activities and achievements towards attaining intended objectives. However, as indicated in the subsequent sections on impact and sustainability there appear to be weakness in intervention designs and implementation arrangements that ensure connectivity between activities and intended results (*i.e.* achieving objectives).

All interventions aim to have positive impacts on livelihoods and sustainable forest management yet in a number of interventions there are challenges in demonstrating how completed activities have succeeded in achieving such impacts. Reasons are diverse for each intervention but the following issues emerge from the portfolio project design stage:

- ❖ Limitations in formulating indicators of change and milestones which establish the link between outputs (activities) and intended outcomes (objectives). As previously mentioned most interventions make reference to contributing to national development objectives and national forest strategies/plans but insufficiently identify indicators against which the intervention outcomes can be linked to demonstrate contribution of outcomes to these higher level national objectives. There is scope to engage more closely with Ministries of Planning and Finance, and National Statistical Offices at the design stage in order to strengthen linkages.
- ❖ Insufficient analysis of risks and assumptions that can affect the successful achievement of the intervention and measures to mitigate against the risks. For

instance, conditionality for PFAP Phase II (2000-2005) was for Parliament to endorse the Forest Bill. Whilst Parliament did enact the Bill, the Forest Act (1999) has not been put into effect by the Ministry of Tourism, Environment and Natural Resources. A more thorough analysis of risks associated with Government not providing the legal framework could have led to more innovative actions by the project and MFA to overcome this risk.

- ❖ Cross cutting themes are often superficially addressed as ‘intentions’ with insufficient analysis provided on activities to be undertaken, budgetary allocations and what intended changes are expected to be achieved by the intervention (as reflected by indicators).

Internal intervention monitoring and evaluation systems, in particular accumulation of baseline information, and the formulation of higher level indicators at results and objective levels hinders the ability of interventions to assess progress against objectives. This is picked up in mid-term reviews and final project reports on a number of interventions, and has been a challenge for this evaluation.

Central to the effectiveness of the forestry portfolio is the level of Government commitment to put in place the regulatory and policy frameworks required for improvements in the forestry sector. The example of SUFORD in Laos reveals the challenge for Government to provide clear policy guidance that reconciles development aspirations with the goal of sustainable forest management. In Kenya, the success of MMB will be largely influenced by the extent to which the Government of Kenya rolls out reforms related to the lifting the ban on logging and putting in place systems for regulated charcoal production and trade amongst others.

In respect of the international regime for forests, the predominant element supported has been National Forestry Programmes. There has been direct support in Mozambique and Tanzania and partial support in Zambia, with the MMB intervention in Kenya also following a NFP path. The greatest difficulties encountered have been the failure of the process to make progress beyond the initial step of a revised policy framework. The problems encountered are widely experienced within many NFPs, not just those supported by MFA, and there is ongoing work to try and overcome these being undertaken by the NFP facility in FAO. MFA has good opportunity to transfer its experience into this ongoing discussion.

5.4 Coordination

Finland is an active participant in donor and government coordination committees in all the priority countries it is engaged in. In Zambia, Kenya, Vietnam and Mozambique it chairs the coordination committee demonstration leadership in coordination efforts. Its performance is positively commented on by other donors and by Government. The coordination committees are normally part of harmonisation and coordination forums established at country level following the Paris Declaration on Aid Harmonisation.

MFA has effectively used these forums in order to seek coherence and complementarity between donor programmes supporting forestry sector institutions at country level. In several countries, this is emerging into sector wide coordinated programmes, sector basket funding and core budget support.

Noting the emphasis given to integration of forest sector development into rural development, national land allocation processes and agriculture policy (theme 3 of the Development Policy Guidelines for Forest Sector; Ministry for Foreign Affairs of Finland 2009b), it is observed that unlike forestry, there is no real international regime for agriculture and land use. Nor indeed for mining, which can also be a major cause of forest loss and degradation. The one possible instrument may be the developing interest in land use being led by UNCCD, and this has been supported by MFA. No evidence of coordination was found although this is something that could be enhanced.

5.5 Connectedness

Overall MFA's support is very well connected with national and international initiatives in the forestry sector. At national level, MFA is acting as a leader in the forestry development sector and is prompting its interventions to be connected with other key interventions in the sector, in particular with private sector and civil society institutions. In Mozambique, the interventions are also linked with the Ministry of Agriculture making the link with the other main land use affecting forest resources. Links are also established with Ministries of Finance with regard to coordinating flow of MFA funds to government led interventions. Opportunities exist for strengthening links between MFA interventions supporting Forest Departments with the ministry responsible for planning and national development in order to strengthen the linkages of forestry outcomes with national development indicators linked to the MDGs and national priorities (employment, health and poverty reduction).

NFPs are a major tool for improving connectedness but as noted above, the progress has often been stalled and the anticipated outcome of effective cross-sector coordination and collaboration has seldom been met, especially in those countries where it is at a poor level. MFA is already closely engaged with the FAO NFP facility and should be able to provide useful insight to try and improve the effectiveness of NFPs which would in turn enhance connectedness.

5.6 Finnish Added Value

In terms of Finnish added value for forestry, the overall finding is that there seem to be substantial elements that might have been better drawn upon. While Finnish expertise in training was a major component of the FOPER intervention, which was extremely successful, after the completion of the assistance to forestry colleges in southern Africa, which was mainly successful in Tanzania and much less so in Malawi

and Zambia, despite being well received in both countries, there has been relatively limited use made of this national expertise.

Finnish knowledge relating to forest resource management based strongly on small, individual forest lots does not appear to have been significantly used although in terms of marketing and equity, it has much to offer. Given the increasing interest in small-holder forestry, it is surprising that this has not been more evident. There was an input into the PROCAFOR programme in Central America, which was very valuable and there is more potential to repeat this.

Perhaps because of the higher policy level focus of many recent interventions, there has been relatively little use of Finnish expertise in national forest inventory. On the basis of discussion in Joensuu, the assistance being given to Nepal seems to be highly effective and much valued. Given the increasing relevance of REDD+, which has a strong monitoring, reporting and verification component, there seems to be considerable potential for greater use of specific Finnish expertise. This is discussed more fully in Chapter 6.

Notwithstanding a few local criticisms, the general finding on Finnish expertise and technical assistance is overwhelmingly positive and highly appreciated in partner countries. This is due to MFA's general approach to development issues and to forestry specific aspects.

5.7 Impact

Within the context of the forestry and biological resources sector, there are emerging impacts arising from MFA support. Positive impacts on forest management in Laos, Vietnam, the Western Balkans and Central America are reported with increased areas under sustainable forest management regimes, improved knowledge on forest resources and strengthened capacity in forest management systems. However in the four southern and eastern Africa countries no real gains in terms of forest management can be determined at this point in time so the impact can be described as neutral whilst the drivers of forest loss at country level continue to erode the potential for sustainable management. Nonetheless, the MFA support has served to strengthen capacity and systems for PFM and information management in Zambia and Tanzania which should lead to positive impacts in the future. Similarly, the institutional strengthening of the Kenyan Forest Service can be attributed to the support provided MMMB.

In terms of impact on economic development and social development, previous sections have highlighted the positive outcomes in terms of livelihoods in particular in Vietnam and Laos. Concerns have been raised regarding benefits reaching the poorest of the poor and other cross-cutting issues of gender and HIV/AIDs.

The updated 2007 Finnish Development Assistance Policy and the 2009 Guidelines on Forestry are relatively new policies. The Terms of Reference for this evaluation are largely informed by these policies and the inherent interest is to ascertain progress and outcomes of interventions in the forestry and biological resources within the context of sustainable development and sustainable forest management. It is apparent that the portfolio of interventions has evolved during the period 2000 to 2010 with an evident effort in project documents and mid term reviews to align interventions with MFA recent policy revisions.

The structure and scope of the 2009 Guidelines includes commitment to supporting effective international policy processes. There is clear evidence from the most recent interventions that this aim has been integrated into the plans although there may be further opportunities for bringing Finland's own experience at a national level to the attention of partners to reinforce the linkages and coherence. Again, effective NFPs are the main instrument. It is also notable that SFM is being promoted as a core concept in all interventions; this is fully in line with the current position in international forest policy processes.

However the absence of effective monitoring and evaluation systems at intervention, country and MFA forest sector levels inhibit the ability of identify distinct outcomes attributable to MFA support and to communicate these achievements and lesson learned to wider audiences.

5.8 Sustainability

A central requirement for sustainability is institutional capacity to carry out sustainable forest management and take it forward. The prospects in Vietnam, Western Balkans and Central America look positive based on achievements to date and the level of investments made by the partner country institutions. The situation in Africa remains of concern since partner institutions are challenged by numerous factors, including limited numbers of staff, high turnover rates given low salaries and the attraction of more remunerative employment outside of civil service – either in-country or beyond, and lack of budget allocations that cover more than recurrent costs.

Policy reforms and political commitment are also essential prerequisites for sustainability. For instance, changes in policy priorities in Laos introduced doubt as to Laotian commitment to sustainable forest management. Similarly, success in Kenya depends on Government carrying forest sector reforms forward, although prospects remain positive in light of recent high-level government commitments to safeguard critical forested “water towers”.

PFM mechanisms have a chequered track record in the MFA portfolio. Communes are obtaining benefits in Vietnam and communities in Laos are receiving financial inflows from Forest Stewardship Council (FSC) certified timber. However, such windfalls remain elusive in three African countries although some positive outcomes are

emerging in Mozambique. Their sustainability will depend on supportive legislation and regulations being endorsed and applied, and the economic benefits outweighing the economic and social costs of PFM.

Expectations are high that REDD+ will provide financial windfalls which will contribute to offset Government and community costs associated with sustainable forest management, and provide economic benefits to both government agencies and communities engaged in forest management. In particular, an expectation is that the recurrent costs associated with monitoring, reporting and verification (MRV) under REDD+ will be more than adequately offset by forest carbon financial inflows. There is some concern that too much focus will be given to measuring carbon stocks and inadequate attention paid to the social and environmental safeguards. This is an area where Finland needs to work in international forums to ensure the overall needs of all stakeholders in its partner countries are properly met.

6 DISCUSSION

6.1 Poverty Reduction

The finding from the evaluation is that the measurable impact on poverty reduction has been small. This may be due to lack of adequate indicators and monitoring but there are also wider questions. In many partner countries, the population has increased about 3 times in the last 40 years. Over the same time period, the forest area has been reduced and degraded. Combining lower productivity per unit area and less forest resource means severely reduced production against much higher demand.

A number of strategies have been taken up in, or at least supported by, various interventions, each of which has both potential advantages and disadvantages. Where forest dependency is high, much demand is concentrated on products for direct consumption. When dependency is less, alternatives such as plantations may be considered. Plantations undertaken by small-holders require people to have land and either finance or available labour as well as technical support. Commercial plantation development essentially provides employment and thus addresses poverty indirectly.

Where forestry interventions provide livelihood support for direct consumption, this is usually through natural forest management as in the case of Miombo woodlands in Zambia and parts of Tanzania. This support may be from food in times of scarcity, reducing food security risk, and it may also be through income generation from sale of products, often NTFPs such as fruits or mushrooms. Interventions at this level are usually associated with some type of collaborative forest management. One of the most successful was that in Caprivi (Namibia), based around reinstatement of controlled early burning leading to enhanced livestock survival and weight. (Jurvelius & Luukkanen 2007).

6.2 Sustainable Development

While poverty reduction is a core goal of Finland's development assistance, this goal needs to be secured within the framework of a sustainable development approach. This approach requires that all three elements – environmental, social and economic are adequately addressed.

The most success in this respect has been achieved with the social pillar. The findings from Laos, Mozambique, Tanzania and Zambia are all positive in this respect and indeed it is surprising that interest has been maintained given the limited economic benefits that have accrued in all the cases reviewed. Systems that have been developed are effective, fairly transparent and equitable.

The poor achievement in respect of the economic pillar is a matter of great concern. The reasons for this deficiency vary. In Laos, the main issue is the overly high proportion of revenue taken by the government in the form of royalties, and there are also issues over the interference through centralised control of logging quotas that undermine the soundness of the harvesting proposals developed through the inventory. In Zambia, the problem is primarily the failure of the government of Zambia to elaborate a benefit sharing framework under CFM which includes provision for revenue collection and the operation of local funds for forest management by communities. In Tanzania, the core issue is the very limited amount of revenue accruing, plus the fact that the revenue sharing agreement has not been formally passed in legislation, while in Mozambique, although there are examples of revenue sharing from licences and fines, revenue sharing from forest management is patchy.

The limited revenue accruing is negative in respect of development. For as long as the amounts received are at livelihood support level, there are few opportunities for entrepreneurial development. Without this, through added value, for example, the economic growth potential remains untapped.

On the environmental side, this is perhaps intermediate between the findings on the other two pillars. In Central America, a good system of management planning has been applied, which takes account of environmental aspects through the aim of SFM. It is unclear as to what extent this is inherent in the work in East Africa as management plans were not examined in detail. The Miombo ecosystems that are the predominant type being managed under CFM systems are robust. Nevertheless, it is evident from Mozambique is that there is no re-investment in the resource base and the situation there is exacerbated by extensive logging, much of it illegal. This is less of an issue in Tanzania and Zambia, which are less accessible and have a more limited timber species component.

Plantation development is being actively pursued in Vietnam, largely on degraded land. The three pillars of sustainable development are in general being better met through this, although issues remain on the exclusion of the poorer groups in society

and on the limited range of technical packages being taken up, despite alternatives being on offer.

Mozambique and Tanzania both have strategies for extensive plantation development and this is a core aim in Kenya, too. None of these three countries has in place an effective set of guidelines that will ensure adequate standards are met and maintained. Unless and until these are developed, there is considerable danger that such developments may have negative effects, both socially and environmentally. At the moment, the only safeguard in place is the commitment to corporate social responsibility on the part of the investors. This is welcome but needs to be secured through appropriate and enforced standards and guidelines.

The core instrument of SFM has been strongly promoted by MFA in the international regime and is a basic component of National Forest Programmes, to which MFA is firmly committed through support to FAO and in the bilateral programme. Although this concept has been criticised, it is recognised under CBD as equivalent to the ecosystem approach. Certification, which has been achieved in Laos and is a stated aim from some potential investors in East Africa, is a mechanism by which management standards that meet the aims of Finland's forestry development policy can be verified.

6.3 Collaborative Forest Management

Collaborative forest management (CFM) in various forms is an aim in Mozambique, Tanzania and Zambia and will also be included in the Kenya intervention in due course. In the main, the resource base is natural forests and woodlands although there are planted trees in Tanzania and planted trees are likely to predominate in Kenya. In Laos, CFM is the core aim of the SUFORD programme but here, unlike East Africa, the resource is secondary forest and the main product is timber

Examples of CFM occur in the current evaluation, from Mozambique, Tanzania and Zambia to Central America. The results have been disappointing and there are substantial reviews from Tanzania of participatory and joint forest management (e.g. Joint Review of PFM, Tanzania: December 2008) the results from which do not appear to have been fully taken into account. The review notes considerable frustration amongst primary stakeholders at the lack of progress with Joint Forest Management, although the reason for the delays is not really explained. As previously stated the delay to put into force the 1999 Forest Act and appropriate benefit revenue sharing mechanisms has prevented the wider uptake of Joint Forest Management. In Central America and Tanzania, results have been locally useful but the numbers of beneficiaries are very low.

If collaborative management is to be effective, then the beneficiaries must receive benefits commensurate with their inputs. This is not possible when the resource base

is overly degraded, nor when the legal framework is not in place, nor when the benefit sharing is unfavourable. In Laos, the forest resource, while secondary forest, does have sustainable production potential. Here the core issue is the very high royalty rate taken by the government, which effectively reduces the residual left for sharing to an almost insignificant amount.

In Mozambique, some communities are reported as receiving 20% of the revenue from forest licences. It is noted that this has been appreciated and used for community support developments such as schools, health and food security. It seems, however, that there is no reinvestment in the resource base and the system thus appears to be extractive rather than sustainable. In Tanzania, proposals for a 40/60 revenue share between communities and government have still not been formally approved.

There are also issues relating to forest values and conservation, which again are noted in the Joint Review of PFM in Tanzania. The earlier Finnish supported intervention around Amani Nature Reserve in the East Usambara mountains of Tanzania was inappropriately criticised in its 2003 MTR for not devolving management to the local community. This criticism was based on a desire to apply a system developed for extensive Miombo woodland in western Tanzania, which cannot be simply applied in a location of huge international biodiversity conservation value: it was this value that drove the intervention.

An effective governance framework is essential if any form of collaborative forest management is to be effective. If it is to be equitable, then the resource base must have production potential sufficient to deliver benefits commensurate with the level of inputs made. This is particularly important where the forest is to be conserved, either for rehabilitation, for REDD or for biodiversity. While the concept of payments for avoided forest loss – and for forest improvement – underpin the whole REDD philosophy, there are few established examples and the forest governance frameworks in Laos, Mozambique, Tanzania and Zambia all seem to be deficient in certain respects if this aim is to be met. In all three African partners, the reasons seem to be largely due to delays in bringing appropriate legislation into force.

These problems have been widely encountered elsewhere. In Malawi, the EU funded programme on Improved Forest Management for Sustainable Livelihoods suffers from a degraded resource base, lack of technical interventions and a restricted governance framework. In Nepal and India, the preference is to work with individuals rather than groups or communities, which also minimises the risk of elite capture. Natural forest management, however, is almost impossible other than on a group or community wide basis because of the extensive nature of the management activities.

The demand for CFM is strong, especially in Tanzania, where advocacy from the Natural Resources Forum, apparently stimulated by the report from TRAFFIC, a wildlife trade monitoring network, on lost revenue opportunities, resulted in communities in many districts approaching donors, including Finland, for support to develop CFM systems. In all four African countries, the forestry institution appears to be a signifi-

cant constraint, with a reluctance to devolve real control. The reasons are varied but include legislative issues, as in Zambia, resistance from provincial and district personnel, as in Tanzania, and low capacity, as in Mozambique. Capacity limitations in terms of knowledge, motivation and personnel numbers is a major problem in all three countries.

None of the CFM interventions has been fully successful. While the soft side, encompassing empowerment, setting up of frameworks for communication, management and local committees has been successful, the outcome in terms of substantial tangible benefits has been slight so far. There is potential for poverty reduction and the interventions have made progress on the social sustainability and potentially also on economic sustainability. This progress is essentially on the demand side and there has been useful support for forest-based enterprise development in Tanzania and Mozambique and some in Central America but there has been little or none on the resource base and the supply side generally apart from in Central America. The benefits there, however, were severely diminished by the 2006 logging ban.

Although CFM has been poor to date in delivering benefits on a useful scale to the communities engaged, the structures created can potentially be used to channel REDD related funding and thus provide significant levels of benefit that would retain interest and reward efforts, including in those areas where the forest is not productive in the usual sense of forest produce. To capture this possibility, there will need to be attention paid to monitoring and reporting capacity and, especially, to the protection of the forest resource base and the reduction of degradation. Control of fire and grazing are two key elements in this. There is ample knowledge about what is required and an excellent example of the speed of benefits from Namibia (Jurvelius & Luukkanen 2007).

6.4 Resource Base

The supply side picture in eastern and southern Africa is less positive, in part, because of the limitations of the institutional framework in the partner countries but in the main because there has been little focus on sustaining and improving the resource base. The natural forests and woodlands in Mozambique, Tanzania and Zambia are predominantly Miombo. The most critical management intervention is the reduction of damage from fire, through controlled early burning. This can be complemented by simple silvicultural activities such as thinning and bruising of roots to encourage regrowth. Most regeneration in Miombo woodland is from root suckers and coppice, not from seed. These tasks are readily transferable to local communities with minimal training.

Miombo supplies less timber than moist forest, the main products are poles, fuel (including conversion to charcoal) and non-wood products such as medicinal plants, fruits and mushrooms. It is a robust ecosystem and amenable to sustained production through relatively short coppice management systems. There are no local forest man-

agement plans; no evidence of training in field operations and thus in most cases, the resource base is being essentially mined. The environmental sustainability is thus not addressed and unless this is done, then in due course the other pillars will be undermined or rendered irrelevant.

Charcoal production is the primary cause of forest loss in Zambia, often associated with expansion of agricultural land and to a lesser extent in Tanzania and Mozambique. Timber cutting is significant in Mozambique, where the resource base is richer and extensive although there is little sustainability and timber production, through harvesting from natural woodlands that are inherently poor in timber species is quite finite. In Mozambique, the system relies on timber licences with little or no control of the actual cutting. Much of the wood cut is exported to Asia. While the Finnish programme has been neutral itself on the resource base, the drivers of loss within each country continue to erode sustainable management potential. The resource base for CFM in Laos and Central America has been better secured and management plans of good standard were put in place and followed.

6.5 REDD+ and Monitoring, Reporting and Verification (MRV)

REDD+ payments are already in the pipeline for Tanzania and Zambia and in the near future, will also feature in Kenya and Mozambique. Unlike previous donor funding, REDD+ related payments after the preparation phase will only flow if there is adequate monitoring, reporting and verification (MRV).

None of the four African partners has capacity or capability to undertake this type of work. Forest and land cover inventories such as in Zambia (ILUA I) are not sufficiently accurate for REDD+ related reporting largely due to sampling densities and lack of sub-ground carbon data. However, the forest and land cover assessments planned under ILUA II and initiated in Tanzania, with joint bilateral and MFA support to FAO, intend to address these deficiencies. This reporting relies on remote sensing and ground based inventory, with repeated measurements of monitoring of permanent and temporary plots. Building capacity for this is the function of the “readiness” funding but the capacity is far from adequate in any of the government forestry agencies. Kenya and Zambia have fair to good numbers of competent forestry personnel, Tanzania has some – and also has probably the best academic institution in the region at Sokoine University. There is no reason why some of the field measuring cannot be done by trained community members although this idea has little prominence in the proposals so far developed.

The methodologies by which REDD+ MRV and payments will be made are still under discussion. The intention is very clear, that payments will only be made against proven progress and delivery of commitments towards reducing greenhouse gas (GHG) emissions. This is very different from the situation that has characterised development assistance payment transfers to date, where penalties are seldom applied and funds have continued to flow. It is far from clear whether some countries have

fully appreciated this, nor have the relatively high transaction costs to them for compliance always been recognised clearly.

While Laos and Vietnam will not have problems in meeting the MRV requirements of REDD+, the situation in Central America is probably not as good as this overall, as it varies from country to country in the region. The skills needed are ones where Finland has considerable expertise, from its National Forest Inventory and also has a sound record in skills building. Although it was not formally part of the evaluation, the support being given by the Finnish Forestry Research Institute in Joensuu to Nepal and the MFA support to the FAO's National Forest Monitoring and Assessment Programme (NFMA) which supports MRV piloting in Tanzania, Zambia and Vietnam are excellent examples of what is needed much more widely if countries are to benefit from REDD+.

6.6 Plantation Development

In respect of the plantation side, there is active interest from Norwegian forestry investors in both Tanzania and Mozambique, in the latter there will almost certainly be interest from South African companies and others. As noted above, there are no guidelines in place for standards, nor is there capacity for their enforcement. While the companies involved that are known have a good record of high Corporate Social Responsibility and have expressed a commitment to securing certification, it would be unwise to rely on this for all possible investors. There are also more basic issues to be addressed such as the need for strategic planning of plantation development and consideration of marketing and end uses in due course.

Within the region, the most successful intervention of this type, albeit on a smaller scale than that envisaged for both Mozambique and Tanzania is the Sawlog programme in Uganda. This was developed initially under EU funding but this has recently changed and support is now coming from Norway. The sawlog programme engaged with growers of various sizes and operates on both degraded land within Forest Reserves and on privately owned freehold land (www.sawlog.ug). This programme has many useful lessons that would be highly relevant for other countries in the region.

In Vietnam, the government is actively pursuing a strategy of plantations, which includes those on a large commercial scale supplemented by outgrowers with small woodlots. A similar strategy, although less advanced, is being developed in Mozambique and Tanzania and is ultimately likely to be adopted in Kenya. The strategy needs to be looked at in terms of limitations as well as its advantages. On the positive side, such a strategy provides income for the smallholder and it may also generate employment. The only people who can engage in it are of course those who are not the ultra poor. People need to have land that is not required for agriculture and to have the resources to establish the planted blocks and wait for them to mature.

There is a poverty reduction potential in this approach but is only going to have impact on specific groups. Employment generation is limited by the technology only requiring labour for establishment and harvesting. Crops that also include stand management, such as for saw timber, generate higher employment. The field visit to Vietnam drew attention to the limited species base being used, with only species for industrial wood being planted. Many small farmers would benefit from a greater diversity, including fruit trees and crops such as rubber that provide a steady income stream.

Outgrower schemes also tend to transfer the commercial risk to the grower, who is usually tied into a marketing agreement and often has no alternative outlet. Unless there is a sophisticated price formula, the grower is left as a price taker. Furthermore, short rotation industrial wood crops have relatively less scope for being held without felling than plantations that have been thinned. There are good examples of more equitable approaches in South Africa, where there is also a more diverse market, and also from the smallholder rubber industry. This element of the application of forestry emphasises the importance of market information and marketing systems. Many approaches of this type, such as the fuelwood plantations serving Addis Ababa, lead to the profits being made by the middlemen who have market opportunity and transport. Agricultural extension schemes also have useful systems such as using mobile phones to pass price information to growers.

A confidential evaluation conducted in 2009 of the promotion of hybrid *Eucalyptus* in East Africa drew attention to unrealistic expectations on the part of growers of the prices that might be obtained for their trees and the lack of organised markets. Given the potentially wide uptake of outgrower systems, there seems to be substantial justification for this aspect to be given attention by MFA.

Forestry in Finland remains a major industry and is interesting in that, although the country has some of the world's most efficient processing industries, the bulk of the resource base is owned by small landowners. The systems of extension advice and marketing support developed and applied in Finland appear to have considerable value for application elsewhere and are one area where Finnish Added Value could be captured.

The possibility of extensive industrial wood plantations developing in Mozambique and Tanzania also has implications for forest policy, particularly from the point of view of sound practices. Finnish NGOs are already expressing concern at the expansion of plantations in southern Tanzania. The Siemenpuu Foundation organised a meeting on 17 June 2010, which was attended by the MFA forestry, biodiversity and NGO advisers. The main point of interest was a presentation by a consultant from Timberwatch. This presentation expressed concern on the expansion of plantations in the southern Highlands of Tanzania, the core criticisms being related to negative hydrological and biodiversity impacts.

The scientific comment presented was both partisan and incomplete, and the presenter held firmly to the view long promoted by the World Rainforest Movement that plantations are not forests. Although the facts may be disputed and indeed there are adequately known approaches that can remedy many of the criticisms made, the key point is that direct or tangential support from Finland for plantation development will be subjected to close scrutiny by NGOs. Consequently, the likely developments in Mozambique, Tanzania and Vietnam need to be viewed critically and in particular it will be essential to ensure that exemplary practices are employed. None of the African partners has any effective guidelines for such developments, or a system of securing compliance and thus the standards of plantation development applied will be those of the operators. This is not a satisfactory situation and requires urgent attention.

In Kenya, there are reservations over whether the planned progress to the Kenya Forest Service, with a revenue source derived from timber royalties will actually take place within the time frame projected and this has implications for the continuation of Finnish funding. Despite the current felling ban, there is some evidence of “informal” sales. The value of the standing crop is very high compared with the salary levels of those responsible for its security. A mature plantation with 250 m³/ha (a fair estimate for Kenya) represents a value of US\$ 5,000 at even US\$ 20 per m³ and sawn timber prices are currently very high. This comment reflects the high potential of plantations in terms of revenue generation but there is of course a very long time period between establishment and the revenue stream becoming significant.

Plantation development will certainly expand in the near future in many partner countries and could bring much needed employment and economic growth. It could also be beneficial in terms of conservation and in providing impact on poverty. Development of high standards, effective monitoring and control systems and the support of outgrower schemes are all areas of Finnish expertise and potential added-value.

6.7 Capacity and Capability

Technical knowledge and capacity is a major issue in all African partner countries although it not so in Asian partners, in Central America and, notably, in the Western Balkans, which have a long history of sound forest management and also good record keeping.

Despite strong efforts from MFA and other donors to build capacity in the forestry sector, in many countries this has not resulted in improved forest management practices and in some cases capacity is lower than it was earlier, with trained people leaving the sector and in some cases the country. Africa is especially problematic in this regard. In all four partner countries, there has been a severe and continuing erosion of skills at field level. This is of such extent that even if a perfect policy and strategic framework were created for the sector, the capacity and capability to implement the resulting plans is severely degraded.

In terms of CFM in Africa, there is a lack of knowledge on the management of natural forests and woodlands amongst technical personnel. This results in errors of omission, such as neglect of fire protection, and also errors of commission, where technical personnel are unable to understand how to manage the resource other than for industrial forest products and give flawed advice or in some cases direction. It is not clear that the “loss of control” that is part of devolution of management is always understood by forest agency personnel at field level.

Technical skills for plantations are also seriously eroded in all four African partners. This ranges from lack of knowledge of species, species site matching and indeed silvicultural operations. Basic management data collection skills have also been lost.

The technical skills loss would not be difficult to remedy for planted forests, as is evidenced by the Sawlog Production Grant Scheme (SPGS – www.sawlog.ug) in Uganda. Through relatively simple training for growers and rigorous inspection, with payments being linked to achievement, SPGS has facilitated growers with no prior experience of forestry to develop plantations that are of a standard equivalent to those of commercial companies.

The management of Miombo woodlands and similar dry ecosystems that are common in all the African partners is also relatively easy to improve, as shown in Caprivi, Namibia (e.g. Jurvelius & Luukkanen 2007).

What will be more difficult to replace is the loss of the supporting infrastructure such as improved seed for tree planting. Given this situation, the strategy identified in Africa is for plantations to be undertaken by commercial companies, who are able to bring in seed and technical personnel from elsewhere, with a spin-off to support small-holder tree growing, is very appropriate.

6.8 Intergovernmental Regime

The international regime for forestry is fragmented in terms of the number of agreements and instruments and this fragmentation is reflected in the variety of national focal points in each country (Annex 4). None of the field visits revealed any formal system of consultation amongst these focal points in any country and even in Finland, consultation relies quite heavily on personal contacts rather than formal structures. This is also the case in other developed countries. Although structures do exist, divergent views are not uncommonly presented in different forums!

MFA is unusual amongst donor countries in having forestry as a major component of its national economy. As a result, Finland has been very active in international forestry-related forums and has been very good at applying the commitments made in these. The finding from the partner countries was that there seemed to be no mechanism for ensuring consistency in the application of “commitments” made under the

international regime and indeed there is little evidence of significant action, despite signature of these instruments implying at least the intention to implement changes.

Of the main international processes, Finland has been most prominent in supporting the NFP process, through the facility and in partner countries. This is the core mechanism by which SFM, the consistent theme in all forest related international conventions, should be secured, and there has been direct support to achieve SFM on the ground. Success is notable in Laos, Central America and the Western Balkans on this, and locally success has been achieved in Mozambique and Zambia, although it is only partial so far.

Support to the CBD has been delivered through a number of grants and smaller interventions (Annex 3) although the latest interventions in Mozambique and Central America include CBD goals within them. Ultimately, effective NFPs should also encompass national activities under relevant international conventions. The field visits found little evidence of coordination amongst the national focal points for the various conventions (Annex 4) but again, this should be an outcome of an effective NFP process.

There has also been direct support to achieve SFM on the ground. Finland's support for SFM at the intergovernmental policy-making level may therefore be judged relevant to its international development programme. Success in securing SFM is notable in Laos, Central America and the Western Balkans, and success has been achieved at local levels in Mozambique and Zambia, although it is only partial so far.

Climate change and particularly REDD+ is widely seen as a provider of substantial funds for forestry. At present, the precise mechanism by which it will be delivered remains unclear. There is concern being widely expressed, notably by NGOs, that the non-carbon elements that are intended to be included in REDD+, notably conservation, access rights and improved governance, may be compromised and that the proposed safeguards are inadequate.

Finland is active nationally in all relevant conventions and there is scope for influence, through the EU to UNFCCC to ensure that the interests of its bilateral partners are adequately considered during negotiations and especially in respect of the modality of REDD+.

It is interesting to note that Finland has been a more prominent supporter of UNCCD than most other donors and there is a possible link to many forestry interventions through the UNCCD work on land use. Agriculture and rural development are crucial elements of the wider land use framework within which SFM, forest sector development and indeed climate change will need to be accommodated.

A brief summary of Finland's responses and interventions under various international conventions and initiatives is provided as Annex 5.

6.9 Finnish Investment in Forestry ODA

The overall level of Finnish development assistance for forestry shows increases in both the absolute amount and in the proportion of aid allocated for forestry as shown in Figure 2. Despite this very generous allocation, the findings are that the impact so far remains hard to see. This statement needs to be balanced by the observations that forestry takes a long time to mature and that much of the assistance has been towards supporting the operating policy and governance framework. Furthermore, the absence of clear and effective M&E frameworks, impact indicators and regular monitoring, means that it is hard to identify changes. The desire for “basket funding” in various forms, while good practice means that attribution is also problematic, as in Vietnam.

These findings are not dissimilar to those from other donors for forestry. From the late 1990s onwards bilateral programmes and discussion in international forums focused on the need for a sound governance framework for forestry to provide a means by which the benefits from enhanced practices could be promoted throughout the national economy. While in some cases such as Vietnam, and notably in Western Balkans, and to some degree in Central America, the picture in Africa remains disappointing.

Linked into this is the question of whether MFA has fully exploited those areas of national expertise that it can provide for forestry development in more recent years. This is discussed more fully below.

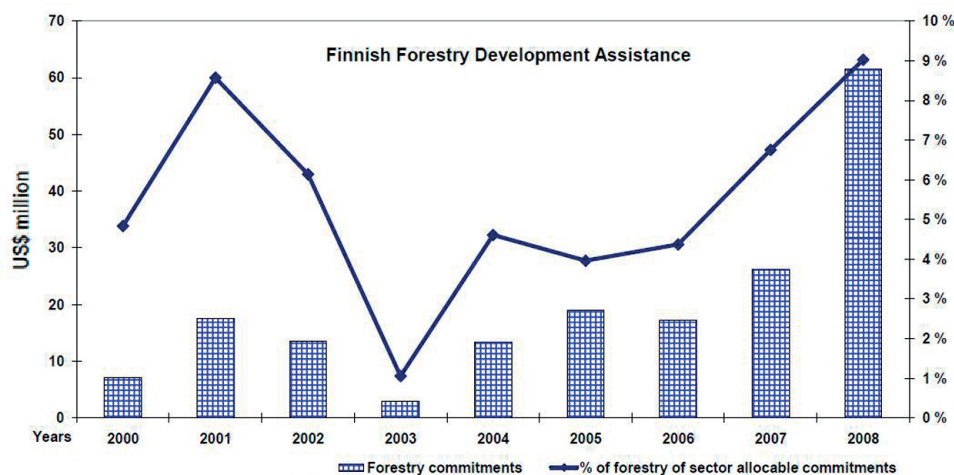


Figure 2 Forestry ODA and overall share.

6.10 Finnish Added Value in Forestry

The issues raised here are those that are specific to the forestry sector in its widest sense and are in addition to the wider elements such as good governance, human rights and resolution of conflicts. This is the subject of a detailed ongoing study being led by the Ministry of Agriculture and Forestry.

One area that has been neglected is the Finnish experience with managing forest production for industries based on a resource that is predominantly owned by small farmers. Although the average area in Finland is much bigger than that common in partner countries, the productivity is much lower in Finland. An area of 50 ha in Finland growing at 4 m³/ha/an indicates annual production of 200 m³. An area of 5 ha in the tropics growing at even 25 m³/ha/an indicates an annual production of 125 m³ and productivity may well be higher than this. The transfer of simplified management plans to Central America certainly had positive impact and this suggests there is good scope for wider transfer of this experience.

Small-holder forestry on a substantial scale is being practised or proposed in Vietnam, Laos, Mozambique, Tanzania and Kenya. Marketing and securing equitable returns is a strong component of Finnish experience and this could be usefully promoted, together with improved technical practices.

There is good Finnish expertise and experience in education from Universities of Helsinki and Joensuu and technical capacity building is being undertaken from the Finnish Forestry Research Institute (METLA) and from Viikki Tropical Resources Institute (VITRI) at the University of Helsinki. There appears to be potential in expanding this although not through the system used in the support to forestry colleges in Africa: the need is much more for expertise and building individual skills rather than physical infrastructure development.

Finland has had a national Forest Inventory for more than 100 years and it provides excellent information. Lack of knowledge of the sector is a major constraint on effective planning in many of the partner countries and this undermines the gains made in policy and governance. Since putting policies into practice is essential if development gains are to follow, the inability to formulate sound plans because of poor knowledge and information is a major issue.

As noted, REDD+, which has the potential to deliver substantial finance for forestry, will need good monitoring, reporting and verification and in many partner countries, adequate expertise and systems are lacking. Making increased use of Finnish expertise would be beneficial and secure rapid positive impact. In particular, capturing REDD+ payments could provide much enhanced economic flows that would build on the work that has been done in PFM but which is constrained by limited economic benefits.

Although there are relatively few opportunities for large scale wood processing development, and these would normally be expected to be the province of the commercial sector, there is scope for small scale added-value processing. Simple approaches such as mobile saws working in groups of privately owned woodlots or community forests have the potential to provide increased economic gains. This is another area of Finnish expertise which together with support for marketing could greatly enhance the benefit flow and thus improve the presently disappointing economic impact.

In the Balkans which have temperate forests and cold winters, Finnish expertise in efficient building design could secure good impact from better use of wood in construction and, especially, in terms of much improved energy efficiency.

On the less physical side, MFA has been and remains a strong promoter of SFM and linking biodiversity conservation with productive forests. This is an area where Finnish expertise could be usefully passed on at both field level and, especially, at the policy and strategy levels.

6.11 Cross-cutting Issues and Project Cycle Management

The capture of cross-cutting issues has been generally disappointing. While the principles have been adequately captured in documentation, the framing of indicators and setting up of appropriate M&E systems to monitor change has been poor. It is not always clear that adequate budgetary provision is made to enable action on gender and equity. Although in the past, there have been examples of poor understanding of these issues in partner countries this does not seem to be the case now. Indeed in countries such as Tanzania, there has been exemplary awareness raising.

This leads to the question as to why, if everyone understands the need, it has not been captured and dealt with. On the basis of discussions in MFA with sector and cross-cutting advisers, it appears that the problem lies at the design stage. An intervention designed to address a “forestry” problem can be approached and framed in many different ways. If the cross-cutting issues are given high priority from the outset, then the design is likely to be different from one where the cross-cutting issues are added later, as “bolt-on” pieces.

It seems that the latter is the way by which intervention designs are adapted and approved. Proposals are circulated to cross-cutting advisers, who then suggest changes. Yet the cross-cutting issues have a certain commonality in that they are all focused on increasing equity and decreasing inequalities; the relative importance of the different issues – gender, HIV/AIDS, social development, human rights, governance and even poverty – varies according to the location and type of intervention.

In order to improve the design it may be that more resources need to be allocated at the initial stage and that depending on the aims and objectives, there should be a team

of relevant advisers working in a matrix management system rather than the current one which tends to keep the various “disciplines” somewhat isolated.

Related to this are two sets of comments received during consultations in Helsinki. The first relates to the importance of desk officers in the management of interventions from conceptualisation, through inception to delivery. Desk officers vary widely in terms of their experience and length of tenure. Where such people are experienced and have been in post for a significant length of time, they are able to add value to discussion and decision making. Where such people are only fleetingly in post and/or inexperienced, perhaps having never visited the country concerned, they cannot be expected to act other than in an administrative role. It seems that the role of desk officers would benefit from review with the aim of setting up a management system that draws in a wider skill-set and captures the expertise of specific advisers more fully.

There is also the question of the use made of the expertise in consulting companies. These companies are responsible for delivery of many interventions and have access to high level expertise across a wide range of disciplines. In many cases they provide both institutional memory and also maintain comprehensive archives of information. Yet there seems to be resistance to drawing this expertise into the management group in Helsinki. While there are obviously political elements that need to be kept confidential, the greatest proportion of the discussion in Helsinki on interventions must revolve around the issues of delivery. Consulting companies have useful contributions to make to this discussion which is not being adequately captured at present. It is also noteworthy that in Finland, more than in many other donor countries, the movement of individuals between MFA, consulting companies, international organisations, field postings and universities is substantial. The present rather formal division seems inappropriate given this.

A more widely based intervention management team structure should be able to deal with the other key weakness noted, the lack of good impact monitoring indicators and associated data collection and reporting. As a general rule, monitoring and reporting is primarily focused on activities and the use of inputs and this is obviously important, especially for administrative purposes. However, impact indicators need to be differently framed and specific attention given to identifying key sources of information as well as setting up systems that report this. There is also a tendency for baseline information to be missing and this can result in impacts that have occurred not being reported. There are adequate systems available, such as those used by EU, and with which all consulting companies are familiar that could be used to remedy this problem.

6.12 Contribution to Implementing the MFA Policy Guidelines for Forest Sector

The guidelines are an excellent document which provides clear guidance and a statement of Finland's goals in its bilateral programme and parallel work in the international arena. The guidelines emphasise the importance of SFM, including the need to ensure that women's rights to own land and participate in decision making is crucial. SFM has been strongly promoted by MFA in the international arena, and this is complemented by the national efforts within Finland to achieve this goal. This is very helpful as MFA is seen to have done what it is asking its partners to do, rather than asking them to do something abstract. Support for SFM is a major component, explicit and implicit in all Finnish forestry assistance, as exemplified by assistance to Laos, Serbia and the MAP-FINNFOR intervention in Central America.

The first theme in the guidelines is support for National Forest Programmes. Here MFA has given financial support to the NFP facility in FAO and is a strong advocate of NFPs in UNFF. Bilaterally, MFA is supporting the NFP process in Tanzania and also specifically in Mozambique. In Zambia, the modality was provincial forestry action plans, which together with the other interventions contribute to the NFP, as does the intervention in Kenya. Finnish support to Vietnam and Laos is also contributing to the application of the NFP concept.

The second theme is the importance of the forest sector in climate change adaptation and mitigation. There is active ongoing support for mitigation measures under REDD+ in Zambia, Laos and Vietnam and less formal relevant work elsewhere. Adaptation is not strongly noted in the interventions reviewed although there is appreciation of its importance.

In response to the third theme, which emphasise the linkage of the forest sector into wider rural development, we note considerable prominent linkages, especially in Africa and Vietnam. These wider linkages are part of the benefit from the increasingly larger size of individual interventions, which can deliver a much broader scope. This approach is fully consistent with the NFP structure, in which the forest sector is widely defined and the linkages made explicit.

Support for international forest policy processes, theme 4, is certainly strongly evident in respect of Finland's prominence in the international regime. This support is less evident at national levels and this is an area where greater coherence could be built through Finnish assistance.

Effective partnerships have been built and financed with relevant international organisations such as FAO, World Bank and CGIAR institutes, including, CIFOR, CATIE and World Agroforestry Centre. What is unusual is the relatively high level of use made of IUFRO by MFA, and this provided considerable help in securing a good outcome from the work in the Western Balkans, especially the FOPER intervention.

Overall, the Development Policy Guidelines for Forest Sector have been a useful document and one for which there is increasing evidence of its application in guiding relevant interventions.

7 CONCLUSIONS

The portfolio of interventions reviewed during this evaluation has been comprehensive and encompassed assistance to 6 individual countries (Kenya, Mozambique, Tanzania and Zambia in Africa and Laos and Vietnam in Asia) plus two regionally based sets of interventions (Central America and Western Balkans). Finland's interventions and activities in the international arena were also briefly reviewed. The period reviewed was mainly that from 2000 to 2010 but countries varied in the timing at which interventions were started and completed and some have many more than others. Those reviewed are listed in Annex 3 and in the country reports (Volume II).

Despite the generous levels of funding, the findings are somewhat disappointing, notably in respect of evidence on poverty reduction. In terms of sustainable development, there has been relatively good progress with strengthening the social pillar and to some extent on the environmental side while the economic pillar has been rather limited in terms of impact. In most partner countries, overall impact and changes have also been relatively limited in extent, with good results locally but relatively less change at national level.

Forestry interventions usually have a long time period between investment and benefit and, in many cases, the initial investment is relatively substantial. This is obvious to see in physical interventions, such as plantation establishment, but applies equally in interventions such as governance changes. Here the delay in securing change is often due to the innate conservatism that characterises poor societies but there is also a question of capacity. While changes can be agreed and documented relatively easily at central level, application of these changes in terms of attitude and bringing them to fruition over large areas requires time and adequate numbers of properly trained people.

Those partners where progress is slowest seem to be the ones where there is relatively limited capacity and capability. Furthermore, training and changes of attitude and approach have to percolate down through the hierarchy in a coherent way. While changes of attitude, such as awareness of cross-cutting issues may be exemplary in the upper levels of institutions, as in Tanzania and Kenya for example, it has not always reached down to the lowest levels of the institution although those people are the ones that ultimately facilitate the changes on the ground. It is not clear that the capacity constraints in terms of expertise and numbers of people have been fully appreciated during the design stage.

In terms of relevance and coherence, and the associated aspects of consistency and connectedness, it is apparent that all the interventions supported meet national aspirations at the highest level. Furthermore, in terms of donor coordination, the findings are that this has been well-met and that Finland has been a key leader in many partner countries.

In securing improved relevance and coherence, lack of accurate and up-to-date information is a critical problem. There is a strong correlation between limited capacity and poor information and both could be dealt with. The benefits are striking in, for example the support to GIS in Montenegro. This intervention built capacity and led to much improved information that in turn has allowed much more cost-effective management planning and control. Although that intervention was delivered through UNDP, Finland itself has excellent relevant capacity and expertise.

While physical inventory is important, and will become more so if and when REDD+ payments start to flow, other services and non-timber products are vital components of the forest sector in all partner countries but are mainly very poorly recorded, if they are even recorded at all. Development of the production side of the forest sector is being undertaken and/or proposed in several partner countries, including Vietnam, Laos, Kenya, Mozambique and Tanzania. Without an adequate and accurate information base, forest policy and governance arrangements will not be effective. Such an information base is also a pre-requisite if countries are to deliver on their voluntary commitments and formal obligations made under the international regime.

In terms of efficiency, a range of modalities has been employed. It is not fully clear why specific modalities were selected and the extent to which the choice of modality was open to Finland to make and the extent to which it was the prerogative of the partner government. Of the modalities reviewed the multi-donor trust fund in Vietnam appears to have been very effective but there is a loss of attribution for Finnish assistance from this approach. Using EFI and other partners in the Western Balkans was also very effective and the partnership in Zambia with FAO is also fruitful.

The use of consulting companies has given mixed results with criticisms from Mozambique, for example, on the high cost and the delays in financing. In Tanzania, the reduction in TA seems to have led to a marked reduction in progress and perhaps with the difficulties experienced in financial control and reporting. There would seem to be need for a more in-depth analysis of where and how different modalities have worked and this should lead to a decision guide with indicators as to which modality is appropriate in different circumstances.

Forestry advisers are now posted out in nearly all partner countries. It is not clear that there has been as much devolution of authority as there could be and certainly from Mozambique, there was quite strong criticism voiced of the delays to funding caused by the need to consult MFA in Helsinki. This structure and the lines of authority as well as the level of delegation could be usefully included in a review of aid modality.

In terms of effectiveness, the reviewers found considerable difficulty in locating good evidence of changes. In some cases, this was because changes had not occurred but the situation was made more difficult because of both poor formulation of indicators of achievement and collection of relevant monitoring data. There was also the issue of archive material. While there are significant gaps in archival material in MFA Helsinki, embassies generally had most of the missing material. Consulting companies all keep good archives, as they are required to do under their contracts, and MFA Helsinki could make better use of this resource.

In addition to the general lack of indicators relating to achievement and impact, as opposed to activities, the risks and assumptions are another area where more emphasis would be helpful. For example, progress in Zambia has been severely limited by government of Zambia to put in place a suitable benefit revenue sharing framework while the application of excess royalty rates restricts the benefit flow to communities in Laos. Both of these eventualities might have been better accommodated in the assumptions and risks considered during initial appraisal.

Cross-cutting themes have been noted as aspirations in all the basic documentation but progress towards them appears to have been hindered by their being seen as additional and supplementary rather than perhaps reframing the approach to bring these themes into greater prominence. The lack of baseline information on the cross-cutting themes, and indeed more generally, is a major factor inhibiting the clear assessment of progress. This deficiency has been noted in many reviews and final reports but progress in changing the system remains rather limited.

Governments themselves are at times culpable in failing to make promised or anticipated changes within the anticipated time frame. Particular problems have arisen as a result of this in Zambia and Laos while progress in Kenya is very dependent on effective action by the government there to lift the logging ban and allow collection of the revenues on which the future funding of the Kenya Forest service is based.

Connectedness is an important attribute at the policy level and one that has recorded mixed progress. Finland itself has a very good record of cross-sectoral linkages and the connection between its work in international forums and its national development assistance programme is clear and complementary. By contrast, partner countries generally show a much less favourable picture. There was little evidence of close connections amongst the agencies acting as focal points for the various conventions and although there are some good examples of effective cross-ministerial cooperation with respect to wider land-uses, forestry has seldom developed good and effective links with the core ministries of finance and planning. The whole question of high level coherence is one that has limited the wider effectiveness of the NFP process and thus while those countries receiving Finnish support are no worse than most others, there is no strong record that Finnish support has yet managed to overcome the problem effectively.

As a developed country with major forestry sector that is highly significant in terms of its contribution to the national economy, Finland is quite unusual. The history and

current importance of forestry in the national economy provides opportunities for Finland to promote its own experience through its forestry assistance programme. Although this has been done in some respects, it appears that in recent years, the focus on higher order elements has lessened the opportunity for Finland to really capitalise on areas where its added value could really count. Experience of managing a substantial forest resource base that is predominantly made up of small individual holdings, expertise in national forest inventory and in forest processing have all been less used they might have been while the well-established reputation for forestry education and training has also been less prominent than in the past.

There appears to be value in revisiting Finland's major areas of expertise in forestry and adapting the development to give more prominence to it.

In terms of impact, successes have been achieved in Vietnam and the Western Balkans with active forest sector growth and good indications of much improved forest management, especially in the latter. A positive picture has also emerged from Laos, with a well-proven example of community based SFM although the potential to transform this into real economic benefits, and hence significant poverty reduction has yet to be realised. In Central America, there are also good examples of SFM being achieved although on a somewhat limited scale but there is firm evidence of real changes in the understanding of the importance of community based approaches.

In the four African countries, while good gains have been achieved socially in Mozambique, Tanzania and Zambia, the other impacts are neutral and there is little evidence that the drivers of degradation and forest loss have been significantly lessened. The work in Kenya holds out good potential but it is too early to know how effectively this will be realised.

What is very evident is that considerable attention has been paid to both Finnish wider development aims and to the more specific forest sector aims laid out in the "Guidelines" in all recent interventions. If more attention could be given to securing baseline information and the definition of indicators focused on achievements and impact, the potential gains would become more explicit and interventions could be refined and adapted as necessary to optimise these.

In both Africa and Asia there is considerable potential gain through capturing REDD+ payments that would much enhance the financial resources flowing through national forestry sectors. What Finland has done could be very beneficial in channeling increased finance down to lower levels thereby achieving significant poverty reduction and concurrently, wider aims such as conservation through the better application of SFM. The effective capture of these payments is dependent on good systems of MRV, on which continued REDD+ payments will be based. Although in Africa especially, the capacity to deliver this is limited, this is an area of particular Finnish expertise and this could be rapidly harnessed to improve matters on the ground, as is evidenced from work with Nepal.

While in some cases, such as Laos and Zambia, the constraints to a more sustainable outcome lie with national governments, there is a wider issue affecting sustainability in African partners in particular, which is the limited capacity despite many years of training and capacity building. REDD+ payments provide a major opportunity for these countries to capitalise on the potential funding and to effect the changes laid down in their policies. Finland could be a key mover in facilitating this through its expertise in MRV and, in parallel, through using its strong and well-regarded presence in international forums to ensure that systems are developed that will not exclude the neediest countries. The way in which the Clean Development Mechanism was framed effectively meant that countries that most needed support were not able to benefit. There is no reason why REDD+ has to follow the same path.

Finland has a strong link between its national profile in international forums and the way in which its forestry development programme is structured that puts it in a good position to enhance consistency between the two through applying influence in international debate and adapting its development work to be congruent with this. This is a specific theme in the development guidelines for the forest sector which has the potential to bring substantial improvements in the sustainability of its development investment.

8 LESSONS LEARNED AND RECOMMENDATIONS

8.1 Improved Design

It is noted that all interventions showed fair to good relevance and coherence with national policies and strategies and at the highest level with Finland's wider developmental goals, including cross-cutting issues. Despite this, the results have been overall disappointing in respect of both poverty reduction and environmentally sustainable development although it must be recognised that firstly, policy level interventions that has characterised many of the interventions will not themselves bring direct impacts. Disappointingly, even where field level interventions were made, impact was often hard to ascertain other than on a restricted scale. There are also issues relating to the effectiveness of the way cross-cutting issues were handled, as additions or notional statements of intent rather than being fully grounded in the design.

In the later years of the period under review, interventions have tended to become larger and more complex. It is not clear that national capacity and capability to handle these interventions was adequately assessed. The impression given is that these have tended to be over-estimated and it is significant that the poorest progress, in Africa, has been in those countries with the least capacity. Progress in Vietnam and the Western Balkans, where there is solid capacity and capability, has been much better.

Linked with limited capacity, there is also the question of poorly defined indicators for achievement and impact and associated systems of M&E. Baseline data is frequently unavailable and resources need to be allocated to remedy this and also to improve the information systems. This is being done in countries such as Tanzania although the outcome has not been as valuable as was hoped. Information collection and handling is an area of Finnish expertise that could be better harnessed.

These problems need to be addressed at the design stage and this leads to the first recommendation, which also reflects the need for changes to review systems with MFA:

Recommendations

More resources should be devoted to the design phase. In particular, the following aspects require attention:

- A Review other donors' intervention appraisal systems (EU for example), especially in regard to the handling of wider cross-cutting issues and ensure that larger multi-disciplinary teams are fielded for identification and appraisal.*
- B Make more critical review of intervention design from the initial identification phase, through a multi-disciplinary team in MFA Helsinki, which involves all relevant sector specialists and operates by a system of matrix management. Where consulting companies are engaged in delivery, they should be included in this structure. This team, with its structure evolving as required, should also provide oversight throughout the period of support.*
- C Ensure that national capacity is assessed during design at all relevant levels, including where appropriate, that at lower field levels, and that appropriate capacity building at all levels is integrated into the design.*
- D Enhance the formulation of indicators for assessing achievement and impact and the collection and reporting of relevant data, if necessary providing specific assistance to improve information collection, analysis and reporting.*

8.2 Conditionalities

In two cases, Laos and Zambia, sub-optimal performance can be largely ascribed to failures on the part of partner country governments to take appropriate policy and/or programme actions or to agree to modify their position to be more in line with Finnish wider development goals. Potentially, such a situation may arise in Kenya unless that government makes timely decisions regarding the current logging ban to which it has committed. It is not clear that the strength of conditionalities is adequate, nor that risks and assumptions are properly addressed at the design stage. Continuing to undertake reviews, which lead to negative findings when the core problem is known and not addressed, is unhelpful to the overall achievement of Finnish forestry aid. The political aspects of these situations need to be dealt with through a more appropriate mechanism, potentially through regular high level coordination meetings between Ministers and Ambassadors, and the situation and ramifications made more explicit, if they are known.

Recommendations

In cases where partner governments failure to undertake their commitments are prejudicing the progress and outcome of interventions, an alternative system to repeated reviews is required that preferably forces change or at least makes explicit that the issues is well-known and is or is not acceptable.

8.3 Improved Information Systems

Finland has been a well-regarded and effective leader in donor coordination in many of its partner countries. Coordination within national partners, especially outside the immediate forestry agency, has generally been less positive. This is a core element of National Forest Programmes, an approach that Finland is supporting both through FAO and at country level. While this problem occurs widely, and has been identified by FAO as a major constraint to NFP progress, it is open to Finland, using its national expertise and its own national experience of cross-sectoral coordination, to provide more focused support to this process as a means of improving the impact of its interventions. The National Forest Inventory expertise within METLA would be an obvious starting point in this as well as building on from MFA support to the FAO implemented “Sustainable Forest Management in Changing Climate” programme under the FAO NFMA programme. This is particularly relevant in the light of the monitoring, reporting and verification needs under REDD+

In this connection, the archiving within MFA was found to be sometimes lacking in key documentation. Embassies were generally better in this regard while the information held by consulting companies seems to be a neglected resource that could be more widely drawn on. Closer contact between MFA Helsinki and the consulting companies is an aspect that could be usefully reviewed within MFA.

Recommendations

Improve information systems in partner countries and also revisit MFA archive systems:

- A Where cross-sectoral coordination is poor and information systems lacking, make use of Finnish national expertise to provide improvements to both processes through targeted short term support and mentoring, including backstopping systems that allow continuous engagement over a substantial period.*
- B Review the operation of the archive system within MFA Helsinki and make better use of the documentation retained by consulting companies as required by their contracts.*

8.4 Aid Modalities

A wide range of aid modalities has been employed during the period reviewed. The relative efficiency of these appears to be more closely correlated with partner countries than with the modalities themselves. It would be useful to undertake a specific review of modalities with a view to identifying characteristics that serve as indicators for when certain modalities should be selected. It is appreciated that MFA does not have full authority in this, as partner countries’ views would also need to be considered.

As part of this review, attention should be given to the speed and efficiency of the administrative procedures and the use made of TA provided for intervention delivery and that provided by in country advisers. While these questions were only considered peripherally during the field visits, there was a considerable weight of opinion, at least in some countries, that the system was unnecessarily bureaucratic and slow, especially with getting interventions started.

Given the weight of Finnish technical expertise available in many partner countries, it is surprising that some of the findings on technical matters have not already been dealt with. It would be useful to identify the administrative burden placed on personnel appointed for their technical expertise! The high cost of technical assistance has been questioned by some partners and it would be prudent to ensure it is yielding optimal value for money.

Recommendations

Undertake a specific review of aid modalities in forestry and biological resources, in particular:

- A Consult with all relevant actors and analyse the advantages and disadvantages of different modalities with a view to identifying the more effective in various situations, noting that no one system will be ideal in all respects.*
- B Use this information to prepare a decision guide that identifies the core issues to be considered in selection of aid modalities for specific interventions in different partner countries.*
- C Review the efficiency of the current administrative system in respect of the speed of action and the level of delegation allowed.*
- D Review the use of technical assistance personnel including out-placed forest sector advisers and the extent to which they are performing their role on technical aspects and whether better use could and should be made of their main competencies.*

8.5 Finnish Added Value in Forestry and Biological Resources

Finnish added value for forestry and biological resources is substantial although its use in recent years has been more limited than in the past. In part this is due to the stronger focus at policy level but changes have now occurred that re-open further opportunities. In particular are the active plantation programmes being pursued in Vietnam, based on small-holders, and the proposals in Mozambique, Tanzania and in due course Kenya for very extensive plantation development through commercial investors and with associated smallholders.

There is good Finnish expertise relevant to both the engagement of small-holders and in terms of developing relevant guidelines and standards, which are essential if wider aims and achievements in these countries are not to be compromised. In particular the achievement of SFM remains a core goal in all partner countries, and Finland has excellent national experience of this. The use of Finnish expertise in inventory and information handling has already been noted. Training and education has been less prominent in recent years despite ongoing teaching of overseas forestry related personnel in Helsinki and Joensuu.

Given the finding of limited economic impact, Finland's expertise in wood processing at a range of scales and in efficient use of wood as a fuel may be areas that could also be usefully tapped. It is known that Jan Heino is currently engaged on a detailed study on this matter, that he is in contact with relevant people at MFA and that the findings will in due course be made public.

Recommendations

In close cooperation with the ongoing study of wider promotion of Finnish expertise internationally, undertake a review of the interventions in process and being planned in all partner countries with a view to identifying where and how best additional Finnish expertise might be applied to overcome identified bottlenecks and open new opportunities that will enhance achievement of the core aims of poverty reduction and sustainable development.

8.6 International Conventions

Closely related to this last recommendation is the question of Finland's position in respect of international forestry-related conventions. Finland has been scrupulous at the national level in meeting its commitments under these and has considerable experience of coordination of approaches to matters that relate to several sets of obligations. This is an area of weakness in many partner countries. At the same time, Finland also has capacity to assist partner countries meet their aspirations from international conventions through using its influence to ensure that the outcome of negotiations is appropriate for the needs of its partners. The discussion of REDD+ under UNFCCC is a topical example.

Recommendations

Finland should use its national expertise and experience and its respected position in international forestry-related forums to:

- A Assist partner countries to develop effective mechanisms that improve coordination across ministries and agencies in respect of international forestry-related conventions.*
- B Use its influence at international meetings to try and ensure that the needs of poorer and weaker countries are not overlooked, that the proposals are within their capacity to meet, with specified assistance where appropriate, and that those countries that have the greatest need are able to access the greatest share of benefits.*

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Core Team

Patrick Hardcastle – Team Leader

Pat Hardcastle has an unusual breadth of relevant skills and experience, which includes managing large complex evaluation exercises. He is a forester, economist and development specialist with over 40 years' experience worldwide and is a well-known and highly respected figure amongst international forestry professionals and in many forestry departments. He brings clear understanding of the linkages from forest level to policy level and works at all levels from the forest up to international policy discussions. He holds an MBA in addition to an MSc. He started his career working in the Malawi forestry department for 12 years, including seven years in charge of the forestry research institute. This was followed by 10 years university teaching in Oxford and Aberdeen before becoming a consultant. His work has included evaluation of projects and programmes for many national and international agencies and he is overall team leader of the real-time evaluation for Norway's International Climate and Forest Initiative. Interestingly, Pat was the team leader of the 2003 Evaluation of Finnish Forest Sector Development Cooperation. He has worked extensively in over 40 countries worldwide and for a wide range of bilateral donors and international agencies as well as civil society organisations.

Alex Forbes

Alex Forbes is an expert in natural resources management and biodiversity conservation as well as monitoring and evaluation. His career has mainly been in Africa and has encompassed numerous ecosystems working on long-term assignments with public sector and civil society organisations, including international agencies and management of field projects and programmes. He oversaw the development and management of the M&E programme for the UK Darwin Initiative before relocating to Kenya, where he opened the Africa office of LTS International. His evaluation experience ranges from mid-term and final evaluations of field projects to large programmes such as Darwin. Alex brings solid understanding of natural resource management and conservation at local, national and regional levels as well as the modalities of different international and bilateral donors and various agencies, including civil society organisations.

Irene Karani

Irene Karani studied wildlife management and forestry originally and has worked on natural resources management for more than 14 years. She has substantial experience of working with rural communities, especially in dryland areas in East Africa and the Horn. Her experience encompasses design, management and implementation and evaluation of projects/programmes related to poverty alleviation in arid and semi-arid areas including food security, nutrition and health, conflict management, development education, gender and environment, and community animal health care. She is fully conversant with the sustainable livelihoods framework and especially with key is-

sues relating to poverty alleviation and pastoral livelihoods. She has worked in Kenya, Uganda, Tanzania, Southern Sudan, Ethiopia, Eritrea, Puntland, Somaliland, Somalia, and Mozambique.

Kaisu Tuominen

Kaisu Tuominen is a development and M&E specialist with 10 years experience, and now an independent consultant based in Helsinki. She has a Masters degree in Social Science and strong competency in strategic planning and project cycle management including participatory M&E. She has a solid understanding of civil society strengthening programmes through her advocacy work in Finland. Kaisu has undertaken a number of evaluations including: a final evaluation of for the Trade Union Solidarity Centre in the Dominican Republic, a final evaluation of a global education project for the European Union, a final evaluation of Swedish cooperation programme in the coffee sector, a mid-term review of an adult literacy project for the Trade Union Solidarity Centre, and an evaluation of effectiveness of campaigns for Amnesty. She has worked in Mozambique, Haiti, Dominican Republic, Estonia, Sweden and Finland.

Additional Field team members

Dr Deborah Davenport

Debbie Davenport is a political scientist specialising in the study of international environmental politics and follows international environmental policy-making processes closely, including the UNFF, ITTO, and UNFCCC regimes. She has published extensively, including journal articles, book chapters, and the highly regarded book, *Global Environmental Negotiations and US Interests* (2006). Unusually, she has both practical experience of multilateral environmental negotiation processes, through her years of work as a regular reporter/editor for the Earth Negotiations Bulletin, and an understanding of negotiation at the theoretical level, through her academic research and university teaching over a period of 8 years in US and UK. As director of environmental work for the Carter Presidential Center in Atlanta, Georgia, she spent substantial time in Guyana facilitating consultations on land use. Since 2009, she has been a consultant for agencies in UK and most recently for Norway's International Climate and Forest Initiative. She was lead author for the chapter on Forests and Sustainability in the newly released IUFRO publication – *Embracing Complexity: Meeting the Challenges of International Forest Governance*.

Vera Müller-Plantenberg

Vera Müller-Plantenberg studied forestry in Freiburg, including one year exchange at Aberdeen, where she researched forestry in Scottish crofting communities in the Highlands and Islands. Following two years in the Schleswig-Holstein Forest Service to complete her studies, she spent three years in north west Zambia followed by three years working for Civil Society Organisations in Germany and one year obtaining a

certificate in GIS studies at Salzburg before returning to Zambia and Malawi, where she did short term consultancy work, including for the Malawi Forest Department and the EU Programme supporting management of indigenous woodlands for sustainable livelihood development. Following a one year certificate in GIS studies in Salzburg, Vera moved to Nicaragua for the German Development Service as Forestry Advisor to the Municipality of Bonanza and to indigenous groups on community forestry and non wood forest products.

Dr Robert Murtland

Bob Murtland has worked widely on forestry and environmental issues for 45 years. Starting his career in the Kenya Forest Department, he moved on to Malawi before returning briefly to his native Ulster, where he spent time in Local government and specialised in environmental health. His career then led him to Yemen and then Pakistan, where he developed expertise in arid zone forestry followed by 5 years for the EU in Uganda before moving to North West Frontier Province and overseeing the Forest Management Centre based in Peshawar. After his time there, developing improved forest management planning approaches, including community engagement, he moved to Sri Lanka to support a similar programme there. Most recently, in addition to numerous short term assignments on forest conservation, he was team leader of the LUXAID forestry programme in Montenegro. This programme benefited from Finnish support to the Balkans and made good use of the skills developed in remote sensing. Bob was therefore able to provide valuable insight into the uptake and impact of this support.

James Sandom

Jim Sandom has over 35 years experience of forestry and started his career in the Forest Department of the Solomon Islands followed by service in Belize, Cameroon, Bangladesh and Sri Lanka as a member of the then Corps of Specialists supported by DFID. Much of his time was spent on inventory and working with planted forests. In the mid 1990s, he joined the Soil Association as Director of their Responsible Forestry Programme. He has continued to be engaged with forest certification, most recently for Forest Stewardship Council although he returned to the Solomon Islands for two years as plantation manager and also spent four years as forestry manager for a tea company based in East Africa and Sri Lanka. Jim is currently based in Bangkok as an independent consultant and much involved in both plantations and forest certification, including standard setting and chain-of-custody, including work in both Vietnam and Laos.

ANNEX 1 TERMS OF REFERENCE

Ministry for Foreign Affairs of Finland
Office of the Under-Secretary of State
Development Evaluation / EVA-11

EVALUATION OF THE SUSTAINABILITY DIMENSIONS IN ADDRESSING POVERTY REDUCTION (89886201)

1. Finnish Development Policy

Poverty reduction was an overarching goal of the Finnish development cooperation strategy already in 1993. In the subsequent policy documents of 1996, 1998, 2001, and 2004 the emphasis on poverty reduction has also been strong. In line with the Millennium Development Goals, poverty reduction is the major objective of the current development Policy of Finland, approved by the government in 2007. It states that “eradicating poverty is possible only if progress in developing countries is economically, socially, and ecologically sustainable”. Moreover, the policy points out that development is economically and socially sustainable only, if it supports poor people and depressed areas. To achieve stable poverty – reducing economic development, measures have to be built on an economically sustainable basis. The Finnish development policy emphasizes the importance of seeking development opportunities from a comprehensive perspective. The three dimensions of sustainability, spelled out in the 2007 Development Policy of Finland, are strongly interlinked and constitute pre-conditions for effective poverty reduction. Yet, the enabling circumstances for the three sustainability dimensions to flourish and develop include essentially also democracy and rule of law, respect of human rights, and active civil society.

The global factors, in particular, the climate change and its potential consequences have been considered in the Development Policy of 2007, which puts an emphasis on the significance of climate change, environment, crises prevention, and support to peace-building processes.

Loss of biodiversity and overall environmental damage are important dimensions of the policy. Finland has a strong history in the forestry sector development cooperation. Consequently, and interlinked with biological resources, forestry sector plays an important role in the Finnish development cooperation also today. Forestry is partly linked to the energy sector, in particular to the alternative energy development, which is a novel area in the Finnish development policy of 2007. Energy and climate change are naturally also interlinked.

In food security, maintenance of the fertility of soil, and sustainable use of lands and biological resources, agriculture is in key position. Thus, in the agricultural develop-

ment, sustainable and ecological development methodologies must be employed. Similarly, fresh-water resources need to be carefully managed. It is known that appropriate management of water resources helps protecting environment and may even avert conflicts between riparian countries. Moreover, adequate access to clean water can help eliminate consequences of poverty and promote health and economic development.

The development policy of 2007 promotes strongly the concept of trade and private sector development as key drivers of economic development and poverty reduction. Free access to information and promotion of information society are seen as other key factors by enabling freedom of expression and helping democracy, and building of knowledge society.

2. The Evaluation

2.1. Objectives and Purpose

The objective of this evaluation is acquisition of an expert assessment on how the sustainable economic, ecological and social development approach, has enabled progress towards the overall poverty reduction goal of the Finnish development policy.

The purpose of the evaluation is to identify concrete results and achievements in the Finnish development cooperation, with particular reference to the sustainable development approach. The purpose is also to draw lessons from past experience, learn of novel ways of implementation, thinking or planning, and to identify immediate factors which hamper or enhance the achievement of the set objectives of development interventions.

The users of the results of the final synthesis evaluation, which draws together the evaluations of 2008, 2009, and 2010, as well as the sub-evaluations carried out within this umbrella evaluation, are decision-makers and planners of development cooperation. The individual sub-evaluations contributing to the synthesis may be used in a similar manner.

2.2. Scope

This evaluation is an umbrella-type of evaluation, which in the end synthesizes together information derived from evaluations carried out in 2008, 2009, and from those which will be completed during 2010 (Appendix 1 to the ToR), and from the two sub-evaluations under the current umbrella undertaking.

The final product of the current umbrella evaluation will be the Synthesis Evaluation report of all the components listed above. The meta-analysis type of synthesis is believed to bring about better understanding of how the sustainable development approach and its three dimensions, has been able to influence the achievement of the poverty reduction goal central to the development policy of Finland and globally.

The new sub-evaluations, which will be carried out within the framework of the current evaluation are the following:

- ❖ Finnish support to energy sector;
- ❖ Finnish support to forestry and biological resources.

Note: The following text deals with the Desk Phase of the evaluation, and the optional Field Phase of the Evaluation. The text pertinent to the Field Phase is given here for the bidders to be aware of the option and what is expected of it. However, the continuing of the evaluation from Desk Phase to the Field Phase is not automatic, but is based on a separate decision by EVA-11 and invitation addressed to the respective consultants at the juncture of available respective draft desk study reports. The field phase pertains only to the new sub-evaluations on energy sector and forestry sector, not to the synthesis evaluation.

Should it be decided that no field phase in any individual sub-evaluation be organized, these terms of reference become void with respect to reference to the field phase evaluation.

Stepwise approach

The sub-evaluations will be performed in two phases:

The Desk Study phase, which includes to a limited extent also study of other like-minded countries' evaluations on the respective topics.

Field Study Phase, which is optional and which will be decided upon by EVA-11 after the results of the desk study are available and the draft report is of satisfactory quality.

The Synthesis evaluation is run in parallel with the two theme-based sub-evaluations. The Synthesis brings together all the major information derived from the existing evaluations of 2008–2010, and from those to be completed before August–September 2009, and from those sub-evaluations performed in this evaluation. Moreover, it includes an overview of the current global development agenda. The synthesis will also make reference to other like-minded countries' development policies and focal areas of development cooperation, as well as other features relevant to the major questions of this evaluation.

Each of sub-evaluations and the synthesis evaluation will include an inception period, during which the evaluation team(s) shall prepare the methodology for the document study, the detailed evaluation questions, based on the overall evaluation questions in section 2.5., and the evaluation matrix which combines the evaluation criteria, evaluation questions, judgment criteria, indicators and the sources of verification.

The desk study phase utilizes, to a reasonable extent, interviews and questionnaires to complement the information available in the documents. The evaluators will make contact and interview the key personnel in the Ministry and in the home offices of

those consultants relevant to the implementation of the Finnish interventions in the topical areas of this evaluation.

In the desk study reports, the evaluators will give their informed opinion and argumentation on the necessity or not to extend the individual sub-evaluations to a field phase. Their judgment will be reflected against a working hypothesis for the field evaluation.

The inception phase of the field trip shall be prepared at the point of time of an acceptable draft final desk study report becoming available, provided that EVA-11 sees it feasible to proceed to the field phase. During the inception phase of the field phase, the detailed evaluation questions shall be specified, the methodology defined and the evaluation matrix prepared taking into account the information collected during the desk phase.

The field visit shall be organized in parallel between the two sub-evaluations, so as to harmonize the missions to partner countries in accordance with the requirements of the Paris Declaration. Thus the meetings with higher government offices can be organized together, not separately. The theme-based meetings of the teams will be organized then in accordance with the needs of each team.

The inception phase of the synthesis study starts parallel to the desk studies of the sub-evaluations. After the inception phase, the implementation of the synthesis study is likely to continue during the potential field phases of the sub-evaluations, amalgamating the material contained by the draft desk reports to the analysis of the existing written material.

At the point of time when the draft desk study reports are ready, there will be a workshop organized, and the feedback utilized to improve the final reports and identify possible gaps in their information. The final desk study reports are likely to be produced in tandem with the field reports. The feasibility of merging the draft final desk study reports with the field reports will also be considered at the appropriate time to avoid too many reports and to economize the working time. After the potential field trips a back-to-Finland briefing session will be organized with EVA-11.

The width and dept of the evaluation

The onus of the evaluation will be on the sustainability concept, with its three dimensions, and how it has been able to promote the achievement of the poverty reduction goal. Thus, the evaluation will look at, how the development policies have been operationalized, and what have been the modalities and factors which have brought about most effective results.

For the sub-evaluations to be comparable with the already performed ones, a time span from the year 2000 to-date will be examined.

Of particular interest and focus in the current evaluation are changes and transformations which have taken place in the planning, management, and achievement of results and impacts of development interventions with the introduction of the concepts of sustainable economic, environmental, and socio-economic development. It is important to identify any novel approaches, themes or ways of thinking or performance, and judge, whether these novel ways have been more effective in bringing about sustainable impacts/effects and results to the cooperating partners in terms of poverty alleviation.

Major sources of information

For the Synthesis, the major sources are the already finalized, those to be finalized during 2010, and the sub-evaluations to be carried out with this Terms of Reference. For the sub-evaluations, the material shall include the project cycle documentation, plans, mid-term reviews, and evaluations. At times, it might be necessary also to look at the decision-making and administration in the project cycle and the respective material.

Should the optional field studies materialize, then usual methodology (interviews, questionnaires, stakeholder group analyses etc.) will constitute additional information sources.

The 2008, 2009 and 2010 -completed evaluations (Appendix 1 to this ToR) can be accessed at: <http://formin.finland.fi> or hard copies can be obtained from EVA-11@formin.fi, with the exception of the Concessional Credits evaluation that is run parallel to this umbrella evaluation, but as an independent Endeavour. It will be completed no later than August-September 2009.

For comparison, during the desk study phase of the sub-evaluations and the synthesis, it is necessary to study evaluation literature of likeminded countries. This will be helpful in view of the optional field phase materializing in order for the evaluators to be better positioned to look at the coordination, complementarity, and cooperation dimensions in the field. Such evaluation literature can easily be located from the OECD Development Assistance Committee (DAC) open web-site, called DEREc (can be accessed via Google search machine or via the web-site of OECD: <http://www.OECD.org>).

In the synthesis evaluation the global aid architecture and trends must be discussed.

At the outset of the work, the evaluation team shall be provided with the bulk of the evaluation material collected in advance by EVA-11, as hard copy documents, lists of available documents, and documents saved to a memory stick. This arrangement will be put in place due to the limited time available to this evaluation. It is essential that the entire evaluation, including the finalization of the synthesis evaluation be completed in no later than early October 2010.

The evaluation team(s) should, in addition to the above, use their own judgment and knowledge base to harness any source of information which they deem useful to the achievement of the objectives and purpose of this evaluation. Modern ways of communication should be used, ecological and ethical principles followed, and unnecessary copying and printing avoided.

2.3. Evaluation Process

2.3.1. Invitation to tender, eligibility, and choice of scope of tenders

The stepwise approach to the current evaluation was briefly touched upon in section 2.2.

Publication of invitation to tender and information sharing session

After the publication of the invitation to tender, there will be about three weeks for interested parties to inform EVA-11 of their interest in this evaluation. Those who have expressed interest will be invited to an information sharing meeting with EVA-11, around mid-January 2010, to exchange questions and to seek clarifications on the evaluation task. The participation to this session may also be organized via a video-link, if EVA-11 is informed well in advance of such requirement.

In addition to participating in the information sharing session, there will be a period of time for written questions and answers, which is indicated in the invitation to tender.

Eligible parties

This evaluation is open to consultancy companies, research institutions, and other public and private institutions, which have significant and relevant evaluation and research experience in the topical areas of this evaluation and development issues in general. Offers from individual consultants or researchers cannot be accepted.

The synthesis evaluation may best be suited to a research institution with experience of meta-evaluation and with deep and wide understanding of development paradigm and issues. Yet, this suggestion is not exclusive, and the synthesis is open to any competent party eligible to tender.

Whole evaluation or sub-components?

Any eligible party may offer to perform the entire evaluation, including the two sub-evaluations on specific themes and the synthesis, or only one or two of the three components. The combination is to the interested party to decide.

The bidders should take into account that the evaluation of the tenders will be by component, meaning that each of the two themes and the synthesis will be assessed separately.

2.4. Timetable

The evaluation is anticipated to start no later than end of February 2010 – first days of March 2010. The final results of the evaluation, meaning the completion of the final synthesis evaluation, must be available before early October 2010. The draft final synthesis report must be ready mid-September 2010 for comments. A final evaluation seminar to present the results of the synthesis will be organized either at the point of time when the draft final report is ready, or soon after the completion of the entire evaluation. Presentation of the results of the sub-evaluations may also be considered.

The desk study phase will be done during March-April and be completed by the first week of May 2010.

The field phase of the evaluations will take place during the months of May-June 2009. A separate detailed time table will be compiled for both of the sub-evaluations. The draft reports of the field phase of the sub-evaluations must be ready before the end of June 2009. The Final reports of the sub-evaluations, combining the information of the desk report and the field report, must be ready no later than the third week of July 2010 so that the results can be utilized in the overall synthesis study.

The experts performing the synthesis evaluation and the sub-evaluations must be actively communicating between themselves to keep each other informed on their status of work. Joint meetings will be organized. Internal workshops will be organized, if deemed necessary (for an outline of the process pls. see Appendix 2 to the ToR).

2.5. Evaluation Questions

The evaluation will utilize the five OECD/DAC development evaluation criteria, relevance, efficiency, effectiveness, sustainability, and impact, as well as the additional criteria of coherence and consistency, complementarity, and coordination, compatibility, and the Finnish value-added, as appropriate.

The major applied principle in the relative weight of any of the criteria will be their presumed significance in the relationship between poverty reduction and economic, environmental and social sustainability of development cooperation interventions. The relative weight will be justified in the inception reports.

Due consideration must be given to the different tiers of development, the global policy goals (including, MDGs, the Paris Declaration and the Accra Platform) and specific concerns (including Climate Change and Adaptation and related Disaster Risk Reduction), development policies at donor and at partner country levels, including cross-cutting themes, as well as to the implementation of policies through practical development cooperation interventions. Best practices should be pointed out, if identified.

The following major umbrella evaluation questions have been prepared to ensure comparability between the different sub-evaluations and the analysis in the synthesis evaluation. The questions below are presented in no order of preference:

1. Did the respective budgetary appropriations, overall policy measures, sector policies and their implementation plans adequately reflect the development commitments of the partner countries, and those of Finland, as well as the global development agenda in general, and in particular, the major goal of poverty reduction?
2. Are the interventions responding to the priorities and strategic objectives of the cooperating party, are they additional or complementary to those done by others, or are they completely detached and stand-alone – in other words, what is the particular Finnish value-added in terms of quality or quantity or presence or absence of benefits, and in terms of sustainability of the benefits and in terms of filling a gap in the development Endeavour of the partner country?
3. How have the three dimensions of sustainability been addressed in the intervention documents, and were the aid modalities and instruments conducive to optimal materialization of the objectives of the aid intervention?
4. What are the major discernible changes (positive or negative, intended or unintended, direct or indirect) and are these changes likely to be sustainable, and to what extent these sustainable changes may be attributed to the Finnish aid interventions, or to interventions in which Finnish aid have been a significant contributing factor?
5. Have the financial and human resources, as well as the modalities of management and administration of aid been enabling or hindering the achievement of the set objectives in the form of outputs, outcomes, results, or effects?
6. What are the discernible factors, such as exit strategies, local budgetary appropriations, capacity development of local counterpart organizations or personnel, which can be considered necessary for the sustainability of results and continuance of benefits after the closure of a development intervention?
7. What has been the role of considering the cross-cutting issues of Finnish development policy in terms of contributing to the sustainability of development results and poverty reduction; has there been any particular value-added in the promotion of environmentally sustainable development?
8. Are there any concrete identifiable examples of interventions, which may be classified to be environmentally, economically and socially sustainable, which have lead to poverty reduction or alleviation of consequences of poverty?

9. Have interventions which support economic development or private sector, been able to contribute towards sustainable economic results, let alone, raising people from poverty?
10. How is the society touched upon by the development interventions taken into account in the strategic and project/programme plans, and what have been the major modalities for the society to influence and affect the development interventions and the decision-making on them?

In the evaluation matrix to be prepared during the inception phases of the desk and the field evaluations, each of the 10 evaluation questions will be assessed and the appropriate evaluation criteria be assigned to each of the questions.

2.6. Check-points and Key Deliverables

Check-points

EVA-11 will organize a number of horizontal coordination meetings with and between the evaluation team(s).

Kick-off meeting: At the onset of the evaluation, estimated as soon as the tender evaluation process has been finalized and decision reached, a kick-off meeting will be organized.

Discussion on inception reports of the desk phase: Will be organized about three weeks from the kick-off meeting.

Desk study workshop: Towards the end of the desk study phase, at the emergence of the draft final desk phase results and reports.

Results of the desk study and recommendations for the field phase: Meeting between EVA-11 and the evaluation team(s) on the basis of the draft final desk reports.

Decisions: On the basis of the draft final desk study report and results, EVA-11 will decide on the launching of the field evaluations. The decision is made no later than early May 2009 or immediately after the results of the draft desk study results are available.

Kick-off meeting on field evaluation phase: Organized immediately after decision by EVA-11 is made on the field phase.

Inception meeting of the field evaluation phase: two weeks after the kick-off meeting.

Key Deliverables

EVA-11 will approve the different reports prior to proceeding with the next steps of the work.

Desk evaluation phase:

The Sub-evaluations:

- ❖ Desk evaluation phase inception report in the electronic format. It will specify the working methods on data and information collection, and have a time schedule and work plan of the desk evaluation phase. It will describe briefly the evaluation subject and context, and validate the evaluation questions against the evaluation criteria in the format of an evaluation matrix, which will include also a limited but appropriate number of judgment criteria and the related qualitative and quantitative indicators.
- ❖ Desk evaluation phase power point supported oral report at the workshop when the desk evaluation results are emerging.
- ❖ Desk evaluation phase draft final report in the electronic format.

This report will contain the information gathered and analyzed. It will also identify the complementary information and data which is needed for the analysis, and for which field evaluation phase is proposed. The draft desk evaluation report will identify the major issues to be examined in the field evaluation phase, if deemed necessary. Annexed to the draft desk evaluation report will appear lists of documents studied. The report will describe under separate section the methodologies used in the study. The Evaluation Guidelines of the Ministry: Between Past and Future (2007) should be consulted in the preparation of the reports.

The results of the draft final desk study reports of the two sub-evaluations will be merged together with the field phase draft reports, if any field trip is organized. Otherwise, or for some other, yet unidentified reason, the final desk study reports should be prepared.

The Synthesis evaluation (desk study only):

- ❖ The Synthesis evaluation will be worked as a desk study only. It will also produce an inception report in parallel with the sub-evaluations.
- ❖ The status and results of the Synthesis evaluation will be reviewed at the major check-point meetings and workshops to check that the work is progressing according to the time schedule and for any major unresolved issues.

For all the three evaluation components (two sub-evaluations and the synthesis) to be comparable, it is necessary that the framework of the 10 major evaluation questions, spelled out in section 2.5 above, will be used. The desk evaluation reports of the sub-evaluations contain already the tentative responses to these questions. The working

hypothesis of the field evaluation phase of the sub-evaluations will be defined on the basis of the desk evaluation results. The draft desk report of the sub-evaluations will thus already suggest basic methodologies on the testing of the working hypothesis during the field phase, if field work is proposed.

Provided that EVA-11 has decided to proceed to the field evaluation phase, the following reports will be prepared.

Field evaluation phase:

- ❖ **Inception report of the field evaluation, with much of the same specifications as above in the desk evaluation inception report, including the evaluation matrix. Also the countries / regions to be visited will be identified, as well as the time table and overall work plan, including the distribution of tasks between the members of the team(s).**

It should be noted that the field visits will be harmonized between the team(s), so that visits to individual countries will be done in parallel. Embassies will be consulted if field visits will be organized.

2.7. Required expertise

The evaluation team(s) has/have proven sound knowledge of and experience in global development problematics, development policy analysis, and in practice of development cooperation in the field. Moreover, the team(s) has/have proven experienced in development evaluations and its methodologies. Working experience and evaluation experience in one or more of the major partner countries of Finland (Ethiopia, Kenya, Mozambique, Nepal, Nicaragua, Tanzania, Vietnam, Zambia) is a particular asset.

The overall evaluation contains roughly the following areas of development:

- ❖ global development agenda, development policy analysis, economics and financing, sectoral policies, aid instruments and development cooperation modalities, governance issues, capacity building, institution building, and statistics;
- ❖ poverty reduction, civil society, democracy, and other cross-cutting themes, food security, biological resources, in particular forests, environment in general, energy, and concessional credits.

The entire evaluation team should cover all these areas in a complementary way. In case of separate sub-component/synthesis evaluations, the competencies respective to the particular evaluation, must be specified and justified within the proposed teams.

A special requirement for the synthesis evaluation is that the proposed team members have earlier experience in meta-analyzing wide heterogenic material. Ability to tease out the essence and conclude the results in a compact and clear manner is a must. The final synthesis report must be easy to read even to non-specialists in development.

Oral and written fluency in English is required. In the proposed team(s) at least one senior member (in each) must be a resident in Finland and have oral and written fluency in the Finnish language.

The evaluation core teams are required to have both male and female members, and preferably also member(s) from the partner countries.

Size of the evaluation team(s)

For the evaluation to be manageable, the size of the team must be kept to a reasonable size. Should the offer concern the entire task, the synthesis evaluation and the two sub-evaluations, the core team is suggested to be no more than four persons. Local assistants or consultants may also be included as well as some junior expert(s).

2.8. Budget

The overall budget for the Desk Phase of the evaluation is 320.000 euro, which is suggested to be divided between the various sub-component evaluations as follows, with an estimate for the field phase for the sub-evaluations in the parentheses:

- ❖ The synthesis evaluation (total) 160.000 euro; a desk study only

- ❖ Energy sector sub-evaluation 80.000 euro (100.000 euro)

- ❖ Forestry and biological resources
sub-evaluation 80.000 euro (100.000 euro)

The provisional field phase is estimated to be no more than 200.000 euro, 100.000 euro for each of the two sub-evaluations. The use of this budget is subject to decision by EVA-11 after the review of the draft desk study reports.

2.9. Working Modality

The evaluation team(s) is/are responsible for organizing their work programmes and schedules of interviews. In the beginning of each phase of the evaluation EVA-11 will issue an official internal document informing all concerned in the Ministry, embassies, and the relevant stakeholders, of the starting up of the evaluation and on the names of the evaluators. For the optional field evaluation phase, EVA-11 will facilitate the contacts with the embassies and with the relevant local authorities by issuing introductory letters or draft letters to be finalized by the embassies.

The bulk of documentary has been collected in advance by EVA-11 on memory sticks or as hard copies, yet additional documentary material is needed. The contacts with the document service of the Ministry will be done through EVA-11, which requires the requests to be submitted to EVA-11 well in advance, and specified what documents are needed. The documentary service of the Ministry, will advice on the

date and time, when the evaluator(s) may visit the archives. Ad hoc sudden requests are not acceptable.

The documentation available through the open-to-all internet must be searched by the evaluators themselves.

The evaluation team(s) shall provide EVA-11 with lists of proposed interviewees before contacting them. EVA-11 will provide the necessary phone numbers and contact coordinates to the evaluators. EVA-11 is not, however, responsible to organize or coordinate meeting schedules of the evaluators.

2.10. Authorization

The evaluation team(s) are entitled to contact and discuss with persons or institutions pertinent to the evaluation(s). They are, however, not allowed to make any commitments on behalf of the Ministry.

Helsinki, 18.12.2009

Aira Päivöke
Director

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