ITTO

GI SERIES
14

Manual for project monitoring, review, reporting and evaluation

THIRD EDITION

2009

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INTERNATIONAL TROPICAL TIMBER ORGANIZATION

ITTO Manual for project monitoring, review, reporting and evaluation
Third Edition
General Information Series #14

The **International Tropical Timber Organization** (ITTO) is an intergovernmental organization promoting the conservation and sustainable management, use and trade of tropical forest resources. Its 60 members represent about 80% of the world's tropical forests and 90% of the global tropical timber trade. ITTO develops internationally agreed policy documents to promote sustainable forest management and forest conservation and assists tropical member countries to adapt such policies to local circumstances and to implement them in the field through projects. In addition, ITTO collects, analyzes and disseminates data on the production and trade of tropical timber and funds projects and other actions aimed at developing industries at both community and industrial scales. All projects are funded by voluntary contributions, mostly from consumer member countries. Since it became operational in 1987, ITTO has funded more than 750 projects, pre-projects and activities valued at more than US$300 million. The major donors are the governments of Japan, Switzerland and the United States.

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Foreword

I have the pleasure to introduce herewith the third edition of the ITTO Manual for Project Monitoring, Review, and Evaluation. Projects are an important aspect of ITTO's work and a primary means of assisting Member Countries to implement the Organization's policy initiatives. The third edition of the ITTO Manual for Project Monitoring, Review, Reporting and Evaluation was designed and prepared to guide both ITTO and ITTO Project implementing agencies in their routine monitoring functions relating to the assessment of Project progress during implementation, and in the evaluation work carried out for certain Projects for which an in depth assessment of validity, design appropriateness and impact is found necessary.

This third edition of the Manual has been prepared building upon the second edition published in May 1999, taking into account the experiences gained in the formulation, appraisal, implementation and evaluation of over 500 Projects and Pre-projects submitted to ITTO by Member Countries in the past seven years. Numerous recommendations have been followed, which, in the course of the years, have been included in Council decisions, reports of the Expert Panel for the Technical Appraisal of Project and Pre-project proposals, in Project evaluation reports, and in reports of ad hoc Working Groups and Expert Panels.

This third edition of the Manual has been produced simultaneously with the ITTO Manual on Standard Operation Procedures (SOP). The SOP comprises the framework for the entire Project cycle and contains procedural and organizational elements which are also relevant for Project monitoring, review, reporting and evaluation.

Emmanuel Ze Meka
Executive Director
International Tropical Timber Organization (ITTO)
Yokohama, December 2008

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List of acronyms

CA	Collaborating Agency
EA	Executing Agency
ITTA	International Tropical Timber Agreement
ITTO	International Tropical Timber Organization
LFM	Logical Framework Matrix
MoU	Memorandum of Understanding
NGO	Non-Governmental Organization
PMO	Project Management Office
PSC	Project Steering Committee
PTC	Project Technical Committee
RIL	Reduced Impact Logging
SOP	Standard Operating Procedures
YPO	Yearly Plan of Operation

Introduction

1.1 Relationship to other manuals

In order to attain better coherence, the following Manuals and Guidelines have been produced simultaneously and attuned to each other:

ITTO Manual on Project Standard Operating Procedures (SOP) contains procedures and requirements, which should be followed for the entire Project cycle: identification and formulation; submission; appraisal; approval; inception; implementation; monitoring and evaluation; completion. The Manual on SOP refers to the other Manuals, guidelines and rules for guidance and requirements pertaining to specific aspects of the Project cycle.

ITTO Manual for Project Formulation, third edition 2008, provides clear and concise instructions on the structure and content of the Project format and includes examples of important elements of the Project design and analysis. The Manual includes examples of problem trees (Annex C), Logical Framework Matrix (Annex D), guidelines for ensuring local community participation in the Project cycle (Annex A) and guidelines to take account of the environmental impact of Projects (Annex B)

ITTO Manual for Project Monitoring, Review, Reporting and Evaluation, third edition 2008; provides guidance to Executing Agencies and to the secretariat of the ITTO on required procedures to implement, monitor and evaluate Projects. It provides particularly guidance for the Executing Agencies to set up and implement monitoring systems and to produce relevant reports.

ITTO Guidelines for the Selection and Employment of Consultants;

Guidelines for the Procurement and Payments of Goods and Services, second edition 2008;

Computerized tools; (software downloadable from internet) to facilitate drafting of the Project proposal, budget preparation and monitoring.

It is necessary that Project proposal proponents and Executing Agencies are fully aware of the implications which these manuals and guidelines have for Project implementation.

1.2 Background for users of the manual

In 2004, ITTO monitoring systems and procedures were reviewed.[1] The review revealed that internal monitoring by the Executing Agencies and monitoring by ITTO were insufficiently attuned. Information access, processing and transmission were major problems which could be resolved by the establishment of a single integrated database for Project documents and progress/completion reports.

The third edition of the Manual for Project Monitoring, Review, and Evaluation has been revised taking into account experiences of the secretariat, reports of Expert Panels and ad hoc Working Groups and the above mentioned review.

With the changes relative to the second edition, the third edition of the Manual for Project Monitoring, Review, and Evaluation may enhance and promote:

- systematic monitoring by the Executing Agencies.
- coordinated monitoring actions between Focal points and ITTO secretariat.
- coherence between Project proposal budget formats and monitoring formats.

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[1] Review of ITTO monitoring systems/procedures, Preliminary report by Sergio Salles-Filho, Department of Science and Technology Policy, State University of Campinas, Sao Paulo, Brazil; May 2004.

- attuning of data collection and reporting by the Executing Agency and the need for information with the ITTO secretariat.
- information access, processing and transmission.
- the basis for a single integrated data base for four categories of information: Project document, Progress reports, Yearly Plan of Operations and Completion reports.
- focus of evaluation missions

The revised Manual may also contribute to:

- reduce duplication of information contained in Yearly Plan of Operation and Progress reports.
- eliminate repetition of information contained in completion reports.

After the Introduction the Manual is presented in two parts, covering Project monitoring, review and reporting (Part A) and Project evaluation (Part B). In addition, to clearly presenting concepts and definitions related to monitoring, review and evaluation, the Manual includes detailed guidance on the contents and formats of Project related reports, such as progress and technical reports, financial reports, completion reports and evaluation reports.

Part A Project monitoring, review and reporting

1 Monitoring

Concept

The basis for a quality management system is the Plan, Do, Check, Act concept, where check is the monitoring part of the concept.

> Monitoring is the continuous process of collecting and analyzing data (indicators), with a view to identifying any need for corrective actions to ensure Project execution towards attaining its Objective.

Monitoring verifies the actual situation in relation to the planned situation. Monitoring starts, once the Project proposal has been approved and funded. Depending on the outcome of monitoring, actions may be required to adapt implementation. Monitoring is a procedure of continual search for efficiency and effectiveness.

At ITTO Project level four factors need to be monitored:

- **Input**: the timely availability of Inputs, e.g. personnel, equipment, funds, expenditures and timely and proper execution of Activities working processes, using as indicators planned input items from input tables and budget tables.
- **Output**: delivery and quality of the Outputs (direct results), using indicators as presented in the logical framework matrix in the Project document
- **Outcome:** the extent to which the Specific Objective has been achieved, using indicators as presented in the logical framework matrix in the Project document, e.g. response of target beneficiaries to (use) Project Outputs.
- **Impact**: is a fundamental and sustainable change in conditions after Project implementation. Impact is linked to the Development Objective. Therefore the social, economic and environmental impacts should be described in terms relevant to the Development Objective, using indicators as presented in the logical framework matrix in the Project document (ITTO logical framework matrix on Annex F) and defined in impact assessment reports as far as they are available.

A basic **monitoring system** consists of:

- **Identified objects and indicators** to be examined pertaining to input, including expenditures, Output, outcome and impact **(What).**
- **Methods/means of verification** and frequency of data collecting concerning the indicators **(how, when, by whom?);**
- **Processing and analysis of the data; and**
- **Defining corrective actions.**

Internal monitoring

All agencies involved in the implementation of the Project, i.e. Executing Agency, in collaboration with the ITTO Contact point as appropriate, and Collaborating Agencies, should have an internal monitoring system in place. The system should ensure successful implementation of the Project including adjustments of the Workplan/YPO and implementation according to defined corrective actions.

The selection of what should be monitored and by what indicators is crucial for the effectiveness of a monitoring system. The Logical Framework Matrix and the Workplan/YPO provide the basis for the monitoring Activities. Internal monitoring should include the following subjects:

- follow up commitments resulting from the Agreement between ITTO and the Executing Agency;
- progress and proper execution of work, using as indicators planned input items from input tables and budget tables and the Activities in the Workplan and YPO. The EA, and where appropriate the CA, must:
  - monitor the actual availability and performance of the persons and equipment assigned to the Project by both the EA itself and the CA's, as well as the availability of funds;
  - verify that the person responsible for a specific task has the appropriate technical and personal qualifications;
  - anticipate turnover in personnel. Actual turnover and working conditions should be monitored;
  - anticipate and monitor delays in disbursements of funds; and
  - anticipate and monitor (weather) conditions which may slow down or delay Activities.
- on time delivery and quality of the Outputs, using indicators as presented in the Logical Framework Matrix in the Project document;
- the extent to which the Specific Objective has been achieved, using indicators as presented in the logical framework matrix in the Project document, e.g. response of target beneficiaries to (use) Project Outputs; and
- social, economic and environmental impact and the effect of mitigating measures, using indicators referring to the Development Objective, as presented in the logical framework matrix in the Project document and defined in impact assessment reports as far as they are available.

Monitoring these matters enables mitigating measures and prevents confrontation with unexpected delays in delivering the Outputs. It may be useful to setting up an early warning system to anticipate possible delayed Inputs or no shows. The system would check availability of planned Inputs well ahead as well as shortly before their planned use.

Implementation of the monitoring system must be part of the planned Activities in the Workplan.

Findings of *internal monitoring* are not only a basis for action but also enable the Project manager to report objectively and promptly to higher levels of administration. This is necessary if there is any need to adopt preventative or corrective actions, or simply to keep them informed on the Project progress and situation. Outcomes of internal monitoring should be fed into progress reports. The structure of the progress reports and the internal monitoring system should be attuned to each other. Progress reports should present relevant data in an ITTO format. (Annex C Model Project Progress Report.)

External monitoring

The external monitoring of a Project is undertaken by ITTO, in cooperation with donors where desirable, to supervise Project implementation. Therefore an important aspect related to Project monitoring is that the information to be provided must come in a format adequate to be analyzed and registered by the Organization.

The ITTO relies on the information provided by the EA's, to monitor Project implementation and to carry out its own Project management responsibilities, such as deciding on Project continuation or on the payment of Project funds.

Reports on the operational and financial progress of the Projects must enable the ITTO management to:

- assess whether these Projects are proceeding according to the agreed work schedules, so that the necessary ITTO actions (e.g. payments to the Executing Agency) may be taken;
- propose and participate in any necessary reviews of the Projects as a result of these assessments; and
- report to the Committees and the Council on the situation and completion prospects for the Project.

2 Review

Concept

Part of monitoring procedures is the Project Review.

> Project review is a specific formal examination of Project implementation towards attaining its Objective, as part of the Project monitoring Activities.

The periodic Project review is part of ITTO's own monitoring function and constitutes an important element in the process of interacting locally with the Project staff, visiting the implementing agency (or agencies) and other institutions involved, and of gaining deeper and more direct insight into the progress of the Workplan.

All Project review will use the Logical Framework Matrix and its associated Workplan/YPO in the Project document as the main frame of reference. Review, as monitoring does, should in particular examine systematically the indicators of achievement of each of the Project elements - Outputs, Specific Objective(s) and Development Objective.

Procedure

Review missions for smaller or shorter Projects will be conducted by ITTO secretariat, in cooperation with the Executing Agency and host government(s) and/or other representatives of the Project Technical Committee (PTC) as appropriate. For Projects whose implementation is planned to take place over longer than 24 months, and where ITTO is contributing at least US $400,000, reviews will be made by the Project Steering Committee (PSC). The PSC mission will normally consist of one ITTO representative and at least one representative of the government(s) in whose territory the Project is being executed; it may also include a donor representative. The aim of the PSC/PTC review is to assess whether the Project is proceeding according to the work schedule and to provide recommendations and approve any change in actions which would help support the success of the Project.

ITTO may launch specific *Financial Review* missions with the purpose to improve insight in the actual financial situation i.e. expenditures, liquidity, or to help to overcome problems with the financial management.

An up to date *Progress Report* should be submitted by the Executing Agency four weeks before a review mission.

3 Reporting

ITTO requires that Project Documents and Project Agreements would provide for the supply of detailed information by the Executing Agency. In this chapter the following reports will be introduced:

- Inception report (inception phase)
- Yearly Plan of Operation (inception phase and implementation phase)
- Progress report (implementation phase)
- Technical report (implementation phase)
- Financial reports (implementation and completion phase)
- Completion reports (completion phase)

In presenting reports, it may often be useful to illustrate what has happened with the aid of audio-visual materials.

3.1 Inception phase

A Project Agreement will be signed between ITTO and the Executing Agency. The Agreement requires the Executing Agency to submit an Inception report.

3.1.1 Inception report

Concept

> The *Inception* report is the formal notification that the Project is about to commence. It comprises confirmation that all conditions are met, provisions are in place and formalities have been concluded for a smooth start of the Project implementation.

The inception report should contain matters such as :

- confirmation of the availability of office facilities;
- bank account (separate account or sub-account) in internationally recognized bank;
- proposal of assignment of core Project personnel including counterpart Project staff; and
- changes since submission of the Project document;

The inception report has the following appendices:

- Yearly Plan of Operations for first year (see section 3.2.1), or detailed Workplan (section 3.2.2); and
- Memorandum of Understandings (MoU's) between EA and Collaborating Agencies (CA's).

The format for the Inception Report with the complete table of content is attached as Annex A.

Procedure

The EA should submit the inception report after the signing of the Agreement. ITTO will release the first installment of funds after the approval of the Inception report including the first Yearly Plan of Operations/ detailed Workplan. The official starting date of the Project is the day that the first installment has been received by the Executing Agency. The EA should notify the Secretariat about that date.

If, within *three* months of the official starting date, the Project has not begun, the Executing Agency will report to ITTO on:

- the reasons for the delay in start up;
- any preparatory Activities that are nevertheless under way;
- any measures that are being taken, or could be taken, to speed up the start; and
- any revision of the detailed Workplan that appears necessary as a result of the delay.

If within a *further three* months, the Project has still not begun, the Executing Agency will provide another report in the form above to the ITTO Secretariat. The Secretariat will then draw the situation specifically to the attention of the next meeting of the Committees and the Council.

3.2 Implementation phase

3.2.1 Yearly Plan of Operation (YPO)

Concept

One of the major difficulties in Project planning is that the "radius of foresight" hardly ever corresponds to the "radius of action". That is to say, the longer the duration of a Project phase, the more difficult it is to correctly assess whether the Activities of subsequent years are realistically planned. For that reason, planners have introduced the notion of a "rolling plan" i.e. the subsequent YPO's. YPO's are required for Projects with a duration of 24 months or more and a budget in excess of $ 400,000.

> The *YPO* is the annual operational plan for the implementation of the project. The YPO should present the coming operational year in greater detail than in the Project document.

An YPO should be based on the results of internal Project monitoring, the recommendations of external reviews and external mid-term evaluations and on progress reports and technical reports produced in the year prior to the year covered by the YPO.

As long as no external evaluation has commended conceptual changes and the Outputs of the Project remain unchanged and, in such a case, the YPO will stress within the framework of the initially defined Outputs, whenever deemed necessary, alternative Activities, Inputs and Workplan.

The format for the YPO is attached as Annex B.

Procedure

The YPO is prepared, on a yearly basis, by the EA. The first YPO will be attached to the Inception report. The subsequent YPOs have to be submitted to the Executive Director or the Project Steering Committee as appropriate, at the latest ten weeks before the beginning of the following year of project implementation.

The Executive Director approves the YPO upon recommendation of the Project Steering Committee, as applicable.

Software (Protool) is available on the ITTO site to facilitate preparation of the YPO in particular for updating the Workplan and for processing input and budget tables.

3.2.2 Detailed Workplan

Concept

> A detailed Workplan is the operational plan for the entire period of implementation of a project with a duration less than 24 months and a budget not exceeding $ 400,000.

The detailed Workplan should be updated for the second year of implementation, based on the results of internal Project monitoring and on progress reports produced in the first year of implementation.

The format of detailed Workplan is simpler than the one for the YPO and consist of the Cover page and the following sections of the YPO format: 2.2 Outputs and Activities; 2.3 Annual Activity Program; 2.5 ii) Reports to make available to ITTO; 3 Personnel planning, coordination and institutional relations. 4 Budget.

Procedure

The detailed Workplan is prepared for the entire period of implementation, by the EA. The first detailed Workplan will be attached to the Inception report. The subsequent detailed Workplan has to be submitted to the Executive Director at the latest ten weeks before the beginning of the following year of project implementation.

The Executive Director approves the detailed Workplan.

3.2.3 Project progress report

Concept

> The ***Progress*** Report is the bi-annual formal and Objective account of the Executing Agency on the executed Activities, expenditures and achieved Outputs in the period covered by the report meant for higher levels of administration. Progress reports present information which is essentially managerial.

The aim of Project Progress Reports is:

- to ensure that ITTO has a clear picture of the extent to which the Project Activities are proceeding according to plan (e.g. tasks which have been started or concluded the percentage of the work carried out) and the expenditures and progress is being made to date in the production of Outputs and the achievement of Specific Objectives; (information should be based on the results of the Executing Agency's monitoring of the Project);
- to relate the Activities and purchases already carried out to the expenses from ITTO funds which have provided to the Executing Agency; and as appropriate; and
- to justify any request for further installments of ITTO funds in terms of the timing and amount of future work and related resource requirements, as now foreseen.

The format for *Project Progress Reports* is attached as Annex C.

Procedure

Project Progress Report on all Projects under implementation should reach the Secretariat not later than 28th February and 31st August in each year of Project implementation. Also, Project Progress Reports shall be made by the Executing Agency to arrive in ITTO four weeks before the planned start of any review mission, and before any point in the progress of the Project at which it is agreed that funds shall be provided to the Executing Agency for the progress of the work, or at any other intervals stipulated in the Project Agreement.

Software is available on the ITTO site to facilitate in particular reporting on the Workplan progress and on the financial statements.

3.2.4 Project technical reports

Concept

Technical Reports differ from *Progress Reports* in the nature of their content and purpose.

> The ***Technical*** Report is the means to register and transfer the results of the work carried out under the ITTO research, development and demonstration Projects.
>
> Technical Reports contain technical and scientific data, analysis of the data and the Project results.

The reports present procedures and methodologies adopted, the data established, the results achieved and the conclusions reached.

The *purpose* of the ITTO Project Technical Reports is to transmit to other persons and institutions the technical and scientific knowledge acquired through the work financed by ITTO. The dissemination of information requires that the related data be made available in a clear and concise way. Technical Reports may also be introduced in electronic media.

The *terminology* utilized in the ITTO *Project Technical Reports* should be appropriate for scientific publications. The *structure* of the Project Technical Report should follow international standards for presentation of technical and scientific work.

Moreover the technical, methodological and scientific acquired knowledge should be "translated" in their implications for practice in a way that is digestible and understandable for each specific target group. This goal could be achieved by specific chapters in the technical reports or by producing a separate series of "Implications for practice" documents. The kind of reports to be produced and the way of their dissemination has been presented in the *dissemination strategy* as being referred to in Part 4 of the format for the Project document.

The *reference part* of the Technical Report may include:

a) *Annex(es)*, if necessary. The information displayed in the annex(es) should not be essential to understand the discussion of results presented in the main body of the Report, but should be sufficiently relevant to be included as an appendix; and

b) *Bibliography*, or relevant publications on the theme which may give further insight into the Project work, should also be presented as an appendix to the main body of the Report, or as footnotes in the relevant pages of the Report.

The format for *Project Technical Reports* is attached as Annex D.

Procedure

Results of various research topics should be presented in individual Technical Reports. Technical Reports should occur whenever relevant technical results are foreseen. They could be interim reports or final reports. The individual final Technical reports should be attached to the Completion report.

3.2.5 Financial audit report

Concept

The Project Agreement requires the Executing Agency to submit to ITTO, in addition to the financial information in the *Project Progress Reports*, an **audited financial statement**. The financial audit report consists of the **statement of the auditor** accompanied by and referring to:

- the opening balance;
- the expenditure incurred against each head of the Project budget including cumulative receipts and expenditures to date, separately for ITTO budget and counterpart budget components, (actual financial statement);
- any income earned or accruing; and
- the closing balance for the Project accounts, distinguishing between the funding provided by ITTO, the funding provided by the Executing Agency and the funding provided by any other sources.

Procedure

Audited Financial reports are required:

- annually, within three months after the end of the financial year for Projects with ITTO budget amount equal to or in excess of $ 200,000 and duration of 2 years or more;
- within four months after the completion of the Project; and
- at any other time which may exceptionally appear to the ITTO Secretariat to be necessary.

Formats for the Financial Audit reports are provided in the SOP Annex F

3.2.6 Special reports

If at any time the Executing Agency discerns that achievement of the Project Specific Objective(s) is significantly endangered by unexpected external events or by slippages or failures in any part of the detailed Workplan which the Project management is not able to rectify, it shall immediately report the situation to ITTO with as clear an analysis as possible, together with its recommendations. The ITTO Secretariat will then normally set in hand a special review to assess the situation together with the Executing Agency, and with the host government as appropriate. If funding is earmarked, it will also promptly report the situation to the financing source. Such special reports shall normally be in the same form as the *Project Progress Report*.

3.3 Completion phase

Upon completion of the Project, the Executing Agency shall make an early assessment of its outcome and report to ITTO in a Completion report.

3.3.1 Completion report

Concept

> The ***Completion*** report is the final formal report summarizing, upon Project completion, all planned Project elements versus their actual implementation, establishing the impact and the expected sustainability of the Project in the post Project period and presenting the lessons learned.

The completion report summarizes the Activities, Inputs and expenditures, achieved Outputs and Objectives, during the entire implementation phase and highlights particularly the most critical differences between planned and realized Project elements, using the original Project document as reference. The report reflects in retrospect on the Project identification process, the set Objectives and the chosen implementation strategy. To that end, the EA will organize together with stakeholders an *internal_evaluation* shortly before the completion of the Project.

The *purpose* of the report is to record all the relevant information regarding the Project which should be kept as “institutional memory”. The completion report will be used as the basis for the Secretariat’s reports to the Committees and the Council on completed Projects. The format for *Completion Reports* is attached as Annex E.

Procedure

The EA shall submit the Project Completion Report within three months of Project completion. A Project is officially completed when the Technical Committee has accepted the technical Completion report. The financial closure is marked by the acceptance by the ITTO Executive Director of the final audit and refunding of any unused funds and disposal of capital goods by the Executing Agency.

If it is decided subsequently to arrange an ex-post evaluation, or such an evaluation has already been specifically provided for in the *Project Agreement*, the completion report will be one of the Inputs provided to such an evaluation, which will be carried out in accordance with the guidelines on Project Evaluation presented in Part B of this Manual.

Annex A Format Inception Report

The Inception report is the formal notification that the Project is about to commence. It comprises confirmation that all conditions are met, provisions are in place and formalities have been concluded for a smooth start of the Project implementation. The inception report has the following Appendices:

- Yearly Plan of Operations for first year (YPO 1) or detailed Workplan; and
- Memorandum of Understandings (MoU's) between Executing Agency and Collaborating Agencies.

Cover page

A Front cover

- Inception report
- Title of the ITTO Project or Pre-project
- Project number
- Host Government
- Name of the Executing Agency
- Starting date of the Project
- Duration of the Project (month)
- Project costs (US $)
- Place and date the Inception report was submitted to ITTO

Table of contents

The inception report contains the following matters:

1) Intended starting date;
2) Proposed professional Project staff that require non objection letter, counterpart Project staff, - names and contact details of Project Coordinator and of main staff;
3) Institution's full name, address, telephone, fax and e-mail;
4) Availability of adequate office facilities;
5) Bank account (separate account or sub-account) in internationally recognized bank
6) Arrangements with collaborating agencies as appropriate
7) Information on arrangements with consultants (assignment date and duration; selection procedure; ToR).
8) Changes since submission/approval Project proposal;

Annex 1 YPO detailed Workplan

Annex 2 MoU with collaborating Agencies, as applicable

Annex B Format Yearly Plan of Operation

Guidance

The purpose of the annotated format presented hereafter is to provide rapid guidance for Project Formulators as well as for Project Managers of Projects with a minimal duration of two years and a budget exceeding US$ 400,000. The YPO builds upon the results of former operational years and the conclusions and recommendations for corrective actions, as commended by an external review or evaluation (conceptual modifications), and/or the Project management (operational readjustments), both of which should be reflected in the most recent Project Progress Report. It is therefore recommended to hand in the two, Project Progress Report and YPO, together. YPOs should have a maximum length of 16 pages of main text (excluding annexes).

Cover page

A. Front side

- YPO and year for which it is planned
- Title of the ITTO Project or Pre-project
- Project number
- Host Government
- Name of the Executing Agency
- Starting date of the Project
- Duration of the Project (month)
- Project costs (US $)
- Place and date the draft YPO was submitted to ITTO.

B. Back side

Project technical and scientific staff - names of Project Coordinator and main staff

The institution's full name, address, telephone, fax and e-mail

Table of contents

1) Project Progress Report (not for first year)
2) Operational Yearly Program (max. 6 pages)
   - 2.1 Logical Framework Matrix (LFM) and annual indicators
   - 2.2 Outputs and Activities
   - 2.3 Activity program
   - 2.4 Indicators and Assumptions
   - 2.5 Monitoring and reporting
3) Personnel planning, coordination and institutional relations
   - 3.1 Project personnel, partners and support-organizations
   - 3.2 Involved organizations, stakeholders, communities
   - 3.3 Consultants

4) Budget

  4.1 Overall Yearly Budget by Activity

  4.2 Orders of equipment and materials

Main text of the Yearly Plan of Operation

1 Project progress report

Guidance

This section does not apply to the first year's YPO; and should only be applied if no recent version of the Project Progress Report can be made available at the time of planning the YPO. The latter should form an integrated part of the YPO.

If for one reason or another no recent Project Progress Report can be made available. The reader is referred to Annex C of this Part of the Manual for the annotated format of the Project Progress Report. The reasons for possible readjustments of either Outputs (to be substantiated by recommendations of an external evaluation) and/or Activities (to be substantiated through the result of internal or external monitoring of achievements) should be made explicit and the expected advantages of these readjustments for the Project should be indicated (max. 4 pages).

Section 1:

i) describes the work implemented during the elapsed Project period.

ii) describes the state of execution of the Workplan: Workplan Review, Progress in implementation of Activities, Inputs applied, Outputs achievement

iii) presents a critical analysis of Project progress (analysis of present strengths and weaknesses; conclusions, justification of taken/proposed corrective action; future opportunities and threats)

2 Operational yearly program (max. 6 pages)

2.1 Logical Framework Matrix (LFM)

Section 2.1. presents:

i) the LFM on one page (landscape format), and stresses in the text the Outputs and Activities differing from those in the Project document

2.2 Outputs and activities

Section 2.2 Indicates:

i) per expected Output, the Activities, broken down into at least two Sub-Activities as applicable, planned for the coming year.

Output 1.1

Activity 1.1.1

Sub-activity 1.1.1.1

Sub-activity 1.1.1.2

Activity 1.1.2

Activity 1.1.3

Sub-activity 1.1.3.1

Sub-activity 1.1.3.2

Sub-activity 1.1.3.3

Output 1.2

Activity 1.2.1

Activity 1.2.2

Activity 1.2 3

Etc.

2.3 Annual activity program

Guidance

The annual activity program should be presented in detail. The workplan in the project document is the basis. The Activity Program Table should be used to present the activities broken down in sub-activities, as applicable, which are planned for the coming operational year. These activities will be shown by shading the duration of their execution within the dark time frame which indicate the entire period of the execution of the activity. The table should also show the period that the activity had been executed in the former operational year(s), as applicable. This can be done by applying a different shading.

Section 2.3 presents:

i) the Activity program for the year under consideration, with an indication of responsibilities and deadlines for planned Activities, conform the Activity Program table below. Where applicable each Activity should be broken down into at least two sub-activities and presented in the same table. Planned execution could be shaded in the black frame which indicate the implementation period of the Activity and sub activity. With a different shading the already The period that the activity has been executed already in the former operational year(s) should also be indicated by a different shading.

ii) possible indicators to follow the progress in the year this YPO is in operation. Indicators should somehow be related to the Output indicators in the Logical Framework Matrix and could be identified by questions such as: When is a specific input needed? What should be the progress and result of an Activity after every three month?

Annual activity program table

Outputs/ activities	Responsible party	Annual Activity Program (in months, second year)																			
		etc	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12	1	2	etc.
Output 4.1: 50% of forest workers trained in 4 modules.																					
Activities:																					
4.1.1 Preparation of two six-weeks training programs	EA																				
4.1.2 Elaboration and editing of training material																					
Sub activity 4.1.2.1	Sub-contractor 1																				
Sub activity 4.1.2.2	Sub-contractor 2																				
4.1.3	EA																				
4.1.4 Implementation of 4 training modules	Sub-contractor																				
Output 2.1 -																					
Activities:																					
2.1.1																					
2.1.2																					

Dark shading is execution in prior operational year. Light shading is planned activity for the coming year. The example shows that: activity 4.1.1. is on schedule; Sub Activity 4.1.2.1 is on schedule; Sub-Activity 4.1.2.2. is expected to start one month late; Activity 4.1.3. has started too late and will there for continue beyond the original planned period; Activity 4.1.4. is expected to start three months late and will probably finish beyond the planned period. (note that the planning for the next operational year is not yet indicated.); Activity 21.1. starts on time, but the duration will be shorter than the original planned period.

2.4 Indicators and assumptions

Section 2.4, (*only in case indicators and assumptions have to be readjusted)*:

i) describes and justifies briefly readjustments as to indicators and assumptions.

2.5 Monitoring and reporting

Section 2.5 indicates:

i) implementation of the monitoring system according to the Project document or deviating from the planned execution.(see also Project document Part 4).

ii) which reports are expected to be made available to the ITTO during the coming year and what are the deadlines for handing them in?

3 Personnel planning, coordination and institutional relations

3.1 Project personnel, partners and support-organizations

Section 3.1:

i) lists the enrollment of regular Project staff; foreseen modification in the tasks of Project staff is substantiated by providing the modified TOR.

ii) lists the partners in the public and private sector, with which the Project is collaborating and indicates the kind of collaboration in the coming year.

iii) lists the organizations/institutions which are providing external support to the Project and describes the kind of support.

vi) indicates how the Activities of different Project entities are being coordinated and integrated in the coming year (regular meetings, exchanges, etc.).

3.2 Involved organizations, stakeholders, communities

Section 3.2 indicates:

i) which stakeholders or interest groups are involved in the Project implementation, which platforms have been established for consultation and negotiation and how frequently they meet in the coming year.

3.3 Consultants

Section 3.3 indicates:

i) what outside local or external consultancy support has been foreseen during the coming year. The TOR is provided in the Annex.

4 Budget

4.1 Overall yearly budget by activity

Guidance

ITTO has provided software at its website to assist with the production of the budget tables. The basis software table is figure 11 as shown in the Manual for Project Formulation Part 3. Once that table has been filled properly the software will produce the other tables.

Section 4.1:

i) presents two kinds of budget tables:

   1) Project budget for the year under consideration by component, input and unit costs. This table must be produced as a consolidated budget table and separate tables by source (ITTO, Executing Agency/member state, others); and

   2) Overall Project budget by Activity and component.

ii) presents a disbursement plan, which helps involved parties to plan their cash-flow.

4.2 Orders of equipment and materials

Section 4.2:

i) describes briefly how the Project logistics are organized.

ii) indicates orders for material and equipment (local, abroad), with a transparent breakdown of units, unit prices, deadlines, etc.

Name: (type and sign) **Position held:**

Date:

Annex C Format project progress report

Cover page

A. Front side

- Type of the Report and ordinal number (e.g. Second Progress Report)
- Period covered by the report, from to
- Title of the ITTO Project or Pre-project
- Project number
- Host Government
- Name of the Executing Agency
- Starting date of the Project
- Duration of the Project (month)
- Project costs (US $)
- The place and date the report was issued

B. Back side

- Project technical and scientific staff - names of Project Coordinator and of main staff
- The institution's full name, address, telephone, fax and e-mail

Table of contents

1 Description of the work implemented in the period

2 Execution of the Workplan

  2.1 Workplan Review

  2.2 Progress in implementation of the Activities

  2.3 Inputs applied

  2.4 Outputs achievement

3 Critical analysis of progress towards the achievement of objectives

4 Conclusions

Main text of the progress report

1 Description of the work implemented in the period (1/2 page)

Section 1 presents:

i) a brief overview of the work which has been implemented in the period covered by this report stressing the relevant results achieved and the possible deviations from the Workplan/YPO. (If there is not enough space, provide an annex)

2 Execution of the Workplan

2.1 Workplan review

Section 2.1:

i) Shows in the original Project's Workplan the progress in implementation, by reference to the situation at the last date of the period covered by the Report. See example of the table of Workplan progress, presented below.

Table Workplan progress

Outputs/activities	Responsible party	Schedule (in months)												
		1	2	3	4	5	6	7	8	9	10	11	Etc.	
Output 1.4: 50% of forest workers trained in 4 modules.														
1.4.1 Preparation of two six-weeks training programs														Activity in execution, started behind schedule
1.4.2 Elaboration and editing of training material														Activity in execution
1.4.3														Activity completed
1.4.4 Implementation of 4 training modules														Activity not started

ii) presents, if applicable, new Activities which have been planned and inserted in the Workplan; a breakdown of an Activity into two or more new Activities; the suppression of Activities.

2.2 Progress in implementation of the activities

Section 2.2:

i) provides for all the activities, which appear in the Project Document section 2.4 including the changes as presented in the YPO's, the estimated percentage of their implementation and the estimated completion date of those which have not been completed at the date of the Report.

Example

	Percentage executed	Originally planned completion date	Estimated completion date
Activity 1.4.2 Elaboration and editing of training material	60	15 May 2007	15 June 2007
Activity 1.4.3 Identification of trainees	100	31 January	31 January

2.3 Inputs applied

Section 2.3:

i) comments on **Project financial statement** i.e. the up-to-date use of the Project financial resources, while referring to the financial information provided, per source of funds, in tables attached as Appendix 1 to this Project report. (see the model Project Financial Statement Appendix 1); and

ii) comments on the **cash flow** situation as a result of received funds from ITTO, sum of sequential installments, and total expenditures in local currency and transferred to US dollars. Reference is being made to the financial information provided in the table attached as Appendix 2 to this Project report. (see the model Project Cash flow Statement Appendix 2).

2.4 Outputs achievement

Section 2.4:

i) describes the progress made during the reporting period towards achievement of the Outputs related to the Activities which have already started; and

ii) presents, for the Outputs which have already been achieved, the corresponding Objectively verifiable indicators. (Whenever their Means of Verification is supported by documentary evidence, a copy of such a document, or the relevant parts of it, should be annexed to the Progress Report, in one of ITTO's official languages).

3 Critical Analysis of project progress

Section 3:

i) comments and quantification of any advance or delay in implementing the Activities, in achieving the Outputs or in using the Project's Inputs, including their causes and expectation of the effect if any corrective actions are to be taken;

ii) refers explicitly to any (previously) unexpected events or problems. Were there any events or problems that may significantly affect the Project's implementation schedule, the achievement of the Outputs and of the Specific Objective(s), or the Project's budget; and

iii) comments on the fulfillment of the assumptions related to the Project's Outputs and Specific Objective(s). Are the assumptions still valid? Have they proven to be true thus far?

4 Conclusions

Section 4:

i) sets out the conclusions reached by the Project staff on the state of Project implementation, based on the critical analysis of up-to-date progress. Indicate whether progress towards achievement of the Project's Specific Objective(s) is:

   a) on track;

   b) slightly but not seriously impeded; or

   c) seriously endangered.

   ii) indicates corrective actions which will be adopted, if any, and whether specific support is necessary from ITTO for solving any problems;

   iii) indicates whether another disbursement of funds of ITTO is being sought in relation to implementation of the Workplan and specify expected expenditures; and

   iv) indicates and justifies the best period for a possible ITTO monitoring review visit to the implementing agency.

Responsible for the Report

Name: (type and sign) **Position held:**

Date:

Appendix 1 Project financial statement (in US dollar)

(To be prepared separately for ITTO funding and for Counterpart Funding)

Project No.			**Period ending on:**		
Project Title:					
	Original	**Expenditures To-date**			**Available**
Component	**Amount (A)**	**Accrued (B)**	**Expended (C)**	**Total (D) { B + C }**	**Funds (E) { A - D }**
1. Funds managed by Executing Agency					
10. Project Personnel					
11. National Experts (long term)					
11.1 Project Coordinator					
11.2 Forester 1					
11.3 Market/industry expert etc.					
11.4 Administrator					
12. Other Personnel					
12.1 Assistant 1					
12.2 Other labor					
13. National Consultant(s) (short term)					
13.1 Consultant 1					
13.2 Consultant 2					
14. International Consultant(s)					
14.1 Forest Inventory Expert					
14.2 Consultant 2					
15. Fellowships and Training					
15.1 Training 1 (specify beneficiaries)					
15.2 Training 2					
19. Component Total:					

20. Sub-contracts					
21. Sub-contract (Topic e.g. mapping, etc.)					
22. Sub-contract (Topic 2)					
29. Component Total:					
30. Travel					
31. Daily Subsistence Allowance					
31.1 National Expert(s) Consultant(s)					
31.2 International Consultant(s)					
31.3 Others					
32. International Travel					
32.1 National Expert(s)/ Consultant(s)					
32.2 International Consultant(s)					
32.3 Others					
33. Local Transport Costs					
33.1 National Expert(s)/ Consultant(s)					
33.2 International Consultant(s)					
33.3 Others					
39. Component Total:					
40. Capital Items					
41. Premises					
42. Land					
43. Vehicle(s)					
44. Capital Equipment					
44.1 Computer Equipment (specify)					
44.2 Forestry Equipment (specify)					
44.3 Others					
49. Component Total:					

50. Consumable Items					
51. Raw Materials					
52. Spares					
53. Utilities					
54. Office Supplies					
59. Component Total:					
60. Miscellaneous					
61. Sundry					
62. Audit Costs					
63. Contingencies					
69. Component Total:					
70. National Management Costs					
71. Executing Agency Management Costs					
72. Focal Point Monitoring					
79. Component Total:					
Sub-Total:					
100. GRAND TOTAL:					

Note: Budget Components are those detailed in the Project Document.

a) The Cash Flow Statement must be completed first, before the input into the Financial Statement.

b) Accrued expenditure: expenditures incurred during the reporting date, but not yet settled.

c) Amount under the Expended column will be imported from the Cash Flow Statement (with direct link – excel format).

Appendix 2 Project cash flow statement

Project No.			Period ending on:	
Project Title:				
Component	Reference	Date	Amount in US$	Local Currency
A. **Funds received from ITTO:**				
1. First installment				
2. Second installment				
3. Third installment				
4. Fourth installment				
Etc.				
Total funds received:				
B. **Expenditures by executing agency:**				
10. Project personnel				
11. National experts (long term)				
11.1 Project coordinator				
11.2 Forester 1				
11.3 Forester 2, etc.				
11.4 Administrator				
12. Other personnel				
12.1 Assistant 1				
12.1 Assistant 2				
12.2 Other labor				
13. National consultant(s) (short term)				
13.1 Consultant 1				
13.2 Consultant 2				
13.3 Consultant 3				
14. International consultant(s)				
14.1 Forest inventory expert				
14.2 Consultant 2				
15. Fellowships and training				
15.1 Training 1 (specify beneficiaries)				
15.2 Training 2				
15.3 Training 3				
19. Component total:				

20. Sub-contracts				
21. Sub-contract (topic e.g. Mapping, etc.)				
22. Sub-contract (topic 2)				
29. Component total:				
30. Travel				
31. Daily subsistence allowance				
31.1 National expert(s)/consultant(s)				
31.2 International consultant(s)				
31.3 Others				
32. International travel				
32.1 National expert(s)/consultant(s)				
32.2 International consultant(s)				
32.3 Others				
33. Local transport costs				
33.1 National expert(s)/consultant(s)				
33.2 International consultant(s)				
33.3 Others				
39. Component total:				
40. Capital items				
41. Premises				
42. Land				
43. Vehicle(s)				
44. Capital equipment				
44.1 Computer equipment (specify)				
44.2 Forestry equipment (specify)				
44.3 Others				
49. Component total:				
50. Consumable items				
51. Raw materials				
52. Spares				
53. Utilities				
54. Office supplies				
59. Component total:				
60. Miscellaneous				

61. Sundry				
62. Audit costs				
63. Contingencies				
69. Component total:				
70. National management costs				
71. Executing agency management costs				
72. Focal point monitoring				
79. Component total:				
Total expenditures to-date:				
Remaining balance of funds (A-B):				

Notes:

1) Amounts in U.S. dollars are converted using the average rate of exchange when funds were received by the Executing Agency

2) Total Expenditures To-date (in local currency) should be the same as amount shown in Sub-Total of column (C) of the Financial Statement.

3) Submit bank reconciliation statement along with a copy of the bank statement to support the remaining balance of funds in the Cash Flow Statement.

Annex D Format project technical report

Cover page

A. Front side of the cover page should be illustrative and present:

- Logo
- Title of the ITTO Project or Pre-project
- Title, topic of the report
- Authors names

B. Back side of cover page should present:

- Additional technical and scientific staff that worked on the topic of the report
- Relevant institution's full name, address
- The place and date the report was issued
- Disclaimer

The following information should be provided at one of the pages following the cover page.

- Project number
- Host Government
- Name of the Executing Agency and Project Coordinator
- Starting date of the Project
- Duration of the Project (month)

Table of contents

Guidance

A technical report is required for each major research topic

Summary

1 Introduction

2 Applied methodology

3 Presentation of the data

4 Analysis and interpretation of the data and results

5 Conclusions

6 Recommendations

7 Implications for practice

Annex(es)

Bibliography

Summary and main text of the technical report

Summary

The summary:

i) presents the abstract(s) of the research i.e. the results and the conclusions reached, with an indication how the work was carried out, in such a way as to permit rapid reference by readers.

Main text

1 Introduction

Section 1:

i) explains why the research topic is important to address, referring to the Project document.

ii) presents the main theme of the work undertaken and a short reference of previous works in the area, both through ITTO financed Projects and through other organizations.

iii) indicates any specific characteristic of the Project which will not be addressed in the following sections.

2 Applied methodology

Section 2:

i) presents possible options for methodologies, while referring to the Project document.

ii) justifies and describes the applied methodology.

3 Presentation of the data

Section 3 presents:

i) the data collected or established by the Project as far as they are necessary for understanding the conclusions and/or for confirming hypothesis made or for refuting them. (otherwise subsidiary data and information should be included in annex(es)).

ii) tables, graphs and figures necessary for the explanations.

4 Analysis and interpretation of the data and results

Section 4:

i) explains the methods of data processing and analysis

ii) presents the results of the analysis

iii) highlights the interpretation of the results and explains confirmation or rejection of the hypothesis made or expectations. If any of the results obtained is not conclusive, this should be stressed.

5 Conclusions

Section 5 highlights:

i) the technical advancements due to the achievements of the Project, its limitations and the relation between facts and theory or hypothesis.

6 Recommendations

Section 6 contains:

i) recommendations for appropriate interpretation and utilization of the Project findings.

ii) specific recommendations for future work to be undertaken on the theme.

7 Implications for practice

Guidance

(Scientific) research focuses on scientific results and scientific justification of the results. The practical significance of the results is not always clear to non-researchers. What is needed is an interpretation of the results for their implications for practice. This means that knowledge must be translated in conditions and practical measures. As an example: What is the practical implication of knowledge about the nutrient and light requirements of a tree species? What is the practical implication of knowledge about the livelihood requirements of forest dependent people?

Section 7 Elaborates:

i) on the implications of the Project results for practice e.g. implications for forest management, forest industry, timber markets.

Annex(es)

Data established by the Project, which was not presented in the main body of the Report, should be duly organized in Tables, Graphs and Figures and included in the Annex(es).

Bibliography

The Objective of providing bibliographic references in the ITTO *Project Technical Report* is to give readers precise and detailed indication of relevant written sources of information. These may include books, papers, leaflets, articles and magazines, among others. Although different reference standards exist, the following elements should be present in the ITTO Reports:

- the author(s);
- the title of the publication;
- the edition;
- place of edition;
- the publisher; and
- the year of publication.

Examples:

CHICHIGNOUD, Michèle et al., *Tropical Timber Atlas of Latin America*, third ed., Yokohama, International Tropical Timber Organization, 1993.

ITTO Manual for Project Formulation, *third ed.,* Yokohama, International Tropical Timber Organization, 1998.

PUN, Chu Yue, et. al., *The Strength Properties of Some Malaysian Timbers*, Malaysian Forest Service Trade Leaflet No. 34, Malaysian Timber Industry Board, 1979.

Annex E Format project completion report

Cover Page

A. Front side of the cover page should be illustrative and present:

- Logo
- Title: Completion report of the ITTO Project or Pre-project;
- Host Government
- Name of the Executing Agency;

B. *Back side* of the cover page should present:

- Project number
- Starting date of the Project
- Duration of the Project (month)
- Project costs (US $)
- The ordinal number and type of the Report (e.g. Project Completion Report)
- Project technical and scientific staff - names of Project Coordinator and of main staff;
- Implementing institutions: full name, address, telephone, fax and e-mail.
- The place and date the report was issued.
- Disclaimer

Table of Contents

Executive Summary

1 Project Identification

1.1 Context

1.2 Origin and problem

2 Project Objectives and implementation strategy

3 Project Performance (Project elements planned and implemented.)

4 Project Outcome, Target Beneficiaries Involvement

5 Assessment and analysis

6 Lessons learned

7 Conclusions and Recommendations

Annex 1 Project financial statement

Annex 2 Project cash flow statement

Summary and main text of the completion report

Guidance

The Executive summary is meant to provide information on the main issues revealed by the completion report. It should be brief, no more than 2 pages. It should present very little information from the descriptive chapters 1 and indicate only the most relevant findings from the chapters 2, 3, 4, and 5. Lessons learned and recommendations could be integrally copied from the main text

Executive summary

The Executive summary:

i) summarizes in a few sentences the Project context, origin and main problem to be addressed (1);

ii) presents the Project Objectives and indicates the (adjusted) implementation strategy (2);

iii) presents the most critical differences between planned and realized Project implementation (3);

iv) provide a brief description of the situation prevailing after Project completion, as compared to the Pre-project situation including the situation of the target beneficiaries, and indicates the post- Project sustainability (4);

v) indicates the most relevant outcome of the analysis of the Project implementation (5);

vi) presents the lessons learned and recommendations (6 and 7).

1 Project identification

1.1 Context

Section 1.1 describes briefly:

i) the social, economic and environmental context and the Project location, as well as relevant national and regional policies and programs. *(this text may comprise extracts from the Project document)*

1.2 Origin and problem

Section 1.2 describes briefly:

i) the origin and the main problems addressed by the Project as it was originally conceptualized. *(this text may comprise extracts from the Project document).*

2 Project objectives and implementation strategy

Section 2:

i) presents the Project rationale, the Development Objective and Specific Objectives of the Project as they were originally formulated in the Project document, as well as any adjustments made in the course of the implementation phase.

ii) describes the Project implementation strategy as it was originally conceptualized. *(this text may comprise extracts from the Project document,* as well as any adjustments made in the course of the implementation phase.

iii) presents identified assumptions and risks *(this text may comprise extracts from the Project document)*

3 Project performance (Project elements planned and implemented)

Guidance

This section merely reports on facts. Analysis and comments follow in section 5)

Section 3 presents:

i) the realized performance versus the planned performance, indicating precisely the differences between planned and realized Project elements.

   (a) Specific Objective(s);

   (b) Outputs and related Activities:
      1) as appearing in Project document; and
      2) added or omitted during implementation.

   (c) Schedule:
   Starting date;
   Duration;

   (d) Total amount of expenditures; analysis of applied input

4 Project outcome, target beneficiaries involvement

Guidance

Here the effect of the realized Activities and Outputs are being described. This is the impact section.

The impact should be compared with the impact as being described in the Project document.

Section 4:

i) elaborates on the extent to which the Project Specific Objective(s) was achieved;

ii) describes the situation existing at Project completion as compared to the pre-project situation with respect to:

   - the tangible Outputs of the Project;
   - sectoral policies and programs; and
   - the physical environment.

iii) describes what participation the target beneficiaries had in the implementation of the Project and how its results have been used by them or will be used in the future.

iv) provides an expectation of Project sustainability after Project completion as a result of conditions prevailing at completion. Indicate any formal arrangement made with the Project beneficiaries for the Project's implementation and for its continued operation or maintenance after completion.

5 Assessment and analysis

Guidance

This section should present the main outcome of the ***internal evaluation*** *which the EA together with stakeholders organizes shortly before Project completion. This section analyzes, in retrospect and in the light of the actual performance (section 3) and outcome (section 4), the adequacy of the Project identification process, the quality of the Project design including the Project strategy and the planned and available resources and comments on the assumptions and risks. The section provides the basis for the identification of the lessons learned which will be presented in section 6.*

Section 5:

i) analyzes and comments on the Project **rationale** and the **Project identification process** emphasizing the (in)adequacy of stakeholder identification and stakeholder participation in the Project formulation process;

ii) analyzes and comments on the (in)adequacy of the results of the identification process emphasizing the correct definition of **problems** to be tackled, the Project **Objectives**, the choice of the **implementation strategy;** *(make reference to section 2)* etc.

iii) highlights and analysis the most **critical differences** between planned and actual Project implementation as presented in section 3 and suggests any measures and actions which could have avoided these variations;

iv) evaluates and comments on the (in)adequacy of **time and Project Inputs** (quality and quantity personnel and equipment, financial resources, knowledge and expertise) for Project formulation and implementation;

v) evaluates the anticipation and reality of **external influences**, assumptions and risks etc. and the effectiveness of mitigating measures;

vi) evaluates, while referring to section 4 above, the participation of anticipated and actual **Project beneficiaries** in Project implementation and how they have and will be benefited from the Project; *(refer also to the dissemination strategy in section 2.8 of the Project document).*

vii) analysis Project **(in)sustainability** after Project completion, referring to section 4, as a result of Project conceptualization, assumptions made and implementation conditions *(refer also to the post –Project strategy in the Project document); and*

viii) analyzes and comments on the understanding and appropriateness of the roles and responsibilities of the **institutions involved** with the Project implementation.

6 Lessons learned

Guidance

Section 5 on Assessment and analysis has provided the basis for the identification of Lessons to be learned for future Projects. The lessons could be classified according to the phase of the Project e.g. Project identification, Project design, Project implementation, and according to the nature of the subjects e.g. management and operational aspects, stakeholder participation, problem analysis, implementation strategy etc.

Section 6 highlights:

i) lessons learned from Project identification, design and implementation as to:

   a) Project identification and design matters such as:

      - aspects of Project identification and development, including problem analysis and stakeholder identification and participation, which most contributed to success or failure in achieving the Specific Objective contributing to the Development Objective;
      - additional arrangements that could improve cooperation between the relevant parties interested in the Project;
      - aspects of Project design, including implementation strategy, which most contributed to success or failure in achieving the Specific Objective contributing to the Development Objective;
      - actions to be taken to avoid variations between planned and actual implementation (schedule, costs, etc); quality of Project planning;

- factors which will most likely affect Project sustainability after completion including dissemination strategy, post Project strategy, and involvement stakeholders; and
- other matters.

b) Operational matters such as:

- Project organization and management;
- flow of funds;
- definition of the roles and responsibilities of the institutions involved in the Project implementation;
- Project documentation;
- monitoring and evaluation;
- external factors that influenced the Project implementation and that could have been foreseen and that could not have been foreseen; and
- other matters.

7 Conclusions and recommendations

Guidance

Conclusions and recommendations should preferable have a general value so other ITTO member countries and Executing Agencies could benefit from them. Main conclusions should be drawn from the combination of the above chapters. They should preferably represent a conclusive cause-effect relation e.g. Outputs were not fully realized because required funds were underestimated. Recommendations, deriving from the lessons learnt, should be made with a view to improve the effectiveness and efficiency of future similar Projects.

Section 7:

i) set out the conclusions and recommendations in point form, under these separate headings:

- Identification;
- Design;
- Implementation;
- Organization;
- Management; and
- etc.

ii) comment on the potential for replication and/or for scaling up

Responsible for the Report

Name: (type and sign) **Position held:**

Date:

Annex F ITTO logical framework matrix

Strategy of intervention	Measurable indicators	Means of verification	Key assumptions
Development objective The higher objective to which the project will contribute and which is in line with ITTO's objectives and those of national sector programs	**Impact indicators** Indicators that measure impacts: i.e. longer-term effects. They are often standardized as goals beyond the reach of a single project	Cost-effective methods and sources for collecting quantitative information on the indicators	**Sustainability assumptions** The external conditions beyond the control of project management that must be realized for sustaining project results in the long term
Specific objective The major change that must take place in the practices, conditions, attitudes, performance, resource use or systems of primary stakeholders in order to solve the key problem. It results from the combined effect of the project's outputs and the realization of assumptions at the output level	**Outcome indicators** Indicators that measure the immediate effects (i.e., outcomes) expected to be achieved by the project	Cost-effective methods and sources for collecting quantitative information on the indicators	**Development hypothesis, linking specific objective to development objective** The external conditions that must be realized if the achievement of the specific objective is to contribute to the achievement of the development objective
Outputs The direct/tangible goods and services that the project delivers in order to bring about the above changes. They are under the control of project management	**Output indicators** Indicators that describe the targets to be reached through the implementation of the project. They should specify the quantity and quality of goods and services and the time period for their delivery, the locations at which they will be delivered, and their expected users	Cost-effective methods and sources for collecting quantitative information on the indicators	**Implementation assumptions linking outputs to the specific objective** The external conditions that, if unrealized, are liable to impede progress from outputs to specific objective
Activities Tasks to be executed by the project in order to produce the nominated outputs. Their listing is not required here; it can be replaced by reference to the relevant subsection of the proposal	Indicators are as described in the budget frame for each output. Add the following text: 'For detailed activity costs and timeframes, see master budget'	Insert the text: 'Project financial reports, audit reports'	**Management assumptions linking activities to outputs** The external conditions that must be realized in order to achieve progress from activities to outputs
			Preconditions (if any) The decisions or actions beyond the control of the project that must be taken before project inception

The 'activities' row should be as condensed as possible (see Table 5). Where the implementation of a project is dependent on certain preconditions, such as the end of an armed conflict or the adoption of a new forest law, these can be stated as a separate cell in the 'key assumptions' column.

The logical framework matrix provides a baseline for the monitoring and evaluation of the project's achievements, and for reporting on progress.

Part B Project evaluation

The guidelines and instructions presented in Part B are addressed to ITTO's Project evaluators. They provide orientation for organizing the evaluation process as well as guidance for elaborating the Project Evaluation Report.

1 Concepts and definitions

1.1 General

Concept

> **Evaluation** is the systematic and objective collection of information, on the spot assessment and analysis of the validity, design, appropriateness, performance and the impact of the Project.

The *purpose* of an evaluation is to guide or advice on the further implementation of the evaluated Project and/or on the formulation and implementation of future Projects.

The merit and added value of external evaluations lie in its *neutral/Objective judgment.*

Project evaluation differs basically from Project monitoring and reviews. While monitoring and reviews are concerned mainly with the progress of the Project as originally designed (progress in the Workplan implementation, appropriate use of the Inputs, application of norms and standards both in technical and administrative aspects, etc), *evaluation* looks beyond the constituent elements of the Project, to the validity of its design and to its impact.

Reference for the evaluation is the Project document and any changes which might have been approved formally during the course of the implementation, as well as reports from previous evaluations. Evidence of such changes should be found in YPO's and progress reports.

Policy and procedure

Evaluation is a tool to be applied selectively. It will nor be automatically applied to every ITTO Project nor at every stage of the Project cycle. Since it is almost as costly to evaluate small Projects as large ones, it will be more cost effective to focus on the latter. The emphasis of the evaluation may vary according to the stage of the Project mid-term or ex-post evaluation, see sections 1.2. and 1.3. below.

Evaluators

Decision 2(X), Annex 2 establishes that ITTO ex-post evaluations will be undertaken by a team of maximum 3 independent persons, selected by the relevant Committee. As minimum requirement consultants for ex-post evaluation can consist of 2 members representing the producer and consumer member countries of ITTO. The evaluation team may be assisted by two or three persons from the Project(s) appointed by the EA and ITTO. Donor countries can participate as observers in the evaluation of Projects (co-)financed by them.

The TOR for the consultants should be in accordance with the contents of the Project Evaluation Report prescribing the scope and focus, methodology, lessons learned and findings / recommendations. (see Annex2)

The findings of the external evaluation mission are presented in a Project Evaluation Report.(see Annex 2). The evaluation team should report its findings to the Council through the relevant Committee. The Secretariat should ensure that lessons learned, both positive and negative, are made available to Members.

1.2 Mid-term evaluation

Concept

> **Mid-term Evaluation** is the systematic and objective collection of information, on the spot assessment and analysis of the validity, design, appropriateness, performance and the impact of the Project during its implementation stage.

The *purpose* of mid-term evaluations is to draw conclusions, guide or advice on all factors relevant for the further implementation of the Project, including any necessary revision of Project design based on experiences of the project implementation.

The emphasis of a mid-term evaluation will be on the analysis of the Objective data which indicate Project progress: Inputs allocation, implementation of Activities, achievement of Outputs, progress towards achievement of the Specific Objective(s) and whether this progress is contributing to the achievement of the Development Objective as predicted. The Logical Framework Matrix will be useful to check whether the original Project design is still valid, or whether it should be changed in the light of changing circumstances and greater knowledge.

The Project document and reports from previous evaluations, if available, as well progress reports and YPO's serve as reference for the evaluation.

Procedure

Mid-term evaluations will be carried out in circumstances when:

- there are problems in Project implementation, upon request from either the ITTO secretariat, donors or the Project Steering Committee, as appropriate.
- the need for mid term evaluation was foreseen at the early stage of Project development or implementation

For large, complex or long duration Projects it is important to re-examine the validity of the original Project design. It is advisable to foresee a mid-term evaluation at a moment when assumptions made at the planning stage will require closer examination in the light of experience so far, and the need for Project revision is required.

The independent consultants to conduct mid-term evaluation are selected by the ITTO secretariat in accordance with the "ITTO Guidelines for the Selection and Employment of Consultants, 2008".

It is ideal that consultants for mid-term evaluation should consist of 2 members representing the producer and consumer member countries of ITTO.

The mid-term evaluation report is submitted for consideration to the Committee.

1.3 Ex-post evaluation

Ex-post evaluation is collection of information, the on-the-spot assessment and in-depth analysis of the performance and impact of the Project after its completion, with the intent to establish how well it served its purposes, its degree of effectiveness and efficiency, and its sustainability.

Concept

> **Ex-post Evaluation** is the systematic and objective collection of information, on the spot assessment and analysis of the validity, design, appropriateness, performance and the impact of the Project **after its completion**, with the intent to establish the extent to which it achieved its objective, its degree of effectiveness and efficiency, as well as its sustainability.

The *purpose of ex-post evaluations* is to learn lessons and to draw conclusions for future Projects.

The ex-post evaluation should establish the extent to which the results, in terms of Outputs, achieved Objectives, impact and sustainability of the Project intervention, have been achieved and draw conclusions and recommendations for similar interventions in the future. The Project Document and reports from previous evaluations as well as adjustments reported in progress reports and YPO's serve as reference for the evaluation. The completion report should be given due consideration as it contains valuable facts analysis and recommendations.

The scope of the ex-post evaluation.

Experience has shown that in many cases the Terms of Reference of ex-post evaluations requires the evaluation team to assess all aspects of a Project from its inception to its completion regarding administrative and financial matters, organization, communication, consultation and cooperation, technical matters, effectiveness and impact, relevance to ITTO, etc. The task is to identify reasons for successes and failures. The execution requires a well balanced team with sufficient time to undertake the task.

Separate assessments on financial issues, audit reports should be continued. Occasionally, more detailed financial assessments, including justification of budget items, and use of the resources may improve budget estimates and promote stronger financial discipline.

Some Projects may appear to have not served its purposes fully. In those cases the Ex-post evaluation team should also try to assess the extent to which failure could have been foreseen during the appraisal of the Project proposal based on the information contained by the Project Document. This aspect of the evaluation could help strengthen the process of appraising future project proposals.

Thematic evaluations

Ex-post evaluations could be executed for a batch of similar Projects i.e. Projects with the same theme and/or orientation such as: community based forest management, biodiversity, market transparency, project development, statistical database enhancement, criteria and indicators, or preparation of demonstration areas for SFM. The advantage of this approach is that Projects may be compared with each other, resulting in:

- more robust analysis of strong and weak factors influencing performance and impact; and
- direct insight in the usefulness for ITTO to continually support these Projects.

The added value of ex-post evaluations.

What may be expected from an ex-post evaluation in addition to the wealth of information already made available through critical analysis, reviews and internal evaluations and documented in completion reports and (interim) review and evaluation reports? Most of these documents present accurate achievements, differences between anticipated Outputs and realized Outputs, availability and use of resources. They contain analysis, lessons learned (or still to be learned) conclusions and recommendations.

The merit and added value of the external ex-post evaluations lies not only in its *neutral/Objective judgment* and experience but also in the *timing*. Following a Project completion, it gives a fair judgment of the impact and sustainability.

Procedure

Decision 4(XXV), Annex A, Section VII requires the Secretariat to prepare for each Committee a document on completed pre-projects and projects. The Committee will decide upon the necessity of ex-post evaluation on the basis of the document prepared by the Secretariat which will include a mention of the financial resources available for ex-post evaluation. The committees may decide to engage independent consultants to conduct ex-post evaluation for a specific project or for a thematic group of projects.

2 Evaluation process, framework and other considerations

The evaluation process is broadly the same, independent of whether it refers to a mid-term or an ex-post evaluation. But the Outputs of each one will vary somewhat as a function of the Project phase. The orientations presented hereafter apply to both types of evaluation.

2.1 The analytical evaluation process

The key stages of Project evaluation are:

i) Clarification of project design

The evaluation process starts with the analysis and debate of the Project document to reach a consensus among the evaluation mission members regarding the Project content and intention, the necessary and available background information and other relevant aspects.

ii) Analysis of project design

Following the phase of clarification of Project design, the next task of the Project evaluators is to perform a critical analysis of its elements with the intent of:

- evaluating the origin of the Project and Project formulation process;
- evaluating the rationale of the Project, i.e. the relevance of the Specific Objective and the appropriateness of the implementation strategy;
- establishing the appropriateness of the Project elements. This includes the evaluation by the mission members of the linkages between Activities and Outputs, between Outputs and Specific Objective(s) and between Specific Objective(s) and the Development Objective; and
- establishing the success probability of the Project. This includes evaluating the factors which will influence or have influenced the achievement of the Outputs and Specific Objective(s), outcome and impact of the Project, the risks involved, and whether these risks can be (or could have been) reduced by changes in design. It is particularly important to have a closer look at the effectiveness of cooperation and participation.

If the Project is being evaluated for the first time, the survey by the mission members will include also a thorough analysis of:

- the local conditions and situation which prevail(ed) in the field prior to the Project intervention and at the time of the evaluation;
- the existing institutional framework related to the Project's (proposed) Activities;
- the expectations of the target beneficiaries and the existing arrangements to ensure their cooperation;
- the existing institutional capabilities of the implementing agency; and
- the likely social and economic benefit of the Project.

To carry out such a survey it is necessary to plan carefully the visits and interviews at least one month beforehand.

Account should be taken of the relevant portions of the guidelines for ensuring local community participation in the Project cycle (Annex A to the *ITTO Manual for Project Formulation*), and the guidelines to take account of the environmental impact of Projects (Annex B to the *ITTO Manual for Project Formulation*).

iii) Group review and interpretation of findings

the next phase following Project analysis is a group review of the information gathered, involving the evaluation mission and the Project staff. Its purpose is to reach conclusions which are as realistic as possible and to ensure that the findings of the evaluation are agreed by all interested parties. The review should happen not only at the end of the evaluation mission; whenever intermediate conclusions are reached they should be discussed by the group to allow full participation and a common understanding of the issues underlying the Project implementation. It should be stressed, however, that it will be on the final group review that the final conclusions will be reached and recommendations put forward regarding Project design and Project steering.

iv) Project evaluation reporting

the data collected by the evaluation mission and its findings will be registered in a Project Evaluation Report, designed to record the relevant information gathered in the process and its conclusions and recommendations.

2.2 The evaluation framework

The analytical process of Project evaluation will refer always to an existing Project document. The evaluation framework is provided by the Project document and any changes which might have been approved formally during the course of the implementation, as well as reports from previous evaluations. Evidence of such changes should be found in YPO's and progress reports.

A useful form to be used in the clarification of the Project design and in the analysis of the linkages of the Project elements is the Logical Framework Matrix, which was presented in the Annex E to Part A of this Manual. It should be used by the evaluation mission team to summarize the Project design and to orient the clarification and the analytical processes.

The concept underlying Project design is that by providing certain Inputs, Activities will be implemented and will produce Outputs. The achievement of these Outputs should lead to the accomplishment of the Specific Objective(s) of the Project, which will in turn contribute to the achievement of the broader Development Objective. A direct relationship exists between the Project's Specific Objective(s) and the fundamental problems indicated in the Project identification phase - the enunciation of the Specific Objective(s) is, or should be, the converse of the problem to which the Project is addressed.

Together with this vertical logic - Activities-Outputs-Specific Objective(s)-Development Objective - there is a horizontal logic related to the measurement of Project progress and to the external factors which influence its success. The measurement of progress is possible through Objectively *verifiable indicators,* which have been established in the logical framework matrix. Assessment of the indicators should provide evidence that leads two or more evaluators to the same conclusion. The external factors are taken into account as possible risks to the Project and are made explicit as *assumptions* which presume success at each level of the Project elements.

The *ITTO Manual of Project Formulation* provides detailed instructions for the application of the Logical Framework and Project evaluators should be thoroughly acquainted with it before starting field missions.

Annex A contains a checklist of issues which may help mission members to carrying out their evaluation. Evaluators do not necessarily need to address all the issues but focus on those which fit their Terms of Reference.

2.3 Special considerations

i) Preparing the evaluation

It is recommended that the Executing Agency should have at least one month to prepare for the evaluation of its Project. This period should be sufficient for the Project staff to organize the necessary information and the logistics involved in the conduct of the evaluation mission.

The representative of ITTO should contact the Executing Agency manager with the intent of jointly establishing the evaluation procedures and the Workplan, including a list of the institutions to be visited, persons to be interviewed, dates and local support to be provided. The related information, as well as copies of the relevant documents available, should be transmitted to whoever will participate in the evaluation mission.

Mission members should preferably organize a joint process of clarifying Project Design in order to share experiences and to have a common understanding of terminology and procedures.

ii) Coordination of the evaluation

ITTO emphasizes the collaborative nature of the evaluation mission and the greatest possible participative involvement of the Project staff and related institutions personnel. One or two representatives of the local institutions, especially of the Executing Agency, should be a member of the mission while other representatives participate as much as possible in the evaluation process, including in the formulation of its conclusions. If, however, the Executing Agency does not agree with the evaluators' conclusions its own separate suggestions and recommendations should also be duly recorded in the *Project Evaluation Report*.

The representative of ITTO should make sure that the work proceeds in a spirit of cooperation and not of competition. Past experience has shown that greater participation occurs when a cooperative spirit prevails in the evaluation process, and that the validity of its results and conclusions depend very much on the participative and cooperative aspects of the evaluation.

iii) Workplan and consultation

Workplan content

The Workplan should include the following elements:

- A list of issues and questions to be addressed; In the light of limited time and funds the questions should specifically address issues contained in progress reports and completion reports which need further clarification and analysis or which have not been covered by these reports;
- A list of the tasks to be completed, the mission member responsible for each one and its dates of completion;
- The probable sources of information for each set of issues and questions; The criteria to be adopted for the quality control of the information to be gathered, to ensure the reliability and validity of the data collected;
- An explanation of how the information and the data to be gathered will be analyzed and used to reach conclusions (evaluation design, etc.); and
- The evaluation mission agenda, with the institutions to be visited and the list of persons to be interviewed.

Workplan drafting process

Before any evaluation field work begins, and after careful review of the relevant Project file documents, the ITTO representative should develop a draft Workplan with the intent of achieving the results established in the mission's Terms of Reference.

It is advisable that all parties involved should have knowledge beforehand of such a Workplan and agree to it.

Consultation

The evaluating missions should make due efforts to consult stakeholders properly and obtain their points of view, government officials, local communities, forest industry entrepreneurs and workers etc. Where Projects affect local communities it is essential that the mission get in touch with these people and if possible visit their villages. ITTO has adopted separate Guidelines for stakeholder analysis, with which evaluators should become familiar; they are set out in Annex A of the *ITTO Manual for Project Formulation*.

Consultation of individuals and institutions not directly linked to the Project should also be conducted with the intent of gathering information regarding the social and the economic benefit of the Project. Issues like creation of jobs, income increase of workers, exports increase, reduction of turn-over, upgrading of working conditions, improved local living standards (sanitation, housing, etc.), increased income of local public services authorities (municipal water supply, electricity, for example) etc. may provide relevant indications, direct or indirect, of social and economic impacts of the Project.

3 The project evaluation report

The ***Project Evaluation Report*** is the formal report by the evaluators on their procedure, findings on the key evaluation elements, analysis, conclusions and recommendations. (The Report should not have more than 30 pages, format A4, typed in space 2).

Relevant information, data and documents, which should be kept in a file for eventual future consultation, should be included as an Annex to the Report. When appropriate, another Annex will be attached with possible observations of the EA contrary to conclusions of the team. It will also be useful, in appropriate cases, to illustrate aspects of the Report by audio-visual means.

In case of a *thematic evaluation*, more than one Project will be evaluated. The table of content of the synthesis report should be the same as the one for the individual Projects. The chapters should present integrated information. One chapter should be added in the synthesis report, i.e. presenting facts and summary of key findings per Project.

The outline of contents of a model Project Evaluation Report is given in Annex B. It highlights some basic issues which should be present in the evaluators' report to guide the decision-making process, without the intent of covering all relevant topics. It will be the evaluators' task to include additional issues which they feel may further clarify the Project proposal, indicate progress of implemented Projects or the achievements and impact of a completed Project.

Annex I Checklist for evaluation mission

This checklist contains issues which may help mission members to carrying out their evaluation. Evaluators do not necessarily need to address all the issues.

- Is it clear how the Project complies with ITTO Objectives, ITTA criteria, the ITTO Action Plan and the country's efforts in the relevant field?
- Is there a clear understanding of the field or sub-sector involved and of its main characteristics?
- Does the problem analysis confirm the results of the Project identification?
- Are there better technical, financial, or administrative approaches for the Project?
- Does the analysis of the Logical Framework linkages lead to the conclusion that the Project rationale is appropriate?
- Are the Outputs necessary and sufficient to achieve the Specific Objective(s)?
- Are the Activities and related Inputs necessary and sufficient to achieve the Outputs?
- Is the Project Budget appropriate for the Project intent? Are the costs of each input appropriate? Will the Project be cost-effective overall?
- Does the level of detail of the Activities allow appropriate definition of related Inputs and costs?
- Has adequate consideration been given to the environmental impact and stakeholder, including local community, participation and ownership?
- Will the results of the Project be sustainable, financially and in other ways?

Additional issues specifically for *mid-term* evaluations:

- Have external events so far conformed to the expectations of the Project formulators? In particular do their assumptions still appear valid? If not, why not?
- Has progress so far matched the implementation plan? If not, can action be taken to restore or improve the original Project track? If not, what should be done?
- Is the Project still valid in terms of its Specific Objective(s) and planned Outputs? Does any change need to be made?
- Is the Project budget and its original cost effectiveness still valid?

Are the expected impacts materializing? If not, what should be done?

Additional issues specifically for *ex-post* evaluations:

- What happened to the Project, and what problems arose?
- Were the Inputs provided as planned and were work schedules observed?
- Were the expected Outputs achieved?
- What problems (if any) caused delays (if any) and what consequences did this have for implementation?
- Was the management and execution of the Project adequate?
- How did actual costs compare with budget provision?
- Were the Specific Objectives relevant?
- Did the Project achieve its Specific Objective(s)?

- Did these Objectives change during implementation?
- Were there unexpected results and impacts, either harmful or beneficial?
- Who in fact benefited from the Project?
- Could the Specific Objective(s) have been achieved more cheaply or better through an alternative design?
- What are the key lessons from the Project?
- What good or bad factors contributed to its relative success or failure?
- Does the Project show up new problems which need to be examined in designing future interventions?
- What direct recommendations arise either for future similar Projects or for the continued operation of this one?

Annex II Format project evaluation report

Table of contents

Summary and main text of the evaluation report

Executive summary

Guidance
The Executive summary is meant to provide information on the main issues revealed by the evaluation report. It should be brief, no more than 2 pages. It should present very condensed information from the chapters 1, 2 and 3 indicate only the most relevant findings from the chapters 4.1. Section 4.2 and Lessons learned and section 5 Conclusions and recommendations could be integrally copied from the main text.

The executive summary:
For Thematic Ex-post evaluation the first page of the Executing Summary should present the following information for each project: pd number, title, Executing Agency and country in which the project was implemented.

i) summarizes in a few sentences the purpose and type of the evaluation and the basic facts of the Project (section 1and 3);

ii) summarizes the scope and the approach of the evaluation (section 2);

iii) summarizes the most critical differences between planned and realized Project implementation and impacts and analysis of causes of success or failure (section 4.1); and

iv) summarizes the financial statement

v) presents the lessons learned, conclusions and recommendations (sections 4.2 and 5).

Main text

Guidance

The purpose of this section is to register a description of the findings and lessons learned regarding the evaluated Project. It will be an important information source for guiding decisions, for future evaluations, as well as for building up experience from previous evaluations and for orienting new Projects.

The following outline is suggested:

1 Introduction

Section 1: *(no more than half a page)*

i) clarifies why evaluation of the Project was decided and describes the purpose of evaluations for ITTO in general and the evaluation type, including any specific aspects, of this particular evaluation, e.g. thematic ex-post evaluation, mid term evaluation.

ii) presents Project number, title and host country, and the ITTO/ITTA context of the Project (Objectives, C & I, Action Plan and priorities it complies with, etc.)

2 Evaluation scope, focus and approach

Section 2:

i) elaborates on the purpose of the evaluation, and the reason for undertaking it;

ii) elucidates the scope and focus of the evaluation referring to the *Terms of Reference* for the evaluation mission;

iii) introduces the mission members, profession, nationality, further relevant background; and

iv) sets out the approach of the task; sources of data, collection methods and measures adopted to ensure reliability of data collected.

(e.g. documents studied, field visits, meetings, feed back on preliminary findings, the duration of the evaluation)

3 Project facts

Guidance
*The intention of this section is to summarize the most essential information and facts to understand the Project intervention. The **Project document** contains the complete information on the Project. It is not useful to copy the entire information in the evaluation report.*

Section 3: (0,5 – 1 page)

i) gives a *brief* description of the Project as a whole:

- relevant background, including origin of the project;
- development objective;
- main problems to addressed;
- specific objective(s) and outputs;
- project rationale;
- starting date, duration and date of any former evaluation;
- ITTO contribution; and
- executing agency and collaborating agencies.

4 Findings, lessons learned

Guidance

This section presents the results of the evaluation. The Terms of Reference are key to the scope of the evaluation and thus for the content of this section. In case of mid-term and ex-post evaluations, due consideration should be given to progress reports and the Project completion report. Particularly the completion report contains relevant facts and analysis, which should serve as a basis for the ex-post evaluation, although not without critical observation. The ex-post evaluation report should rather evaluate and summarize the findings highlighted in the completion report than repeating them all. The different types of evaluation will emphasize many similar objects of evaluation. Therefore it is possible to give a general indication of the content of this section.

4.1 Findings

Section 4.1. provides a critical analysis of:

In the case of ex-post evaluations, include an overall assessment of its relative success or failure, and the extent to which failure might have been foreseen during the Project proposal appraisal process;

i) the *achievements* of the Project

- realized versus planned Objectives and Outputs (not applicable for ex - ante evaluation)
- impact and effects
  - assessment of the post-Project situation and of the specific conditions of its intended direct or indirect beneficiaries as compared to the Pre-project situation and expectations; assessment of whether this post-Project situation is likely to change additionally, in what direction and over what period;
  - assessment of the achievement of the Project Specific Objective(s) and of its contribution to the Development Objective; critical analysis of the validity of the Assumptions made; presentation of the Indicators of achievement for each level of the Project elements;
  - assessment of unexpected effects and impacts either harmful or beneficial, and presentation of the reasons for their occurrence;
  - assessment of actual environmental impacts and comparison to the predicted ones; and
  - assessment of effects, harmful or beneficial, upon local communities, related or not to the Project implementation.
- sustainability
  - assessment of the presence and effectiveness of a post- Project strategy; and
  - elaboration on the availability of human resources and financial and institutional provisions to guarantee sustainability.

ii) the *process* of Project formulation and implementation

- stakeholder involvement during the identification and during the implementation of the Project.
  - assessment of stakeholder contribution to the design of the Project;
  - assessment of ownership over the Project; and
  - assessment of (early) commitments of stakeholders and collaborating agencies.

- appropriateness of the Project design
  - its overall appropriateness;
  - the rationale of its vertical logic;
  - the level of detail of its Workplan;
  - horizontal logic, indicators, means of verification, assumptions; and
  - risks to Project success.
- efficiency and operational aspects
  - assessment of the technical, financial and managerial aspects of Project implementation, including the adoption of norms, standards and rules related to technical and administrative actions, Project staff coordination, Project organization (files, technical and financial data, reports, accounting documents, etc.);
  - assessment of the Inputs allocation, including its timing and appropriateness, indication of whether they are being provided on time and at the predicted costs; indication of probable future trends in Inputs allocation considering present situation; indication of cost effectiveness through the use of unit costs, comparative costs per beneficiary, etc;
  - Project internal monitoring;
  - procurement procedures, consultants employment; and
  - recipient country commitment.
- effectiveness
  - assessment of technical or scientific intrinsic merit of the Project Proposal;
  - assessment of the Project Proposal rationale for achieving its Objectives, including a critical analysis of its Logical Framework and examination of the external influences which may affect the Project's success; assessment of risks and success probability;
  - assessment of the effectiveness of the management of unexpected situations and evaluation of the adopted routes as compared to alternative ones; and
  - assessment of whether the Project design is still valid (for ongoing Projects) including the review of the Logical Framework and suggestions for its revision, if necessary.

iii) The Project proposal appraisal process

  - could failures have been predicted by studying the Project proposal; what kind of indications?

4.2 Lessons learned

Section 4.2 presents:

i) the corresponding lessons learned

5 Conclusions and recommendations

Guidance

*In principle conclusions may drawn and recommendations may be made on any aspect highlighted in section 4. It is helpful to group conclusions and recommendations under the same headings as used in section 4 and with a bearing at the Terms of Reference. Recommendations should also ref*er to the conclusions they are related to. There for it may be considered to merge sections 5.1. and 5.2.

Data and information sources which support the conclusions and recommendations should be indicated. The use of tables for presentation of suggested revisions or for support of conclusions is recommended since they usually clarify proposals.

Identify any issues or problems which should be taken into account in designing similar Projects in future.

5.1 Conclusions

Section 5.1 presents:

i) outstanding conclusions grouped according to the headings used in section 4, Findings and Lessons learned and with a view at the ToR

5.2 Recommendations

Section 5.2 presents:

i) recommendation grouped according to the headings used in section 4 and target groups e.g. Executing Agency, Country focal point, ITTO secretariat, Expert Panel, etc.

Annex: Executing Agency's Views

Annex presents any views of the EA which deviate from the conclusions of the evaluation team.

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