



INTERNATIONAL TROPICAL TIMBER ORGANIZATION

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**Final Report on  
Effectiveness of Pilot Operation of ITTO Thematic Programmes**

**Executive Summary**

**January 2013**

**Prepared for the International Tropical Timber Organization (ITTO) by  
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## A. Introduction

1. The International Tropical Timber Agreement of 2006 (ITTA, 2006) provides for the establishment of “Thematic Programmes” to complement ITTO’s traditional project work, with a view to attracting increased unearmarked funding from a broader base of donors by offering an integrated and strategic programmatic avenue to advancing ITTO priorities. The Forty-Fourth International Tropical Timber Council (ITTC 44, November 2008) adopted Decisions 8, 9 and 10/XLIV to launch the pilot operation of ITTO Thematic Programmes (TPs) for the following five thematic areas, the first four of which have become operational:

- a. Forest Law Enforcement, Governance and Trade (TFLET)
- b. Reducing Deforestation and Forest Degradation and Enhancing Environmental Services in Tropical Forests (REDDES)
- c. Community Forest Management and Enterprises (CFME)
- d. Trade and Market Transparency (TMT)
- e. Industry Development and Efficiency (IDE)

2. Decision 9(XLIV) outlines procedures for TP pilot operations, guidelines for Thematic Programme Profiles (TPPs) and Thematic Programme Documents (TPDs), and terms of reference for Thematic Programme Advisory Committees (TPACs). A key feature of these procedures and guidelines is the responsibility given to the Executive Director (ED) to develop TPDs, establish TPACs, and select projects, pre-projects and activities for financing from available unearmarked funds based on TPAC advice.

3. Under Decision 9(XLIV), the Council decided to review and evaluate the effectiveness of TP pilot operations after three years. To facilitate this review, the Executive Director (ED) commissioned two consultants to prepare a draft report evaluating the TP pilot phase consistent with Activity 12 of the ITTO Biennial Work Programme (BWP) 2011-2012. The draft report was completed in August 2012<sup>1</sup> and presented at ITTC 48 (5-10 November 2012, Yokohama, Japan). Based on Members’ discussion of the findings, lessons learned and recommendations contained in the draft report, ITTC 48 adopted Decision 4(XLVIII) on Strengthening ITTO Thematic Programmes, which establishes procedures and guidelines for regular operation of TPs under the ITTA, 2006.

4. The final report on the Effectiveness of Pilot Operation of ITTO Thematic Programmes updates the draft report to take into account the outcomes of the Spring Cycle 2012 call for proposals, including the number of proposals approved for financing under the cycle. The final report also attaches Decision 4(XLVIII) as Annex 13.<sup>2</sup>

## B. Scope and methodology

5. The scope of the evaluation of the pilot operation of ITTO’s TPs includes the following:

- a. Assessing Members’ responses to the new opportunities represented by TPs and early achievements and impacts;
- b. Assessing the effectiveness of the pilot procedures and guidelines set forth in Decision 9(XLIV) and measures to operationalize them; and
- c. Based on assessments and lessons learned, making recommendations to improve the effectiveness of TP operations under the ITTA, 2006, including upscaling experiences gained.

6. Consistent with the consultants’ terms of reference, the principal means used to gather views and inputs regarding TP pilot operations were the development, in close cooperation with the ITTO Secretariat, of two questionnaires, one for ITTO Members and one for TPAC members. ITTO Members were asked for their views on the following aspects of the pilot operations:

- a. TPP formulation
- b. TPD formulation, scope and complementarity
- c. TP/TPD review
- d. TP project cycle, including appraisal, and TP management, monitoring and evaluation

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<sup>1</sup>Draft Report on the Effectiveness of Pilot Operation of ITTO Thematic Programmes, August 2012, prepared for ITTO by Stephanie J. Caswell (USA) and Ricardo M. Umali (Philippines)

<sup>2</sup> The final report and ITTC 48 Decisions, including Decision 4(XLVIII), are available from the ITTO website at: [http://www.itto.int/files/user/pdf/thematicprogrammes/TP\\_Review\\_2012\\_FullReport\\_Final.pdf](http://www.itto.int/files/user/pdf/thematicprogrammes/TP_Review_2012_FullReport_Final.pdf)

- e. Coherence of funded projects/activities, contribution to TP objectives and potential for scaling up lessons learned.
  - f. TP proposal formulation
  - g. TPAC functioning
  - h. TP funding and ITTO fundraising
7. To supplement inputs from ITTO Members, TPAC members were asked to provide input on aspects (b) though (g) above.
8. The ED circulated the two surveys in June 2012. Responses were received from the following 26 ITTO Members and 13 TPAC members:

Producers

Brazil, Cambodia, Colombia, Cote d'Ivoire, Ghana, Guatemala, Guyana, Honduras, Indonesia, Malaysia, Mexico, Papua New Guinea, Peru, Philippines, Togo

Consumers<sup>3</sup>

Australia, China, European Community, Finland, Germany, Japan, New Zealand, Norway, Portugal, Switzerland, USA

TFLET

Mr. Zhang Zhongtian (China), Dr. Hadi S. Pasaribu (Indonesia), Mr. Carlos Enrique Gonzalez Vicente (Mexico), Ms. Antje van Driel (Netherlands), Dr. David Brooks (USA, until January 2011)

REDDES

Mr. Ernest Foli (Ghana), Mr. Takuo Sato (Japan), Dr. Norini Haron (Malaysia), Dr. Carmenza Robledo (Switzerland, until March 2012)

CFME: Dr. Pablo Martinez de Anguita (Spain)

TMT

Dr. Beatrice Darko Obiri (Ghana), Ms. Pradeepa Bholanath (Guyana), Mr. Stefano Guidese (Switzerland)

9. The consultants wish to express their deep appreciation to ITTO Executive Director Mr. Emmanuel Ze Meka, Dr. Gerhard Breulmann (Planning, Monitoring and Evaluation Officer) and Ms. Rosemarie Jungheim (assistant to the ED) for their excellent guidance and support throughout the assignment, including developing and implementing the two questionnaires, facilitating consultations, providing documentation, and supporting the consultants' presentation at ITTC 48.

## C. TP pilot operations

### C.1. TP project cycle during the pilot phase

10. In operationalizing TP pilot procedures, the Secretariat adopted the regular project cycle model and established a fixed 6-month calendar for TPs. While the TP cycle follows standard procedures, the Secretariat introduced a number of positive innovations during the pilot phase.

- a. Calls for proposals: Five calls for proposals have been issued as indicated below based on a USD 1 million threshold in initial or additional TP funding (with the exception of the Spring Cycle 2012 which was a more limited call based on available funding). Although there was only one cycle in 2010, 2011 and 2012, the schedule remained fixed on a 6-month calendar.

|                    |                    |                    |               |
|--------------------|--------------------|--------------------|---------------|
| Spring Cycle 2009: | TFLET, REDDES      | Autumn Cycle 2009: | TFLET, REDDES |
| Spring Cycle 2010: | TFLET, CFME, TMT   |                    |               |
| Spring Cycle 2011: | REDDES, TMT        |                    |               |
| Spring Cycle 2012: | TFLET, REDDES, TMT |                    |               |

- b. Project formulation: The ITTO Manual for Project Formulation has been the main guide for TP proponents. TP proposals are also required to address two additional elements which conform to

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<sup>3</sup> Germany and New Zealand noted they had insufficient experience with the TP pilot process to respond to the survey. The EC noted that its response was not an official EU position as there had not been time to consult all member states.

the two specific selection criteria contained in each TPD<sup>4</sup>: (i) the proposal's conformity with the TP deliverables set out in the TPD, and (ii) the association of expected results with the relevant TP Monitoring Protocol (see C.2 below). The technical quality of proposals has varied widely, with some improvement over time. Many proposals have lacked a clear thematic focus, and some submissions have been incomplete and incorrectly formatted and prepared. In November 2009 the Council adopted a recommendation of the Committee on Finance and Administration (CFA) to set aside 3% of all new TP funding received to assist members with TP proposal development if requested

- c. Proposal appraisal process. The TP appraisal process is based on the regular cycle process. TP proposals are cleared and endorsed by ITTO Focal Points and screened and "pre-appraised" by the Secretariat prior to their appraisal by TPAC members. Three TP review forms have been introduced (for projects, pre-projects and small projects) to facilitate TPAC review. These forms are based on the standard format, with the addition of elements b(i) and (ii) above. A few selection criteria from Annex 3 of Decision 9/XLIV which apply only to TPs have yet to be fully integrated into the review and rating process.
- d. Project selection and funding: The ED has approved proposals for funding based on TPAC advice. Because the ED and TPACs have been delegated project review and approval authorities, and donor funds are already available in the TP Sub-Account, the time from project review to start up is considerably cost-effective and fast-tracked as compared to the regular cycle.

### **C.2. TP project management, monitoring and evaluation**

11. TP projects are managed and monitored like regular projects rather than as a pool of thematically linked activities. Each project is designated F (Forests), M (Markets) or I (Industry) and assigned to the relevant technical division. While RFM has overall responsibility for REDDES and CFME, and EIMI is responsible for TFLET and TMT, management of a TP project/pre-project/activity may be assigned to any division. There can therefore be several project managers from different divisions under one TP.

12. TP project monitoring closely follows the Manual for Project Monitoring, Review, Reporting and Evaluation and the Manual on Standard Operating Procedures for the ITTO Project Cycle. No ex-post evaluations have yet been conducted for TP projects or groups of projects. The Secretariat has developed an Online Monitoring System (OLMS) to improve TP project monitoring and evaluation and overall management. The OLMS is now used for all ITTO funded projects, not just TPs.

13. The Secretariat has also developed a Monitoring Protocol (MP) for each TP to provide a framework for monitoring and measuring progress and achievements towards TP objectives as a whole and set the stage for future mid-term evaluations of TPs. Each MP identifies a set of indicators, targets and means of verification for each TP objective based on the relevant TPD.

### **C.3. TPACs**

14. Members of the four TPACs have been selected by the ED based on nominations by ITTO Members. The purpose of each TPAC (per Decision 9/XLIV) is to assist the ED with: (a) the selection of projects/pre-projects/activities for financing, (b) monitoring and evaluation of progress in implementing the TP and (c) identification of potential additional sources of TP funding. To date, the TPACs have not undertaken activities related to (b) or (c). The TPAC workload under (a) has varied significantly based on the level of funding available and in turn the number of proposals submitted. Where many proposals were submitted in response to a call for proposals, it has not been possible for all TPAC members to review all proposals within the timeframe allotted under a 6-month cycle.

15. Limited funds have allowed each TPAC to meet only once in 2009 or 2010 to approve its TPD. Telephone and video conferencing have yet to be used to facilitate TPAC coordination and operations. In reviewing proposals, TPAC members have operated as individual email reviewers in communicating with the Secretariat.

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<sup>4</sup> The two specific selection criteria for each TP are: (1) Potential impact of the proposal to the achievement of the specific objectives of the TP and (2) contribution of the proposal to the TP deliverables set out in the TPD.

## D. Achievements/impacts during the pilot phase

16. As shown in the overview below, the four operational TPs have attracted nearly USD 18.5 million in voluntary contributions (from 13 consumer donors and the Japanese Lumber Importers Association) toward a combined indicative target of USD 58 million. These funds have been allocated to 64 projects, pre-projects and activities, including 46 projects/pre-projects in individual producer countries and 3 regional projects in Africa and the Amazon. TFLET and REDDES have succeeded in attracting significant new contributions from infrequent or first-time donors (notably Norway, Netherlands and UK), as well as contributions from regular donors (primarily Japan, Switzerland and USA), which are also the major donors to CFME and TMT. At the same time, many donors continue to earmark the majority of their contributions to projects under the regular cycle.<sup>5</sup>

**TP Overview through Spring Cycle 2012**

| TP     | Target (USD) | Funding (USD) | % Funded | Top 3 consumer donors                  | Projects Funded | Completed Projects | Top 3 producer beneficiaries              |
|--------|--------------|---------------|----------|--|-----------------|--------------------|---|
| TFLET  | 15 mil       | 6.90 mil      | 46       | Netherlands <sup>6</sup> , Japan<br>UK | 21              | 7 <sup>7</sup>     | Indonesia, Cameroon<br>Guatemala          |
| REDDES | 18 mil       | 9.23 mil      | 51       | Norway, Japan<br>Switzerland           | 30              | 5                  | Brazil <sup>8</sup> , Indonesia,<br>Ghana |
| CFME   | 10 mil       | 1.10 mil      | 11       | Japan, USA<br>Switzerland              | 5               | 1                  | Indonesia, Ghana,<br>PNG                  |
| TMT    | 5 mil        | 1.26 mil      | 26       | Switzerland, USA<br>Japan              | 8               | 2                  | Guatemala, Guyana,<br>Gabon               |
| TOTAL  | 58 mil       | 18.49mil      |          |  | 64              | 15                 |   |

17. Because relatively few TP projects have been completed to date (most of which are pre-projects or ITTO activities), and no ex-post evaluations have yet been conducted, it is not possible to assess definitively how much progress has been made toward meeting TP objectives and the potential for wider applications of outcomes/outputs to other countries. However, a general assessment of reports on completed and nearly completed projects/pre-projects/activities, including those funded under the TFLET pre-cursor initiative, indicates positive impacts and shows that a wide spectrum of TP outputs defined in the relevant TPD and MP are being addressed, albeit partially. At the same time, there are gaps in currently funded projects/pre-projects/activities for some specific TP objectives and outputs.

## E. Key findings and lessons learned during the pilot phase

18. Section V of the full report synthesizes the survey responses from ITTO and TPAC members on the effectiveness of TP pilot operations. These responses reflect a wide range of views, ideas and experience regarding the pilot phase. The following findings and lessons learned (presented in somewhat greater detail in the full report) are based on the synthesis of inputs received, as well as consultations with the Secretariat and other information contained in the full report.

### E.1. TP achievements/funding

1. Implementing TPs on a pilot basis has demonstrated the interest in and value of innovative programmatic approaches to addressing issues/problems identified by ITTO, and the ability of TPs to secure resources for ITTO's work from a broader base of donors, including new resources from non-traditional donors.
2. The positive response to REDDES and TFLET by both consumers and producers suggests that TPs may be more successful when they are closely aligned with Members' interests, including donor interests, and/or build on existing and well-supported ITTO initiatives.
3. Reasons for slower progress on TMT and especially CFME and no progress on IDE (all areas well within ITTO's mandate) should be explored, identified and addressed as soon as possible if these TPs are not to be seen as "failures".

<sup>5</sup> During the TP pilot phase, about USD 39 million was earmarked to non-TP projects, pre-projects and activities.

<sup>6</sup> USD 3 million pledged to the TFLET pre-cursor initiative

<sup>7</sup> Includes projects/pre-projects/activities funded under the TFLET pre-cursor initiative

<sup>8</sup> Regional project for the Amazon

4. There is a need to enhance momentum and stimulate significant increases in contributions to meet the objectives and deliverables of all TPs and realize their full potential. A variety of strategies should be considered in this regard, including mechanisms to enhance ITTO fundraising overall.
5. New funding sources may be particularly important to avoid competition for funding from traditional donors among TPs and between TPs and regular cycle projects.
6. During the TP pilot phase, many consumers, including regular donors, have continued to  earmark a majority of their ITTO contributions to regular projects, indicating that earmarking remains an attractive option.
7. Before establishing new TPs, it may be prudent to confirm widespread interest and support for prospective TPPs among Members and if possible other potential donors.

## **E.2. TP pilot operations**

1. The TP pilot operations have provided very useful experience and a solid basis for strengthening regular TP implementation.
2. Delegation of authority to the ED to manage the TP process has significantly streamlined the process of proposal appraisal and selection, accelerated project start up and reduced costs, as compared to the regular cycle.
3. The Secretariat has introduced positive measures regarding TP proposal appraisal and TP monitoring. These should be maintained or enhanced under regular TP operations.
4. Greater efforts on the part of ITTO Focal Points to ensure TP submissions are complete and properly formatted and prepared, and to indicate relative priorities when submitting multiple proposals, would further facilitate the appraisal process.
5. The general criteria for TP proposal selection that apply only to TPs (i.e. criteria e, g, h), as well as the two specific TP selection criteria contained in each TPD, cover factors key to TP success. A system of weighting is needed to give priority to these criteria in the TP appraisal process.
6. The MPs are an important innovation for monitoring and evaluating TP progress as a whole and can be further refined as needed under regular TP operations.
7. ITTO's project-related manuals and guidelines have been relevant to TP pilot operations. Updates or supplements are needed in due course to fully reflect TP procedures and requirements
8. The 6-month project cycle schedule has proved less relevant in the TP context which is driven by available funding, not a fixed calendar. A flexible schedule reflecting funding levels and the number of proposals submitted could lead to a better pace of work, including for TPAC reviews.
9. The Secretariat has absorbed the additional TP workload during the pilot phase within existing resources and structures. The reorganization of the Secretariat to address work under the ITTA, 2006 offers opportunities to mainstream and manage TPs holistically as collective pools of thematically linked projects/pre-projects/activities (e.g. by creating a TP unit within the Secretariat).

## **E.3. TPP/TPDs guidelines**

1. The guidelines for developing TPPs and TPDs during the pilot phase remain relevant, although some refinements are possible.
2. The TPDs have provided a good framework for TP pilot implementation. Future TPD's can build on these initial efforts with a view to further enhancing TP impacts, for example, by identifying priorities among activities, regional approaches and measureable targets.
3. Consultations with key partners in the thematic area during TPP/TPD development could assure and/or enhance complementarity at national and international levels and set the stage for continuing partnership and cross-institutional cooperation during TP implementation.

4. Periodic evaluations of TPs/TPDs will be important to assess progress toward TP objectives and the future outlook for TP success, as well as to identify course corrections needed and take into account new and emerging issues and institutional arrangements. The MPs will be useful tools in this regard.

#### **E.4. Scaling up knowledge, lessons and impacts**

1. Innovation and knowledge management and their multiplier effects are key features of a programmatic approach and should be emphasized throughout the TP process.
2. Although it is early to assess definitively the progress being made in meeting TP objectives and the potential for wider applications of outcomes/outputs, reports to date indicate positive impacts and show that a wide spectrum of TP outputs are being addressed in some way.
3. Ex-post evaluations of clusters of like projects/activities will be useful vehicles for analyzing lessons learned, as well as TP effectiveness and impacts.
4. Mid-term evaluations, especially for larger projects, can help identify emerging opportunities to mainstream results, as well as track progress.
5. A variety of mechanisms should be considered to widely apply and disseminate TP results, including workshops, learning modules, networking, publications and web-based platforms.
6. The potential for synergies between regional/global TP projects/activities and country-specific proposals by Members should be explored, with a view to building on lessons learned.

#### **E.5. Proposal formulation**

1. The quality of TP proposals has been mixed during the pilot phase, both technically and in terms of thematic/topical focus. Posting examples on the ITTO web site of well-designed and focused TP proposals, as well as successful completed projects, could help in this regard.
2. Assistance to interested Members in formulating specific proposals that effectively address TP objectives should be provided, drawing on TP funds already set aside for this purpose.
3. In view of the gaps in current projects/pre-projects/activities with respect to some TP objectives, encouraging proposals to help fill these needs could enhance TP success.

#### **E.6. TPACs**

1. TPACs play an important role in the TP process but are not yet fully operational. Additional efforts are needed to strengthen TPAC operations and contributions to the TP process.
2. Routine use of no cost internet-based mechanisms for regular coordination (e.g. to finalize proposal ratings) and updates (e.g. on lessons learned) would contribute greatly to this end.
3. Establishing standard working procedures and modalities would also be useful, including designating a Secretariat Focal Point for each TPAC, as well as a TPAC chair to provide leadership.
4. Annual TPAC meetings are desirable to foster a team approach. Given scarce resources, meetings could be supported through voluntary contributions (in the context of BWPs) or through programme support. At a minimum, TPACs should meet at key stages in the TP process (e.g. TPD/MP approval, TP evaluations).
5. TPACs can be most effective if comprised of individuals with a diversity of TP expertise at various levels. Establishing basic TPAC qualifications may be useful to fulfill TPAC functions.
6. Continuity among TPAC members is needed to develop and maintain a good understanding of ITTO and TP procedures and build relationships and synergies. This should be considered when inviting individuals to serve on TPACs.
7. It will also be important to establish that TPAC candidates have the time needed to devote to TPAC duties, particularly in the absence of dedicated annual TPAC meetings.

## F. Recommendations

19. It is recommended that TPs be immediately mainstreamed and recognized as a regular and substantial part of ITTO's work under the ITTA, 2006. In this regard, **the Council may wish to:**

- a. Consider refinements to TP pilot procedures and guidelines (Annexes 1-3 of Decision 9/XLIV) for regular TP operations, as proposed in Annex 1.
- b. Clarify the funding outlook for all TPs and in particular CFME, TMT and IDE; address issues that may be affecting donor interest; and identify marketing strategies to attract additional funding, including from the private sector and other sources external to ITTO, such as the regional development banks. Invite TAG and CSAG input as appropriate.
- c. In this context, consider strategies to enhance ITTO fundraising as a whole through, for example, an informal advisory group to advise/assist the ED; making greater use of Assistant Directors, CFA and TPACs; and developing targeted communication and outreach products.
- d. Consider how the proposed reorganization and downsizing of the Secretariat addresses work under the ITTA, 2006, including mainstreaming and holistically managing TPs.
- e. Include the following activities in BWP 2014-2015 and encourage Members to make voluntary contributions for these purposes:
  - I. A process to update or supplement ITTO project-related manuals, guidelines and tools as needed to ensure their full relevance and effective application to TPs.
  - II. Mid-term evaluations of TFLET and REDDES and, given sufficient progress, CFME and TMT, as illustrated in Annex 2.
  - III. Meetings of TPACs in connection with the TP mid-term evaluations in order to maximize their input and contributions and benefit from their experience and expertise.

20. **The Council may also wish to request the Secretariat to:**

- a. Increase assistance to Members as requested to enhance their ability to develop effective proposals that address TP objectives and where possible current gaps in TP projects, making full use of ITTO Regional Officers and TPAC expertise.
- b. Develop an ITTO strategy for mainstreaming TP lessons learned, best practices and follow up to include, for example, wide dissemination/publication of results, web-based platforms and learning modules, workshops and networking initiatives.
- c. Consider a flexible TP project cycle calendar/schedule which reflects the level of funds available, the number of proposals submitted, and the time needed for proposal review by all TPAC members.
- d. Strengthen TPAC operations to make them fully functional by, for example, designating a Secretariat Focal Point for each TPAC, convening periodic virtual TPAC meetings, establishing coordination procedures (including via the ITTO website as appropriate), and providing updates/follow up on relevant TP implementation activities (e.g. lessons learned). Establish a roster of TP experts based on nominations by Members, TAG and CSAG to supplement existing ITTO rosters of experts and consultants.
- e. Undertake ex-post evaluations of groups of TP projects/activities linked by objectives and outputs and make use of mid-term evaluations as a strategic evaluation tool, subject to the availability of funds. Include provisions for mid-term evaluations in future proposals, as appropriate.
- f. Further refine the TP review and rating process by weighting selection criteria/factors to reflect their relative importance to TP success, giving due attention to the coherence of, and linkages among, proposals to be funded under a TP and the importance of mainstreaming results.

- g. Refine MPs as needed to identify early warning performance indicators, closely align target values with the issues/problems each TP seeks to address, and strengthen knowledge management outputs and indicators.
  - h. Develop a list of regular cycle projects which have objectives/strategies/outcomes closely aligned to those of TPs and make final reports of listed projects available to Members on request. Include in future regular project ex-post evaluations an examination of the project's relevance (if any) to TP objectives, outputs and best practices.
21. **The Council may further wish to:**
- a. Urge consumers to provide new and additional voluntary contributions to ensure continued and enhanced TP operations and calls for proposals.
  - b. Urge producers, in particular producers not yet fully involved in TP implementation, to submit high quality proposals that effectively contribute to TP objectives, and request advice and assistance from the Secretariat as needed for this purpose.
  - c. Urge ITTO Focal Points to ensure that TP proposals forwarded to the Secretariat are complete, properly formatted and prepared, and technically sound; to indicate relative priorities when submitting multiple proposals; and to consider establishing a clearing house mechanism at the country level to this end.
  - d. Urge all Members to enhance outreach and communication at all levels on the opportunities provided by TPs.

**ANNEX 1**

**PROPOSED REFINEMENTS TO ANNEXES 1-3 OF DECISION 9(XLIV)**

DECISION 9(XLIV)  
ANNEX 1

PROCEDURES FOR PILOT OPERATION OF  
THEMATIC PROGRAMMES (TPs) FOR APPROVED THEMATIC PROGRAMME AREAS

| ACTION AND SEQUENCE   | RESPONSIBILITY  |
|---|---|
| 1. Development of a Thematic Programme Profile (TPP)                            | Executive Director (ED) in consultation with interested donors and Members                            |
| 2. Approval of the TPP  | Council   |
| 3. Preparation of a Thematic Programme Document (TPD) based on the approved TPP | ED with assistance of donors, other interested Members, and as appropriate, other partners            |
| 4. Development and submission of proposals for financing under the TP           | Members and ED  |
| 5. Assessment and selection of proposals for financing under the TP             | <b>ED based on the advice of the</b> Thematic Programme Advisory Committee (TPAC)                     |
| 6. Monitoring & evaluation of TP implementation                                 | Secretariat, implementing agencies, TPAC  |
| 7. Reporting on TP implementation   | Annual reporting to Council by ED<br><br>Bi-annual reporting by implementing agencies and Secretariat |
| 8. Revision/amendment of the TPD as needed                                      | Council   |

DECISION 9(XLIV)  
ANNEX 2

GUIDELINES FOR THEMATIC PROGRAMME PROFILES  
AND THEMATIC PROGRAMME DOCUMENTS

1. Thematic Programme Profile (TPP)

A TPP is a concise scoping document that provides an initial description of the Thematic Programme (TP) and covers the following elements:

- a) Rationale statement, including problem to be addressed and international context
- b) General objectives, **including a description of what constitutes programme success**
- c) **ITTO's comparative advantage and value-added in the thematic area**
- d) Strategy to be employed
- e) Anticipated outputs/outcomes and benefits
- f) Potential partners/collaborating agencies **and anticipated means of cooperation**
- g) Indicative budget and timeframe
- h) Potential donors

2. Thematic Programme Document (TPD)

A TPD further develops the TPP and provides detailed information on the following planning and operational elements. These elements comprise the logical framework for the TP:

Planning elements

- a) Rationale statement and problem analysis, including relevant international and regional processes and value-added of the programme
- b) Specific objectives, including intermediate targets
- c) Strategies for achieving objectives, **including through knowledge management**
- d) **Research inputs and methods, as appropriate**
- e) Outputs/outcomes/deliverables and expected impact/benefits
- f) Other partners and stakeholders
- g) Activities, **including priority activities, as appropriate, and regional activities**
- h) Work plan, including budget estimates and donor contributions

Operational elements

- a) Composition of the Thematic Programme Advisory Committee and expert profiles
- b) General selection criteria for proposed activities/projects/pre-projects outlined in paragraph 2 of Annex 3
- c) TP-specific selection criteria for proposed activities/projects/pre-projects
- d) Administrative arrangements
- e) Monitoring and evaluation procedures
- f) Technical and financial reporting procedures

3. **To the extent possible, new TPDs will be developed in close consultation with TAG and CSAG, as well as ITTO partners within the Collaborative Partnership of Forests with significant mandates and activities in the thematic area.**

DECISION 9(XLIV)  
ANNEX 3

TERMS OF REFERENCE FOR  
THEMATIC PROGRAMME ADVISORY COMMITTEES

1. Each ITTO Thematic Programme (TP) will have a Thematic Programme Advisory Committee (TPAC) to assist the Executive Director with the implementation of the TP as follows:
  - a) Selection of activities/pre-projects/projects for financing under the TP;
  - b) Monitoring and evaluation of progress in implementing the TP; and
  - c) Identification of potential additional sources of voluntary financial contributions to the TP.
2. In selecting activities/pre-projects/projects for financing, all TPACs will consider the following general criteria, in addition **to the requirements identified in the ITTO Manual for Project Formulation**, and the specific criteria identified in the relevant TPD:
  - a) Conformity with the specific objectives and **deliverables** contained in the TPD;
  - b) Linkages or relevance to other activities/pre-projects/projects under the programme;
  - c) **Mechanism for knowledge management and applicability/extension of results to other countries**, regionally or globally;
  - d) Clear quantitative and qualitative indicators to evaluate progress towards achieving TP objectives;
  - e) Measures to verify the coherence and effectiveness of activities/pre-projects/projects funded under the TP.
3. The membership of a TPAC and its functions will be identified in the TPD. As a general rule, each TPAC will not exceed **eight** members, taking into account the need for balanced representation among members. They will include:
  - a) Three producer member representatives;
  - b) One non-donor consumer member representative;
  - c) Representatives of interested donors;
  - d) **Representatives** of collaborating institutions;
  - e) **One representative of TAG and/or CSAG depending on the nature of the TP; and**
  - f) Executive Director or his designated representative.
4. **All TPAC members will have recognized expertise on the TP, including experience relevant to the functions contained in paragraph 1.**
5. The Executive Director will invite individuals to participate on TPACs **for a three-year term based on nominations by Members, as well as TAG and CSAG, which are included on a roster of TP experts.**
6. As a general rule, TPACs will coordinate **regularly** through electronic **and internet means, including voice and video internet communications (e.g. Skype), and will meet as needed to fulfill their functions, subject to the availability of funds. TPAC chairpersons and TPAC focal points within the Secretariat will consult closely on TPAC operations.**

## **ANNEX 2**

### **ILLUSTRATIVE BWP 2014-2015 ACTIVITY ON MID-TERM EVALUATIONS OF ITTO THEMATIC PROGRAMMES<sup>9</sup>**

*ITTA, 2006, Articles 20, 24, 25  
Relevant ITTC 48 Decisions  
ITTC Decisions 8, 9 and 10(XLIV)  
ITTO Strategic Action Plan: 2013-2018*

#### **I. Background**

In November 2008, through Decisions 8, 9 and 10(XLIV), the Council launched the pilot operation of ITTO Thematic Programmes (TPs) for the following five thematic areas.

1. Forest Law Enforcement, Governance and Trade (TFLET)
2. Reducing Deforestation and Forest Degradation and Enhancing Environmental Services in Tropical Forests (REDDES)
3. Community Forest Management and Enterprises (CFME)
4. Trade and Market Transparency (TMT)
5. Industry Development and Efficiency (IDE)

TFLET and REDDES TPs became operational in 2009 and have sufficient completed or ongoing projects/pre-projects/activities to warrant a comprehensive assessment of progress and achievements to date in meeting TP objectives. CFME and TMT became operational in 2010 and are expected to have sufficient projects/pre-projects/activities completed or underway in the near future to support a similar assessment of efforts and impacts to date.

#### **II. Description**

Conduct mid-term evaluations of TFLET and REDDES in 2014 and CFME and TMT in 2015 to evaluate progress and achievements in meeting TP objectives and identify further actions needed. Each evaluation will assess:

1. The extent to which funded projects/activities have contributed to meeting TP objectives
2. The coherence of funded projects/activities
3. Any gaps in projects/activities relative to specific TP objectives and outputs
4. Lessons learned and opportunities for upscaling lessons and best practices to other countries/regions
5. TP complementarity with significant ongoing programmes/initiatives in the thematic area
6. New and emerging issues and institutional arrangements relevant to the TP
7. Opportunities for new and additional funding from public and private sources

The TP Monitoring Protocols will provide a framework for the TP evaluations which will consider, *inter alia*, the results of ex-post and/or mid-term project evaluations and consultations with representatives of organizations with significant TP-related mandates. The evaluations will be undertaken with the involvement of TPACs, and a meeting of each TPAC will be organized at a key juncture in the evaluation process.

#### **III. Expected Outputs**

1. Comprehensive mid-term evaluation reports on progress and achievements under each TP.
2. Identification of potential sources of additional funding and ways to approach them.
3. Recommendations to strengthen TPs, revise/update TPDs and enhance coordination with partners.

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<sup>9</sup> This activity is illustrative only and of necessity cannot reflect the status of TPs and TP operations as of ITTC 49 when Council will consider the proposed BWP 2014-2015.