

Evaluation of Tropenbos International Programme

2012 - 2016

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Acronyms and abbreviations

CIFOR	Council for International Forestry Research
DGIS	Directorate General for International Co-operation (Netherlands)
DRC	Democratic Republic of Congo
ETFRN	European Tropical Forest Research Network
EZ	Ministry of Economic Affairs (Netherlands)
EUTR	European Union Timber Regulation
FLEGT	Forest law enforcement, governance and trade
FoE	Friends of the Earth
GLA	Green Livelihoods Alliance
HCV	High conservation value
ICRAF	International Council for Research into Agroforestry
ITTO	International Tropical Timber Organisation
IUCN	International Union for the Conservation of Nature
LAO	Legally autonomous organisation
MoEF	Ministry of Environment and Forests (Indonesia)
MoFA	Ministry of Foreign Affairs (Netherlands)
NFP	National Forest Programme
REDD	Reduced emissions from deforestation and forest degradation
SFM	Sustainable forest management
SMFE	Small and medium forest enterprise
UNDP	United Nations Development Programme
UNESCO	United Nations Educational, Scientific and Cultural Organisation
TBI	Tropenbos International
TFA	Tropical Forest Alliance
ToC	Theory of change
VPA	Voluntary partnership agreement

Executive Summary

Background

Tropenbos International (TBI) has received support from the Directorate General for International Development (DGIS) of the Dutch Ministry of Foreign Affairs (MoFA) for the period covering January 2012 to December 2016. The objective of this programme is to “achieve the informed inclusion of environmental and social concerns in the governance and management of productive landscapes for sustainable economic development, food security and water availability”. The programme works in 6 countries: Colombia, Suriname, Ghana, Democratic Republic of Congo, Vietnam and Indonesia.

The Dutch Ministry of Foreign Affairs commissioned an external evaluation of TBI, to cover the period of support from 2012 – 2016. This review is designed to cover the entire TBI programme, including the activities of the TBI office in Wageningen and all country programmes. While the primary focus is on the use of funds from DGIS, the evaluation also reviews activities funded from other sources. The terms of reference for this assignment cover a number of themes to be reviewed:

1. The relevance of TBI’s mission, strategy and objectives
2. The efficiency and method of work
3. Effectiveness of TBI and its programme
4. Achievements and impact
5. Organisational and programmatic sustainability
6. Niche, added value and comparative advantage

A summary of key findings, conclusions and recommendations is presented below in line with these 6 themes

Relevance, mission and vision

Overall, the TBI approach ensures high levels of national and local relevance in its programme countries. The four focal themes identified by TBI in its strategic plan remain highly relevant now and continue to be a strong focus for international development assistance in many countries. TBI has taken steps to define its organisational theory of change. However, more work remains to be done with regard to clarifying the approach and role of TBI between its delivery of results and impacts, together with clarifying the core beneficiaries of TBI, with regard to intermediary organisations and collaborators, who provide the means to reach the needs of the final beneficiaries. When the programme was launched in 2012, the programme was very closely aligned, and relevant to Dutch development priorities. In the interim period, Dutch development assistance objectives have shifted markedly over the past five years from a strong focus on tropical forests (as an objective in itself) to a discussion around the role of forests in broader processes such as sustainable trade and climate change (adaptation and mitigation). TBI’s work has an implicit, rather than explicit focus on climate change. Supporting sustainable forest management, addressing illegal logging and supporting small-scale, sustainable forest enterprises all generate indirect benefits and impacts to climate goals, but these have yet to be strongly articulated, assessed or communicated.

Efficiency

TBI operates efficiently and compares well to other international NGOs in terms of its value for money. Simple financial and administrative procedures have been developed by TBI country support office and are in use across all 6 country programmes. These procedures are appropriate given the size of the organisation. However, no formal procedures are described to undertake any form of due

diligence prior to forwarding funds to implementing partners which does expose the organisation to some level of risk.

Effectiveness

TBI is on track to deliver the majority of its planned results by the end of the 5-year funding period from DGIS. No data exists on whether TBI is making progress towards its specific objectives, as this will only be available after the programme funding period is completed. Funds provided to TBI have been well budgeted and a small underspend is anticipated by the end of 2016, which has resulted in a request being made (and approved) for a no-cost extension for the first half of 2017.

The collaborative nature of TBI, as a result of its strategy of supporting others to undertake research and generate knowledge products, as well as convening different stakeholder groups means that it has a relatively low profile within international policy dialogues and has a relatively limited voice with regard to advocacy in programme countries. This may, in turn, reduce its ability to “sell itself” and raise funds, when compared to other NGOs who are more aggressive in branding, marketing their own name and visible in direct advocacy campaigns. The staffing and international board of TBI currently has a strong bias towards the academic and research sectors. The board has been reduced in size in recent years to cut costs and increase effectiveness, with the result that some of the diversity that existed previously has been lost. Plans are being made to address this through new board members who will join TBI in 2017 with a broader geographic and stakeholder representation.

Accomplishments and impact

TBI has delivered greatest impact on shaping policy processes within the 6 programme countries. TBI occupies a “privileged position” through its close relations to government, both in the Netherlands and in the six programme countries. Much of the strength of evidence base for the impact on policies and practice is currently narrative and anecdotal. Strengthened impact could be achieved through clarifying the role of TBI in the space between programme level results and impact, and carrying out a more independent and rigorous assessment of how TBI has contributed to policy and practice in the six programme countries and internationally. Furthermore, impact could be strengthened through TBI taking a more “informed position” on some key issues or developing longer-term partnerships with NGOs that are known as strong influencers and advocates. Over the past 25 years, TBI has built a strong presence around the debate on tropical forests in the Netherlands, by engaging and supporting a series of forums and platforms that bring together government with civil society and other players. TBI has had a relatively limited impact on international policies and processes, with the exception of the FLEGT/VPA process, where the Ghana experience has been important in raising the profile and role of informal and artisanal millers in the domestic timber trade.

Sustainability

TBI has taken important steps with regard to diversifying sources of fund-raising, both at country level and internationally from the country support office in the Netherlands. This has resulted in a secured net income of between €1.5 – 2.5 million, per year over the next four years. A healthy reserve continues to grow (which by end of 2015 had reached €736,000), buffering the organisation against dramatic changes in donor funding and providing a potential bridge to new sources of funding. Despite these important efforts, dependence on DGIS has not reduced below 40%, between 2012 – 2016 (with an average figure of 54% over the period). The possible departure of DGIS after this current funding period would have profound impacts on the viability and sustainability of the programme at country level and on the sustainability of the entire organisation.

At the programme level, TBI's overall approach is built around the concept of sustainability, through long-term capacity building and influencing policy as well as practice. Although concepts promoted by TBI such as multi-stakeholder dialogues have been accepted as legitimate and beneficial approaches by government in many countries, restrictions on government funding has meant that in a number of cases (Ghana and DRC for example), multi-stakeholder platforms are not sustained after the project finishes and TBI support is withdrawn.

Niche and added value

Externally TBI is viewed externally as a solid, reliable and credible institution, generating valuable and respected knowledge outputs. Its close relationships to government, in the Netherlands as well as in the 6 programme countries provides it with a privileged position and a platform from which influence can be shaped. Further capitalizing on this position in the coming years, in partnership with civil society partners will be important in generating additional impacts around both policy and practice. TBI's new projects on strengthening civil society organizations and non-state actors in Western Africa offer plenty of opportunities in this regard.

Recommendations

1. Clarify the impact pathways between results and impacts and define the role of TBI in this space. Either take up more direct role in advocacy/influencing, or form longer-term partnerships with more activist NGOs in-country (as in the GLA project). This recommendation echoes the one made in the self-assessment report that proposes that TBI develop a more comprehensive theory of change.
2. Clarify and document the final beneficiaries of TBI's programmes (forest dependent people), and differentiate them from other collaborator, or intermediary organisations (who are a means to reach the final beneficiaries). Link clearly to the theory of change discussions (See recommendation 1)
3. Strengthen the link between TBI and emerging policy processes that involve the private sector (such as the TFA2020, Green Deal etc)
4. Include simple due-diligence guidelines for risk assessment and mitigation when transferring funds to partner organisations. This should include a simple assessment of capacity, operational procedures and track record with other sources of external funding.
5. Expand the skill set of secretariat and international board to reflect evolving approach and direction of TBI. Specifically, consider new skills in NGO and private sector backgrounds, governance, advocacy and communications
6. TBI should play more of an "knowledge broker and NGO-linkage" (rather than "trusted adviser") role to government in the Netherlands – by, for example, helping shape civil society input to government policy through an informal panel of Dutch NGOs and resource persons.
7. (Following on from theory of change discussion – recommendation 1) define better the role of TBI in the "result-objective" space. Consider needs and opportunities for country programmes to become more visible. Taking an "informed position" – based on solid evidence and grounded research, and communicating this to decision makers. Develop clear advocacy/influencing plan based for each country based on role and actions.

8. Develop long-term in-country partnerships with strong and well-established national NGOs working in advocacy. This should be done not just on the basis of specific project opportunities, but as part of a longer term strategy to create effective partnerships and increase impact.
9. Consider more focus on monitoring the implementation of government policy within relevant fields, rather than a strong focus on just policy formulation. As with other TBI work, this should be backed by a strong evidence base and anchored in field realities.
10. During the proposed no cost extension period (January – June 2017), undertake a rigorous assessment of TBI's contribution to policy and practice over the life of this programme. This should use the growing range of tools that have been developed to assess the impact of policy and advocacy work by NGOs and other external agencies, such as contribution analysis, theory of change analysis, outcome harvesting, process tracing, performance story reporting and others.
11. Clarify the role and rationale of field activities, and ensure that this is well communicated to beneficiaries and that efforts are made to ensure sustainability of field level actions are ensured beyond policy influencing and knowledge-based activities.
12. Over the next five year period, strengthen and sharpen the overall focus of TBI to one that emphasises strengthening resilience, with a clear emphasis on forested landscapes and their role in climate change mitigation and adaptation.

1 INTRODUCTION AND BACKGROUND

1.1 TBI and DGIS support

Tropenbos International was initiated in 1986 when the Dutch Ministries of Education and Science, Foreign Affairs, Agriculture and Fisheries, and Housing, Spatial Planning and Environment instituted a new programme. This programme was intended to strengthen and coordinate the on-going scientific endeavours that were taking place at university research sites in Colombia, Indonesia, Guyana and Côte d'Ivoire to fund research on tropical forests. In 1988, the programme evolved into the Tropenbos Foundation, which gave TBI a legal identity and allowed the development of a small secretariat with independent funding. In 2001, the name was changed once again to Tropenbos International (TBI), to reflect its primary focus on supporting processes within its programme countries [5]. TBI currently has a presence in six countries (Colombia, Suriname, Democratic Republic of Congo, Ghana, Indonesia and Viet Nam). It works through partners in three additional countries, Honduras, Bolivia and Guyana.

Over the 25 years since TBI was initiated, there has been a shift away from scientific research, to one that has increasing policy relevance, and away from scientific studies on forest management, to an appreciation of the wider issues that lie behind forest management, such as governance, landscape approaches, value chains and community based approaches. Furthermore, there has been a shift away from supporting Dutch researchers and institutions to conduct research in tropical countries, to an approach that supports individuals from these countries to develop their research capacity, thereby strengthening the domestic human resource base [5].

Tropenbos International has received support from the Directorate General for International Development (DGIS) of the Dutch Ministry of Foreign Affairs (MoFA) for the period covering January 2012 to December 2016. The objective of this programme is to “achieve the informed inclusion of environmental and social concerns in the governance and management of productive landscapes for sustainable economic development, food security and water availability” [2]. The total budget for this programme is €11,048,200. A six-month no-cost extension has recently been discussed and agreed, extending the programme until end June, 2017. The programme works across the six programme countries where TBI has a field presence, notably Colombia, Suriname, Ghana, Democratic Republic of Congo, Vietnam and Indonesia.

TBI also receives funding from the Dutch Ministry of Economic Affairs. €1,100,000 was provided to TBI from the period from 2008 to 2015 with the goal of mobilizing and sharing knowledge in support of the development and implementation of the Ministry's international forest policy agenda [26]. Further support to TBI comes from the European Commission, as well as a number of other small grants from other sources.

1.2 Scope and TORs of evaluation

The Ministry of Foreign Affairs commissioned an external evaluation of TBI, to cover the period of support from 2012 – 2016. The review is designed to cover the entire TBI programme, including the activities of the TBI office in Wageningen and all country programmes. While the primary focus is on the use of funds from DGIS, the evaluation also reviews activities funded from other sources. The

terms of reference for this assignment are presented in Annex I of this report, but cover a number of core themes:

1. Relevance of TBI's mission, strategy and objectives
2. Efficiency and method of work
3. Effectiveness
4. Achievements and impact
5. Organisational and programmatic sustainability
6. Niche, added value and comparative advantage

1.3 Evaluation process and approach

TBI have undertaken a self-assessment exercise that reviews and assesses the performance of the organisation as a whole, including the work of the country support office in Wageningen as well as the six programme offices. The self-evaluation was completed immediately prior to this external evaluation and provided a solid basis for the review. As such, much of the focus of this evaluation has been on validation and review of the self-assessment

Overall, the external evaluation was conducted through an eight-step process summarised below:

1. Review of literature and preparation of evaluation approach. Key documents, such as the TBI self-assessment, programme documents, programme reports, annual reports, workplans, strategic plans and country strategies, annual accounts and audit reports, were reviewed and relevant findings extracted. Documents consulted are presented in Annex II of this report. Evaluation questions were developed based on the terms of reference and developed into a matrix format, that also listed key stakeholder groups for consultation
2. Briefing with DGIS in The Hague. An initial meeting took place in The Hague to confirm the overall focus and TORs for the evaluation as well as to obtain overall impressions and views on the performance of TBI over the past five years.
3. Meetings were held with TBI staff over a two-day period. An initial briefing was held with the TBI executive director, which was followed by more detailed discussions with senior programme staff. A half-day session was held with all international programme co-ordinators, who were in Wageningen at the time of the evaluation mission.
4. Interviews were then held with partner organisations in the Netherlands and internationally. This was followed by interviews with resource persons and experts working in the same field as TBI, but not directly linked or associated with TBI. This provided an opportunity for a more distant, but informed view of TBI's performance, niche and added value. All persons interviewed or consulted as part of this evaluation are listed in Annex III.
5. A one-week field visit was conducted to Ghana to meet with TBI Ghana staff, partners of TBI, government agencies, donors as well as the direct beneficiaries of TBI field projects. A half-day participatory discussion was held with programme staff, exploring issues such as impact pathways, added value, relevance and sustainability.
6. Further information and follow-up requests were then presented to TBI and any outstanding issues clarified. An initial discussion of general findings, conclusions and tentative recommendations was discussed with the TBI executive director.

7. A presentation of findings, conclusions and recommendations was undertaken at the TBI offices in Wageningen on Friday 2nd December, to which TBI staff and DGIS representatives were in attendance. The aim of the meeting was primarily a validation of overall findings and conclusions and a discussion of draft recommendations.
8. A draft report was prepared and presented to DGIS and TBI. Comments were provided by both parties and taken into consideration in the production of the final report, which was then submitted to DGIS.

The evaluation was conducted in November and completed in mid December 2016.

Limitations on time available for travel meant that only one country could be visited as part of this evaluation. This means that detailed discussion and triangulation of results was only possible within the Ghana context. This has to some degree skewed the report as the Ghana experience is perhaps overly referenced. Furthermore, the very big difference in the approach and focus of different countries makes it hard to generalise results from one country visit only. However, the problem is partly mitigated by virtue of the fact that the self-assessment took place shortly before the evaluation and was used extensively.

A note on sources: Throughout this report, evidence is referenced. In general, referencing comes from two sources - from written documentation reviewed as input to this evaluation and secondly from interviews with resource persons. All documents are referenced in Annex II with a specific number in square brackets. For example, [7] refers to "*Tropenbos International, 2015. Making Knowledge Work for Forests and People. Tropenbos International Annual Report, 2015. Wageningen, Holland*". A list of persons interviewed as part of this evaluation is presented in Annex III. When citing specific interviews, these are referenced with a coding system that maintains their anonymity while demonstrating a link back to one of the interviews conducted. Interviews are coded as follows: [TE##] where "##" refers to the number of the specific interview. The coding key has been saved separately from this evaluation document.

2 RELEVANCE, MISSION AND VISION

2.1 Description of TBI’s mission, goals and programme objectives

TBI define their overall mission statement, goals and objectives in their strategic plan, covering the period 2011 – 2016 [1]. In this document, TBI’s mission is:

“to improve tropical forest governance and management for people, conservation and sustainable development”.

The goal of TBI is:

“to achieve the sustainable management of tropical forest lands for the benefit of people, conservation and sustainable development”.

The objective of TBI is:

“to ensure that knowledge is used effectively in the formulation of appropriate policies and managing forests for conservation and sustainable development”

The strategic plan defines four “focal areas”:

1. *to improve local governance and community management of forests as a condition for sustainable local economic activities and forest conservation*
2. *to invest in productive landscapes that fulfil the multiple purposes of agriculture, water provision, forestry and poverty alleviation while sustaining critical biodiversity and climate functions*
3. *to promote sustainable timber trade for international and domestic timber markets*
4. *to develop innovative financing of sustainable forest management*

The DGIS programme document (2012 – 2016) was written after this strategic plan was produced and defines the “specific objective” of the TBI programme as to *“achieve the informed inclusion of environmental and social concerns in the governance and management of productive landscapes for sustainable economic development, food security and water availability.”* [2]

The DGIS programme document defines two “core programmes”, which largely correspond to two of the focal areas in the strategic plan:

1. *Wood Value Chains And Financing Programme: Strengthening Local Value Chains And Entrepreneurship (Chains)* (which supports the third focal area in the TBI strategic plan)
2. *Landscape Governance And Management Programme: Enabling Productive Landscapes (Landscapes)* (which supports the first focal area in the TBI strategic plan).

The TBI proposal then describes 13 “agendas” which fall largely under the two core programs and are summarized below in Table 1

Agendas for landscape theme	Agendas for Chains theme	Integrated / cross-cutting
1. Integrated forest / landscape management	7. Illegal logging and international timber trade	11. Climate adaptation and mitigation

2. Rural development and spatial planning	8. Domestic markets	12. Financing and business for SFM
3. Forest and landscape restoration	9. SMFE Development	13. Rights and access
4. Food security, water/climate smart agriculture	10. Sustainable trade	
5. Sustainable commodities and value chains		
6. Impacts of infrastructure development		
7. Biodiversity conservation		

Table 1: 14 “agendas” listed in the TBI proposal to DGIS and their links to the “chains” and “landscapes” core programmes (Source: [2])

The programme document defines five “result areas” against which performance is assessed. These horizontal aspects of the programme define, in effect, the process (or means) through which the goals of the programme are met. The five result areas are presented below:

1. Adequate and relevant knowledge and information are available to take appropriate decisions for the management of productive landscapes for food security and water
2. National individual and organisational capacity is in place to generate knowledge and information and to apply it
3. National mechanisms are operational for the exchange of information and joint learning about the governance and management of productive landscapes
4. TBI programmes established locally and internationally as reliable knowledge intermediaries and platforms for collaborative action
5. TBI programme coordinated

2.2 Theory of Change

The 2011 – 2016 TBI strategic plan does not provide an explicit description of how TBI-generated outputs and results lead to higher-level impacts. Rather, the plan describes the different types of support that it provides (such as knowledge generation, capacity development, organisational strengthening and evidence based dialogue) and then links these activities with dotted arrows to changes in policy and practice [1]. The theory of change model that appears in the strategic plan is reproduced below in Figure 1. Although this model is helpful in presenting some of TBI’s core strategies and approach, it is less helpful in defining how these inputs actually lead to change in policy and practice. There is currently a “missing link” in the theory of change that bridges the rather large gap between results and impacts.

A number of “impact pathways” have been explored and developed by TBI teams in different countries, and these are well understood at an implicit level, but have yet to be described and presented more systematically and discussed across the organisation as a whole.

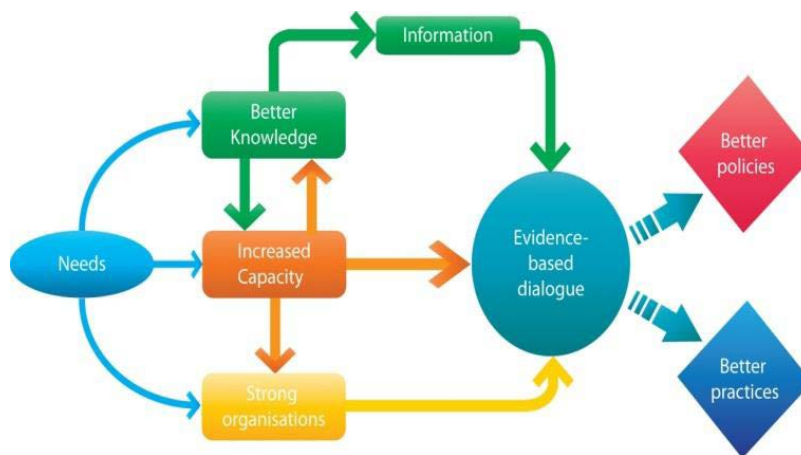


Figure 1: TBI's theory of change (Source: [1])

In the Ghana context, a number of strategies are used at the result level, which are intended to contribute to improved policies and practice. Such strategies include:

- Needs identification undertaken at the local level
- Undertaking robust research and fact-finding and communicating the findings to different stakeholders (within the research community and to policy makers and implementers)
- Building the capacity of lower level organisations to organise themselves and communicate their problems
- Facilitating multi-stakeholder dialogues at which different groups are provided with a space to present their views and find solutions. This may involve platforms at district or national level, including parliamentarians and political decision makers.

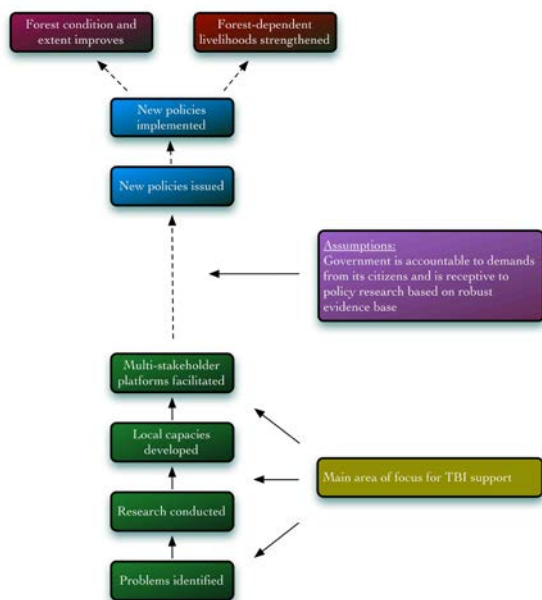


Figure 2: Simplified theory of change of TBI activities in Ghana

These are presented in the dark green boxes at the bottom of Figure 2.

For these activities to be both necessary as well as sufficient, the assumption on governance would have to hold true. We know that in countries such as Ghana (and in many others), this does not. So, the question then arises, how does one bridge this gap between results and outcomes? The Ghana programme is already aware of this gap, and undertakes a number of activities that relate to “quiet influencing” [TE048]. For example, TBI is represented on a number of decision-making or co-ordination bodies at national level (such as the Joint Implementation Committee for the VPA, or the National REDD+ Technical Working Group), which provides opportunities to communicate messages from the field and advocate the findings of discussions at lower levels.

Under the GLA programme, which is just beginning, new partnerships are being developed with organisations with a stronger activist focus.

The idea is that if provided with the right information, such organisations could be more directly involved in influencing and advocating core policy messages. A third option, and one that was raised on many occasions during the Ghana field trip, is that TBI begins to occupy more of a “position” on various issues [TE048, TE054]. This does not imply becoming “activist” by nature (as these organisations are often criticised for campaigning on issues with little evidence base), but one that develops and communicates a strong position on the basis of evidence from the field. These options are discussed more specifically in Section 5.

Recommendation 1: *Clarify the impact pathways between results and impacts and define the role of TBI in this space. Either take up more direct role in advocacy/influencing, or form longer-term partnerships with more activist NGOs in-country (as in the GLA project). This recommendation echoes the one made in the self-assessment report that proposes that TBI develop a more comprehensive theory of change.*

2.3 Beneficiaries and partners

TBI employs a variety of terms to describe the relationships that it has with external players. The self assessment refers to a wide range of “actors” [8], while the TBI Strategic Plan refers to “target groups” (which includes forest-dependent people, policy makers, regulators, practitioners, forest managers, forest users, NGOs and civil society, researchers and educators [1]. The programme document to DGIS then talks of “strategic partnerships” with a wide range of organisations, including peer organisations, business and trade networks, small and medium enterprises, research organisations and government agencies ([2], pages 16-17). “Beneficiaries” are defined in the international as well as national arena, and include 20 different groups from community groups, workers and small enterprises, to intergovernmental bodies and development agencies ([2], page 27).

While presenting a useful overview of external actors (or a stakeholder analysis), this does not show any degree of prioritisation. There is no mention of “ultimate” or “final” beneficiaries (for whom the vision and mission of the organisation is ultimately targeted). When discussing with TBI staff members, it is clear that final beneficiaries are forest dependent communities living in the programme countries where TBI operates [TE020, TE032, TE021, TE001]

Furthermore, in many of TBI’s focal areas (landscapes and value chains), private sector organisations are increasingly important in terms of being drivers of change. Of the three main stakeholder groups (government, NGO and private sector), the private sector is possibly the weakest in terms of external relations with TBI [TE037, TE020]. In the future strategic plan an area to pursue could be how to meaningfully engage with relevant private sector entities working within the TBI landscapes.

Recommendation 2: *Clarify and document the final beneficiaries of TBI’s programmes (forest dependent people), and differentiate them from other collaborator, or intermediary organisations (who are a means to reach the final beneficiaries). Link clearly to the theory of change discussions (See recommendation above)*

Recommendation 3: *Strengthen the link between TBI and emerging policy processes that involve the private sector (such as the TFA2020, Green Deal etc)*

2.4 Process for planning and setting the mission and vision

TBI has a process of developing an organisational strategic plan every five years at the international level. This sets the overall parameters and outer boundaries of TBI's work, and a framework in which the country programmes can be positioned. The plan defines overarching goals, main themes as well as cross-cutting approaches (the "what" and the "how"), but does not define the nature of country programmes. An external scoping exercise is undertaken prior to the plan that identifies new and emerging, policy-relevant themes [TE020, TE032, TE021].

At country level, plans are developed on an annual basis, with the primary emphasis on ensuring domestic relevance. Using the overall vision described in the strategic plan, key activities are then defined with in-country relevance. A balance is sought between government policy objectives as well as the needs of forest dependent communities and the organisations who represent them. A set of activities is then defined that works within the available resources and capacity of TBI and its partners [TE001, TE021]. The broad nature of the themes defined in the strategic plan, coupled with a high level of autonomy at the country level results in a high degree of variation between the country programmes (Table 1). While ensuring high levels of national and local relevance, there is an unavoidable trade-off between this and international programmatic coherence.

2.5 Relevance of TBI's mission and vision in international and national arenas

The strategic plan identifies four "focal areas" were selected for attention during the period 2011 – 2016 (see 2.1). All of these have proven to be highly relevant and continue to attract interest from multi-lateral, bilateral agencies, governments as well as NGOs and projects. For example, the landscape approach, which has been championed through platforms such as the Global Landscape Forum and the Bonn Challenge, has continued to be of interest internationally and increasingly being integrated into discussions on climate and REDD+. The growing interest on value chains such as palm oil, timber, rubber and soya reflects the realisation that a wider focus on the economic drivers that underlie forest and land-use change is needed. Forums and platforms such as the Round Table for Sustainable Palm Oil, Tropical Forest Alliance (TFA) 2020 and more recently the Marrakesh Declaration on Sustainable Development of the Palm Oil Sector¹ is testament to the growing interest in influencing value chains of key land-based investment sectors. In reality, TBI has focussed most strongly on timber, within the context of FLEGT/VPA discussions that have been on-going in countries such as Ghana and DR Congo. During the period of the strategic plan, FLEGT has remained a central pillar of the EC's work in environment, the European Union Timber Regulation (EUTR) has come into force and the FLEGT Action Plan has been evaluated with a view to developing a new strategy for the next ten years. Indonesia has become the first country to ship FLEGT-licensed timber to European markets this year.

At the national level, TBI's programmes have also been highly relevant, by virtue of the considerable freedom provided to country programme teams to develop national programmes. As discussed in Section 2.4, national programmes are developed through a consultative process, working closely with government, but also other non-governmental stakeholders, as well as identifying existing gaps and capacity within the NGO sector.

¹http://unfccc.int/files/meetings/marrakech_nov_2016/application/pdf/africa_palm_oil_initiative_news_release_en_0900_utc_sent.pdf

The overall approach of TBI is to set a broad umbrella for the programme as a whole, expressed through the strategic plan, and to allow countries to develop their own programmes that meet with nationally relevant agendas [TE020]. As a result, there is great diversity within the programme, and large variation between countries (Table 1).

Local programmes are defined through a process of consulting with regional and national government, assessing priorities from forest dependent communities, assessing where “gaps” exist within the context of other NGOs and support organisations and working within the framework of available resources.

There is a strong emphasis on tailoring the programme to meet the priorities of individual country-contexts. For example, in Ghana, a detailed situation analysis was conducted at the beginning of the five year funding phase from DGIS and a participatory process was used to identify core themes including factors such as feasibility, partner interest and human resource capacity (of both TBI and partner institutions). This was followed by focal group discussions with key interest groups to further explore and clarify underlying issues and problems. At this time, the FLEGT/VPA process was receiving a high level of attention, but much less focus was given to players in the domestic market, and in particular chainsaw millers, who under current legal provisions are illegal by nature. The use of multi-stakeholder dialogue within the Ghana programme ensured that the programme remains relevant to local contexts as key stakeholders had an opportunity to present current constraints and discuss with policy makers and implementers within government as a means to identify solutions. Stakeholders from across government and civil society interviewed as part of this evaluation in Ghana have pointed to the strong relevance of TBI’s work, particularly with regard to the issue of chainsaw milling, which before TBI’s intervention had little or no real attention [TE021].

2.6 Relevance of TBI’s mission and vision to DGIS goals

DGIS development priorities have shifted dramatically in the past 5 years [TE019, TE035]. Forests and forest management are no longer considered a priority as an end or objective in themselves. In terms of the priorities of the Ministry of Foreign Affairs, the focus has shifted more towards supporting climate change adaptation. This is spelled out clearly in the DGIS publication, “A world to gain”:

“Climate change is a major cause of natural disasters, such as floods. Drought pushes up the price of food and environmental degradation leads to destruction of our natural production base and loss of ecosystems. The very poorest people, women in particular, are hit first and hardest. For this reason, too, it is important for the Netherlands to focus its efforts to mitigate the effects of climate change on low- and low-to-middle income countries, wherever possible.” [30].

A subsequent letter to the Dutch House of Representatives, outlining overseas development priorities listed four priority areas, namely: sexual and reproductive health, food security, water and security/rule of law. Environmental issues were de-prioritised, unless they related to the areas of sustainable timber production and private sector trade. [31]

Since December 2015, and the conclusion and coming-into-force of the Paris climate agreement, the role of forests in climate change mitigation and adaptation is also being emphasised in Dutch development assistance [TE019]. Furthermore, there is a growing demand for more tangible and concrete results which support overall development goals such as evidence of avoided deforestation, emission reductions, numbers of households supported to adapt to climate change [TE019].

When the TBI programme was developed and agreed in 2011, it was closely aligned to the DGIS development priorities of the day (reflecting core issues of relevance at that time of water, food security, the role of private sector in fostering economic development and sustainable trade. However, due to the strong shifts over the past five years described above, links from the TBI programme in the six countries to these priorities are not explicit (Table 2).

Although much of TBI’s work has implicit links to supporting climate goals, the programme has yet to demonstrate and communicate this link. For example, while speaking with small-scale tree growers being supported by TBI in central Ghana as part of this review it became clear that local people were experiencing an increasingly unstable and less predictable climate which was impacting their crop productivity and livelihood security. As such, growing teak, which was more resistant to prolonged periods of drought, as well as fire (which has become an increasing problem locally) provided people with greater security and reduced vulnerability against the impacts of climate [TE028, TE011].

Country	Primary focal areas	Relevance to current Dutch development agenda
Colombia	The recognition and application of traditional, indigenous knowledge (including strengthening indigenous livelihoods to cope with change, such as climate)	Not listed as priority country for Dutch development, although support provided under “transition facility” Links to climate change adaptation. However, would need more of a direct link to forests and forest management to make strong link to current Dutch development priorities.
Suriname	Participatory landscape planning; REDD+ readiness; timber value chain development	Not listed as priority country for Dutch development assistance. Potentially, good links to current Dutch development priorities
Ghana	Supporting FLEGT processes that provide real and tangible benefits for small and medium forest enterprises and forest dependent communities	Priority country for Dutch development assistance. Well linked to Dutch development priorities (sustainable value chains, private sector support and improving forest management)
DRC	Community forestry, artisanal logging, supporting resilience, FLEGT	Not listed as priority country for Dutch development assistance. Good relevance with regard to Dutch development priorities, but would need reframing to articulate links to mitigation and adaptation
Indonesia	Supporting introduction of HCV concept within forest management.	Priority country for Dutch development assistance Links to improved forest management, but HCV concept has limited links to climate adaptation or mitigation priorities. Strong links to sustainable value chains, sustainable peatland management
Viet Nam	Strengthening forest tenure for forest-dependent communities; impacts of land-based investments (rubber, hydropower) on forests and livelihoods	Not listed as priority country for Dutch development assistance, although support provided under “transition facility”. Relatively weak link to current development priorities, but could be re-articulated to strengthen links

Table 2: Focus of TBI country programmes and relevance to current Dutch development priorities (Source: [9, 7, 25])

2.7 Relevance of TBI's mission and vision to its beneficiaries

Given the consultative process that TBI uses to define its country programmes, including consultations with forest-dependent communities, there is in general a high level of local relevance of the TBI programme. In Ghana, the programme aims to support small and medium forest enterprises (SMFEs), by facilitating their entry into a legal market as well as supporting farmers with on-farm commercial tree production. Furthermore, the programme helps these groups to communicate their concerns and priorities with higher-level stakeholders through multi-stakeholder dialogue [TE021]. In Vietnam, the programme supports tree tenure of forest-dependent communities [TE034], while in Colombia the programme is supporting the recognition and use of indigenous traditional knowledge [TE045]. In Indonesia, TBI supports the adoption of the HCV concept. While the primary focus of this is to protect forest areas with high conservation value, two of the six core values of the HCV concept reflect needs of forest-dependent communities. [TE046].

2.8 Conclusions

Overall, the TBI approach ensures high levels of national and local relevance in its programme countries. The four focal themes identified by TBI in its strategic plan remain highly relevant now and continue to be a strong focus for international development assistance in many countries. TBI has taken steps to define its organisational theory of change. However, more work remains to be done with regard to clarifying the approach and role of TBI between its delivery of results and impacts, together with clarifying the core beneficiaries of TBI, with regard to intermediary organisations and collaborators, who provide the means to reach the needs of the final beneficiaries. When the programme was launched in 2012, the programme was very closely aligned, and relevant to Dutch development priorities. In the interim period, Dutch development assistance objectives have shifted markedly over the past five years from a strong focus on tropical forests (as an objective in itself) to a discussion around the role of forests in broader processes such as sustainable trade and climate change (adaptation and mitigation). TBI's work has an implicit, rather than explicit focus on climate change. Supporting sustainable forest management, addressing illegal logging and supporting small-scale, sustainable forest enterprises all generate indirect benefits and impacts to climate goals, but these have yet to be strongly articulated, assessed or communicated.

3 EFFICIENCY

3.1 Value for money

The overall model for TBI is having small teams at international and national levels, with relatively low overheads and indirect costs. Table 3 presents a breakdown of cost centres for the TBI offices in Wageningen and in the six country programmes over the period 2012 – 2015.

Cost areas	Wageningen	%	Colombia	Congo Basin	Ghana	Indonesia	Suriname	Viet Nam	Total Country Office	%
Salaries and allowances	761,600	35.0%	362,500	398,900	412,000	285,600	348,555	308,000	2,115,555	16.1
Rent/office costs	231,000	10.6%	134,400	142,500	99,600	99,000	114,500	58,500	648,500	4.9
Travel and subsistence	80,100	3.7%	30,500	82,800	122,800	46,200	41,000	64,350	387,650	2.9
Durable equipment	32,500	1.5%	40,500	24,200	84,650	15,300	17,600	9,000	191,250	1.5
Field activities/operational costs	966,500	44.5%	2,209,000	428,500	2,303,800	685,000	321,900	293,000	6,241,200	47.4
Training/Capacity building	101,600	4.7%	1,307,100	341,000	553,600	351,400	670,945	355,500	3,579,545	27.2
Total	2,173,300	100.0%	4,084,000	1,417,900	3,576,450	1,482,500	1,514,500	1,088,350	13,163,700	100.0

Table 3: Distribution of costs across country support offices (Wageningen) and country offices for the period 2012 – 2015 (Source: Financial information compiled by TBI)

The Wageningen Office accounts for 14.2% of the costs of TBI, although it is important to note that in addition to the co-ordinating and fund-raising role, they also generate programme outputs that are not related to the field level activities, such as advising the Ministry of Economic Affairs, producing the ETRN newsletters, as well as directly supporting international programme activities and specific projects with third parties. Some of these costs are included in the budget line called “field activities and operational costs”. As such, the total cost of the Wageningen office is constituted by a mixture of some direct and indirect costs². The audit reports for TBI over the period of programme implementation have calculated indirect costs to be 11%, which seems very reasonable (given the above observation about direct costs being included in the Wageningen office costs). The salaries and allowances of the Wageningen office account for 35% of the country support office costs, which can be considered an acceptable level when one considers the primary role and function of this office.

As one would expect, the field level costs across the six country programmes show a much-reduced percentage of total costs going to salaries and allowances – at 16%. Field level activities as well as training and capacity building constitute 75% of the total costs of the country programmes. Overall this represents a good ratio of field to programme support costs, comparing favourably with other programmes of this kind. The delivery approach of TBI is strongly based around working in partnership and through other organisations. This ensures that field staff numbers are reduced, in turn keeping indirect costs to a minimum.

A further important aspect of the funding agreement with DGIS is the level of trust and flexibility that exists between the two organisations. Programme planning is done on an annual basis, through an adaptive approach, building on experiences and lessons from the previous years implementation. This ensures that resources are targeted strategically to those areas where impact is likely to be highest. This contrasts with other donors who tend to “fix” programme results and logframes in advance, with minimal possibility for flexibility, thereby locking projects into a pre-determined path, regardless of considerations of effectiveness.

² Indirect costs, in this context are taken to mean those programme support costs that are not directly attributable to any specific programme or output. This would include general non-salary costs such as office costs and utilities as well as administration, financial management and reporting costs.

Funds provided under this agreement cover a large part of the costs of the country programme teams. TBI staff in Wageningen and programme offices are strongly engaged in fund-raising. In total, 46 additional projects have been secured over the past five year period, totalling € 19.6 million Euro. This represents a leverage ratio of 1:1.77 (in other words, for every € 1 Euro provided by DGIS, an additional € 1.77 were raised by TBI)

3.2 Comparison with other peer organisations at international level

Given the limited time available for this evaluation, it has not been possible to undertake a comprehensive assessment of how the costs of TBI compare with other comparable, peer organisations that operate at international level. However, TBI were invited to participate in just such a study in 2008. Three non-profit organisations working in international development and one private sector consulting firm were reviewed to assess overall levels of value for money and efficiency. The study looked at key cost-elements such as the ratio of operational to indirect organizational costs and compared specific areas such as salary and personnel costs, consultant costs, costs of finance and admin staff, programme staff costs and general administrative costs (such as office costs). In this review, TBI came out most efficient of three non-profit groups in terms of their share of operational to indirect costs [33]. Although this study was undertaken in 2008, the essential operational model that TBI uses has remained relatively unchanged. As such it seems reasonable to assume that the finding from this study remains valid today.

At country level, the TBI programme undertakes occasional “benchmarking studies” to assess how the salaries of staff compare with those of peer organisations. No international staff are employed at country level, so salaries are all nationally pegged. In general, the approach taken is to ensure that TBI salaries are above national government salaries, but slightly below comparable international organisations (such as Worldwide fund for Nature or IUCN).

3.3 Internal administrative and financial systems

TBI is a relatively small organisation and as such has relatively limited internal operating procedures (TE020). However, the Wageningen office has issued simple guidelines for administration and finance, which are being used across the six country programmes. This includes procedures for financial management, audits, reporting and levels of authority, budgeting and work planning, bank accounts, cash advances, asset register, travel and guidelines for food and accommodation costs while on official business [10]. The guidelines are comprehensive, easy to understand and reflect an underlying rationale to ensure smooth, accountable and transparent operations at least cost. A single finance package (“Exact”) operates across all country programmes and is uploaded on a monthly basis for review, approval and reconciliation by the country support office finance manager in Wageningen.

Annual audits are carried out that include the country support office as well as all six country programmes. Where relevant, the audit extends to those organisations that have received advances to undertake agreed activities. Audit reports over the period in question have not reported any irregularities.

Although TBI works in partnership with other organisations, advances to partner organisations are relatively small in comparison to the overall budget. In Ghana, it was estimated that between 5 -7% of the total budget was spent by partner organisations against agreed budgets. This is explained by the fact that in many cases, TBI works in a collaborative manner, or submit joint proposals (with

separate lines of funding). In a number of cases, recipient of TBI funds are government institutions but given moves towards partnerships with NGOs to work together on joint advocacy initiatives (reference the Green Livelihoods Alliance project), this is likely to change in future. Any advance has to be made on the basis of a signed agreement and there is a limit to how much is advanced relative to the total budget [10]. No specific guidelines exist on carrying out any form of due diligence prior to channelling funds to external organisations. TBI staff indicated that grants were only provided to organisations where a specific relationship had been developed over time. However, in light of the possibility of future growth in funding to partners instituting a simple due diligence procedure would be an advisable move.

Recommendation 4: *Include simple due-diligence guidelines for risk assessment and mitigation when transferring funds to partner organisations. This should include a simple assessment of capacity, operational procedures and track record with other sources of external funding.*

3.4 Conclusions

TBI operates efficiently and compares well to other international NGOs in terms of its value for money. Simple financial and administrative procedures have been developed by TBI country support office and are in use across all six country programmes. These procedures are appropriate given the size of the organisation. However, no procedures are described to undertake any formal form of due diligence prior to forwarding funds to implementing partners which does expose the organisation to some level of risk.

4 EFFECTIVENESS

4.1 Delivery against agreed plans and budgets

In TBI's programme document to DGIS, sectoral and cross-cutting strategies and results are proposed over the five years of financial support. In terms of sectoral (thematic) focus, two "programme components" are presented – named as "chains" and "landscapes" [2]. The specific objectives of these two components are summarised below:

Value chains:

- Reduce poverty and promote sustainable local economic development
- Reduce the occurrence of illegal logging
- Promote sustainable forest management
- Improve governance in the forestry sector
- Effectively regulate domestic wood trade within the framework of VPAs and/or REDD+
- Support formal market development in the SMFE subsector




Landscapes:

- Improved management of tropical landscapes for sustainable economic development, food security and water availability
- Sustainable trade in tropical commodities originating in multi-functional landscapes
- Improved livelihoods for people living in multi-functional landscapes
- High levels of forest-dependent biodiversity maintained in multi-functional landscapes
- High levels of carbon stocks maintained in multi-functional landscapes
- Reduced rate of forest conversion and forest degradation in landscape mosaics

Five cross-cutting "results" are proposed which are included in the logframe [2]:

1. Adequate and relevant knowledge and information are available to take appropriate decisions for the management of productive landscapes for food security and water
2. National individual and organisational capacity is in place to generate knowledge and information and to apply it
3. National mechanisms are operational for the exchange of information and joint learning about the governance and management of productive landscapes
4. TBI programmes established locally and internationally as reliable knowledge intermediaries and platforms for collaborative action
5. TBI programme coordinated

Indicators are presented and reported on annually. No cumulative figures (or annual milestones) are provided in annual reports so it is difficult to see at a glance whether TBI is on track to meet its agreed indicators [22, 23, 24, 25]. To assist with this, result indicators across the life of the programme have been summarised, tabulated and compared to the indicators and milestones proposed in the approved programme document. This information is presented in Annex IV. Results are presented using the following key:

-  Indicator fully achieved, exceeded or likely to be fully achieved by end of programme
-  Indicator partially achieved, likely to be partially achieved by end of programme (>50% achievement)
-  Indicator unlikely to be achieved or only minimally achieved by end of programme (<50% achievement)

□ No data, incomplete data or no assessment possible

5 indicators were proposed at the level of specific objective. These indicators cannot be assessed as comprehensive data does not currently exist, although plans are being made to undertake a broad assessment in early 2017 and report their status in the final report. The lack of any documented annual or on-going monitoring data pointing towards any contribution to the specific objectives means that it is not possible to assess progress towards objectives other than on an anecdotal or narrative basis.

32 additional indicators are presented across the five results. A review and compilation of annual reports submitted by TBI to DGIS shows that the following results have been achieved across the first four years of the programme (2012 – 2015) [22, 23, 24, 25]. This does not include data from 2016 as implementation is either on going, or information is still being compiled.

- 16 (50%) have either been fully achieved, exceeded or likely to be fully achieved by the end of the programme period (green).
- 6 (18%) are partially achieved or likely to be partially achieved by the end of the programme (yellow).
- 3 (9%) are unlikely to be achieved or only minimally achieved by the end of the programme (red).
- 7 (22%) indicators are not possible to assess currently, due to lack of data (grey).

A complete list of result level indicators and their status by the end of 2015 is presented in Annex IV.

The complex nature of this multi-dimensional and multi-country programme, coupled with the current lack of information at the level of specific objective suggests that while the programme seems to be doing well with regard to the achievement of results, it is difficult to assess the degree to which TBI has contributed towards its higher level goals of influencing policy and practice, reducing poverty, increasing economic activity and supporting sustainable management of landscapes and forests. As indicated, TBI are already planning an impact assessment during early 2017. A specific recommendation on this is presented in Section 5 on impacts

In terms of expenditure over the life of the programme, current status is shown in Table 4³. Figures for 2016 are not yet available

Area of expenditure	Expenditures (2012 – 2015)
Colombia country programme	1,298,386
DRC country programme	1,160,048
Ghana country programme	1,289,184
Indonesia country programme	1,077,572
Suriname country programme	1,042,918
Vietnam country programme	1,085,417
Co-ordination costs	863,544
Total costs to end 2015	7,817,068
Balance of budget for remaining year of programme (2016)	(3,182,932)

³ This table relates to DGIS finances only, while Table 3 presents financial data for all sources of funding.

Table 4: Overview of audited expenditures of the DGIS TBI programme from 2012 – 2015 (Source: TBI financial records and audit reports)

By the end of 2015 (80% of the way through the five year programme), 71% of the total funds had been spent, indicating that it is likely that TBI may have unspent funds by the end of 2016. Currently on-going discussions are being held with DGIS on the possibility of a no-cost extension to cover the first six months of 2017.

4.2 Organisational and programmatic effectiveness

Field visits, discussions with implementing agencies and donors indicate a solid basis for field activities. One donor (outside the Dutch government) spoke in warm terms about one of TBI's projects being their "flagship" project [TE041]. An external evaluation of an EC funded programme in Ghana indicated satisfaction with their results [34]. The overall conclusion of an external evaluation of TBI conducted in 2010 found high levels of effectiveness internationally and within the country programmes [30].

The external evaluation of TBI also indicated that greater effectiveness could be achieved with a strengthened focus on a selected number of key topics [30]. It is understood that the broad umbrella provided by TBI allows countries to identify locally relevant themes, which they can pursue within their national programmes. However, the risk is that generates a trade-off with coherence considerations at the organisational level, as it becomes difficult to identify the core areas of focus for TBI internationally. TBI is moving towards a looser network of country programmes (or "network members"). A major consideration behind this is to allow TBI country programmes to take advantage of fund-raising opportunities for national NGOs (TE020). However, concerns were raised by some staff within TBI as well as some partners who were interviewed during the Ghana field mission that there is a risk that TBI will become less focused and more opportunistic, in its quest to raise local funds and ensure financial sustainability [TE029 TE027, TE016]. Consulting may be considered by some TBI offices as a means to generate revenue, although this can shift the focus of the organisation to more of a passive "service provider" rather than its current niche of knowledge broker and intermediary [TE025]. All programme directors acknowledge the important role played by the country support office in terms of fund-raising and for the financial sustainability of the organisation as a whole.

In general, the TBI approach has been characterised by supporting others to do things – for example helping partner organisations generate research findings, producing evidence for change that can be used in advocacy and influencing work [8]. Furthermore, TBI is not actively engaged in "attention-grabbing" activities such as direct advocacy and campaigns, which provides high levels of visibility to organisations involved in such activities. As organisations move towards more autonomous entities, it is likely that visibility within the context of advocacy and influencing may change, and there may be a growing need to become involved in more direct implementation to increase TBI's profile [TE048, TE042]. It is not known what impact this may have, if any, on effectiveness overall.

The close relationship and trust that has developed between DGIS and TBI means that TBI operate with a high degree of autonomy and flexibility with regard to how results are programmed and finances allocated [TE19, TE020]. Adjustments are made, based on field experience and lessons learned. These are communicated to DGIS during face-to-face meetings and within the context of the annual reports. This ensures that actions are more effectively targeted towards the achievement of results, and contrasts with a number of other development partners who have limited flexibility and

where results and activities are fixed at the start of the funding period, undermining adaptive management and ultimately, effectiveness.

The profile of senior staff at TBI reflects its origins as an organisation with a strongly research-focussed programme. Most staff, while experienced, motivated and engaged, have strongly academic backgrounds (with 7 of the 10 most senior staff holding PhDs, mostly in natural science fields). The board, as it is currently constituted also reflects a very similar profile, although in recent years board members have reduced in number from 16 to 6 to reduce costs and increase effectiveness. Earlier boards had a broader profile and greater representation from southern countries (currently there is only one non European member on the board, who previously worked with FORIG in Ghana). This narrow background of board and secretariat, while being effective and relatively low-cost, does not equip the organisation sufficiently for the future challenges of increased devolution as well as the broader challenges of forest governance, political economy, advocacy and support to civil society.

One challenge which emerged during the course of visiting field projects in Ghana was the challenges in supporting communities with short term operational needs, when the primary focus of the project is identifying and addressing longer term policy-related problems [TE028, TE011]. Understandable concerns were raised from TBI (and earlier external evaluations) that it did not feel it had the capacity to engage in supporting communities' immediate constraints (such as access to markets, supply of tree planting materials and links to sources of technical support) due to concerns over sustainability as well as internal capacity. However, such initiatives do risk becoming "extractive", by consulting with communities to identify policy constraints, but the long feedback loop between problem identification – policy change – policy implementation may be too long to appreciate when communities have more immediate, day-to-day concerns.

Recommendation 5: *Expand skill set of secretariat and international board to reflect evolving approach and direction of TBI. Specifically, consider new skills in NGO and private sector backgrounds, governance, advocacy and communications*

4.3 Learning, innovation, adaptive management

TBI organises annual programme meetings in Wageningen, where programme staff from the 6 countries come together with the secretariat and discuss progress over the last year and emerging issues and challenges [TE020, TE021]. It provides an opportunity for reflection, learning and exchange of experiences across the 6 programme countries, and between head-office staff and the field. Given TBI's focus on knowledge management, TBI staff are naturally engaged in a wide range of meetings, forums and conferences, at which experiences and lessons are shared externally. In 2016, TBI also facilitated an internal self-assessment exercise, undertaken across all 6 programme countries and at the international secretariat level. The assessment provided space for reflection and generated a useful, frank and honest report, which will also shape the subsequent evolution of the organisation as a whole [8, 9]. A new strategic plan for the period 2017 – 2021 will be developed shortly.

At the country level, it is common that many programmes undertake an annual review of their programmes together with partners, identifying how and where the following year's programme should focus. This allows for inputs from different stakeholders and ensures that experiences from the previous year's implementation are integrated within the following year's programme [TE034, TE021, TE 001]

4.4 Conclusions

TBI is on track to deliver the majority of its planned results by the end of the 5-year funding period from DGIS. No data exists on whether TBI is making progress towards its specific objectives, as this will only be available after the programme funding period is completed. Funds provided to TBI have been well budgeted and a small underspend is anticipated by the end of 2016, which has resulted in a request being made for a no-cost extension for the first half of 2017.

The collaborative nature of TBI, as a result of its strategy of supporting others to undertake research and generate knowledge products, as well as convening different stakeholder groups means that it has a relatively low profile within international policy dialogues and has a relatively limited voice with regard to advocacy in programme countries. This may, in turn, reduce its ability to “sell itself” and raise funds, when compared to other NGOs who are more aggressive in branding, marketing their own name and direct advocacy campaigns. The staffing and international board of TBI currently has a strong bias towards the academic and research sectors. The board has been reduced in size in recent years to cut costs and increase effectiveness, with the result that some of the diversity that existed previously has been lost. Plans are being made to address this through new board members who will join TBI in 2017 with a broader geographic and stakeholder representation.

5 ACCOMPLISHMENTS AND IMPACT

5.1 Policy impacts in the Netherlands

TBI has had a positive and visible role in enabling the debate, dialogue and broader policy process within the Netherlands around its core themes of forests, landscapes, financing and sustainable supply chains. This is done through a variety of forums and platforms:

- The Dutch Forum on Forests (*'Bossenoverleg'*) is a quarterly informal meeting of professionals who are active in forest-related policy, research, management and conservation. The meetings are co-organised by IUCN-NL and TBI. A meeting is scheduled for early 2017 that will focus on policy direction for the Ministry of Foreign Affairs with regard to forests overall.
- REDD+ Platform at the request of the Ministries of Economic and Foreign Affairs and in cooperation with WWF-NL and IUCN-NL, TBI is involved in this network of 90+ professionals from policy, knowledge and implementation arenas in the Netherlands involved in REDD+ policy and practice.
- The annual 'Are we on the right track?' seminars coordinated by TBI in collaboration with partners. The last of these events was on the topic of "Managing the climate-water-forest nexus for sustainable development"
- Since 2013, TBI has been engaged in the Green Deal, an important policy process, which seeks to stimulate the demand for sustainably sourced timber in the Netherlands. Using experiences from the field in programme countries such as Ghana, DRC and Suriname, TBI has been able to profile some of the experiences gained in supporting legal wood, and legality assurance systems.

These forums provide a useful opportunity for different stakeholders to discuss and exchange views on relevant topics [TE044, TE037, TE017]. It is not known the degree to which these platforms (and TBI's contribution to them) have had impacts in terms of changing policies or direction of the Dutch government.

TBI has a close relationship with this Ministry of Economic Affairs (EZ) through its multi-year funding agreement to provide advisory services. The support has been well-appreciated by EZ, and has resulted in useful inputs to policy discussions through the preparation of briefing notes, background studies, organising meetings and conferences and providing specific advice on technical issues relating to forests, landscapes and sustainable value chains [TE044]. One specific example of an impact has been with regard to helping EZ develop a position on forest financing for sustainable forest management. TBI was nominated as a member to an internal advisory group to the European Forest Council, and through this, shaped the Dutch government's position as well as that of the European Commission. TBI's role in this project is more of a "trusted adviser" rather than knowledge broker. A more effective role could arguably be played if there were opportunities to consult more broadly with Dutch NGOs working in the same field [TE055, TE037]. This would then ensure that more of a Dutch civil society perspective was incorporated into the advisory functions, and strengthen TBI's role as a conduit or communicator of knowledge and organisational perspectives.

Recommendation 6: *TBI to play more of an "knowledge broker and NGO-linkage" (rather than "trusted adviser") role to government in the Netherlands – by, for example, helping shape civil society input to government policy through an informal panel of Dutch NGOs and resource persons.*

5.2 Policy impacts at the international level

TBI has had relatively modest ambitions with regard to influencing and shaping international policy processes [8]. One area that has received input has been the emerging EU policies on FLEGT. The Ghana programme has been on a number of occasions used to profile the importance and benefits of engaging with the informal (artisanal) sector around issues relating to the domestic trade of timber products [TE047]. Although TBI has been engaged on a number of broader issues such as landscape approaches and sustainable financing, this has tended to be less policy-driven and more focused around sharing experiences at meetings, forums and conferences [TE032].

5.3 Policy impacts within programme countries

Policy and influencing within the programme countries is described by TBI programme staff as “focussed opportunism” [TE045] in that they take advantage of opportunities for policy influencing, but within the overall goals and focus of the country programme. To date, there has been limited progress in the development of clear and well-articulated advocacy strategies, which identify specific areas of policy and practice that will be targeted for influence – and the strategy developed for achieving this. Despite this, important policy impacts have been realised across all 6 programme countries – in terms of both shaping and influencing national policy processes as well as “practice” (how government and other external agencies implement activities in the field). Table 3 presents various forms of impacts on both policy and practice to which TBI reported making a contribution over the past five years.

Area of Impact (policy and practice)	TBI contribution to change	What was the effect of the changes made
Indonesia		
<p>Policy: Strengthening of the anti-encroachment strategy of three National Parks (NP) in Sumatra (Gunung Leuser NP, Kerinci Seblat NP and Bukit Barisan Selatan NP, covering 2.5 million hectares) – a World Heritage Site.</p> <p>The main threats to TRHS integrity are encroachment due to the expansion of monocultures (oil palm, rubber, coffee, etc.) and infrastructure development. In 2001 these continuous threats led to TRHS being included by the WHC on the List of World Heritage Sites in Danger</p>	<p>TBI Indonesia commissioned by UNESCO developed a set of management recommendations as part of an <i>Anti-encroachment strategy in The Tropical Rain Forest of Sumatra</i>. These recommendations were presented to the Ministry of Environment and Forestry (MoEF), which if implemented would help to remove TRHS from the List of World Heritage in danger</p>	<p>The study has been officially adopted by MoEF as anti-encroachment strategy by the three national parks and implementation is on-going.</p>
<p>Practice: Mainstream High Conservation Value (HCV) on private sector’s management units (natural forest concession, industrial forest plantation and oil palm plantation)</p>	<p>Since 2007 up till now, TBI Indonesia has taken initiative to mainstream HCV by developing guidelines on HCV identification, conduct training to private sector and HCV assessors (410 persons trained), and provide direct technical assistances to private sector</p>	<p>With support of TBI partners⁴, 1.5 million ha of land administered by private sector bodies have been identified and managed as HCV areas.</p>

⁴ Universities, certification bodies, NGOs, private sectors (oil palm, industrial forest plantations, and natural forest concessions), consultants (HCV auditors/assessors), RSPO, HCV Resource network, HCV National Network.

	bodies to identify its HCV areas (20 management units).	
Democratic Republic of Congo		
Policy: Reversal of national decree banning export of artisanal timber (through the national ministry of foreign trade)	TBI DRC trained and supported artisanal logging in Province Orientale to formalize/create their organizations (Union) in order to better promote their rights and interests and comply with regulations & laws The Artisanal loggers' association of Mambasa addressed a letter to the minister to request cancellation or at least suspension of his decree banning export of artisanal timber. As a result of this and other actions, the ministry reversed its policy regarding export of artisanal timber.	Artisanal loggers comply with forest regulations, and thereby contribute to better governance of forests Export of artisanal timber improved loggers' income & impacted their livelihoods. Increased exports of timber improves tax base and foreign exchange revenue.
Practice: In Province Orientale, artisanal loggers are meeting legal requirements in regard to FLEGT process	TBI DRC researched taxes and legal requirements for artisanal loggers (produced a tax directory validated by stakeholders including provincial government and other public institutions) TBI DRC trained artisanal loggers on provincial & national regulations on forestry and logging TBI DRC campaigned and brought together artisanal loggers & forest stakeholders including state representatives and civil servants to monitor implementation of laws	Artisanal loggers are increasingly complying with regulations under FLEGT process: from 2% artisanal loggers to 20% paying tax. 40% of artisanal loggers have secured their licence to operate. Impacts include improved governance (as fewer opportunities for rent-seeking from government, increased income to government and more secure income for artisanal loggers.
Ghana		
Policy: Domestic timber policy that provides opportunities for small-scale (artisanal) timber producers	For many years, government efforts to control illegal logging have tended to focus on supply-side measures, through regulation and enforcement measures within timber production. TBI supported the Forestry Commission, Ministry of Lands and Natural Resources and the public procurement agency to develop a new domestic timber policy. This was done through broad stakeholder consultation and participation and consensus building, using the multi-stakeholder platform.	A new domestic timber policy was issued in 2014 and explicitly refers to legality requirements in public procurement as well as the role of small scale timber producers in supplying the domestic market The policy created a window of opportunity for small-scale operators, hitherto criminalized by law, to also supply legal timber to the domestic market. Part of the policy focussed on public procurement, and it specifies the use of legally-sourced timber in all public procurement policies. This also recognises the role of artisanal millers.
Practice: Increasing legality of small-scale timber operators across forested districts of Ghana	Chainsaw milling is considered illegal under Ghanaian law. It is unregulated and operates informally, providing unfair competition for registered artisanal traders who comply with taxation and licensing requirements. TBI has supported 297 former chainsaw millers to shift to registered, formalised businesses	The effect of this change has been to provide greater economic security to artisanal timber enterprises as well as developing a more level playing field across the small-scale domestic timber market in Ghana. Furthermore, forest management outcomes have been improved by shifting harvesting operations of chainsaw millers to

		legal (and by implication more sustainable) sources of timber
Suriname		
Policy: Suspension of timber concessions within the Upper Suriname River area by the government, following participatory mapping exercises facilitated by TBI Suriname.	TBI Suriname, together with Saamaka Maroon people, developed a participatory map of their area, which was validated and subsequently developed into an electronic map. This map was presented by village representatives to the authorities and other stakeholders. The map provides a basis for local people to define the boundaries of traditional land claims and levels of use within these areas. The information in the map information on the map serves as an input for land-use planning.	The people from the Upper Suriname River area are now more aware of the physical boundaries of their territory, and the effect what other activities in the productive landscape can have on their livelihood. The ministry of Physical Planning, Forest and Land Management, and the Foundation for Forest Management and Production Control have put the issuance of timber concessions in the area on hold. Several entities are pinpointing the negative effect, which the construction of an access road to the area can have on the livelihoods of the people from the Upper Suriname River area.
Practice: Improved transparency in sustainable community forest management	Together with the ministry of Regional Development, TBI conducted a training programme on Sustainable Forest Management for Village Development in 2013 - 2014. Subsequently, TBI produced a manual (2015), which was presented to the minister of regional development, and other authorities and stakeholders. A key element of the manual is procedures for licensing in community forest areas	The ministry uses the manual to promote sustainable management of community forests. The manual contributes to a new, more transparent system of community forest licensing which has to be managed by a village commission. Previously the license was issued to the captain of the village with no system of accountability to the ministry of Regional Development, and no clear accountability to the villagers.
Viet Nam		
Policy: In the period of 2006 – 2014 forest land conversion took place rapidly due to the policy of the government allow conversion of so called “poor forest” to Rubber plantation. The policy of Rubber Development led to massive deforestation in the country, especially in Central Highlands where the largest area natural forest of Viet Nam is left.	TBI Viet Nam cooperated with its partners (Forest Trends, and Viet Nam Academy of Forest Sciences) to conduct research on “Rubber expansion and forest protection in Viet Nam”. The project examined the implementation of the government policy on “Rubber development”. The research assessed the impacts of the expansion of rubber on local livelihoods and forest conservation. The information/ knowledge generated by the project was used in national policy dialogues on the issue of forestland conversion. The information was also used by the national assembly members in their national debate	Thanks to the pressure from the National Assembly debate – which was based partly on the recommendations derived from the national policy dialogue held by TBI and its partners - the government issued a new policy to stop rubber expansion in forest lands.
Practice: From 2014, natural forest conversion was stopped. 11% of the rubber plantation projects were withdrawn and 38 project of rubber plantation were	TBI provided sufficient information and promoted down ward accountable from policy to local community. The evident is that more meetings were held and provided information of land use	Natural forest remained protected offers opportunity for local people collecting NTFPs, and practice their own traditional culture in the natural forest.

cancelled. There is no more planning of rubber development since then.	planning to local people	The remain natural forest has function of reducing flash flooding and land slide in the central highlands
Colombia		
Policy: Colombia is in the process of formulating a public policy for the protection of sacred areas in indigenous territories.	TBI Colombia supported the Ministry to prepare background documents, studies, mapping exercises as well as public meetings and consultations	The Ministry of Culture has made a strong commitment to formulating a new policy on sacred areas. The process is now well underway. It is anticipated that they policy will be finalized in 2017.
Practice: The use of participatory mapping to define traditional, sacred areas and their inclusion in formalized, government-led spatial planning exercises. This will ensure, for example, that extractive industries are required to plan for the protection of sacred areas within their concession areas	Indigenous groups received support of TBI-Colombia for the documentation process of sacred areas in their territories and TBI advocated for the inclusion of sacred areas in to formal spatial planning.	The Ministry of Culture, National Parks and the Ministry of interior have adopted the use of participatory planning to define sacred areas across the Amazon region. In mining concession areas, where sacred areas are identified, the government now requires restrictions on activities in these areas

Table 3: Overview of impacts on policy and practice reported by TBI country programme staff across the 6 countries (Source: Information presented by TBI Programme Directors)

A perhaps equally important (but harder to measure) aspect of policy change is shifting discourse, narratives and attitudes among decision makers, something that is often a necessary pre-condition for policy change to take place, in the formal sense. Indeed, this is a key observation from Ghana: Government officers indicated that small-scale timber millers (using chain-saws), illegal in the currently legal environment, who were traditionally engaged in only one way – arrest and confiscation – are now seen as legitimate stakeholders, with a place at the policy-making table and opportunities to express their concerns and propose solutions [TE027, TE029]. This has translated into a revised set of “legal instruments” that are with cabinet for approval, covering ways in which artisanal milling can be integrated more fully into the formal economy.

TBI does not consider itself as an organisation with a defined position, or one that engages in direct influencing or advocacy: a view described in TBI’s self assessment as follows: “It is important to note that TBI perceives itself not only as a knowledge broker, but also as “honest” broker, which means that we do not take a position” [8]. Taking a position is seen as undermining one’s ability to play this honest broker role, and furthermore, may jeopardise good relations and trust that has been built with government [TE020].

Interestingly a number of people interviewed as part of this evaluation felt that this approach was limiting the effectiveness of TBI’s work and more could be done to provide evidence in a more structured and directed manner, backed by a solid position [TE026, TE0050]. As one respondent indicated:

“I personally feel that TBI could be more confident about expressing a specific opinion, whether communicating with the Dutch government or in international forums. They invest considerable time in generating solid findings and evidence, but stop short of then taking a position, based on what this evidence points to” [TE044]

One senior government representative in Ghana indicated that where trust has been built between government and with advocacy NGOs, they are often highly effective in influencing change as they

were seen as allies who could do things outside government, that they as civil servants were unable to do. However, for this to happen, they need to be more willing to take a position [TE026]

Having a strong field presence is seen widely as one of TBI's areas of strength [8]. It legitimizes knowledge products and ensures that they are anchored in reality. However, there is evidence to suggest that the underlying rationale for these field activities is sometimes unclear [TE042, TE025]. For example, field activities could be used as models, or "pilots" where new approaches can be tested and then successful experiences profiled to policy and decision makers as a means to shift policy or practice. However, in other cases, field activities may be more focused on generating inputs to specific knowledge products, which are then used to feed into discussions on policy at higher levels. In such cases, there may be a tension between the project's need to identify and extract key policy messages, the communities' needs to address more immediate, or operational concerns. This was seen in the Ghana field programme and referenced in the DRC self assessment report (TE028, TE011, 9]

Recommendation 7: *(Following on from ToC discussion) define better the role of TBI in the "result-objective" space. Consider needs and opportunities for country programmes to become more visible. Taking an "informed position" – based on solid evidence and grounded research, and communicating this to decision makers. Develop clear advocacy/influencing plan based for each country based on role and actions.*

Recommendation 8: *Develop long-term in-country partnerships with strong and well-established national NGOs working in advocacy. This should be done not just on the basis of specific project opportunities, but as part of a longer term strategy to create effective partnerships and increase impact.*

Recommendation 9: *Consider more focus on monitoring the implementation of government policy within relevant fields, rather than a strong focus on just policy formulation. As with other TBI work, this should be backed by a strong evidence base and anchored in field realities.*

Recommendation 10: *During the proposed no cost extension period (January – June 2017), undertake a rigorous assessment of TBI's contribution to policy and practice over the life of this programme. This should use the growing range of tools that have been developed to assess the impact of policy and advocacy work by NGOs and other external agencies, such as contribution analysis, theory of change analysis, outcome harvesting, process tracing, performance story reporting and others.*

Recommendation 11: *Clarify role of field activities, and ensure that this is well communicated to beneficiaries and that efforts are made to ensure sustainability of field level actions are ensured beyond policy influencing and knowledge-based activities.*

5.1 Impacts of research within wider research community

TBI's primary rationale with regard to supporting research relates to the goal of supporting policy, practice and decision-making. This approach contrasts with how TBI used to operate 10-15 years back, when research was seen as an end in itself [TE020]. A secondary goal relates to making long-term investments in human resource development, particularly with regard to supporting students in the 6 programme countries to undertake research relating to the masters or doctorate theses. Many will go on to work in conservation organisations, or support further teaching and training at national universities. TBI Ghana has been successful in picking up some of these students and providing them with internships and eventually employment, creating a vibrant, youthful and energetic atmosphere within the country programme. Staff from the government of Ghana working at both ministry and

Forestry Commission level pointed to the valuable contribution that TBI had made with regard to building educational capacity of students [TE029, TE027].

The EFTRN News is a product that TBI can be justifiably proud of. It is widely read, identifies themes that are relevant and topical and through its non-academic, but well-edited articles provides a space for field experiences to be shared and profiled [TE004, TE023, TE018].

Over the four year period of support from Ministry of Foreign Affairs, TBI has directly supported the production of 135 articles and technical publications (of which 46 appeared in peer reviewed journals). No information is currently available on the readership and coverage of these journal articles although this could easily be done through online tools such as “google scholar”. The publications, as well as having merit and value in themselves, also are important in terms of TBI demonstrating their strong evidence base and strengthening the legitimacy of their other publications relating to policy and practice (such as policy briefs).

5.2 Conclusions

TBI has had greatest impact on shaping policy processes within the six programme countries. TBI occupies a “privileged position” through its close relations to government, both in the Netherlands and in the six programme countries. Much of the strength of evidence base for the impact on policies and practice is currently narrative and anecdotal. Strengthened impact could be gained through clarifying the role of TBI in the space between results and impact (as currently articulated in the TBI programme document), and carrying out a more independent and rigorous assessment of how TBI has contributed to policy and practice in the six programme countries and internationally. This could involve TBI taking a more “informed position” on some key issues or developing longer-term partnerships with NGOs that are known as strong influencers and advocates. Over the past 25 years, TBI built a strong presence within the debate around tropical forests in the Netherlands, by engaging and supporting a series of forums and platforms that bring together government with civil society and other players. TBI has had a relatively limited impact on international policies and processes, with the exception of the FLEGT/VPA process, where the Ghana experience has been important in raising the profile and role of informal and artisanal millers in the domestic timber trade.

6 SUSTAINABILITY

6.1 Organisational and financial sustainability

In their proposal to DGIS, it is stated that:

“TBI will reduce its dependence on MoFA funding by increasing the number of independently funded activities and projects, and recovering a larger proportion of its indirect costs” [2].

A diversified funding base was proposed from a strengthened partnership with European partners (e.g., from UK, Germany and Belgium), through competitive funding opportunities from public and private sources for scientific (science foundations) and developmental goals (EU, philanthropic organisations). Furthermore, it was proposed that TBI would be able to access locally-available funding through programmes such as UNDP, ITTO, NFP facility, etc. Finally, it was proposed that TBI develop partnerships with the private sector, both in the Netherlands (in particular those with an interest in sustainable trade) and in the programme countries, in the form of service agreements [2]. Further details are provided in the TBI Fund Financing Strategy (2012 – 2016) [29].

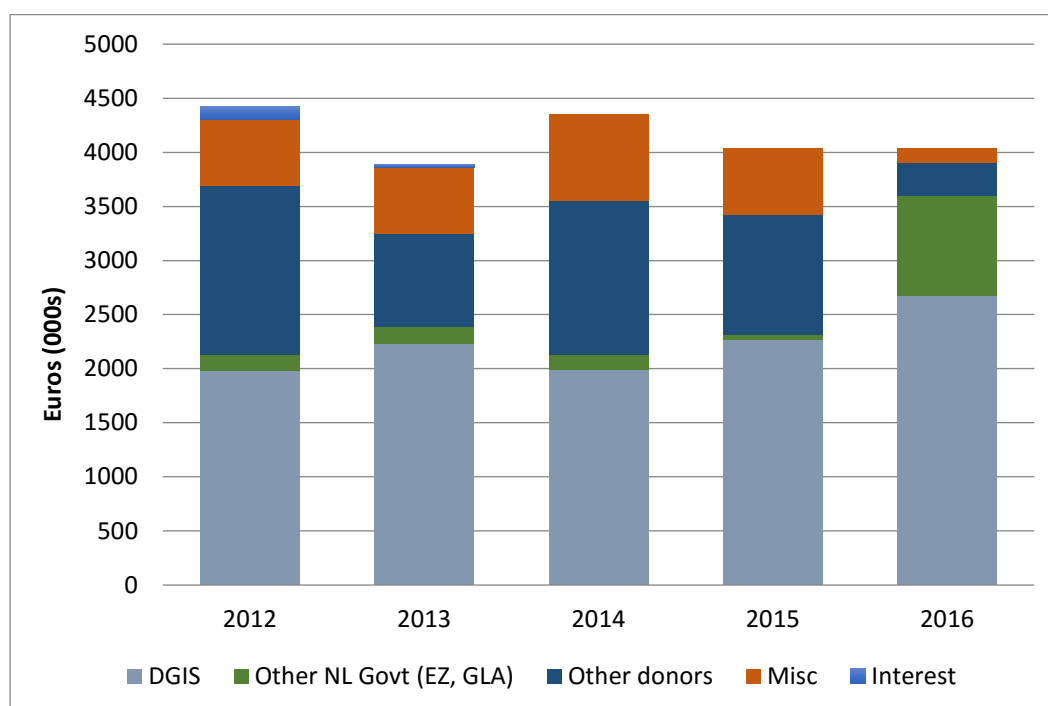


Figure 2: Distribution of income sources for TBI over from 2012 – 2016 (Sources [3],[4],[5], [6] and un-audited (provision) accounts figures for 2016 from TBI)

A review of revenue sources over the 2012 – 2015 period shows a variable picture (Figure 2). TBI as a whole has remained strongly dependent on the Dutch government over this period, with DGIS programme funding accounting for between 41 - 66% of total income, averaging 54% over the programme period with no clear trend evident over the period. However, these figures must be treated with some caution for a number of reasons. Firstly, under-expenditure from previous years has accumulated towards the end of the DGIS programme period, which leads to an increasing percentage of DGIS income to overall income. Secondly, using a percentage figure as an indicator of financial viability may also be misleading. At the beginning of the programme period, it was known that DGIS would grant €2.2 million a year. If the percentage of DGIS funding was to reduce, it would necessarily mean that the total income would have to increase. Achieving a figure of 25%

contribution from DGIS programme funding would imply a growth in total budget to around € 8.8 million Euro – almost two times current levels.

Concerted efforts have been made to diversify the funding base during this period, with proposals submitted to agencies such as the Norwegian government (Norad), the UK government (DFID), the government of Finland, European Forest Institute, and numerous smaller grant-making bodies. The EU has provided an important alternative source of funding across this period, mostly with regard to its support to the FLEGT/VPA processes in a number of timber-exporting countries. Between 2012 – 2015, 79 funding applications were made covering small country-specific tasks as well as larger, cross-country projects. Of these, 46 were successful, and 33 were either rejected or are still pending. Two major new projects have been secured during this period:

- Green livelihoods alliance (GLA) programme, in partnership with IUCN and Friends of the Earth (FoE), through DGIS
- Capacity building of civil society organisations working on FLEGT in West Africa (EC)

A third large project – the “forests, trees and agroforestry programme”, to be implemented jointly with CIFOR and ICRAF is showing positive signs of being funded, but as yet, no agreement has been concluded. The Ministry of Economic Affairs have also expressed an interest in developing a new multi-year partnership with TBI, although again this has yet to be translated into a new contract.

At the country level, local fund raising results has been highly varied (Figure 3). The Colombia programme has had significant success in securing funding from government sources in the country. For example, during 2013, Colombia was able to raise €716,000, although this figure had fallen to €46,563 by 2015. Ghana has also been successful in developing and obtaining funding from sources such as the European Union and FAO. Over the period from 2012 – 2016, the Ghana programme has raised approximately 55% of their funds from local sources. This contrasts with Vietnam who have only managed to secure less than 1% from local sources (Figure 3). The TBI Indonesia programme was able to secure €216,000 in 2014, from private sector sources, but this was through the direct provision of services with regard to conducting HCV assessments. Overall, locally-secured fund raising varies significantly from year to year and from country to country. As such, while it may help boost local activities, it does not provide long-term sustainability due to the short-term funding associated with many of these sources.

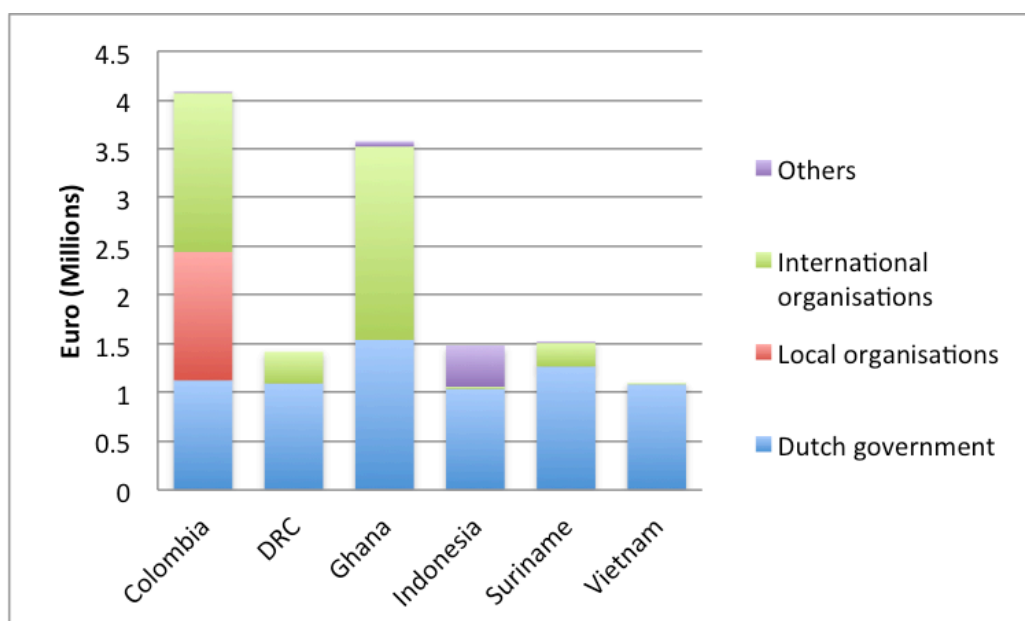


Figure 3: Budgets and Funding Sources for TBI Country Programmes over the period 2012 - 2016
(Source: TBI financial records)

The net result of external fund raising is that TBI has a secured income stream of between €1.5 – 2.5 million, per year over the next four years, largely as a result of the approval of the GLA project but also including other important contributions from the EU. Furthermore, a healthy financial reserve has been developed by TBI, which by end of 2015 had reached €736,000, enough to cover the operational costs of the TBI and country programmes for around 6 months [25]. This is expected to grow to around €900,000 Euro by the end of 2016, which marks the end of the agreed DGIS programme period (TE020).

TBI is moving towards a new institutional arrangement, called a “hub and spoke” model, which involves increased local autonomy and independence for country programmes and a transition towards a looser, and “flatter” network [TE002]. TBI country programmes will become “network members”, registered as national NGOs and with a national board or steering committee, independent of the TBI international board. Progress is already at an advanced stage, with the hand-over of responsibilities from the international board to national boards at the beginning of 2017 [TE020]. The rationale for this shift is three fold [TE020]:

- **Access to local fund raising opportunities:** As a response to changing donor priorities, network members will be free to apply for local NGO funding opportunities. There is a risk that this would place them in competition with their partners, so where possible, joint proposals should be pursued.
- **Increased legitimacy and local constituency.** By become a national NGO, governed locally, the country programmes will be in a position to speak out with more authority and legitimacy. As the programmes move away from a focus on supporting research and knowledge products, this will provide them with more local constituency with which to engage in policy dialogue.
- **Sharing responsibility and liability with the international board:** At present, the international board has overall responsibility for the international as well as six national offices, placing a heavy burden of the responsibility on the board. By creating an additional six autonomous entities, this burden is shared.

This shift is a sensible response to changing external conditions, and if well managed, gives country programmes “the best of both worlds” – support and funding from the international secretariat in Netherlands, while functioning as nationally managed entities. A number of international NGOs are experimenting with similar models (including Worldwide Fund for Nature, Action Aid, Care and Oxfam) for similar reasons. A number of risks have been explored, including that local autonomy may lead to a further broadening of the thematic scope of the programmes and overall coherence at the international level becomes diluted [TE032]. Defining and agreeing the exact role and function of the international office, with regard to national offices will also be critical if this transition is to be managed effectively.

Despite the strong track record in fund raising and moves towards the development of a loose network of members, TBI is yet to reach a position of sustainable funding (Figure 3). Withdrawal of DGIS support would result in a significant impact on the operations and viability of TBI in the coming 12-24 months. Currently, fund-raising within the country programmes is both variable and unpredictable. Support is needed in the medium term, to see TBI through this transition and to further strengthen local fund-raising opportunities.

Medium term funding is required by TBI to cover a basic minimum level of bridging support, allowing for focused programme activities, a transition to TBI as a network organisation with independent country offices, and the opportunity to leverage additional fund-raising opportunities such as the Green Climate Fund and others.

6.2 Sustainability of actions at field level

TBI's approach to sustainability is described in the programme document to DGIS:

"TBI's programmes are directed at the gradual uptake of its models and approaches by local stakeholders who are able to play a similar role in making knowledge work for improved policies and practices, such as local universities, local NGOs, or local government agencies. That way, benefits will be sustained beyond the presence of the TBI programme in the country" [2]

This approach has been largely validated during this evaluation. The design and approach of TBI projects is largely centred around building capacity of civil society organisations and community based organisations to be stronger and more able to represent their views, coupled with facilitating information flow through research and fact-finding approaches. By addressing and impacting policies that affect forest adjacent communities, sustainability in the long term is largely assured, as such changes are institutional and long-lasting, going beyond the life of individual projects. Furthermore, long term investments in the capacity of students (through support to undergraduate and post-graduate qualifications) helps to ensure that benefits gained last well beyond the period of support provided. Many graduates go on to become decision makers in their own right after graduation and contribute positively to the sector within the country concerned.

A strong focus on the use of existing structures and institutions also ensures that opportunities for sustainability are maximised. However, in countries such as Ghana and DRC, where government budgets are very restricted, in many cases, government is unable to continue providing the same level of support that was able to do, when provided with financial support from the project [TE001, TE021]. So, in such cases, sustainability of action at the field level may be limited. When establishing new structures (such as the MS platforms developed under the EC Chainsaw project and forest forums developed with support from the NFP Facility), while the concept may be mainstreamed in government, specific platforms may be donor dependent and not outlast donor-funding cycles [TE026, TE030].

6.3 Conclusions

TBI has taken important steps with regard to diversifying sources of fund-raising, both at country level and internationally from the country support office in the Netherlands. This has resulted in a secured net income of between € 1.5 – 2.5 million, per year over the next four years. A healthy reserve continues to grow (which by end of 2015 had reached €736,000), buffering the organisation against dramatic changes in donor funding and providing a potential bridge to new sources of funding. Despite these important efforts, dependence on DGIS has not reduced below 40%, between 2012 – 2016 (with an average figure of 54% over the period). The possible departure of DGIS after this current funding period would have profound impacts on the viability and sustainability of the programme at country level and on the sustainability of the entire organisation.

At the programme level, TBI's overall approach is built around the concept of sustainability, through long term capacity building, influencing policy as well as practice. Although concepts such as multi-stakeholder dialogues have been accepted as legitimate and beneficial approaches by government in many countries, restrictions on government funding has meant that in a number of cases (Ghana and DRC for example), multi-stakeholder platforms are not able to be sustained after the project finishes.

7 OUTWARD ASSESSMENT

7.1 Niche and comparative advantage of TBI

TBI continues to be an organisation that is widely trusted and respected [TE050, TE017, TE004]. A commitment to producing solid policy-relevant research and knowledge products has positioned the organisation closely to key government agencies in Netherlands and in the 6 programme countries. The ETFRN News is a hallmark of TBI's approach to generating solid and useful information. TBI occupies a specific niche on the interface of research and public policy, and seeks to influence policy and practice through a role as an "knowledge broker", or "honest broker" (8)

Representatives of government agencies in Netherlands and overseas spoke favourably about TBI's constructive engagement, rather than the more critical position adopted by more activist NGOs [TE027, TE029]. This is exemplified by a quote from a government representative in Ghana:

"Many NGOs in Ghana prefer to work on the basis of external criticism, and they "whip us" in the media and through their reports. TBI's approach is different – they work with us to identify problems and we find solutions together" [TE027]

However, as mentioned earlier in this report, this view was tempered by other government officers both in Netherlands and Ghana saying that TBI could do more to develop more of an "informed position" [TE026, TE039, TE044]

TBI's long term commitment to supporting students and young persons to gain higher qualifications, undertake relevant research and secure internships within the country programmes is also a unique aspect of TBI's added value [TE027]. Although hard to identify specific impacts, it does help build a professional cadre of staff within the 6 programme countries who then go on to work in senior, decision making positions within governments, NGOs and projects, and jointly help advance a progressive forest agenda.

In Netherlands, in addition to facilitating debate across a range of themes and platforms, TBI plays an important role in keeping the theme of tropical forests in the public arena and as a topic of public debate [TE009, TE037]. As the focus of government (notably Ministry of Foreign Affairs, and Ministry of Economic Affairs) has reduced on the subject of tropical forestry, so the in-house technical capacity in these fields has reduced too [TE022, TE055]. TBI plays a critical role in ensuring this capacity is available and informing government processes and decision-making.

TBI's field presence ensures that its knowledge products are anchored in local realities, and provides the opportunity for TBI to engage at national and international levels with a degree of authority and credibility [TE036, TE023]. TBI's strong networks ensure it is well placed to influence and engage with a variety of processes internationally and in the 6 programme countries. These networks extend beyond a narrow focus on forests, reflecting the rationale that forests need to be considered within a wider landscape of actors and drivers, if long-term sustainable management is to be assured.

Interestingly, many persons outside TBI (and particularly at the international level) identified most strongly with "how" TBI works (convenor, provider or broker of knowledge) rather than the specific thematic focus that TBI pursues (the "what") [TE023, TE055, TE022]. This may partially be due to the

broad framing of priority issues by TBI at the international level, which results in a broad, rather than narrowly defined organisational focus.

Recommendation 13: *Over the next five year period, strengthen and sharpen the overall focus of TBI to one that emphasises strengthening resilience, with a clear emphasis on trees and forests and their role in climate change mitigation and adaptation.*

7.2 Conclusions

Externally TBI is viewed externally as a solid, reliable and credible institution, generating valuable knowledge outputs. Its close relationships to government, in the Netherlands as well as in the 6 programme countries provides it with a privileged position and a platform from which influence can be shaped. Further capitalizing on this position in the coming years, in partnership with civil society partners will be important in generating additional impacts around both policy and practice. TBI's new projects on strengthening civil society organizations and non-state actors in Western Africa offer plenty of opportunities in this field.

8 CONCLUSIONS

8.1 Summary of overall findings and conclusions

TBI has successfully managed the transition from an organisation strongly focussed on conservation science and research, to one that uses information and knowledge in influencing changing policies and practice, with a view to improving the lives of forest-dependent people and forests. Over the past five years, with the support of DGIS and other donors, TBI has continued to develop, expanding its programme and has been able to develop six focussed country programmes that are relevant in addressing some of the emerging challenges around forests and landscapes. Small teams, working at country level and supported by a small international secretariat provides an effective and efficient service delivery model. TBI is well connected through an array of national and international networks and partner organisations, meaning that can achieve a lot with relatively little.

TBI has delivered well on commitments to the Ministry of Foreign Affairs. Many “result level” indicators are already surpassed by the end of the fourth year of a five-year programme and provide a good overview of TBI’s outputs and results. What is less clear is the degree to which TBI is making progress towards its higher-level objectives, with regard to how its actions are supporting improved forest management and strengthening livelihoods of forest-dependent communities across the six countries. Furthermore, the role of TBI in the space between results and impacts needs clarification in the coming strategic plan, through a more detailed elaboration of the theory of change. TBI is beginning to experiment with new models for delivering results in the field, such as new partnerships with more activist, advocacy-focused NGOs through the Green Partnership Alliance project, funded by DGIS. Other countries are experimenting with taking more of a knowledge-based position on issues, which gives them potentially greater impact and visibility. As country programmes move towards greater autonomy, such moves are likely to increase. To support this transition, TBI will need to develop new expertise and skills at the organisational level as well as in the international board.

TBI has clearly contributed to important areas of impact over the past five years, most notably on policy development, but also on shaping how institutions undertake their work and operate on a daily basis (“practice”). In the Netherlands, TBI plays a valued role as a centre for expertise and knowledge on tropical forests and sustainable landscapes, supporting government departments on decision making and policy formulation, while facilitating and contributing to a range of national level forums and platforms on forests, trade and financing.

Externally TBI is viewed externally as a solid, reliable and credible institution, generating valuable and respected knowledge outputs. Its close relationships to government, in Netherlands as well as in the 6 programme countries provides it with a privileged position and a platform from which influence can be shaped. Further capitalizing on this position in the coming years, in partnership with civil society partners will be important in generating additional impacts around both policy and practice.

9 RECOMMENDATIONS

Recommendations have been provided within the main body of the report, but for clarity are clustered and repeated below:

- **Recommendation 1:** *Clarify the impact pathways between results and impacts. Define the role of TBI in this space. Either take up more direct role in advocacy/influencing, or form longer-term partnerships with more activist NGOs in-country (as in the GLA project). This recommendation echoes the one made in the self assessment report that proposes that TBI develop a more comprehensive theory of change*
- **Recommendation 2:** *Clarify and document the final beneficiaries of TBI's programmes (forest dependent people), and differentiate them from other collaborator, or intermediary organisations (who are a means to reach the final beneficiaries). Link clearly to the theory of change discussions (See recommendation 1)*
- **Recommendation 3:** *Strengthen the link between TBI and emerging policy processes that involve the private sector (such as the TFA2020, Green Deal etc)*
- **Recommendation 4:** *Include simple due-diligence guidelines for risk assessment and mitigation when transferring funds to partner organisations. This should include a simple assessment of capacity, operational procedures and track record with other sources of external funding.*
- **Recommendation 5:** *Expand skill set of secretariat and international board to reflect evolving approach and direction of TBI. Specifically, consider new skills in NGO and private sector backgrounds, governance, advocacy and communications*
- **Recommendation 6:** *TBI to play more of an "knowledge broker and NGO-linkage" (rather than "trusted adviser") role to government in the Netherlands – by, for example, helping shape civil society input to government policy through an informal panel of Dutch NGOs and resource persons.*
- **Recommendation 7:** *(Following on from theory of change discussion) define better the role of TBI in the "result-objective" space. Consider needs and opportunities for country programmes to become more visible. Taking an "informed position" – based on solid evidence and grounded research, and communicating this to decision makers. Develop clear advocacy/influencing plan based for each country based on role and actions.*
- **Recommendation 8:** *Develop long-term in-country partnerships with strong and well-established national NGOs working in advocacy. This should be done not just on the basis of specific project opportunities, but as part of a longer term strategy to create effective partnerships and increase impact.*
- **Recommendation 9:** *Consider including a focus on monitoring the implementation of government policy within relevant fields, rather than a strong focus on just policy formulation. As with other TBI work, this should be backed by a strong evidence base and anchored in field realities.*
- **Recommendation 10:** *During the proposed no cost extension period (January – June 2017), undertake a rigorous assessment of TBI's contribution to policy and practice over the life of this programme. This should use the growing range of tools that have been developed to assess the impact of policy and advocacy work by NGOs and other external agencies, such as contribution analysis, theory of change analysis, outcome harvesting, process tracing, performance story reporting and others.*

- **Recommendation 11:** *Clarify role of field activities, and ensure that this is well communicated to beneficiaries and that efforts are made to ensure sustainability of field level actions are ensured beyond policy influencing and knowledge-based activities.*
- **Recommendation 12:** *Over the next five year period, strengthen and sharpen the overall focus of TBI to one that emphasises strengthening resilience, with a clear emphasis on forested landscapes and their role in climate change mitigation and adaptation.*

Annexes

Annex I : Summary of evaluation terms of reference

BACKGROUND

The evaluation serves to financially close the financial contribution during the period 2012 – 2016. To this end the consultant needs to assess whether goals, results and impacts that were indicated in the initial project documents have been achieved. To make this assessment the consultant can benefit from an extensive self-evaluation that was recently done by TBI.

SCOPE

- The period under examination is 2012-2016.
- The review will encompass the activities of TBI's entire programme, including TBI's office in the Netherlands as well as those of all country programs. The current review will emphasize the strategic issues and take a broad programmatic view.
- TBI's programs are carried out in partnership with knowledge/research organisations, governments, civil society organizations in the partner countries and international partners. Next to the DGIS funding for the TBI program, other donors support TBI through project funding. The consultant is requested to focus where possible on the NL contribution or indicate in the findings where it could not be determined whether results could not be attributed to a specific donor.
- The review should also take into account external factors. How did Tropenbos adapt to the shifting policy focus from DGIS (from environment to climate) and how does Tropenbos compare to other programs in the current portfolio with a focus on ending deforestation.

EXPECTED RESULTS

Part 1: Evaluation of TBI's performance

The external evaluator is requested to review TBI's performance in relation to the original assignment and subsequent changes. The evaluator may decide to review additional sources of information as deemed appropriate, in consultation with DGIS and TBI and depending on available resources.

A. Relevance of Mission, Strategy and Outputs

The continuing appropriateness of TBI's mission, strategy, priorities and activities in the light of developments in a) DGIS policies, b) the international and national (in the partner countries) forest policy agenda

- i) What are TBI's strategies and outputs; what is their coherence with and relevance for formal DGIS goals and policies,
- ii) Their relevance to beneficiaries, with regard to TBI's role as an intermediary, among others in policy platform discussions;

B. Efficiency and method of work

Were the available inputs used in an efficient fashion and did they achieve optimal results?

C. Effectiveness

Were the proposed objectives achieved? The following elements will be considered:

- Did TBI's approach lead to achieving the results and objective, both as measured by the agreed indicators and otherwise?
- Has TBI been sufficiently adaptable to changes and developments without losing focus of its aims?

D. Accomplishments and Impact

To what extent did TBI contribute to the achievement of the overall goals of the program? The following elements will be considered:

- Were TBI's roles and results taken into consideration in the development of (international and national) forest policies, legislation, practices and development of research agendas?
- Was the human resource capital created by the project involved in policy formulation and implementation or elsewhere in the forest sector?
- Did TBI research and knowledge activities lead to follow up under national (or subnational) responsibility?

E. Sustainability (of the organisation, of the results)

- To what extent is TBI financially independent from DGIS?, What is its capacity to mobilise additional funds? How does financing affect TBI's institutional stability? The following elements will be considered:
- The degree of co-financing and additional financing from non-DGIS sources achieved.
- TBI's attitude as a learning organization in the development, planning execution and monitoring of its programmes.
- Are obtained results sustainable?

Part 2. Outward assessment

The external evaluator is asked to review TBI's performance in relation to the current policy focus (ending deforestation in view of climate change) and the current IGG portfolio of activities related to this topic

- What is TBI's relevance and role in the international arena and in national contexts;
- TBI's niche and added value relative to similar other activities in the IGG portfolio (Tropical Forest Alliance 2020, PROFOR, EU FLEGT)
- How does TBI compare to these other institutes in terms of cost-benefit analysis.;

Annex II: Documents consulted

General reports produced by TBI

- [1] Tropenbos International. 2010. Strategic Plan, 2011 – 2016. Wageningen, Holland.
- [2] Tropenbos International. 2011. The Tropenbos International Programme. Programme Proposal 2012-2016. Productive landscapes for sustainable economic development, food security and integrated water management
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- [6] Tropenbos International, 2014. Making Knowledge Work for Forests and People. Tropenbos International. Annual Report, 2014. Wageningen, Holland
- [7] Tropenbos International, 2015. Making Knowledge Work for Forests and People. Tropenbos International. Annual Report, 2015. Wageningen, Holland
- [8] Tropenbos 2016. Self-Evaluation Report - 2012-2016 Programme. Volume I. Written By: Maartje De Graaf et al. (TBI). Wageningen, Holland
- [9] Tropenbos 2016. Self-Evaluation Report - 2012-2016 Programme. Volume II – Country Programme Reports. Edited By: Maartje De Graaf et al. (TBI). Wageningen, Holland
- [10] Tropenbos. No date. Standard Operational Procedures for Tropenbos International Country Programmes.

TBI Workplans

- [11] Tropenbos International. 2012. TBI Programme 2012 – 2016. Productive landscapes for sustainable economic development, food security and integrated water management. Landscape Governance and Management Programme. Work plan.
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- [13] Tropenbos International. 2013. The Tropenbos International Programme. Workplan 2013
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[22] Tropenbos International. 2013. The Tropenbos International Programme. Progress Report 2012. Productive landscapes for sustainable economic development, food security and integrated water management.

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[24] Tropenbos International. 2015. The Tropenbos International Programme. Progress Report 2014. Productive landscapes for sustainable economic development, food security and integrated water management

[25] Tropenbos International. 2016. The Tropenbos International Programme. Progress Report 2015. Productive landscapes for sustainable economic development, food security and integrated water management

[26] Tropenbos 2012. EZ-TBI Partnership Activities report, 2012. "Knowledge and networks for forest policy and capacity building"

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Other reports

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Landscapes:

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2. van Dijk, K., E. Lammerts van Bueren and H. Savenije. 2012. Forests and investments. Some basic concepts. Wageningen, the Netherlands: Tropenbos International
3. Wahyudiyati, T., D. Race, P.K. Basu, Udiansyah and P. Gunarso. 2012. CSR in Indonesia's forestry industry: constraints and challenges. Bogor, Indonesia: Tropenbos International Indonesia
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10. Purwanto, E. 2014. Mainstreaming the High Conservation Area Approach in Indonesia. Bogor, Indonesia: Tropenbos International Indonesia
11. Purwanto, E. 2014. New Village Law and Natural Resources. Bogor, Indonesia: Tropenbos International Indonesia
12. Nguyen Quynh Thu and Marieke Wit. 2015. Rapid Rubber Expansion in Viet Nam and its Impacts on Forestland. Hue, Viet Nam: Tropenbos International Viet Nam
13. Edi Purwanto. 2015. Jokowi's Sustainable Community Based Forest Management. Bogor, Indonesia: Tropenbos International Indonesia
14. Edi Purwanto. 2015. Strategy to Side with Indigenous People. Bogor, Indonesia: Tropenbos International Indonesia

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Timber

1. Bauer, T. 2012. Community Forestry timber in Cameroon – a potential risk for FLEGT? Wageningen, the Netherlands: Tropenbos International
2. Anonymous. 2013. Governance Research Agenda for FLEGT. Towards global forest governance research and action. Joensuu, Finland: European Forest Institute and Tropenbos International
3. Tropenbos International. 2014. Why promoting the demand for sustainably produced tropical timber? Wageningen, the Netherlands: Tropenbos International
4. Alphonse Maindo et Jean-Luc Tulonde. 2015. APV-FLEGT: exploitation et commerce légaux du bois artisanal, une affaire de tous en Province Orientale. Kisangani, DR Congo: Tropenbos International DR Congo (FLEGT-VPA: Legal exploitation and trade of artisanal timber, everyone's business in Eastern Province)
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Annex III: List of persons and organisations consulted

Name	Position	Institution
TBI Staff members		
Rene Boot	Director	Tropenbos International
Maartje de Graaf	Project Co-ordinator	Tropenbos International
Roderick Zagt	Programme Co-ordinator	Tropenbos International
Carlos Rodriguez	Programme Director	Tropenbos, Colombia
Alphonse Maindo	Programme Director	Tropenbos, Democratic Republic of Congo
Samuel Nketiah	Programme Director	Tropenbos, Ghana
Edi Purwanto	Programme Director	Tropenbos, Indonesia
Rudi van Kanten	Programme Director	Tropenbos, Suriname
Tran Huu Nghi	Programme Director	Tropenbos, Vietnam
TBI Board Members		
Joseph Cobbinah	Member, TBI Board of Trustees Chief Research Scientist,	Forestry Research Institute of Ghana (FORIG)
Representatives from the Dutch government		
Ronald Goldberg	Climate Mitigation and Renewable Energy Adviser, Inclusive Green Growth Department, Climate and Energy Division	Ministry of Foreign Affairs, Netherlands
Judith Marinissen	Co-ordinating policy adviser, Inclusive Green Growth Department, Climate and Energy Division	Ministry of Foreign Affairs, Netherlands
Vincent Vanden Berk	Sustainable commodities	Ministry of Economic Affairs, Netherlands
Flip van Helden	International co-ordinator	Ministry of Economic Affairs, Netherlands
Rob Busink	Senior policy adviser	Ministry of Economic Affairs, Netherlands
Resource persons		
James Mayers	Head, Natural Resources Group	International Institute for Environment and Development, London, UK.
Saskia Ozinga	Executive Director	FERN, UK
Guido Broekhoven	Regional Manager, China –Africa Trade Initiative	WWF European Policy Office, Brussels, Belgium
Herbert Christ	Forestry and climate adviser	Deutsche Gesellschaft für Internationale Zusammenarbeit

		(GIZ), Germany
Evy von Pfeil	Head, REDD Programme for Early Movers (REM)	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ), Germany
Joost van Montfort	Programme Coordinator Ecosystem Alliance	IUCN National Committee of The Netherlands
Inge Vianen	Co-ordinator, Green Livelihoods Alliance	Friends of the Earth, Netherlands
Jeffrey Campbell	Manager, Forest and Farm Facility	Food and Agriculture Organisation of the United Nations, Rome, Italy
Jerker Thunberg	Inspector General Department for Financial Management	Swedish International Development Cooperation Agency (Sida), Sweden
Jaap van der Waarde	Senior Adviser, Landscapes and Species	Worldwide Fund for Nature, (WWF) Netherlands
Resource persons met in Ghana		
Samuel Kwabena Nketiah	Programme Director	Tropenbos Ghana
Olivia Ansu Amponsah	Programme Assistant	Tropenbos Ghana
Mercy Owusu Ansah	EU Chainsaw milling project coordinator	Tropenbos Ghana
John G. K. Amonoo	Community Forestry Advisor	Tropenbos Ghana
Bernice Agyekwena	Communication Officer	Tropenbos Ghana
Jane Juliana Aggrey	Communication Officer	Tropenbos Ghana
Boakye Twumasi-Ankra	Project Officer	Tropenbos Ghana
Kwame Sekyereh Frimpong	Project Officer	Tropenbos Ghana
Michael Nyarko	Accountant	Tropenbos Ghana
Beatrice Koramah	Administrative Assistant	Tropenbos Ghana
Joseph Asante	Project Officer/ YEP participant	Tropenbos Ghana
Eric Mensah Kumeh	Project Officer	Tropenbos Ghana
Edward Obiaw	Director	Resource Management Support Centre, Forestry Commission, Kumasi
Alex Asare	Head, Collaborative Resource Management Division	RMSC, Kumasi
Valerie Fumey Nassah	Plantations manager	RMSC, Kumasi
Daniel Ofori	Director	Forestry Research Institute of Ghana (FORIG), Kumasi
Beatrice Darko Obiri	Principle Research Scientist, Socio-economics	FORIG, Kumasi
Lucy Amissah	Senior Research Scientist, Forest	FORIG, Kumasi

Ecology		
Steve Amissah	Professor of Fisheries and Watershed Management	Kwame Nkrumah University Of Science and Technology (KNUST)
Fred Smiet	Counsellor, Water and Sanitation	Embassy of Netherlands, Accra
Herve Delsol	Programme Officer, Infrastructure and Sustainable Development	European Union Delegation, Accra
Oppon Sasu	Director, Corporate Planning, Monitoring and Evaluation	Forestry Commission of Ghana, Accra, Ghana
Musah Abu-Juam	Technical Director (Forestry)	Ministry of Lands and Natural Resources, Accra, Ghana
Joseph William Osei	Independent consultant and former evaluator of TBI Ghana EC Project	Resource Trust, Accra, Ghana
Glenn Asomaning	Programme Co-ordinator	Nature and Development Foundation, Accra, Ghana
Albert Katako	Head of Programmes	Civic Response, Accra, Ghana
Daryl Bosu	Deputy National Director, Operations	A Rocha, Ghana
Community members met in Ghana		
26 community members	Tree growers and farmers	Kayera, Anyinasuso, Aduana, Koforidua communities
27 community members	Tree growers and farmers	Asuano, Chirdesaso and Nonkro Nkwanta communities

ANNEX IV: Status of progress against indicators in DGIS programme document

“Traffic light” Key:

- Indicator fully achieved, exceeded or likely to be fully achieved by end of project
- Indicator partially achieved, likely to be partially achieved by end of project (>50% achievement)
- Indicator unlikely to be achieved or only minimally achieved by end of project (<50% achievement)
- No data, incomplete data or no assessment possible

Intervention logic (general logframe)	Indicators	2012	2013	2014	2015	Progress to date and overall assessment
Specific Objective						
Achieve the informed inclusion of environmental and social concerns in the governance and management of productive landscapes for sustainable economic development, food security and water availability	<i>Informed debate</i>					Analysis of these indicators will be conducted at the end of the programme and reported in 2017 with the final report. This will require a deeper analysis than can be undertaken in the final evaluation exercise. A more focussed study is planned early in 2017.
	<ul style="list-style-type: none"> • Involvement of platforms for informed stakeholder dialogue in government or company policy decision making processes 	No data	No data	No data	No data	
	<ul style="list-style-type: none"> • Attention to landscape and chains decision making in the press in TBI countries 	No data	No data	No data	No data	
	<i>decisions on land use and wood value chains and financing</i>					
	<ul style="list-style-type: none"> • Updated legislation and policies on landscape and chains issues in TBI partner countries 	No data	No data	No data	No data	
	<i>Inclusion of concerns</i>					
	<ul style="list-style-type: none"> • Legislation, rules and regulations on landscape governance and management, wood trade and SFM financing related to SMFEs include environmental and social concerns, in participating TBI countries 	No data	No data	No data	No data	
<ul style="list-style-type: none"> • Increase in SMFE-representation in decision making forestry bodies in Viet 	No data	No data	No data	No data		

	Nam, Suriname, Ghana and DR Congo					
Results						
1. Adequate and relevant knowledge and information are available to take appropriate decisions for the management of productive landscapes for food security and water	<i>Presence of publications and other evidence of 'knowledge'</i>					
	<ul style="list-style-type: none"> 55 reports and technical publications (30 chains, 25 landscapes) of which at least 30 in peer reviewed journals 	170 articles (18 in peer reviewed journals)	52 articles (10 peer reviewed journals)	79 articles published (11 in peer reviewed journals)	56 publications (7 in peer reviewed journals)	Indicator fully achieved: 135 articles and technical publications (46 in peer reviewed journals)
	<i>Relevance and applicability of knowledge</i>					
	<ul style="list-style-type: none"> 15 manuals, guidelines and other evidence of information tools produced and applied on topics related to the governance and management of productive landscapes (10) and chains and financing (5) 	10 produced	10 publications	2 publications	3 publications	Indicator fully achieved: 25 publications in relevant areas
	<ul style="list-style-type: none"> 30 policy briefs on topics related to the governance and management of productive landscapes (15) and chains and financing (15) 	3 on landscapes and 1 on chains	3 on landscapes and 1 on chains	1 on landscapes and 1 on chains	1 on chains	Indicator partially achieved: 15 briefs on landscape and 8 on chains (timber). Total: 23 ⁵
	<i>use of publications/knowledge</i>					
	<ul style="list-style-type: none"> 100 references to TBI publications in key publications on landscapes (50) and on wood value chains and SFM financing (50) 	No data	No data	No data	No data (survey to be undertaken in 2016)	Data incomplete. A full assessment will be done in 2017 as part of the final reporting.
	<ul style="list-style-type: none"> References to TBI publications (or other evidence of knowledge) in national decision making processes related to landscape, domestic wood trade, SMFES or financing of SFM 	Ghana and Colombia	Ghana, DRC, Colombia, Vietnam and Indonesia	DRC, Colombia, Ghana, Indonesia, Vietnam	All six countries	Indicator fully achieved: Evidence in all countries but with particular emphasis in DRC and Ghana
<ul style="list-style-type: none"> Involvement of TBI or partner resource personnel in selected decision making processes 	No data	No data	Ghana	Ghana	Data incomplete: Indicator will be fully analysed in 2017, as part of the analysis of the specific objective indicators.	
2. National	<i>Training of partner staff</i>					

⁵ Data for this indicator has been incompletely reported in annual reports to DGIS. A full list of policy briefs appears in Annex II

individual and organisational capacity is in place to generate knowledge and information and to apply it	<ul style="list-style-type: none"> 50% of key staff of TBI partner organizations participated in TBI capacity building programmes on topics related to the governance and management of productive landscapes 	No data	No data	No data	No data	Data unavailable ⁶ .	
	<ul style="list-style-type: none"> 10 staff members of partner organizations graduate at MSc or PhD level on topics related to the governance and management of productive landscapes and to chains and financing 	1 staff member (DRC)	0	5 graduated	4 graduated	Indicator fully achieved: 10 staff members graduated	
	<i>General training</i>						
	<ul style="list-style-type: none"> 1000 persons successfully complete courses on topics related to the governance and management of productive landscapes and domestic wood trade, SMFEs or financing of SFM 	608 persons	900 persons	445 persons	559 persons	Indicator fully achieved: 2,512 persons complete courses	
	<ul style="list-style-type: none"> Gender balance in training efforts (gender range 35-65%) 	28% female	No data	32% female	25% female	Indicator partially achieved: (Highest score in 2014)	
<i>Careers</i>							
<ul style="list-style-type: none"> At least 80% of TBI alumni at PhD and MSc level professionally contribute to relevant research, policy and management related to forests in productive landscapes, food security and water, and to chains 	51% working in sector	51% working (2012 figure)	51% working (2012 figure)	51% working (2012 figure)	Indicator partially achieved (51%)		
3. National mechanisms are operational for the exchange of information and joint learning about the governance and management of productive landscapes	<i>Existence of mechanisms for informed multi-stakeholder debate</i>						
	<ul style="list-style-type: none"> At least 2 recognized national or sub-national platform and/or network exists related to TBI priority landscape and chains and financing decision making processes, in each partner country. 	Networks established in Colombia, Ghana, Suriname, DRC	Networks in Colomboa, Ghana, DRC, Suriname and Indonesia	Examples in all 6 countries + Nederlands	Examples in all 6 countries + Nederlands	Indicator fully achieved. Examples from all 6 countries and Nederlands	
	<i>Informed debate on options</i>						
<ul style="list-style-type: none"> Evidence of informed debate related to TBI's priorities, based on options and 	Ghana	Ghana	Ghana and DRC	Ghana and DRC	Indicator partially achieved: Evidence from Ghana and DRC		

⁶ It has not been possible for TBI to count the total number of persons trained in partner organisations. Also the focus of TBI work has expanded from a few partner organisations, to a wider range of organisations. Therefore this indicator is not being reported on.

	scenarios, in each participating country					
4. TBI programmes established locally and internationally as reliable knowledge intermediaries and platforms for collaborative action	<i>Programmes</i>					
	• TBI country programmes in 6 countries	All countries operational	All countries operational	All countries operational	All countries operational	Indicator fully achieved
	• At least 75% of the TBI projects are carried out as partnerships between northern and southern organisations	44% of 39 projects	No data for 2013	28% as partnerships	28% as partnerships (2014 figure)	Indicator partially achieved
	<i>Network function</i>					
	• TBI is a partner in four international information networks related to landscapes and chains and financing programmes	RSPO, UNFF, EU FLEGT, GPFLR	RSPO, UNFF, EU FLEGT, GPFLR	RSPO, UNFF, EU FLEGT, GPFLR, HCV Indonesia	RSPO, UNFF, EU FLEGT, GPFLR, HCV Indonesia	Indicator fully achieved. TBI is partner in at least 5 international networks
	<i>Intermediary function</i>					
	• TBI participates as a resource organisation or honest broker in 4 boards, committees related to thematic programmes in each country	See 3.1	See 3.1	See 3.1	See 3.1	See 3.1
	• TBI participates as a partner in at least two projects by third parties in the function of intermediary or knowledge broker, in each country	6 third party projects	No data for 2013	8 third party projects (since 2012)	8 third party projects (since 2012)	Indicator fully achieved (8 projects since 2012)
	<i>Communication function</i>					
	• 60,000 website visitors, and 220,000 web site page views in 2016	19,202 visitors and 108,362 page views	32,270 visitors and 113,682 page views	17,904 visitors and 62,989 page views	34,031 visitors and 103,712 page views	Indicator partially achieved. As of November 2016, TBI had 28.692 visitors and 85.405 page views.
	• 75% of projects produce context-relevant information (info briefs etc) and events for specified target groups	No data	No data	No data	No data	No data available. This will be assessed in 2017 and included in the final report
	• 400 annual TBI dissemination activities (TBI publications+Oral presentations+Meetings organised+Media coverage) by 2016 (Landscapes – 150, Chains and financing – 150, other – 100)	280 dissemination activities	No data for 2013	213 dissemination activities	175 dissemination activities	Indicator fully achieved: 680 dissemination activities undertaken since 2012
	<i>TBI approach</i>					
• Documented and operational TBI approaches by 2013	Strategy for IK produced,	Strategy for communicatio	Business plan completed	GLA approach documented	Incomplete data: 5 strategies completed – but no information	

		others being drafted	n and multi-stakeholder dialogue completed			on whether operational. Indicator will be assessed in 2017 and included in final report.
5. TBI programme coordinated	Management					
	• By 2016, all indicators on organisational management assessment model scored as adequate or good	No data (tool not developed)	No data (tool not developed)	No data (tool not developed)	No data (tool not developed)	No data – to be assessed in 2017 as part of final reporting
	• Approved progress reports for all projects	Report submitted	Report submitted	Report submitted	Report submitted	Indicator fully achieved: All reports submitted.
	• Sound financial management	2012 Audit report approved	2013 Audit report approved	2014 Audit report approved	2015 Audit report approved	Indicator fully achieved: Clean audit reports
	• Overhead does not exceed 11% of the total expenses	11%	11%	11%	11%	Indicator fully achieved: Overhead remains at 11%
	Resource mobilisation					
	• 12 projects > €100,000 and/or total > €11m by 2016 for the programme and for projects consistent with the strategic plan	3 projects	5 projects (since 2012)	7 projects (since 2012)	4 projects	Indicator fully achieved. 12 projects over €100,000 have been secured (data provided by TBI)
	Organizational sustainability					
	• Recognition for TBI's role by high level national and international policy makers in each TBI country and the international arena	No data	No data	No data	No data	Incomplete data. External evaluation suggests that this indicator has been achieved in Ghana and Netherlands.
	• Dependency on largest donor for financing of direct costs reduced to <40% in 2016.	42%	55%	44%	48.5%	Indicator not achieved
	• At least 4 international (non-Dutch) donors contribute > €1m during 2012-2016	< €1m	< €1m	< €1m	> €1m (1.7 m)	Indicator achieved in 2014
• At least 20 different donors contribute small grants (€25,000 and up) during 2012-2016	6 donors	6 donors (since 2012)	15 donors (since 2012)	9 donors (in 2015)	Indicator fully achieved. 20 projects of over €25,000 (data provided by TBI)	
• Philanthropic organisations, private sector and other non-government donors account for 20% of income in 2016	1.5%	No data	1.2%	<1%	Indicator not achieved	

	• Continuity reserve has grown to €0.55m	€312,394	€420,392	€558,299	€736,058	Indicator fully achieved
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