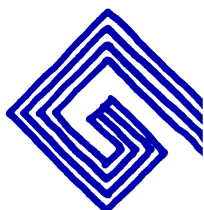


Mid-Term Review of the *Growing Forest Partnerships*



Prepared for the International Institute for Environment and
Development (IIED)

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The Environment and Development Group
41 Walton Crescent, Oxford OX1 2JQ, UK
Tel: +44 (0)1865 318180; Fax: +44 (0)1865 318188
Email: admin@edg.org.uk Web: www.edg.org.uk

This document is based on the work of Stephen Cobb, Chloé Joyeux and Julie Gale.

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List of acronyms and abbreviations

| | |
|--------------|--|
| CATIE | Centro Agronómico de Investigación y Enseñanza (Center for Tropical Agricultural Research and Education) |
| CBNRM | Community-Based Natural Resource Management |
| CG | Catalytic Group |
| CIFOR | Centre for International Forestry Research |
| CONAP | Consejo Nacional de Areas Protegidas de Guatemala (National Council of Protected Areas, Guatemala) |
| COP | Conference Of Parties |
| CREMA | Community Resource Management Areas (Ghana) |
| CSO | Civil Society Organisation |
| CTV | Centro Terra Viva (Mozambique) |
| DFID | UK Department for International Development |
| DGF | Development Grant Facility |
| DNTF | Direcção Nacional de Terras e Florestas (National Directorate of Land and Forest, Mozambique) |
| DRC | Democratic Republic of Congo |
| FAO | Food and Agriculture Organisation |
| FCPF | Forest Carbon Partnership Facility |
| FDA | Forestry Development Authority (Liberia) |
| FIP | Forest Investment Program |
| FLEG | Forest Law Enforcement and Governance |
| FLEGT | Forest Law Enforcement, Governance and Trade |
| FPIC | Free, Prior and Informed Consent |
| FWG | Forest Watch Ghana |
| G3 | The Three Rights Holders Group |
| GACF | Global Alliance on Community Forestry |
| GFP | Growing Forest Partnerships |
| GRUCANA | Grupo Catalítica Nacionais (National Catalytic Group, Mozambique) |
| GTZ | Deutsche Gesellschaft für Technische Zusammenarbeit |
| IAITPTF | International Alliance for Indigenous and Tribal Peoples of the Tropical Forests |
| ICCO | Interkerkelijk Organisatie voor Ontwikkelingssamenwerking (Inter Church Organisation for Development Cooperation, the Netherlands) |
| ICRAF | The World Agroforestry Centre |
| IFFA | International Family Forest Alliance |
| IIED | International Institute for Environment and Development |
| ILCF | Investing in Locally Controlled Forestry |
| IMFN | International Model Forests Network |
| INAB | Instituto Nacional de Bosques (National Forest Institute, Guatemala) |
| IO | Intermediate Objective |
| ITTO | The International Tropical Timber Organization |
| IUCN | International Union for the Conservation of Nature |
| LCF | Locally Controlled Forestry |
| M&E | Monitoring and Evaluation |
| MARN | Ministerio de Ambiente y Recursos Naturales (Ministry for the Environment and Natural Resources, Guatemala) |
| MCF | Mesas de Concertación Forestal (Forest Consensus Roundtables, Guatemala) |
| MICOA | Ministério da Coordenação da Acção Ambiental (Ministry of Coordination of Environmental Affairs, Mozambique) |
| MINAG | Ministério da Agricultura (Ministry of Agriculture, Mozambique) |
| MTR | Mid-Term Review |
| NFP Facility | National Forest Programme Facility |
| nfp | National Forest Programme |
| NGO | Non-Governmental Organisation |

| | |
|--------|--|
| NLBI | Non-Legally Binding Instrument |
| NTFP | Non-Timber Forest Product |
| ONFI | Office National des Forêts International (France) |
| PDO | Project Development Objectives |
| PFN | Programa Forestal Nacional (National Forest Programme, Guatemala) |
| PINFOR | Programa de Incentivos Forestales (Forest Incentives Programme, Guatemala) |
| PINPEP | Programa de Incentivos Forestales para Pequeños Poseedores de Tierra (Forest Incentives Programme for Small Land-Holders, Guatemala) |
| PNG | Papua New Guinea |
| PROFOR | Program on Forests |
| REDD | Reducing Emissions from Deforestation and Forest Degradation |
| RG | Reference Group |
| RICCE | Rural Integrated Center for Community Empowerment (Liberia) |
| RRI | Rights and Resources Initiative |
| SFM | Sustainable Forest Management |
| SPFFB | Serviços Provinciais de Florestas e Fauna Bravia (Provincial Services for Forestry and Wildlife, Mozambique) |
| TFD | The Forests Dialogue |
| UIFF | Unidad de Inteligencia Financiera Forestal (Forest Financial Intelligence Unit, Guatemala) |
| UNFF | United Nations Forum on Forests |
| UNREDD | United Nations REDD programme |
| VLTP | Validation of Legal Timber Programme |
| VPA | Voluntary Partnership Agreement |
| WBCSD | World Business Council for Sustainable Development |
| WWF | World Wide Fund for Nature or World Wildlife Fund |

Executive Summary

Background

The GFP is an initiative that proposes to help create partnerships between and amongst different stakeholders and to strengthen ways of working together for the benefit of forests and the people that depend on them. The origins of the GFP initiative lie within the World Bank (which finances the initiative through a DGF grant, originally set at US\$15 million over 3 years¹), as it tried some four years ago to define a future form of collaboration with a wide range of institutions in the delivery of its forest sector programmes. GFP has come into being at an extremely challenging time for the world's forests and forest-dwellers: the global forest-climate dialogue holds promise for forests gaining great monetary value in future climate mitigation regimes, yet the ownership of these resources and the rights of those whose livelihoods depend on them, are broadly unresolved. It is in this domain that GFP aspires to catalyse a new global dynamic.

GFP's Strengths and Weaknesses

| The GFP initiative | |
|--|--|
| Strengths | Weaknesses |
| Involvement at country-level of a mixture of international and national organisations has been stimulating | Lack of visibility – GFP should be better known both at the international and the national levels. |
| The initiative has come into being at just the right time, in relation to the global forest and climate process | Inefficient communications between the different levels of stakeholders involved |
| The genesis of this innovative idea in a world-wide consultation process gives it great authority | Too ambitious for a 3-year programme, or put another way, time-scale too short |
| Assisting forest rights holders to have a stronger voice through the formation of partnerships with others is a timely response to a widely-felt need in the forestry sector | Too diffuse and resources too thinly spread to have the anticipated impacts |
| The flexible approach to programme design has allowed unanticipated opportunities to be pursued | Objectives have not been clearly enough defined |
| GFP interventions at country level have generally fitted easily into national priorities and programmes | Stakeholders at all levels have been uncertain of the purpose and scope of GFP's intervention |
| Catalysing the creation of a new global grouping of 3 existing alliances has been productive | The flexibility of GFP's approach more resembles that of a funding mechanism than a time-bound project |
| GFP and its in-country partners have a range of valuable experiences on the establishment of national platforms for forest rights holders | GFP's bottom-up aspirations clash with the top-down rigours of its funding process and the needs of programme management |
| GFP has generated important understanding about the recurring issues of tenure, ownership and rights across its pilot countries | GFP has not yet found out how to foster effective links between newly created international partnerships and national/local ones |
| | The management structures and governance structures have been sub-optimal |

¹ This amount was later reduced by nearly \$5 million

GFP is overseen by a Catalytic Group (CG) composed of the World Bank, IUCN, IIED and the FAO, and a Reference Group (RG), whose members are stakeholders from the forestry sector. In-country programmes and activities have been developed in Ghana, Guatemala, and Mozambique (which have been visited during the review), and more recently in Liberia and Nepal.

Performance and impact

GFP programmes have been developed in 5 countries: Ghana, Guatemala, Mozambique, Liberia and Nepal. These are all at different stages of development, with Liberia and Nepal being the most recent. The performance of individual countries is variable. Guatemala, the most advanced of the country programmes, is achieving impacts through the formation of strong partnerships at the local and national levels. This has been followed by a strong impact on recently passed legislation. Ghana's progress has been slower, due in part to the already crowded forest sector in which GFP has evolved. Mozambique is achieving some impacts: new partnerships have been formed at the national level, whilst partnerships at the local level have just begun. The evolving architecture of REDD in the country also provides a likely avenue to sustainability of the GFP initiative.

GFP has made an impact in terms of international partnerships. Through the design and implementation of the ILCF and the collaboration with TFD, a potentially powerful new association of existing bodies emerged: the G3 (The Three Rights Holders Group, including the IAITPTF, the IFFA, and the GACF). Those involved in these processes are extremely positive about the seminal role that GFP (and its partner, TFD) has played in energising them, and in supporting their further work together.

The GFP M&E framework lists five expected results, each with milestones to be achieved in 2010 (half-way through the initiative) and in 2011 (at the end of the initiative).

Design, efficiency and effectiveness

- The GFP Framework Document has been evolving since July 2008, starting with IIED's Theory of Change paper, and allowing inputs from the newly-formed RG; there are differences between this and the World Bank's Results Framework, but all parties are living with the two governing documents.
- The working relationship between the CG and the RG has not yet been as collaborative as hoped: the absence of clear guidelines at the start of the GFP has particularly left members of the RG uncertain about their powers and usefulness.
- The Theory of Change, GFP's M&E framework, was designed by IIED (the M&E and communications facilitator for the GFP), using the expected results written in the Framework Document. M&E systems were not installed at the very outset in the country programmes since they had to develop around the evolving programmes of each country. This has introduced a degree of imprecision about measuring progress in the country programmes
- The GFP communications strategy, developed by the IIED, focuses on two levels: providing support to in-country partners and further developing international and inter-country communications.

The flexible approach that GFP has taken has had both positive and negative effects: on the positive side, there has been a constant spirit of debate amongst the CG membership, about what the GFP should and could aspire to do, and a freedom to make tangential shifts in direction, as opportunities to do so have arisen. On the negative side, the lack of a precise defining framework has deprived the GFP of some basic disciplines of the urgent planning and management constraints that characterise a time-bound grant.

Conclusions and lessons learned

Conclusions and lessons learned are summarised under the five general headings below:

- *Programme design and planning:* The initial global consultation process raised a number of issues, which were too many, too ambitious and too diffuse to have a chance of being adequately dealt with within a DGF-funded three-year project. The simple and slightly unstructured GFP initiative's results framework (compared to the one developed for DGF reporting), has led to both positive (constant spirit of debate amongst the CG membership, about what the GFP should and could aspire to do, and a freedom to make tangential shifts in direction), and negative impacts (mainly the lack of a precise defining framework), and has led to a series of project design discrepancies (in-country selection, baseline design, and M&E). The meeting-ground between bottom-up aspirations and top-down management has therefore not proved very efficient. If the initiative is to start a second phase, it would be advisable to find a funding model that provided greater inter-annual certainty, a longer and a more realistic time horizon, and with further consideration of the gap between ambition and resources.
- *On the formation of partnerships:* GFP has fostered a clear partnership with TFD (and from which G3 arose), in the organisation and dissemination of the outcomes of a series of dialogues on the subject of ILCF. Although this has worked extremely well (the same can be said of the G3), it seems that GFP has not, at this stage, made any strategic attempts to ally itself with other programmes that facilitate the formation of partnerships in the forest sector, nor with potential future donor partners.

In Ghana, GFP has played a useful role, without yet creating anything new; three background studies may provide a foundation for stimulating new approaches in the year to come. In Guatemala it has been difficult to distinguish whether GFP has been a real help in itself, or whether added funds would have sufficed; but a new alliance of rights-holders groups now exists and is having an evident political impact already. The lesson to be learned in Mozambique is that GFP certainly has a role to play, although its impact will depend on the future of GFP: by promoting partnerships and government involvement, GFP is in a position to trigger change, but this will take time.

- *Programme management:* An international steering committee such as the RG is a precious resource, and needs careful planning and management in advance. This was deliberately not done, so as to allow ownership by RG members. The efficacy of the RG (and the zeal of its members) is still to be optimised. After initial tensions, there is now a strong sense of shared responsibility and teamwork within the CG members, particularly amongst their designated, hands-on headquarters staff. This has been a good experience in inter-institutional collaboration, although the following can be learned: attention must be paid to potential conflicts of interest, particularly in those countries where a country office took on the GFP initiative as one of its "official" projects; useful additional insights might have been added to the work if the CG membership had been open; a clear leadership within the CG needs to evolve to address shortcomings in programme management and future fundraising.

In a process as complex as that conceived by GFP, it was unreasonable to expect the country programmes to move into smooth operational mode at a pace to match the exigencies of the short project cycle, while also imposing on them repeated uncertainties about budgetary planning. Some of the country programmes are only now doing things, which should have been completed before the end of 2009. A programme as ambitious as this one, at country level, should have given more thought at the outset to the capacities of the institutions involved, and tried harder to assess capacity constraints and needs, first of those aspiring to assist, and then of those needing their assistance.

- *Expected results:* From the five expected results, the following conclusions and lessons can be learned: (i) ambitious, innovative projects need time and are difficult to predict; (ii) it can be a

long, complicated and politically highly sensitive matter to get marginalised groups effectively involved in influencing forest governance; (iii) rights-holders are unlikely to become successful fundraisers unless they are well mentored to learn the skills of fundraising; (iv) more care should have been given to describing a set of results achievable within the resource and time limitations of the project.

- *Entry points:* Despite attempts to build platforms to allow different levels of stakeholders to communicate more efficiently, there is still a lack of communication and coherence between the different levels of the GFP. In terms of communication, it was found that GFP has a good strategy, which has yet to have the desired impact.

Recommendations

Of the options available for the GFP, it is recommended that the programme should be restructured and repositioned, to enable it to match its achievements and its potential against likely funding sources. The following specific recommendations have been made:

- R.1: Identify the GFP niche
- R.2: Clarify GFP's Vision for the Future
- R.3: Consider whether the GFP identity and brand is an asset
- R.4: Change to a demand-driven funding structure
- R.5: Clearly define GFP's support role within countries
- R.6: Strengthen support to International Alliances
- R.7: Define a process for strengthening the links between local processes and structures championing their interests at international level
- R.8: Prepare a new governance structure
- R.9: Develop a new management structure, with an accountable secretariat
- R.10: Examine problems facing the introduction of REDD in relation to community rights
- R.11: Position GFP as catalyst and facilitator of rights-holders and forest-dwellers interests in resolving REDD-related issues
- R.12: Position GFP as an investor in LCF
- R.13: Make proposals to the management of FCPF, FIP and UNREDD
- R.14: Examine potential priority countries
- R.15: Develop a parallel fund-raising strategy, to include partners outside the three forest carbon funding instruments
- R.16: Define an exit strategy

Summary of main conclusions and recommendations

Conclusions

- *Overall:* GFP is a concept that comes at the right time, and the first two years of its innovative work have revealed some important do's and don'ts about how to stimulate and strengthen partnerships for forest rights-holders and other forest stakeholders.
- *Programme design and planning:* Many issues in the project design of GFP have been identified and the meeting-ground between bottom-up aspirations and top-down management has therefore not proved as efficient as it might have been. A longer and more realistic time horizon and with further consideration of the gap between ambition and resources are crucially needed.
- *On the formation of partnerships:* GFP has fostered international partnerships which have so far been a success (particularly G3). The country programmes have differed in their approach; whilst GFP in Guatemala is proving to be a success, this has not been so in Ghana, where the crowded forestry sector has made it difficult for GFP to have real impact so far; GFP's impact in Mozambique is promising, although more time is needed for partnerships to rake root.
- *Programme management:* The management structures of the GFP could have been improved through careful planning and management in advance of the start of the initiative. Furthermore, a programme as ambitious as this one, at country level, should have given more thought at the outset to the capacities of the institutions involved, and tried harder to assess capacity constraints and needs, first of those aspiring to assist, and then of those needing their assistance.
- *Expected results:* (i) ambitious, innovative projects such as this take a very long time and are difficult to predict; (ii) it can be a long, complicated and politically highly sensitive matter to get marginalised groups effectively involved in influencing forest governance; (iii) rights-holders are unlikely to become successful fundraisers unless they are well mentored to learn the skills of fundraising; (iv) more care should have been given to describing a set of results achievable within the resource and time limitations of the project.
- *Entry points:* Despite the best attempts, there is still a lack of communication and coherence between the different levels of the GFP, which needs to be better known internationally and in the country where programmes have been implemented.

Recommendations

Of the options available for the GFP, it is recommended that the programme should be restructured and repositioned to take advantage of future funding opportunities. The recommendations are:

- R.1: Identify the GFP niche
- R.2: Clarify GFP's Vision for the Future
- R.3: Consider whether the GFP identity and brand is an asset
- R.4: Change to a demand-driven funding structure
- R.5: Clearly define GFP's support role within countries
- R.6: Strengthen support to International Alliances
- R.7: Define a process for strengthening the links between local processes and structures championing their interests at international level
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- R.15: Develop a parallel fund-raising strategy, to include partners outside the three forest carbon funding instruments
- R.16: Define an exit strategy

1. Introduction – the GFP Initiative

The GFP is an initiative that proposes to help create partnerships between and amongst different stakeholders and to strengthen ways of working together for the benefit of forests and the people that depend on them. It is overseen by a Catalytic Group (CG) composed of the World Bank, IUCN, and the FAO, with IIED having the role of facilitating and monitoring the initiative. A Reference Group (RG), whose members are stakeholders from the forestry sector, provides an oversight function. In-country programmes and activities have been developed in Ghana, Guatemala, and Mozambique, and more recently in Liberia and Nepal. The World Bank is the main funding partner of the initiative, with some co-financing coming from the other stakeholders mentioned above.

1.1 GFP’s vision and objectives

The origins of the GFP initiative lie within the World Bank, as it tried some four years ago to define a future form of collaboration with a wide range of institutions in the delivery of its forest sector programmes. A wide global consultation exercise conducted by IIED revealed that many respondents wanted a change in the way that global donors thought about alliances (essentially as top-down ones), arguing instead for bottom-up partnerships to be developed. The outcome was a grant from the World Bank’s DGF to explore new forms of partnership in the forest sector.

Project documentation shows a clearly articulated aspiration to foster bottom-up approaches. With the vision to “help create and strengthen ways of working together for the benefit of forests and the people that depend on them,” the GFP initiative and the in-country activities began in early 2009 in Ghana, Guatemala and Mozambique. An increase in activities was discussed and GFP was started in the past year in Liberia, while the Nepal programme is still in its inception phase.

GFP’s main objective is to increase the levels of support accessible to forest rights holders and stakeholders to help them secure livelihoods and maintain ecosystem services. As part of the initiative’s logical framework (as expressed in the Framework Document), the following expected results have been defined:

- i. Forest stakeholders create shared visions, actions and outcomes to strengthen partnerships among themselves and with other sectors.
- ii. Marginalised groups are actively involved in forest decision-making processes and governance improvements
- iii. Forest rights holders, managers and users succeed in accessing financing and support opportunities based on their own locally-, regionally- or nationally-defined priorities.
- iv. Local, country level and regional processes bridge the gap to international initiatives and become effective in shaping international contributions to forest issues at the country level and internationally.
- v. International institutions provide better support to participatory national efforts through improved synergies among international initiatives in-country.

1.2 Funding the GFP initiative

The GFP is mainly financed through a World Bank Development Grant Facility (DGF) grant and through co-financing from the members of the CG (the NFP Facility of FAO, the Livelihood and Landscape Programme of IUCN, and the work of the Forest Governance Learning Group of IIED); the joint initiative “Forest Connect” implemented by FAO and IIED also contributes co-financing by facilitating partnership work for small- and medium-sized enterprises in the forestry sector

After the GFP consultation process implemented by IIED, the World Bank endorsed the concept of a bottom-up forestry partnership process, and awarded US\$15 million over 3 years as a DGF grant to the GFP initiative. Although grants totalling some US\$3.8 million were allocated for the first year, the World Bank informed the members of the CG in July 2009 that grants would be US\$3.5 million for the second year and US\$3 million for the final year, thus reducing the original amount that had been anticipated by nearly US\$5 million. This steady decrease and the destabilising rules of the DGF granting process, which requires an annual bid for funds from the contractors, have created some uncertainty amongst partners as to what the future of GFP is likely to be, with a consequent lack of certainty about annual planning. This very circumscribed approach to grant management was a real challenge for the financial systems of some of the CG members (IUCN in particular) as a result of which some of the moneys were returned at the end of the first financial year. This financial rigour was at variance with the exploratory nature of the grant as a whole and the rather open-ended spirit under which the four CG member organisations committed to work together. This was also the subject of much complaint from the field, and has had a negative impact on confidence.

GFP was conceived as a process, one which would by its very nature require experimentation and exploration of relatively new approaches. Such approaches require time. During the review which follows, we will refer at a number of points to the tensions created by the juxtaposition of the short time horizons of the DGF grant and the long time horizons of the transformative processes to which GFP aspires.

1.3 Global context

The forestry world has greatly changed since the outset of GFP roughly 2 years ago, and is now faced with a number of new initiatives and processes to interact with. The forest carbon - climate change mitigation interface is now attracting multiple billions of dollars from donors worldwide, all of whom need to see improvements in the capacity of local communities to be heard, to be understood, to be engaged in future processes and to benefit from them. There is particularly a need to build REDD+ partnerships from the bottom as the involvement of different stakeholders and communities is fragmented in many of these new funding initiatives. The creation of the GFP initiative comes at a moment when there is renewed and intense global attention on the forest sector, particularly in the tropics and when the experiences, aspirations and livelihoods of forest dwellers need to be given due attention as never before. In this context, the emergence of GFP is particularly timely.

1.4 The Mid-Term Review

In July 2010, IIED commissioned The Environment and Development Group to undertake an independent MTR of the GFP initiative with the objective of “assessing GFP’s approach and performance to date with particular emphasis on its relevance, effectiveness and efficiency, options for improving the impact and sustainability of the work, and drawing out lessons to guide further work.” As requested in the terms of reference for this assignment (Annexe A), the following was carried out:

- An assessment of the approach of the GFP initiative
- An assessment of the performance of the GFP initiative to date
- Drawing out of lessons from the experience of the GFP initiative
- Making of recommendations based on the mid term review

The review was conducted between August and November 2010, starting with a desk-based review of initial documentation made available to us by IIED. Field visits started in Ghana on the 21st of September with the arrival of Dr Cobb. GFP teams and stakeholders present in Guatemala and Mozambique were visited by Ms Joyeux throughout October. The other two countries involved in the GFP initiative, namely Liberia and Nepal, were not visited. The field visits were organised by the GFP focal points and their team in each of the three countries; they were able to identify key resource persons and arrange meetings for the consultants, as well as able to organise some visits to field sites within each country. The head offices of the CG members were also visited².

In addition, a number of persons working in the forestry sector – not necessarily directly connected with GFP – were approached and interviewed to obtain independent assessments of the overall GFP rationale and approach. The names of all resource persons and the institutions they represent are listed in Annexe B. Where possible, and practical, face-to-face meetings were arranged between the consultant and all key staff in supporting the initiative, as well as other senior staff and facilitators – but where this was not possible, telephone interviews were held as an alternative. In all, a total of 96 persons were interviewed, including 6 members of the RG, 24 staff members of the four CG members and between 18 and 23 people in each of Ghana, Guatemala and Mozambique.

We consulted the documents made available to us during the visits to CG members and institutions. A list of these is to be found in Annexe C. We asked to be given a master list of all GFP documentation, but apparently this does not exist.

This document is the second draft, and has benefited from the numerous and incisive comments of the four CG partner organisations (each of which submitted consolidated comments), as well as from four members of the RG and two other reviewers, both of whom are intimately involved in GFP’s work, but not in its governance.

² IUCN in Gland, Switzerland; FAO in Rome, Italy; IIED in London, Great Britain; and the World Bank in Washington D.C., U.S.A.

2. Assessing the GFP Approach

2.1 The design process

2.1.1 The Global Forest Partnership consultation and its influence on GFP design

The World Bank commissioned IIED to conduct a global consultation process to investigate the timeliness and suitability of a new global forest partnership. The resulting report³, based on a very wide consultation, revealed that there was little appetite globally, for a top-down umbrella mechanism for uniting efforts in global forest issues, whereas there was considerable support for a mechanism that truly represented the needs and aspirations of real forest stakeholders.

The consultation process conferred substantial legitimacy on this view. The elements of the process included: multiple means of consultation (in-country teams and an indigenous peoples team, web-based interactive survey, interviews, international meetings, and amongst others, links with key journals); an agreed set of questions; consultation documents in six languages; a large number of responses (over 600); feedback to all consultees half way through, with initial findings to elicit their further reaction; and the use of an independent exploratory committee, which acted as a guide and assurance group for the process.

The work involved not only consultation but also independent assessment of partnership governance approaches, and assessment of international initiatives in forestry to ascertain gaps.

The World Bank accepted the findings (even though some of its senior staff challenged its original ideas). There were also many positive comments about the findings by groups (for example indigenous peoples groups) with very specific needs. There were also critical responses from some donors (some of which were repeated to us during this review).

Recognising that the findings suggested an organic development process (which would entail quite a long period of institutional change in somewhat 'fixed' international institutions), but understanding the potential to try a very different approach to partnership forming, the World Bank took the decision during 2008 to support a development grant intended to nurture such an approach.

2.1.2 The overall goal and challenge of GFP

In its Framework Document the GFP sets its Vision as being an initiative that helps create and strengthen ways of working together for the benefit of forests and the people that depend on them.

It further states that it "aims to reinforce the sustainable and equitable management of forests. It will do this by initiating and responding to multi-stakeholder, bottom-up

³ Towards a global forest partnership: Consultation, assessment and recommendations. IIED, July 2008

processes that develop and reinforce partnerships that strengthen the voices of forest dependent peoples and enable forest rights holders to improve their livelihoods, support the maintenance of ecosystem services and respond to newly emerging financing opportunities. The GFP initiative also aims at being a platform that links the international dialogue on forests with local needs and concerns”.

The wider aspiration to which all parties bought in, at the time of negotiation of the DGF grant, was reflected in the new title ‘*Growing Forest Partnerships*’; this was aspirational and it was apparently recognized that this was a process which would not be fully achieved through a 3-year project. This was to be a ‘*development grant*’ to allow for exploration and learning.

The challenges, as far as the design is concerned, come in the fact that all parties to the original discussions (the CG of FAO, IUCN and World Bank, supported by IIED) agreed that they were embarking on something new and exploratory, and therefore that process should predominate over product. Yet from the outset, this freedom of approach was rendered less free by the exigencies of a grant mechanism which had a precise time-bound framework and very exacting financial management rules. As we will see in the next section, it was also rendered less free by an exacting results framework that was an integral part of the World Bank’s original grant documentation.

In the review which follows, we try to recognize the dynamic tension which exists between the broader approach and aspirations of GFP and its partners, and the narrower demands of the results expected of it through contractual documentation.

2.1.3 The different planning frameworks of GFP

The design of the DGF results framework

All three of the CG members agreed to the World Bank’s DGF results framework, which was designed for the grant period from July 2008 (negotiation was already active by then, though the contract was not signed until December 2008) until December 2011. According to this agreement, GFP was designed to:

- “Enhance transparency in the roles of stakeholders in the forestry sector, thereby increasing efficiency and accountability of the resources deployed
- Foster broader and more inclusive networking and partnership structures that include a wide variety of relevant stakeholders
- Highlight the roles of forests in climate change mitigation and adaptation, harnessing the potential of reduced forest carbon emissions as an instrument to target financial resources towards rural development processes and poverty reduction
- Make measurable contributions to the achievement of the Millennium Development Goals I, VII, and VIII”

The grant agreement defined the following outcomes:

- a) “Stakeholders create and/or strengthen shared visions and committed partnerships among forest-relevant stakeholders and across sectors;

- b) GFP participant countries succeed in accessing financing opportunities from a range of sources based on informed nationally owned demand that builds upon existing local institutions and mechanisms and that enjoy broad stakeholder support;
- c) Marginalized groups are more actively involved in forest decision-making processes and governance reform processes;
- d) Local livelihoods are enhanced through the sustainable management and conservation of forests and trees;
- e) Best practices in forestry and land management are analyzed and promoted;
- f) Practical mechanisms are established to attract domestic public and private sector investment and to qualify for financial support from domestic and foreign investors, financial institutions, donor agencies, NGOs and foundations;
- g) Lessons learned, particularly with respect to multi-stakeholder engagement are incorporated into ongoing policy, legal and regulatory reform processes;
- h) Country level processes bridge the gap to international initiatives and become effective in shaping international contributions to forest issues at the country level;
- i) International institutions provide better country-level support to participatory national efforts through improved synergies among international initiatives in-country;
- j) International processes and mechanisms, in particular related to forests and climate change, better recognize and address local stakeholder needs in policy formulation and development of action programs and recognize the need for partnerships as an enabling framework.”

GFP is undoubtedly working towards the broad framework of these intended outcomes, but it is worth noting that the language used in their formulation is rather aspirational, and should probably have been chosen with more attention to feasibility in relation to the time and the resources that would be available.

The indicators presented in Table 1 are illuminating, since they represent an expression of quite precise expectations, which is rather out of harmony with the declared exploratory intent of the GFP approach. Members of the CG, including IIED, do in fact refer to those indicators in their activity reports, so they have by no means been discarded. It is not the intention of this MTR to examine these indicators and their attainment in the conventional rigorous way, because it is clear that the CG members, including the grantor, the World Bank, have together chosen to pursue the processes of partnership catalysis and in doing so, to concentrate their efforts on process, not slavish adherence to programme.

We present Table 1 as a marker, no more; to show that at the outset, in mid-2008, a structure, indicators and targets were established in conventional project language. There is a discrepancy in this: senior staff in all the four institutions involved have insisted to us on the importance to them of keeping the big picture in focus and not getting waylaid by the strictures of conventional project logic. This is admirable and unusual. Nonetheless, the project grant was crafted in terms of that conventional language.

Table 1. DGF Results Framework

| Indicators | Baseline Value | Target Values |
|--|---|---|
| <p>PDO1 Organizational implementation of the GFP in a phased approach (3 overlapping phases):</p> <ul style="list-style-type: none"> • 0-12 months: GFP development group to convene, agree on initial governance arrangements and plans; initiate 5 country/sub-regional processes; develop means to inform intergovernmental processes. • 6-30 months: 5 country/sub-regional multi-stakeholder diagnostics and vision exercises, development of menu of pilot activities based on learning, linking in knowledge and finance networks for effective 21st century forestry, assessment of international institutions re local needs. • 18-36 months: to develop full GFP operations - a menu of options for multiple countries to attract major investments, knowledge and finance networking facility, improvements in international institutions. | <p>Statement of Intent to create Partnership by initial GFP partners (31-Jul-2008)</p> | <p>Declaration of Constitution Partnership by all GFP partners (30-Jun-2011)</p> |
| <p>PDO2 Establish an integrated, inclusive partnership network under GFP to reinforce inclusive knowledge management as regards partnership process at national, regional, and international levels and between them.</p> | <p>Low degree of coordination between national and international forest stakeholders (31-Jul-2008)</p> | <p>GFP establishes a permanent mechanism to facilitate and support partnership processes and networks at all levels (30-Jun-2011)</p> |
| <p>PDO3 Develop a shared vision of forestry in the 21st century validated against international forestry initiatives</p> | <p>No coordinated vision of SFM to date that addresses current SFM challenges in a comprehensive, cross-sectoral manner (31-Jul-2008)</p> | <p>Declaration of shared vision based on country-specific diagnostics and international dialogue (30-Jun-2011)</p> |
| <p>PDO4 Implementation of activities achieving REDD in selected countries (5).</p> | <p>No REDD strategies and related implementation plans in existence (31-Jul-2008)</p> | <p>Six countries implemented comprehensive REDD pilot schemes (30-Jun-2011)</p> |
| <p>PDO5 Support the improvement of governance as related to forests (measured through proxy indices).</p> | <p>No comprehensive forest sector related governance process and related implementation plans in existence (within the five countries that have been selected for REDD pilots). (31-Jul-2008)</p> | <p>On-going process (30-Jun-2011)</p> |

| Indicators | Baseline Value | Target Values |
|--|---|--|
| IO1 Key stakeholders have constituted a formal facility with endorsed governance and management structure | Key stakeholders enter in the formation of a GFP; country diagnostics of selected countries commence (31-Jul-2008) | A broad range of international, regional, and country-specific stakeholders form a GFP facility as predecessor to the full-fledged partnership (31-Dec-2009) |
| IO2 Identification of priority themes for country-specific piloting and development of a platform to facilitate knowledge management on partnership processes | Comprehensive, shared vision for addressing new forestry management challenges has not emerged (31-Jul-2008) | Knowledge management needs for partnerships processes are identified; at least 2 events have been organized and a knowledge management strategy on partnership processes under the umbrella of the GFP has been developed and endorsed (31-Dec-2009) |
| IO3 Pilot activities to test policies under the REDD umbrella and related forest investments have been endorsed and tested for 5 pilot countries (in collaboration with FCPF and the FIP) | No country has yet implemented REDD related pilot activities (31-Jul-2008) | 4 countries are identified and are supported through partnership processes in developing Readiness Plans (31-Dec-2009) |
| IO4 Mainstream GFP activities and thematic programs into national strategies in five pilot countries | Countries have only marginally included SFM into the national development and poverty alleviation strategies (31-Jul-2008) | Five pilot countries have mainstreamed sustainable forest management and REDD strategies into their national development strategies (and others) based on country specific diagnostics and validation processes (30-Jun-2011) |
| IO5 Improved governance (forest sector governance indicators); FLEG processes have taken root in at least six countries (spread over Africa, Asia, LAC region) | No nationally comprehensive FLEG processes or action plans have been adopted (31-Jul-2008) | In at least six countries exemplary governance and law enforcement processes have been taken up and are being mainstreamed (30-Jun-2011) |
| IO6 Improved access to emerging forest financing mechanisms (e.g. FCPF, UNREDD, FIP, etc.) in at least 8 countries | Lack of national investment strategies due to low degree of ownership of priorities and needs by stakeholders (31-Jul-2008) | At least 8 countries have formulated comprehensive forest investment strategies based on identified priorities and needs; high degree of ownership by stakeholders (30-Jun-2011) |

The GFP planning framework

The GFP initiative has evolved substantially since the initial “Global Forest Partnership” idea generated by the World Bank in 2007. Simultaneously with the conclusion of IIED’s consultation report in mid-2008, discussions on the nature and the management of GFP had already started through a series of meetings and reports that emanated from them. The framework of the GFP, subsequently embodied into its “Framework Document”, evolved throughout these discussions, during which the overarching idea was transformed from the creation of a *Global Forest Partnership* to the fostering of a *Growing of Forest Partnerships*. This was not a totally easy transformation, since as late as October 2008, the document on Working Arrangements (already referred to) still refers to there being “compelling rationales for a partnership that links local, national and global efforts to tackle forest problems”, rather than the fostering of partnerships in the plural.

The framework document, like the majority of GFP’s activities and outputs, was meant to be a bottom-up process; as a result, this document is still a “working document and [is] not definitive.” It was the intention that this document would be created organically, which implied the participation of the RG (the initiative’s steering committee). Since this group of people had not been constituted at the time of grant effectiveness, it was necessary to respect due process and allow the RG to be created, then to have the time for it to make its inputs. Although doing this any other way would have distanced the RG from a sense of ownership of the direction of GFP, it did not necessarily work as a planning framework for an initiative with funding limited in time. Put another way, the slow start of the appropriation of GFP by the RG (this is discussed later), while having its positive aspects in relation to RG dynamics, also had a negative aspect in delaying the production of a usable guiding text about the initiative.

Another issue involving the Framework document is that of country selection. Despite the selection criteria described in the Framework document and the country selection matrix prepared by the GFP management team (excel document; see Annexe C), it is unclear how the countries were selected; it does not appear the selection was done using the highest scores. These criteria therefore do not provide an objective baseline, they make any quantitative evaluation difficult, and they do not predict effectively the potential country-candidates to be involved next in the initiative. Whilst GFP stresses the importance of being transparent, the methodology behind the choice of countries needs to be made more widely accessible and logical.

GFP’s initial planning was structured around the following programme of outputs and activities, which are laid out in the Framework Document:

1. GFP Internal processes established:
 - Establish GFP Governance Structure (IIED)
 - Develop GFP business plan (IUCN)
 - Establish a GFP monitoring and evaluation system (IIED)
2. Partnerships developed:
 - Develop in-country GFP activities through country dialogue (IUCN in Ghana; FAO in Guatemala; IIED in Mozambique)
 - implement a knowledge exchange between country level activities and the international forest policy dialogue (IIED)

- Design and implement a GFP international process – “investment in locally controlled forestry” (IUCN)
3. Outreach programme established:
- Communications strategy developed (IIED)
 - Continue environmental NGO, indigenous people and civil society organization consultations (IIED)
 - Grow and expand the GFP initiative (All CG members)

Although the Framework Document itself does not have a Logframe or Results Framework, we have reconstructed one below (from information already established by GFP, but in a different format), to try to ease the process of reviewing progress against objectives.

There is a discrepancy between the logframe detailed in the contracts between the World Bank and the other CG partners and the one jointly approved by the CG members and IIED (which is incorporated in the Theory of Change) which was used during the in-country M&E workshops. The CG partners are reporting to the World Bank using the World Bank approved framework, but are using a less demanding and more flexible framework of their own for implementation in the country programmes. These two frameworks have not been reconciled, which has introduced a certain degree of confusion.

Table 2. GFP logframe adapted from the Framework Document

| | Baseline ⁴ | Target/Milestone (end of 2010) | Target/Milestone (end of 2011) | Indicator | Means of verification | Risks and assumptions |
|--|---|---|--|----------------------|--------------------------|--------------------------|
| Objective | | | | | | |
| To facilitate local and international partnerships and investment that support forest rights holders and stakeholders in their efforts to secure livelihoods and maintain ecosystem services | <i>Not specified:</i> “IIED assessment, 2007 International partnerships review – in production” | <i>Not specified</i> | <i>Not specified</i> | <i>Not specified</i> | <i>Not specified</i> | <i>Not specified</i> |
| Outcomes (Expected Results) | | | | | | |
| 1. Forest stakeholders create shared visions, actions and outcomes to strengthen partnerships among themselves and with other sectors. | <i>Not specified:</i> set out in “IIED assessment, 2007 Partnerships review “ | At least three examples of active co-operation in-country between actors who have not previously collaborated | At least 6 examples of active co-operation in-country between actors who have not previously collaborated and one example of international collaboration | <i>Not specified</i> | <i>Not specified</i> | <i>Not specified</i> |
| 2. Marginalised groups are actively involved in forest decision-making processes and governance improvements | <i>Not specified:</i> “IIED assessment 2007 Possibly a need for a review on this issue to be produced?” | Active participation of rights holder groups at COP 15, via GFP support Press coverage of rights holders at COP 15 Documentation of active participation of marginalised groups in peoples diagnostics and action plans in each country | Marginalised groups active in national steering committees of GFP in each country. Greater proportion of RG members from marginalised groups. Proceedings and/or text of declarations of at least one international forest meeting or agreement reflect participation of marginalised groups supported by GFP. | <i>Not specified</i> | <i>Not specified</i> | <i>Not specified</i> |

⁴ The text in inverted commas has been taken from the GFP Framework Document, January 2010.

| | Baseline⁴ | Target/Milestone (end of 2010) | Target/Milestone (end of 2011) | Indicator | Means of verification | Risks and assumptions |
|--|---|---|--|----------------------|----------------------------------|----------------------------------|
| 3. Forest rights holders, managers and users succeed in accessing financing and support opportunities based on their own locally-, regionally- or nationally-defined priorities. | <i>Not specified:</i> "Funding review being carried out by IIED" | Contracts and reports demonstrating Pilot GFP funding allocated to specific initiatives that are locally identified | At least one example of a funding initiative that has been inspired by GFP processes and meets local priorities | <i>Not specified</i> | <i>Not specified</i> | <i>Not specified</i> |
| 4. Local, country level and regional processes bridge the gap to international initiatives and become effective in shaping international contributions to forest issues at the country level and internationally. | <i>Not specified:</i> "Existing initiatives which link processes: nfp, TFD, RRI, Katoomba" | Active participation by national actors in regional or international processes, attributable to GFP | At least one international initiative responding to local demands articulated with the support of GFP | <i>Not specified</i> | <i>Not specified</i> | <i>Not specified</i> |
| 5. International institutions provide better support to participatory national efforts through improved synergies among international initiatives in-country. | <i>Not specified:</i> "In-country diagnostics (needed?) to identify, (e.g. Ghana review) | Demonstrable participation by all CG members in each GFP in-country process | At least 3 examples of collaboration between international actors for a common objective that has been inspired by a GFP process | <i>Not specified</i> | <i>Not specified</i> | <i>Not specified</i> |

2.1.4 Theory of Change

The Theory of Change M&E framework is based on the five expected results of the initiative cited in section 1.1 above.

The M&E and Theory of Change strategies designed by IIED are elaborate and innovative. However, there has been some misunderstanding between IIED and country programmes as to their implementation. The country programmes would have benefited from training and capacity building workshops at the start of the GFP initiative. M&E training workshops have been undertaken in the last few months; yet M&E systems should have been installed at the very outset: at the very least a year earlier. The Theory of Change did not evolve out of a participatory process, approved by the majority of the involved stakeholders. The indicators developed, by trying to remain flexible, became too general, and therefore did not provide as much guidance as was needed.

It therefore seems that countries were left to their own devices in creating indicators and baselines. Not until these countries asked for guidelines and an overall strategy to enable comparison between their different initiatives, were workshops organised within each of the GFP participating countries, more or less halfway through the initiative itself. The in-country stakeholders therefore did not receive training on M&E until these workshops and it seems, from the different visits and interviews, that many of the relevant stakeholders had not understood the Theory of Change before that. Furthermore, establishing baselines was rendered more difficult as many of the activities promoted or financed by GFP were based on existing projects or initiatives.

2.1.5 Annual work planning, budgeting and reporting

The GFP has operated a consolidated system of annual work planning. In 2010, this was the Activity Schedule, while for 2011, it has slightly changed in format (linking Activities to Objectives), becoming the Workplan. This is in turn accompanied by a consolidated budget, which describes the allocation of funds between institutions, countries and broad programme categories. This budget was approved by RG members.

The format of the Activity Schedule is based around the broad headings already outlined above, in section 2.1.3, but repeated here for ease of reference:

1. GFP Internal processes established:
 - Establish GFP Governance Structure (IIED)
 - Develop GFP business plan (IUCN)
 - Establish a GFP monitoring and evaluation system (IIED)
2. Partnerships developed:
 - Develop in-country GFP activities through country dialogue (IUCN in Ghana; FAO in Guatemala; IIED in Mozambique)
 - implement a knowledge exchange between country level activities and the international forest policy dialogue (IIED)
 - Design and implement a GFP international process - “investment in locally controlled forestry” (IUCN)

3. Outreach programme established:

- Communications strategy developed (IIED)
- Continue environmental NGO, indigenous people and civil society organization consultations (IIED)
- Grow and expand the GFP initiative (All CG members)

GFP reports to the World Bank on the basis of the three grants (to FAO, IUCN and IIED), rather than on the basis of the CG structure itself (The World Bank, a CG member, does not report to itself, of course). Six monthly reports are submitted by each of these three separately, but following a common format, which has a dual structure: the first part follows the basic outline above, while the next part covers progress against the PDO Indicators and IO Indicators of the DGF grants' Results Framework (presented in Table 1 above). Each formal report is followed by a number of Annexes, reporting on individual components of the programme.

2.2 Management structure of the GFP

2.2.1 The Catalytic Group and the Reference Group

The Catalytic Group

The GFP initiative's governing structure is composed of the CG and the RG. The former is composed of the FAO, IUCN, and the World Bank, with IIED in a supporting role; its objectives were laid down in a document in October 2008⁵ and are to (i) catalyze the start-up of GFP, (ii) champion the concept, (iii) facilitate the initial phase, (iv) ensure that GFP principles are applied and adhered to, and (v) learn from country level partnerships.

Each member organisation has its own structure, strengths and approaches, with varying degrees of presence on the ground in the GFP pilot countries. This has represented one of the attractions of the GFP, inasmuch as the organisations are so very different from one another. FAO, an executive agency of the UN, has a forest programme working throughout the developing world, 90% of which is funded on contract to other donors, but which also has an enormously profound pedigree in the forest sector. Much of this has been in the production sector, rather than in social and community forestry. IUCN has a more pliable structure, answerable as it is to a membership of government agencies and NGOs, and with a reputation within the forest sector for implementing, on behalf of other donor clients, programmes of innovation and exploration. IIED has a long reputation for in-depth research in social forestry, and for dissemination of results, as well as the facilitation of communication networks in social forestry. The World Bank has, until recently, been the biggest investor worldwide in support to the forest sector, particularly in trying to support its development as a contributor to national economies.

Even with a visible presence in countries, it was recognised that the needs of supporting the GFP programme might not be met by the CG members. Thus, FAO, for example, was not counting on the technical expertise of the in-country FAO offices, but instead used the nfp Facility coaches and FAO-specific technical staff (mostly based at its head-quarters or

⁵ Growing Forest Partnerships - Working arrangements; Catalytic Group, October 2008

in the sub-regional offices) to support in-country processes. The FAO offices are mostly used for making operational decisions about GFP funds in the country, and have very little technical capacity.

Staff in the World Bank local offices, in the pilot countries, have maintained a watch over GFP activities, though the intensity of that oversight role appears to have depended on the personal interest of the staff concerned.

IUCN has been totally involved in supporting the Ghana programme, and has been a partner to the extent of its capacity in Mozambique, Guatemala and Liberia.

Membership of the CG was largely self-selecting at the outset. It was probably most efficient to keep it small, at least in the first instance. A number of institutions have a claim as strong as the current CG members to be involved, and useful additional insights might have been added to the work so far, had they been so. Indeed, it was a part of the 2010 workplan to assess the opportunities for expanding the CG with other partners.

It was also the intention at the outset of GFP's design, that the CG be just that: a catalyst that would set the programme up, support its first phase of development and then, in a logical sequence, phase out its role in the future, as other structures had grown to take its place.

The Reference Group

The objectives of the RG, the other governing body of the GFP, are to i) steer the development of the partnership concept through periodic review of progress, ii) ensure that GFP principles are reflected and adhered to in the work programme and its implementation, iii) monitor and review governance arrangements of GFP, and iv) facilitate learning from country, regional and international level partnerships.

The RG consists of 11 individuals (a twelfth has recently joined), of whom three (now four) represent the interests of countries in which GFP is active, whilst the others are drawn from regional organisations, international NGOs, donors and special interest groups. They meet at least twice a year, in meetings organised on their behalf by the CG members.

Working together

A feature of the flexible, Open Space approach adopted by the project is that it has a secretariat (provided by IIED), but no leadership. The secretariat functions have included communication and coordination, as well as the organisation of most of the RG meetings. Each CG member has its own coordinator, with a responsibility to improve internal communication within the CG. Leadership is a quality which was supposed to be gradually transferred to the countries and to the RG. This process has not yet made much progress, though it may well do so in the coming year. The CG has adopted this style in not wanting to be too institutional (visible leadership by the CG could be seen to reinforce top-downness), and because it was the original intention to engineer a gradual transfer of powers. RG members already feel that it has been too gradual.

Despite the best intentions, and not surprisingly, the initiative has been managed as a top-down project (in the involvement of contracts, project planning and administration, decision-making - until recently - about the allocation of money, and reporting). Although

the donors and implementers of the initiative have tried to remain in the background, the meeting-ground between the top-down management approach and the bottom-up ideal has not proved very efficient. When the GFP was put in place, it was stressed that “capabilities,” rather than “expectations and results” (as in normal donor-funded projects), must be considered throughout the development of the initiative. The GFP development team also realised that such a process would require a different speed of financing and programming.

The working relationship between the RG and the CG has not been as collaborative as was originally hoped; the absence of guidelines at the start of the GFP was intentional, since it was supposed that the working rules of each body would be established by themselves. In the case of the RG, the idea was that this would confer a sense of process ownership on the RG as a body. Despite this apparent freedom, members of the RG have particularly expressed dissatisfaction about the scope and some of the powers of the two respective governing bodies, most of which, they feel, are still widely managed by the CG.

2.2.2 Communication strategy

The communications strategy has four broad objectives, which are targeted towards supporting the development of partnerships. The objectives are in:

- *Communicating for consultation and engagement*, in order to stimulate and share ideas globally about appropriate forms of partnership
- *Communicating for transparency*, to ensure the greatest possible exposure to the partnership-forming ideals, and to facilitate bottom-up initiatives
- *Communicating for influence* through targeting of international fora where policies are set, and changed, and by ensuring that global media are involved and aware
- *Communicating to share information and ideas* notably through the development of appropriate communications products, both printed and electronic.

Work on these four objectives was planned in three phases: (i) the first was a start-up phase; (ii) the second included a transfer to in-country programmes, a global thematic analysis and global influence; (iii) the third phase was to lead to a formal GFP launch and full communications operations.

Each of these components has generated particular communications products, such as the Canopy of Friends, an evolving GFP website, an internal wiki to aid communication within GFP, as well as newsletters.

The strategy is well structured and appropriately conceived. Delivering it reveals how much depends on the willing participation of all partners. For example, it is proving extremely challenging to extricate stories and other material from those implementing GFP programmes in the field. Meeting minutes from the CG and RG reflect the call for materials from the project to help engage stakeholders and policy makers. The challenges have been in waiting for results that people feel confident in communicating.

The communications strategy is thus focusing on two levels: providing support to in-country partners and further developing international and inter-country communications. The overall goal of creating partnerships at different international and local levels was to

allow national and international strategies and stakeholders to communicate and collaborate more effectively.

Despite good communications products at a global level, and an excellent appreciation by IIED of the communications challenges, we have found that GFP is not yet well known within the pilot countries where it is working. Communications products within those countries are yet to gather momentum. There seems to have been indeed been some confusion between country programmes and IIED; whilst the former were waiting for guidelines or pushing for IIED to become more involved, IIED was trying to give the countries the space to decide where they wanted to go. To this date, country programmes therefore do not have specific communications strategies, and generally, not many communications products.

One positive aspect is that the GFP website, Wiki, and other promotional materials are up and running, though in some cases more slowly than intended. Here again, the strategy designed by the IIED is innovative, but has not been well communicated to other GFP collaborators; it was revealed that very few, including country partners and some RG members make use of the full range of these mechanisms. The result of this has caused misunderstandings between CG and in-country programmes, whose staff and teams have not advertised GFP as well as they might.

GFP, as it enters its third year, is approaching a crossroads, where it would like to carry on, but will not be able to without the appropriate financial support. GFP should have, and must make itself appealing to, heavyweight financial partners outside of the World Bank if it is to survive beyond 2011. A diversified financing structure will also be needed to give GFP the flexibility it needs to function effectively. This, however, can only be possible with an appropriately designed communications strategy which does what GFP itself set out to do: develop conversations “between local stakeholders and global policy makers.” This is all an integral part of the approach that has been planned: it will need to be implemented with skill and energy in 2011.

2.2.3 Implementing the M&E framework

There were several missions by IIED, the M&E and communications facilitator, to launch the in-country M&E processes during 2009. From our discussions in-country, it is not entirely clear that the purpose of these was well understood in the pilot countries. The subsequent in-country M&E training workshops were organised as a result of the partners’ demand in May 2010 to harmonise the framework between countries and to clarify its purpose. The Lessons-Learned document recently written by IIED in September 2010 states that the workshops would help these countries articulate “what change they expect to make, to identify the key steps and indicators along the route to that change and to outline mechanisms to create links between communications and M&E activities.” Although this is a reasonable initiative in itself, the feeling of the in-country partners is that these workshops should have happened a lot earlier than they did, despite the late implementation of GFP processes in some of these countries. The identification of progress indicators so late in the process therefore seems slightly at odds with the 3-year timeframe of the initiative.

IIED has tried to maintain a light touch with these exercises, wanting to stimulate as creative a local response as possible ; however, this has been misunderstood by the in-country programmes as a lack of engagement with them. The reviews of the first draft of this document have also revealed that there still remain substantially different points of view among CG members about the purpose of, and appropriate methods for the M&E process. This lack of communication, within the CG and between the CG and the countries, should therefore be resolved as soon as possible to avoid further delay and confusion. Although the individual country programmes are each so different that comparison of outcomes will be a very inexact process, it is nonetheless to be hoped that the maximum amount of between-country learning will take place, in the latter part of 2011, once the country programmes have made some more substantial progress. The M&E framework does pave the way for this, although, as we have said, it would have been better had GFP embarked on this process earlier. One of the reasons for doing that would have been to try to adopt some elements of a common approach to stakeholder involvement (including Governments) in the M&E process.

2.3 Flexibility of the GFP approach

The flexible approach that GFP has taken has allowed the partners to move within their own sphere and at their own pace. This has been realistic, in particular in the context of some of the country programmes, while not necessarily serving the initiative in terms of delivery within its 3 year timeframe. One way in which the flexibility, and consequent efficiency, of the GFP approach was to plan to build upon existing initiatives (the case in Guatemala and Liberia, but not in Ghana and Mozambique) and not create a new project structure. We will later show that this approach, in Guatemala and Liberia, seems to have paid dividends.

On another positive note, there has been a constant spirit of debate amongst the CG membership, about what the GFP should and could aspire to do, and a freedom to make tangential shifts in direction, as opportunities to do so have arisen. In this sense, project execution has included an element of constant refinement and redesign. By contrast, the lack of a precise defining framework has deprived the GFP of some basic disciplines of the urgent planning and management constraints that characterise a normal three-year project.

This open space approach has also meant that a substantial part of the GFP's lifetime was spent in defining its place within the forestry sector, and that the governance structures, particularly the RG, have been unclear as to what their role should be. It also took well over a year to develop the GFP's guiding internal text, the Framework document, though this was partly an express part of policy, to allow the newly-formed RG the opportunity to contribute to it and develop a sense of ownership of it..

This same reflective, exploratory approach has characterised some of the country programmes (notably Ghana), which have spent much of the allotted span of three years reflecting on what to do, rather than doing it.

2.4 Forming partnerships

2.4.1 GFP and international partnerships

In its original planning framework (see section 2.1.3, above) GFP indicated that IUCN would design and implement a GFP international process – “investing in locally controlled forestry (ILCF)”. To this end, it entered into an arrangement with The Forests Dialogue (TFD), a Yale University-based programme that was started 10 years ago with four core principles: to develop trust among stakeholders, to share information and perceptions, to reduce conflict, and to catalyze change in the forest sector. TFD committed to and applied those core principles to the ILCF Initiative. This collaboration was seen as ideal by the TFD Steering Committee, because TFD could lead on the first of the three core principles and collaborate with GFP to realize the last – TFD internationally and GFP locally.

Between April 2009 and December 2010, TFD convened one scoping dialogue (to define objectives and test assumptions), four field dialogues (to witness LCF first hand and to understand barriers and opportunities), and one investors’ dialogue (to understand the investors’ perspective). Roughly 300 stakeholders have engaged in this process. Two seminal discussion papers and four country background papers have also been produced. Numerous LCF and ILCF case studies have been presented and witnessed. All information developed and presented is available on the TFD website. More outputs and many outcomes will be realised by the end 2011.

This complex process of dialogue has led to the formation of the G3 Alliance (The Three Rights Holders Group, including the IAITPTF, the IFFA, and the GACF). Those involved in these processes are extremely positive about the seminal role that GFP and TFD have together played in energising them, and in supporting their further work together. One of the strengths of the GFP design is that this positive outcome was not clearly foreseen at the outset and is not listed as a potential milestone, yet the GFP approach has made it possible to support the G3, once the concept had emerged.

It is worth noting that TFD does have its detractors: more than one CG staff member drew our attention to the fact that TFD is strong on the international stage, but weak at the country level; and that its approach of fostering dialogue is creative, but leaves problems unsolved, hanging in mid-air. It is not the place of this MTR to pass judgement on TFD: simply to note that there is only so much that initial dialogues can do to assist GFP in achieving its objectives. The long road of practical engagement to foster effective partnerships should thereafter follow.

It was also pointed out to us by one of the RG members that the dynamic of the creation of the G3 arose out of the initiative of entities headquartered in Europe and North America, not in the tropics and sub-tropics. If it is perceived thus more widely, this may have an impact on how the G3 is viewed by the global forest rights holders’ communities.

It is also worth noting, in the context of the top-down bottom-up dichotomy, that the three Alliances of the G3 represent smaller organisations that are of their very nature bottom-up. But the Alliances themselves have secretariats or focal points, which facilitate top-down dialogue, of the kind that GFP has been able to foster with them. This is not an embarrassment, as it is efficient, despite starting top-down.

What the G3 does achieve, in relation to the GFP programme, is scope for the sharing of a common vision (Expected Result 1 of the GFP objectives – see Table 2 above). What the G3 can actually do about this has yet to be put to the test, since they are none of them particularly strong. Even the strongest of them, IFFA, with its roots in privately owned forests in Europe and North America, has its own capacity problems; while the GACF is clearly very weak, in capacity terms, and is a very long way from representing the interests of community forests worldwide. The Alliance of Alliances exists; becoming an effective platform is another whole new challenge.

2.4.2 Ghana

The design process and GFP composition

The facilitation of GFP activities in Ghana is in the hands of IUCN's country office (which provides financial management and reporting support, and 20% of the time of the country director). Additional support comes from the country office of FAO. No third party (NGO or other entity) was engaged to manage the GFP-funded activities.

The design process included the holding of a series people's diagnostics, which were public consultation exercises in three regional capitals. The outcome of these was that 7 major priorities were highlighted by participants, and this was included in a report, written in July 2009. This was, in a sense, the moment that defined the orientation of GFP in Ghana.

The next step was that reports were commissioned to review three major areas:

- Forest governance and mapping of forest sector reforms over the years (report completed in February 2010)
- An analysis of land tenure and tree ownership rights (report completed in July 2010)
- An analysis of private sector policy reform, as it affects forests

Together, these were all to be validated in a workshop convened for the purpose, in October 2010.

Meanwhile, IUCN's GFP facilitator had created an advisory committee, consisting of 13 people with professional interests in the forestry sector, coming from the timber industry, the government sector, local communities and NGOs. This group is a knowledgeable team, with the slight disadvantage that they mostly meet one another frequently, as they sit together on a wide range of committees and boards. This, by their own admission, blurs the work they do in the name of GFP.

Assessing gaps in partnerships before GFP

It is not clear precisely what steps were taken to assess gaps before GFP actually began its operations, or indeed to see whether or not Ghana was really a suitable country in which to test out the GFP approach. A country selection matrix had been prepared by the GFP management team, based on 14 criteria under three broad headings of: significance of forests and GFP value added; political dynamics and stakeholder demands; and operational issues. Ghana had the highest score of all the 27 countries reviewed. One

interpretation of the matrix results might have been that Ghana, with the highest score, was the country least in need of GFP intervention.

The people's diagnostic process identified at least 11 different existing initiatives that include in their work programmes the improvement of dialogue within and between different levels in the forest sector in Ghana. Their collective budgets in the forest sector over the next few years will easily exceed US\$100 million. There is little doubt that the issues of dialogue and partnership were alive and well in Ghana long before GFP arrived there.

Two principal structures have been in existence for over a decade: these are the District Forest Fora, which are open-access informal institutions, which are essentially bottom-up phenomena, allowing a voice to villages, CREMAs, the Stool (the chieftaincy), logging companies, NGOs and community based organisations, the District Forest Officer and others. They came into existence, with another name, under the British and World Bank forestry programmes of the mid-1990s. Some are extremely active, others less so. What is important is that the platforms exist, and are recognised.

Work is currently active in Western Region, supporting District Forest Forum structures as part of the FLEGT and VPA process, amply funded by the European Union.

The second structure is the National Forest Forum, which is more formal and under the secretariat of the Forestry Commission. It clearly is designed to be the conduit of a broad range of opinions (it has 50 members) into the Government, but most of those whom we asked (particularly from CSOs) felt that it is not very successful, at the moment, at influencing policy. A third structure lies between the two, that of Regional Forest Fora; these are not highly rated either.

There is an active movement, created to foster improved dialogue at the different levels, called Forest Watch Ghana (FWG). Administrative and support services to this structure are provided by the dynamic local NGO, Civic Response. This whole structure owes much of its genesis to the one Ghanaian RG member. FWG is a civil society movement, which unites NGOs and community organisations working in the forest sector. Its relations with the Government agency, the Forestry Commission, have not, in the past, always been very productive. FWG is now leading the dialogue, at national level (amongst others, with the Constitution Review Commission, currently taking evidence nationwide), about assigning ownership of trees to communities.

What is clear from this brief description is that the space into which the GFP wished to insert itself in Ghana was already extremely crowded: there was probably space for more money, but less obviously for another institution.

Appropriateness of the approach

Despite the crowded landscape of partnership formation and building capacity amongst civil society groups in the forest sector, GFP has maintained a low-key and has found some things to do which may turn out to be influential.

Looking back over the last two decades of the work of the forest sector, it is clear that the reforms have not had a very marked impact on the elevated rate of forest loss in the country. The situation of forest cover and the viability of the timber industry are both now

precarious, while twenty years ago this was not so. Looking at the impact of the reforms and trying to understand what can now be done, before it is really too late, is timely; though it is not obvious that doing this is very close to GFP's overall objectives.

Looking forward to a Ghana that is trying to respond to a REDD+ regime in the coming years, there is little doubt that resolving land and tree ownership issues through the law is of the highest priority. This, too, is an opportune issue for GFP to be addressing and it certainly corresponds to expectations made clear in the World Bank's Results Framework of February 2009. It is, however, also central to the thinking of many of the other donor-funded programmes at the moment, and it is a major undertaking, requiring financial and political resources, to say nothing of time, that are beyond the reach of GFP in its present phase. As with sector reform mentioned in the previous paragraph, it is not clear that this issue is at the heart of the partnership-forming objectives that GFP has set itself.

2.4.3 Guatemala

The design process and GFP composition

The GFP initiative in Guatemala started with the "Initial Meeting of Growing Forest Partnerships" on the 30th of June 2009. A short consultation phase (March 2009 – June 2009) was also conducted to identify the main topics that GFP would support and creating the national GFP vision and action plan.

GFP in Guatemala is linked to the FAO, IUCN, INAB and the nfp. INAB supports GFP logistically and financially, and the nfp is coordinated by INAB; because it was clear from the start that GFP activities would be build on existing platforms, it was incorporated into the nfp (facilitated by the FAO NFP) to avoid duplication of activities. The FAO and IUCN are members of the CG, and both facilitate the GFP initiative in Guatemala, although the funds are administered by the FAO.

It is certainly an advantage that the GFP initiative has been taken on by governmental institutions such as INAB and included as part of government programmes such as nfp. However, the roles of the GFP focal point and his team are divided between INAB and GFP activities, which at times are difficult to dissociate. This fusion proves to be somewhat uncomfortable at times for the personnel involved, particularly in terms of the reporting structure, which has been thought too heavy.

GFP has been incorporated as an FAO project; although this was mainly done for operational purposes, and although the technical and facilitating support comes from the GFP team in Guatemala rather than the FAO country office, the association of the GFP as an FAO project may not seem to fit with the bottom-up philosophy of the initiative. This said, however, all the relevant parties in Guatemala seemed to be comfortable with the present arrangement, and the GFP's credibility in the forestry sector is perhaps enhanced by being thus associated with a long-established international institution.

Assessing gaps in partnerships before GFP

A wide range of civil society organisations, particularly second tier community organisations, was also very active in the forestry sector prior to the start of GFP. These have been active for a number of years, and through the PINFOR forestry law, many communities in Guatemala have long been involved in the forestry sector. These

communities are organised and some are even involved in LCF schemes. It is in fact these communities, through their organisations and the National Alliance of Community Forest Organizations of Guatemala (referred throughout the text as the “Alianza”) that pushed for the PINPEP law to be passed. There is therefore a general interest and understanding on the topic of forests that has helped the development and rapid establishment of GFP activities.

The ideas involved in the GFP initiative in Guatemala were intended to build upon what already existed: the initiative was incorporated into the nfp through INAB and the FAO to avoid duplicating activities already implemented through the government programme and to build upon already existing platforms. Despite the high level of capacity of some of the actors involved, GFP has filled gaps in funding and in capacity building. Although it should be noted that GFP activities and INAB’s financial situation are in no way related, GFP was particularly timely in light of the budget reductions INAB has had to experience in the past two years.

Appropriateness of the approach

Guatemala is thought to be the most advanced in-country programme of the GFP initiative by many stakeholders. Indeed, GFP was particularly timely in Guatemala: it was able to provide the appropriate push for many of the ideas which had been struggling to get started and has managed to support a wide variety of activities in a relatively short time period.

The GFP initiative has been part of the REDD+ consultation process thought INAB, along with CONAP, MARN (the focal point), and a number of additional stakeholders. The Alianza, one of GFP’s main achievements, is also greatly involved in the advocacy process. With this process picking up speed, GFP will certainly be able to play a role in resolving land ownership issues and giving a voice to indigenous groups.

There is no doubt that the presence of GFP has helped bring about change in many areas of the forestry sector. An analysis GFP’s added value is further developed in section 3.2.2 below.

2.4.4 Mozambique

The design process and GFP composition

Mozambique, through CTV, took part in the initial consultation phase on the World Bank’s idea of a “Global Forest Partnership”. Following broad interest within the country, a GFP initiative was launched in Mozambique, with IIED as the overseeing CG member. The inception phase in Mozambique took longer than anticipated, with the implementation phase having only started in March 2010. During the inception phase, the National Catalytic Group (GRUCANA) was formed, incorporating MINAG, IUCN, FAO, the World Bank, Edouardo Mondlane University, the private sector, and various civil society organisations. Furthermore, the following pilot sites were identified: the Mecuburi and Moribane Forest Reserves and the Mahel community resource management project.

CTV became the GFP facilitator through an election process which took place within the GRUCANA. Implementation of GFP, however, is done collaboratively through the GRUCANA, whose roles include:

- i. Evaluating and approving the national plan and budget;
- ii. Evaluating and approving activities in pilot areas;
- iii. Evaluating and approving the communication strategy between different stakeholders, including national and international dissemination of GFP Initiative lessons in Mozambique;
- iv. Providing support in identifying potential partnerships (local, national and international), especially those that allow for the sharing of models of developing products of high commercial value, and of lessons on implementing payment mechanisms for forest services;
- v. Monitoring the implementation of the GFP Initiative, and contributing to identifying new financing sources so as to ensure the sustainability of the initiative in the country;
- vi. Contributing strategic recommendations to enrich international discussions and influence global policies;
- vii. Supervising the facilitating institution;
- viii. Elaborating GRUCANA norms and procedures.

The overall management of the initiative was passed from IIED to the FAO at the start of 2010 (although this was not officialised within Mozambique until July 2010), as agreed by the relevant stakeholders at the end of 2009. GRUCANA mainly sees the management institutions (IIED and now FAO) as the channel for GFP funds. The FAO country office, however, is part of the GRUCANA.

Assessing gaps in partnerships before GFP

According to the IIED consultation process prior to the start of GFP, there was wide interest within Mozambique and between different stakeholders. The land-based resources in Mozambique have been divided between DNTF and its decentralised representation in the ten provincial government services.

With the growing concern of local institutions and organisations, the “Amigos de Floresta” was formed in 2007, which identified the main challenges to implement and enforce Mozambican forestry legislation. Prior to GFP, the following platforms also existed: a Forest Forum and a CBNRM forum. The former is used for policy discussions, although according to several sources, its capacity needs to be strengthened, an activity which is included in GRUCANA’s work plan. The latter has objectives which are similar to those of GFP, although GFP emphasizes partnerships and international dialogue. A third platform is the one created as a result of the REDD process. Similar institutions are involved in all these dialogues.

Appropriateness of the approach

Despite the existing platforms, GRUCANA remains important in bringing stakeholders from different sectors together; it was particularly felt that the government’s participation showed a willingness to take the issues raised seriously at a national level.

The activities implemented and supported by GFP in Mozambique are not new. The majority of these were therefore built upon existing projects. For the actors involved (particularly those involved in GRUCANA), however, it seems that GFP has brought an increase in communication about forestry issues in the country; the forestry issues are

therefore discussed with a wide variety of actors, something that had been lacking despite the existence of some communication forums.

The Mecuburi and Moribane field activities are managed and facilitated by local NGOs (Fórum Terra and Eco-Micaia respectively), and the provincial government institutions. Although field visits were organised in Mecuburi during the MTR, the recent start of activities there makes it difficult to assess any progress made thus far. The common diagnosis, however, was that not much had happened in Mecuburi in the past decade; the GFP is at present enabling a dialogue with the provincial governments. This is certainly needed: as we discovered, government offices at different levels had different ideas about the forestry sector and GFP, which need to be reconciled for the nfp to be effective.

One issue which arose from Mozambique, but also from Guatemala, is the reporting structure that comes hand-in-hand with the GFP initiative. Stakeholders directly involved in the country programmes were somewhat displeased with the amount of time they had to set aside to produce reports. It certainly seems like a fair point, especially when the different institutions the reports are produced for are promoting collaboration and hence might be expected to find ways of accepting common reports, suitable to satisfy the needs of in-country partners as well as external ones such as the GFP itself. We understand, however, that this is in the process of being overhauled and that a new and simplified reporting process will shortly be brought into effect with the countries (it is in the process of being agreed to by all three CG members).

2.4.5 Other pilot countries

According to the Terms of Reference of this MTR (refer to Annexe A), visits were expected to be made in 3 of the 5 current GFP country programmes; Liberia and Nepal were therefore not visited as part of the MTR. These two countries are, however, included in this report since the review team was asked to “reflect on the context of GFP” in all 5 countries.

These two countries have just graduated to Tier I countries, meaning that they have been vetted for gaps where the GFP initiative could have an added value. As no visits by the MTR team were made, the review of these countries is based on the available information in the relevant documentation provided by the GFP partners (see Annexe C).

Liberia

The GFP initiative in Liberia was started very recently, in February 2010. The GFP initiative is jointly monitored by the FDA and the GFP task force, which is a subgroup of the nfp National Multi-stakeholder Steering Committee. The latter elaborated a Concept Note and work plan for the implementation of the GFP activities.

The GFP Task Force has prioritized (amongst many others) the following issues:

- a) To identify priority capacity building needs of the forestry sector, facilitate the formulation of a comprehensive strategic plan to address the identified needs and coordinate the necessary support towards the implementation of the plan.
- b) To ensure that stakeholders - most especially the forest dwelling community - are aware of the extent, economic value, appropriate harvesting techniques and efficient marketing of commercially viable NTFPs.

- c) To provide relevant information concerning decisions on forest and forest-related activities to the local communities through the established County Forest For a.
- d) To develop a regulatory framework in order to ensure that chain sawing is properly regulated and controlled to align the activity with sustainability and legality principles.
- e) To design and organise a multi-stakeholder consultation process at the Clan and District levels to link up with the County Forest Fora so as to deepen multi-stakeholder dialogue processes on forestry and forest-related issues.

During this first implementation year, these have been narrowed down further to 3, which have until now been the primary focus: (i) development of chain sawing regulations, (ii) development of a national capacity building strategy, and (iii) inventory and piloting of NTFP initiatives. A number of organisations have been selected to implement and monitor these activities: RICCE for the chainsaw regulations and Forest Cry Liberia for the other two. These issues were selected through a collaborative, multi-stakeholder taskforce, enabled by GFP; through this platform, the important forestry issues can continue to be discussed and developed through the County Forest Forums, which are participatory bodies, enabling the participation of an increased number of relevant stakeholders. Additionally, the first ever national meeting bringing together all of the Community Forestry Development Committees, and an in-depth study of their capacity needs, could not have happened without the support of GFP.

According to the documentation reviewed, the main challenge to the Liberian GFP initiative is time. A lot has been achieved in less than a year and Liberia had the advantage that the M&E workshop was conducted at the start of their GFP initiative. They therefore have been able to develop the appropriate understandings of the M&E and the communications strategies.

Nepal

The GFP initiative is still in early stages in Nepal (the contract was signed on the 23rd of August 2010) and the documentation available is limited (see Annexe C); therefore it is difficult to form an opinion on the processes happening there. A GFP Nepal consortium has been established, on a model close to those of Mozambique and Liberia. This is therefore presumably an informal acknowledgement of lessons learned in the course of establishing the other country programmes. The three main opportunities that GFP is looking into at the moment are:

- i. Enabling networks to build civic voices from below;
- ii. Undertaking diagnostic studies and analysis from rights perspectives to feed into policy debates;
- iii. Engaging with policy actors through workshops and public debates.

The GFP initiative seems to have promptly started, with an inception workshop which occurred in September 2010. However, there is some reserve, should the GFP initiative not continue on to a second phase, or should its management structure be altered, as to the future of the Nepal programme, which has now little more than a year to make an impact.

3. Assessing the Performance of the GFP Initiative

3.1 A broad view of the GFP in context

Although there are no metrics by which to make objective statements about the context of GFP, there is little doubt in our minds that it has come into being at an opportune time. The broad sweep of events in the forestry sector over the last two decades had left forest sector programmes, financed both by multilateral and bilateral donors, searching for the ingredients of success. Recipient countries were asking for fewer loans; major sectoral programmes were attracting adverse comments and were not making headway. The arrival of the new domain of forest-related climate finance instruments has given the sector a new urgency, while fundamental issues of forest governance and the ownership of and rights to the values of forests remain either unclear or the subject of intense and often bitter debate. It is to help resolve these issues, by strengthening the alliances and partnerships of those forest-dependent groups who have been least considered in the past, that GFP has come into being. It could not possibly be more timely.

Only two years into the initiative, it would be premature to pronounce on GFP's political effectiveness. Just at present, with GFP not particularly well known amongst donors, or amongst the leaders of the global forest-climate dialogue, it could not yet be judged to be politically effective. But in the year to come, it seems probable that a lot will fall into place. Positive stories about the power of new partnerships and alliances are beginning to emerge from Guatemala, Liberia and Mozambique, as well as from the G3; correctly communicated by the proponents of the GFP communications strategy, these will help to reinforce a body of evidence to show that not only is GFP at work at the right time, but it is supporting an approach that is politically the right one.

We were constantly probing to find out whether or not GFP had provided significant Added Value. This is very hard to assess, in part because of the lack of a carefully articulated baseline. It is hard also, because, as mentioned in section 2.3 above, there was a conscious decision to base GFP interventions on existing programmes. So the MTR cannot measure discrete outputs, but rather, increments (though that, too, without a measured baseline, is beyond the scope of the present MTR). But the very success, alluded to later in this section, of the Guatemala programme (and in all probability, the Liberia one at a later time too) suggests that adding to existing programmes is an efficient way of adding value. This could have been done by simply making money available, and a number of in-country interviewees said as much. But what seems to us to emerge from this is that GFP, and the money it has made available to country programmes, has indeed added value; the accompanying mentoring and technical assistance, provided through counterpart contributions from the CG member organisations, has added yet further value.

This is not to say that all GFP money has been efficiently spent to generate added value in every endeavour, or in every country programme. But on balance, as things stand at this juncture in the life of the GFP programme, it looks as though it will, by the end of 2011, have made a substantial contribution to demonstrating how strengthened partnerships amongst forest-dependent communities can contribute very positively to the political equity and governance of the forest sector in a number of countries.

3.2 Performance of the in-country programmes

The performance of the 3 countries visited, Ghana, Guatemala, and Mozambique, is assessed, despite receiving feedback from two of these that activities had barely started and the MTR was too early. As for Liberia and Nepal, the reviewers are not in a position to conduct a performance assessment since they did not visit these countries and the in-country GFP programmes are still in their infancy. Despite the risks of being somewhat subjective, an assessment of overall performance of each country team is provided following the summary using the following sliding scale:

Table 3. Sliding scale for the scoring of the GFP country programmes: Ghana, Guatemala and Mozambique

| Score | Assessment |
|-------|---|
| 4 | Impacts achieved in terms of partnerships formed and the gaining of collective strength through better communication about the needs and interests of forest dwellers and forest-rights holders, with demonstrable signs that this has been translated into tangible and widespread impact on the ground for the ultimate target group. |
| 3 | Impacts achieved in terms of partnerships formed and the gaining of collective strength through better communication about the needs and interests of forest dwellers and forest-rights holders with some tangible impact for the ultimate target group. Conditions for wider impact are favourable. |
| 2 | Impacts achieved in terms of partnerships formed. Some impact on including the needs and interests of forest dwellers and forest-rights holders. Limited tangible signs of impact for the ultimate target group. |
| 1 | Limited impacts in either the partnerships formed or the gaining of collective strength through better communication about the needs and interests of forest dwellers and forest-rights holders. No signs of tangible impact for the ultimate target group. |
| 0 | Not possible to assess overall performance |

3.2.1 Ghana

Focal areas addressed by GFP

The focal areas emerging from the People’s Diagnostics meetings have been focussed from a long-list summarised in the report of the meetings, to the topics of more detailed reports commissioned to examine the focal areas in more detail. These are:

- Land tenure and tree ownership
- Forest Governance mapping

Two other focal areas have had reports commissioned, which were not complete at the time of the review. These are a study of the involvement of the private sector and NGOs in forest governance and a study of the influence of external aid on the forest sector.

These have already been referred to in section 2.4.2.

Linkages and partnerships created

GFP has inserted itself in an unflamboyant way into the complex landscape of institutions and processes which constitute the forest sector at the moment. The way in which it has done this has been largely through its steering group, the GFP Team, which brings together representatives of: the timber industry, local communities, civil society, the Forestry Commission's Community Forestry programme, the FAO NFP Facility, the VPA/FLEGT process, the NLBI process, and international forestry sector NGOs. The steering group only meets about twice a year, its meetings are not formally minuted, and the linkages are therefore not clearly defined. Nine of the members of this GFP Team were interviewed; their views on the partnerships created are positive, inasmuch as some things have become possible because of modest sums made available.

GFP made an early entry into the REDD preparatory process, by funding a workshop. But it has not subsequently played a pivotal role in the national REDD dialogue. More broadly, GFP in Ghana is not doing any activities on investment-preparedness as are most of the other countries.

GFP has a somewhat brittle relationship with Forest Watch Ghana (FWG), the network of NGOs that is coordinated by the activist group, Civic Response. On the one hand, Civic Response's leader sits as a member of the GFP Team, and thus an essential linkage is made. On the other, FWG is extremely active in working with District Forest For a, with donor funding from a number of sources; and they feel that they will continue to be equally effective, whether GFP exists or not.

FAO NFP Facility has a positive set of links with GFP. FAO's forestry officer sits as a member of the GFP Team. GFP money is allocated by FAO Rome to the NFP Facility process in Ghana, the focus of the funds being carefully oriented towards its intended objectives. Some of these overlap with the NFP Facility, such as the creation of multi-stakeholder platforms (for example in capacity building of 10 Regional Forest Fora). GFP gives the NFP Facility more flexibility in not needing to work through the government (as the NFP Facility would otherwise do), which is instrumental when trying to promote partnerships amongst and with the weakest or voiceless groups.

Summary of GFP activities

The IUCN work plan for GFP in Ghana classifies its work under three headings: knowledge management, capacity building and field projects. No one part of the work plan is specifically related to partnerships.

The people's diagnostics was the first part of the knowledge management programme. This process was the initial way that GFP selected to sound out priorities as they were perceived around the country. By the appointment of four people to an initial steering group, who represented the interests of local communities, civil society organisations, the timber industry and the government forestry sector respectively, it was hoped that these four would not only bring their constituents to the regional and national consultation meetings, but keep them subsequently involved. The process was rounded off with the production of an overview report, synthesising the broad issues raised in the meetings.

The other reports that were commissioned, on land tenure and forest governance, constitute the remainder of the knowledge management programme. The validation workshop of October 2010 was a part of this process.

Capacity building includes the support to the Regional Forest Fora, undertaken by the FAO NFP Facility, with GFP funds; it also includes a series of round table discussions and further regional dialogue. A planned contribution to the REDD process (of awareness-raising events) has been shelved for lack of funds.

Planned field programmes, on governance issues, have also been shelved for budgetary reasons.

Achievements, progress and impact to date

An intangible achievement has been a good sense of working together, amongst a group of people representing different aspects of the forestry sector, who are already fairly familiar with each other. Several commentators felt that GFP has done a good job in re-opening dialogue between groups who had come to mistrust one another: the timber industry and civil society groups, for example; and the same civil society groups and the Forestry Commission.

Progress has been very slow: the validation workshop of October 2010 ought to have been completed a year sooner to have been optimally effective within the lifetime of the GFP grant. It was delayed so long partly because of delays in the commissioning and completion of the review documents. A consequence of the delays has been that the three-year initial life-span of GFP is two-thirds over before the exploratory phase is complete.

The slow progress may have another reason, which throws interesting light on the relationships between the granting process and implementing agencies. IUCN pointed out to the evaluators that the annual financial settlement process with the DGF made forward planning extremely difficult and also meant that the year was already well under way before IUCN and other CG partners were able to apportion budgets. In Ghana's case, an additional layer of decision-making intervenes, since its budgeting is controlled by IUCN's regional office in Burkina Faso. As a consequence of these processes, the Ghana programme did not have an approved budget in either 2009 or 2010, until June of each year.

At present it is hard to isolate GFP's impacts from those of the other well-established programmes active in Ghana's forest sector. There are three reasons for this: firstly, the establishment of the M&E framework was not undertaken at the very outset (so no baseline conditions were set, no indicators defined at that time), but rather was trialled at a workshop (one of a series conducted in mid-2010 by GFP in each of the pilot countries) in October 2010; the second reason is that the work of GFP has hung on the framework of a series of review papers, which were still not complete at the time of this review; finally, although the review papers correctly identify priority areas within the forest sector, they are areas of work that are of equal importance to all the myriad other donor programmes and initiatives active in the country: they are not specifically about using the medium of strengthened partnership as a means to increasing the power of forest-dependent communities.

Some of the members of the GFP team have spotted that GFP has not yet clearly enough defined what kind of partnership it aspires to foster or reinforce, or how it wishes the affected groups better to communicate. Focussing on this would be a very important part

of the coming year's work, if GFP Ghana is to capitalise on the goodwill and social capital it has established.

Perhaps the biggest unmet need in Ghana, which is also where GFP should be focussing in the coming year, is to provide a bridge between the local and the international: this concerns local knowledge, local aspirations, established facts and data, and using meaningful evidence at a small scale to shape policy at a large scale. This could prove a logical next step from GFP's series of review papers; an active communication and advocacy plan would need to be at the heart of this. GFP has the partners to do it, should it so choose.

At this juncture, roughly two-thirds of the way through the grant period, we would judge that GFP in Ghana is reasonably well placed to have an impact on behalf of forest dwellers and rights-holders, but that it is running way behind schedule and is going to have to be exceptionally active in the coming year if it is to realise that potential during the life-time of the present grant.

| |
|-------------------------------|
| Ghana Country Score: 1 |
|-------------------------------|

3.2.2 Guatemala

Focal areas addressed by GFP

The result of the consultation phase in Guatemala was the approval of the following areas of focus for GFP:

- a) Participation and Governance
- b) Financial Mechanisms
- c) Training, Capacity Building & Information
- d) Institutional Strengthening

Activities have been implemented in all four areas and are detailed below.

Linkages and partnerships created

The GFP initiative was largely integrated within INAB, through its different programmes, and adapted to fit into Guatemala's nfp. In this sense, it should be said that GFP has been a success in involving the government's forestry institution, with GFP having a privileged access to information in the forestry sector.

Guatemala's overall GFP organisation is slightly different from that of the other countries, as it does not have an independent steering group. The thinking and the implementation of GFP are very much done by the GFP team composed of INAB's employees; however, consultative mechanisms outside those of GFP are used to bring in stakeholders from other relevant sectors. Through the revision of the national forest agenda (Agenda Nacional Forestal), a national reference group (Grupo de Referencia Nacional) is being proposed and developed. Although GFP Guatemala has fared rather well until now without a formal national reference group (or other similar structure), this development will certainly be beneficial in terms of increased communications and collaboration between the different sectors. The linkage between the stakeholders directly involved with the facilitation and implementation of GFP activities is somewhat blurred. Although the GFP initiative is

facilitated by INAB, the FAO country office has been closely involved in activities, which may or may not be a bad thing (for further details, see section 2.4.3). The IUCN country office is also involved in the GFP, although the GFP coordinator does not report directly to this country office, as is done with the FAO.

GFP is present in the REDD+ process as a member of the technical consultation groups. However, it is unclear if GFP is represented as itself or through INAB.

Further partnerships amongst and between organisations and sectors were created as part of the GFP's activities. These are further described in the following section.

Summary of GFP activities

Under each focal area, several activities have been developed. These are briefly summarised and reviewed below.

a) Participation and Governance:

The most noticeable activity under this topic is the formation of the third-level organisation, the Alianza, which has brought together 11 second-level organisations. Their recent lobbying for the PINPEP law was therefore successful, reinforcing its importance and potential weight within the forestry sector. Although financed by the GFP until now, the Alianza will now be partly financed by ICCO, from the Netherlands. A major achievement which was achieved through lobbying by the Alianza members during a Congress hearing has been the passing of the PINPEP law.

The GFP initiative is supporting the nfp through the national forest policy and the National Forest Agenda. This activity produced a number of documents relevant to the PINFOR law, stakeholder mapping, and amongst others, the forest-industry-market strategy. Currently, the National Forest Policy is being reviewed.

Guatemala has several regional forestry roundtables made of different stakeholders along the forest production chain, some of which are more active than others. GFP has helped with training, capacity building, and project design. There has been talk of creating a national roundtable, which would act as the National Forest Forum, although the lower-level roundtables would probably need to be strengthened before the appearance of any important achievements.

Finally, GFP is supporting a number of thematic fora, which act as platforms bringing together different types of stakeholders. These include the Forests, Biodiversity and Climate Change platform, which is involved in the REDD consultation process; the Sustainable forest management and certification platform; the Indigenous Peoples' platform; and the Competitiveness platform. Some of these are more advanced than others at present.

b) Financial Mechanisms:

The biggest achievement here was the creation of UIFF. With the development of the forestry sector and the growing interest of the private sector, this instrument could become the necessary intermediary between the two.

c) Training, Capacity Building & Information:

The GFP initiative is currently supporting training programmes for members of the Alianza and the regional roundtables. Members can participate in modulated courses, and other training initiatives. The organisations are therefore given the opportunity to build their capacity through increased training.

d) Institutional Strengthening:

This work mainly focuses on INAB and their coordination with CONAP. This is certainly a step in the right direction in standardising the forest administration process both in and out of protected areas; with the INAB budget having been severely cut in the past couple years, this GFP activity will also have a role to play in its organisational restructuring.

There is therefore a large diversity of activities, on many different areas in the forestry sector. Although it is recognised that most of these are useful and linked, certain interviewees, expressed reservations towards the number of activities implemented by GFP at present; the Guatemalan initiative could therefore potentially become more efficient by refocusing its strategy on a fewer number of activities.

Achievements, progress and impact to date

The Guatemalan GFP initiative started promptly after a short inception phase. Possibly as a result, the GFP initiative in Guatemala is considered to be the most advanced at present. Amongst all the partners, and indeed in organisations not directly involved in GFP, there is a general sense of satisfaction towards what GFP has achieved so far.

Like all the other country programmes so far however, Guatemala is in need of an improved M&E strategy. Although the country team developed sets of indicators, no real baseline was established; because of this, and because GFP has intertwined itself with already existing initiatives, it is hard to determine the exact added value the initiative has had so far, particularly in terms of knowing whether GFP's added-value is principally financial or whether GFP has brought added capacity and knowledge. Interviewees were generally divided on this topic, although most agreed that GFP's added value changed depending on the activities implemented.

Some of the progress since the start of the initiative can also be attributed to its timely arrival. Indeed, all the activities or ideas that GFP is facilitating or implementing needed that financial push which they had not been able to find elsewhere. A majority of interviewees therefore agreed that activities implemented by GFP would have happened, with or without GFP, but would have taken a much longer time to develop (due to lacks of funds and capacity).

Despite these reservations, communication amongst and between different groups of stakeholders was enhanced through GFP's activities. So far, GFP's added value can certainly be seen in the creation of the UIFF and the Alianza, and in the involvement of a series of "new" stakeholders ("new" in this case refers to stakeholders who may or may not have existed before, but whose capacity and presence has been increased as a result of GFP). These "new" stakeholders include, amongst others, the roundtables and the Indigenous Authorities and Organisations Network (Red de Autoridades y Organizaciones Indígenas de Guatemala); the involvement of the latter has also brought the issue of indigenous community participation to the table.

The UIFF, along with its associated national strategy, is trying to bridge the gap between the forestry and the financial sectors. Several forest financing instruments are being developed, with bankable business plans being linked to small holders with medium size enterprises. The Alianza has and is still lobbying hard to renew the national PINFOR incentive and has supported the approval of the PINPEP. This third level organisation has brought together stakeholders from different regions of Guatemala, and from different backgrounds; their unification on certain issues has certainly proven to be a great lobbying force, which is in itself an admirable achievement.

However, although some of the activities have generated their own momentum, many still require time to become fully sustainable. The Alianza has therefore been able to find itself an additional source of financing (through ICCO), but others, such as the roundtables, are not yet in this position. It is also important to note that despite the best intentions, INAB is unlikely to be able to take over all of GFP's activities, due to budget restrictions.

One budgetary issue worth mentioning is that the mobilising of GFP resources in Guatemala has proved to be more straightforward than in other countries (Ghana and Mozambique, for example); the result has been that more has been spent here than in the other countries, thus facilitating the uptake of a broader spread of activities.

The country exchange between Peru and Guatemala may not have happened without GFP. This was organised by IUCN South America with close support of FAO, in both Peru (through support of the FAO NFP) and Guatemala, in early November 2010. Participants visited and learned about the different initiatives and processes occurring in the region of Petén and in Guatemala as a whole. Debates and discussions were encouraged throughout the visit. The participants seemed extremely pleased with their experience and lessons-learned. Such exchanges between countries could have an important impact in the future of GFP. This particular exchange is in itself also an achievement for the CG organisations involved. The GFP initiative in Guatemala, which is facilitated by FAO, therefore collaborated with the IUCN programme in Peru. Peruvians were able to benefit from GFP's ideas, particularly from the experience of Alianza members.

There are further opportunities for GFP to become more active in the REDD process, even though the MARN is the focal point. CSOs and indigenous groups should become more involved as the process evolves, which could be GFP's cue to support their efforts and improve their capacity to participate.

The experiences of the Alianza in Guatemala demonstrate the role GFP has played in catalyzing people (in individual countries) to organize themselves together and, as a result, to be able to participate in the national level policy dialogue. This success in the national policy arena holds promise for the future possibilities of these organized local rights-holders and forest dwellers to also be able to engage in international processes. For these reasons we feel able to assess that the Guatemala performance, at this stage of the DGF grant, is very positively indeed.

Guatemala Country Score: 3

3.2.3 Mozambique

Focal areas addressed by GFP

Using the consultation process, the GRUCANA developed the following specific objectives, with which they planned the activities implemented in the GFP field sites:

- a) To valorise forest services and products and determine compensation mechanisms and levels for biodiversity conservation and carbon sequestration in forest reserves and adjacent areas.
- b) To invest in increased agricultural productivity and promote the development of viable and sustainable local enterprises to reduce pressure on forests.
- c) To combine research on opportunities to develop natural products with high commercial value – such medicinal plants, cosmetic and natural food types – with interventions to build the capacities of local institutions, especially associations, so as to increase the value of forest resources and seek appropriate markets, or markets where consumers are willing to pay the premium for sustainable exploitation.
- d) To test the delegation, to local communities, of control and decision-making power on forest resources and create social and economic incentives to ensure the sustainability of these resources and their contribution to reducing the effect of converting forest lands on greenhouse gas emissions and climatic change.

Linkages and partnerships created

The project sites are administered by local NGOs: Fórum Terra, in the case of the Mecuburi site and Eco-Micaia in the case of the Moribane site. These are therefore part of the GRUCANA and are in partnership with CTV, which manages the GFP funds.

The main partnerships created through the GFP initiative in Mozambique were between GRUCANA and different levels of governmental institutions. Indeed, partnerships with and the involvement of the government has been emphasized in field sites. In the Mecuburi field site, which was the object of the field visit, it was apparent that the local government agencies are fully included in the GFP process. If the State is to devolve rights over forest reserves to communities, a strong partnership between the two is essential. At the moment, this partnership and communication is facilitated by Fórum Terra. Furthermore, local capacity within communities is relatively weak, which means time to build the necessary networks and knowledge base for true changes to be noticeable will be essential. The process has just started and it is difficult to judge how much impact this has had so far. A certain willingness and readiness to cooperate, however, can be felt in some governmental offices and amongst community members.

The success of partnerships formed within the GRUCANA has been variable depending on the stakeholders named. The DNTF's participation has been steady, which is a good sign of the government's engagement in the process; with the linking of the GFP activities to those of the nfp, the government's involvement will certainly be helpful and needed in the GRUCANA. At the moment, it is suspected that the GRUCANA's effectiveness is partly due to the enthusiasm and determination of CTV, which is at present the GFP facilitator and the group's chair. A lack of participation in GRUCANA meetings by the World Bank and FAO country offices has been commented on by other members of the group.

A contract has been signed with the FAO country office, though their relationship with CTV still remains unclear. The FAO project coordinator was absent during the visit, so some questions were unanswered. Although it is recognised the FAO country office in Mozambique has more of an administrative role, members of the GRUCANA evidently expected more from this relationship, expressing the view that they had the impression that GFP was not a high priority for the FAO office. It would be very helpful if FAO Mozambique could learn from FAO Guatemala, how this might best be more effectively done.

Although many outsiders to IIED and Mozambique have expressed their discomfort at the earlier arrangement (in which IIED was the lead agency, on behalf of the CG, in getting things started here), this was not echoed within the country, where IIED was praised for letting the Mozambican stakeholders have the space to lead the process. IIED facilitated the process of reflection on what GFP in Mozambique should be; the GRUCANA, under the facilitating leadership of CTV, then took over the implementation of the GFP's activities. First IIED, and now FAO, have been the partners enabling funds to come through, although these also play a certain role in terms of technical support (IIED still does so in M&E and communications).

Summary of GFP activities

Most of the first year of the country programme was spent on the inception phase, where two projects on community forests conservation and sustainable revenue generation, and another on lessons sharing on forestry management were approved. The GFP focused many of its activities at the provincial level, working with local government institutions.

The GFP objectives are similar to those of the Mozambican Forests and Wildlife Policy; consequently, its activities are in line with the Mozambican nfp. The activities on the national Forest Forum and the National CBNRM Forum are strengthening the overall forestry sector by increasing communication between the government and all the other stakeholders linked to the sector. Although not much progress has been made at present on these platforms for dialogue, a lessons learning exercise has been achieved on the CBNRM programmes.

Now that project implementation is underway, activities have started in Moribane and Mecuburi. The former site was not visited, and therefore activities there were not witnessed first hand. However, the NGO Eco-Micaia is currently facilitating the initiative there, in partnership with local government institutions and other NGOs. Activities include, amongst others, the involvement of community management of forests for poverty reduction, as well as the review and updating of the existing land use zoning and planning.

In Mecuburi, efforts have focused on supporting and further developing local co-management structures for the state forest services and the local communities to manage the forest reserve jointly. Although FAO was active in the area prior to 2002, the project did not last; a lessons learned assessment should have been produced, although this does not appear to have been widely disseminated. The activities are implemented by the Fórum Terra, with the collaboration of SPFFB; the internal governmental communication and sense of unity, however, seemed rather poor, which probably has a negative effect on the partnership process with local communities.

As these activities have begun very recently, time is certainly needed for those to develop and flourish; however, the capacity of local communities (at least in Mecuburi, which was the site visited during the review) certainly needs to be developed for the GFP activities to generate results.

Achievements, progress and impact to date

Field activities of the Mozambican programme started relatively late: in March 2010 (although the overall GFP programme started in 2009 with a GFP grant channelled through IIED). As the initiative is still in its infancy phase, it is difficult to assess the true impacts GFP has had in the field, or predict how much change will occur until the end of the present DGF grant-funded phase. However, activities have moved relatively fast in the short time that they have been implemented.

The structure of the GFP as a whole is good, although few institutions in the country would seem financially strong enough to carry the initiative forward should the financing of GFP stop. Because of the relative lack of capacity from the government and many local institutions, progress in Mozambique depends on the enthusiasm of the local NGOs and institutions involved in the GFP process. So far, this has been very high, particularly from CTV; further progress will therefore depend on their confidence and the continued funding of GFP. Indeed, the GFP Mozambican initiative seems too frail at the moment to be sustainable; the GRUCANA might survive depending on its members' dedication, but other activities, particularly in the field, are too new to be sustainable without GFP funding.

The GRUCANA (and therefore GFP) has been involved in the REDD consultation process through the REDD coalition, and therefore played a role in drafting the national REDD strategy. A few interviewees commented on the timeliness of the GFP approach regarding the development of the REDD+ process in Mozambique, and the GFP pilot sites were indeed chosen as REDD+ sites. These same interviewees were very enthusiastic about GFP's participation, even saying that the GRUCANA and the REDD coalition were essentially the same. If the GRUCANA did participate in the REDD process as a result of the GFP capacity strengthening, it is indeed an important achievement, particularly in bringing together stakeholders from MINAG (the agricultural ministry, which includes the DNTF, and who is responsible for forests outside protected areas), MICOA (the environment ministry and the REDD+ focal point), the private sector and CSOs. However, there are still communication issues amongst stakeholders.

An opportunity for GFP to improve communication and involve a larger number of stakeholders therefore exists; this would be particularly important as consultations on the ground start; GFP's involvement with local stakeholders and community leaders could be beneficial to the consultation process.

The Mozambican initiative, despite having started recently, should have had a baseline developed before the start of activities. The M&E workshop would seem to have been too late. Although no delays in the activities were mentioned as a result, it is also worth mentioning that the FAO funds only came through in July 2010, when the contract between CTV and FAO was signed. Another delaying factor, which has been mentioned, is the slow pace of information which has been flowing from the CG members to country programmes. A budget figure was apparently not issued until late 2009, during the Buenos Aires RG meeting, even though country programmes had been expected to produce

budget plans. Despite the start of activities, the GRUCANA, and particularly CTV, have therefore been very careful not to raise expectations; the reasons for this are uncertainties about time, and whether GFP will actually go on to a second phase, and the availability of financial resources. This has been a prudent strategy on their part.

The GFP initiative in Mozambique is recognised to have brought an added value in the formation of intra- and extra-sectoral partnerships, although these have so far mostly been local. There is still a lack of evidence pointing at GFP's role in bridging the local with the international. But GFP, through the efforts of CTV, the GRUCANA, and the CG partners working with them, has established a useful base for dialogue and for field experience, which will, if sustained, be capable of making a real impact in the future.

Mozambique Country Score: 2

3.3 Current preoccupations

With in-country processes having just started in Liberia and GFP being in its inception phase in Nepal, GFP is now mainly looking to consolidate its existing partnerships before the official end of its current funding phase⁶ According to the 2011 GFP work plan, the initiative will now focus on GFP's internal governance structure, elaborating a business plan and a monitoring system, investing in ILCF, improving the communications strategy, strengthening and growing the GFP working network, as well as the development of in-country activities, including knowledge exchange and lessons-learned, quality assurance and accountability.

These are all sensible things to be doing in the final year of the present grant, though we will comment on the relative urgency of them in section 5 of this report.

3.4 Overall performance of the initiative according to its expected results

This section assesses the overall performance of the initiative using the 5 expected results and the milestones described through the Theory of Change documentation produced by the IIED. The progress made against those milestones and a qualitative assessment of the degree to which these are likely to be met is assessed using a scoring system.⁷ We note again, that this is an MTR and not a Final Evaluation, and we therefore do not expect GFP to have achieved its final expected results at this juncture. But it is not unreasonable to suppose that, with just over one year to run, the initiative should be showing signs of whether or not the results will in the end be achieved.

⁶ Growing Forest Partnerships: Summary of Lessons Learned 2009-2010. IIED, September 2010.

⁷ This has been adapted from "Blomley, T. (2009) Evaluation of the work of the Forest Governance Learning Group 2005-2009. *Acacia Consulting*. Project prepared for the IIED."

The scoring system to which we refer is defined as follows:

Table 4. Sliding scale for the scoring of the milestones associated with the GFP's expected results

| Score | Assessment |
|-------|---|
| 5 | Milestone likely to be completely met or has been completed. The milestone is completely in line with the Expected Result. |
| 4 | Milestone likely to be largely met and good progress has been made towards its completion. The milestone is related to the Expected Result, although somewhat indirectly. |
| 3 | Milestone likely to be partly met. The milestone is somewhat related to the Expected Result. |
| 2 | Milestone likely to be met to a very limited extent. The milestone is very distantly related to the Expected Result. |
| 1 | Milestone unlikely to be achieved and no progress have been made. The milestone is not related to the Expected Result. |
| 0 | Impossible to say whether there has been any progress to meet the milestone or whether it is related to the Expected Result. |

Only scores for the 2010 milestone are given. Although comments are included on the progress and the likely achievement of the 2011 milestones, the reviewers are of course not in a position to conduct a performance assessment prior to the end of the GFP initiative in 2011.

3.4.1 Strengthening partnerships

| Expected Result 1: Forest stakeholders create shared visions, actions and outcomes to strengthen partnerships among themselves and with other sectors | | |
|--|---|--------------|
| Milestones | Progress | Score |
| <p>2010</p> <p>At least three examples of active co-operation in-country between actors who have not previously collaborated</p> | <p>Examples of cooperation between the private sector and the government or NGOs involved in the forestry sector have occurred in Mozambique within the GRUCANA and in Guatemala as a result of the UIFF.</p> <p>The Alianza certainly merits a mention here: although some of the 2nd level organisations had indeed collaborated before the creation of the Alianza, others involved had not. This new collaboration has led to the approval of the PINPEP law, which illustrates the influence the Alianza has developed through new partnerships.</p> <p>Although the Liberia programme was not visited by the consultants, new partnerships have been described in the diverse literature about the initiative.</p> <p>Although many partnerships have been created within the GFP context, many of the stakeholders had collaborated with each other at some point or another.</p> | 4 |
| <p>2011</p> <p>At least 6 examples of active co-operation in-country between actors who have not previously collaborated and one example of international collaboration</p> | <p>With new programmes being developed in Liberia and Nepal, and with the development of the others (particularly Mozambique which has just recently started), there is a strong likelihood that this milestone will be achieved.</p> <p>The international milestone has already been passed, through the creation of the G3 Alliance.</p> | |

3.4.2 Including marginalised groups

| Expected Result 2: Marginalised groups are actively involved in forest decision-making processes and governance improvements | | |
|---|--|--------------|
| Milestones | Progress | Score |
| <p>2010</p> <p>Active participation of rights holder groups at COP 15, Copenhagen, via GFP support</p> <p>Press coverage of rights holders at COP 15</p> <p>Documentation of active participation of marginalised groups in peoples diagnostics and action plans in each country</p> | <p>The first two milestones have been met (though they are poorly articulated to the result), and the third is partially met.</p> <p>Following the COP 15, there has been no follow-through, either in terms of reporting or in terms of attendance at further events.</p> <p>It has not been evident in the relevant documentation that the country programmes, or the overall GFP initiative for that matter, have taken into account the issue of marginalised people. The main example at present is that of some of the 2nd level organisations (e.g. COMANGLAR) of the Alianza which include landless communities.</p> <p>Representatives of marginalised groups did take part in the diagnostic process in Ghana, though the follow-up has dwindled.</p> | 3 |
| <p>2011</p> <p>Marginalised groups active in national steering committees of GFP in each country</p> <p>Greater proportion of RG members from marginalised groups</p> <p>Proceedings and/or text of declarations of at least one international forest meeting or agreement reflect participation of marginalised groups supported by GFP</p> | <p>These milestones are quite realistic and could no doubt be achieved in the remaining time of this phase of GFP. However, a greater focus on this issue would need to be present, particularly in-country programmes, where this has not been dealt with specifically.</p> | |

3.4.3 Financing opportunities

| Expected Result 3: Forest rights holders, managers and users succeed in accessing financing opportunities based on their own locally-, regionally- or nationally-defined priorities | | |
|--|---|--------------|
| Milestones | Progress | Score |
| <p>2010</p> <p>Contracts and reports demonstrating Pilot GFP funding allocated to specific initiatives that are locally identified</p> | <p>It should be noted that this milestone is internal to GFP and does not address the expected result, which we understand to mean requires finding new funding outside the GFP initiative.</p> | 2 |
| <p>2011</p> <p>At least one example of a funding initiative that has been inspired by GFP processes and meets local priorities</p> | <p>There has been progress in its direction: the UIFF in Guatemala could therefore enable access to funding opportunities between the private and the forestry sectors.</p> <p>Identifying adequate sources of finance is lengthy: in Guatemala, possibilities had to be discarded due to time constraints.</p> | |

3.4.4 International participation

| Expected Result 4: Local, regional and country level processes bridge the gap to international initiatives and become effective in shaping international contributions to forest issues at the country level and internationally | | |
|---|--|--------------|
| Milestones | Progress | Score |
| <p>2010</p> <p>Active participation by national actors in regional or international processes, attributable to GFP</p> | <p>This milestone is somewhat similar to the ones in section 3.4.2 above; this milestone was therefore achieved by the participation of national actors at the COP 15. National stakeholders have also attended the World Forestry Congress that took place in Buenos Aires in 2009.</p> <p>This milestone, however, is not a good indicator of how the Expected Result would eventually be achieved. It takes more than participation to become effective on the international scene.</p> | 4 |
| <p>2011</p> <p>At least one international initiative responding to local demands articulated with the support of GFP</p> | <p>This milestone could be achieved during the course of 2011 and would be a good indicator of attainment of this result.</p> | |

3.4.5 Country-level support

| Expected Result 5: International institutions provide better country-level support to participatory national efforts through improved synergies among international initiatives in-country | | |
|---|---|--------------|
| Milestones | Progress | Score |
| <p>2010</p> <p>Demonstrable participation by all CG members in each GFP in-country process</p> | <p><u>Ghana</u> - IUCN, with FAO and IIED participation</p> <p><u>Guatemala</u> - FAO, with IUCN participation</p> <p><u>Mozambique</u> - FAO (recently transferred from IIED)</p> <p><u>Liberia</u> - FAO, with IUCN participation</p> <p><u>Nepal</u> - IUCN</p> <p>There has been a certain level of variability in the participation of CG members, although all have had some level of input into the country programmes.</p> <p>The Expected Result ought to be about more international institutions than just the CG members. If this is so, this milestone will not achieve the Expected Result.</p> | 3 |
| <p>2011</p> <p>At least 3 examples of collaboration between international actors for a common objective that has been inspired by a GFP process</p> | <p>One example of collaboration between international actors is illustrated with the G3.</p> <p>The same concerns as above are valid for this milestone: that it will not lead to the achievement of the Expected Result.</p> | |

4. Lessons Learned

4.1 GFP's strengths and weaknesses

Table 5. Strengths and weaknesses of the GFP initiative

| The GFP initiative | |
|--|--|
| Strengths | Weaknesses |
| Involvement at country-level of a mixture of international and national organisations has been stimulating | Lack of visibility – GFP should be better known both at the international and the national levels. |
| The initiative has come into being at just the right time, in relation to the global forest and climate process | Inefficient communications between the different levels of stakeholders involved |
| The genesis of this innovative idea in a world-wide consultation process gives it great authority | Too ambitious for a 3-year programme, or put another way, time-scale too short |
| Assisting forest rights holders to have a stronger voice through the formation of partnerships with others is a timely response to a widely-felt need in the forestry sector | Too diffuse and resources too thinly spread to have the anticipated impacts |
| The flexible approach to programme design has allowed unanticipated opportunities to be pursued | Objectives have not been clearly enough defined |
| GFP interventions at country level have generally fitted easily into national priorities and programmes | Stakeholders at all levels have been uncertain of the purpose and scope of GFP's intervention |
| Catalysing the creation of a new global grouping of 3 existing alliances has been productive | The flexibility of GFP's approach more resembles that of a funding mechanism than a time-bound project |
| GFP and its in-country partners have a range of valuable experiences on the establishment of national platforms for forest rights holders | GFP's bottom-up aspirations clash with the top-down rigours of its funding process and the needs of programme management |
| GFP has generated important understanding about the recurring issues of tenure, ownership and rights across its pilot countries | GFP has not yet found out how to foster effective links between newly created international partnerships and national/local ones |
| | The management structures and governance structures have been sub-optimal |

This list of strengths and weaknesses is by no means exhaustive and has not been developed in the conventional context of a project planning workshop. GFP stakeholders could no doubt add to both lists. Making partial use of the strengths and weaknesses described above, a series of lessons has been derived and is presented in the following sections. In developing this list, we have deliberately avoided drawing on the GFP's own Lessons Learned document, submitted to the RG Meeting in Guatemala by IIED in October 2010. The reason for this is to try to retain our own objective assessment of the lessons thus far learned.

4.2 Programme design and planning

4.2.1 The influence of the origins of the project on its design

Forestry stakeholders throughout the world expressed a belief (during the IIED global consultation exercise) that there is a need for a bottom-up approach within the sector as a new form of collaboration. This implied a global change in the way donors think about alliances of rights-holders and about the interests and views of marginalised forest dwellers.

- It is to be noted that, in contrast to this belief, some donors expressed their concerns to us about the original survey design and treatment of results, despite the care that was taken by IIED to retain objectivity, that we have described in section 2.1.1. This has coloured these donors' views about GFP.
- Whilst the DGF was used, for pragmatic reasons, as the funding mechanism to launch GFP, this raised concerns among some who are familiar with its operating procedures. It is not thought of by them to be a suitable financial instrument for this kind of initiative, with its duration being too short and its scale being inappropriate.
- There are rapid changes afoot in the global forest sector, provoking a need to see improvements in the communication and engagement capacity of local communities: there are expectations that land tenure and tree ownership issues will be resolved, as a result of more articulate and more vocal alliances of forest interest groups. Yet the solutions to the challenges of how to get to that point are not yet known.

The global consultation process raised an enormous number of issues, many of which found their way into the original project design. But they were too many, too ambitious and too diffuse to have a chance of being adequately dealt with, within the three-year project.

The lesson to learn from this (in particular in relation to the DGF's results framework and the IIED-led Theory of Change exercise) is to invest more time in a structured project planning process, even when the philosophy of the project is to be at once experimental and loosely structured. The reach of the consultation process was colossal and threw up more ideas than could possibly be tackled in a single three-year project.

4.2.2 A flexible approach to programme design and planning

With the apparent sanction of the initiative's donors and managers, the programme has worked within horizons set both by the DGF's original results framework, and another, simpler and less structured framework devised by the GFP team, in its Theory of Change discussion paper. This has removed discipline, but in its place has created a fertile debating chamber. There have been consequences, from which lessons can be learned:

- Positive impacts of the "open space" approach have included the fact that there has been a constant spirit of debate amongst the CG membership, about what the GFP should and could aspire to do, and a freedom to make tangential shifts in direction, as opportunities to do so have arisen. In this sense, project execution has included an element of constant refinement and redesign.

- Negative impacts of the “open space” approach have included the lack of a precise defining framework. This has deprived the GFP of some basic disciplines of the urgent planning and management constraints that characterise a normal three-year project. Although GFP was conceived to be the antithesis of a normal three-year project, the inescapable fact is that it bears a lot of the hallmarks of such a mechanism (annual budgeting and planning cycles; tough financial management constraints; no opportunity for prolongation after three years).
- Despite its bottom-up aspirations, the GFP initiative is mainly managed as a top-down project (contracts, project planning and administration, decisions about the allocation of money, reporting): the meeting-ground between these two has not proved very efficient as bottom-up approaches necessarily take time, and should certainly be planned over a longer time-period than 3 years. The predominance of top-down decision-making has been the subject of much critical comments to the MTR team by members of the RG.

There seems to be a lack of coherence between the ideal of the bottom-up approach and the involvement of the CG within the different countries. In a true bottom-up approach, the communities and the national implementing organisations involved should indeed be the ones making the important decisions, including those on the sustainability of GFP in their country and thus on its lifetime. The lesson here seems to be that, despite the best intentions, the GFP initiative is not a complete bottom-up process, and still requires some time to become one.

4.2.3 Baseline analysis

A baseline description of the situation before a project starts its intervention is a prerequisite for the monitoring of the efficacy of project interventions. No such preparatory work was done, which makes formal or quantitative assessment of project success rather difficult. This was in part an inevitable consequence of the project’s free-form initial design, in which great freedom was given to each country to develop a programme to suit their own perceived priorities. Prescriptive baseline-settings would have been hard to reconcile with this approach.

Some examples of this kind of challenge are given here:

- Despite a formal process of criterion development to choose countries (described in the Framework document), it is unclear how the scores generated for the list of countries were used, other than that the CG made it clear that it wished to intervene in a spread of countries, with a range of experiences and potential. These criteria therefore do not provide an appropriate baseline; they make any quantitative evaluation difficult; and they do not predict effectively the potential country-candidates to be involved in any future expansion of the initiative. Whilst GFP stresses the importance of being transparent, the methodology behind the choice of countries needs to be made more widely accessible and logical.
- The use of existing programmes in order to avoid unnecessary duplication is very commendable; however, this has created difficulties in assessing the baseline of the country programmes, and causes difficulties in assessing whether GFP has had any true added value. The usefulness of the M&E framework has been compromised by a

lack of objective description of the baseline situation before each of the different GFP interventions was started. This applies both at country and international levels.

- There is a long-standing and energetic history of the creation of local platforms for forest sector dialogue in Ghana. Whilst those that have been coordinating the dialogue process were pleased enough to have GFP and its money as a partner, it was expressed to us that GFP activities were already being carried out before it arrived. To that extent, a baseline could have been deduced in Ghana, even if it was not formally described as part of a project results framework-setting exercise.

The lesson to be learned from this is one of choice: if you want a programme whose outcomes you wish to be able to measure, you must have a description of the starting conditions, against which changes can be measured. If there is not time for this, or if other issues at the outset seem more important, this semi-scientific resource, based on measurement, is going to be lost in favour of more subjective judgements.

4.2.4 Time and resources

The bold ambitions of GFP include making big changes to the architecture of the forest sector, and increasing the relative importance of the opinions and experiences of forest-dwelling and forest-dependent rural communities. These ambitions need to be set against the realities of implementation, and some lessons drawn from this:

- Some CG members expressed surprise at the fact that the life-span of the DGF grant was only three years; they had apparently gone into the original discussions in 2008 believing that the period would be longer, and set the scope of the proposed interventions accordingly. What appears to have happened thereafter is that the duration of the grant was shorter than some had anticipated, yet their ambitions remained the same while the time for achieving them did not.
- Rural transformations cannot generally be brought about in the lifetime of a three-year project. This shortness of time is heard as a cry from all the field programmes most of whom felt uncomfortable at being expected to do too much in too little time and with too little money. Widespread concern was expressed (particularly within the pilot countries) about this.
- If the initiative is to start a second phase, it would be advisable to find a funding model that provided greater inter-annual certainty and a longer and more realistic time horizon: the rules of the DGF are too rigid and too time-restrictive to be well suited to the growth of any bottom-up initiative.
- Another potential destabilising factor would seem to be the start of new programmes halfway through the initiative. With no certainty as to the future of GFP (particularly in terms of funding) and decreases in the overall funding of the initiative, it seems unrealistic to have embarked belatedly on implementing new field programmes, such as in Nepal. This generates a real risk of imprudently raised expectations, if, for example, it proves impossible to find future funding to support all of the present GFP in-country activities
- Another resource issue raised by many was the reduction of the DGF grant by one third, by comparison with the initial expectation of US\$15 million.

The lesson to be learned from this is that it would have been prudent for the CG members, the World Bank included, to have looked more clearly at what could be realistically

expected of the programme in the three years and within the financial limits allotted to it. It did not help that those limits were reduced: nonetheless it would have been expedient to examine the cloth more closely before cutting the coat.

4.3 On the formation of partnerships

4.3.1 International partnerships

Effective international partnerships might be classified in a number of ways, and different lessons learned from each. GFP might itself have formed operational or strategic alliances, to improve the efficacy of its own operations; and it might have fostered the formation of other alliances, between organisations independent of it. Clearly, it is the latter group which ought to be of the greatest significance, and which would respond to the objectives of GFP.

It was never the intention that the CG would endure beyond this first phase, nor that it would itself be one of the partnerships that would be grown as a result of the GFP. Nonetheless, one of the consequences of the close work together in the CG will surely be that FAO, the World Bank and IUCN, with IIED alongside them, will in future have stronger working relations, an easier understanding of each others' operational strengths and weaknesses, and a greater probability of collaboration on related programmes in the forest sector.

Lessons to be learned include the following:

GFP operational alliances

- It has fostered a clear partnership (which it has funded) with TFD, in the organisation and dissemination of the outcomes of a series of dialogues on the subject of ILCF. This has clearly been extremely fruitful and the partners understand one another extremely well (the number of people who simultaneously wear GFP and TFD hats predispose them to do so).
- Through appointments to the RG, it has made implicit links with staff from a number of influential international institutions, but the overall impact of doing this is rather unclear. The composition of the RG seems to have been influenced by pragmatism, rather than by a recognition of the desirability of creating partnerships, through a wide range of means (including Board membership, for example).
- A number of our interviewees expressed concern about this, regretting that there has not been a more considered approach to structuring and forming operational alliances by GFP, with other networks (such as the IMFN) and with regional bodies (such as those present in each of the major tropical-forested continents).

GFP's own strategic alliances

- It seems that GFP has not, at this stage, made any strategic attempts to ally itself with other programmes that facilitate the formation of partnerships in the forest sector, nor with potential future donor partners. This seems an oversight, but could usefully become the object of strategic attention over the coming year.

The lesson is that GFP's management should be looking around actively to find partners with comparable ambitions and programmes, who can, by working together, get closer to achieving their ambitions in favour of disadvantaged and voiceless forest-dwellers. We offer some suggestions, in the Recommendations section (section 5 below), as to how this might be done.

External strategic alliances catalysed by GFP

- Arising out of the TFD dialogue series, funded by GFP, has been the creation of the G3. The very close links that already existed (through Steering Committee membership) between TFD and some of the leading staff of two CG members (IUCN and IIED), have led some to say that the G3 is as much a TFD outcome as a GFP one. The whole ILCF dialogue process will have cost US\$700,000 by the end of 2011 and these will have been GFP funds. It would be fairer to say that, as in the best partnerships, neither could have done it without the other.
- A number of opinions were expressed to us that the dialogue process was itself unsatisfactory, being relatively expensive, not necessarily involving the right stakeholders at each of the events, and leading to the catalysis of an Alliance of Alliances that may, in the end, not prove to be as well-rooted to the ground as its constituent bodies profess. Several concerns were expressed to us about the representativity of one of the alliances, the GACF.
- Although in its very early stages, with very little tangible yet to show for it, the signs (as they seem to the MTR reviewers) are that the G3 Alliance should be capable of becoming an important force. There appears to be a high degree of mutual respect and shared expectations among the partners in the endeavour. This is certainly one of the kinds of partnership that GFP originally aspired to catalyse.

One lesson is that creating this particular form of partnership has incurred high costs and carries high risks, but both of those were in the experimental spirit of the GFP. Time will tell whether the costs and the risks were worth it.

4.3.2 In-country partnerships

It has been difficult to reach a shared vision and to have mutually understood expectations within the CG at the country level. One of the unresolved areas seems to be the extent to which Government should be involved, to ensure the lasting impact of interventions. The overall objective of GFP is to reach out to those groups who, unlike Governments, have great difficulty in articulating their needs with respect to the forest and their livelihoods. Finding the correct approach to improving the dialogue is something which will necessarily vary according to the mutual trust that exists between Government and civil society in any particular country. Some of the CG members are inclined towards a close relationship between GFP and Government, others less so. Some of the lessons which emerge from this include the following:

Ghana

- The Ghana programme has been very good at networking, and has operated in a professional atmosphere of mutual trust and collective engagement. If there are turf wars, they were not too evident. On the contrary, GFP was widely accredited with having reopened dialogue between certain Government, private sector and NGO actors who had learned previously to mistrust each other. It has performed this facilitation

role well, though it has not created any new partnerships. These are already legion in Ghana.

The lesson from this is that, as GFP itself has recognised from the outset, one cannot be too prescriptive. GFP has played a useful role, without creating anything new. This praise is somewhat faint, since the same results could almost certainly have been achieved with energy, good personal chemistry and money, but without GFP.

Guatemala

- The Guatemala in-country programme has certainly achieved a lot since the onset of GFP. The accounts from the field were unanimously positive, which suggests that stakeholders, both those involved and not involved with GFP, have recognised its utility and the positive results generated.

The lesson to be learned from this is that many processes in Guatemala did indeed need a catalyst (both financial and technical) to set or reset them in motion. However, nothing was absolutely new. A reflection at the country level could usefully occur in 2011 to understand whether GFP has been a real help because of its structure, or whether its funds alone would have sufficed.

Mozambique

- Because the Mozambican country programme is relatively recent, the partnerships formed are still very young. Partners still need to generate their own momentum through the GRUCANA and the field projects, and institutions need to be strengthened, if the GFP is to have any real impact. However, the relevant stakeholders are very positive about the GFP initiative despite some reserves on their expectations beyond 2011.

The lesson to be learned here is that GFP certainly has a role to play in Mozambique, although its impact will depend on the future of GFP; the processes that have been started in Mozambique will not be sustainable in the long-term without some additional financial resources of some sort. The GFP initiative, by promoting partnerships and government involvement, is in a position to trigger change, but this will take time.

4.4 Programme management

4.4.1 Reference Group and Catalytic Group management and objectivity

Within the Reference Group

- The Terms of Reference of the CG and the RG were not drawn up with sufficient precision at the outset, which led to a lengthy period of disaffection by RG members who felt (and some still feel) that they have effectively no powers, particularly in budgetary decisions. To this day, RG members express the view that their function is merely cosmetic.
- The view of this from within the CG is that it would have been inappropriate to be too definitive about the RG at the outset: it was necessary to allow the RG members the freedom to turn it into something that had their own stamp on it.

- RG members observed that those who represent their institutions on the CG are paid by GFP to do so (their salaries or part-salaries and overheads are paid by GFP), while they who sit on the RG, are not. This seems to them to be unfair. They feel that their contributions to GFP are very cheap, by comparison with those of the CG.
- It is unclear at the moment who should be a member of the RG; until now, pilot countries have been represented (as have other groupings and interests). The lack of a clear view of membership, and the lack of representation of regional bodies on the RG, has attracted adverse comment from within the present RG.
- It is also unclear what would restrict the proliferation of RG membership (and associated costs), should more countries be added in future.
- Despite these concerns, the sense is that the RG, after a very slow start, is now increasing in effectiveness and in assurance about its role. Those who attended the most recent RG meeting in Guatemala were very positive about it.

The lesson from this is that an international steering committee of this stature is a precious resource, and needs careful support, including proper governing documents defining its role, scope, powers and renewal arrangements.

Within the Catalytic Group

After initial tensions, there is now a strong sense of shared responsibility and teamwork within the CG members, particularly amongst their designated, hands-on headquarters staff. This has been a good experience in inter-institutional collaboration. The collegial spirit at the HQ level has masked some other issues, from which lessons need to be learned:

- Representatives of the four CG member organisations within pilot countries showed a variety of attitudes to the GFP process, ranging from intense commitment to complete indifference. It would be helpful, in any future engagement of this kind, for a more even-handed approach by partners to take root.
- Conflicts of interest (between a role of manager and that of supervisor) could have arisen in those countries where a country office took on the GFP initiative as one of its “official” projects; this was perceived to be a problem for the first year in Mozambique. Both CG and RG members expressed disquiet to us about the mixed role of IIED in Mozambique, both as facilitator of project implementation (with a local partner NGO), and as the overall provider of common services (coordination, communication and M&E). On the other hand, those within Mozambique (who have a long and close relationship with IIED) were more relaxed about it.
- The CG has been a comfortable small team, but it might have been more effective if membership had been open to other institutions having a claim as strong as the current CG members to be involved. With the budget constraints that prevailed, this could only have been achieved by diluting the inputs of each organisation, though.
- Shortcomings in programme management have been spotted by CG partners (and RG members), and discussed but not acted upon. This is probably due to the rather cosy dynamic of the CG group; it might have been avoided with a clearer leadership structure, upon whose shoulders responsibility might more clearly have lain.

On balance, the experience of the CG has been a fruitful and positive one, but as a management structure, it has been expensive, with the same programme (GFP) covering

staff costs in four organisations. On the other hand, each of the four has made counterpart contributions of unfunded staff-time, which has been enriching.

4.4.2 Country programmes

- Timing and urgency: some of the country programmes are only now doing things, which should have been completed before the end of 2009. They have been too relaxed (perhaps as a result of the bottom-up approach taken by GFP; but also because to the uncertainties created by laggard budget approval processes) about the realities of working to a 3-year project timetable. In a project funded in this way, tougher work-plan management is necessary.
- The GFP focal points in-country have all expressed their frustration at the amount of reporting due and the time pressures involved; with the CG collaboration, the reporting structure could certainly be lightened.
- Uncertainties about funding have generated much disquiet: countries have felt they were given too little guidance about what might be realistic expectations, then found themselves, after much effort, very disappointed to receive budgets drastically less than they had asked for. Arrival of funds in mid-year has compromised the effective implementation of activities. There is also disquiet about whether or not there will be any funding at all in a year's time.
- M&E and communications: IIED, the M&E and communications facilitator, has tried hard to foster spontaneity in the country programmes; however, this has been misunderstood by the country programmes as a lack of engagement. This lack of understanding should therefore be resolved very fast to avoid further delay and confusion.

The main lesson to be learned from this is that, in a process as complex as that conceived by GFP, it was unreasonable to expect the country programmes to move into smooth operational mode at a pace to match the exigencies of the short project cycle, while also imposing on them repeated uncertainties about budgetary planning.

4.4.3 Capacity and training

This has been a real issue within the country programmes (and amongst stretched senior staff in the CG partners, too). It is an issue at two levels: within those frail structures that have been trying to deliver GFP's programmes; and within those, even frailer ones, whose capacity the frail have been aspiring to strengthen. In reality, what does this mean?

- Some of the country programmes have revealed serious capacity constraints within the stakeholder groups with whom the national GFP programmes have tried to work, and this has limited the uptake of programme activities.
- The capacity issue has applied also to the GFP management structures within country, with staff able to devote only a very small proportion of their contracted time to GFP activities.
- The country programmes would have benefited from training and capacity building workshops at the start of the GFP initiative. M&E training workshops have been undertaken in the last few months; yet M&E systems ought properly to have been installed at the very outset: at the very least a year earlier.

The lesson to learn from this is that a programme as ambitious as this one, at country level, should have given more thought at the outset to the capacities of the institutions involved, and tried harder to assess capacity constraints and needs, first of those aspiring to assist, and then of those needing their assistance.

4.5 Expected results

The Framework document mentions the 5 expected results of the GFP, which were used as the foundation for the Theory of Change. In the sections that follow, each of the 5 results is reprinted, while we look for lessons to be learned in the course of working towards the attainment of the results. We note that this is an MTR, and that we would not expect any of them to have been fully attained at this juncture.

4.5.1 Strengthening partnerships

Result 1: Forest stakeholders create shared visions, actions and outcomes to strengthen partnerships among themselves and with other sectors.

To understand what has been the added value of GFP, we have to seek answers to a number of questions:

- Was there an empty niche? It is not entirely obvious that there was an empty niche, in a world already crowded with partnership-creating and dialogue-opening organisations and initiatives elsewhere in the forests sector. This is not to say that GFP has not done useful work, but the same could have been achieved by other routes.
- Could GFP have started out as a granting body, supporting and reinforcing existing network and partnership initiatives, at much lower transaction cost? There are already many existing initiatives (the IMFN has 25 partners in Latin America, for example), all in need of strengthening.
- Had GFP branded itself as a funding mechanism, to which local and national initiatives might have responded, the transaction costs would have been lower, and it might have provided a better framework for the development of spontaneous bottom-up initiatives; but the start-up time would have been much slower, and even less well suited to a three-year time span.
- Most of the in-country work has been grafted onto the existing alliance-creating and partnership-building activities already under way: these activities have gained momentum with GFP support, but it is probable that they would have happened anyway, more slowly, with funding coming eventually from other sources. Nonetheless, GFP has made its contribution, at an opportune moment, to strengthening those partnerships.
- Has it created or catalysed new forms of partnerships? The partnerships at national level have not been new in form. They have been reinforced by GFP, but they are not new. The same cannot be said for the ILCF process, and the creation of the G3. This is a quite new form of partnership, bringing together three existing groupings, each with different perspectives, but together able to speak with considerable authority. They are in the process now of trying to create shared visions.

The results of this have been mixed so far and the lessons to be learned, diverse. GFP has had some success in creating shared visions and outcomes, in part through the Forest Dialogue process run on its behalf by the very experienced TFD. It has had what may prove to be a success, in the new (and strengthened) alliance of Alliances that make up the G3. The partnerships forged in Guatemala look like enduring, and heading in just the right direction for the attainment of this result; progress in the other countries is more equivocal. It is not obvious that GFP has yet had much impact in forging links with other sectors (beyond the broad interlinked swathe of agriculture, rural development and forestry).

From this we learn that the Expected Result will most probably be attained at project's end, at least in part (not evenly across the pilot countries). It might also have been attained by adopting a different model, at lower transaction cost, based on existing partnerships and networks.

4.5.2 Including marginalised groups

Result 2: Marginalised groups are actively involved in forest decision-making processes and governance improvements

- It remains unclear which groups are included in the “marginalised” category; however, the country programmes have thus far generally not demonstrated how those groups have been actively involved. The GFP initiative would therefore need to strengthen and stress this issue more strongly in the remaining time that it has.
- The main question to ask here is: has a platform for marginalised groups been established to have influence at the national level? This will certainly differ from country to country. Through the Alianza in Guatemala, GFP has certainly created such a platform: some groups, such as the landless coastal populations in the South coast of the country have therefore certainly been given a voice at the national level through the involvement of COMANGLAR as one of the 2nd level organisations of the Alianza; indigenous groups and communities (Indigenous Authorities and Organisations Network) have also been involved through GFP, although their influence at the national level remains to be strengthened. In Mozambique, although communities are involved in GFP activities, they have not yet been given a true voice and platform on which to express and influence policies. In Ghana, while local community interests are given an eloquent voice on the national GFP Team by one of its members, this is not the same as active engagement with marginalised groups (which must necessarily occur in places where they can participate, not in regional and national capitals).

The conclusion to draw (and the lesson to learn) from the experience so far is that it is a long, complicated and politically highly sensitive matter to get marginalised groups effectively involved in influencing forest governance. It is clearly working in Guatemala, but not yet elsewhere. The key to this is that there was already in existence a functional network of forest user groups, who already had a platform for collaboration, and who had champions for their cause in influential positions within government.

4.5.3 Financing opportunities

Result 3: Forest rights holders, managers and users succeed in accessing financing and support opportunities based on their own locally-, regionally- or nationally-defined priorities.

- GFP as a whole has not yet demonstrated how it could potentially become involved in the new financing schemes, such as those related to the REDD+ process. GFP and its in-country partners have not yet played a prominent role in the national debates about REDD+.

Not very surprisingly, after only two years of existence, the GFP initiative has not yet devoted much attention to assisting rights-holders to access funding (though some modest additional funds have been granted, for example to the G3). Meanwhile the attention may be focussed elsewhere, as securing financing for its own future is at the top of the agenda for 2011. This is therefore a result that has not yet been even partly achieved by the GFP, though there is no reason to suppose that doing so would be beyond the reach of the programme before the end of the project in December 2011.

A broad lesson to be learned from this is that rights-holders groups are unlikely to become successful fundraisers unless they are well mentored to learn the skills of fundraising. It is not obvious that there is the staff capacity for doing this in the remaining time of the project.

4.5.4 International participation

Result 4: Local, country level and regional processes bridge the gap to international initiatives and become effective in shaping international contributions to forest issues at the country level and internationally.

- GFP has been trying to build platforms to allow different levels of stakeholders to communicate more efficiently. It is possible that more impact might have been had by reinforcing existing platforms, rather than building new ones.
- Those involved in the fostering of the ILCF approach, and the associated formation of the G3 are extremely positive about the seminal role that GFP has played in energising them, and in supporting their further work together.
- It is just worth noting, in the context of the top-down bottom-up dichotomy, that the three Alliances represent smaller organisations that are of their very nature bottom-up. But the Alliances themselves have secretariats or focal points, which facilitate top-down dialogue, of the kind that GFP has been able to foster with them. This is not an embarrassment, as it is efficient. But it starts top-down. This has some bearing on whether the “gap” alluded to in the Expected Result, is to be bridged from above or below.

To achieve this result, GFP will have to have demonstrated two things before project end. Firstly, that it has fostered partnerships and processes that successfully reduce the gap between the local, national and international levels of dialogue; and secondly, that partnerships and processes it has fostered and nurtured have successfully intervened on

the international stage to influence forest policy. This is going to become an important area of effort for the remaining year of the project.

We feel that this result is inappropriately phrased for a project result, both because it is outside GFP's direct control and because it is unlikely to happen within the lifetime of the GFP grant. It may well be a longer-term consequence of GFP interventions, however. The lesson from this is that more care should have been given to describing a set of results achievable within the resource and time limitations of the project.

4.5.5 Country-level support

Result 5: International institutions provide better support to participatory national efforts through improved synergies among international initiatives in-country.

- It is not clear from the way this result is phrased, whether it refers only to the four international institutions implicated in GFP (FAO, IUCN, IIED and World Bank), or more widely. If the former, it is not a very exacting target. Nonetheless, there is some evidence that, as the programme has progressed, GFP partners within country have become better at collaborating.
- If the GFP is to have real impact on the way in which the donor community interacts with and supports forest rights holders' groups, it would have to stimulate its in-country partners to engage more forcefully with existing in-country processes of donor coordination.

The lesson from this rather imperfectly-phrased result seems to be that, for the result to be attained before the end of the project, the GFP team is going to have to invest appropriate effort in better anchoring the national programmes that it supports, within the framework of donor-funded programmes.

4.6 Communications

Despite good communications products at a global level, and an excellent appreciation by IIED of the communications challenges, we have found that GFP is generally not yet well known within the pilot countries where it is working. Communications products within those countries are either non-existent, or yet to gather momentum.

The lesson from this is that GFP needs to give particular thought to how it can solve some of the communications challenges that it has faced, and what it can realistically do to assist its partners at country-level to improve their own communications.

5. Recommendations

5.1 Options for the GFP

We believe that there are three broad options for the future of GFP. We consider the merits of each briefly in turn, then focus our recommendations on the central option.

| | |
|-----------------|---|
| Option 1 | Seek funds to continue GFP unchanged, in its present form |
| Option 2 | Restructure the programme, reposition it and then seek funds for its most promising parts |
| Option 3 | Abandon it altogether |

Option 1 would not be the correct one to follow, because we think that the GFP model has shown sufficient weaknesses (see section 4.1) for it to be inappropriate to leave it unchanged. We have identified problems of structure, of governance, of management and of programme that would all militate against the status quo.

Option 2 is perfectly possible. We would counsel changing the management and governance structures radically (neither should survive in form or name); turning the initiative from its present mixed structure of project execution and project supervision, to a grant-giving, capacity-building, mentoring organisation, whose structure allows it to be faithful to its bottom-up principles; and aligning its grant-giving programme to the preoccupations of the global community to prepare for the REDD+ process.

Option 3 would be a declaration of failure, which we feel would be quite unwarranted at this juncture. GFP has made progress in many useful ways: not as much as its ambitions would have wanted, but nonetheless, quite enough to build on. There is a huge unmet need for the services which GFP aspires to offer, and it should be possible to find a way of working together to meet it.

Of these three, it will be clear that we would favour Option 2. The recommendations which follow are therefore in pursuit of Option 2. They require that the present GFP management structure (the CG, with the advice and support of the RG) devote a great deal of energy in the coming year to pursuing the tasks and preparing the changes that they imply. Most of the recommendations need to be followed in the course of the coming year, while some of them will clearly take longer. They are laid out as an action plan and are all interdependent. It would be a mistake, in our view, to pick selectively among them.

5.2 The recommendations

R.1: Identify the GFP niche

Undertake a brief study (from publicly available sources) to document all the comparable programmes in the global marketplace, in order to understand what, if anything, distinguishes them from GFP. This will cover all those institutions that are working, in whatever way, to stimulate collaboration and partnership in community forestry; in supporting and campaigning for the rights of forest dwellers; in the formation of networks and alliances in favour of improved and stronger communications about the circumstances

of forest rights holders; in building their capacity; and in working for equity in the future proposals for sharing in the values of global forest resources. This study will also make possible a rational choice of potential partners and collaborators, both in the delivery of the programmes and in the governance of the initiative. This step should not be skipped.

R.2: Clarify GFP's Vision for the Future

While this study is under way, clarify GFP's Vision for its future and use this to develop a strategy, suitable to act as basis for any future funding proposals. In point of fact, we know that this step will be taken in January 2011, which is a good plan.

R.3: Consider whether the GFP identity and brand is an asset

Put some effort into defining the "product", the GFP "Brand" and its "Unique Selling Proposition", and considering its merits, as well as its drawbacks. On the basis of this, decide whether to promote GFP as the brand, or instead to promote the process in future, rather than the brand. If it is decided to keep the brand, step up the intensity of communications about it. Fundraising will probably be easier if the brand, or at least the acronym, is maintained.

R.4: Change to a demand-driven funding structure

We believe that the first phase of GFP had a structure that was appropriate to the very short time-scale of the DGF grant, but that it is the wrong structure for the future. The best way to retain the commitment to fostering a bottom-up approach, is to reduce the decision-making and executive powers of what is now the CG, and to transfer more of the resources and the responsibility for setting priorities and articulating needs for support, to the countries, their networks and alliances and to other partnerships. The executive structure for this would most likely be a secretariat, overseen by a steering committee with less ambiguous powers than the present RG.

The successor to the present GFP will therefore not be an executing agency as it is at present, but a facilitating body, with funds to dispense, advice and support to give, convening and federating powers to offer and a well publicised desire to stimulate and assist in the building of capacity in rights-holders groups, alliances and partnerships.

Later Recommendations explain in outline terms how this would work.

R.5: Clearly define GFP's support role within countries

Strengthen the support given over the next year to country programmes to enable them to draw more effectively on the expertise that exists within the CG member organisations, in the domains of communications, programme management (planning, report production), capacity building and fund-raising and to prepare them for a future regime (as proposed in Recommendation 4 above) in which they have greater control over what they plan to do. It is particularly important to draw on these resources to plan, and together fund-raise for, the future phases of the work started with GFP support. The remainder of this present phase will provide the opportunity to more clearly articulate, on the basis of experience so far, what it is that GFP could, in the future, most usefully provide in the way of support

that will enable all to meet the aspirations of better articulated and better communicated concerns from forest rights holders, and stronger and more effective partnerships fostered amongst them.

R.6: Strengthen support to International Alliances

The formation of the G3 is very much work in progress. The three member alliances have a wide variety of internal capacities, and a consequent challenge to live up to the titles and ambitions to which they aspire. The ideas emerging from the Dialogue process on ILCF are a powerful tool for reaching shared visions amongst many stakeholders, but they do not tick all the boxes that are implicit in the overall vision of GFP. As a rallying point for the three founding alliances of the G3, the ILCF dialogue has been very fertile.

It is appropriate for GFP to increase its support, to assist the G3 to move towards greater autonomy and improved capacity over the coming six months. Since the main administrative strength of the G3 currently lies with IFFA, a European-based organisation with a membership rooted in G20 economies, we see no particular advantage in contemplating handing over the GFP baton to the G3 (as has been suggested by some). It seems to us that they have a big enough challenge to make the newly created Alliance achieve its potential, without burdening them with a major additional challenge of the much broader task that is managing the future programme of the GFP.

We would also suggest a specific progress review in mid-2011; the architecture of the network of Alliances may not be ideal and there may be other strong candidates for inclusion, in what might become a G4, G5 or G6. The scope of the review in Recommendation 1 has been proposed in such a way as to include a review of existing networks and alliances; this might furnish candidates.

R.7: Define a process for strengthening the links between local processes and structures championing their interests at international level

One of the clearest challenges emerging from the first two years of work by the GFP is to work out how best to strengthen the links between the local and the international levels, in a way that goes beyond token appearances at international meetings. We would suggest that this is a task sufficiently self-contained to be worth the establishment, in partnership with TFD, of another dialogue process.

Strengthening these links is one of the most urgent tasks for the coming year, and undoubtedly also for the subsequent phase of GFP.

It would be extremely helpful to the donor community, as well as to recipient countries, to have stronger platforms for exchanges of experience and of messages, based on real facts and experiences, without their getting drowned in the generalities and frequent blandishments of international discussions.

R.8: Prepare a new governance structure

We believe that the whole governance structure needs to be reviewed: a broader spread of representation would be helpful, on a new body which might perfectly well be called the

Steering Committee. Its constitution and powers need to be thought out *ab initio*, and its membership structure and rules completely changed from those of the RG, which were too casually drawn up. One necessary feature of this exercise would be to divorce membership from formal links with the programmes that are being overseen.

We would suggest that the membership of the initial Steering Committee be arrived at by selection of individuals, chosen both for their experience; the geographical, professional, stakeholder and gender balance they would confer; and for the institutional links which they would bring. The Steering Committee of TFD is a useful model in this regard, though it does not perhaps make obvious enough use of the expertise to be found within strong regional tropical forest institutions. The Terms of Reference of the Steering Committee can be drawn up to define a renewal process. Steps should be taken to ensure that members do not have too many other overlapping committee responsibilities. If there is pressure for this committee to get too large, it should devolve management oversight functions to a smaller Management Committee.

One of the consequences of Recommendation 4 is that GFP would have grants to award and therefore one of the most important functions of the Steering Committee (or a sub-committee of it) would be to scrutinise grant applications and make selections.

The Steering Committee would be supported by a Secretariat (see Recommendation 9, below) and will also draw on a Capacity-Building Roster of institutions. There is no reason not to start to populate this roster with existing GFP CG members (though it is doubtful if this would be a suitable role for the World Bank). If one of the CG members were to provide the overall Secretariat, then it should not also be on the roster of institutions.

The claims and suitability of candidate institutions for this roster will become apparent at the end of the niche-identification review that forms the basis of Recommendation 1. It would be surprising if serious consideration were not given to the following, amongst many others: RRI, IMFN, Tropenbos (Netherlands), Office National des Forêts International (ONFI, France), Intercooperation (Switzerland), CIFOR (Indonesia), ICRAF (Kenya), Forest Trends, The Forests Dialogue, Forest Peoples' Programme, UNFF, ITTO, WBCSD. The consultation document of IIED provides, of course, a fuller list of candidate institutions.

There needs also to be a balance of institutions representing more closely the interests of the potential recipients, taking care not to select institutions which might be denied access to project support due to conflicts of interest.

The functions of the roster would be two-fold: to make available the best advice and capacity-building capabilities, from professional organisations to those groups, networks and alliances seeking grant support: these may indeed become project partners for those grantees. The second function would be to create a forum that links these institutions together with a common cause: that of assisting rights-holders to grow in stature and capability, and to bridge the gap between their local experience and the wider political and decision-making arena, both nationally and internationally. This cause needs all the partners it can get.

R.9: Develop a new management structure, with an accountable secretariat

There needs to be a secretariat, with suitable authority conferred upon it. The powers of the executive secretary need to be sufficient to enable the post holder and staff to manage the programme efficiently, to take responsibility for developing it and carrying it forward, to take responsibility also for failures, and to streamline the administration. There is no reason why such a secretariat should not be housed within one of the current CG members, but an evolving governance structure (see Recommendation 8, above) may wish to have some influence on that. We would be inclined to be pragmatic about this.

In order for GFP to be able to work to a reasonably challenging Results Framework, the scope of potential grants will need to be tightly defined. It would be pointless if it were to become too much of a free-for-all.

The implication of this is that the CG would cease to exist after the end of the present phase, though CG members would have a reasonable expectation of being closely involved, either through the Steering Committee, or through the capacity building functions to be fostered through the grants process and through the Roster. Potential conflicts of interest should be considered carefully, as each CG member decides which role they could most usefully fulfil.

R.10: Examine problems facing the introduction of REDD in relation to community rights

Carefully identify and articulate the empty space that GFP might fill. This will be possible as a result of the review that is the subject of Recommendation 1. For example, there is currently a weak dialogue between forest rights holders and governments in a high proportion of the 37 FCPF countries, the 9 UNREDD countries and the 8 FIP countries; this dialogue and consultation process is in urgent need of scaled-up support over the next three years.

The REDD-related issues that are becoming obvious priorities for support include:

- The laws governing land tenure and tree ownership
- The laws and practice of community forestry
- The protection of use rights in revenue and benefit sharing models
- Respect for FPIC and other norms
- Supporting interface in respect of economic valuation negotiations
- Establishing bridges to make common cause between different local interest groups, and between them and broader international alliances
- Inadequate processes of public consultation in national REDD discussions to date

In planning its position for the future, GFP should use its experiences gathered in-country in relation to the REDD-preparatory processes, and to the numerous analyses that are now available publicly, of incipient problems in the REDD process, to demonstrate why it is in a good position to work in partnership with suitable structures at a country level, to help them to overcome the sorts of problem listed above. GFP (and the participant CG members), have a strong foundation of recent experience on which to build.

R.11: Position GFP as catalyst and facilitator of rights-holders and forest-dwellers interests in resolving REDD-related issues

In order to reinforce its credentials on behalf the interests of the beneficiaries, we feel that it will be in GFP's interests to ally itself with other groups, with an unambiguous record in these domains. The candidate groups will have emerged from the analysis to be found in Recommendation 1; some of the possible ones are listed in Recommendation 8. What will be required will be not only strong professional alliances, but also a demonstrated record of work in this domain. The members of the CG will have no difficulty in demonstrating this, and should do so to bolster the case of GFP, which is only two years old in its own right, and has therefore only its limited track record in this domain.

GFP (and potential additional partners) has a powerful case for positioning itself to become the facilitator of choice of partnership-strengthening and argument strengthening for marginalised forest-dwelling communities in at least a sub-set of the 37 FCPF participant countries. The same is surely true of the 8 FIP countries, and no doubt for the 9 UNREDD countries, too.

R.12: Position GFP as an investor in LCF

GFP should present itself as an investor in, or supporter of LCF. This would be a logical consequence of following Recommendation 4, which converts GFP into a guided and supported funding mechanism. Such a position would enable the facilitation of inclusive forest stakeholder platforms, through dialogue, partnership building, mediation, capacity building and linkages to other pertinent platforms and alliances. This is a goal in itself that serves first of all local forest stakeholders and their governments, but would also be instrumental for several donor goals, such as climate funds and others. This is in no sense incompatible with the recommendation which follows

R.13: Make proposals to the management of FCPF, FIP and UNREDD

We have said elsewhere that the REDD+ preparatory process is creating a whole new dynamic in the forest sector, supported by substantial funds. Experience with the REDD+ preparatory process in the FCPF shows that countries have struggled to conduct adequate consultation processes with forest-dwelling communities, many of which have engaged in fairly vociferous campaigns as a result. There is an unproductive and hostile tone to much of this discourse, which is not particularly constructive. A steadying hand, providing support, advice, capacity-building, dialogue-brokering, grant-funding to local groups and the necessary catalysis for creating new and more effective alliances at local and national level, is something for which we believe there is a real need within the management of these three REDD-related carbon-finance instruments.

We therefore suggest that initial discussions be opened with each of the three management teams, as a matter of urgency, in order to establish the kind of fertile common ground that would pave the way to a more substantial discussion and the preparation of substantive proposals. Because each of the structures has its governance structures, as well as its management teams, these are not the kind of discussions which will be quick. Therefore the sooner they are opened, the better.

This position, in relation to the forest-climate finance instruments, is totally compatible with GFP's evolving to become a reactive funding body, that provides high-quality technical assistance and capacity-building in support of the funding requests it receives, and facilitates the development of stronger positions by forest rights-holders.

R.14: Examine potential priority countries

GFP's five existing pilot countries are all participants in the FCPF. Two countries, DRC and Indonesia, participate in all three forest-carbon instruments (FCPF, FIP and UNREDD). A further four countries participate in both FCPF and FIP (Ghana, Mexico, Lao and Peru), while six more participate in FCPF and UNREDD (Tanzania, Bolivia, Panama, Paraguay, PNG and Vietnam). Apart from DRC and Indonesia already mentioned, there is no overlap between FIP and UNREDD countries. Together, these countries are therefore all potential clients for GFP's offering, and have financial resources earmarked for them (though with active competitive processes at work already).

A further route to this examination would be to use existing regional institutions and structures for the definition of priorities. Candidates for this include CATIE in Latin America, ICRAF in Africa, CIFOR in South-East Asia (the two latter have a broader geographical mandate, but nonetheless have regional strengths).

R.15: Develop a parallel fund-raising strategy, to include partners outside the three forest carbon funding instruments

Clearly, we would also recommend targeting a wider range of donors than the three programmes mentioned above. A large number of bilateral donors are in the throes of defining new policies and substantial new commitments to the forest/climate change dynamic, and the work of GFP fits very comfortably within the emerging policies. Some of the donors have already made substantial commitments to a number of the three forest carbon instruments, but there is still plenty of scope for direct engagement.

R.16: Define an exit strategy

We believe it inappropriate to create yet another institution in perpetuity, so we would suggest that the Strategic Planning group that meets in January should define a life-span for the GFP Initiative (and its successor if its identity were to change – see Recommendation 3, above), and an exit strategy from it. That life-span might be 10, or at most a further 12 years.

Annexe A. Terms of Reference for a Mid-term Review July-Sept 2010

1. Background to the initiative

In 2007 the World Bank proposed what was initially called a new Global Forest Partnership to bring together many organisations for greatly accelerated progress in managing forests, in ways that better met social, environmental and economic needs, especially in developing countries. Beginning in late 2007, IIED carried out an international assessment on the initial World Bank idea, overseen by an international Exploratory Group (EG). In response to the assessment findings, in mid-2008, the GFP concept was substantially reshaped and renamed 'Growing Forest Partnerships' to reflect the priorities and concerns that had been expressed. A Catalytic Group (CG) of the Food and Agriculture Organisation of the United Nations (FAO), the International Union for the Conservation of Nature (IUCN), the World Bank was set up to work together in support of this new vision, with support from IIED.

GFP aspires to:

- Improve connections within the forest sector and with other sectors;
- Provide a means to link local demands and priorities with the global forest policy agenda
- Increase responsibility for, and local benefits from, forest global public goods;
- Improve the quantity and quality of investment and international support for forests controlled at a local level.

GFP's original objectives were originally as follows:

- To harness the potential of forests to reduce poverty, integrate forests in sustainable economic development and protect vital local and global environmental services.
- To develop multi stakeholder visions and programs for improving the value of forest land.
- To catalyze institutional innovations towards more responsive interagency work on national visions and programs
- To develop a menu-based program of support on the basis of country pilots
- Leverage new forest investments by improving the knowledge and confidence of investors and consequent private and public resource flows.

Since its start, the initiative has changed emphasis somewhat. The overall objective as is now stated in its Framework Document, is to facilitate local and international partnerships and investment that support forest rights holders and stakeholders in their efforts to secure livelihoods and maintain ecosystem services.

The initiative has five expected results:

- i. Forest stakeholders create shared visions, actions and outcomes to strengthen partnerships among themselves and with other sectors.
- ii. Marginalised groups are actively involved in forest decision-making processes and governance improvements

- iii. Forest rights holders, managers and users succeed in accessing financing opportunities based on their own locally-, regionally- or nationally-defined priorities.
- iv. Local, regional and country level processes bridge the gap to international initiatives and become effective in shaping international contributions to forest issues at the country level and internationally.
- v. International institutions provide better country-level support to participatory national efforts through improved synergies among international initiatives in-country.

The initiative's overall *Theory of Change* can thus be considered as:

GFP will support those most affected by decisions concerning forests, particularly local communities, indigenous peoples and smallholders, and ensure that they can participate effectively in partnerships with other forest and non-forest actors. It will enable processes of identification and prioritisation of key issues in the forest sector in geographical or thematic areas to be carried out by all forest stakeholders, ensuring inclusion of those that tend to be marginalised. In addition, by creating spaces in which donors, governments, civil society actors, the private sector and forest dependent peoples can interact, it will improve the quality and quantity of communication between these actors and will deliver greater co-ordination on forest initiatives.

Through this, and by identifying and supporting key partnerships in which marginalised groups play active decision-making roles, it will lead to an improvement in the quality and quantity of support given to forest initiatives. This increased or better targeted support will deliver initiatives on forests that have a demonstrable effect on securing forest management that is more equitable and that is sustainable.

The day-to-day work of the Growing Forest Partnerships initiative is the responsibility of the members of the Catalytic Group, (IUCN, the FAO and the World Bank) with IIED's technical support along with the various in-country partners. It is overseen by the Reference Group, which has responsibility for strategic direction and approving both the budget and the annual work plan. The Reference Group is a group of individuals active in the forest sector, including from civil society, indigenous peoples groups, the private sector and donors. Within the Catalytic Group, IUCN and the FAO are responsible for implementation and GFP is funded by the World Bank. IIED's role is to support the CG and RG on process enhancement, communications and monitoring and evaluation.

2. Objective of the mid term review

The objective of the mid term review is:

- To assess GFP's approach and performance to date with particular emphasis on its relevance, effectiveness and efficiency, options for improving the impact and sustainability of the work, and drawing out lessons to guide further work.

3. Tasks for the mid term review

a. Assess the **Approach**:

- Reflect on the *context of GFP* in the countries involved in the initiative, (Mozambique, Ghana, Guatemala, Liberia and Nepal), and internationally – before

and during the inception period of the initiative – and assess the general premise, political timeliness and appropriateness of the approach

- Assess the *design and modus operandi* of the initiative in terms of its internal logic (i.e. theory of change), objectives, principles adopted, outputs, objectively verifiable indicators and their means of verification and activities, and governance of the initiative. This will include explorations of relevance, specificity, efficiency, effectiveness, innovation, flexibility, sustainability and institutional relationships.
- Reflect on the *flexibility* of the approach to changing context, emerging results and timeliness during the course of the initiative

b. Assess the **Performance** to date:

- Assess what *progress* has been made to date in achievement of the initiative's overall objective, specific objective, outputs and objectively verifiable indicators and activities, identifying major outcomes to date and major gaps;
- Identify the *added value* that GFP has already contributed, notably to innovation in building inter-agency and extra-sectoral partnerships and joint programmes that best respond to in-country needs
- Assess how effectively the initiative has addressed *gender and empowerment* issues and how it has ensured that both men and women will benefit from its activities and outputs.
- Determine whether the activities undertaken by the initiative have been *timely, effective, efficient, adequate and appropriate* in terms of meeting the outputs and specific objectives;
- Determine the extent to which identified *risks/assumptions* have impacted on the project or have been mitigated by the project (and assess whether the right risks were identified);
- Assess the *management and administration* of the initiative: how effectively and efficiently the Catalytic Group coordinated the initiative; mobilisation of the capacity of the CG members, IIED and their key partners (including the international partners and consultants) to implement the initiative; collaboration within and between the CG and partners, through the initiative; reporting within the initiative and by the CG members to donors on the progress of the project.
- Assess in particular the approach to *partnerships within the initiative*. The evidence of changed decisions and discourse, of levels of engagement and relevant activity catalyzed. How effective have the methods used been? What effects can be attributed to the initiative and how? How sustainable and replicable is the initiative without the input of each CG member and IIED?

c. **Draw lessons out:**

- Identify *lessons on effective partnership development* : the extent to which the initiative has played a useful catalytic and facilitative role across a range of stakeholder interests to foster new partnerships, and what can be learned from this approach;
- Identify *lessons on inclusion*: the extent to which the initiative has been able to engage groups that are frequently excluded; and what was key for the success/lack of success in this area.
- Identify *lessons on accountability*: lessons learned about the role that GFP has played to increase donors and decision makers' accountability towards stakeholders being consulted, and how this can be achieved.

- Identify *lessons on innovation*: the extent to which the initiative has been successful or not in identifying, developing, encouraging and/or implementing best-practice approaches and innovative processes;
- Identify *lessons on communications* and mechanisms for policy influence and accountability;
- Identify *lessons on assuring long-term impact and sustainability* of the initiative.

d. Make recommendations based on the mid term review

- Based upon the assessment of the approach, performance and lessons learned, make recommendations as appropriate, with a particular focus on:
 - Delivery of the first phase, up to the end of 2011
 - Opportunities, constraints and recommendations for any further development after the end of 2011, if such extension is considered desirable.

4. Mid term review methodologies

- Undertake a thorough review of all the project documents and communication products. This will include the work plans agreed between the CG, IIED and in country teams, and all progress reports, diagnostic reports, analysis documents, minutes of RG and CG meetings and communications outputs;
- Review annual reports submitted by the FAO, IUCN and IIED to the World Bank and the Reference group; and
- Carry out visits to Guatemala, Mozambique and Ghana in order to meet with in-country teams and key stakeholders.
- Meet with teams from each of the CG members in their offices in Rome, (FAO), Gland (IUCN), Washington DC, (World Bank) and London or Edinburgh (IIED).
- Carry out interviews with RG members, members of rights holders groups and other resource people, principally by telephone and/or email. This might include a sample of consultees from the original 2007/8 consultation on 'gfp' potentials

5. Expected outputs

The final report will be no more than 25 pages in length and will include:

- One page outlining the key conclusions and recommendations for the GFP Reference Group, the CG members and IIED A three page executive summary; and,
- A section that provides a clear description of the methodologies used both to gather and analyse information.

The draft report will be due on 01/09/10. Comments on the draft report from IIED and partners will be delivered to the consultant by 08/09/10. The revised draft is due on 21/09/10. IIED will present a summary of the revised draft to the CG and RG during the week beginning 27/09/10. The mid term review will be completed (and final payment made) once any comments from the presentation have been taken into account in the final report, and once that report has been accepted by IIED.

The evaluators will consider comments by IIED and CG staff and partners on the draft report and presentations in the preparation of the final report.

6. Management and coordination of mid term review

The mid term review will be coordinated by IIED through the manager of the initiative, Cath Long, and a facilitator of the mid term review, Steve Bass.

7. Time-frame for mid term review

The mid term review will take place between the following months: June and September 2010. A work plan and timetable will be agreed by the IIED project manager and the evaluator. The estimated input from the evaluator will be 40 days.

Annexe B. List of Persons Consulted

| Name | Institution / sector |
|---------------------------------------|--|
| Members of the Reference Group | |
| Almeida Siteo | <i>University of Eduardo Mondlane</i> Faculty of agronomy and forestry |
| Godwin Kowero | <i>African Forest Forum</i> Executive secretary |
| Evy Von Pfeil | <i>GTZ</i> Senior forest advisor |
| Ogden Rodas | <i>INAB – Programa Forestal Nacional</i> GFP focal point Guatemala |
| Ronnie de Camino | <i>CATIE</i> Deputy Director |
| Mwangi James Kinyanjui | <i>National Alliance of Community Forest Associations of Kenya</i> National Coordinator |
| Members of the Catalytic Group | |
| Warren Evans | <i>World Bank</i> Sector Director of the Environment Department |
| Hartwig Schafer | <i>World Bank</i> Director of Strategy and Operations, Sustainable Development |
| Peter Dewees | <i>World Bank</i> PROFOR Manager |
| Thomas Sembres | <i>World Bank</i> PROFOR Forest Specialist |
| Gerhard Dieterle | <i>World Bank</i> Forests Advisor, leading the Forestry Team |
| Klas Sander | <i>World Bank</i> Natural Resource Economist |
| Patrick Verkooijen | <i>World Bank</i> Senior Partnership Specialist, Sustainable Development Network |
| Cath Long | <i>IIED</i> Former GFP Coordinator |
| Steve Bass | <i>IIED</i> Senior Fellow, Natural Resources Group |
| Liz Carlile | <i>IIED</i> Director of Communications |
| James Mayers | <i>IIED</i> Head, Natural Resources Group |
| Duncan McQueen | <i>IIED</i> Senior Researcher, Natural Resources Group and Forest Team Leader |
| Isilda Nhantumbo | <i>IIED</i> Senior Researcher, Natural Resources Group |
| Grazia Piras | <i>IIED</i> Researcher, Natural Resources Group and GFP coordinator |
| Eduardo Rojas | <i>FAO</i> Assistant Director-General of the Forestry Department |
| Olman Serrano | <i>FAO</i> Senior Forestry Officer (Wood Products) |
| Marco Boscono | <i>FAO</i> |

| Name | Institution / sector |
|------------------------------|--|
| | Forestry Officer (Institutions) |
| Sophie Grouwels | FAO Forestry Officer (Community-Based Enterprises Programme) |
| Jhony Zapata | FAO NFP Facility Coach for Latin America |
| Jerker Thunberg | FAO NFP Facility Manager |
| Laura Schweitzer | FAO NFP Facility Information Services and Communication Team |
| Stewart Maginnis | IUCN Head of the Forest Conservation Programme |
| Chris Buss | IUCN Programme Officer GFP, Forest Conservation Programme |
| Stephan Kelleher | IUCN Deputy Head of the Forest Conservation Programme and Livelihoods and Landscapes Coordinator |
| Stakeholders in Ghana | |
| Wale Adeleke | IUCN Country Office IUCN-FLEG Project Facilitator and GFP focal point |
| Osofu Quarm | Local communities representative |
| Oppon Sasu | Forestry Commission Donor Relations / Project Manager |
| Alex Dadzie | Ghana Timber Association |
| Nana Kofi Adu-Nsiah | Forestry Commission Executive Director of the Wildlife Division |
| Cletus Nateg | Forestry Commission Wildlife Division |
| Samuel Nketiah | Tropenbos Ghana Programme Leader |
| Kingsley Bekoe | Forest Watch Ghana Coordinator |
| Chris Beeko | Forestry Commission VLTP/VPA Project Coordinator |
| Jacob Oti Awere | Ghana Wildlife Society Executive Director |
| Augustus Asamoah | Ghana Wildlife Society Project manager for Conservation Programmes and Important Bird Areas |
| Sean Doolan | DFID West African Regional Advisor on Climate Change |
| Atse Yapi | FAO Country Office National Forest Programme Facilitator |
| David Kpelle | NLBI National Project Coordinator |
| Yaw Osei-Owusu | Conservation Alliance Country director |
| Alex Asare | Collaborative Resource Management Unit (CRMU) (Government of Ghana) Manager and NFP Facility focal point |
| Kyeretwie Opoku | Civic Response |

| Name | Institution / sector |
|-------------------------------------|--|
| Ama Kudom-Agyemang | <i>Independent Journalist</i> |
| Stakeholders in Guatemala | |
| Mario Escobedo | <i>IUCN Country Office</i> Regional officer for Mesoamerica, Climate Change |
| Iván Angulo Chacón | <i>FAO Country Office</i> Representative |
| Mario Rafael Rodríguez | <i>INAB - PFN</i> Preinversión |
| Jorge Chapás | <i>FAO - GFP - PFN</i> Técnical assistant of the Alianza |
| Iliana Monterroso | <i>RRI</i> Facilitadora Centroamérica |
| Ing. Amauri Rendolfo Molina Alvarez | <i>INAB</i> Vice-mannager |
| Several members | <i>Red de Autoridades y Organizaciones Indígenas de Guatemala</i> Members at different levels |
| Elmer Villatoro | <i>Mesa de Concertación Forestal (MECOFOR)</i> Roundtable manager for the Chimaltenango region |
| Erwin Pereira | <i>INAB</i> Manager of the Chimaltenango region |
| Victor López | <i>Utz Ché</i> Technical director and member of the technical council of the Alianza |
| Paulo C. de León | <i>CABI</i> Financial and Economic Analyst |
| Lic. Ariel Pereira | <i>PFN - UIFF</i> President of UIFF |
| Blanca Aragon | <i>Consejo Nacional de Estándares de Manejo Forestal Sostenible para Guatemala (CONESFORGUA)</i> Accountant / treasurer |
| Leticia Velasquez | <i>Fundación Progresar</i> Director and Chair |
| Kristina Boman | <i>Fundación Progresar</i> General advisor and Vice-chair |
| Lis Lima | <i>INAB - Programa Forestal Nacional</i> Sistema de Educación Forestal (SEF) |
| Selvyn Pérez | <i>Corazón del Bosque - Utz Ché</i> Programa Acceso a Mercados |
| Miguel Angel y Lucas Figueiroa | <i>Asociación de Organizaciones de Les Cuchumatanes (ASOCUCH)</i> Senior member |
| José Carrera | <i>Rainforest Alliance</i> Coordinator for Guatemala |
| Gustavo Pinelo Morales | <i>Rainforest Alliance</i> Coordinator (Petén) |
| Juan José Romero | <i>Red de Reforestadores de Petén</i> Manager |
| Doris Cordero Camacho | <i>IUCN (Peru)</i> Programme Officer - Forest |
| Stakeholders in Mozambique | |
| Alda Salomão | <i>Centro Terra Viva (NGO)</i> Managing Director |
| Samantha Gonçalves | <i>Centro Terra Viva (NGO)</i> |

| Name | Institution / sector |
|-----------------------------------|---|
| | Lawyer |
| Øystein Botillen | Royal Norwegian Embassy First Secretary |
| António Lucas | Local government of the Mecuburi District Permanent Secretary of the Administrator |
| Luisa Hoffman | Fórum Terra (NGO) NGO coordinator |
| Yahaia Hassane Aly | Fórum Terra (NGO) Project administrator |
| Members | Management Committee of the Reno A village Members at different levels |
| Members | Management Committee of the Minhaeune village Members at different levels |
| Rui João Fernando | Mwite Administrative Post Chief of the Locality |
| Imede Chafim Falume | SPFFB Chefe Provincial de Florestas e Fauna Bravia |
| Mussa Chovieque | Iniciativa para Terras Comunitárias Outreach officer |
| Ana Ribeiro | WWF Country Office Biofuels official |
| Dinis Caetano Lissave | DNTF National Director |
| Alima Issufo | DNTF Director of forest department |
| Teresa Nube | DNTF Chefe da repartição de manejo comunitário |
| Frauke Jungbluth | World Bank Country Office Senior Rural Development Economist, Environmental and Natural Resource Management Unit, Africa Region |
| Roberto Zolho | IUCN Country Office National Climate Change Project Coordinator |
| Julio de Castro | FAO Country Office Representative in Mozambique and Swaziland |
| Carla Cuambe | FAO Country Office Programme Officer |
| Camilo Nhancale | Juventude Desenvolvimento e Advocacia Ambiental (JDA) NGO Chairman of the Board |
| Alberto Simone Albazino | Fundação Eco-Micaia Moribane project coordinator |
| Imtiaz Valá | Institute for small and medium enterprises (IPEME) Programme Officer |
| Gabriel Manhiça | Center for forestry research Chefe do posto agrónómico do Ricatla |
| International stakeholders | |
| Gary Dunning | TFD, Yale school of forestry and environmental studies Executive Director |
| Ivar Legallais-Korsbakken | IFFA Secretariat adviser |

Annexe C. List of Documents Consulted

| Title of document | Institution / Author | Date |
|--|--|-----------|
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| Towards a global forest partnership: Consultation, assessment and recommendations | IIED | Jul 2008 |
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| Growing Forest Partnerships (GFP) – Joint Work Program – The Search for New Partnerships | GFP Catalytic Group: FAO, IUCN, World Bank with support from IIED | Nov 2008 |
| Growing Forest Partnerships (GFP) – Working Arrangements – The Search for New Partnerships | GFP Catalytic Group: FAO, IUCN, World Bank with support from IIED | Feb 2009 |
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| Work plans | | |
| Growing Forest Partnerships – 2010 budget proportions for Reference Group approval | GFP | 2009 |
| 2008 Progress Report | NFP Facility | Jan 2009 |

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| 2009 Progress Report | NFP Facility | Jan 2010 |
| 2010 Work Plan and Budget | NFP Facility | Jan 2010 |
| GFP 2011 Joint Work plan | | Oct 2010 |
| GFP schedule of activities 2010 (excel document) | | 2010 |
| Progress reports | | |
| GFP Six Monthly Report January - June 2009 | GFP | Jan-Jun 2009 |
| GFP Six Monthly Report July - December 2009 | GFP | Jul-Dec 2009 |
| IIED - GFP Activity Report 2009 (including annexes) | IIED | 2009 |
| IUCN Implementation Report, Growing Forest Partnerships 2009 | IUCN | 2009 |
| IIED Interim Report January - June 2010 | IIED | Jan-Jun 2010 |
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| G3 Rome Report - TFD targeted abstract Dialogue and planning conference - The Three Rights Holders Groups and partners | Leila Räsänen and Ivar Legallais-Korsbakken | Mar 2010 |
| FAO GFP Activities Report 2009 (Submitted to PROFOR, 28 April, 2010) | FAO | Apr 2010 |
| Interim Report January - June 2010 | IIED | Aug 2010 |
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| GFP Update: October 2009 (Newsletter) | GFP | Oct 2009 |
| GFP Update: January 2010 (Newsletter) | GFP | Jan 2010 |
| GFP Update: May 2010 (Newsletter) | GFP | May 2010 |
| GFP Update: September 2010 (Newsletter) | GFP | Sept 2010 |
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| Review of funds which aim to protect tropical forests | IIED - Duncan Macqueen | 2010 |
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