



ITTO

INTERNATIONAL TROPICAL TIMBER COUNCIL

Distr.
GENERAL

ITTC(XXVIII)/20
30 May 2000

Original: ENGLISH

TWENTY-EIGHTH SESSION
24 - 30 May 2000
Lima, Peru

DECISION 3(XXVIII) EX-POST EVALUATION OF PROJECTS

The International Tropical Timber Council,

Recalling Decision 7(XXVII), which requested the Executive Director to review Section 7 in Annex 2 of Decision 2(X) on ex-post evaluations with a view to defining a simple procedure for identifying projects or groups of projects requiring ex-post evaluations and defining a simple and cost effective procedure to carry out ex-post evaluations, including alternative ways for financing ex-post evaluation work,

Further recalling Annex 2 of Decision 2(X), which defined the content and composition of ex-post evaluation missions,

Taking note of the Secretariat document ITTC(XXVIII)/12, presenting options for selection and funding of ex-post evaluations,

Considering that all completed projects are potential candidates for ex-post evaluation, and the importance of identifying and disseminating lessons learned,

Decides to:

1. Request Committees to consider as candidates for ex-post evaluation all individual projects or groups of projects based on the criteria contained under the "Procedures to Identify Projects/Groups of Projects for Ex-post Evaluation" contained in Annex I of this Decision; based on experience with these draft procedures, the Committees may wish to propose final procedures to the Council at a future Session;
2. Authorize the Executive Director to seek agreement from the contributor(s) in accordance with Article 20, paragraph 11 of ITTA, 1994 and to create a separate pool of funds within each Committee for financing ex-post evaluations using the remaining ITTO monitoring and evaluation funds. Funds will be transferred to the pooled sub-accounts from completed, audited and closed projects. Financial procedures are given in Annex II to this Decision;
3. Request that the proponents for project proposals include a budget provision for possible ex-post evaluation as part of project formulation and request the Expert Panel for Technical Evaluation of Project and Pre-project Proposals to consider such provisions;
4. Change the requirement for three independent consultants to carry out ex-post evaluations as spelled out in Decision 2(X) to a requirement of from one to three independent consultants, depending on the size and nature of the evaluation;
5. Request the Executive Director to ensure that the Terms of Reference for the work of the evaluation missions includes consultation with project stakeholders;

6. Request the Executive Director to synthesize and disseminate the results of the ex-post evaluations for example through posting on the ITTO website, articles in the Tropical Forest Update and otherwise take active steps to make the lessons learned from the project(s) broadly available to stakeholders and the interested public; and
7. Request the Executive Director to convene at appropriate intervals an Expert Panel comprised of ITTO stakeholders to synthesize the lessons learned from the outcome of these evaluations and to provide recommendations to the Council accordingly.

ANNEX I

Ex-post Evaluation of Projects

Procedures to Identify Projects/Groups of Projects for Ex-Post Evaluation

1. Procedure to Identify Projects for Ex-Post Evaluation

- (i) Decisions on whether a project or group of projects should be submitted to ex-post evaluation should be taken by the Committee(s) overseeing implementation of the project(s);
- (ii) The decision by the Committee of whether an ex-post evaluation is needed, will normally be taken at the Session at which the project is reported as completed. The decision will propose a time schedule and budget for implementation of the ex-post evaluation work;
- (iii) To assess if a project requires ex-post evaluation, the Committee(s) should take into account the nature of the project (ex-post evaluation is particularly important for human resources and institutional/infrastructure development projects). A short-list of projects whose ex-post evaluations would be beneficial should be prepared by selecting those meeting the following requirements:
 - (a) ITTO budget of individual projects or groups of projects above an appropriate level (e.g. US\$400,000);
 - (b) Clear benefits to be derived from learning more about facts, achievements and difficulties during project implementation and completion, including information and data on:
 - whether the expected outputs were achieved;
 - whether the project achieved its specific objective(s);
 - whether there were unexpected results and impacts, either harmful or beneficial;
 - who benefited from the project;
 - what were the key lessons learned from the project;
 - what direct recommendations have arisen for future projects; and
 - whether the project activities are sustainable.
 - (c) The potential for wider application of lessons learned;
 - (d) Other factors as considered appropriate by the Committees.

(Note: The list above could form a part of the Terms of Reference for ex-post evaluation missions.)

2. Identifying Groups of Projects to be Evaluated

Ex-post evaluations should normally be performed after at least one year has passed following the completion of activities and the presentation of the completion report to the respective Committee. Ex-post evaluations to be performed on a group of projects must, therefore, collectively require that this interval has elapsed following the reported completion of all projects to be included in the evaluation. The following are possible approaches for grouping projects for ex-post evaluation.

- (i) Phased project evaluation. Several ITTO projects have been implemented over several years in two or more phases. Due to the length, budgets, and general complexity of such phased projects, they generally fit the criteria for ex-post evaluation and could be considered as a whole for evaluation following completion of the final phase.
- (ii) Country-group evaluation. The evaluation of multiple projects at the country level would determine the impacts of ITTO activities in the country. The findings of this grouping approach could be utilized to improve the methods employed in formulation and implementation of future projects in that country.

- (iii) Thematic group evaluation. This grouping approach would take a broad perspective on a category of project work (e.g. secondary processing of forest products, lesser-used species, etc.). This type of thematic grouping for ex-post evaluations could identify common problems associated with implementation of projects related to a defined theme. These findings could assist in the formulation and implementation of future projects.
- (iv) ITTO goal evaluation. There is a need for ITTO to evaluate how its project work is contributing to the organization's goals as spelled out in the Action Plan. The work currently being carried out by Council to assess progress towards the Year 2000 Objective should provide useful groupings of projects to be considered for evaluation in this regard.

ANNEX II

Financial Procedures

- (i) Within the Special Account, three sub-accounts will be created, one for each Committee (CEM, CFI and CRF) to fund ex-post evaluations carried out under the supervision of the respective Committee, in accordance with the decision of the Council. Committees shall specify the source of funds to be used for the ex-post evaluation work such as remaining ITTO Monitoring and Evaluation funds, specially budgeted Ex-post evaluation funds or the funds placed in the sub-account of the Special Account for ex-post evaluations.
- (ii) The budget prepared for the ex-post evaluation should include the fee and travel costs of the mission, preparation of the report, translation costs and costs associated with the dissemination of the results and any other costs as required.
- (iii) Funds remaining in completed projects, under ITTO's budget item for monitoring and evaluation, and for ex-post evaluation, will be transferred to the appropriate sub-account of the Special Account after receipt and acceptance of the project's audited financial report and after the project has been declared closed according to the Organizations financial procedures and after agreement by the contributor(s) to transfer funds in accordance with Article 20, paragraph 11 of ITTA (1994).

* * *