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Capacity Building and Institutional Development for Participatory Natural Resources Management and Conservation in Forest Areas of Mongolia-GCP/MON/002/NET

Evaluation report

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"Capacity Building and Institutional Development for Participatory Natural Resources Management and Conservation in Forest Areas of Mongolia"
GCP/MON/002/NET

Project Final Evaluation

Don Gilmour, Aurélie Larmoyer and Tumurkhuu. L.

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Don Gilmour Aurélie Larmoyer Tumurkhuu. L.

List of acronyms

CBFiM	Community Based Fire Management
CTA	Chief Technical Advisor
DED	German Development Service (since 1-1-11 incorporated into GIZ)
EPTA	Environment Protection and Tourism Agency
FA	Forestry Agency
FAO	Food and Agriculture Organisation (of the UN)
FAQ	Frequently Asked Questions
FUG	Forest User Group
GEF	Global Environment Facility
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (previously GTZ)
LFA	Logical Framework Analysis
MA&D	Market Analysis and Development
MNET	Ministry of Nature, Environment and Tourism
MoU	Memorandum of Understanding
MTR	Mid Term Review
NFP	National Forest Programme
NPD	National Project Director
NRM	Natural Resource Management
NTFPs	Non Timber Forest Products
NUM	National University of Mongolia
PFM	Participatory Forest Management
PIF	Project Implementation Form (for GEF projects)
PSC	Project Steering Committee
RAP	Regional Office for Asia and the Pacific (FAO office in Bangkok)
SFA	Simple Forest Assessment
SFMP	Simple Forest Management Plans
TCP	Technical Cooperation Programme
ToR	Terms of Reference

Commonly used terms

Aimag	Administrative unit in Mongolia, comparable to a province.
Soum	Administrative unit in Mongolia, equivalent of a rural district.
Bagh	Smallest part in the administrative unit for rural areas in Mongolia, part of a Soum.
Hural	Mongolian parliament. There are hurals at national, Aimag and Soum level. The Citizen Representatives Hural is the parliament at the Soum level.
Nukhurlul	Mongolian name for Forest User Group.

Contents

Acknowledgements i
List of acronyms ii
Commonly used terms ii
Executive Summary 1
1 Introduction 8
1.1 Background and purpose of the evaluation 8
1.2 Methodology of the evaluation 8
2 Context of the Project 9
3 Concept and relevance 10
3.1 Design 10
3.1.1 Underlying philosophy of design 10
3.1.2 Project design structure 10
3.1.3 Project strategy 11
3.1.4 Adequacy of the Project timeframe 12
3.2 Relevance 12
4 Implementation 14
4.1 Project management 14
4.1.1 General management arrangements and structures 14
4.1.2 Steering mechanisms 15
4.1.3 Exit strategy 15
4.2 Project's approach to implementation 16
4.3 Technical Backstopping 21
4.4 Government support 21
4.5 Timeline of key events 22
4.6 Budget and expenditure 23
5 Results and contribution to objectives 25
5.1 Outputs 25
5.2 Outcomes 29
5.3 Gender issues 34
5.4 Capacity development 35
5.5 Sustainability 36
5.5.1 General discussion of sustainability 36

5.5.2 Sustaining community institutions that manage forests (FUGs) 37
5.5.3 Sustaining Government institutions necessary to support FUGs 38
5.5.4 Sustainability of the forests 40
5.5.5 Sustaining livelihoods 40
5.5.6 Stakeholder perceptions of sustainability 40
5.5.7 Future financial and technical support for PFM 41
5.5.8 Summary of sustainability 42
5.6 Impact 42
5.6.1 Progress towards achieving development objective 42
5.6.2 Stakeholder perceptions of impact 44
5.6.3 Contribution of Project to human rights approach endorsed by FAO 44
5.6.4 Contribution of Project to FAO's strategic objectives, core functions and organisational results 45
5.6.5 Summary of the Project's impact 45
6 Conclusions and Recommendations 45
6.1 Conclusions 45
6.1.1 Overall impressions of evaluation team 45
6.1.2 General conclusions 46
6.1.3 Summary of Project's achievements 47
6.1.4 FAO's role as implementing agency 47
6.2 Recommendations 48
7 Lessons Learned 50
8 References 52
9 Annexes 53
Annex 1. Terms of Reference for evaluation 53
Annex 2. Schedule of activities and people met during evaluation 53
Annex 3. Questions to guide evaluation 53
Annex 4. Agenda and results of stakeholder workshop 53
Annex 5. Agenda and results of staff workshop 53
Annex 6. Presentation at final de-brief 53
Annex 7. LFA and progress to October 2011 53
Annex 8. PFM concept 53
Annex 9. Strategic partnerships 53
Annex 10. Technical backstopping, consultancies and reports 53

Annex 11. Project timeline 53
Annex 12. Income generated by FUGs 53
Annex 13. Changes to regulatory framework for PFM 53
Annex 14. Project supported research 53
Annex 15. Capacity building activities 53
Annex 16. Awareness raising products 53

Executive Summary

Background and context

Mongolia is going through a transformative process of democratisation, decentralisation and devolution. The role of the state is changing in all sectors from one of managing a command and control economy to one of managing a market driven economy, and the changes in the forest sector need to be seen in this wider context. The forest sector collapsed in the early 1990s and forest management was largely ineffective, with the result that illegal logging became rampant and forest destruction was widespread, particularly in accessible areas. In spite of these problems, there are still extensive areas of high quality forest.

A World Bank funded Forest Sector Review in 2004 identified community based forest management as one of the major strategies to resolve difficulties in the forest sector in Mongolia, and recommended the implementation of a pilot project to test and refine a suitable approach. The Project being evaluated, titled "Capacity Building and Institutional Development for Participatory Natural Resources Management and Conservation in Forest Areas of Mongolia" (GCP/MON/002/NET) was designed and implemented in response to that recommendation and following a specific request from the Minister of the MNET. It is a bilateral project between the Netherlands and Mongolian Governments, and is implemented by FAO over a five year period (13 February 2007 to 31 January 2012) with a budget of USD 4,686,686.

Purpose of evaluation

The purpose of this final evaluation, as stated in the Terms of Reference (ToR), is "*to provide recommendations to the Government, FAO and the donor on the further steps necessary to consolidate progress and ensure achievement of objectives*". The evaluation team was in Mongolia between 28th November and 9th December.

Main findings

Relevance

The Project's development objective seeks to protect the existing forest cover of Mongolia and ensure the sustainable livelihoods of the rural population, by adopting participatory forestry as a new paradigm for forestry management. This was found to be relevant to the challenges that Mongolia faces to protect its remaining forested areas despite the limited resources of the forest administration.

Efficiency

The project was generally well managed and implementation was appropriate. Managerial and work efficiency were good, as reported by the Project team, as well as judged from the level of achievement. Satisfaction was expressed by beneficiaries, Government counterparts and partners. However, the Project had not developed an explicit exit strategy at the time of the evaluation. The implementation approach, based on capacity building at all levels, continuous communication on the Project's approach and a concern for constantly improving the strategy from lessons learnt during implementation, was one key to the Project's success. Government support for the Project has been strong and the commitment of key people at all levels increased throughout the life of the Project. Political will was solid and several advocates for PFM could be identified within the Government by the end of the Project.

Progress

The following table summarises the progress made by the Project in producing the five Outputs, as judged against the success indicators given in the Project document and those re-formulated by the evaluation team.

Summary of progress to November 2011 in producing Outputs
Output 1: Functional local organizations/entities (Nukhurlul) for forest management

established in pilot sites.

Progress:
FUGs have been established in 16 pilot sites. All have approved management plans that include details of decision making arrangements, by-laws and constitution. An independent analysis of their functionality in terms of collective decision-making was carried out in June 2010. This concluded that the basic sociology underpinning the implementation process is sound and that, by and large, the FUG governance arrangements are functioning effectively. Recommendations from the study were integrated in the support provided by the Project. A follow up study in November 2011 on the effectiveness of FUGs as institutions noted that the increase in collective action (empowerment) in most of the FUGs is a major achievement.

FUGs are able to exercise effective control over their territory through a specific sub-decree. Independent actions have been reported that indicate that FUGs are becoming increasingly empowered, often with strong support from Soum governors. One example is the appointment in pilot FUGs of one or two voluntary rangers with delegated authority to issue permits to outsiders to harvest firewood in FUG forests. FUGs themselves feel that they are now more empowered and are able to negotiate effectively with Soum officials.

Eleven of the pilot FUGs have commenced forest cleaning operations and selling the resulting material—in excess of US$ 15,400 has been generated from the sale of firewood, and more sales are pending. This indicates that the FUGs are capable of taking independent action, even though the amount of money generated to date is not large.

Output 2: Adapted management planning for local sustainable forest use, reforestation and conservation.

Progress:
Simple Forest Management Plans have been developed in a participatory manner in 16 pilot FUGs and approved by the relevant Aimag EPTA Directors. The area of forest covered by the pilot FUGs is 75,868 ha.

Implementation of management plans has commenced in 11 FUGs with forest cleaning operations and removal of dead trees and waste materials. These activities are on-going with the support of Soum authorities.

Output 3: Adequate legislation and regulations for local level forest resources use, reforestation and conservation.

Progress:
The Project has used its influence to facilitate major changes to the regulatory framework to make it more enabling for PFM. A national forest policy process is underway that will recognise PFM as a major form of forest management in Mongolia.

Pilot FUGs are well aware of their rights under the new regulatory regime, including the secure tenure of their forest areas. This is respected by local government authorities and outsiders. Soum governors are fully supportive of the management rights of pilot FUGs and no conflicts between the government authorities and FUGs were reported. In spite of the good progress, numerous overlapping, conflicting and confusing regulations and laws inhibit the effective functioning of FUGs, such as the ambiguities that still exist regarding the requirement for professional organisations to be the only entities which can legally develop FUG management plans.

Output 4: Adequate institutional framework at national level for local forest resources use and conservation.

Progress:
The key components of a management planning system for FUGs have been developed (detailed in the PFM Guidelines) and approved for national use.

While the institutionalization of participatory forestry into organisational structures remained weak during most of the Project's life, it was significantly strengthened with the establishment and staffing of a PFM unit in the Forestry Agency in September 2011. It has a mandate to oversee the national scaling up of PFM. This unit consists of only two people, is still in its infancy, and will take some time to become fully operational.

Five "inter-Soum" Forest Units and seven "Soum" Forest Units have been established in the project pilot Aimags and 19 "inter-Soum" Forest Units and seven "Soum" Forest Units are now established in all seven of the forested Aimags. Six people have been trained by the Project to support the implementation of PFM and these people have joined various Forest Units. Many other Forest Unit staff have received training from the Project on PFM. As with the PFM unit in the FA, most Forest Units are in their infancy and have yet to become fully operational.

A database has been developed to monitor implementation of PFM at national and local levels, along with a guide (in Mongolian) for its use. This has been transferred to the FA and pilot Aimags. It is functional and up to date in the pilot Aimags and is currently being updated in the FA.

Output 5: Improved knowledge on integrated and sustainable natural resources utilization and conservation.

Progress:
More than 30 reports, publications and videos were produced by national and international consultants, researchers and Project staff during the life of the Project. These provide a comprehensive set of reference materials to improve knowledge and general awareness of the potential of PFM to deliver sustainable forest management and improved livelihoods. Reports and documents from completed studies have been widely circulated to all stakeholders and they are highly valued by their intended audiences. Among the studies, several stand out as contributing significantly to knowledge about PFM and related topics in Mongolia and the wider world.

The National University of Mongolia (NUM) and two Eco-Asia Environmental Universities have incorporated PFM modules (developed by the Project) into their undergraduate courses. PFM is a compulsory subject for undergraduate forestry students at the NUM and for all students at the Eco-Asia Universities. Twenty-four undergraduate students at NUM and 120 students at one of the Eco-Asia universities will take the subject in 2012. MSc and PhD students at the NUM are also offered PFM as an option (three post graduate students at NUM are currently taking the PFM subject).

Study tours to Nepal and Finland included a wide range of stakeholders from national, Aimag and Soum levels.

Through project initiatives, a cooperation project between a Finnish forest research institute, METLA, the Forestry Agency and the National University of Mongolia has been approved to support the strengthening of basic forest research in Mongolia.

Several films were completed following a study tour to Nepal in February 2009 and were shown on national TV to raise awareness of the potential of PFM in Mongolia to deliver both forest conservation and community benefits.

The Project has produced all of the Outputs originally planned.

Immediate objective
The evaluation team decided to reformulate the immediate objective to make it more explicit to read:

Participatory Forest Management integrated into rural development in pilot areas and supported by an enabling regulatory framework and empowered institutions at national, regional and local levels.

The production of the five Outputs by the Project has contributed to the achievement of the immediate objective in several ways.

Sixteen FUGs have been established in the five pilot Aimags with functional institutional arrangements that can operate effectively to plan for and carry out sustainable forest management. An investigation carried out to assess the effectiveness of FUGs as collective decision-making institutions concluded that most of them were functional, although some problems were identified (Fisher et al. 2010). A follow up study noted that the increase in collective action (empowerment) in most of the FUGs is a major achievement (Fisher et al. 2011).

All the technical building blocks (including procedures for management plan preparation, silvicultural guidelines, etc.) necessary to integrate PFM into rural development have been developed, tested and distilled into a PFM Implementation Manual. This has been endorsed by the Government for national use and distributed to all stakeholders. Key implementation partners (GIZ and WWF) have accepted the PFM approach developed with FAO's support as the best option for forest management (including management of protected areas).

An enabling regulatory framework has evolved during the life of the Project to legitimise PFM as a major forest management modality in Mongolia's forested Aimags. The framework is continuing to evolve as experience from PFM implementation is fed back to national, Aimag and Soum level decision makers.

A PFM Unit was formally established in the FA in July 2011 and staffed in September 2011 to oversee the nation-wide implementation of PFM. New organisational structures (particularly Forest Units) have been established at Aimag and Soum levels to support the implementation of PFM in pilot Aimags as well as more widely. These have yet to become fully functional.

At the heart of this Project is a fundamental re-structuring of state-community relationships. This necessitates the adoption of new institutional arrangements at both government and community levels and the adoption of different cultural norms. The physical changes can be easily documented, such as the creation of new organisational structures (PFM unit in the FA, Forest Units in Aimags and Soums and FUGs). Changes of internal culture in governments, and the associated changes in attitude and behaviour of individuals and the way they carry out their jobs are much more difficult to quantify. In spite of the relatively short time during which the Project has operated, it is evident that social relations between government officials and herders in the pilot sites have evolved in a positive direction. There is evidence of strong political support for PFM in most of the pilot sites and in the wider Government.

PFM (at least in the pilot areas) is showing signs of developing a "life of its own" and is moving in different directions in different places, with new and innovative approaches being tested by FUGs themselves, often in association with Soum authorities. To some extent PFM has moved beyond being totally dependent on the Project for ideas on how to solve problems and is becoming an integral part of normal forest management. It reflects well on the empowerment of the FUGs to take independent action.

Mongolians (Government and civil society) have proven to be very responsive to new approaches to managing forests, once their effectiveness has been demonstrated and an appropriate regulatory framework is in place to guide and direct implementation. This has been clearly demonstrated by the way that the Project's results have been assimilated into the thinking and actions of the various levels of Government and the herders who have formed the FUGs.

In summary, the PFM concept has been adopted by the Government of Mongolia as a national approach to forest management, and the implementation process as piloted and documented by the Project (distilled in the PFM Implementation Guidelines) has been accepted as a national process. It can be concluded that **the Project has, without qualification, achieved its immediate objective**

However, a cautionary note needs to be added. While solid progress has been made overall, PFM implementation in the pilot FUGs is only just into the three-year Foundation Phase of the much longer full PFM process. Many of the supportive organisational structures and institutional arrangements (both government and FUG) are new and fragile and have yet to be fully tested. This will take some time and they will certainly need on-going support to give them the capacity and confidence required to withstand the pressures that will inevitably confront them in the future.

Development objective
The **development objective** of the Project is "*the maintenance and improvement of the existing forest cover of Mongolia in order to ensure the sustainable livelihoods of the rural population*". The extent to which the Project's activities have contributed to the achievement of the longer term development objective is more difficult to assess, although there are strong signs that the trends are in a positive direction.

It is still too early to judge whether the forest cover across the country can be sustained and improved by the forest management afforded by FUGs. The pilot FUGs have only had effective control of their forests since about 2009-2010. However, there is already anecdotal evidence (supported by some factual evidence) of substantial reduction in the incidence of illegal logging and destructive wild fires, the two most potent factors that contribute to forest degradation. FUG members themselves believe that their forests have improved under their management.

Four of the key asset classes that contribute to livelihoods have been enhanced by the Project's activities. (i) **Human assets** have been improved by building the capacity of FUG members to develop and implement management plans. (ii) **Natural assets** have improved by the reduction of fires and illegal logging in FUG forests. (iii) **Social assets** have improved by empowering FUGs to operate as strong institutions with enhanced collective decision making ability and able to negotiate effectively with local government officials and outsiders who want to harvest products from FUG forests. (iv) **Financial assets** have increased from the sale of firewood and other products. Simple Forest Management Plans have only been operating since August 2010 and harvesting of firewood and NTFPs only commenced in mid-late 2011. To date, in excess of $US 15,400 has been earned by 11 FUGs from the sale of firewood, and this is expected to increase substantially in the years ahead. (v) **Physical assets** (tools, equipment, etc.) have not been improved, but may need to be given attention as forest harvesting expands. This will depend on whether FUGs decide to become directly involved in active forest management or to contract out harvesting while retaining a supervisory oversight.

It can be concluded that **the Project has made a major contribution to the achievement of its development objective.**

Sustainability of results
It is evident that PFM has been accepted as a major new modality for forest management in Mongolia, and there is no going back. However, in spite of the solid progress a major risk remains. The enthusiasm to expand the number of FUGs rapidly and develop management plans could overlook the need to carry out sufficient community extension work to build the FUGs as strong institutions sufficiently empowered to exercise their rights effectively. Management plans without empowered FUGs to implement them are highly likely to fail. So, while the early signs are promising, only time will tell if the progress achieved by the Project can be sustained.

Lessons learned

The following points summarise the essential characteristics of the approach adopted by the Project that have contributed to its success and have relevance beyond Mongolia:

- The Project was **closely aligned with national priorities.**

- The Project built on an in-depth **knowledge of the country's context and development trajectory** developed during the previous TCP.
- A major focus of activities was on **capacity building** of key implementing **partners** (government, FUG members, Universities, etc.).
- A flexible, iterative approach was adopted with implementation (particularly in the pilot sites) rather than using a blanket blueprint (The Project **adopted an explicit action-learning *modus operandi*** with the pilot FUGs being used as learning sites).
- The Project adopted an explicit **focus on both local and national levels** and developed good linkages between the two to enhance feedback loops to inform policy and capacity building needs.
- There was a strong institutional **connection between the Project and the FA, the EPTAs and Soum governments** (Project offices were embedded within the FA in UB and in the Aimag EPTAs).
- The Project was an **active participant in policy dialogue** which was informed by field practice and was able to **influence** change.
- The Project was well connected to **technical and administrative support from FAO's global networks** (for capacity building, conflict management, MA&D, etc.).
- There was **strong donor and government support** for the Project.

In essence, the Project has been able to **learn** about PFM implementation by **direct engagement** in the process, and use that learning to **leverage** changes to policy and practice.

Conclusions

The design and implementation of the Project was predicated on the belief that fundamental re-structuring of state-community relationships will lead to sustainable forest management and the enhancement of local livelihoods. Key aspects of the re-structuring facilitated by the Project focused on (i) changing the role of the state from centralised control to decentralised and participatory governance and (ii) strengthening the rights and abilities of local user groups to regulate access to, and use of, forests in their vicinity. These are not simple technical changes but represent fundamental changes to power relationships that surround the use of valuable natural resources. Because the resources are valuable such changes are highly contested and strong political commitment is needed to ensure that the changes can be sustained and the benefits coming from forest management are equitably distributed. This will be a major challenge in the years ahead.

Recommendations

For the Government

For the PFM Unit in the FA

1. Continue to support the strengthening and evolution of the PFM concept at all levels, in particular:
    - Continue the approach developed by the Project to advocate at all levels for the widespread acceptance of PFM as a major modality of forest management in Mongolia.
    - Ensure that focused participatory community development takes place at the FUG formation stage to develop strong and empowered institutions.
    - Scale up the approach developed with the pilot FUGs,
    - In scaling up, ensure that it is done in a step-wise fashion with a limited number of additional FUGs receiving participatory community development to build their capacity to function as effective institutions before further expansion.
    - Encourage the expansion of emerging innovative approaches that contribute to the more effective functioning of PFM such as: (i) building on FUG to FUG exchanges to share knowledge and experience, and (ii) development of FUG associations.
    - Ensure that FUGs can derive significant economic benefit from their forest management as soon as possible.

For wider Government

2. Ensure that PFM is embedded into the National Forest Policy as a major form of forest management in Mongolia.
3. Provide adequate financial and technical resources to:
   - The PFM unit in the FA to ensure that it can effectively plan for and oversee all aspects of national implementation of PFM, including capacity building, technical oversight, monitoring, evaluation and reporting.
   - The Forest Units in the Aimags and Soums to ensure that they can effectively respond to the mounting demand from herder communities to implement PFM.
4. Continue the process of evolving the regulatory framework to make it more **enabling** for PFM so that FUGs can become effective forest managers and derive significant economic benefits from forest utilization as they implement their management plans. Among the possible items to be considered are:
   - Incorporate a requirement into the regulatory framework for a percentage (perhaps 20%) of the permit fee paid by individuals and entities from outside the FUGs to harvest forest products to be transferred into the mutual fund of the FUG from whose forest the harvesting will take place.
   - Address distortions in the wood market that restrict the operating of a free and open market and reduce the potential income for FUGs to profit from the sale of forest product.
   - Address limitations that prevent FUGs from selling firewood in adjacent Aimags.
   - Harmonise overlapping, conflicting and confusing regulations and laws that inhibit the effective functioning of FUGs, such as the ambiguities that still exist regarding the requirement for professional organisations to be the only entities which can legally develop FUG management plans.
   - A regulation to require Soum authorities to support FUGs.
5. Seek innovative ways of retaining the existing Project field facilitators to support national scaling up of PFM in order to utilise their considerable knowledge and skills in implementing PFM. Options could include employing them in the PFM unit in the FA.

For the Project

6. Prepare and implement an explicit exit strategy as soon as possible (by mid December at the latest) to ensure a smooth transition from the Project to the Government (particularly the PFM unit) at the end of January 2011. The exit strategy should include the following specific recommendation.
7. Prepare recommendations for the Government aimed at identifying the regulatory and other issues that need to be addressed in the short, medium and long term to maintain the momentum in implementing PFM that has built up during recent years as a result of the Project operations.
8. Collect and collate all important publications and reports prepared by the Project and ensure that they are deposited in appropriate libraries in Mongolia and also in relevant FAO offices to inform a wide range of interested individuals and groups.
9. Explore options for retaining the Project facilitators to support national implementation of PFM, such as their employment in the PFM unit or their engagement with partner organisations.
10. Conduct an "end of Project" workshop with all stakeholders to highlight the achievement of the Project during the past five years. Soum governors of pilot FUGs should be invited to ensure that they are aware of the new role of the PFM unit in the FA in taking on the mandate previously carried by the Project.

For FAO

11. Speed up the internal FAO process to approve the TCP proposal to maintain essential support for PFM and to continue piloting the implementation of the PFM process through the Foundation Phase and in to the Implementation Phase to maximise learning and feedback.
12. Document and publicise the experiences of the Project in implementing PFM in Mongolia to ensure the lessons learned are widely shared.

1 Introduction

1.1 Background and purpose of the evaluation

The Project that is the subject of this evaluation is titled "Capacity Building and Institutional Development for Participatory Natural Resources Management and Conservation in Forest Areas of Mongolia" (GCP/MON/002/NET). It is a bilateral project between the Netherlands and Mongolian Governments, and is implemented by FAO over a five year period (13 February 2007 to 31 January 2012) with a budget of USD 4,686,686.

The purpose of this final evaluation, as stated in the Terms of Reference (ToR), is "*to provide recommendations to the Government, FAO and the donor on the further steps necessary to consolidate progress and ensure achievement of objectives*". (p. 3) The Terms of Reference for the evaluation are shown in Annex 1. The evaluation team was in-country from November 28th to December 9th, 2011. A Mid Term Review (MTR) of the Project was carried out in August 2010 and this final evaluation builds on that Review. Much of the analysis carried out as part of the MTR is relevant to the final evaluation, and this report draws on relevant sections of the MTR report.

1.2 Methodology of the evaluation

The approach taken in conducting the evaluation included: desk review of documents prior to the mission; meetings and interviews with key groups and individuals in Mongolia, both in Ulaan Baatar and in the field; review of key Project products (such as progress, consultancy and research reports and training materials and manuals) and interrogation of Project databases. Discussions took place in the field with members of two FUGs (Altansumber in Sant Soum and Dundat-Urguu in Bugat Soum) in Selenge and Bulgan Aimags respectively. Discussion also took place with relevant Aimag and Soum officials during the field visits. Annex 2 shows the schedule followed during the evaluation. A set of open ended questions was prepared prior to the mission and these were used as background to the discussions that took place. These questions, categorised by stakeholder group, are given in Annex 3.

A participatory stakeholder workshop was held on December 3rd at Darkhan in order to give key stakeholders an opportunity to reflect on the impact of some of the major aspects of the project's intervention. A total of 47 people, including representatives from each of the 16 pilot FUGs, two Government officials from each of the five pilot Aimags and Project facilitators, participated. The objectives of the workshop are shown in Box 1 and the workshop agenda and results are summarised in Annex 4.

Box 1. Objectives of stakeholder workshop

1. Obtain perspectives from FUG members and Government officials of key changes that have taken place as a result of the implementation of PFM in the Project pilot sites.
2. Identify the legal and technical constraints that still constrain FUG members from managing their forests sustainably and obtaining benefits from them to improve their livelihoods.

A participatory workshop was also held with key Project staff on 5th December to obtain their perspectives on (i) the issues that need to be addressed to ensure the long term sustainability of the Project's results and national uptake of PFM and (ii) the underlying reasons for the

Project's success (i.e. what lessons can be learned for wider application). The agenda and results of this workshop are summarised in Annex 5.

An effort was made to conduct the evaluation in a participatory manner in keeping with the underlying precepts of much of the Project's operational modality. The evaluation team did not want their efforts at information gathering to be purely extractive, so they attempted to engage the project members and others in a dialogue about all aspects of Participatory Forest Management (PFM), so that mutual learning could be maximised.

At the end of the mission a de-briefing presentation was made to representatives of the Ministry of Nature, Environment and Tourism (MNET), Forestry Agency (FA), The Royal Netherlands Embassy, FAO, the Project Team and partner agencies to present the key finding of the evaluation and to obtain feedback. The powerpoint presentation used at the de-briefing is included in Annex 6.

2 Context of the Project

In the mid-1980s the forest sector in Mongolia employed 12,000-13,000 people and contributed 10% of the country's GDP. The peak year of timber harvesting was 1985, when about 2 - 2.3 million m³ of timber were harvested, of which about 500,000 m³ was firewood. About 100,000 m³ of logs were exported to Poland and Romania, with the remainder processed in Mongolia (Dorjtseden, pers. com.). The forest administration collapsed in the early 1990s and was reduced to a very small bureaucracy with no professional capacity for forest policy or planning. Forest management became largely ineffective, with the result that illegal logging was reported to be rampant and forest fires became common. The combination of these factors led to widespread forest destruction and deforestation, particularly in accessible areas. In spite of these problems, there are still extensive areas of high quality forest across the northern Aimags of the country.

In the 1990s the country aggressively embraced a transformative process of democratisation, decentralisation and devolution. The role of the state is changing in all sectors from one of managing a command and control economy to one of managing a market driven economy, and the changes in the forest sector need to be seen in this wider political economic context. In this new environment it is widely recognised that the government is unable to regulate access to and use of the country's forests using its own resources.

A National Forest Policy was formulated in 1998 that focused on forest utilisation, conservation and social welfare concerns, with forest exploitation and utilisation being the major preoccupation (World Bank, 2004). This policy was revised in 2001 as the National Programme on Forestry, and this marked a shift in policy focus away from utilisation towards conservation and protection. This was in response to the widespread forest degradation that had become apparent. The World Bank (2004) concluded that: "*...though Mongolia has a credible body of forest legislation, regulations, policies and programs* ***the planning, management and control systems to achieve these on the ground do not presently exist***" (p. 87-emphasis in original). A new Forest Law was passed in 2007 (developed with GTZ and FAO support) which gave a more realistic focus to the forest sector for the first time since 1990. The Forestry Agency was established in 2008 to oversee the carriage of the new Law. There are now about 60 staff in the Agency and serious action is being taken to operationalise the intent of the Law by identifying appropriate forest management modalities and

establishing supporting organisational structures and institutional arrangements that best suit contemporary Mongolia.

A World Bank funded Forest Sector Review in 2004 (World Bank, 2004) identified community based forest management as one of the major strategies to resolve difficulties in the forest sector in Mongolia, and recommended the implementation of a pilot project to test and refine a suitable approach. A consequence of adopting such an approach is that the state needs to change from its previous role of policing and licensing to one of facilitation, to support the efforts of local community based forest managers. This requires a fundamental change of internal culture at all levels in the bureaucracy. Participatory Forest Management (PFM) is considered to be a useful and practical modality to operationalise this new approach and to assist in the overall transition.

A letter from the Minister of the MNET on 3-6-05 to the Director General of FAO drew attention to the fact that participatory forestry had been identified as a major option for the sustainable management of Mongolia's forests, and requested FAO assistance to formulate a suitable project and to seek donor support for its implementation. The Project being evaluated was designed and implemented in response to that request. A previous FAO Project (TCP/MON/2903: "Support to the Development of Participatory Forest Management") operated from 2004 to 2005 and laid the groundwork for the present Project by elaborating a concept for the implementation of participatory forestry in the country.

3 Concept and relevance

3.1 Design

3.1.1 Underlying philosophy of design

Underpinning the design and implementation of the Project is the belief that it can:

- Support the re-defining and re-structuring of state-community relationships by changing the role of the state from centralised control to decentralised and participatory governance including the development of local user group institutions for the management of forests, and
- Strengthen the rights and abilities of local user groups to regulate access to, and use of, forests in their vicinity and to benefit from their own forest management.

The Project design elaborates these central tenets of PFM along with a focus on developing an enabling regulatory framework and providing capacity building for key stakeholders to carry out new functions. Both the design and the strategy for implementation are based on a sound understanding of the developmental situation and trends in Mongolia and build on the work of the previous FAO project and that of other development partners (particularly the World Bank, GTZ (now GIZ) and SDC).

3.1.2 Project design structure

As stated in the Project Document (FAO 2006) the problem to be addressed is: " *...to stop and reverse the ongoing degradation of the forests of Mongolia and to contribute to poverty alleviation through the development of a model for local-level forest ecosystem management*

at Soum level which can be replicated to other sites in the forested Aimags of Mongolia." (p. 3)

The **development objective** of the Project is "*the maintenance and improvement of the existing forest cover of Mongolia in order to ensure the sustainable livelihoods of the rural population*".

The **immediate objective** is "*the implementation and integration of participatory forestry in rural development in pilot areas through capacity building of the main stakeholders and through the development of enabling institutional frameworks at local, regional and national levels*".

The Project was designed to produce five major Outputs that collectively should lead to the achievement of the immediate objective and contribute towards the development objective:

Output 1:	Functional local organizations/entities (Nukhurlul) for forest management established in pilot sites.
Output 2:	Adapted management planning for local sustainable forest use, reforestation and conservation.
Output 3:	Adequate legislation and regulations for local level forest resources use, reforestation and conservation.
Output 4:	Adequate institutional framework at national level for local forest resources use and conservation.
Output 5:	Improved knowledge on integrated and sustainable natural resources utilization and conservation.

The Logical Framework Analysis (LFA), which is part of the original design, contains activities under each of the five Outputs. The activities were amended slightly during various Project planning meetings, which is good practise. They thus differ slightly from the ones indicated in the Project Document. The full LFA is shown in Annex 7.

The design is not over complicated, and has reasonably sound internal logic in the LFA with functional linkages between the various levels: objectives, outputs and activities. Viewed from close to the end of the Project's five year life, the design has proven to have been realistic and has needed only relatively minor fine tuning as the Project has progressed to keep it relevant. It has also provided an effective basis for reporting to the Government, FAO and the donor. However, in spite of the reasonably sound structure, the LFA was found to have some weaknesses in logic, which prompted the evaluation team to suggest some amendments to it, mainly with a view to identifying indicators that help measure the Project milestones more effectively. These adjustments were made with due caution to remain faithful to the original spirit of the Project's design. In most cases the reason for adjusting indicators was that the ones identified in the original LFA did not correspond with the results they were supposed to qualify; in other instances they were replaced by more measurable and specific pointers.

3.1.3 Project strategy

A detailed strategy to guide implementation was included in the Project Document with the key aspects being:

- The project must be replicable. This applies also to (most of) its activities.
- The project results must be sustainable.
- The project must be fully integrated in the national, regional and local institutions.
- The conservation of the forest and other natural resources will be obtained through sustainable use of these resources (land, water, flora, and fauna).
- The project results should show the economic feasibility of people centred forest based resources management and conservation and specify investment opportunities for rural organisations in Mongolia.

The strategy has proved effective in providing overall guidance to the Project's implementation. Overall, the approach to implementation is based on a sound understanding of the developmental situation and trends in Mongolia. A major positive feature of the Project design was that it has recognised and built-in the considerable amount of time needed to build and strengthen new institutional arrangements and promote social change, which are necessary prerequisites to re-structuring state-community relations for managing forests.

3.1.4 Adequacy of the Project timeframe

Transforming state-community relations for managing forests is at the heart of this Project, and this finds its expression through building new institutional arrangements with new mandates both in communities and in the Government. These new institutions have to perform very different functions from those that were required during the previous period of centralised control. This is not a simple technical process, but rather a social one with political connotations concerned with the exercise of power. It takes time to build new community level institutions and strengthen them to the stage where they can exercise functional collective decision making and be sufficiently empowered to interact effectively with external actors. Similarly, new institutions in Government also take considerable time and support in order to institutionalise different ways of working that emphasise the facilitation of community development processes rather than the exercise of top down technical decisions about forests (i.e. shifting from a forest centred approach to a people centred approach).

The considerable amount of time needed to build and strengthen new institutional arrangements is often ignored in the design and implementation of projects of this type, where the important task of institution building is frequently relegated to the establishment of new organisational structures, rather than their effective functioning. There is often implicit, and sometimes explicit, recognition that, subject to good progress, a further period of support could be expected to strengthen the new institutions so that the communities are sufficiently empowered to manage their forests sustainably and the new government institutions are sufficiently "re-oriented" and strengthened to support the communities. The five years set for this Project is a minimum to get this process underway, and this can be seen from the results, where it is only in the latter part of 2011 that the new FUGs have commenced making meaningful decisions about their forests by harvesting and selling firewood and some NTFPs. It would have been desirable to have had a follow on project to strengthen these new institutions and support them as they move further along the forest management road.

3.2 Relevance

The adoption of PFM as a modality to address the problems in the forest sector in Mongolia is consistent with experience in other parts of the world. As noted by Gilmour (2011), the

control of forest management by scientifically trained officials working for governments remains the dominant forest management paradigm in most countries but, in many countries, this paradigm has been incapable of delivering sustainable forest management for a number of reasons. Some of these reasons include:

1. Recognition that state controlled forest management has in many situations contributed to forest degradation and in many cases to forest destruction—basically, in many countries, state control of forests has not worked.
2. State control of forests has frequently led to the exclusion of people living in and around forests who often depend on forests for livelihood support—their exclusion has often contributed to poverty.
3. Recognition that local communities do have the capacity to manage forests sustainably, and they frequently have a strong vested interest in ensuring that forests over which they have control are not degraded.
4. Increased recognition that local communities have basic human rights, which include rights to access and use forests over which they have often had customary use.
5. In some countries, particularly those in transition, there has been a massive reduction in the size and capacity of the forest bureaucracy, so that it no longer has any effective management ability. In such circumstances, alternate arrangements have to be sought, and community management offers one of the few viable options.

Several of these factors, but particularly point 5 in the list above, applied to the situation in Mongolia prior to the implementation of this Project, and contributed to the recommendation by the World Bank and others to pilot participatory forestry.

The Project's development objective seeks to protect the existing forest cover of Mongolia and ensure the sustainable livelihoods of the rural population, by adopting participatory forestry as a new paradigm for forestry management. This was found to be relevant to the challenges that Mongolia faces to protect its remaining forested areas despite the limited resources of the forest administration. As mentioned earlier, Mongolia's forest administration collapsed during the 1990s and was unable to maintain control over its forests through a traditional centralised forest management system. As a result, forest degradation increased rapidly as a result of illegal logging and fires. Protecting the remaining forested areas became an important challenge. Adopting a new approach relying on communities living close to forested areas to look after and manage the forest resource has been acknowledged by all stakeholders met by the evaluation team as the country's best and possibly only option in the short to medium term to save its forest resources. The Project approach was also consistent with that adopted by other organisations working in Mongolia promoting the sustainable management of natural resources in Mongolia. Most of these organisations have become partners with FAO and the Government through this Project.

GIZ (formally GTZ) had also promoted the formation of Forest User Groups (FUGs) but initially in a non participatory manner, with traditional technical management plans developed by outside experts. These were found to be largely non functional. Following dialogue with the Project and the development of a formal partnership, GIZ adopted the PFM approach piloted by the Project.

WWF has also been operating in the forest sector in Mongolia for many years and has also adopted PFM as an operational modality for protected area management. As with GIZ, WWF signed a MoU with the Project in 2010 to have their field facilitators trained by the project on

the PFM approach. The collaboration with these two key partners in the forest sector (GIZ and WWF) is a good sign for the wide spread adoption of PFM.

At the time of the evaluation, the FAO office in Mongolia was just developing its Country Programming Framework for 2012 onwards, for which the project team had already communicated forestry-related planned activities for the coming years. No National Mid-Term Priority Framework (NMTPF) has been designed to guide the overall strategy of FAO in the country. Project GCP /MON/002.NET therefore was not formally inserted into a country-wide strategic approach. There was no cross-programming with other FAO interventions. The Project commenced before the FAO office was established in the country, and from the outset was designed to function autonomously. No FAO activities have been initiated that have been directly relevant to the Project's focus. Funds from the NFP Facility were used to support the involvement of various stakeholders in study tours and conferences. Allocations from two TCP facilities were utilised by the Project to develop follow-up activities that will allow consolidation and expansion of the Project's results after it closes.

4 Implementation

4.1 Project management

4.1.1 General management arrangements and structures

Discussion of the use and effectiveness of annual workplans, progress reports, staffing (including the use of DED professionals) and monitoring mechanisms was covered at length in the report of the MTR, and nothing has changed in the intervening 15 months to alter the conclusions reached at that time. One point that is worth repeating is that there was a seven month period from April until October 2007 when there was a hiatus in project activities due to administrative difficulties between the MNET and FAO. Another hiatus occurred between the departure of the first CTA in June 2008 and the appointment of the second CTA in November 2008. These disruptions early in the life of the project resulted in a loss of about 12 months. Hence the effective length of the Project is only four years, and progress should be viewed from this perspective.

As noted in the MTR, the Project offices and staff are physically located within the organisational structure of the Forestry Agency of the Ministry of Nature, Environment and Tourism (MNET) in Ulaan Baatar, and the Aimag Environment Protection and Tourism Agency (EPTA) offices in the Project Aimags. Consequently, Project staff have day-to-day interactions with relevant government staff which enhances day-to-day communication with the key counterparts. This has helped to build trust and mutual understanding and was reported by the Project team as having contributed to the achievement of the Project's results.

Although the Project was *de facto* adequately staffed, the fact that no long-term staff were planned to take on the task of developing training material and overseeing capacity building of Government officials could be considered a design flaw. Indeed, the Project Document foresaw only one full time international staff member, the CTA, with other needed technical support coming from national and international consultants. Project management was able to mobilise additional long term technical support in the form of DED (now GIZ) professionals. This proved extremely valuable, particularly for capacity building and field technical support, and it is difficult to see how the Project could have achieved what it has if this support had not been available.

Managerial and work efficiency was good as reported by the Project team (good team work, good management, good directions provided to facilitators) as well as judging from the level of achievement in such a relatively short time frame and the satisfaction of Government, national and international partners. The ability of the Project to adapt to new situations and make the most of emerging opportunities is also an expression of the quality of management. The competence and extensive experience of the CTA, who also designed the project, contributed to the Project's efficiency. Good management was also evident among the Government counterparts who were instrumental in supporting the Project throughout its life. The rate of delivery was surprisingly high for such a Project that aims to foster fundamental institutional and behavioural changes. This was enhanced by the good institutional set-up as described above.

Project monitoring was done regularly and was sound. Implementation of field activities and follow-up was done through four trained facilitators, one in each of the four field offices, who regularly visited the FUGs they supervised. The CTA and other members of the project team also visited field sites on a regular basis. These arrangements all contributed to efficient functioning. The MTR provided an additional opportunity for Project staff to reflect on past implementation and to learn, and was effective in fostering action from the Project and the Government. This contributed to the successful results. The adoption of the main recommendations of the MTR by the Project and the Government highlights another positive managerial point.

4.1.2 Steering mechanisms

A Project Steering Committee (PSC) was mandated under a Government Resolution in October 2009 but has met only once, in October 2009, under the Chairmanship of the Secretary of the MNET. The agreed Terms of Reference for the PSC outline a general overview, supervisory, monitoring and support role. Particular emphasis is given in the TOR to the importance of ensuring that the Project is integrated into the national development agenda. The PSC has not carried out its mandated role because it was felt by the Project that good coordination with relevant Government agencies and other projects already occurred on a regular basis and the Project's close working arrangements with the FA, Aimag and Soum authorities ensured integration into the country's national development agenda. This integration was enhanced by the use of MoUs between the Project and other agencies.

A High Level Natural Resources Policy Steering Committee was also envisaged in the Project Document, but this was never convened because it was felt by the Project to be too unwieldy to perform any useful function.

4.1.3 Exit strategy

The Project had not prepared an explicit exit strategy at the time of the evaluation. However, the CTA outlined the key activities that will be included. These are focused on three levels:

1. *External*

- Advocate strongly for the approval of a TCP to continue many of the current pilot activities, maintain the level of momentum that has been built up in recent years and develop a concept for participatory wildlife management.

- Maintain support to progress the Project Preparation Grant for the proposed GEF project that will support national implementation of PFM and pilot participatory wildlife management.
- Facilitate the formulation of a project funded by Finland to support forest research in Mongolia.

2. *National*

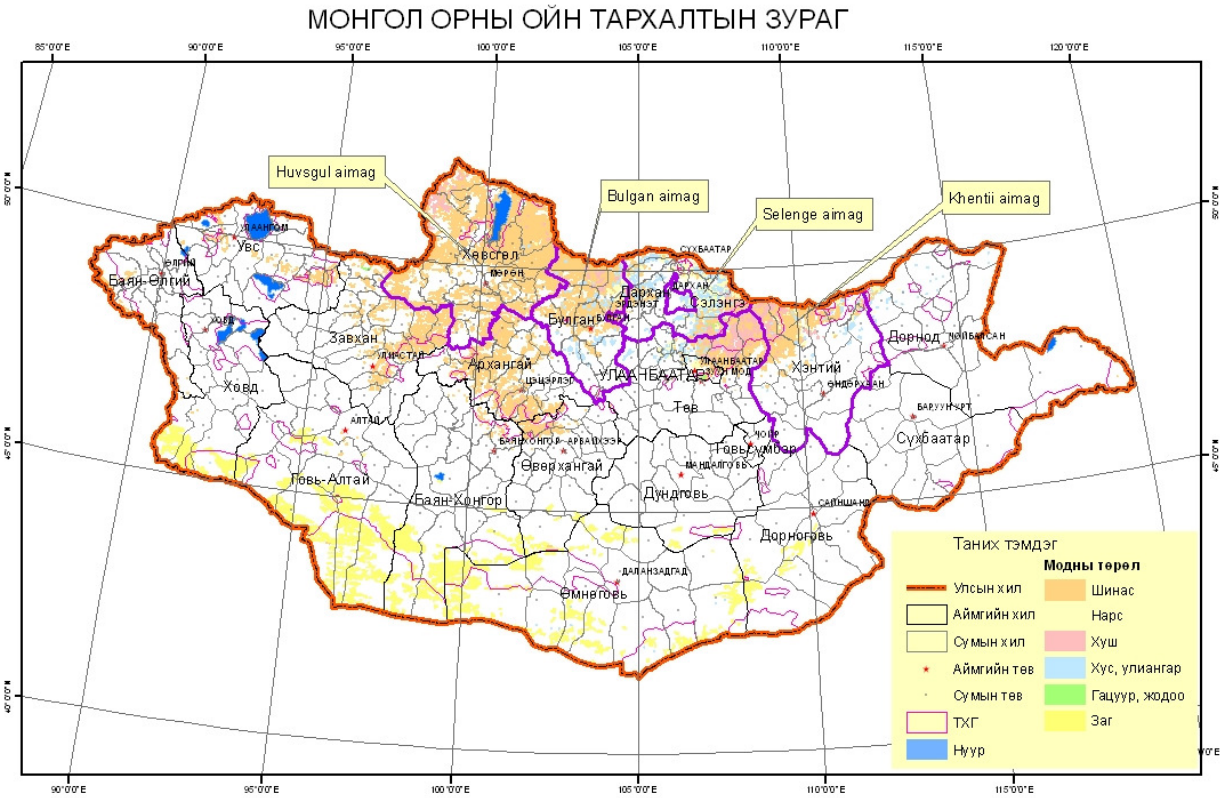
- Explore with the FA possibilities for sharing costs (between the Government and the TCP) to retain key Project staff (particularly the Project facilitators) so that they can support the work of the new PFM Unit in the FA.
- Assist to formulate a workshop in January 2012 to identify the technical aspects of FUG forest management that can benefit from research support.
- In consultation with the FA and the PFM Unit, develop a workplan for the Unit to clarify support for PFM after the Project closes (including donor coordination to ensure that all donors continue to conform to the PFM concept).
- In consultation with the FA and the PFM Unit, develop a strategy for national scaling-up of PFM, involving a graduated step-wise approach and the incorporation of innovative approaches such as FUG to FUG support.
- Update the Forester's Guide, the "Green Book" to incorporate changes that have taken place since its original publication.
- Contribute to the formulation of the national forest policy.
- Collect the major publications that have emanated from the Project's activities and distribute them to key libraries inside Mongolia and beyond (FAO and RECOFTC).
- Conduct an "end of Project workshop" to hand over key documents to the Government and expose the major results of the Project's activities to a wide range of stakeholders.

3. *Local*

- Ensure that general assemblies are held for all pilot FUGs by mid-January 2012 to conduct elections, audit financial accounts and develop workplans for 2012.

4.2 Project's approach to implementation

Forests occur in 14 Aimags in Mongolia, but more than 94% of the total area of forest occurs in only seven Aimags in the centre and north of the country (Khuvsgul, Selenge, Khentii, Bulgan, Zavkhan, Arkhangai, and Tuv). From these the Project selected four in which to locate the pilot sites (Khuvsgul, Selenge, Khentii and Bulgan) using criteria set out in the Project Document. About 67% of the country's forests occur in these four Aimags. They are not clustered close to the capital (as often occurs with projects for the convenience of project staff), but are spread across the country (see Map). Darkhan Aimag was added to the original four in late 2010 when an additional FUG was selected from that Aimag for intensive piloting.



Map showing location of Aimags across northern Mongolia where the Project had its pilot FUGs.

Twelve areas were selected for piloting implementation in mid-2009, again following criteria outlined in the Project Document. The Project established offices in association with the EPTA offices in Khuvsgul, Khentii and Bulgan. Selenge Aimag is serviced from a Project office associated with the EPTA office in Dharkan Aimag. This is partly because the FUGs in Selenge Aimag are close to the Darkhan Aimag centre and partly because of political pressures at the beginning of the Project to locate an office in Darkhan. Darkhan Aimag is relatively small in area and is an enclave within the much larger Selenge Aimag. Because of its location, the Project office in Darkhan EPTA has had a considerable influence on operations in Darkhan aimag. This approach has proven effective, and the Project has had a high visibility in these five key Aimags. In late 2010 four additional FUGs were selected for piloting in three of the field offices. This was done to give the field facilitators an opportunity of going through another round of institution building to consolidate the skills they had developed during the previous years.

Implementation of PFM was envisaged in the Project Document as being carried out in three phases. A detailed flow chart of each step in the process is shown in Annex 8 and a summary of each of the three phases is given below.

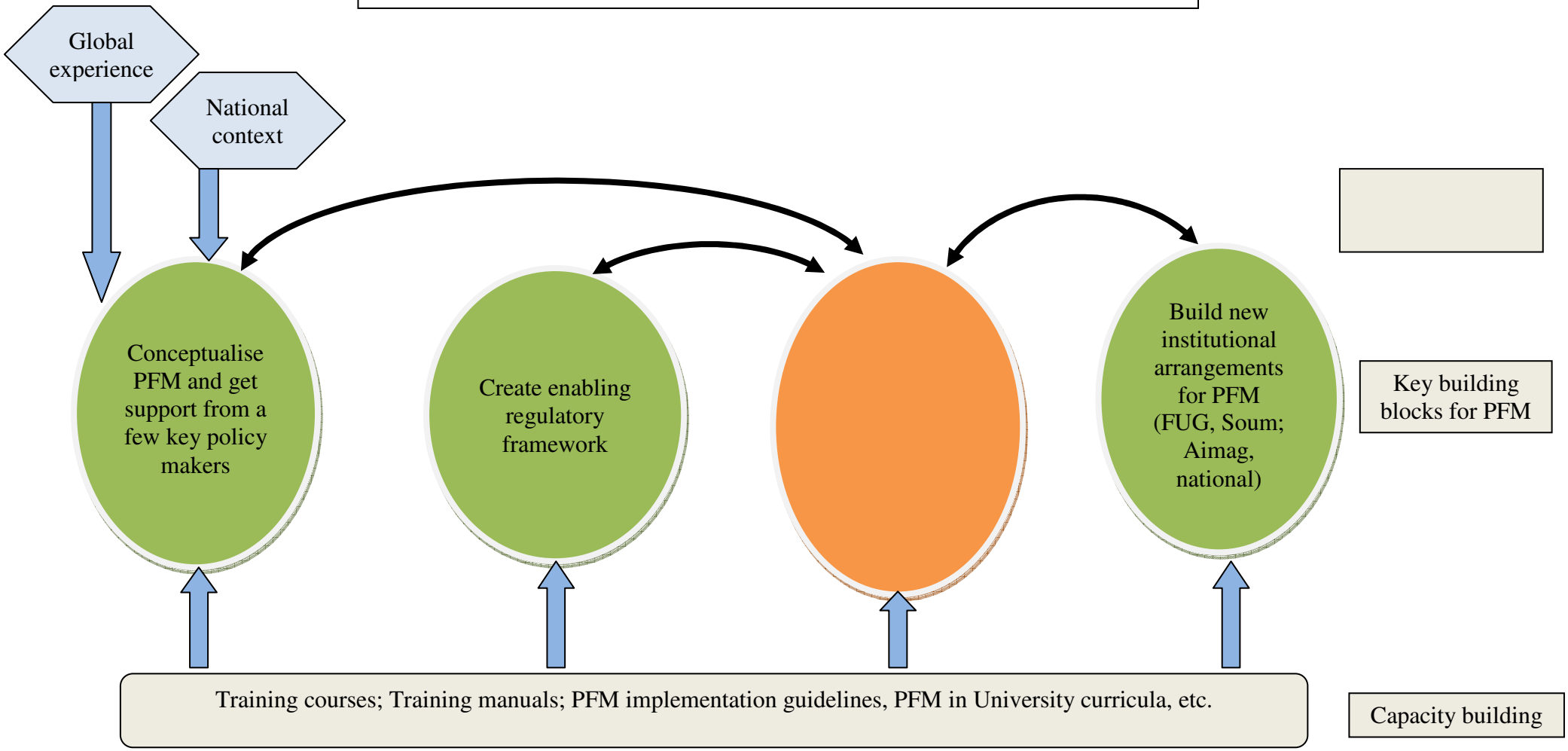
- An **Establishment Phase** of one year during which time local residents interested in managing their surrounding forests are informed of the policy and process related to PFM. If they are interested in proceeding, a formal partnership is established with the government. This is also the time when mutual trust and understanding is developed

between FUGs and the government and a sense of ownership of the forest resources is gradually developed by the FUGs. During this period the FUGs complete the key legal instruments that give them the mandate to manage their forests (including FUG constitution, simple forest assessment, market analysis for forest products and management plan).

- A **Foundation Phase** with a three year duration. This is the period when the management plan is implemented and revised based on experience. During this time it is proposed that commercial harvesting be limited to NTFPs, dead wood and thinnings in order to build the capacity of the FUGs and demonstrate their ability to function effectively. It is also a time for government partners to build confidence that the FUGs have the capacity and interest to manage their forests sustainably.
- An **Implementation Phase** of 10 year increments up to 60 years, during which time the FUGs are empowered to carry out the full spectrum of active forest management, including harvesting of commercial timber, and share the benefits.

The Project was designed as a pilot project to "*...test the potential and constraints for local level forest-based resource management based on the participatory forestry concept*" (FAO 2006, p. 29). In essence, it had to introduce, test and institutionalise a radically different approach to forest management. This is not a simple technical process, but one that has significant political and social overtones involving major changes to power relationships surrounding the management of valuable natural resources. This is a huge challenge, so the approach taken by the Project staff in implementation was always going to be difficult. Existing power relationships had to be challenged and new relationships proposed and tested in a sensitive and non threatening manner. The approach taken by the Project is shown in Figure 1. This figure is somewhat reductionist in that it compresses many complex institutional, social and technical issues to a minimum, but it does highlight an important factor that has contributed to success and is worthy of special mention. The Project adopted a flexible, iterative approach to implementation using the pilot FUGs as learning sites. This amounted to using an explicit action-learning *modus operandi* with feedback loops, whereby the results of actions were explicitly reflected on, learnt from and used to refine various parts of the context (such as the regulatory framework, institutional arrangements and the overall PFM concept). Other factors have also contributed to the results achieved by the Project and these are discussed later in this report.

Figure 1. Conceptual outline of the Project's approach emphasising the use of action learning as a fundamental and on-going aspect of refining the key building blocks of PFM in Mongolia



Strategic partnerships
The development of formal partnerships was a critical part of the approach adopted by the Project. During its life the Project entered into 14 formal partnerships with many government and non government entities, and a full list of these is given in Annex 9. These were intended to: clarify the basis of the interactions between the partners, obtain commitment from the partners, and avoid raising unrealistic expectations of what the Project might provide to local partners.

These partnerships have helped spread the influence of the Project and have proven to be effective instruments to improve collaboration and cooperation with key groups. In particular, they have enhanced the possibility of the wide take-up of the PFM approaches developed and tested by the Project and of enhancing sustainability. In the absence of formal donor coordination in Ulaan Baatar the partnerships have also served as vehicles to enhance coordination at the national level, as was witnessed by the collaboration between different donor groups in supporting the First National Forestry Forum (on PFM) in February 2010 and the Second National Forestry Forum (on Forest Policy Reform) in 2011. Another aspect of the partnerships is that they have given the Forestry Agency the opportunity of requiring all organisations working on natural resource management to comply with the official PFM approach pioneered by the Project and endorsed by the government as a national approach. This will assist the national adoption of the PFM concept and the long term sustainability of the institutional mechanisms that underpin its implementation.

Quality of project inputs
Training: Beneficiaries confirmed their satisfaction with the quality and appropriateness of training quality and could clearly explain what they had learnt from the various training events (forest assessment, management plans, business plans, silviculture, problem solving, priority setting, working together, etc). The feedback from the ultimate beneficiaries is a positive reflection on the PFM approach developed by the Project, as well as of the quality of staff who carried out the training.

Communications: Efforts by the project team to communicate continuously on the Project's approach, underlying principles and necessary action to be taken, with a wide range of stakeholders and decision makers was also a positive factor of the Project's ultimate success, as it contributed to the buy-in from key people and allowed for a steady shift in attitudes and approaches. Most of the experts contracted to provide specific inputs produced useful material and this is a reflection of one of FAO's strengths as an internationally recognised organisation in the forestry sector.

Very few adjustments were made to the initially planned strategic approach, which by-and-large improved the overall success of the Project. The management team was open to emerging opportunities and took advantage of them to advance the Project's agenda. These included the work on developing new curricula for three universities (see effectiveness section for more details) and orientation training of Government staff on PFM. One planned activity, related to developing a concept of Soum forestry with a focus on poverty alleviation, was abandoned due to the potential confusion an additional concept may represent to stakeholders already largely challenged with the adoption of PFM.

4.3 Technical Backstopping

The Project had a relatively small team of long term international advisors and relied heavily on national and international consultants to provide focused advice on topics as the need arose. This proved to be a sound approach, and probably much more cost effective than having a larger team of long term international advisors. A list of the various consultancy reports is given in Annex 10. The project thus made the most of FAO's convening power to facilitate the intervention of qualified professionals who could contribute to the Project (and related forest sector needs) with specific inputs when required.

The FAO office in Mongolia is backstopped by the Regional Office for Asia and the Pacific (RAP) in Bangkok. The project therefore reported to and was supported by the Senior Forestry Officer in the FAO RAP office who has visited the Project four times since its inception, mainly to provide administrative support. The first intervention of the backstopping RAP forestry officers, along with the Lead Technical Officer, in August 2007, was instrumental in helping to mediate the disagreement that arose at the onset of the project between the project management and the Government. The clarifications offered regarding FAO's usual operational procedures, in support of the CTA's position, contributed to the eventual resolution of the situation. The RAP forestry officer also supported the Project's final evaluation and participated in some of the initial meetings organised with the evaluation team, sharing useful insights on the Project's progress and achievements.

No major technical support was provided to the project team from either the RAP backstopping Office or FAO headquarters, as none was necessary due to the high technical qualification of the CTA, recognized as FAO's main specialist in the field of participatory forestry. The proficiency of the project CTA in the subject matter was reportedly highly valued by national counterparts met by the evaluation team. The active support provided to the Project by Government decision makers was partly derived from the trust they reported having in his expert counselling and advice. The Project management team had very little interaction with FAO HQ and the policy guidelines (FAO Forestry Paper 161) was the main product developed in HQ that was used for the benefit of this project. This was translated and shared with stakeholders.

4.4 Government support

Government support for the Project has been strong throughout its life, perhaps because PFM seemed to be the last best chance of saving the country's forests from on-going loss and degradation. Once the Project was able to demonstrates that the PFM concept had practical relevance for the situation in Mongolia, Government support increased and key people at all levels (national, Aimag and Soum) began to commit themselves to the process and provide tangible support. Several of these have become PFM champions and advocate strongly for its adoption and expansion.

Some of the buy-in received for PFM can be attributed to the project approach of inviting key Government decision makers and others to participate in study tours, where they had an opportunity to reflect on the relevance of external experiences to the Mongolian situation. The two forest fora, where PFM was promoted, also contributed to a growing commitment by government officials to support PFM. The positive feedback received from experiences with pilot FUGs also contributed to convincing Government authorities to fully support PFM.

Government interest has steadily broadened from support for the pilot FUGs to support for wider national implementation. This can be illustrated from the following points:

- The Government budget of the FA earmarked for PFM has increased during the past few years (Table 1). In addition, the Minister of the MNET announced in mid November 2011 a commitment to provide MNT 124 million (about USD 100,000) in 2012 specifically targeted to support FUGs to complete the development of their management plans. This is a three-fold increase in the regular operational 2011 budget for PFM. The money will be channelled through the PFM Unit in the FA, which will help to give the unit a higher profile.

Table 1. Forest sector budget 2005-2011 showing key items (Figures in million MNT)

Item	2005	2006	2007	2008	2009	2010	2011
Afforestation	230	160	160	897	805	638	1522
Inventory	56	90	90	144	228	289	465
Pest control	340	100	100	685	685	2985	1328
Nurseries	0	17	10	20	30	100	122
Training (including public awareness)	0	0	0	0	26	40	50
Support for FUGs (i.e. PFM)	**0**	**0**	**24**	**0**	**20**	**20**	**40**
Other items	277	536	479	831	523	920	1465
TOTAL	**903**	**903**	**863**	**2577**	**2460**	**4992**	**4992**

- The Government has made significant changes to the regulatory framework (Law, sub-decrees and administrative orders) to make it more enabling for PFM.
- The PFM concept piloted and refined by the Project has been endorsed as a relevant modality for mainstream forest management in Mongolia.
- The PFM implementation manual developed by the Project has been endorsed as the national standard for implementation.
- A PFM unit has been established in the FA to plan for and oversee the national implementation of PFM.
- Five inter-Soum Forest Units and seven Soum Forest Units have been established in the project pilot Aimags (as well as others in non pilot Aimags) to facilitate the implementation of PFM. The Project has trained six people for positions in these Units.
- PFM modules have been incorporated into the curricula of three universities.

Collectively, these changes that have taken place during the past five years show a strong commitment by the Government to learn from the Project's piloting experience and embrace PFM as a major form of forest management in the country.

4.5 Timeline of key events

The evolution of the Project has been marked by many significant milestones. These are given in detail in Annex 11 with the most significant ones shown in the following table.

Table 2. Timeline of key events in the life of the project

Date	Event
13/02/2007	Official commencement of project
27/05/2007	Approval of new Forest Law
02/06/2008	Establishment of Forestry Agency
11/06/2008	Departure of first CTA
01/11/2008	Arrival of new CTA Mr. Dominique Reeb
16-31/03/2009	Nepal study tour
02-09/2009	Selection of 12 pilot Forest User Groups
25/06/2009	Approval by Forestry Agency of FUG constitution, SFA and SFMP
05-09/2009	Approval by MNET of PFM related sub-decrees
27/01/2010	Publication and wide dissemination of "Guidelines for foresters" - legal framework for PFM (2000 copies + 2000 copies April 2010)
02/02/2010	Launching of forest policy formulation
07/04/2010	TOR for Forestry Agency PFM Officer officially approved by Ministerial resolution #86
18-19/05/2010	Training on SFMP and preparation of 1st SFMP with Dundat-Urguu FUG, Bulgan
09/08/2010	Award ceremony at Parliament for first 11 FUGs to have developed SFMP themselves
11-30/08/2010	Mid Term Review
05/11/2010	Forestry Agency Board of Directors approved the revised PFM concept
22/02/2011	The Dutch Embassy in Beijing informed the project that the no-cost extension is not approved
04/03/2011	Meeting with Minister MNET and teams of three groups in charge of forest policy formulation. Minister stressed the need to change vision about Mongolian forests: it is not wrong to cut trees. It enables keeping younger and healthier forests
04/03/2011	Official handing over of "Curricular Guidelines for Undergraduate Study in Participatory Forest Management" with Forestry Agency, Eco Asia University and Eco-Asia Institute.
9/05/2011	Curricula for BSc and MSc programs on PFM for the National University of Mongolia completed.
4/07/2011	Official endorsement of GEF National Focal Point to commit 2 million USD from Biodiversity, 1 million USD from Land Degradation and 1 million USD from SFM/REDD+ to support countrywide scaling-up of PFM
7/07/2011	Establishment by Ministerial order of a PFM Unit within the Forestry Agency
7/09/2011	Publication of PFM guidelines (300 copies)
26/09/2011	Appointment of project field facilitator in Khentii as Head of the newly established PFM unit within the Forestry Agency
27/09/2011	Publication of guidelines for Soum authorities on how to support PFM (500 copies)
Aug/Sept 2011	Harvesting and sale of firewood by 11 of the 12 original pilot FUGs
26/10/2011	Silvicultural guidelines published (280 copies)
31/1/2012	Project scheduled to finish

4.6 Budget and expenditure

Availability of funds was generally OK, but some delays occurred in disbursement from the donor late in 2011 and these caused a few difficulties for FAO accounting. No budget revisions were necessary. However, the Project was hoping to obtain the donor's agreement

to a no-cost extension in view of the hiatus early in the life of the Project and the donor's and Government's satisfaction with the results achieved at the time of the MTR. This was nonetheless rejected in early 2011 because of the Netherlands Government's re-orientation of its development assistance programs.

Overall, the rate of budget delivery was high for a project of this type. However, the development and strengthening of new institutions required to implement PFM, which are at the heart of the Project's focus, require time, as do the associated behavioural changes.

The total budget of the Project is USD 4,686,685, and the following table shows the actual expenditure by major line item to the end of November 2011 along with projected expenditure to the end of the Project period (31 January 2012).

Table 3. Summary of budget and expenditure (all amounts in USD)

Budget item	Total project budget (from Project Document)	Budget spent up to end of November 2011	Expected total expenditure up to end of January 2012	Expected budget unspent by end of January 2011
Salaries, Professional	960,000	981,062	1,023,362	-63,362
Salaries, General Service	432,500	136,802	144,502	287,998
Consultants	372,000	422,631	456,691	-84,691
Contracts	250,000	192,251	201,651	48,349
Locally contracted labour	0	4,476	4,476	-4,476
Travel	401,610	428,835	459,835	-58,225
Training	285,000	206,954	223,954	61,046
Expendable Procurement	738,000	122,978	129,178	608,822
Non Expendable Procurement	360,700	212,557	212,557	148,143
Technical Support Services	167,960	19,286	44,286	123,674
General Operating Expenses	199,856	312,733	327,333	-127,477
Support costs	519,059	394,947	419,291	99,768
General Overhead Expenses	0	468	468	-468
Total	**4,686,685**	**3,435,981**	**3,647,584**	**1,039,101**
% of total budget	**100**	**73**	**78**	**22**

Expenditure has been less than expected for several reasons. There was a hiatus in the Project in 2007-2008 during which time activities were severely curtailed. This resulted in a loss of about 12 months, so the effective Project period was only four years. In addition, the cost of some staff positions and contracts as well as the cost of some expendable items was overestimated. Expenditure has run at between USD 800,000 and 900,000 per year which is in line with or slightly higher than the planned annual expenditure as projected in the Project Document. It is projected that there will be a budget surplus of a little more the USD 1 million at the end of January 2012 when the Project is scheduled to close. This amounts to about 22% of the total budget.

5 Results and contribution to objectives

5.1 Outputs

Activities for each Output were identified in the LFA and these formed the basis of developing annual workplans and budgets. While activities are important in their own right, they are particularly important in contributing to the higher level Project Outputs and, if the internal logic of the LFA is sound, to the Immediate and Development Objectives. Annex 7 gives details of the progress achieved in carrying out the activities listed in the LFA, and the following Box summarises progress in producing the five Outputs as judged against the success indicators in the LFA and those re-formulated by the evaluation team.

Box 2. Summary of progress to November 2011 in producing Outputs

Output 1: Functional local organizations/entities (Nukhurlul) for forest management established in pilot sites.

Success indicators (from LFA in Project Document):
At least 10 Nukhurluls/entities operate sustainably, livelihoods improved: increased wealth of participating stakeholders by at least 20%, illegal logging in participatory forests stopped.

Success indicators (re-formulated by evaluation team):

- At least 10 Nukhurluls/entities (FUGs) operate sustainably, i.e. with formal organisational norms and social capital to empower independent action.
- Forest management activities commenced by FUGs.
- Forest-based income generating activities initiated by FUGs.

Progress:
FUGs have been established in 16 pilot sites. All have approved management plans that include details of decision making arrangements, by-laws and constitution. An independent analysis of their functionality in terms of collective decision-making was carried out in June 2010. This concluded that the basic sociology underpinning the implementation process is sound and that, by and large, the FUG governance arrangements are functioning effectively. Recommendations from the study were integrated in the support provided by the project. A follow up study in November 2011 on the effectiveness of FUGs as institutions noted that the increase in collective action (empowerment) in most of the FUGs is a major achievement.

FUGs are able to exercise effective control over their territory through a specific sub-decree. Independent actions have been reported that indicate that FUGs are becoming increasingly empowered, often with strong support from Soum governors. One example is the appointment in pilot FUGs of one or two voluntary rangers with delegated authority to issue permits to outsiders to harvest firewood in FUG forests. FUGs themselves feel that they are now more empowered and are able to negotiate effectively with Soum officials (see Section 5.11.2 and Annex 4).

Eleven of the pilot FUGs have commenced forest cleaning operations and selling the resulting material—in excess of US$ 15,400 has been generated from the sale of firewood, and more sales are pending (details are given in Annex 12). This indicates that the FUGs are capable of taking independent action, even though the amount of money generates is not large.

Output 2: Adapted management planning for local sustainable forest use, reforestation and

conservation.

Success indicators (from LFA in Project Document):
Management plans implemented in at least 20,000 ha, forest condition improved, timber exploitation wastes eliminated, reduced forest fire occurrence, overuse of NWFP resources stopped.

Success indicators (re-formulated by evaluation team):

- Simple Forest Management Plans prepared in a participatory manner for each pilot FUG.
- Forest management practices improved with respect to firewood collection/forest cleaning.

Progress:
Simple Forest Management Plans have been developed in a participatory manner in 16 pilot FUGs and approved by the relevant Aimag EPTA Directors. The area of forest covered by the pilot FUGs is 75,868 ha.

Forest cleaning operations and removal of dead trees and waste materials in FUG areas are current in most of the pilot FUFs with the support of Soum authorities, and provided a significant amount of firewood for use by FUG members and for sale to outside entities.

Output 3: Adequate legislation and regulations for local level forest resources use, reforestation and conservation.

Success indicators (from LFA in Project Document):
Participatory natural resources management implemented, security of forest tenure enforced (no or few conflicts between Nukhurlul and Government), at least 20 new requests for the establishment of Nukhurlul outside project areas.

Success indicators (re-formulated by evaluation team):

- Regulatory framework (law, sub-decrees, administrative orders, etc.) supportive of PFM.
- Regulatory framework recognised and supported by FUGs and government officials.

Progress:
The Project has used its influence to facilitate major changes to the regulatory framework to make it more enabling for PFM (Annex 13 gives details of the changes that have occurred during the life of the Project). A national forest policy process is underway that will recognise PFM as a major form of forest management in Mongolia.

Pilot FUGs are well aware of their rights under the new regulatory regime, including the secure tenure of their forest areas. This is respected by local government authorities and outsiders. Soum governors are fully supportive of the management rights of pilot FUGs and no conflicts between the government authorities and FUGs were reported. In spite of the good progress, numerous overlapping, conflicting and confusing regulations and laws inhibit the effective functioning of FUGs, such as the ambiguities that still exist regarding the requirement for professional organisations to be the only entities which can legally develop FUG management plans.

Output 4: Adequate institutional framework at national level for local forest resources use and conservation.

Success indicators (from LFA in Project Document):
Participatory natural resources management supported and mainstreamed at national level. Participatory forestry widely accepted as one of the main forestry orientation for the country. Data available on participatory forestry.

Success indicators (re-formulated by evaluation team):

- Participatory Forest Management supported and mainstreamed at national level.
- Participatory forestry widely accepted as one of the main forestry orientations for the country.
- Institutional home for PFM established in the Forestry Agency.

Progress:
The key components of a management planning system for FUGs have been developed (detailed in the PFM Guidelines) and approved for national use.

While the institutionalization of participatory forestry into organisational structures remained weak during most of the project life, it was significantly strengthened with the establishment and staffing of a PFM unit in the Forestry Agency in September 2011. It has a mandate to oversee the national scaling up of PFM. This unit consists of only two people, is still in its infancy and will take some time to become fully operational.

Five "inter-Soum" Forest Units and seven "Soum" Forest Units have been established in the project pilot Aimags and 19 "inter-Soum" Forest Units and seven "Soum" Forest Units are now established in all seven of the forested Aimags. Six people have been trained by the Project to support the implementation of PFM and these people have joined various Forest Units. Many other Forest Unit staff have received training from the Project on PFM. As with the PFM unit in the FA, most Forest Units are in their infancy and have yet to become fully operational.

A database has been developed to monitor implementation of PFM at national and local levels, along with a guide (in Mongolian) for its use. This has been transferred to the FA and pilot Aimags. It is functional and up to date in the pilot Aimags and is currently being updated in the FA.

Output 5: Improved knowledge on integrated and sustainable natural resources utilization and conservation.

Success indicators (from LFA in Project Document):
Sustainability of natural resources management is improved, new and demonstrated silvicultural and utilization techniques available. Number of Nukhurlul using this knowledge. Markets for forest products developed or created.

Success indicators (re-formulated by evaluation team):

- Thematic breadth and usefulness of publications and other material prepared by the project.
- A majority and variety of Mongolian forestry sector stakeholders receive these publications and other material.
- All pilot FUGs received relevant PFM guidelines and manuals.
- Several representatives of each pilot FUG received training on essential elements of PFM.
- Number and diversity of people who attended study tours in Nepal or Finland.
- Number of university students who studied modules on PFM.

Progress:
More than 30 reports, publications and videos were produced by national and international consultants, researchers and Project staff during the life of the Project (see Annexes 10 and 14 for details). Production of: Guide for Foresters (the "green book"), Forest Fire Management guidelines, Silvicultural guidelines, Market Analysis and Development guidelines and PFM implementation guidelines provides a comprehensive set of reference materials to improve knowledge and general awareness of the potential of PFM to deliver sustainable forest management and improved livelihoods. These are highly valued by their intended audiences. Reports and documents from

completed studies have been widely circulated to all stakeholders. Among the studies, several stand out as contributing significantly to knowledge about PFM and related topics in Mongolia and the wider world. A list of the most significant items is given in Table 5.

The National University of Mongolia (NUM) Eco-Asia Environmental University and Eco-Asia Institute have incorporated PFM modules (developed by the Project) into their undergraduate courses. PFM is a compulsory subject for undergraduate forestry students at the NUM and for all students at the Eco-Asia Universities. Twenty-four undergraduate students at NUM and 120 students at one of the Eco-Asia universities will take the subject in 2012. MSc and PhD students at the NUM are also offered PFM as an option (three post graduate students at NUM are currently taking the PFM subject).

Study tours to Nepal and Finland included a wide range of stakeholders from national, Aimag and Soum levels.

Through project initiatives, a cooperation project between a Finnish forest institute, METLA, the Forestry Agency and the National University of Mongolia has been approved to support the strengthening of basic forest research in Mongolia.

Several films were completed following a study tour to Nepal in February 2009 and were shown on national TV to raise awareness of the potential of PFM in Mongolia to deliver both forest conservation and community benefits.

Table 5. Reports, publications and videos produced by the Project that contribute significantly to the knowledge of PFM in Mongolia and the wider world.

Author/Year	Report	Language	No. Pages
Reports, publications and videos with a particular relevance for Mongolia			
D. Enkhsaikhan (2008)	Evaluation report on existing FUGs of 10 forested Aimags	English	34
R. Triraganon and K. Sovann (2008)	Introductory training on community forestry development	English	12
D. Enkhsaikhan (2009)	(i) Report of study tour on Nepal experience (ii) 30 years of experience in Nepal since establishment of FUGs	Mongolian Mongolian	65 57
D. Enkhsaikhan (2009)	Booklet on "Trees and shrubs of Mongolia"	Mongolian	96
E. Dorjtsuren (2009)	Guidelines for training on community-based fire management	Mongolian English	37
B. Sambuu (2009)	Volume tables for FUGs: Report on the calculation of volume based on tree height, diameter and basal area in 1 ha area	Mongolian	38
D. Enkhbileg (2009)	Guidelines for demarcating allocated areas by FUGs	Mongolian English	35
I. Lecup (2009)	Community-based tree and forest Enterprise Development using the MA&D approach (Phases 1 and 2)	English	56
I. Lecup (2010)	Community-based tree and forest Enterprise Development using the MA&D approach (Phase 3)	English	50
Forestry Agency (date)	Foresters' handbook - Comprehensive compilation of forestry legal framework	Mongolian	304

	(including PFM concept)		
D. Gilmour (2010)	Participatory Forest Management in Mongolia: Organisational and Institutional Issues	English	11
D. Gilmour (2010)	Project Mid-term Review	English	112
B. Sambuu (2011)	Silvicultural guidelines	Mongolian	19
J. Sved (2011)	Silvicultural guidelines	English	19
FAO (date)	Mongolian translation of "Developing effective forest policy"	English	69
N. Dashdorj and S. Tuguldur (2011)	Short guidelines for local governments and soum governors to support PFM	Mongolian	15
T. Steinsberger, E. Oyuka (2011)	MA&D Facilitators guidelines Phase I, II, III	Mongolian	127
T. Steinsberger, E. Oyundelger (2011)	Example of business plan for FUGs	Mongolian	36
T. Steinsberger, E. Oyundelger (2011)	MA&D quick references guidelines Phase I, II, III	Mongolian	24
E. Fontein, E. Oyundelger (2011)	Practical Microcredit Guidance for FUGs	Mongolian	28
Project team (2011)	Service providers for FUGs' small scale enterprises	Mongolian	24
D. Sunderdgusem (2011)	Video on PFM in Mongolia	Mongolian	23 min.
Reports, publications and videos with a relevance for the wider world (as well as Mongolia)			
Lisa Knur, Dominique Reeb and Purevdash Dudlii (2011)	Participatory Forest Management in Mongolia (An implementation manual)	English and Mongolian	236
S. Nettleton (2011)	Video: "Protecting Mongolia's forests"	English, French, Spanish, Chinese	3 min. and 8 min.
R. Fisher (2010)	Study of local institutions for PFM in Mongolia	English	29
Joost Foppes (2011)	Documentation of the PFM process in Mongolia (in preparation)	English	
R. Fisher (2011)	Follow-up study of local institutions for PFM in Mongolia (in preparation)	English	

The Project has produced all of the Outputs originally planned and, with one important exception, has carried out all of the Activities originally planned. The exception is the development of an approach for the management of forests close to Soum centres specifically aimed at addressing the poverty endured by many Soum centre residents. A consultancy was carried out in an attempt to define a suitable approach, but this was not conclusive. It was subsequently decided to concentrate resources on the FUG aspects of Project implementation rather than disperse scarce resources, particularly manpower, on this activity. In addition, it was felt that it would be confusing to introduce another forest management concept (Soum forestry) before the PFM concept with its focus on FUGs was fully piloted and understood.

5.2 Outcomes

The **immediate objective** of the Project is "*the implementation and integration of participatory forestry in rural development in pilot areas through capacity building of the main stakeholders and through the development of enabling institutional frameworks at local, regional and national levels*".

The evaluation team decided to reformulate the immediate objective to make it more explicit and for ease of reporting progress:

Participatory Forest Management integrated into rural development in pilot areas and supported by an enabling regulatory framework and empowered institutions at national, regional and local levels.

The LFA in the Project Document does not include indicators against which to judge progress in achieving the immediate objective, but the following ones can be inferred:

- FUGs functioning sustainably in selected pilot areas.
- Building blocks in place and functioning for sustainable forest managment in pilot areas.
- Regulatory framework to support the implementation of PFM.
- Strong institutions at national, Aimag and Soum levels to support PFM implementation.

Mongolians (Government and civil society) have proven to be very responsive to new approaches to managing forests, once their effectiveness has been demonstrated and an appropriate regulatory framework is in place to guide and direct implementation. This has been clearly demonstrated by the way that the Project's results have been assimilated into the thinking and actions of the various levels of Government and the herders who have formed the FUGs. The production of the five Outputs by the Project (as described in the previous section) has contributed to the achievement of the immediate objective in several ways. The following discussion describes this progress.

Sixteen FUGs have been established in all five pilot Aimags with functional institutional arrangements that can operate effectively to plan for and carry out sustainable forest management. An investigation carried out to assess the effectiveness of FUGs as collective decision-making institutions concluded that most of them were functional, although some problems were identified (Fisher et al. 2010). A follow up study noted that the increase in collective action (empowerment) in most of the FUGs is a major achievement (Fisher et al. 2011).

FUGs report that they feel more confident and empowered and able to operate together for the collective good (see Box 3 for an example) and negotiate effectively with the Government (both politicians and bureaucrats). Government officials and local Government politicians report that there has been a substantial increase in trust and understanding now that they realise that FUGs have a vested interest in, and the capability of, managing their local forests. This has led to mutual support, accountability and information sharing.

Box 3. Effectiveness of FUGs as empowered institutions that can engage in collective decision making

The Chairman of Altensumber FUG in Sant Soum, Selenge Aimag commented that before their involvement with the Project, they had functioned as individual households with no experience of working together for the common good. They now have good relationships with their neighbouring households and have made decisions together not just for forest management but also for activities such as vegetable growing, harvesting and marketing.

All the technical building blocks (including procedures for management plan preparation, silvicultural guidelines, etc.) necessary to integrate PFM into rural development have been developed, tested and distilled into a PFM Implementation Manual (see Table 6 for a complete list). The Manual has been endorsed by the Government for national use and distributed to all stakeholders. Key implementation partners (GIZ and WWF) have accepted PFM as the best option for forest management (including management of protected areas). This increases the evidence that PFM has been officially recognised as an appropriate modality for forest management across the country, independent of the Project, and integrated into overall development thinking and practice. The Darkhan Aimag EPTA Director reported that about 75% of the forest in the Aimag is now under FUG management (although many of these FUGs were only recently formed and without the use of participatory procedures, so it is unclear whether they will be sustainable).

Table 6. List of reports, guidelines and manuals for use by FUGs and government officials in implementing PFM.

Title	Date prepared
Manual on participatory forest thinning (unpublished)	2008-09
Approach to participatory forest inventory (unpublished)	2008-09
Volume tables for FUGs (unpublished)	2009
Guidelines for Community Based Fire Management	2009
Guidelines for forest demarcation	2009-10
Guidelines for Soum Governors	2011
Silvicultural guidelines	2011
Simplified guidelines for Market Analysis and Development for FUGs	2011
PFM Implementation Manual (incorporates key elements from all of the above)	2011

An enabling regulatory framework has evolved during the life of the Project to legitimise PFM as a major forest management modality in Mongolia's forested Aimags. Annex 13 shows the changes that have occurred. The framework is continuing to evolve as experience from PFM implementation is fed back to national, Aimag and Soum level decision makers.

A PFM Unit was formally established in the FA in July 2011 and staffed in September 2011 to oversee the nation-wide implementation of PFM. New organisational structures (particularly Forest Units) have been established at Aimag and Soum levels to support the implementation of PFM in pilot Aimags as well as more widely. These have yet to become fully functional.

Re-structuring state-community relations

As mentioned earlier, at the heart of this Project is a fundamental re-structuring of state-community relationships. This necessitates the adoption of new institutional arrangements at both government and community levels and the adoption of different cultural norms. The physical changes can be easily documented, such as the creation of new organisational structures (PFM unit in the FA, Forest Units in Aimags and Soums and FUGs). Changes of internal culture in governments, and the associated changes in attitude and behaviour of individuals and the way they carry out their jobs are much more difficult to quantify.

In spite of the relatively short time during which the Project has operated, it is evident that social relations between government officials and herders in the pilot sites have evolved in a

positive direction. There is evidence of strong political support for PFM in most of the pilot sites and in the wider Government. For example:

- The Governor of Sant Soum has: (i) allocated 100% of the firewood market to FUGs in the Soum, and (ii) delegated his authority to issue firewood permits for the forests under the management of the Altensumber FUG to the FUG voluntary ranger. 20% of the fees from permits she issues will go to the FUG mutual fund and 70% to the Soum government.
- The FA administration staff are discussing ways of formalising incentive schemes to ensure FUG interest remains high.

These examples represent significant changes in attitude and behaviour compared with the situation that prevailed at the commencement of the Project. While these are positive signs of change, there is bound to be some internal resistance to the radical changes in power relations that are implicit in adopting PFM and making the transition from a forest-centred approach to forest management to a people-centred approach.

PFM as an entry point to wider natural resource management

While the explicit focus of PFM is on the sustainable management of forests, herder communities do not necessarily view the natural resources in their area of influence in terms of governmental sectoral categories that segment forests, pastures and water. The example in Box 4 illustrates how PFM can be seen by herders as an effective entry point to address integrated and holistic management of a range of natural resources.

Box 4. An example of the application of PFM approaches to the sustainable management of all natural resources in FUG areas.

An interesting observation that came from the mid-term review in 2010 is that many FUGs take a holistic view of resource management in their territory. Commercial timber harvesting is not necessarily the main driving force behind their interest in FUG formation, but rather a mix of objectives including environmental protection, water conservation, pasture management, reduction in illegal activities, and forest product harvesting for local and market needs. The PFM approach responds well to this multitude of FUG interests which are fundamentally aimed at exercising control and exclusion rights over their territory. For example, during discussions with herders in the Dundat-Urguu FUG in Bugat Soum, Bulgan Aimag, it was revealed that since FUG formation the group members had cooperated to build fences round three springs to protect their water sources. The FUG members emphasised that such collective decision making was not possible prior to FUG formation.

Source: Gilmour and Dorjtseden (2010)

The sentiments expressed in the example shown in Box 4 were repeated several times during discussions with FUG members during this evaluation.

The continuing evolution of PFM

PFM (at least in the pilot areas) is showing signs of developing a “life of its own” and is moving in different directions in different places, with new and innovative approaches being tested by FUGs themselves, often in association with Soum authorities. To some extent PFM has moved beyond being totally dependent on the Project for ideas on how to solve problems and is becoming an integral part of normal forest management. It reflects well on the empowerment of the FUGs to take independent action. Some examples are given in Box 5.

Box 5. Examples of continuing evolution of the PFM process independent of the Project

Example 1: Spontaneous FUG to FUG interactions to enhance mutual learning.
Several of the pilot FUGs reported that they had been requested by adjacent communities (some of whom had formed FUGs) for assistance in establishing themselves properly so that they can function effectively.

Example 2: Soum governors requesting pilot FUGs to assist non pilot FUGs to develop management plans.
The Soum governor of Bugat Soum asked the Dundat-Urguu FUG (a Project pilot FUG in Bulgan Aimag) to assist some of the other 13 FUGs in the Soum to become more effectively established and to begin the task of preparing management plans. People from three FUGs have already visited Dundat-Urguu to begin the process. Similar requests have been made to a pilot FUG by the Soum Governor in Sant Soum, Selenge Aimag.

Example 3: Development of FUG associations.
FUG associations have developed in both Darkhan and Khentii Aimags independent of the Project. The association in Darkhan (called Khongor Oi) consists of all 45 FUGs in one Soum (Khongor) which contains 93% of the forest in the Aimag. The association was established in October 2010 and is officially registered as an NGO, has a mutual fund and a stamp. It was initiated because it was felt by some key individuals that FUGs were not well organised, had limited capacity to do paper work and limited knowledge about how to go about addressing issues of concern and who to approach. Their establishment was supported by the Local Authority and the Soum's Citizen's Meeting. Each member FUG makes donations to the association's mutual fund, but the amount is not fixed. The **vision** of the association is: To improve all FUGs to bring them to an equal level of development, and their **purpose** is: To protect the rights of FUGs, conduct activities on reforestation and nature conservation, and support FUGs with administration and institution building. Current activities are focused on improving the organisation of the member FUGs, organising training and seeking financial and other support.

Two FUG associations were established in Khentii Aimag in November 2011 along similar lines to the one in Darkhan. One in Binder Soum has representatives from 19 FUGs in the Soum and the other in Dadal Soum has representatives from 15 FUGs in the Soum.

Source of the Darkhan example: D. Ganbold, Project Facilitator, Selenge and Darkhan Aimags.
Source of the Khentii examples: N. Damchaadorj, Project Facilitator, Khentii Aimag.

None of the innovations described in Box 5 was initiated by the Project, but emerged to meet a perceived local need, although Project facilitators have supported the activities. This is a healthy development and is to be encouraged as it indicates that PFM is rapidly becoming embedded more firmly within the fabric of Mongolian forest management and the wider civil society.

Achievement in the context of the overall PFM process

While the Project has produced its planned Outputs and achieved its immediate Objective, it is important to view this progress in light of the overall PFM process (as shown in Annex 8). Table 7 shows that, while solid progress has been made, PFM implementation is only just into the three-year Foundation Phase. Many of the supportive organisational structures and institutional arrangements (both government and FUG) are new and fragile and have yet to be fully tested. This will take some time and they will certainly need on-going support to give them the capacity and confidence required to withstand the pressures that will inevitably confront them in the future. This is particularly so for the PFM Unit in the FA, which was only formally established in July 2011 and staffed in September 2011.

Table 7. Progress with implementation of PFM in the pilot sites in the context of the entire PFM process

Implementation step	Progress (no. of FUGs)	Comments
Phase 1: Establishment Phase (1 year):		
Establishment of FUGs	12+4	12 original pilot FUGs + 4 new FUGs taken on in early 2011.
FUG constitution signed	12+4	
Forest Management Planning	12+4	
Three year certificate	12+4	
Phase 2: Foundation Phase (3 years)		
Implementation of SFMP (Year 1)	12	12 FUG implementing year 2 and have reported on year 1 activities; 4 new FUG implementing year 1 activities.
Harvesting and sale of NTFPs and firewood	11	11 FUGs have started selling forest products (firewood and NTFPs).
Preparation of 10 year SFMP	0	
Assessment of performance	0	
Issue of long term use rights	0	
Phase 3: Implementation Phase (60 years)		
Implementation of 10 year SFMP (harvesting and sale of NTFPs, firewood and commercial timber)	0	

In summary, PFM is well integrated into the regular operations of the Aimags and Soums where the Project is working (as well as more widely in some instances) and is accepted as an essential modality that will contribute to sustainable forest management in the country. A scrutiny of the information in the previous paragraphs, in conjunction with the more detailed material in the supporting Annexes, leads to the situation where it can be stated with some confidence that **the Project has, without qualification, achieved its immediate objective**.

5.3 Gender issues

The Project Document noted that the Project design was "*gender neutral*" and that "*(a)ctive involvement of women in planning, decision-making, implementation and control will be pursued*" (FAO, 2006, p. 26). In its implementation, the Project has recognized that women play important roles, particularly in herder communities, and this is reflected in explicit efforts to ensure that women are included as beneficiaries in Project activities. Two of the four Project field facilitators are women, and among the 16 pilot FUGs, two of them are chaired by women. Following a recommendation of the FAO Lead Technical Officer in October 2009, the project commenced maintaining records of people who participated in formal training activities, according to gender, to help quantify the Project's contributions to capacity building of both men and women. Since that time, of the 1,127 people who attended orientation training, 29% have been women and 71% men (see Table 3 in Annex 15).

5.4 Capacity development

Capacity building has been a major focus of the Project throughout its life, and has consumed a considerable amount of the Project's resources. The capacity building activities are guided by a strategy (FAO 2009) which sets out the approach to be taken and the target audience. This work is embedded within the Training and Extension Unit of the FA and is supported by a dedicated GIZ (originally DED) expert. The strategy includes a logical framework and a workplan for implementation and it uses the Mongolian PFM concept as its organising framework. This has ensured that the capacity building has been well targeted.

A series of training modules was developed aimed at orientation towards PFM of government rangers and inspectors at the Aimag and Soum levels in the four pilot Aimags. The trainees were not restricted to government staff and FUG members working directly with the project, and some NGOs attended. Table 8 shows the content of each module and Annex 15, Table 1 shows the training courses carried out. Twenty-eight individual orientation events took place and in excess of 500 people participated in one or more of the modules. The strategy envisages that the training material for each module will be consolidated into a package and will form the foundation of a national approach to PFM training that will be institutionalised into the normal operational activities of the FA within the mandate of the PFM Unit. This is still pending.

Table 8. PFM Training modules developed for use primarily with EPTA rangers and inspectors.

Module No.	Title	Description
1	Introduction to PFM, basic approaches and tools	Overview of the history of participation in natural resource management in Mongolia as well as worldwide trends. Principles of participatory training and facilitation. Forms of participation. Basic PRA tools for assessment and planning of PFM.
2	Stakeholder analysis and group development	Introduction to stakeholder analysis. Theory of group dynamics and team work
3	Problem and solution analysis	Problem and solution tree tool. Management plan development.
4	Legal framework for Forest User Groups	Constitution and by-laws
5	Logical framework approach	Logframe tool to develop forest management activities
6	Conflict management	Theory of conflict management. Stepwise approach with PRA tools to address conflicts in natural resource management

In addition to the re-orientation training targeting mainly government officials in the Aimags and Soums, capacity building activities have been a constant and regular feature of the Project's activities, initially focused on the Project facilitators and then more widely. Annex 15, Table 2 details the scope of the general capacity building activities and the groups targeted. This indicates that, up to the end of October 2011, a total of 54 formal events have been conducted involving about 1,600 people. This excludes the training that has been carried out by the four field offices. Project field office staff have trained a large number of people, mostly FUG members, in various aspects of PFM, particularly those associated with

management plan preparation. There is now a large pool of people at all levels who have been exposed to various aspects of PFM.

A start was made on developing an implementation manual for PFM several years ago but it was not finalised at that time as it was felt that additional implementation experience was needed. A manual has now been completed, translated into Mongolian and published (Knur et al. (2011). It provides detailed guidelines for implementation of PFM and has been endorsed by the FA for application nation-wide. This is one of the major products produced by the Project as it distils the experiences of the past five years into one manual. It will be a valuable national resource for the future.

The capacity building strategy indicated that, in the longer term, a national NGO could deliver training activities to the FUGs, with the FA limiting its own training programmes to government staff. However, this will probably to be some way in the future because of limited capacity among national NGOs. The likely short to medium term option will be for the Government, perhaps with support from a project, to take the lead in delivering in-service training to its officials to give them the skills needed to implement PFM. This will be one of the major activities of the new PFM unit in the FA, and it will contribute to the institutionalisation of the modular approach to training developed and tested by the Project.

The Project sponsored the development of curriculum material and a teaching manual for a PFM module for three academic institutions: the National University of Mongolia, Eco-Asia University and Eco-Asia Institute. The material was tested and refined during 2011 and has now been formally endorsed by all institutions and will be offered to students for the first time in 2012. PFM is a compulsory module for all NUM forestry students in their third year (24 students in 2012) and is offered as an optional module for other science students. It is also available to post graduate students (MSc and PhD). It is a compulsory module for the two Eco-Asia institutes in second year, and 120 students will take the module at the Eco-Asia University in 2012, with a similar number at the Eco-Asia Institute. About 50% of the students at the two Eco-Asia institutions are rangers and inspectors, who are studying part time. This work with the higher education institutions is likely to pay huge dividends in the future, as it exposes the next generation of natural resource managers to PFM at an early stage of their career.

The Project has sponsored several research projects by universities and colleges (included in the list shown in Annex 14). In addition to the immediate benefit of the knowledge gained in carrying out this research, there is the added value of building the capacity of participating individuals and organisations to conceptualise and carry through such projects associated with PFM.

5.5 Sustainability

5.5.1 General discussion of sustainability

The sustainability of results achieved by pilot projects and their wider uptake is always a concern in development, and the world is littered with examples where activities and outputs which looked so promising while a project was operating, disappeared within a short time of the project closing. This applies particularly to new institutional arrangements established at both community and government levels to manage natural resources such as forests. There is reason to hope that this Project will not suffer the same fate.

Before going on to assess the sustainability of the Project's results it is worth clarifying what sustainability means in the context of this Project and posing the question—precisely what is to be sustained? At the risk of over-simplifying a complex set of factors, perhaps it is useful to focus on the fundamentals. There are four entities that need to be sustained, and these are:

1. Community institutions that manage forests (FUGs),
2. Institutions that are necessary to support FUGs to manage their forests (at national, Aimag and Soum levels)
3. Forests, and
4. Livelihoods of FUG members

If the community and government institutions (i.e. 1 and 2 above) can be sustained then there is a good chance that Mongolia's forests that fall within the ambit of FUG management will be managed sustainably in the long term and that the benefits from their management will contribute to the livelihood of FUG members and others.

5.5.2 Sustaining community institutions that manage forests (FUGs)

The Project has put a substantial effort into building the pilot FUGs as empowered institutions that can make collective decisions about how to manage their forests. The chairman of the Altansumber FUG commented that prior to their involvement with the Project they tended to work as individual households. They are now able to work effectively as a group and address a range of issues that affect all households in a way that was not previously possible.

An investigation carried out by Fisher et al. (2010) assessed the effectiveness of FUGs as collective decision-making institutions, and they concluded that most of them were functional, although some problems were identified. A follow up study by Fisher et al. (2011) noted that the increase in collective action (empowerment) in most of the FUGs is a major achievement. However, they also noted that some FUGs that were functioning well in 2011 were functioning less well in 2011, and that conflict had arisen in some FUGs that remained unresolved. They concluded that the most effective FUGs seem to have three characteristics in common:

- They are composed of households which have been living in the same area for some time, thus allowing sufficient time to develop social relationships and social capital.
- There is a close connection between the membership of the FUG and the user group territory and boundaries.
- There is good two-way communication (between the FUG committee and members).

The differences in effectiveness reported between 2010 and 2011 are not surprising and reflect the dynamic nature of the institutions. The 2010 study emphasised the importance of intensive extension and community development work aimed at institution building and strengthening rather than focusing primarily on establishing formal organisations. A continuation of this focus on building strong institutions will be a real challenge for the PFM Unit in the FA as well as for Aimag and Soum Forest Units.

5.5.3 Sustaining Government institutions necessary to support FUGs

As was noted in the MTR report (Gilmour and Dorjtseden, 2010) "*A key aspect of sustainability is the extent to which Project activities are integrated into the normal planning and activity cycles of the government*". (p. 36) The following observations made in the MTR report are still relevant and are repeated here because of the importance of the sustainability issue. "*The Project has done what it can to avoid the possibility of becoming yet another enclave project that will become irrelevant after it concludes. The location of the Project's offices within the relevant agencies in the bureaucracy at national, Aimag and Soum levels enhances the possibility of the take-up of the strategic and operational approaches developed and tested, and this can already be seen. This approach helps to create local ownership of the process and assists with institutionalising Project results*". (p. 36)

An earlier section on Government support for the Project listed key actions that demonstrate strong Government commitment and support for continuing and expanding PFM as an important forest management modality. Other actions related to sustainability are discussed in the following paragraphs.

Allocation of national budget to PFM
It was noted earlier that the Government budget allocated to PFM has increased during the past several years, and this bodes well for sustaining and expanding the initiatives. However, the budget will need to increase substantially to continue the essential training, extension, community development and other activities once the financial and technical support from the Project cease.

Capacity of government staff to continue and scale up PFM initiatives
For most of the past five years the Project staff have taken the lead in implementing PFM, as Government organisational structures were not equipped to take on this role. If fact, most Aimag EPTAs and Soum governments did not have Forest Units or forest specialists to do any type of forest management work—their role was largely one of policing and licensing using inspectors. As a result, there were few government staff available who understood or could implement PFM. This situation is now steadily changing.

Five inter-Soum Forest Units and seven Soum Forest Units were established in the project pilot Aimags (as well as others in non pilot Aimags) in 2010-2011. This represents a significant contribution to sustainability as it has created an organisational home for PFM at the Aimag and Soum levels, staffed by trained officers with the capacity to continue the implementation process. The Project has trained six people in the skills needed to support FUGs and several of these have been employed in the new Forest Units.

The Project facilitator from Khentii Aimag was appointed in late 2011 to head the PFM unit in the FA in Ulaan Baatar. This is an important appointment as it ensures that a very experienced and committed person, who has been with the Project since its inception, will be in a position to oversee and guide national implementation.

Regulatory framework
While there have been substantial improvements to the regulatory framework during the past five years to make it more enabling for PFM, there are still some outstanding issues that act as stumbling blocks and inhibit the effective management of forests by FUGs. The major inhibiting regulatory and administrative issues were identified during the MTR in August

2010. Several of these have been addressed in the intervening 15 months, but some remain and these are likely to cause problems in terms of sustainability unless they are addressed. Table 9 and Annex 5 give details of the major impediments. A key role for the PFM unit in the FA will be to maintain pressure to address these and other emerging issues in the future.

Table 9. Regulatory and administrative constraints that inhibit effective forest management by FUGs

Constraint	Action needed
Some EPTA staff think that FUG activities such as utilization require separate approval, even when such activities are included in approved management plans.	Ministerial resolution stating that utilization activities approved in the SFMP do not need to be re-approved. This issue has been included in the TOR for the PFM Unit Head.
Ministerial Resolution 114 was passed in 2005 and a new forest law was enacted in 2007 with a related sub-decree in 2009. Resolution 114 is therefore obsolete for the forestry sector and not in agreement with the new forestry legal framework. Many people still refer to Resolution 114 thus creating confusion.	Repeal Ministerial Resolution 114 for forest products.
Quotas for firewood and timber are set by the Forestry Agency based on recommendations from Soum and Aimag level. To date, quotas are then distributed by Aimag and Soum officials without consideration of approved management plans. (Some Soum governors now exclusively procure firewood from FUGs).	Administrative direction from the Forestry Agency to ensure that national/Aimag quotas for timber and firewood harvesting do not include products harvested from FUG forests under approved management plans or quotas that are issued should be allocated to FUGs as a first priority.
To date, harvesting licenses are the same for everybody (including FUGs), so there is no incentive for any entities (including FUGs) to sustainably use forest resources. (It is probably still too early to address this issue in the regulatory regime, but it will become more important in the future. Exclusive rights given to FUGs for firewood production is going in the right direction.)	Ministerial Resolution to set tax incentives for any forest managers (including FUGs and economic entities) with approved forest management plans. The Resolution could include reduced fees for timber and no fees for firewood, with sales tax being paid only on commercialized forest products. Loggers who are not required to manage forests sustainably should be required to pay higher taxes.
There is uncertainty about security of tenure rights for FUGs, (even though tenure security is steadily improving as PFM is becoming better understood).	Sub-decree to strengthen rights of FUGs to ensure full rights to control access, and the right to compensation in case of land use change by government.

Partnerships and sustainability

As mentioned in an earlier section, the Project entered into 14 formal partnerships with many government and non government agencies (see Annex 9 for details). These have given the Forestry Agency the opportunity of requiring all organisations working on natural resource management to comply with the official PFM approach pioneered by the Project and endorsed by the government as a national approach. This will improve the possibility of the wide take-up of PFM and of enhancing sustainability.

Public awareness
The Project understood the importance of exposing the wider Mongolian society to the contribution that PFM can make to the management of the country's forests and adopted a pro-active approach of advocacy and dissemination of public information. Over the course of its life the Project produced a considerable amount of material for this purpose, including publications that were widely distributed and videos that were widely shown on national TV. A complete listing is given in Annex 16. In addition to these items many more public awareness activities have been carried out at the Aimag level by the Project facilitators. These have included TV reports and workshops.

5.5.4 Sustainability of the forests

While strong, empowered community institutions and supportive government institutions are critical for ensuring sustainability of the social/institutional processes, they need to be supplemented with appropriate technical approaches to ensure that the forests are managed sustainably. The Project has invested considerable resources in developing a range of technical tools and guidelines (including Simple Forest Management Plans, fire management and silvicultural guidelines) and in training FUG members and government staff in their application. The various tools and guidelines are listed in Table 6. The efficient application of these tools by empowered FUGs, supported by local Soum authorities, should ensure that the FUG forests are managed sustainably.

5.5.5 Sustaining livelihoods

Four of the five asset classes that are generally considered to constitute livelihoods have shown improvement as a result of the Project's implementation. While financial assets have only just begun to improve in 11 of the 16 pilot FUGs through the sale of firewood and NTFPs, it should be acknowledged that any improvement is remarkable given the short time in which the Project has operated and the significant obstacles that had to be overcome. However, the actual increase in financial assets to date is relatively small and not yet significant among herders whose main income is derived from livestock herding. There is little doubt that financial flows will increase during the coming years as the FUG management plans are implemented, but it will be 2014 before valuable commercial timber will be harvested. Physical assets (such as appropriate tools and equipment needed to manage forests) have not improved, and they may not need to. This will depend on whether FUGs decide to manage their forests directly or contract out operations and only maintain a supervisory oversight. Sustainability of the livelihood assets derived from forest management will depend on further evolution in the regulatory framework (as noted above) and continued Governmental support.

5.5.6 Stakeholder perceptions of sustainability

At the stakeholder workshop held during the evaluation, representatives of pilot FUGs, Government officials and the Project team identified several factors that need to be addressed to ensure the sustainability of Project results. While there are some overlaps between the different categories shown below, they are all retained to provide an accurate reflection of the results of the workshop:

Forest policy, law, regulations:

- Some conflicting regulations impede the smooth implementation of PFM. Need clarification and better coherence of existing laws and regulations. Continue on-going evolution of regulations to support PFM, in particular:
  - Support a free local wood market, by getting rid of the quota system and give the power to the Soum Governor to approve FUG management plans.
  - Develop a system to certify wood origin to open up market options for FUGs.
  - Provide opportunities for FUGs to sell timber.
  - Coordinate laws and regulations on forests and pasture.
  - Protected areas are still not covered by the Forest Law.
  - Establish a tax / fee-sharing system as an incentive for FUGs.

Financial issues:

- Potential financial difficulties for FUGs: need to increase market opportunities for forest products by improving the regulatory framework and to creating incentives for FUGs.
- Need to increase financial resources dedicated to PFM.
- Regulations are needed to support/increase value/price for forest products.
- Create incentives to reward FUGs for protecting the forests.

Public-awareness, training and continued support to PFM:

- In the past people expected saw log quality timber to be available for firewood. Current perceptions of the quality of timber that is suitable for firewood limit selling opportunities. Public awareness campaigns are needed to help change public attitudes about firewood standards and to accept lower standards than people have expected in the past.
- Soum and Aimag officials need to be trained on PFM and informed about laws and regulations.
- NGO capacities to understand and help implement PFM should improved and they should be involved in PFM.
- Conflicts arise between FUG and non FUG herders.

Capacity building, structure:

- Capacity to scale-up PFM should be ensured; a specialist on PFM in EPTA of Aimag would be good and rangers at Soum level should be trained in PFM implementation.
- Forest Units still to be established and have their capacities built to implement PFM.
- Encourage FUGs to train other FUGs.

5.5.7 Future financial and technical support for PFM

The Project has recognised that there will be a need for on-going support to FUGs, and to the fledgling organisational structures in the Government, for some time in order to consolidate the gains that have been made. The Project was able to mobilise TCP funds to prepare a Project Identification Form (PIF) for a follow up project using GEF funds to support national implementation of PFM in all seven forested Aimags in Mongolia and to test participatory wildlife management. However, this is not likely to be operational before 2013. In the interim, The Project is developing another TCP proposal for funds to support the continuing development of the pilot FUGs as well as national scaling up of PFM and the development of a concept for participatory wildlife management. If successful, this will enable the retention of most of the Project facilitators and other key staff which will be essential to support the new, still fragile, institutions. If there is a substantial gap between the close of the present

Project and the commencement of the TCP project there is likely to be a loss of key staff and thus continuity. This could put in jeopardy some of the gains that have been made by the Project.

5.5.8 Summary of sustainability

Sustainability of the Project's results in integrating PFM as an accepted modality for forest management in Mongolia will be influenced by the following factors:

1. Re-structuring state-community relationships from central control to decentralised management involves challenging existing power structures and is inherently political. The fundamental change is from a forest-centred to people-centred approach. Problems can be expected in the future.
2. Building new institutions to manage the new relationships involves complex social processes and **takes time**—simply setting up new organisations is not sufficient.
3. All institutions whose formation has been facilitated by the Project's intervention (at national, Aimag, Soum and community levels) are new and are still relatively weak. Substantial support is needed to strengthen them, and this involves on-going extension and community development work.

Long term sustainability will depend on the Government, with support from donor funded Projects such as those implemented by GIZ and WWF, providing the financial and human resources needed to: (i) continue the evolution of the PFM concept by encouraging on-going dialogue between all implementing partners and other stakeholders, (ii) support field implementation by increasing the number and capacity of trained field officers, and (iii) continue to evolve the regulatory framework, using feedback from the field to make it more enabling for PFM. Clearly, the PFM Unit in the FA will be a key player in ensuring that these activities become part of its core functions.

In summary, it is evident that PFM has been accepted as a major new modality for forest management in Mongolia, and there is no going back. However, there is a danger of stagnation and even reversal unless pressure is maintained by the Government and others to continue the evolution of the whole process. In this regard, political will and the role of the PFM champions who have emerged during the last few years will be critical in maintaining the momentum.

5.6 Impact

5.6.1 Progress towards achieving development objective

The **development objective** of the Project is "*the maintenance and improvement of the existing forest cover of Mongolia in order to ensure the sustainable livelihoods of the rural population*". The extent to which the Project has contributed to the achievement of the longer term development objective is more difficult to assess, although there are strong signs that the trends are in a positive direction, as shown in the following table.

As with the immediate objective, the Project Document does not contain indicators against which to judge the contribution the Project has made towards achieving the longer term development objective. The following indicators can be inferred.

- Forests under the control of FUGs sustainably managed, with illegal logging and forest fires substantially reduced.
- Improved livelihood of FUG members through increase of human, natural, social, financial and physical assets.

It is still too early to judge whether the forest cover across the country can be sustained and improved by the forest management afforded by FUGs. The pilot FUGs have only had effective control of their forests since about 2009-2010. However, there is already anecdotal evidence (supported by some factual evidence) of substantial reduction in the incidence of illegal logging and destructive wild fires, the two most potent factors that contribute to forest degradation (see Box 6 and Table 10). FUG members themselves believe that their forests have improved under their management.

Box 6. Example of reduction in illegal logging since the establishment of FUGs

The Chairman of Dundat-Urguu FUG in Bugat Soum, Bulgan Aimag recounted that before the establishment of the FUG there had been about 400 trucks collecting firewood illegally from their forest during one autumn season—there were no controls. Now that they have effective control over the forest, there is no illegal logging. This control over their territory is the major benefit they see from their involvement in PFM.

Table 10. Reduction of forest fires in Darkhan Aimag since 2007

Year	Number of forest fires	Area covered by forest fires (ha)
2007	2	14,317
2008	2	2,020
2009	0	0
2010	0	0

Similar patterns of reduced illegal logging and forest fires following the establishment of FUGs in the pilot sites were reported by FUG members and government officials in the other Aimags where the Project has worked.

Four of the key asset classes that contribute to livelihoods (DFID 1999) have been enhanced by the Project's activities. (i) **Human assets** have been improved by building the capacity of FUG members to develop and implement management plans. (ii) **Natural assets** have improved by the reduction of fires and illegal logging in FUG forests. (iii) **Social assets** have improved by empowering FUGs to operate as strong institutions with enhanced collective decision making ability and able to negotiate effectively with local government officials and outsiders who want to harvest products from FUG forests. (iv) **Financial assets** have increased from the sale of firewood and other products. Simple Forest Management Plans have only been operating since August 2010 and harvesting of firewood and NTFPs only commenced in mid-late 2011. To date, in excess of $US 15,400 has been earned by 11 FUGs from the sale of firewood, and this is expected to increase substantially in the years ahead. Under the terms of the PFM process harvesting trees for commercial purposes is only permitted during the third phase, i.e. from about 2014. After this time, assuming continuing positive performance, significant income can be generated by FUGs that can be used to improve the livelihood of their members. (v) **Physical assets** (tools, equipment, etc.) have not been improved, but may need to be given attention as forest harvesting expands. This will depend on whether FUGs decide to become directly involved in active forest management or to contract out harvesting and retain a supervisory oversight.

5.6.2 Stakeholder perceptions of impact

During the stakeholder workshop in Darkhan with representatives from all pilot FUGs, Government officials and the Project facilitators (see details in Annex 4), the following were identified as the project's key results:

Redefinition of FUG status and opportunities:
- FUGs have ownership of the forest, a recognized responsibility to clean forests and to give permission to outsiders to enter the forest.
- FUG income options have increased.

Interactions between FUGs and the state have changed:
- FUG skills and status are better recognized; Government officials have begun consulting with and supporting FUGs while FUGs seek their advice and share information with them, leading to increased mutual trust and easier and more efficient work.
- Mentalities have changed: FUG members are working together within the community and becoming more active and empowered and have gained more confidence.

Knowledge has increased:
- About relevant law, regulations and professional forest management practices.
- Public awareness about the new regulatory setting enabling PFM has increased.

Natural resources preserved:
- Forests have rehabilitated resulting in rivers and pasture conditions improving.
- Illegal logging and forest fires have decreased dramatically.

5.6.3 Contribution of Project to human rights approach endorsed by FAO

FAO has not endorsed an explicit human rights approach, but supports the internationally accepted human rights agenda. Human rights are frequently cited as a rationale for demanding action to change national regulatory frameworks as well as for more fundamental societal changes.

Sikor and Stahl (2011) argue that forest rights differ from more widely applied rights-based approaches in international development. They point out that the contemporary forest rights agenda brings together three distinct threads: (i) calls for redistribution of forest tenure, (ii) indigenous peoples' rights of self-determination, and (iii) basic human rights. Sikor and Stahl also note that: *"forest rights activists attend to people's individual rights as well as peoples' collective rights."* (p. 2).

The work of the Project has contributed to the redistribution of forest tenure by facilitating changes to the regulatory regime to recognise the rights of FUGs to access and use forests in their vicinity. The Project has also improved peoples' collective rights by facilitating the establishment of empowered FUGs. Contributions have also been made to the basic human rights of FUG members by giving them the skills to market forest products from which they can enhance their livelihoods.

5.6.4 Contribution of Project to FAO's strategic objectives, core functions and organisational results

The project contributes to FAO's Strategic Objective E: "Sustainable management of forests and trees" and more specifically, some of the specific Operational Results (ORs) included in SOE are addressed through this project, namely: (i) OR 3 on strengthening of forest institutions; (ii) OR 4 on promoting sustainable forest management; (iii) OR 5 on supporting the social and economic values and livelihood benefits of forests and (iv) OR 6 covering the realization of forests' environmental values [1]. It is also consistent with FAO's intended core functions, as presented in its Strategic Framework for 2010-2019, in particular those referring to policy, standards and norms setting, providing direct assistance to member countries and to coordinating and partnering.

5.6.5 Summary of the Project's impact

Overall, **the Project has made a significant contribution to achieving its long term development objective as well as to human rights and FAO's strategic objectives.**

6 Conclusions and Recommendations

6.1 Conclusions

6.1.1 Overall impressions of evaluation team

Towards the end of the mission the evaluation team reflected on their overall impressions of the Project and its operations within the Mongolian context. The key points from those reflections are shown in the following Box.

Box 7. Summary of impressions of the evaluation team on the Project's achievements

1. It is widely accepted in Mongolia that when the forest has an "owner", negative effects (such as illegal logging, fires, hunting) are almost completely stopped. The PFM concept operationalises this basic tenet that, in part, distinguishes open access from common property resources.
2. The Project turned the intent stated in the 2007 Forest Law of legitimising the transfer of management rights to local communities into a practical reality by conceptualising the PFM concept and piloting the concept in a small number of FUGs.
3. The Project has demonstrated a high level of achievement—it is an overall success that has been

[1] OR3: Institutions governing forests are strengthened and decision-making improved, including involvement of forest stakeholders in the development of forest policies and legislation, thereby enhancing an enabling environment for investment in forestry and forest industries. Forestry is better integrated into national development plans and processes, considering interfaces between forests and other land uses
OR4: Sustainable management of forests and trees is more broadly adopted, leading to reductions in deforestation and forest degradation and increased contributions of forests and trees to improve livelihoods and mitigate climate change.
OR5: Social and economic values and livelihood benefits of forests and trees are enhanced, and markets for forest products and services contribute to making forestry a more economically viable land-use option.
OR6: Environmental values of forests and forestry are better realized; strategies for conserving forest biodiversity, adapting to climate change, rehabilitating degraded lands, and managing water and wildlife resources are effectively implemented.

due in part to good design, a well managed approach and an ability to respond to opportunities and challenges as they arose.

4. The Project has used the influence it gained from a multitude of activities to facilitate major changes to the regulatory framework to make it more enabling for PFM. Among the factors that have contributed to the Project gaining influence are:
   - Feedback from the pilot FUGs;
   - Regular interaction between Project facilitators and Soum and Aimag authorities;
   - Regular interaction between the Project team and national authorities;
   - Recognised expertise of the CTA and Project Coordinator.
5. There are encouraging signs that PFM has developed a "life of its own" and that progress will continue through initiatives of national and other stakeholders, independent of the Project. For example: (i) the Project's perceived success has already contributed to the initiation of many hundreds of additional FUGs across the country, (ii) re-structured relationships between FUGs and Soum authorities have stimulated new and innovative approaches to resolving emerging problems, and (iii) FUG associations have emerged in two Aimags through independent initiatives from FUGs themselves.
6. The PFM process is still at an early stage of implementation and is not firmly embedded in the Mongolian institutional setting. Results must be considered fragile at this stage. There are several risks that are likely to endanger long term sustainability:
   - Expanding FUG formation rapidly and focusing on the rapid development of management plans is likely to be at the expense of building strong and empowered FUG institutions. Management plans without strong institutions (FUGs) to implement them will probably fail.
   - Loss of momentum from the Project closing could lead to stagnation or decline in the evolution of the PFM process at all levels.
   - Reduced budget for PFM activities when the Project closes could constrain effective PFM implementation, particularly if sufficient resources are unavailable from Government sources to devote to community development activities needed to build strong and empowered FUGs.

6.1.2 General conclusions

It was mentioned in an earlier section of this report that the design and implementation of the Project was predicated on the belief that fundamental re-structuring of state-community relationships will lead to sustainable forest management and the enhancement of local livelihoods. Key aspects of the re-structuring facilitated by the Project focused on (i) changing the role of the state from centralised control to decentralised and participatory governance and (ii) strengthening the rights and abilities of local user groups to regulate access to, and use of, forests in their vicinity. These are not simple technical changes but represent fundamental changes to power relationships pertaining to the management of valuable natural resources. Because the resources are valuable such changes are highly contested and strong political commitment is needed to ensure that the changes can be sustained and the benefits coming from forest management are equitably distributed.

A final conclusion of this evaluation is that the Project has been an outstanding success. It has fully achieved its immediate objective and contributed significantly to the achievement of its long term development objective. This is particularly noteworthy in view of the relatively short period during which the Project has operated and the fundamental nature of the changes to institutional culture and practices it had to facilitate. In spite of these obvious successes, the "PFM modality" in Mongolia must be considered fragile, as the new institutional arrangements are in their infancy, and they have yet to be fully tested. So, while the early signs are promising, only time will tell if the progress achieved by the Project can be sustained. This good progress can be attributed to several factors.

- The Project addressed a real need in Mongolia.
- There was good support at all levels in Government and among the targeted rural populations.
- The Project design was appropriate to the political, economic and social situation in the country.
- The implementation of the Project was efficient and effective.

It is evident that PFM is becoming a major, if not the major, form of active forest management in Mongolia, with demand for support increasing rapidly from both herder communities and government officials at Aimag and Soum levels. It clearly requires a comparable policy response from central Government to give a high priority to the strategic allocation of adequate resources (manpower and budget) to manage a national PFM programme.

6.1.3 Summary of Project's achievements

Some of the conclusions reached during the MTR in August 2010 are relevant 15 months later and, with some modifications, are repeated here. During the past five years (of which only four have been effective) the Project has systematically identified, tested and put in place most of the key building blocks needed to conceptualise and operationalise PFM in Mongolia's unique context, so that is can become a national programme. These building blocks include:

- An enabling regulatory framework for PFM;
- Field modalities to develop fully functioning FUGs;
- Organisational arrangements for the Forestry Agency to oversee and manage a national PFM programme;
- Organisational arrangements at the Aimag and Soum levels to facilitate the establishment and empowerment of FUGs to manage forests sustainably;
- Capacity at all levels to plan for and implement PFM;
- A Government endorsed approach (distilled into a PFM Implementation Manual) for all stakeholders to plan for and implement a national PFM programme;
- A monitoring and evaluation system for PFM nationwide.

Collectively, these building blocks have led to the attainment of the Project's Immediate Objective and have contributed to the attainment of the Development Objective. This is a significant achievement, particularly given the non-enabling nature of the regulatory framework that prevailed at the start of the Project and the fundamental shift that has taken place from centralised state control over forests to decentralised FUG governance of local forests in the pilot areas.

6.1.4 FAO's role as implementing agency

Support for field projects is an opportunity for FAO to disseminate the knowledge produced by the Organization, and conversely to test and refine it based on the feedback received from field experiences. This project offers a good example of how normative and field work can mutually support each other, as they have within the Project ambit. On the one hand the normative work developed by the Project (or by FAO more widely) was directly used by the project's addressees in the field, as a basis for building their capacity and empowering them.

In turn the Project's presence at the FUG and Soum levels generated experience that provided a basis to adjust the approach initially developed, and was documented for future learning.

The efforts made by the team to document its approach (following a recommendation in that direction in the MTR) to allow for future projects to be able to benefit from the positive experience of this one, should be noted as a positive additional accomplishment. Taking "normative work" in a more narrowly "legalistic" sense, the Project has also effectively developed an iterative and mutually supportive approach which has proved to be instrumental to its general success. The Project encouraged national level regulatory developments related to the forest sector, which became enabling factors for field level empowerment to take place. The Project's presence at field level to support institutional and social change in turn provided a basis for advocating for adjustments to the regulatory framework to make it more enabling.

Conversely, there seems to have been a lost opportunity in using Mongolia's experience with respect to forest policy development to feed into the corporate knowledge in this area of work: a proposal by the Project team to present their experience as a case study to integrate in FAO's document on developing forestry policy (FAO, 2010) was left unaddressed. Amongst the large number of publications and reports produced by the project, the PFM implementation guidelines and the forest fire management guidelines were translated into English and could also be used to feed into the organization's normative work. There is no evidence that this has been done.

6.2 Recommendations

For the Government
For the PFM Unit in the FA

1. Continue to support the strengthening and evolution of the PFM concept at all levels, in particular:
- Continue the approach developed by the Project to advocate at all levels for the widespread acceptance of PFM as a major modality of forest management in Mongolia.
- Ensure that focused participatory community development takes place at the FUG formation stage to develop strong and empowered institutions.
- Scale up the approach developed with the pilot FUGs,
- In scaling up, ensure that it is done in a step-wise fashion with a limited number of additional FUGs receiving participatory community development to build their capacity to function as effective institutions before further expansion.
- Encourage the expansion of emerging innovative approaches that contribute to the more effective functioning of PFM such as: (i) building on FUG to FUG exchanges to share knowledge and experience, and (ii) development of FUG associations.
- Ensure that FUGs can derive significant economic benefit from their forest management as soon as possible.

For wider Government

2. Ensure that PFM is embedded into the National Forest Policy as a major form of forest management in Mongolia.
3. Provide adequate financial and technical resources to:

- The PFM unit in the FA to ensure that it can effectively plan for and oversee all aspects of national implementation of PFM, including capacity building, technical oversight, monitoring, evaluation and reporting.
- The Forest Units in the Aimags and Soums to ensure that they can effectively respond to the mounting demand from herder communities to implement PFM.

4. Continue the process of evolving the regulatory framework to make it more **enabling** for PFM so that FUGs can become effective forest managers and derive significant economic benefits from forest utilization as they implement their management plans. Among the possible items to be considered are:

- Incorporate a requirement into the regulatory framework for a percentage (perhaps 20%) of the permit fee paid by individuals and entities from outside the FUGs to harvest forest products to be transferred into the mutual fund of the FUG from whose forest the harvesting will take place.
- Address distortions in the wood market that restrict the operating of a free and open market and reduce the potential income for FUGs to profit from the sale of forest product.
- Address limitations that prevent FUGs from selling firewood in adjacent Aimags.
- Harmonise overlapping, conflicting and confusing regulations and laws that inhibit the effective functioning of FUGs, such as the ambiguities that still exist regarding the requirement for professional organisations to be the only entities which can legally develop FUG management plans.
- A regulation to require Soum authorities to support FUGs.

5. Seek innovative ways of retaining the existing Project field facilitators to support national scaling up of PFM in order to utilise their considerable knowledge and skills in implementing PFM. Options could include employing them in the PFM unit in the FA.

For the Project

6. Prepare and implement an explicit exit strategy as soon as possible (by mid December at the latest) to ensure a smooth transition from the Project to the Government (particularly the PFM unit) at the end of January 2011. The exit strategy should include the following specific recommendation.
7. Prepare recommendations for the Government aimed at identifying the regulatory and other issues that need to be addressed in the short, medium and long term to maintain the momentum in implementing PFM that has built up during recent years as a result of the Project operations.
8. Collect and collate all important publications and reports prepared by the Project and ensure that they are deposited in appropriate libraries in Mongolia and also in relevant FAO offices to inform a wide range of interested individuals and groups.
9. Explore options for retaining the Project facilitators to support national implementation of PFM, such as their employment in the PFM unit or their engagement with partner organisations.
10. Conduct an "end of Project" workshop with all stakeholders to highlight the achievement of the Project during the past five years. Soum governors of pilot FUGs should be invited to ensure that they are aware of the new role of the PFM unit in the FA in taking on the mandate previously carried by the Project.

For FAO

11. Speed up the internal FAO process to approve the TCP proposal to maintain essential support for PFM and to continue piloting the implementation of the PFM process through

the Foundation Phase and in to the Implementation Phase to maximise learning and feedback.

12. Document and publicise the experiences of the Project in implementing PFM in Mongolia to ensure the lessons learned are widely shared.

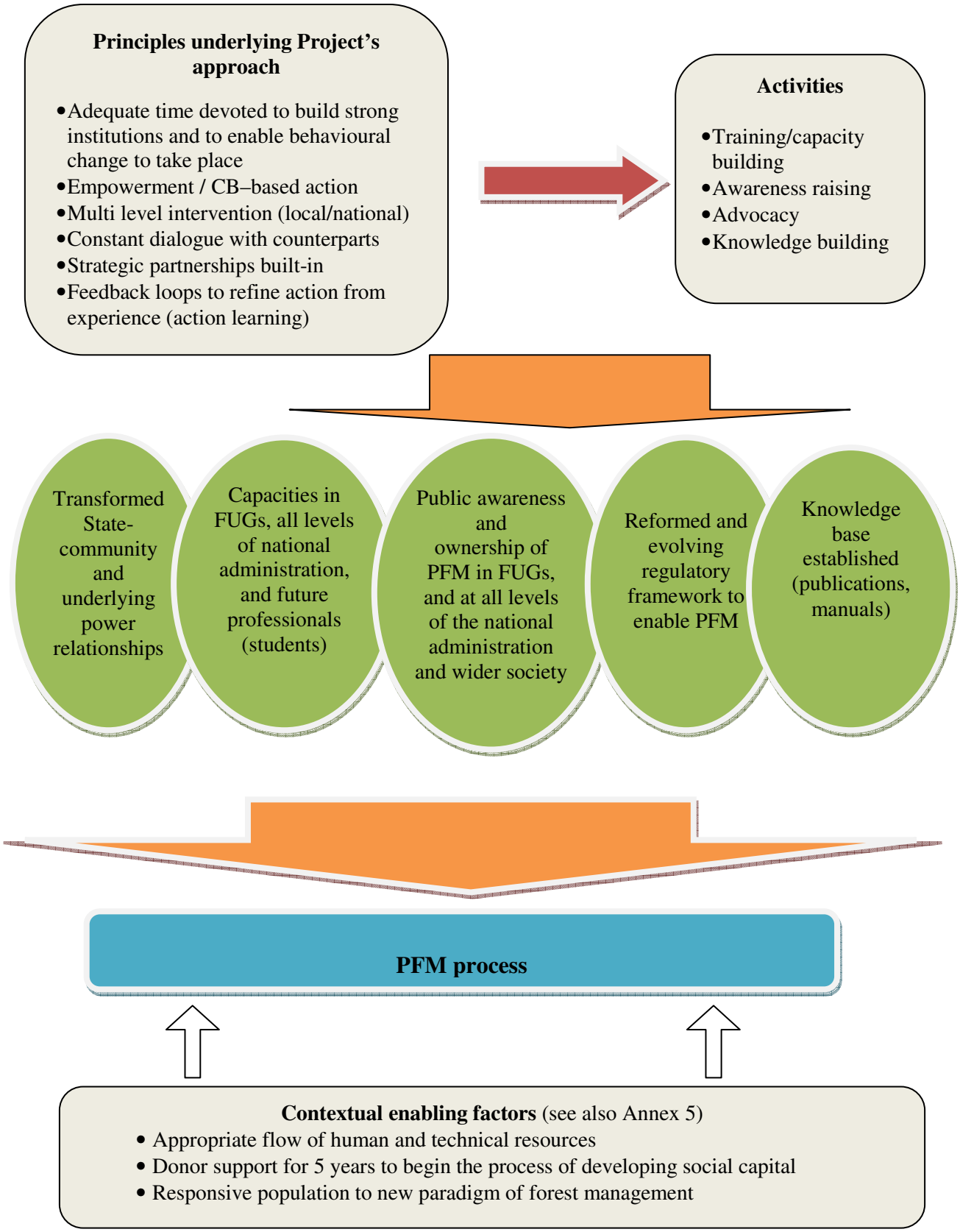
7 Lessons Learned

The discussion in the previous sections leads to the conclusion that the Project has been an outstanding success, but it is useful to pose the question: why is this so? The answer lies in an analysis not just of the realism and relevance of the Project design and the effectiveness of its implementation (as discussed above), but with other less easily quantified factors. Many of these factors are of relevance to development initiatives outside Mongolia so could be of wide interest. The following points summarise the essential characteristics of the approach adopted by the Project that have contributed to its success (as perceived by the evaluation team and key Project staff during a workshop—see Annex 5 for details):

- The Project was **closely aligned with national priorities.**
- The Project built on an in-depth **knowledge of the country's context and development trajectory** developed during the previous TCP.
- A major focus of activities was on **capacity building** of key implementing **partners** (government, FUG members, Universities, etc.).
- A flexible, iterative approach was adopted with implementation (particularly in the pilot sites) rather than using a blanket blueprint—the Project **adopted an explicit action-learning *modus operandi*** with the pilot FUGs being used as learning sites.
- The Project adopted an explicit **focus on both local and national levels** and developed good linkages between the two to enhance feedback loops to inform policy and capacity building needs.
- There was a strong institutional **connection between the Project and the FA, the EPTAs and Soum governments** (Project offices were embedded within the FA in UB and in the Aimag EPTAs).
- The Project was an **active participant in policy dialogue** which was informed by field practice and was able to **influence** change.
- The Project was well connected to **technical and administrative support from FAO's global networks** (for capacity building, conflict management, MA&D, etc.).
- There was **strong donor and government support** for the Project.

In essence, the Project was able to **learn** about PFM implementation by **direct engagement** in the process, and use that learning to **leverage** changes in implementation policy and practice. The following figure conceptualises the key elements that have contributed to the Project's success.

Figure 2. Factors leading to success



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9 Annexes

Annex 1. Terms of Reference for evaluation

Annex 2. Schedule of activities and people met during evaluation

Annex 3. Questions to guide evaluation

Annex 4. Agenda and results of stakeholder workshop

Annex 5. Agenda and results of staff workshop

Annex 6. Presentation at final de-brief

Annex 7. LFA and progress to October 2011

Annex 8. PFM concept

Annex 9. Strategic partnerships

Annex 10. Technical backstopping, consultancies and reports

Annex 11. Project timeline

Annex 12. Income generated by FUGs

Annex 13. Changes to regulatory framework for PFM

Annex 14. Project supported research

Annex 15. Capacity building activities

Annex 16. Awareness raising products

Annex 1. Terms of Reference for evaluation

Joint Evaluation Mission by
FAO and Host Government of Mongolia

1. Background

The Project is a bilateral project between the Netherlands and Mongolian Governments. It is implemented by FAO over a five year period (13 February 2007 to 31 January 2012) with a budget of USD 4,686,686.

The problem to be addressed by the Project is to stop and reverse the ongoing degradation of the forests of Mongolia and to contribute to poverty alleviation through the development of a model for local level forest ecosystem management at s*oum* level which can be replicated to other sites in the forested *aimags* of Mongolia.

The **development objective** of the Project is "*the maintenance and improvement of the existing forest cover of Mongolia in order to ensure the sustainable livelihoods of the rural population*".

The **immediate objective** is "*the implementation and integration of participatory forestry in rural development in pilot areas through capacity building of the main stakeholders and through the development of enabling institutional frameworks at local, regional and national levels*".

The Project was designed to deliver five major Outputs that collectively should lead to the achievement of the immediate objective and contribute towards the development objective:

Output 1:	Functional local organizations/entities (Nukhurlul) for forest management established in pilot sites.
Output 2:	Adapted management planning for local sustainable forest use, reforestation and conservation.
Output 3:	Adequate legislation and regulations for local level forest resources use, reforestation and conservation.
Output 4:	Adequate institutional framework at national level for local forest resources use and conservation.
Output 5:	Improved knowledge on integrated and sustainable natural resources utilization and conservation.

At the end of the project, it is expected that a system of local level forest-based natural resources management and administration will have been tested in four different aimags and in at least one soum in each aimag and that field activities in the selected soums will demonstrate:

a) what type of local organizations are best functioning for forest management;
b) the results of sound practices in forest-based natural resources management: e.g. forest management planning, sustainable harvest and marketing of forest products;
c) what local government institutions, laws and regulations are required to create an enabling framework for participatory forestry
d) the management of soum forest resources by soum authorities and its impact on poverty alleviation.

A Project Mid-Term Review (MTR) has been carried out from August 11th to 28th, 2010. The MTR concluded "that overall progress has been very good, in fact much better than one might expect in such a short period of time. This good progress can be attributed to several factors.

- The Project is addressing a real need in Mongolia;
- There is good support at all levels in government and among the targeted rural populations.
- The Project design has been appropriate to the political, economic and social situation in the country.
- The implementation of the Project has been efficient and effective.

The MTR acknowledged that PFM is becoming a major, if not the major, form of active forest management in Mongolia, with demand for support increasing rapidly from both herder communities and government officials at aimag and soum levels.

An important conclusion from the MTR is that the approach taken by the Project is in accordance with global best practice and is achieving results that, subject to two caveats that need to be addressed by the Government and the project, are likely to lead to the achievement of the Project's objectives. These two caveats are:

1. There needs to be a continuing evolution of the regulatory framework to make it much less enforcing and more enabling for PFM so that FUGs can derive significant economic benefits from forest utilization, and
2. An institutional "home" needs to be established in the Forestry Agency, staffed by sufficient people and supported by an adequate budget to take on the mandate to manage the PFM process and oversee its expansion to become a national programme."

2. Purpose of the Evaluation

The project document foresees that the project will normally be jointly evaluated, prior to its completion, by representatives nominated by the Recipient and Donor Government/agencies, and by FAO. In agreement with the Donor and the Forestry Agency, it has been agreed that the Joint Evaluation will be carried out from November 28th to December 9th, 2011. However the Donor has indicated that it will not send a representative to be part of the Joint Evaluation Team.

The evaluation will follow-up on the MTR and is intended, as the project draws to a close, to provide recommendations to the Government, FAO and the donor on the further steps necessary to consolidate progress and ensure achievement of objectives.

The evaluation will also benefit from an assessment of the effectiveness of forest user groups as a social basis for collective decision making that will slightly overlap with the mission.

3. Scope of the Evaluation

The mission will assess the:

a) The relevance of the project to development priorities and needs in Mongolia, including more specifically:

- The continued relevance[1] of the project to development priorities and needs, in view of the possible evolution of the situation in the forestry sector since the project started, and capacity of FAO to adapt to changing needs if relevant;
- The extent to which the project took into account and synergized with other interventions carried out in the forestry sector by other stakeholders';
- Whether the comparative advantage of FAO in implementing this project, which tackles a complex and multi-rooted problem, has been valued upon project design and the extent;
- The Extent to which the Aimag and Soum targeted by the project were appropriate in view of their representativeness, thereby warranting potential for replication in other Aimags (provinces).

b) The general realism and appropriateness of the project design, looking back on effective results and conditions of implementation as they occurred, including:

- realism and clarity in the specification of prior obligations and prerequisites (assumptions and risks) and of external institutional relationships, and in the managerial and institutional framework for implementation and the work plan (to the extent that these aspects were not covered by the MTR);
- the extent to which the strategy implied a reasonable level of expenses, compared to other possible approaches;
- the appropriateness of having a two-level (national and local) strategy.

c) Efficiency and adequacy of project implementation including:

- availability of funds as compared with budget for both the donor and national component, for the period not covered by the MTR;
- the quality and timeliness of input delivery by both FAO and the Government, taking into account partner and beneficiary assessments;
- managerial and work efficiency at the level of both FAO and the Government; implementation difficulties; performance of monitoring and reporting; the extent of national support and commitment and the quality and quantity of administrative and technical support by FAO, (for the period or aspects not already covered by the MTR);
- the extent to which FAO has collaborated with the other forestry stakeholders in Mongolia on this project, in view of possible opportunities for collaboration and what challenges may have been encountered to developing synergetic actions;
- the utility of the High Level Natural Resources Steering Committee in the pilot.

d) Project results, including:

- outputs produced to date (quantity and quality) as compared with the workplan;
- achievement of the project's immediate objective and how the overall result can be attributed to the project outputs;
- the effectiveness in reaching all of the targeted beneficiaries and differences in benefits received for each;
- specific achievements with respect to:
  - gender equality;
  - institutional strengthening at local and national level, while identifying strengths and weaknesses of the concerned institutions;
  - supporting enabling policies for participatory forest management;

[1] The relevance of the project to needs as per its design was already positively assessed by the previous evaluation, and thereby should not be the main focus of this exercise.

- supporting the development of a regulatory framework for participatory forest management, at local and national level and the commitment to implementation;
- capacity building and institutionalization of training on new participatory approaches, for each of the target institutions;
- piloting innovative approaches for participatory and sustainable forest management, with target groups (benefits, involvement, capacity) and their impact on natural resources;
- the application of action learning approaches to implementation (plan, act, observe and reflect) to update knowledge and inform future planning and action;
- building partnerships with international, bilateral, governmental and non-governmental organizations to enhance effectiveness;
- knowledge development in the field of participatory forest management through empirical research and studies.

e) **The contribution of the project to the intended development objective and its general long term impacts in the forestry sector in Mongolia**, including:

- the extent to which the elements identified at the outset of the project as necessary to reduce forest degradation and deforestation are now coming into place and if so to what extent the situation has changed since the project start;
- the contribution of the project to the human right based approach endorsed by FAO, to which this project is specifically relevant given its focus and target population.

f) **The prospects for sustaining the project's results** by the beneficiaries and the host institutions after the termination of the project. The mission should examine in particular:

- incorporation and acceptance of activities, new concepts, ideas and working practices initiated by the project in the target institutions in daily management and as part of planning and operation;
- pilot activities in forest management with target groups and scope and conditions for scaling-up sustainable forest management;
- the sustainability of the project approach and methods, goals and perceived added value by the target groups;
- the allocation of budgets by local and national governments to embed the project practices and results in the local and national policies;
- policies, legislation and long-term programmatic strategies for PFM;
- integration of PFM in academic and training institutions and in environmental education;
- public awareness.

Based on the above analysis the mission will draw specific conclusions and make proposals for any necessary further action by the Government of Mongolia, FAO, or donors to ensure sustainable development, including any need for additional assistance and activities of the project prior to its completion. The mission will draw attention to any lessons of general interest. Any proposal for further assistance should include precise specification of objectives and the major suggested outputs and inputs.

4. Evaluation methodology

The evaluation will aim to address the questions raised in section 3, by carrying out a rigorous assessment based on clear evidence and sound technical judgment. The team will use a mix of qualitative and quantitative methodologies to collect information of the basis of which questions can be answered. The following data collection methods may be used:

- Review of documents;

- Semi-structured interviews with key informants among all stakeholders of the project including: beneficiaries, partners at all levels, Government counterparts and FAO project management team, supported by checklists or interview guides;
- Observation during visits of projects in the field;
- Focused group Discussions with project beneficiaries;
- SWOT analysis.

The evaluation will adopt a consultative and transparent approach with internal and external stakeholders throughout the evaluation process. Triangulation of evidence and information gathered will underpin the validation of evidence collected and the eventual analysis which will in turn logically support conclusions and recommendations offered.

The assessment will be based on international evaluation norms and standards. The approach should be impartial, independent, and credible. It will seek to provide all project stakeholders with the opportunity to express their views freely and with the required degree of confidentiality.

5. Composition of the Evaluation team

The mission will comprise:

- Mr. Don Gimour, International Consultant, Team leader, FAO, with over 30 years worldwide experience in participatory forest management and extensive experience in project evaluation. The team leader will be responsible for organizing the overall evaluation work and for steering main decisions related to methodology, selection of locations or projects to visit in the field or people to be met.

- Mr. L. Dorjtseden, National Consultant, Forestry Specialist with over 30 years of experience in the Mongolian forestry sector, former Senior Forest Officer of the Ministry of Nature, Environment and Tourism. The team member will work under the direct supervision and directions of the team leader

- Ms. Aurélie Larmoyer, Evaluation Officer, FAO, also co-managing a strategic evaluation of FAO's work and role in forestry over the period 2006-2011 and who will therefore ensure that both exercises can feed into one another and enhance cross-learning. As evaluation manager, the OED officer will ensure the quality control over the evaluation process and assist the team leader in his methodological design prerogatives if needed. As team member, she will participate in collecting the data on areas of work assigned by the team leader.

Mission members should be independent and thus have no previous direct involvement with the project either with regard to its formulation, implementation or backstopping.

6. Role of other project stakeholders and consultations

The evaluation team will maintain close liaison throughout the process with representatives of the donor, FAO and concerned national counterparts, as well as with national and international project staff. Key project stakeholders will in particular be requested to comment on these TOR in a view to ensure that the evaluation is set to capture all necessary elements and on the draft report. Once the report is finalized, they will eventually be asked to provide a management response to each of the recommendation formulated, to be follow-up after one year.
Although the evaluation team should feel free to discuss with the authorities concerned anything relevant to its assignment, it is not authorized to make any commitments on behalf of the Government, the donor or FAO.

The project management team in Mongolia will be expected to facilitate and support the evaluation throughout the process and in particular during the in country mission, including with administrative and logistical organization.

7. Deliverables

The following documents will be produced as intermediary or final products of the evaluation:

- An end-of-mission debriefing presentation to FAO and non-FAO stakeholders as appropriate, detailing the key preliminary findings and recommendations of the evaluators. The date and venue of the presentation is to be arranged with FAO.
- A draft final report to be submitted first to OED for quality control and then to key project stakeholders for comments. The first draft should be submitted no later than 14 calendar days after return from the mission.
- A final Report not later than 14 calendar days after receiving project stakeholders' comments on the draft report.

FAO will ensure all relevant stakeholders are given the possibility to comment on the draft report and receive the report's final version. The independent consultants are fully responsible for their independent report which may not necessarily reflect the views of the project stakeholders. The report will be written in English and in conformity with the headings shown in Annex (Report outline). A canevas for the draft report will be completed in the country to the extent possible and the findings and recommendations will be fully discussed with all concerned parties in a or several team debriefing(s), whereby general consensus should be reached.

The report should follow international evaluation quality standards, as endorsed by the UNEG and OECD DAC. It will illustrate the evidence found that responds to the evaluation issues, questions and criteria listed in the ToR. Findings should rely on clearly sourced evidence and conclusions should logically flow from them, based on transparent judgment criteria and benchmarks. Recommendations should be in line with conclusions and clearly derive from the evidence presented in the findings, and seek to be useful and actionable by the project management. They should be addressed to the different stakeholders and prioritized. Supporting data and analysis should be annexed to the report when considered important to complement the main report. The mission leader bears responsibility for finalization of the report, with inputs of team members as per initial team agreement.

The final report should be submitted, electronically as well as printed and should include elements suggested in the model report outline (annex 1)

8. Timetable and Itinerary of the mission

The evaluation will include the following phases:

- Home based preparatory phase: team members will allocate 5 days to review all relevant documentation provided by the project team and office of evaluation, and prepare the necessary tools for the evaluation. The team leader will communicate with the maximum anticipation to the project management team in Mongolia regarding specific project locations the team should visit and people to be met for interviews.
- Country mission: The team will spend a maximum of 2 weeks in Mongolia to collect information from additional documents and from project stakeholders. The team will carry-out interviews with key informants in Ulaanbaatar as well as in field locations as selected in accordance with the team leader. A tentative schedule for the mission is

proposed below and more details regarding meetings and visits to field locations will be discussed amongst evaluators and the project management team at least one week before the mission.

- The country mission will end with a presentation of preliminary findings and recommendations to the project management and key stakeholders in Ulaanbaatar.
- Preparation of the draft report should be achieved with the next 2 weeks following the mission and sent to OED for quality control. Within 5 working days OED should return the report with comments to the team leader, who will adjust as deemed appropriate. The draft report will be sent to project stakeholders for their comments within a maximum of 20 days, and sent back to the team leader for finalization. It is the responsibility of the project management team to ensure country stakeholders are given the opportunity to comment on the report.
- The assignment is not envisaged to exceed 30 days

A tentative agenda for the mission is proposed below.

Day	Date	Location	Purpose	Activity
1	27/11 Sunday	Ulaanbaatar	▪ Arrival of Mission	
2	28/11 Monday	Ulaanbaatar	▪ Briefing of the Mission ▪ Finalization of agenda ▪ Project data collection: review of reports, achievements against planned activities, budget issues, etc. ▪ Meeting with Forestry Agency ▪ Meetings with partner organizations	FAO project team: CTA and NPC Courtesy call: Mrs Tungalag, Director FA Mr. Nyam Mr. Tugultur Dutch Embassy: Mr. Halbertsma
3	29/11 Tuesday	Ulaanbaatar	▪ Meeting with Assistant FAO-Rep ▪ Project data collection: review of reports, achievements against planned activities, budget issues, etc. ▪ Meeting with MNET	Ms. Oyundelger Mr. Batbold, MNET Mr. Batkhuu, NUM GIZ: Schmidt-Corsitto GIZ: Hesse
4	30/11 Wedn.	Ulaanbaatar Darkhan	▪ Travel to Darkhan ▪ Meeting with Project facilitator ▪ Meeting with Darkhan EPTA	
5	01/12 Thurs.	Darkhan Selenge Bulgan	▪ Travel to Altansumber FUG (Selenge aimag) ▪ Meeting with Soum authorities ▪ Travel to Bulgan	
6	02/12 Friday	Bulgan Darkhan	▪ Meeting with Bulgan EPTA ▪ Travel to Dundat-Urguu FUG ▪ Travel back to Darkhan	
7	03/12 Satur.	Darkhan	▪ Meeting, brainstorming workshop with representatives of all pilot FUGs (2 rep/FUG) and officials	
8	04/12 Sunday	Darkhan Ulaanbaatar	▪ Travel back to Ulaanbaatar ▪ Rest / team meeting	

9	05/12 Monday	Ulaanbaatar	▪ analysis of preliminary findings ▪ Meetings with partner organizations	WWF: Chimed-Ochir Eco-Asia: Adiyasuren
10	06/12 Tuesday	Ulaanbaatar	▪ Integration of preliminary findings into draft report ▪ Meetings with partner organizations	Minister/Vice Minister Mr. Banzrach, MNET UNDP
11	07/12 Wednes.	Ulaanbaatar	▪ Meeting with GEF focal point ▪ Meeting with Forestry Agency	Mr. Enkhbat, MNET
12	08/12 Thurs.	Ulaanbaatar	▪ Workshop: Mission presentation at MNET ▪ Dinner with MNET, FA	
13	09/12 Friday	Ulaanbaatar	▪ Mission integrate recommendations of previous day	
14	10/12 Satur.	Ulaanbaatar	▪ Departure of Mission	

Annex: Annotated Report Outline

The annotated outline is to be included as an annex to the evaluation Terms of Reference. An evaluation team can modify the structure, as long as the key contents are maintained in the report and the flow of information and analysis is coherent and clear.
The report should be presented with numbered chapters and paragraphs; on average, the length of a project/programme evaluation reports is 15-18,000 words, excluding executive summary and annexes.

Table of contents of the evaluation report

Acronyms		2
Executive Summary		2
1	Introduction	2
1.1	Background and purpose of the evaluation	2
1.2	Methodology of the evaluation	2
2	Context of the project/programme	2
3	Assessment of concept and relevance	3
3.1	Design	3
3.2	Relevance	3
4	Implementation	3
4.1	Budget and Expenditure	3
4.2	Project/programme Management	4
4.3	Technical Backstopping	4
4.4	Government support	4
5	Results and contribution to stated objectives	4
5.1	Outputs and outcomes	4
5.2	Gender issues	4
5.3	Capacity development	5
5.4	Sustainability: institutional, social, technical and economic	5
5.5	Impact	5
6	Conclusions and Recommendations	5
7	Lessons Learned	6
Annexes		7
Annex III – FAO Strategic Objectives, Organizational Results and Core Functions 2010-19		8

The above outline is extracted from OED standard guidance on project evaluation, which can be provided to the team together with the present TORs, for further information.

See also “Template for Terms of Reference: Evaluations of projects/programmes funded by voluntary contributions from resource partners”

Annex 2. Schedule of activities and people met during evaluation

Day	Date	Location	Purpose	Activity
1	27/11 Sunday	Ulaanbaatar	▪ Arrival of Mission O/N Ulaan Baator	
2	28/11 Mon.	Ulaanbaatar	▪ Briefing of the Mission ▪ Finalization of agenda (9:00-11:30) ▪ Project data collection: review of reports, achievements against planned activities, budget issues, etc. ▪ Meeting with Forestry Agency ▪ Meetings with partner organizations O/N Ulaan Baator	FAO project team: CTA and NPC Courtesy call: Mrs Tungalag, Director FA (13:00) Dutch Embassy: Mr. Halbertsma (14:30) GIZ: Schmidt-Corsitto (16:00) 17.30 PCC facilitators
3	29/11 Tues.	Ulaanbaatar	▪ Meetings with partner organizations ▪ Project data collection: review of reports, achievements against planned activities, budget issues, etc. ▪ Meeting with Assistant FAO-Rep ▪ Debriefing sociological survey of FUGs O/N Ulaan Baator	Mr. Batkhuu, NUM (9:00) Mr. Baer,GIZ/FAO (10:30) Mr. Steinsberger, GIZ/FAO (11:30) Debriefing R. Fisher, J. Foppes (15:00-18:00)
4	30/11 Wed.	Ulaanbaatar Darkhan	▪ Travel to Darkhan ▪ Meeting with Project facilitator ▪ Meeting with Darkhan EPTA O/N Ulaan Baator	
5	01/12 Thurs.	Darkhan Selenge Bulgan	▪ Travel to Altansumber FUG (Selenge aimag) ▪ Meeting with Soum authorities ▪ Travel to Erdenet O/N Erdenet	
6	02/12 Friday	Bulgan Darkhan	▪ Travel to Dundat-Urguu FUG ▪ Travel back to Darkhan ▪ Discussion with project team O/N Ulaan Baator	
7	03/12 Sat.	Darkhan	▪ Meeting, brainstorming workshop with representatives of all pilot FUGs (2 rep/FUG) and officials O/N Darkhan	
8	04/12 Sun.	Darkhan Ulaanbaatar	▪ Travel back to Ulaanbaatar ▪ Preliminary report writing O/N Ulaan Baator	
9	05/12 Mon.	Ulaanbaatar	▪ Analysis of preliminary findings ▪ Project team workshop: project's success + sustainability (10-12 am) ▪ Meetings with partner organizations	13.30 Enkhtaivan, PFM Unit Head 15.00 Eco-Asia Uni: Prof Adiyasuren 16.30 WWF: Chimed-Ochir and Ms

			O/N Ulaan Baator	Munkhchuluum
10	06/12 Tues.	Ulaanbaatar	▪ Evaluation team to prepare key findings and recommendations (am) ▪ Meetings with partner organizations (pm) O/N Ulaan Baator	
11	07/12 Wed.	Ulaanbaatar	▪ Meeting with GEF focal point ▪ Meeting with Forestry Agency, FAO and UNDP O/N Ulaan Baator	10.30 FAO Mongolia office-Ms Nyamjargal 12.00 Mr. Banzrach, MNET 15.30 Mr. A. Enkhbat, MNET 14.30 Mr T. Eriksson, UNDP Res. Rep. 16.00 Mrs Tungalag, Director FA
12	08/12 Thurs.	Ulaanbaatar	▪ Workshop: Mission presentation at MNET ▪ Lunch with MNET, FA ▪ Prepare draft report O/N Ulaan Baator	
13	09/12 Friday	Ulaanbaatar	▪ Continue with draft report and integrate recommendations of previous day O/N Ulaan Baator	11.30 Dorjtseden (History of forest management in Mongolia)
14	10/12 Sat.	Ulaanbaatar	▪ Departure of Mission O/N en route	

Annex 3. Questions to guide discussions during evaluation

Open ended general questions for PFM Project evaluation

1. What is the relevance of PFM / the Project to Mongolia's needs?
2. What are the major changes that have taken place in the forestry sector in Mongolia during the past five years?
3. What have been the major contributions that the Project has made to Mongolia's forestry sector?
4. Can the government continue to implement (and scale up) PFM in the absence of the technical and financial inputs from the Project?
5. In hindsight, what could have been done differently in terms of the design and implementation of the Project?
6. What aspects of the Project's implementation have posed more challenges than originally perceived?
7. What have been the major difficulties encountered during the Project's implementation during the past five years?
8. How useful and effective have the mechanisms for "steering" the Project been? [(i) The High Level Natural Resources Policy Steering Committee, and (ii) the Project Advisory Group at the national level?]
9. Can FUGs in the pilot areas continue to manage their forests in the absence of technical and financial support from the Project?
10. What do FUGs expect will be the major benefits to come from their involvement in PFM?
11. What are the main challenges to be met in the future with implementing and scaling up PFM?

Questions to guide discussions with specific groups

MNET/FA	Aimag—EPTA and EPTA forest units	Soum government and soum/inter-soum forest units	FUGs	Partners/collaborators
How does PFM fit into Mongolia's development context?	How does PFM fit into the current development context in the aimag?	How does PFM fit into the current development context in the soum?	How does PFM fit into the interests of the local herders?	What has been your interaction with the Project during the past few years?
What is the budget allocation to the different parts of the forest sector and PFM in particular?	Describe the interaction between the EPTA and the Project.	Describe the interaction between the soum and the Project.	Describe the MP process to date.	How does PFM fit into Mongolia's development context?
What institutional arrangements are in place or	How many FUGs are there in the aimag?	What mandate does the soum have to implement PFM and	What positive results have come from involvement in	What positive results have come from the Project's

planned to continue PFM after the conclusion of the Project?	How many directly supported by the Project? What are the differences between those receiving direct support and those with no Project support?	how is this carried out?	PFM?	work in promoting PFM? Are there synergies with management of other NRs?
What are the major constraints to expanding PFM (policy, legal, practical)?	What mandate does the EPTA have to implement PFM?	What positive results have come from involvement in PFM?	What negative results have come from involvement in PFM?	What negative results have come from the Project's work in promoting PFM?
How will training be carried out in the future to build the capacity of staff at all levels to implement PFM?	What are the institutional arrangements in the EPTA for implementing PFM and providing support to FUGs?	What negative results have come from involvement in PFM?	Has any income been generated from PFM activities? How distributed?	Has anything constrained initiatives in the management of other NRs?
What are the M&E arrangements for PFM at the national level?	What % of the EPTA budget goes to PFM?	What are the major constraints to expanding PFM (policy, legal, practical)?	What changes would you like to see in the future?	
How useful and effective have the mechanisms for "steering" the Project been, particularly (i) the High Level Natural Resources Policy Steering Committee, and (ii) the national level Project Advisory Group?	What are the major constraints to expanding PFM (policy, legal, practical)?	How do you see the future (in 5 years time) in terms of PFM in the soum?	How do you see the future (in 5 years time) in terms of your FM?	
	How do you see the future (in 5 years time) in terms of PFM in the aimag?	What are the M&E arrangements in the soum for PFM?	What type of records are kept by the FUG?	
	What are the M&E arrangements in the aimag for PFM?			

Annex 4. Stakeholder workshop-agenda and results

Stakeholder workshop
on
Participatory Forest Management in Mongolia

Saturday 3rd December 2011, Darkhan

AGENDA

Background

The PFM project has been supporting the Government of Mongolia since 2007 to implement the new forest law by piloting the implementation of participatory forestry in selected areas. The project is due to end at the end of January 2012, and this workshop is part of a final evaluation of the project. It is designed to elicit feedback from key stakeholders on the project's impact.

Workshop objectives

1. Obtain perspectives of FUG members, Government officials and Project facilitators of key changes that have taken place as a result of the implementation of PFM in the Project pilot sites.
2. Identify the legal and technical constraints that still constrain FUG members from managing their forests sustainably and obtaining benefits from them to improve their livelihoods.

Participants

Two representative of each of the 16 pilot FUGs (about 32)
Two Government officials from each project aimag (about 10)
Four Project facilitators

Workshop agenda

Time	Activity	Process
09.00-09.30	Opening and introductions	
09.30-10.30	All groups address the question: *(i) Identify the legal and technical changes that have taken place during the past five years in relation to the way in which people can access and use forests.*	Operate in four groups (two FUG, one government and one Project) Brainstorming using cards and sort into groups
10.30-11.00	Tea/coffee	
11.00-12.00	Report back from small groups to plenary	Report and discussions
12.00-13.30	Lunch	
13.30-14.30	All groups address the questions: *(i) How have herder's lives altered as a result of the changes?*	Operate in four groups (two FUG, one government and one Project)

	(ii) How have the forests altered as a result of the changes? *(iii) How have the relations between governmental officials and herders/FUGs altered?*	Brainstorming using cards and sort into groups Ask groups to collect stories illustrating "before and after"
14.30-15.00	Report back from small groups to plenary	Report and discussions
15.00-15.30	Tea/coffee	
15.30-16:00	Report back from small groups to plenary	Report and discussions
16.00-17.00	All groups address the topics: *(i) Identify the legal and technical constraints that still apply.* *(ii) Describe a future vision for forest management in Mongolia.*	Operate in four groups (two FUG, one government and one Project) Brainstorming using cards and sort into groups Prioritise (by voting) to rank legal and technical constraints
17.00-17.30	Report back from small groups to plenary	
17.30-18.00	Final plenary discussion and closing	

COLLATION OF WORKING GROUP RESULTS

Task 1: Identify the legal and technical changes that have taken place during the past five years in relation to the way in which people can access and use forests.

FUG from Khentii and Selenge

- Law has passed on thinning by FUG
- Community fund has established and FUG members are becoming active
- Illegal logging has decreased and in some area it has even stopped
- FUG status gives the opportunity to work together and to protect the forest
- The thinning has done professionally
- Different forest related trainings among the herders, gave the FUG members opportunity to scale their group work up
- Resolution 227: FUG can possess the forest by protecting, rehabilitation
- Nature and Environmental office at the local level gave responsibility to FUG to log and it creates the real ownership

FUG from Huvsgul and Bulgan

- By attending in different trainings and workshops, the herders got background knowledge about related law and regulation
- FUG got its status
- FUG start collaborating with Soum Government office and Forest Agency
- FUG do thinning and it decreased the illegal logging
- Contract between FUG and Government office or individual on usage of trees after thinning
- Individuals don't enter FUG forest without permission of FUG
- Thinning training was conducted by the Nature and Environmental office (aimag level?)
- As a result of cutting the tree growing has increased
- The natural forest rehabilitation has improved
- The herders mentality toward forest protection has improved

Government officials:

- In 2008 the Forest Agency has established
- The regulations in the Forest law has updated and FUG issues were mentioned
- FUG status has proved by the related law
- According to the law FUG can do Forest thinning
- "Clean forest" and Green working place" program has been implemented
- The Forest Law states that Forest Management Plan should be done by the professional organization
- However, PFM FUG s develop their Management plan by themselves

Project Facilitators

- Forest Law has been renewed
  - FUG status has got its attention to the law
  - New Forest Law clearly stated FUG and local government officials right and responsibility
- Other related regulations are issued
  - Government resolution 227 – individual: 2500 hectare
  - Approved to do thinning in the forest
  - Tree planting
- PFM system has approved
- Forest Policy has been developing (national level conferences and workshops about forest)

Other changes:

- Structure:
  - In 2008 Forest Agency established
  - PFM unit has established inside the Forest Agency
  - Aimag and Soum has it is own Forest Unit

Activities and program

- Clean Forest Programm
- Green Working place
- FUG are doing thinning under the Professional Organization's supervision
- More handout and handbooks for FUG and Government officials are developed
- Related human resource capacity has increased

Task 2 A. How have herder's lives altered as a result of the changes?

FUG from Khentii and Selenge

- Learn how to work together- improved team building skill
- More income opportunity out of forest
- Learned how to prevent and fight against forest fire
- Learned to protect the forest as own livestock

FUG from Huvsgul and Bulgan

- FUG reputation has recognized throughout Mongolia
- Household income has improved
- More FUG has been established
- Learned more about nature conservation activities
- Improved mentality on conservation
- Not only knowledge on law and regulation has increased also skills on developing business and management plan has improved
- Trained to produce products from forest

Government officials:

- Herders obtained skill and ability to work together
- Herders' public awareness about environment has improved
- Herders understanding and knowledge on Forest law has improved
- Economic opportunity has improved
- Nature conservation initiation has increased
- Migration to the big cities has decreased among FUG members

Project Facilitators

- Herders interest to work as a FUG has increased
- Herders are giving more time and energy to learn and protect the forest
- Herders public awareness on forest and PFM has increased
- FUG are able to organize activities in the frame of related law and regulation
- FUG are empowered
- Participation has improved among herders
- Learned working together to protect forest
- The ownership mentality has improved
- More income opportunity
- As income has increased the herders got active
- FUG model helps to develop more FUG s in neighboring soums
- Also the conflict has risen between FUG and non FUG herders

Task 2 B. How have the forests altered as a result of the changes?

FUG from Khentii and Selenge

- The forest got its ownership
- The Forest has cleansed in some degree
- Illegal logging has reduced dramatically
- Forest fire has decreased
- Rivers and creeks are protected
- The volume of water level has increased
- Ecological condition of Wildlife has improved
- Forest rehabilitation has increased

FUG from Huvsgul and Bulgan

- Illegal logging has stopped
- Good pest control
- Waste management has increased
- Water volume has increased
- Pasture degradation has decreased
- Clean and healthy environment condition has set up

Government officials:

- Illegal logging and hunting has reduced in the forest
- The number of Forest Fire has decreased
- Forest ownership mentality has improved
- Forest rehabilitation is going naturally
- New Forest policy and management has been enforced

Project Facilitators

- The forest got its ownership
- The forest has been protected(cleaning+reduction of illegal logging etc)

- The forest rehabilitation is going on naturally
- The rivers and creeks volume of water has increased
- The quality of forest has improved due to pest control in the forest
-

Task 2 C. How have the relations between governmental officials and herders/FUGs altered?

FUG from Khentii and Selenge

- Government officials start consulting with FUG
- Local Government support FUG interventions
- The herders got active to support Government

FUG from Huvsgul and Bulgan

- Learned work together with Government officials: making contract, developing incentive system
- Government officials support FUG interventions
- FUG report their activities to local Government
- Rangers working environment has increased due to FUG interventions
- FUG s work together

Government officials:

- In the past, the government officials had to deal with individual herders, however, currently they are working with group of herders, which makes their work easier and more efficient
- Forest Association has been established in different soum
- FUG members reputation has been increased among government officials
- FUG members became supporter to government officials
- More FUGs are coming up as a result of Model FUG through PFM

Project Facilitators

- The state trust its citizens
- Government officials and the herders start work hand in hand
- Herders participation has increased
- Herders got skill and ability and freedom to raise their voice
- Bottom-up approach has been developed in every level
- Herders have more confidence to trust the Government
- The government support to the herders: technical and training
- The FUG develop contract with Government: preparing log and wood

Task 3 A. Identify the legal and technical constraints that still apply (with numbers indicating weighting).

FUG from Khentii and Selenge

- Limited Market opportunity for FUG (10)
- Limitation to enter for FUG Forest in Protected area (law has to be changed) (5)
- No policy to create sustainable fund for FUG (2)
- FUG can also have rights and responsibility on pastureland (1)
- No incentive system for FUG

FUG from Huvsgul and Bulgan

- Financial difficulties for FUG (4)
- Forest near aimag and soum center has depleted a lot (2)
- Waste wood after legal logging: upper and lower part of tree can be used by FUG
- Conflict between FUG and non FUG herders

Government officials:

- Limited Financial opportunity (5)
- Firewood standard needs to be revised (4)
- Incentive system does not work on the ground (4)
- The article 227 and Civil Law about FUG has conflict (3)
- To do thinning in the forest FUG has to be professional organization (2)
- Forest Management Plan and PFM model has conflict (2)

Project Facilitators

- Limited market opportunity for the herders (products from the forest) (5)
- Financial difficulties in all level (4)
- Incentive system does not work (4)
- According to the law, the thinning should be done by the professional (1) organization and it creates difficulties and it does not suit on the ground
- FUG are not able to prepare logging
- FUG are lack of professional human resource
- The standard on firewood: the firewood out of thinning has it is cost and it creates confusion and additional payment from the herders (1)

Task 3 B. ***Describe a future vision for forest management in Mongolia***

FUGs from Khentii and Selenge

- Healthy forest environment
- FUG will have site to nurture forest
- Wildlife has reintroduced in some part
- Forest productivity will be increased
- Forest fund will be widened

FUGs from Huvsgul and Bulgan

- Every single law will be under FUG protection
- Natural Forest rehabilitation
- Increased wildlife
- Migration of herders to other areas will be stopped
- Non-timber products will be increased
- Clean and healthy forest

Government officials:

- FUG will be empowered
- REDD programme
- FUG will have private ownership right of the forest
- Forest condition will be improved and more income generation activities
- Coherence (correlation) between the law and regulations will be improved

Project Facilitators

- To have good and appropriate and suitable forest policy
- All forest will have its ownership
- The law enforcement will be improved
- To develop integrated training system in all level
- To develop new incentive system

Annex 5. Staff workshop-agenda and results

Project staff workshop
on
Participatory Forest Management in Mongolia

Monday 5th December 2011, Ulaan Baator

AGENDA

Objectives

Take the opportunity of the final evaluation to have a focused and strategic discussion with key Project staff to obtain their perspectives on the following questions:

1. What are the key issues that need to be addressed to ensure the long term sustainability of the Project's results and lead to national uptake of PFM?

2. What is it that has led to the Project having achieved a reasonable level of success?

Participants

Key Project staff: CTA, Project Coordinator, Project facilitators and GIZ experts.

Process

- Use cards to collect individual ideas
- Sort cards into groups and define key issues
- Group discussion to refine and/or clarify issues key issues
- Prioritise key issues

Output

For Question 1, aim to compile a short list of key issues, perhaps in two categories--(i) those that are already in hand, and (ii) those that are likely to be outstanding when the Project closes.

For Question 2, compile a short list of, say, 6-10 points that might summarise the lessons learned from the Project’s approach and that might have wider relevance.

COLLATION OF WORKING GROUP RESULTS

Task 1. What are the key issues that need to be addressed to ensure the long term sustainability of the Project's results and lead to national uptake of PFM?

1.Forest policy, law, regulations

Outstanding	In hand

- Low value/price for forest products	Local wood market
-Tax, fee incentives for FUGs	Support FUG on basis of political interest (party member)
-Give right to Soum governor for approval of FUG's MP after being reviewed by head of soum or aimag's forest unit	Amendments in some law, such as allowing FUG to function in Special Protected Area
-To improve coherence between laws and make them more clear	Ensuring different stakeholder's participation in formulation of new forest policy.
-Monitoring the implementation of laws	Creating incentive system to follow
-Coordinating forest area and pasture in terms of law and regulation	Giving permit for timber out of cleaning work in FUG
-Creating market for NTFPs and be able to sell in closest big market,	Top to down quota system
-Owning pasture at the same time	Unenabling certificate of origin for marketplace
-Lack/weak demand for thinning products	

2. Public-awareness, training

Outstanding	In hand
Raise awareness about PFM and MA&D at institutional and NGO levels through workshops	Train identified service providers in MA&D and PFM including soum and Aimag authorities
Trainings for authorities to change attitude	Soum officials need to be trained/informed
Training for local authorities about laws and regulations	Train officials of Forestry Agency
	Trainings for public
	Train FUGs on silvicultural activities
	Giving permit for timbers out of cleaning work in FUG
	Informing local people
	Providing guidelines, hand-outs
	Establishing Information centers in Aimags
	Train FUGs on report and economy

3. Capacity building, structure

Outstanding	In hand
Professionals to conduct forest management activities	Establishing Forest units and building their capacity
To have professional training organization of participatory approach	Link other projects to FUGs to get support
Insufficient capacity to scale-up	Capacity building of staff
Having one position of specialist on PFM in EPTA of each aimag	
Train one ranger in every soum and head of forest unit	
Make PFM professional team to take part in tenders announced by Forestry Agency	

4. Financial issues

Outstanding	In hand
No lack of funds for Forestry Agency but wrong priorities on afforestation, pest control, etc	Business for FUGs
Increasing fund for PFM	
Financial support for FUGs	

Reward FUGs for protecting forests	
Creating possibilities of finance	

5. FUG association, NGOs

Outstanding	In hand
FUGs need to organize at national level	Establish FUG association
Capacity building of NGO to involve them in PFM	
Using NGOs capacity, having relation with them	
Having NGO which conducts PFM trainings	

6. Scaling-up of pilot FUGs' activities

Outstanding	In hand
	Scale-up of pilot FUGs
	Teach the new FUGs from experiences of pilot FUGs

Task 2. What is it that has led to the Project having achieved a reasonable level of success?

1. **Project policy and approach**

- Focused on one certain direction – 12 pilot FUGs
- Conducted monitoring on every activity
- Policy and activities implemented by the project were good

2. **Legal environment**

- Legal environment had been created when the project started (Clause 31 of Law on Environmental Protection, 2006, and Clause 18 of Law on Forests, 2007)
- Legal foundation has been set up
- Lessons learned during the project phases were noted and reflected in laws and sub-decrees immediately
- Amendment of Law on Forests in 2007

3. **Project team**

- Team work
- Strong participatory approach
- Good management team and skilled facilitators
- Good team
- Learned from each other
- Learned from myself and personal capacity has been built up

4. **Involvement of other stakeholders**

- Policy support
- Integrated in national and local institutions
- All levels are involved (soum, aimag and ministry)
- All stakeholders were involved
- Positive attitude of local authorities and high level officials
- Support form soum and aimag authorities
- Support from EPTA
- Good collaboration with the FA
- Close cooperation with other stakeholders
- Tight collaboration with the Ministry, FA, EPTA and soum governors

- Local authorities have supported us

5. Local needs and interest
- Fit to the current needs and demand
- Herders' motivation for protecting the environment
- Needed for FUGs and their members
- People's perspective of giving importance to the forest
- Good participation of FUG members

6. Training and awareness raising activities
- Focused on training rather than providing materials and money
- Frequent trainings and efficient information provided
- High level of capacity building and awareness raising
- Training for EPTA specialists
- Good awareness raising at all levels
- Taught methods of generating income from the secondary resources (first is animal husbandry)

7. Financial availability
- Project's sufficient financing
- Provided with good financial support to the field offices
- Field offices were provided with sufficient materials and financing.

8. Piloting
- Field offices worked at the pilot sites
- Worked on pilot FUGs
- Made right decision on selecting pilot FUGs and motivated them
- Selected 12 pilot FUGs

9. Other
- Previous FAO-TCP project to develop PFM concept
- Creation of PFM unit in FA
- Approach based on best practices
- Studied experiences in Nepal
- Good knowledge and education of herders

Capacity Building and Institutional Development for Participatory Natural Resources Management and Conservation in Forest Areas of Mongolia

GCP/MON/002/NET

Project Final Evaluation

Don Gilmour, Aurélie Larmoyer and Tumerkhuu

8th December 2011

Objectives of evaluation

Build on the MTR in August 2010 to:

"*Provide recommendations to the Government, FAO and the donor on the further steps necessary to consolidate progress and ensure achievement of objectives*".

- Relevance and realism of design.
- Project approach to implementation.
- Progress towards achievement of objectives.
- Sustainability of results.
- Recommendations.

Approach taken to evaluation

1. Desk review of documents prior to the mission;
2. Meetings and interviews with key groups and individuals in UB;
3. Discussions with EPTA officials in Darkhan aimag;
4. Discussions with soum officials in 1 Soum;
5. Discussions with FUG members in 2 FUGs;
6. Stakeholder and staff workshops.

Basis of Project design

The design of the Project based on the belief that fundamental re-structuring of state-community relationships will lead to sustainable forest management and the enhancement of local livelihoods.

- Key aspects of the re-structuring focused on:
  - Changing the role of the state from centralised control to decentralised and participatory governance and,
  - Strengthening the rights and abilities of local user groups to regulate access to, and use of, forests in their vicinity.

Relevance of Project design

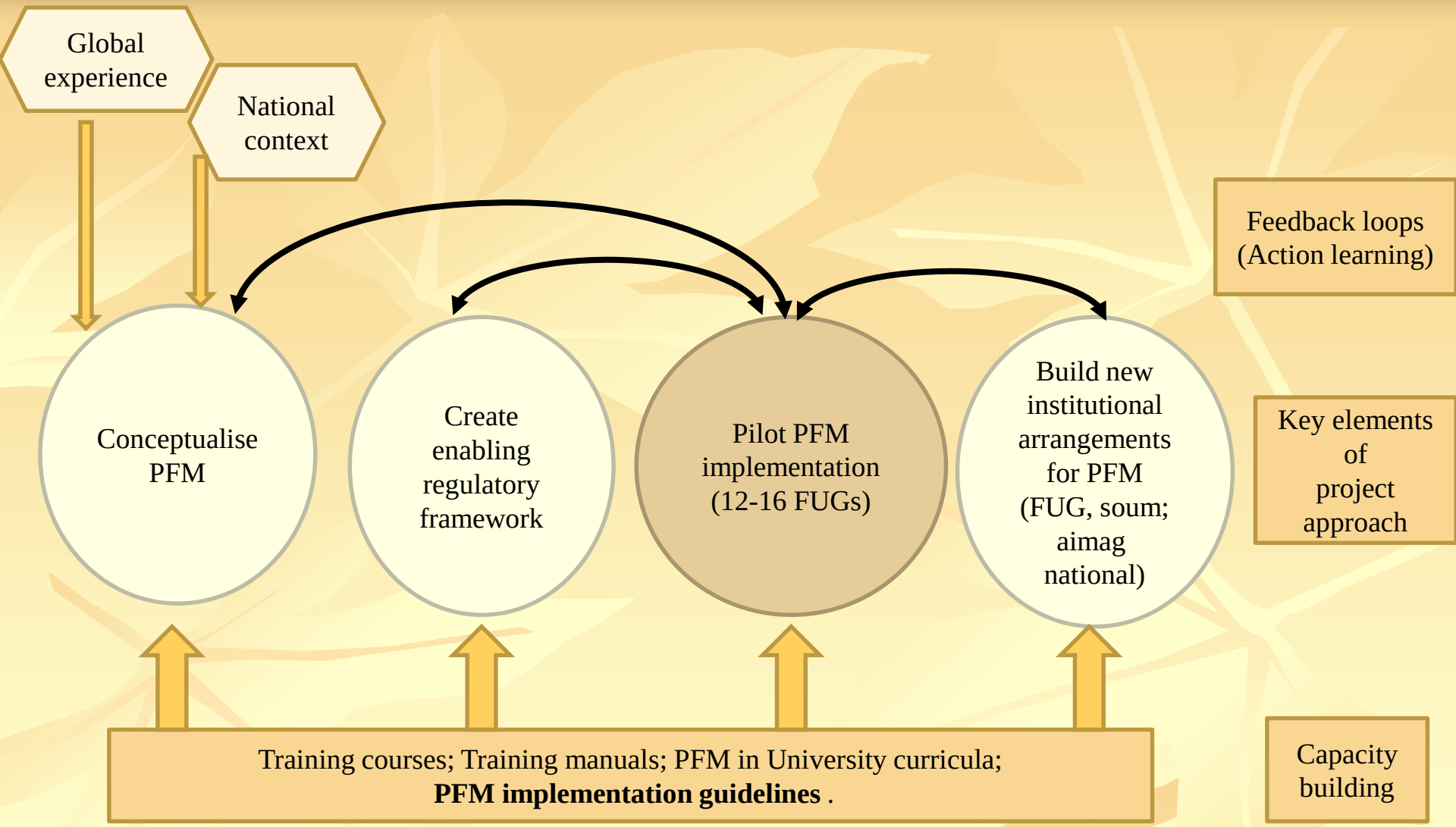
Design has stood the test of time, and has served the Project well:

- It is relevant to Mongolia's development agenda;
- Strategy, operational modalities, etc. are appropriate to the institutional setting and Mongolia's reform trajectory;
- Several minor additions were made to the activities following Project planning meetings.

Project approach

The Project was designed as a pilot, with an emphasis on capacity building, learning and knowledge management;

- The application of action learning approaches to implementation (plan, act, observe and reflect) is critical to success in any pilot project.
- The project **does apply action learning** in its piloting and testing of different approaches.


Global experience
National context
Feedback loops (Action learning)
Conceptualise PFM
Create enabling regulatory framework
Pilot PFM implementation (12-16 FUGs)
Build new institutional arrangements for PFM (FUG, soum; aimag national)
Key elements of project approach
Training courses; Training manuals; PFM in University curricula;
PFM implementation guidelines .
Capacity building

Progress (Output 1)

Functional local organizations/entities (Nukhurlul) for forest management established in pilot sites

- FUGs established in each of the 12+4 pilot sites;
- The basic sociology underpinning the implementation process is sound and, by and large, the FUG institutional arrangements are functioning effectively (but some problems with governance and emerging conflict);
- FUGs are able to exercise effective control over their territory;

Progress (Output 1-cont.)

Functional local organizations/entities (Nukhurlul) for forest management established in pilot sites

- 11 FUGs commenced active forest management (cleaning their forests) and selling firewood and some NTFPs in 2011 (earned >USD 13,000 from the sales);

Progress (Output 2)

Adapted management planning for local sustainable forest use, reforestation and conservation

- Participatory MPs approved for 16 pilot FUGs (75,868 ha of forest under pilot FUG management)
- Forest cleaning operations carried out in 11 FUGs with support of soum authorities-firewood sold.

Progress (Output 3)

Adequate legislation and regulations for local level forest resources use, reforestation and conservation

- Substantial changes have been made to the regulatory framework to make it more enabling for PFM and a national forest policy process is underway—that will continue the reform process.
- Pilot FUGs are well aware of their tenure rights and are able to exercise them--rights are respected by the soum governors.

Progress (Output 4)

Adequate institutional framework at national level for local forest resources use and conservation

- Key components of FUG management planning system developed and approved for national use (included in PFM guidelines).
- The institutionalisation of PFM into organisational structures and institutional arrangements is still embryonic-but good progress since 2010.

Progress (Output 4-cont)

Adequate institutional framework at national level for local forest resources use and conservation

- A PFM Unit was established in the FA (as a national “institutional home” for PFM);
- Forest Units established in EPTAs in pilot aimags.
- 12 soum/inter-soum Forest Units established in pilot aimags (and 26 established in all 7 forested aimags)—most still in their infancy.
- PFM database is operational in all plot aimags and is being updated in the FA.

Progress (Output 5)

Improved knowledge on integrated and sustainable natural resources utilization and conservation

- A series of studies and research projects has been carried out (reports and documents have been widely circulated).
- PFM modules have been included in curricula of three academic institutions (compulsory for UGs at Eco-Asia and for forestry UGs at NUM).
- Several films on PFM have been made and shown nation-wide and some shown internationally.

Progress (Output 5-cont.)

Improved knowledge on integrated and sustainable natural resources utilization and conservation

- “Green book” (Guide for Foresters) produced and widely circulated.
- Guidelines prepared on: PFM; Forest Fire Management; Silviculture; Market Analysis and Development.
- Two National Forest Fora held.
- Two study tours held (Nepal and Finland).

Sustainability (1)

Four things need to be sustained:

1. Community **institutions** that are responsible for managing forests (FUGs),
2. **Institutions** necessary to support FUGs to manage their forests (at national, aimag and soum levels),
3. Forests, and
4. Livelihoods.

Sustainability (2)

Institutions responsible for managing forests (FUGs)

- Pilot FUGs are functioning reasonably well as collective decision making bodies, but are **still weak and need on-going support**;

Sustainability (3)

Institutions to support FUGs

- Strong political will at all levels;
- An institutional home to support national implementation of PFM established in the FA;
- Forest Units established in the aimag EPTAs and at soum/inter-soum level to support FUGs.

BUT

All institutions are in their infancy and it will take time (and resources) to build their capacity to be fully effective.

Sustainability (4)

Forests

- Key technical guidelines aimed at managing forests sustainably endorsed for national use:
  - Simple Forest Management Plans;
  - Silvicultural guidelines;
  - Volume tables for FUGs;
  - Fire management guidelines.

BUT

Their application has just begun and it will take time and on-going support for them to be tested and institutionalised within the normal operations of FUGs (with support from Forest Units).

Sustainability (4)

Livelihoods

- Human assets—capacity building.
- Social assets—strong FUGs as collective decision making institutions.
- Financial assets—FUGs generated $13,000 in 2011.
- Natural assets—forest condition is improving (decrease in illegal logging and forest fires)
- Material assets—no change.

BUT

It will take time for FUGs to gain confidence and capacity to manage their forests to optimise the livelihood benefits

Sustainability-summary

1. Re-structuring state-community relationships from central control to decentralised management involves challenging existing power structures and is inherently political. Change is from forest-centred to people-centred approach. Problems can be expected in the future.
2. Building new institutions to manage the new relationships involves complex social processes and **takes time**—simply setting up new organisations is not sufficient.
3. All institutions are new and are still relatively weak. Substantial on-going support is needed to strengthen them (extension and community development work).

Progress towards achieving immediate objective (1)

Immediate objective reformulated:

"*Participatory Forest Management integrated into rural development in pilot areas and supported by an enabling regulatory framework and empowered institutions at national, regional and local levels*".

Progress towards achieving immediate objective (2)

- FUGs have been established in all pilot aimags with functional institutional arrangements that can operate effectively to plan for and carry out sustainable forest management.
- Building blocks are in place for sustainable forest management in pilot areas (procedures for MP preparation, silviculture guidelines, etc. distilled into PFM implementation guidelines)—endorsed by government for national use.

Progress towards achieving immediate objective (3)

An enabling regulatory framework in place (further refinement necessary)

Supportive government structures in place (national, aimag and soum level)

Conclude that the Project's immediate objective has been achieved.

Progress towards achieving development objective (1)

Problem to be addressed:

Stop and reverse the ongoing degradation of the forests of Mongolia and to contribute to poverty alleviation.

Development objective:

The maintenance and improvement of the existing forest cover of Mongolia in order to ensure the sustainable livelihoods of the rural population.

Progress towards achieving development objective (2)

Maintenance and improvement of Mongolia's forest cover

- Too early to be definitive about the sustainable management of forests across Mongolia-early indications are positive--trends are in the right direction:
  - Fires, illegal logging and overharvest of NTFPs in FUG forests have been reduced (help to maintain and improve forests).

Progress towards achieving development objective (3)

Sustainable livelihoods of rural population.

- Too early to be definitive about the sustainable livelihoods of rural populations across Mongolia-early indications are positive--trends are in the right direction:
  - Four of five asset classes that constitute livelihoods have improved in pilot FUGs (human, social, financial and natural assets).

Progress towards achieving development objective (4)

Can conclude that the Project has made a significant contribution towards the achievement of its long term development objective.

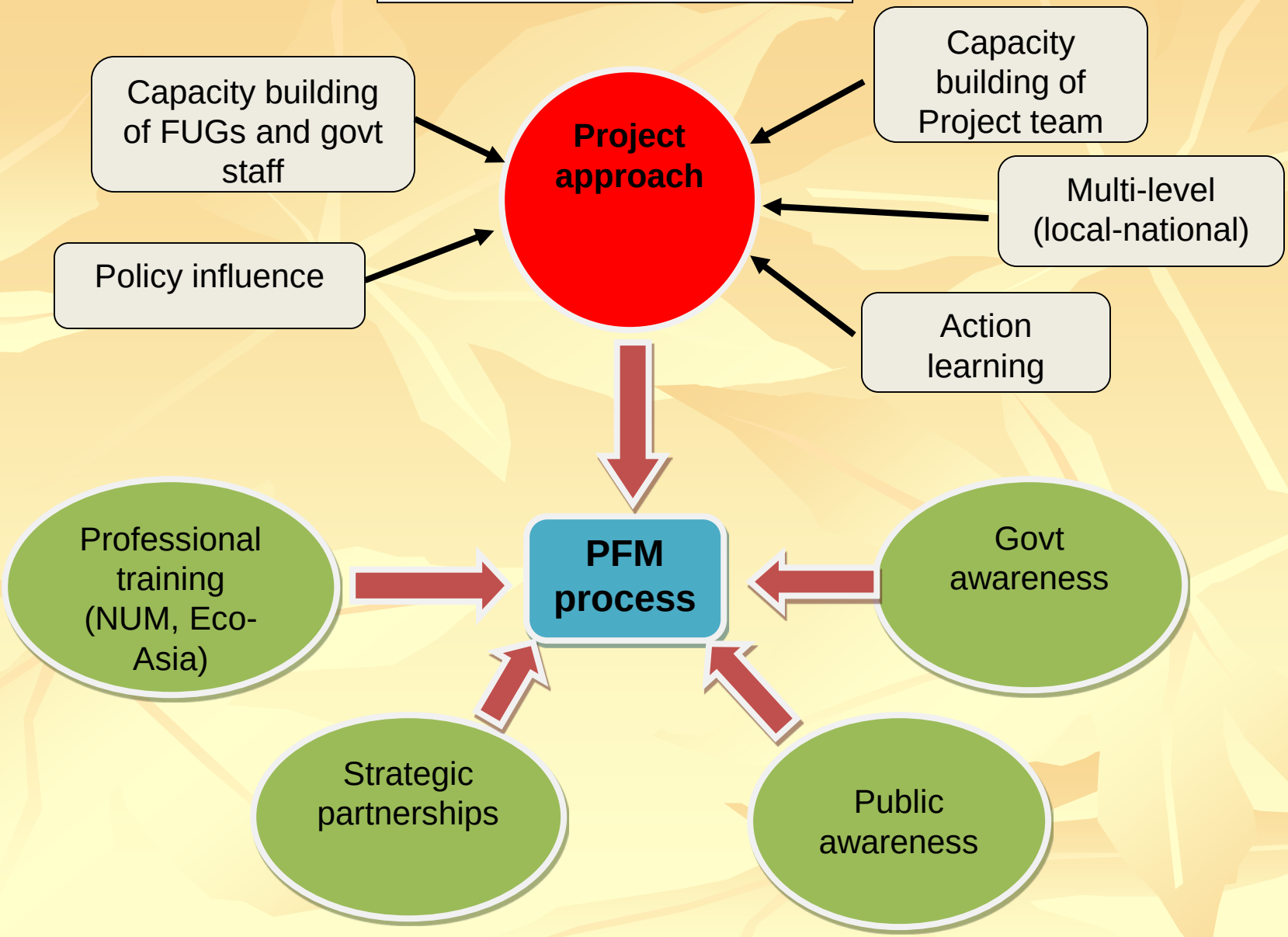
A cautionary note !!

While solid progress has been made overall, PFM implementation in the pilot FUGs is only just into the three-year Foundation Phase of the much longer full PFM process. Many of the supportive organisational structures and institutional arrangements (both government and FUG) are new and fragile and have yet to be fully tested.

A major risk !!

- The enthusiasm to expand the number of FUGs rapidly and develop management plans could overlook the need to carry out sufficient community extension work to build the FUGs as strong institutions sufficiently empowered to exercise their rights effectively.
- **Management plans without empowered FUGs to implement them are highly likely to fail.**

Factors leading to success



Recommendations (1)

For the Government *(the PFM Unit in the FA)*

- Continue to support the strengthening and evolution of the PFM concept at all levels.

For the Government *(the wider Government)*

- Provide adequate resources to:
  - The PFM unit in the FA.
  - The Forest Units in the Aimags and Soums.

Recommendations (2)

For the Government *(the wider Government)*

- Continue process of evolving the regulatory framework to make it more **enabling** for PFM.
- Seek ways of retaining the existing Project field facilitators to support national scaling up of PFM in order to utilise their considerable knowledge and skills in implementing PFM.
- Ensure that PFM is embedded into the National Forest Policy as a major form of forest management in Mongolia

Recommendations (3)

For the Project

- Prepare and implement an exit strategy.
- Prepare recommendations for the Government aimed at identifying the regulatory and other issues that need to be addressed to maintain the momentum in implementing PFM.
- Collect and collate all important publications prepared by the Project and deposit them in appropriate libraries in Mongolia and also in the FAO Bangkok office.

Recommendations (4)

For the Project

- Explore options for retaining the Project facilitators to support national implementation of PFM.
- Conduct an “end of Project” workshop.

Recommendations (5)

For FAO

- Speed up the internal FAO process to approve the TCP proposal to maintain essential support for PFM.
- Document and publicise the experiences of the Project in implementing PFM in Mongolia to ensure the lessons learned are widely shared.

Thank you

Annex 7. Project progress—activities carried out against those planned in original LFA

(Information based on August 2011 Trust Fund Report plus updates). New activities are highlighted

OUTPUTS AND ACTIVITIES--Planned		OUTPUTS AND ACTIVITIES—Progress as at October 2011	COMMENTS
Output 1: Functional local organisations (Nukhurlul) / entities for forest management established in pilot sites			
1.1.	Assessment of existing Forest User Groups	Completed, see report September 2008-February 2009	
1.2.	Define criteria for selection of Nukhurluls	Completed, see report September 2008-February 2009	
1.3.	Establish 2 to 3 model Nukhurluls in selected soums according to the Mongolia Participatory Forestry Concept	Completed, see report March - August 2009. As the 12 pilots FUGs have completed their management plans and obtained their certificates, it was decided to add a few new pilot FUGs to enable project and forest administration staffs to go through a second round of FUG support for further improvement of their skills. At the end of the reporting period 4 new pilot FUGs were added, new total 16 FUGs.	
1.4.	Support Nukhurluls / entities to obtain a legal status	All initial 12 pilot FUGs have obtained the approval of the Bag Khural (local administration), signed their constitution, have prepared their forest maps and have completed their simple forest management plans (SFMP). All 12 FUGs have their SFMP approved by their respective Aimag and Soum authorities. They all have received their certificate that establishes the FUG's rights to manage and use their forest and they all have developed their by-laws. Activities continue with 4 new FUGs, their management committee have been established, they have adopted their constitutions and they have recently completed their simple forest management plans.	
1.5.	Improve technical and managerial skills of the Nukhurluls/entities members through capacity building	Training of 12 FUGs is mostly completed, covering all required skills as foreseen in the PFM concept, further capacity building is still addressing issues of marketing. Since its inception and up to August 2011, the project field offices carried out trainings involving over 8800 local participants	
1.6.	Discuss and develop a concept for Soum forest with a focus on poverty alleviation	Two soums have been identified, Tsagaan Uur in Khuvsgul and Bugat in Bulgan Aimag and an initial concept was developed in June 2010. However it was decided not to complete this activity to avoid overloading local institutions with new concepts as they are still adjusting to participatory forest management by FUGs.	
1.7.	Define and test other forms of local forest management	Not addressed as no new needs were identified	

1.8.	Ensure and improve coordination between Soums and Nukhurluls	Memorandum of Understanding (MoUs) between the project, Environmental Protection and Tourism Agency (EPTA) and Soum authorities and MoUs between Project, EPTA, Soum authorities and each FUG have been be signed by concerned parties (see report March-August 2009). At least 6 soum governors in the project pilot areas have given the preference to the pilot FUGs for producing the firewood needed for the soum institutions. Short guidelines have been prepared in collaboration with the Forestry Agency to provide key information to soum governors to strengthen and mainstream their support to FUGs.	
1.9.	Set a revolving credit system to support Nukhurluls / entities	Instead of establishing a revolving credit system for FUGs, it was decided to use existing schemes. A set of guidelines on microfinance for facilitators and FUG members has been produced.	
1.10.	Support Nukhurluls / entities in the implementation of their management plans	All initial 12 pilot FUGs have developed their SFMP and had them approved by relevant authorities between July - August 2010. The project is now focussing on supporting their implementation and monitoring. In addition the project has supported the development of SFMPs for 4 new pilot FUGs. All 4 SFMPs were officially approved. It should be noted that the time required to complete SFMPs with new FUGs (about six months) has been considerably shorter than during the first round of SFMPs (about 18 months).	
1.11	Prepare and update database on workshops, trainings, meetings, public awareness, etc. New activity.	Done and updated twice yearly (February and August). All databases are available at the main project office in Ulaanbaatar.	
1.12	Monitor attitudinal change amongst stakeholders New activity	Project staffs are recording all attitudinal changes they perceived to be resulting from project work. Databases are available at the main project office in Ulaanbaatar.	
1.13	Support FUG to FUG capacity building New activity	The approach was tested in two field offices, Khuvsgul (“Taliin Tolgoi” FUG members provided support to a prospective FUG in Tunel soum) and Bulgan (“Dundat-Urguu” FUG members provided support to “Gunchuluut” FUG). Despite the lack of experience of the FUG members in being service providers, the first results are very encouraging. FUG members will still need some limited support to improve their skills but the approach has already demonstrated that experienced FUGs can be very efficient in reaching out new FUGs.	

Output 2: Adapted management planning for local sustainable forest use, reforestation and conservation			
2.1.	Assess current management planning system	Completed, see report September 2008-February 2009.	
2.2.	Develop simple management plans	Completed, see report March - August 2009. SFMPs are under implementation and were found to be adequate and realistic. Attention is now being paid to the monitoring of SFMPs.	
2.3.	Develop suitable multipurpose and qualitative forest assessment methodology	Completed, see report March - August 2010.	
2.4.	Ensure integration of forest management within management of other renewable natural resources, especially livestock	On-going activity, opportunities for better integration are continuously looked after.	
2.5.	Develop adapted mapping and demarcation methodologies	Completed, see report September 2009 - February 2010.	
2.6.	Assess products and markets for management planning purpose	Brochures were prepared for firewood, medicinal plants and herbal tea. The aim of these brochures is to facilitate the gathering of information for FUGs which are developing business plans.	
2.7.	Training of staff on simple management planning	Completed, see report March - August 2010.	
2.8.	Prepare guidelines on simple management planning	Dtailed guidelines on SFMP have been completed and have been published. They are part of the general guidelines for participatory forestry implementation in Mongolia	
2.9	Clarify and ensure that approved SFMP is legally sufficient to conduct thinning and utilization activities New activity	The newly established PFM Unit within the Forestry Agency has taken responsibility top address this issue.	
2.10	Develop and publish silvicultural guidelines New activity	Completed.	
Output 3: Adequate legislation and regulations for local level forest resources use, reforestation and conservation			
3.1.	Review and finalize the participatory forestry concept	Completed. First round of reviews completed in December 2008 and January 2009 (see report September 2008-February 2009). The concept has been further refined in July, 2010, based on significant field experience.	
3.2.	Ensure approval of the participatory forestry concept, including the PF Agreements by Government	Earlier version of the PFM concept was approved (see report September 2009 - February 2010). The revised concept has been submitted to the Forestry Agency and has been approved on November 5th, 2010.	
3.3.	Contribute to the amendments / revision of the forest law to create a legal framework for participatory forestry	Completed, see report March - August 2009.	
3.4.	Set-up a national working group on legislation / regulations	Completed by the MNET, see report September 2008-February 2009.	
3.5.	Rank priority issues for the working group	No action required.	

3.6.	Raise stakeholders awareness on the legal framework	The project collected 76 Frequently Asked Questions (FAQs) related to participatory forestry. The FAQs were published as an introduction to the "Guidelines for Forestry Officers", December 2009, which in addition contains all forestry related legislation. This is the first time that such a comprehensive publication was published. All 4000 copies printed were rapidly distributed. As one of the major project output the "Participatory Forest Management Guidelines" were printed. These guidelines are giving extensive information on the legal framework for establishing and managing FUGs. In addition, numerous radio, TV broadcastings (national and local networks), newspaper articles were produced on PFM in Mongolia.	
3.7.	Organize yearly regional and national meetings to discuss and prepare recommendations for submission to the Government to improve the legal framework for participatory forestry	Under project guidance two National Forestry Forum with a focus on participatory forestry were organized in Ulaanbaatar in 2010 and 2011. Workshops at aimag levels were also conducted.	
3.8.	Prepare recommendations based on feedback from pilot activities	Continuous activity. The two National Forestry Forum produced a set of actions and recommendations including those from the project pilot FUGs. Recommendations were made to refine the PFM concept	
3.9.	Submit recommendations for approval to MNE, Aimag and Soum levels	See 3.8.	
3.10.	Contribute to the development of a specific national law to create a legal status for local groups / entities managing renewable natural resources	With the approval of SFMPs and with FUGs starting to implement forest management activities, a number of legal constraints are emerging. The project is keeping track of these issues and already forwarded them to the Forestry Agency. Little progress has been achieved so far, however with the new PFM unit these issues can be expected to be addressed	
3.11.	Harmonize national and local management systems	Completed, see report March - August 2010.	
3.12.	Review the forest taxation system for Nukhurluls / entities and make recommendations	The principle of reduced taxes or fees for FUGs is getting acceptance amongst the forestry administration. However, and despite project's advice, no clear regulation has been formulated in the new sub-decrees. The project considers that no tax or fee should be collected from FUGs for own consumption of their own forest products as they are protecting and sustainably using the forest. However, in the future, when FUGs start commercializing their products then, sale tax could be collected. This is a rather sensitive issue and probably more time is needed to reach a satisfactory agreement.	
3.13.	Establish an effective control and permit system	Approved SFMPs are constituting a solid monitoring tool of forest management activities in FUGs area. This monitoring has been tested will be evaluated.	

3.14.	Develop model by-laws for Nukhurluls / entities	Completed. FUG constitution template is developed and approved, see report March - August 2009, and was published in the "Guidelines for Forestry Officers", December 2009.	
Output 4: Adequate institutional framework at national level for local forest resources use and conservation			
4.1.	Establish a regulatory body (Division, Service) at national level for local forest use and conservation	A PFM Unit within the Forestry Agency was endorsed by the Minister of MNET on July 7th, 2011 and 2 staff were appointed in September 2011	
4.2.	Establish a service unit at Soum level (funded by Aimag)	The project is working closely with the Forestry Agency and the five pilot aimag EPTAs to establish Forest Units at the aimag level. (19 "inter-soum" forest units and 7 "soum" forest units are now established in the seven forested aimags, 5 "inter-soum" forest units and 7 "soum" forest units in the project pilot aimags). Already 6 Officers were trained on PFM and joined various Forest Units.	
4.3.	Establish an information center at Aimag level	Completed, see report March - August 2010.	
4.4.	Support an institutional review and make recommendations	The project is in regular contact with the Forestry Agency, which was established in August 2008, and is providing advice on institutional strengthening. The project has been instrumental in advising the Ministry of Nature, Environment and Tourism to officially launch the formulation of a new forest policy.	
4.5.	Conduct discussions, seminars at national level to improve the institutional framework	The project supported two National Forestry Forum. Following the first forum the Minister decided to launch a forest policy formulation.	
4.6.	Support the development of a monitoring system for participatory forestry at national level and local level	Completed, see report March - August 2010.	
4.7.	Make proposals to increase government funding to the forestry sector (channelling back forest revenues to the sector)	The government is already providing funding to develop the first forest management plan of FUGs. The recently started forest policy formulation will certainly address this issue. The budget to the forestry sector has been growing sharply since 2008, date of the Forestry Agency establishment and doubled in 2010. Upon recommendation from the project the MNET has agreed to allocate 2 million USD from its GEF RAF-5 allocation for biodiversity and 1 million USD for land degradation to support PFM scaling-up. These allocations will make it possible to beneficiate from the GEF's Sustainable Forest Management and REDD-Plus Program that provides an incentive mechanism. Thus total GEF funding is expected to reach 4 million USD.	

4.8.	Assist in establishing umbrella organizations for Nukhurluls	A first step towards the establishment of an umbrella organization for FUGs was achieved in February 2011 (see report August 2010 - February 2011). The project is continuing to support this initiative by facilitating meetings and attendance of FUG representatives to regional and national meetings and workshops.	
4.9.	Review university forestry curricula to include participatory forestry Modified to read: Include Participatory Forestry in University forestry curricula, provide text books	A draft "Curricular Guidelines for Undergraduate Study in Participatory Forest Management" for the Eco Asia University and the Eco-Asia Institute has been developed. The PFM module was taught at Eco Asia University. With the support of the Centre for Development Innovation, Wageningen UR, The Netherlands, and in collaboration with the National University of Mongolia, curricula for BSc and MSc programs on PFM have been completed.	
4.10	Include Participatory Forestry in Vocational Training Schools forestry curricula New activity	Initial agreement has been given by the Minister of MECS in June 2010. This still need to be formalized with the director of the VTS but no progress achieved	
4.11	Collaborate with other organizations and projects involved in environmental education New activity.	Completed. See report September 2009 - February 2010.	
4.12	Train facilitators and foresters on participatory forestry	On-going activity,. The project 4 facilitators and their EPTA counterparts are intensively trained on various topics as well as trained on the job and learning from doing together with the FUGs (see list of training).	
4.13.	Train Aimag and Soum authorities on participatory forestry	The Training and Extension Unit of the project has developed six training modules on participatory forestry. All officers, EPTA officers, Forest Units, Forest Rangers, Inspectors and Soum authorities of the four project aimags have already been trained with all modules (see list of training)	
4.14.	Organize study tours for MPs, governors, etc	Study tours in Nepal, in Finland (2) had a major impact on policy makers perception and attitude. The Director of the Forestry Agency participated to various international conferences and workshops.	
4.15.	Organize study tours and exchange visits for staff and Nukhurlul members	Staff visit to Nepal, FUGs to FUGs exchange visits were organized.	
4.16.	Conduct regular public awareness campaigns on participatory forestry	Numerous publications (see list of publications) , numerous radio,and TV reports (see list of public awareness events), numerous meetings, workshops, etc (see list of events0	

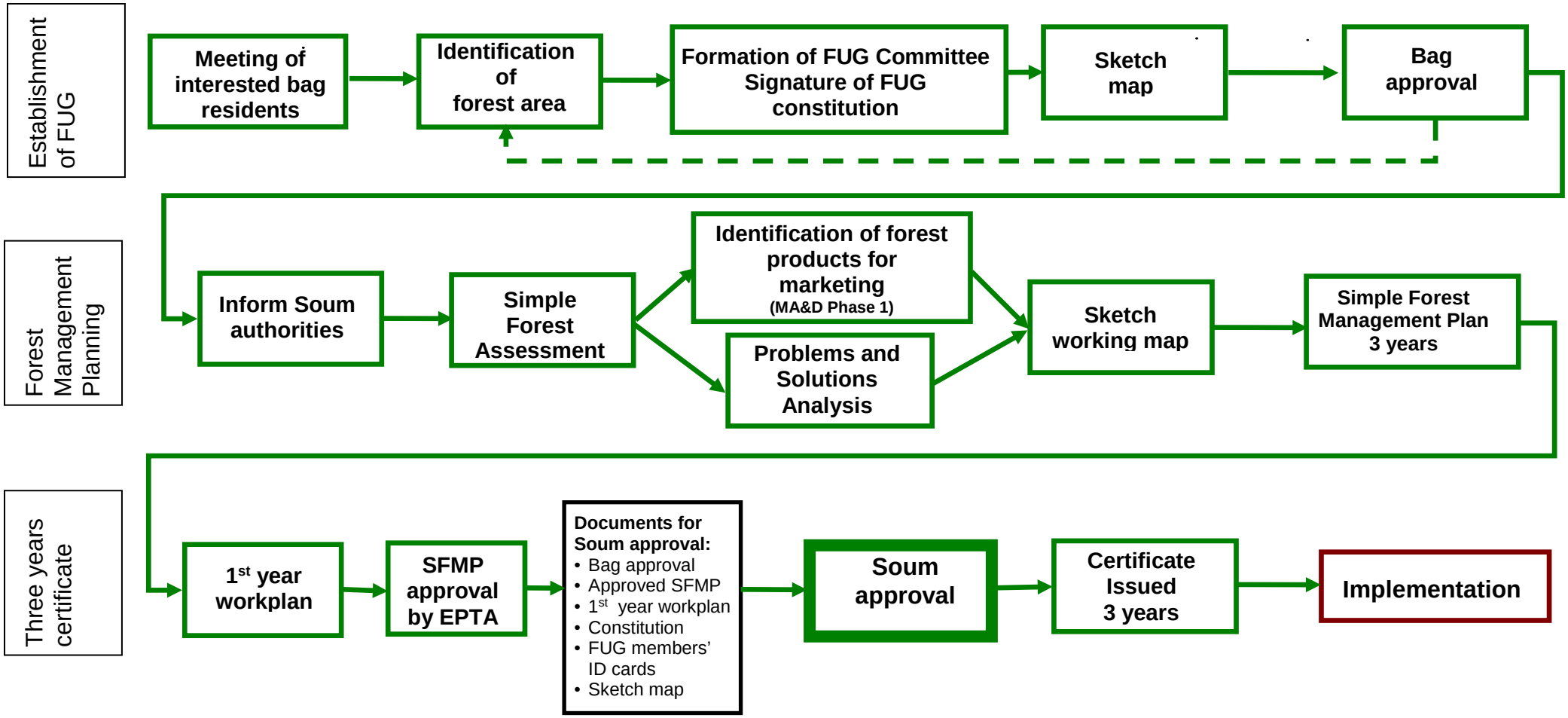
4.17.	Prepare guidelines for Participatory Forestry implementation in Mongolia New activity.	Completed. The guidelines have been published in September 2011.	
4.18	Train soum authorities on PFM New activity.	The project has commissioned the development of information material as well as specific training for soum authorities and more specifically for soum governors. The information brochure has been published in September 2011.	
4.19	Develop a scaling-up strategy for PFM New activity.	A brain storming session on the scaling-up strategy was conducted during the project mid-year workshop end of June. The strategy was further elaborated in September 2011.	
4.20	Support the formulation of a new forest policy New activity.	To support the on-going stakeholders consultations carried out by a contracted team, the project is involving its field facilitators by organizing local workshops to discuss policy issues, prepare recommendations and identify representatives that would attend the regional and national workshops. Short guidelines to facilitate these workshops were prepared.	
4.21	Develop a project proposal for GEF funding for scaling-up PFM and develop PWM New activity.	A project concept was developed to scale up participatory forest management across the seven forested aimags of central and north Mongolia (Khuvsgul, Selenge, Khentii, Bulgan, Zavkhan, Arkhangai, and Tuv) and to pilot participatory wildlife management at a few pilot sites with forest user groups that are already operational. The GEF PIF was submitted to FAO HQ for further transmittal to the GEF Secretariat	
Output 5: Improved knowledge on integrated and sustainable natural resources utilization and conservation			
5.1.	Yearly review of project research needs and assign priorities	The project has signed MoUs with the National University of Mongolia (NUM) and the State Agricultural University (SAU) in Darkhan. These MoUs foresee the support of research work to be carried out by professors and students in designated project sites. 7 research projects were supported by the project.	
5.2.	Involve universities, research institutions to support knowledge transfer	On-going, see report March - August 2010, September 2010 - February 2011. See also activity 4.9. The project facilitated a project between NUM and the Finnish Research Center METLA (500,000 Euros) to support much needed basic research on silviculture (plantation, thinning regimes, growth and yield).	
5.3.	Conduct a biodiversity assessment in selected pilot areas and identify potential sustainable uses	This activity has been cancelled as no university students were found to conduct the research.	

5.4.	Establish permanent sampling plots to study the effect of participatory forestry	Completed, see report March - August 2009. These plots will be regularly monitored. Agreement was reached with NUM and the University of Darkhan to ensure regular measurements and maintenance on the long-term. These discussions are supported by a GIZ junior expert seconded to the Darkhan University.	
5.5.	Identify new markets for natural resources products	Done by national consultant in May 2010	
5.6.	Study the impact of grazing and fire on natural regeneration	This activity is carried out together with activity 5.4.	
5.7.	Research on adapted reforestation techniques	This activity is carried out in conjunction with activity 5.4.	
5.8.	Carry out / support studies on wildlife management	The project facilitated the funding, through the TCP-Facility, of the formulation of a participatory wildlife management project. The formulation mission took place in April 2010 and a draft proposal is available. The project proposal relies heavily on the project's experience and PFM concept	
5.9.	Study on appropriate harvesting techniques	This activity has been cancelled as no university students were found to conduct the research.	
5.10.	Study the impact of illegal logging activities on natural resources	One NUM student is currently conducting research work on this issue in Tunel soum, Khuvsgul aimag.	
5.11.	Study the impact of deforestation on watershed management Modified to read: Study the impact of harvesting of riparian forest and bushes	This activity has been cancelled as no university students were found to conduct the research.	
5.12	Study the impact of human settlement on forest use and conditions New activity.	One NUM student is currently conducting research work on this issue in Tunel soum, Khuvsgul aimag.	
5.13	Conduct a baseline survey New activity.	Completed, baseline data were collected in all 12 project pilot FUGs, in 8 other FUGs not involved in project activities for comparison purpose as well as amongst Aimag EPTA officers and soum officials (Soum Governors, Forest rangers, State Inspectors). In total 259 individual surveys were conducted. The report was delivered in November 2009.	
5.14	Prepare guidelines on Community-based Forest Fire Management (CBFiM) New activity.	Completed. Testing of the guidelines and training on CBFiM was conducted in May 2010. Official approval by the Forestry Agency and NEMA was granted and they were published in July 2011.	
5.15	Study on the sociology of collective decision making New activity.	Completed in June 2011. The study confirmed that the PFM concept is adapted to the Mongolian context. Recommendations were formulated to improve its implementation.	

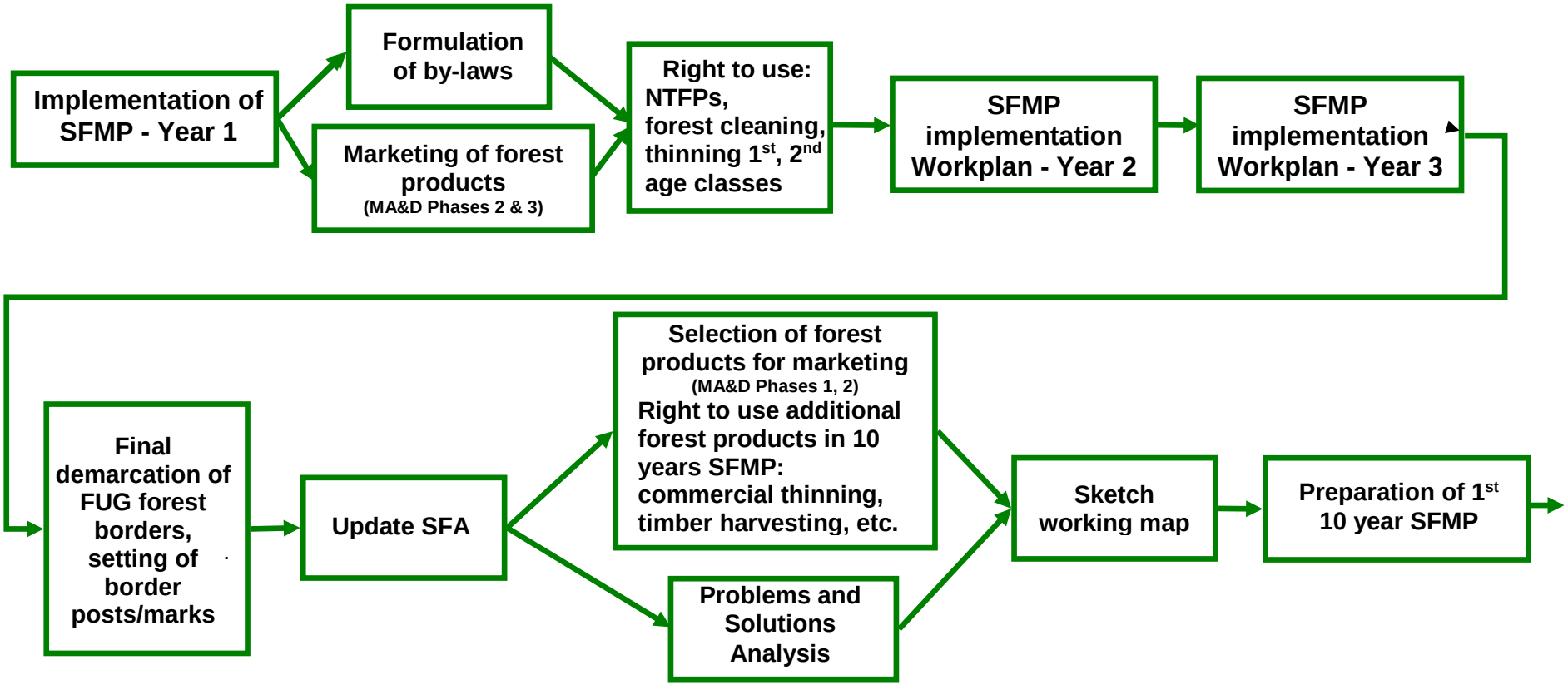
5.16	Document PFM process in Mongolia and prepare discussion paper to clarify long-term vision New activity.	Mission planned in November-December 2011	

Annex 8. PFM concept

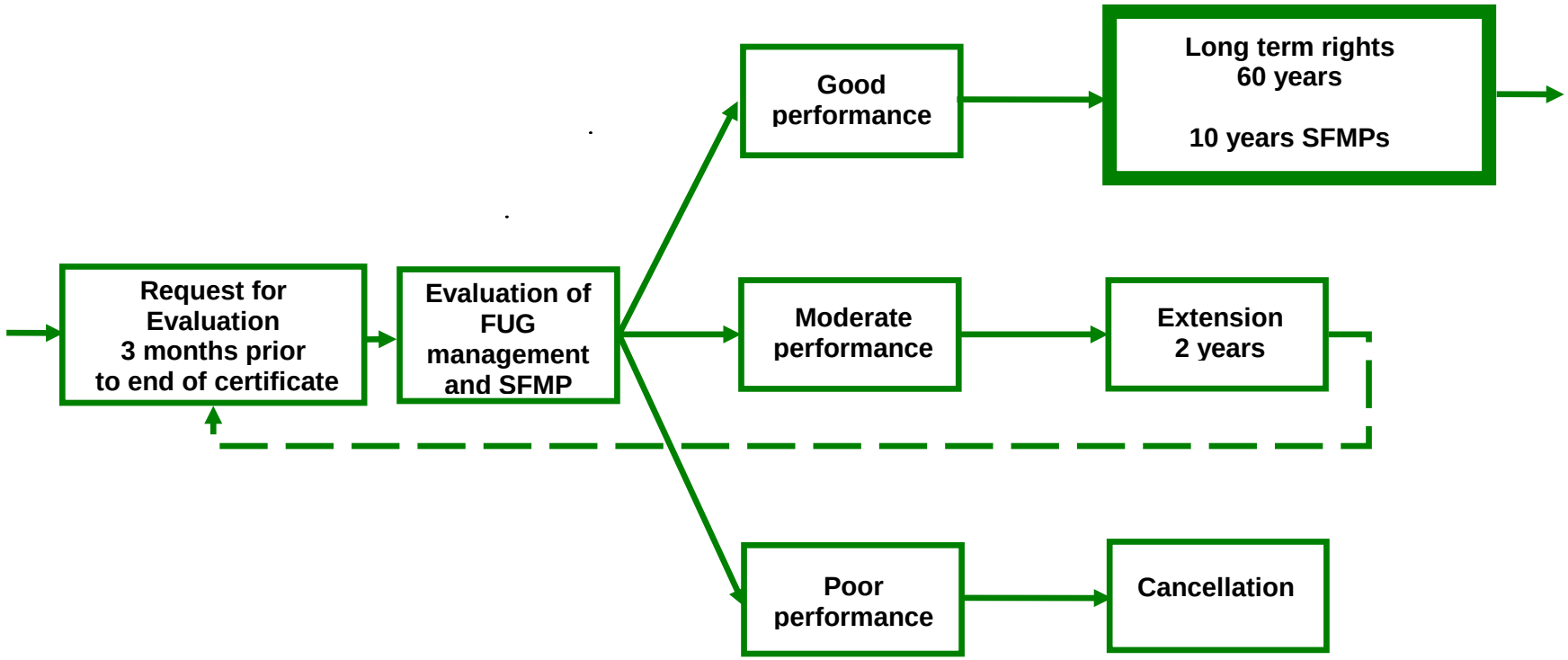
Phase 1: Establishment Phase
1 year



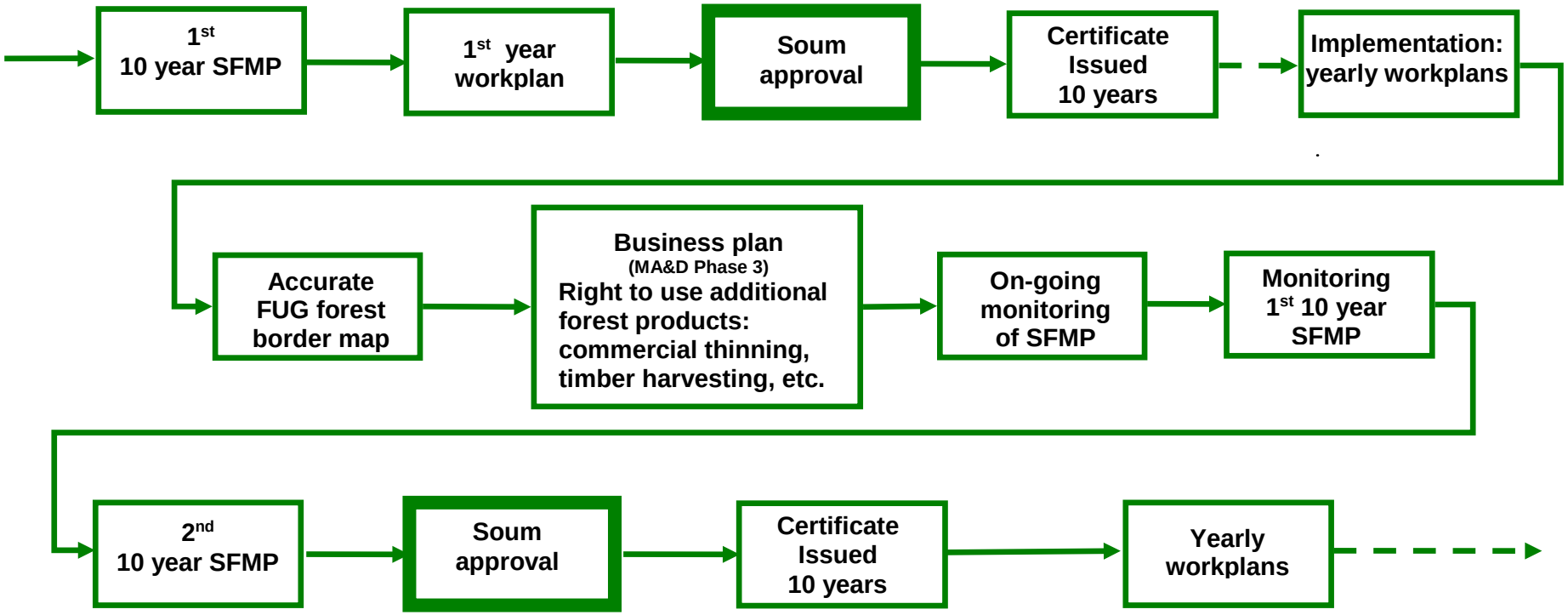
Phase 2: Foundation Phase (1)
3 years



Phase 2: Foundation Phase (2)
3 years



Phase 3: Implementation Phase
Long term rights: 60 years



Annex 9. List and purpose of strategic partnerships

Date of agreement	Partner(s)	Purpose of partnership
June 2008	German Development Service (DED)	For the secondment of DED experts to the project
September 2009	Volunteer Service Overseas (UK)	For the secondment of one VSO expert to the project
22-1-09	The project and the Forestry Agency, and Department of Forestry, National University of Mongolia	To collaborate in research and teaching, in particular, in developing and implementing a university curriculum on participatory forestry.
4-5-09	The project and the University of Darkhan	To collaborate in research and teaching, in developing and implementing curricula on PFM, and engaging in field research relevant to PFM.
4-5-09	The project and People Centred Conservation of Mongolia	To receive training in participatory approaches, and then to carry out participatory training in conjunction with the training and extension unit of the Forestry Agency.
23-6-09	The project and the Press Institute	Raise awareness and train journalists in PFM issues.
16-10-09	Forestry Agency, The project and the GTZ Program on "Climate Change and Biodiversity"	To cooperate in the production of guidelines to implement SFM, and capacity building in Mongolian Universities.
Sept-Dec 2009	The project, aimag level EPTA and soum authorities (for each of the pilot soums)	To cooperate in establishing and testing FUGs in the soums.
Sept-Dec 2009	The project, EPTA rangers and inspectors at the soum level and the FUGs (for each of the pilot FUGs)	To cooperate in the establishment and testing of PFM modalities with specific FUGs.
April 2010	Forestry Agency, the project, Eco-Asia University and Eco-Asia Institute	To cooperate in developing and implementing a university curriculum on participatory forestry.
August 2010	Forestry Agency, the project and WWF "Programme for Armur/Heilong Ecoregional Complex"	To cooperate in establishing FUGs in WWF project area (Khentii and Dornod aimags)
February 2011	MNET, Forestry Agency and the NFP-Facility	To support the formulation of the new national forest policy
June 2011	Forestry Agency and the NFP-Facility	To support the "Kids to Forests" Initiative in Asia
August 2011	Forestry Agency, National University of Mongolia, METLA Forest Research Institute	To support the development of basic forest research in Mongolia for PFM

Annex 10. Technical backstopping activities (national, international, FAO and interns)

National Consultants

	Name	Function	Start Date	End Date	No. weeks	Report	Language	No. Pages
1	Mr. D. Enkhsaikhan	Community organization / training	11 Feb. 2008	13 Dec. 2008	40	Evaluation report on existing FUGs of 10 forested aimags	English	34
2	Mr. T. Ankhbayar	Database establishment	01 Apr. 2008	30 April 2008	4	Software/CD	Mongolian	
3	Mr. B. Sambuu	Participatory forest thinning	01 July 2008	29 Dec. 2009	12	Forest cleaning and cleaning Manual for FUG for cleaning and thinning	Mongolian Mongolian	75 36
4	Mr. U. Ganbat	Participatory forest inventory	23 June 2008	29 Dec. 2009	12	Report on forest inventory	Mongolian	45
5	Mr. D. Enkhbileg	GPS expert	25 May 2008	27 May 2008	3 days			
6	Mr. D. Enkhsaikhan	Nepal Study tour report	11 May 2009	31 Aug. 2009	4	Report of study tour on Nepal experience 30 years of experience in Nepal since establishment of FUGs	Mongolian Mongolian	65 57
7	Mr. E. Dorjtsuren	CBFiM	01 July 2009	31 Oct. 2009	10	Power Point Presentation	Mongolian	27 slides
8	Mr. D. Enkhsaikhan	Booklet on flora	01 Aug. 2009	31 Dec. 2009	16	Tree and shrubs of Mongolia	Mongolian	96
9	Mr. E. Dorjtsuren	CBFiM	01 July 2009	15 Dec. 2009	10	Guidelines for training on community-based fire management	Mongolian English	37

10	Mr. O. Mendbaatar	Baseline survey	01 Aug. 2009	10 Dec. 2009	9	Baseline survey in project target areas	English	56
11	Mr. B. Sambuu	Volume tables for FUGs	01 Oct. 2009	15 Dec. 2009	4	Report on the calculation of volume based on tree height, diameter and basal area in 1 ha area	Mongolian	38
12	Mr. D. Enkhbileg	Forest demarcation	22 Dec. 2009	11 Feb. 2010	4	Guidelines for demarcating allocated areas by FUGs	Mongolian English	35
13	Mr. D. Enkhsaikhan	Urban - Soum Forest	25 Jan. 2010	24 Mar. 2010	8	Report on urban and soum forest management policy formulation	Mongolian	33
14	Mr. O. Erdenebat	Urban - Soum Forest	25 Jan. 2010	5 Mar. 2010	6			
15	Mrs. S. Khandsuren	Market survey	25 Mar. 2010	25 May 2010	8	Report on survey on market of forest resources	Mongolian	67
16	Mr. D. Enkhsaikhan	Urban - Soum Forest	24 May 2010	11 June 2010	3	Report on urban and soum forest management policy formulation	Mongolian	6
17	Mr. J. Tsogtbaatar	Forest institutions	19 May 2010	15 Aug. 2010	10	Pending	Mongolian	
18	Mr. L. Dorjtseden	Project Mid-term Review	01 Aug. 2010	03 Sept. 2010	4	Mid-term Review	English	112
19	Mr. B. Sambuu	Silvicultural guidelines	01 Mar. 2011	31 Mar. 2011	4	Guidelines	Mongolian	19
20	Ms. S. Yadmaa	Marketing Forest Products	6 June 2010	5 Oct. 2011	17	Duty travel reports	English	

International Consultants

	Name	Function	Start Date	End Date	No. weeks	Report	Language	No. Pages
1	Mr. R. Triraganon and K. Sovann	Introductory training on CF	20 May 2008	30 May 2008	2	Introductory training on community forestry development	English	12
2	Mr. P. OHara	Training Action Learning	01 Apr. 2009	15 May 2009	3	Training workshop on participatory methods skills enhancement and institutionalizing action learning principles	English	23
3	Mrs. M. Schulze	PFM guidelines	01 Apr. 2009	30 June 2009	4	PFM implementation guidelines for Mongolia -Draft-	English	69
4	Mrs. I. Lecup	Training MA&D Phase 1&2	23 May 2009	15 June 2009	3	Community-based tree and forest Enterprise Development using the MA&D approach Phases 1 and 2	English	56
5	Mr. S. Teusan	Silvicultural trials and guidelines for FUGs	03 May 2009	15 Aug. 2009	9	Cancelled		
6	Mr. D. Gilmour	Participatory Forestry	02 Jan. 2010	15 Feb. 2010	4	Participatory Forest Management in Mongolia: Organisational and Institutional Issues	English	11
						Project Approach to Support Participatory Forest Management	English	18

						in Mongolia		
7	Mrs. I. Lecup	Training MA&D - Phase 3	22 April 2010	14 May 2010	3	Community-based tree and forest Enterprise Development using the MA&D approach Phase 3	English	50
8	Mr. P. Zingari	Urban - Soum Forest	03 May 2010	10 June 2010	5	Urban / Soum Forest Concept	English	19
9	Mr. R. Fisher	Sociologist - effectiveness of FUG	24 May 2010	10 July 2010	5	Study of local institutions for PFM in Mongolia	English	29
10	Mr. N. Rozemeijer	NUM curricula development	02 June 2010	12 June 2010	2	Interim report and Course guide	English	6 38
11	Mr. D. Gilmour	Project Mid-term Review	01 Aug. 2010	03 Sept. 2010	4	Mid-term Review	English	112
12	Mr. Toon De Bruyn	Training Conflict management	14 Jan. 2011	22 Jan. 2011	1	Training report	English	16
13	Mr. K. Mielikäinen	Key note speaker, 2nd Forestry Forum	14 Feb 2011	19 Feb 2011	1	Report + key note paper and presentation	English	4 + 6 + 23 slides
14	Mr. J. Sved	Silvicultural guidelines	1 March 2011	25 Mar. 2011	4	Guidelines+ Report	English	19 5
15	Mr. N. Rozemeijer	NUM curricula development	10 April 2011	21 April 2011	2	Final report + Course guide + WebPages	English	3 76
16	Ms. K. MacKinnon	Preparation of PIF for GEF funding	7 June 2011	19 June 2011	2	Mission report + GEF-PIF	English	4 + 18
17	Mr. Joost Foppes	Documentation of participatory forest management (PFM) process in Mongolia	10 Nov. 2011	12 Dec. 2011	5		English	
18	Mr. Bob Fisher	Effectiveness of FUG - Follow-up	12 Nov. 2011	31 Dec. 2011	4		English	

		study						
19	Mr. Don Gilmour	Project final evaluation	21 Nov. 2011	15 Jan. 2012	5		English	

FAO Backstopping missions

	Name	Institution	Start Date	End Date	No. days	Report	Language	No. Pages
1	Mr. Dominique Reeb		6 Aug. 2007	15 Aug. 2007	10	BOR	English	4
2	Mr. Patrick Durst		7 Aug. 2007	10 Aug. 2007	4	BOR	English	?
3	Mr. Edward Hotte		7 Aug. 2007	9 Aug. 2007	3	BOR	English	?
4	Mr. Dominique Reeb		20 July 2008	29 July 2008	10	BOR	English	7
5	Mr. Patrick Durst	FAO-RAPO	5 Oct. 2009	11 Oct. 2009	7	BOR	English	7
6	Mr. Patrick Durst	FAO-RAPO	21 Aug. 2010	28 Aug. 2010	8	BOR	English	6
7	Mr. Patrick Durst	FAO-RAPO	19 May 2011	21 May 2011	3	BOR	English	?

Interns

	Name	Institution	Start Date	End Date	N0. weeks	Report	Language	No. Pages
1	Mr. F. Taberlet	ENGREF, Paris, France	05 Apr. 2010	03 Sept 2010	20	Gestion participative des forêts du nord mongol : analyse du contexte institutionnel local et suggestions pour une nouvelle politique forestière.	French English summary	132
2	Mrs. Buzmaa Bayraa	Darkhan Agricultural University	01 June 2010	31 July 2010	8	Brief activity report	English	2

Annex 11. Timeline of key events in the life of the project

Date	Event
13/11/2006	Project approved and signed by the Kingdom of the Netherlands
01/12/2006	Signing of agreement between the MNE and FAO
13/02/2007	Official commencement of project
03/04/2007	Commencement of CTA - Mr. Patrick Evans
27/05/2007	Approval of new Forest Law
22/10/2007	Recruitment of national project coordinator, Mr. Ts Dashzeveg
12/11/2007	Inception workshop
20/02/2008	Appointment of project staff
19-31/05/2008	First training on participatory forestry by RECOFTC
02/06/2008	Establishment of Forestry Agency
11/06/2008	Departure of CTA
01/11/2008	Arrival of new CTA Mr. Dominique Reeb
4-09/12/2008	Training on PFM concept and planning workshop
14-16/01/2009	Workshop on reviewing SFMP and constitution
02-09/2009	Selection of 12 pilot Forest User Groups
16-31/03/2009	Nepal study tour
20-25/04/2009	Training on action learning
18-20/05/2009	PFM guidelines, CBFiM and SFA workshop
29/05-9/06/2009	Training on MA&D, Phases 1 and 2
25/06/2009	Approval by Forestry Agency of FUG constitution, SFA and SFMP
01-03/07/2009	Mid-year planning workshop
07/2009	Publication of Nepal study tour report and wide dissemination (1000 copies)
05-09/2009	Approval by MNET of PFM related sub-decrees
02/10/2009	Appointment of project steering committee
12/10/2009	Reprint of Nepal Study Tour Report (1000 copies)
14/10/2009	First steering committee meeting
19/11/2009	Appointment of new NPD, Mrs Tungalag, Director, Forestry Agency
08/12/2009	Approval of Frequently Asked Questions (FAQs) from FUG by Forestry Agency
15-18/12/2009	CBFiM and 2010 planning workshop
20/01/2010	CBFiM guidelines
27/01/2010	Publication and wide dissemination of “Guidelines for foresters” - legal framework for PFM (2000 copies + 2000 copies April 2010)
27/01/2010	Publication and wide dissemination of “Trees and shrubs of Mongolia” illustrated book (1000 copies + 2000 copies April 2010)
01-02/02/2010	First National Forestry Forum
02/02/2010	Launching of forest policy formulation
07/04/2010	TOR for Forestry Agency PFM Officer officially approved by Ministerial resolution #86
23/04/2010	Signature of MoU with Eco-Asia University and Eco-Asia Institute
25/04-09/05/2010	Training on MA&D, Phase 3
18/05/2010	CBFiM training jointly with Forest Agency and NEMA, practice of control burning with FUG, revision of guidelines
18-19/05/2010	Training on SFMP and preparation of 1st SFMP with Dundat-Urguu FUG, Bulgan
04/06/2010	Workshop on urban/soum forest concept development
02-12/06/2010	WUR-CDI support to NUM curricula development for PFM
04/06/2010	Award to CTA as “best environmental officer” by Minister of MNET
08/06/2010	Appointment of Steering Committee for forest policy formulation and for NFP
10/06/2010	First forest policy Steering Committee meeting

15/06/2010	Publication and wide dissemination of the Forestry Forum proceedings (500 copies)
22/06/2010	Meeting with Minister of Education Culture and Sciences, agreement on development of school and vocational school curricula
28/06/2010	Publication of 1st Forestry Forum proceedings and dissemination
01-02/07/2010	Mid-year planning workshop
09/08/2010	Award ceremony at Parliament for first 11 FUGs to have developed SFMP themselves
09/08/2010	Signature of MoU with WWF
11-30/08/2010	Mid Term Review
18-19/10/2010	Joint retreat Forestry Agency - FAO - GTZ, "Participatory forest management and development of simple forest management plans". Agreement on PFM concept
11/11/2010	PFM as a main topic during the conference on "Climate change and forest eco-systems" organized by the Faculty of Biology, Forestry Department, National University of Mongolia
05/11/2010	Forestry Agency Board of Directors approved the revised PFM concept
21-28/11/2010	Study tour Finland
03/12/2010	Illustrated desk calendar on PFM concept and legal framework widely distributed (1500 copies)
30/12/2010	Project yearly planner distributed (200 copies)
8-10/12/2010	2011 project planning workshop
17/01/2011	Mongolian translation of FAO guidelines on developing effective forest policy (200 copies)
18/01/2011	Reprint of 1st National Forestry Forum proceedings (200 copies)
17-21 /01/2011	Training of project staff and counterparts on conflict management
26/01/2011	Recruitment of 8 trainees (young forestry professionals, 5 men, 3 women) to be trained on PFM 6 months in the project (training to start on March 1st 2011). Upon successful completion of the training 5 of them will be employed by the Forestry Agency, at Forest Unit level.
15/02/2011	One day workshop with representatives of 20 FUGs to prepare a joint presentation for the 2nd National Forestry Forum. At this meeting FUGs representatives pledged to form a national FUG association.
16-17/02/2011	2nd National Forestry Forum - Forest Policy Reform. More than 200 participants, widely acknowledged on all main TV networks
22/02/2011	The Dutch Embassy in Beijing informed the project that the no-cost extension is not approved
01/03/2011	Meeting with Minister MNET, Director Forestry Agency, GIZ Program Manager to present policy recommendations (18 points). Outcome: Minister required to organize a meeting with three tender winners for forest policy formulation where he will stress points proposed by FAO and GIZ
04/03/2011	Meeting with Minister MNET and teams of three groups in charge of forest policy formulation. Minister stressed the need to change vision about Mongolian forests: it is not wrong to cut trees. It enables keeping younger and healthier forests
04/03/2011	Official handing over of "Curricular Guidelines for Undergraduate Study in Participatory Forest Management" with Forestry Agency, Eco Asia University and Eco-Asia Institute.
31/03/2011	The Minister MNET agrees to allocate 3 million USD from GEF allocation for biodiversity and land degradation
9/05/2011	Curricula for BSc and MSc programs on PFM for the National University of Mongolia have been completed.
30/05/2011	Translation of the US Forest Service-FAO magazine for kids on the "World's Forests" and printing of 1000 copies that were distributed to schools and kids

	summer camps
8/06/2011	Reprint of "Trees and bushes of Mongolia" (1000 copies)
7-18/06/2011	Formulation of GEF PIF
20/06/2011	First draft of GEF PIF sent to FAO HQ
23/06/2011	Prize award to the 4 best students of the PFM module taught for the first time at Eco Asia University and Eco-Asia Institute.
27-29/06/2011	Mid-year planning workshop
1/07/2011	Three research grants awarded to M.Sc. Students from NUM
4/07/2011	Official endorsement of GEF National Focal Point to commit 2 million USD from Biodiversity, 1 million USD from Land Degradation and 1 million USD from SFM/REDD+, to support countrywide scaling-up of PFM
5/07/2011	Publication Fire Management Guidelines (1000 copies)
7/07/2011	Establishment by Ministerial order of a PFM Unit within the Forestry Agency
4/08/2011	Reprint of the US Forest Service-FAO magazine for kids on the "World's Forests" (2000 copies) that were distributed to schools and kids summer camps
15/08/2011	Second draft of GEF PIF sent to FAO HQ
29/08/2011	Third draft of GEF PIF sent to FAO HQ
29/08/2011	Submission to the Finnish Ministry of Foreign Affairs of a project proposal (500,000 Euros under the Institutional Cooperation Instrument ICI), prepared by NUM and the Finnish Research Center METLA and facilitated by the project.
7/09/2011	Publication of PFM guidelines (300 copies)
26/09/2011	Appointment of project field facilitator in Khentii as Head of the newly established PFM unit within the Forestry Agency
27/09/2011	Publication of guidelines for soum authorities on how to support PFM (500 copies)
30/09/2011	Two research and teaching grants awarded to PSATI of Darkhan University
Aug/Sept 2011	Harvesting and sale of firewood by 11 of the 12 original pilot FUGs
6/10/2011	Fourth draft of GEF PIF sent to FAO HQ
6-10/10/2011	FAO video and photo mission for preparation of press release about the project's success to be released at the APFC (Beijing November 7-11, 2011)
12/10/2011	Approval by the Finnish Ministry of Foreign Affairs of a project proposal to strengthen forest research in Mongolia (see above 29/08/2011)
18/10/2011	Project workshop to finalize the update and simplification of the MA&D guidelines
26/10/2011	Silvicultural guidelines published (280 copies)
31/10-4/11/2011	Study tour to Finland of Mr. P. Altangerel, Member of Parliament and Chair of the Food, Agriculture and Environmental Standing Committee, Mr. Ts. Banzragch, Director of the Strategic Planning Division of the Ministry of Nature, Environment and Tourism and Mr. Ts. Dashzeveg, National Project Coordinator, FAO forestry project, to study the impact of Finnish forest policy on SFM
7/11/2011	Project success outlined at a FAO press conference at the APFC in Beijing - Release of the video "Herders taking responsibility to protect woodlands" to the international media
21-22/11/2011	Forestry Agency workshop to train forest unit officers to support the development of SFMPs for FUGs
23/11/2011	Video on PFM in Mongolia, 20 min - "The spirit of owning the forest" - 200 CD produced
31/1/12	Project scheduled to finish

Annex 12. Commercial harvesting and marketing of firewood and NTFPs from pilot FUGs, 2011

(Information as at 16.11.2011)

No	Aimag / Facilitator	FUG	Soum	Forest area SFMP (ha)	Product	2011					
						According to business plan	Already produced	Total sold	Sold where	Unit price (MNT/m$^{3)}$	Total income (MNT)
1	**SELENGE** Mr. Ganbold	**Altansumber**	Sant	8,882	Firewood	200 m^3	209 m^3	24 m^3	*Sant* soum citizens	25,000	**600,000** (185m^3 prepared and ready to sell to Sant soum citizens)
		Khargistai-Bayanburd	Tsagaanuur	7,482	Firewood	150 m^3	147 m^3	147 m^3	Residents from neighbor soum	25,000 (rough estimation)	**3,675,000** (not confirmed income) 560,000 is put into the Mutual Fund
		Dalt	Baruunburen	4,327	Firewood	56 m^3 for own consumption	Have not produced any firewood	No sales	-		-
2	**BULGAN** Mrs. Bayarmaa	**Dundat-Urguu**	Bugat	3,300	Firewood	280 m^3	140 m^3 (25 porters)	40 m^3	Welfare Department in soum	15,000	**600,000**
						1,500 m^3 Contracted with Bugat Governor	Just started producing		Will sell in Erdenet, Bulgan and at the FUG site	Price will be decided on the occasion of sale	-
		Uguuj-Buren	Khangal	15,000	Firewood	180 m^3	60 m^3	60 m^3	Soum Governors office	11,666	**700,000**
		Monostoi	Bugat	7,000	Firewood	140 m^3	80 m^3 "AZZA" company logged the wood in the FUG area	80 m^3	"AZZA" Co. LTD in Erdenet transferred 200,000MNT to their account as an incentive, because they logged wood from their forest	25,000	**200,000**
3	**KHUVSGUL** Mrs. Purevdash	**Talyn Tolgoi**	Tunel	3,500	Firewood	1,040 m^3	320 m^3	320 m^3	-	2,913	**932,465**
							831 pieces of pole	831 pieces of pole	*Murun* Airport	1,985	**1,649,535**

							80m^3	80 m^3	Aimag prosecutor agency EPTA officers	20,000	**1,600,000**
					Tea plants	3,600 kg	Have not gathered any plant		Negotiating with Tea factory in *Murun*		Expected income 540,000MNT
		Urtbulag	Tunel	3,680	Firewood	2,944 m^3	376 m^3	376 m^3	*Murun* market	6,250	**2,350,000**
							224 m^3	224 m^3 (Sold at the FUG site)	Military army	6,250	**1,400,000**
							80 m^3	80 m^3	Soum Governor Office	12,500	**1,000,000**
					Tea plants	3,000 kg	Have not gathered any plant		Negotiating with Tea factory in *Murun*		Expected income 450,000
		Badar	Tsagaan-Uur	15,000	Firewood	2,880 m^3	160 m^3	160 m^3	Cultural center *Tsagaannuur* Soum	7,500	**1,200,000**
4	**KHENTII** Mr. Enhtaivan	**Amirlangui**	Dadal	4,133	Firewood	80 m^3	80 m^3	80 m^3	Kindergarden in *Dadal*	15,000	**1,200,000**
		Delger-Onon	Binder	5,996	Firewood	700 m^3	700 m^3	640 m^3	Welfare Department in *Binder* and soum families	5,968.75	**3,820,000**
							200 m^3	-		10,000-15,000 (depending on the quality)	**-**
		Buural-Sansar	Binder	1,260	Firewood	50m^3	50 m^3	33 m^3	Households in *Binder*	18,378	**606,500**
TOTAL INCOME											**21,533,500 MNT (15,491 USD)**

Note: some unit prices are rough estimates, because firewood is normally sold in trucks and the amount in each truck may not be the same all the time. However, the total income is confirmed except for Khargistai Bayanburd FUG.

Annex 13. Changes to the regulatory framework and institutional arrangements since 2007 and their relevance for PFM

Date	Instrument	Relevance for PFM
17-5-07	Law on Forest	Article 8.1.3 makes provision for "forest partnerships" to "...protect, rationally utilize and restore forest in a given territorial and administrative division" thus providing the legal space for FUGs to be established.
20-5-09	Sub-decree on logging *Appendix 1 of Resolution No 127, MNET.*	Legitimises logging in accordance with FUG management plans and with the consent of FUGs.
21-5-09	Sample rule for aimag or capital EPTA forest unit *Appendix 1 and Appendix 2 of Resolution No 50, MNET.*	Makes provision for aimag forest unit to approve FUG management plans. Makes provision for technical services from the forest unit to support monitoring of FUG management plans.
24-6-09	Letter of approval from Forestry Agency to Project	Approval for project to test in 12 pilot FUGs application of: • Simplified format for FUG management plans; • Simple forest assessment; • FUG constitution.
16-7-09	Sub-decree on thinning in forestry. *Approved by Resolution number 190, MNET*	Gives authority for FUGs to carry out thinning operations in accordance with the Forest Law.
16-7-09	Sub-decree on conducting cleaning cut in a forest *Supplement No 2 to the Decree No 190, MNET*	Gives FUGs the right to carry out cleaning (tending) operations.
22-7-09	Sub-decree to allocate forest fund on the contract basis *Appendix 1 of Government Resolution No 227*	Sets out the basic framework for establishment and operation of FUGs.
2-9-09	Sub-decree on utilization of non-timber forest product and natural plant *Appendix 1 of Resolution No 240, MNET*	Gives FUGs priority rights for usage of NTFPs in their forests. Non FUG members need to negotiate with FUGs before utilising NTFPs in FUG forests.
8-12-09	Frequently Asked Questions (about PFM) *Approved by Forestry Agency*	Gives practical guidance to government officials and FUG members on the practical application of the formal regulatory framework.
2-2-10	Commencement of a process to develop a National Forest Policy	Will provide a formal policy structure within which to locate PFM.
5-11-10	Forestry Agency Board of Directors approved the revised PFM concept for national implementation.	Legitimises the use of the PFM concept developed by the Project across the whole country.
7-7-2011	Ministerial order to establish a PFM Unit within the Forestry Agency	Create an institutional "home" for PFM within the Forestry Agency

Annex 15. Project supported research

Carried out by the project

1. Thinning trials conducted by Dr. Sambuu

No	Aimag	Soum	Place/location/forest area
1	Selenge	Tsagaan nuur	Baruun Khargistai
2	Bulgan	Saikhan, Bugat	Saadagtiin Ar (Saikhan soum)
3	Khentii	Dadal	Khajuu Bulgiin Urd Ar
4	Khovsgol	Burentogtokh	Modot Tolgoin Ar

2. Thinning trials in the forest of Altan Sumber FUG, Sant Soum, Selenge Aimag.
3. Natural regeneration and planting plots, effect of grazing, effect of soil scarification in 4 sites: Delger Onon FUG-Khentii, Altansumber FUG-Selenge, Monostoi FUG-Bulgan, Urtbulag FUG and Taliin Tolgoi FUG-Khuvsgul.

Carried out by National University of Mongolia

1. "Forest legislation and participatory forestry" - PhD student, Mrs. A. Uyanga (2010)

Carried out by State Agricultural University of Darkhan, Plant Science and Agricultural Research and Training Institute (PSARTI)

1. "Study on Simple Forest Management Planning, Sant soum, Selenge Aimag", Mrs. B. Odonchimeg, Teacher (October - December 2011).
2. "Survey and maintenance of trial plots, Sant soum, Selenge Aimag", Mrs. S. Tavanjin, Teacher (October - December 2011).

Carried out by Florent Taberlet, Intern, Ecole Nationale du Génie Rural et des Eaux et Forêts (ENGREF), Paris

1. Gestion participative des forêts du nord mongol: analyse du contexte institutionnel local et suggestions pour une nouvelle politique forestière. (April - September 2010)

Carried out by Technical University

1. Under the supervision of Dr. Sambuu (August 2011)

Carried out by National University of Mongolia

1. "Monitoring and evaluation of thinning research plots in Sant soum, Selenge aimag" by Ms. G. Khishigjargal M.Sc. student (July - December 2011);
2. "Human impact on forests in Tunel soum, Khuvsgul aimag" by Ms. G. Enkhzaya M.Sc. student (July - December 2011);
3. "History of forest fires and forest utilization in Tunel soum, Khuvsgul aimag" by Ms. Ts. Gansugar M.Sc. student (July - December 2011).

Annex 14. Capacity building carried out by the Project (not including training by field offices)

Table 1. List of PFM orientation workshops, targeted mainly at government staff, but including some FUG members and NGOs

No	Topic	Date	Participants
1.	Basics in Participatory Facilitation for PFM, Bulgan Aimag, Khangal and Bugat Soums	18th-21st August 2009	24 participants
2.	Basics in Participatory Facilitation for PFM, Module 1, Khentii Aimag	September 8th - 9th, 2009.	21 participants
3.	Basics in Participatory Facilitation for PFM, Module 1, Khuvsgul Aimag.	September 29th, October 7th, 2009	90 participants
4.	Basics in Participatory Facilitation for PFM, Module 1, Darkhan Aimag and Selenge Aimag.	October 13th - 16th, 2009	45 participants
5.	Problem and solution tree training for field facilitators in Khentii.	December 8th - 9th, 2009	14 participants
6.	Basics in Participatory Facilitation for PFM, Module 2, Darkhan Aimag	January 5th - 7th, 2010	43 participants
7.	Basics in Participatory Facilitation for PFM, Module 2, Khuvsgul Aimag	January 13th - 18th, 2010	56 participants
8.	Basics in Participatory Facilitation for PFM, Module 2, Binder Soum, Khentii Aimag	February 8th - 10th, 2010.	19 participants
9.	Basics in Participatory Facilitation for PFM, Module 2, Bulgan Aimag	March 2nd - 5th, 2010.	66 participants
10.	Basics in Participatory Facilitation for PFM, Module 3, Darkhan Aimag	May 10th to 15th, 2010	32 participants
11.	Basics in Participatory Facilitation for PFM, Modules 1 and 2, Khentii Aimag	June 24th to 27th, 2010	33 participants
12.	Basics in Participatory Facilitation for PFM, Module 3, Bulgan Aimag	July 26th to 31st, 2010	29 participants
13.	Basics in Participatory Facilitation for PFM, Module 3, Khentii Aimag	August 4th to 10th, 2010	44 participants
14.	Training workshop on Basics in Participatory Facilitation for PFM, Module 3 “Problem and solution tree analysis”, in Galt, Khatgal and Tarialam, Khuvsgul Aimag	September 18th to 29th, 2010	67 participants
15.	Training workshop, Module 4 “Participatory introduction of Constitution and By-laws”, Darkhan, Darkhan Aimag	October 11th to 15th, 2010	22 participants
16.	Training workshop for WWF staff “Basics on Participatory Forest Management”, Dadal soum, Khentii Aimag	October 17th to 23rd, 2010	12 participants
17.	Training workshop, Module 4 “Participatory introduction of Constitution and By-laws”, Khuvsgul	November 2nd to 7th, 2010	67 participants

	Aimag		
18.	Official handing over of "Curricular Guidelines for Undergraduate Study in Participatory Forest Management" with Forestry Agency, Eco Asia University and Eco-Asia Institute, Ulaanbaatar,	March 4th, 2011	18 participants
19.	Training workshop on "Basics in participatory Forest Management in Mongolia", in Oendoerkhan, Khentii Aimag	March 8th to 13th, 2011	74 participants
20.	Training workshop on "Basics in participatory Forest Management in Mongolia" in Bulgan, Bulgan Aimag	March 14th to 19th, 2011	51 participants
21.	Training workshop on "Logframe development, road to progress and problem and solution tree", in Murun, Khuvsgul Aimag	March 30th to April 4th, 2011	38 participants
22.	Training workshop on "Basics in participatory Forest Management in Mongolia" in collaboration with GIZ Programme "Climate Change and Biodiversity", in Tsetserleg, Arkhangai Aimag	May 26th to 29th, 2011	22 participants
23.	Training workshop on "Logframe development", Module IV, in Darkhan, Darkhan Aimag	June 9th to 12th, 2011	43 participants
24.	Training workshop on "Logframe development", Module IV, in Bulgan, Bulgan Aimag	June 13th to 18th, 2011	41 participants
25.	Training workshop on "Participatory Forest Management", Modules 1 to 5, in Bulgan, Bulgan Aimag	August 29th to September 3rd, 2011	35 participants
26.	Training workshop on "Participatory Forest Management", Problem/Solution Analysis and SFMP development. Oendorkhan, Khentii Aimag	September 5th to 8th 2011	22 participants
27.	Training WS on Conflict Management in PFM	October 3rd to 7th, 2011	29 participants
28.	Training workshop on "Participatory Forest Management", Modules 6, in Moron, Khuvsgul Aimag	November 8th to 11th 2011	

Table 2. List of general capacity building events

No	Topic	Date	Participants
1.	Community Forestry Seminar Baganuur sub-district of UB	5 October 2007	48 participants
2.	Inception Workshop	12 November 2007	55 participants
3.	Forest Law Seminar	24 November 2007	62 participants
4.	Field Facilitator Training / Orientation Ulaanbaatar	21 – 23 February 2008	12 participants
5.	Ranger Training Hovsgol Aimag	26 February 2008	85 rangers

6.	Field Facilitator Training Bulgan aimag	21-23 March 2008	8 participants
7.	Forest Law Seminar –Regional workshop	04 April 2008	63 participants
8.	Database training, Bulgan aimag	23 March 2008	4 facilitators
9.	RECOFTC training Ulaanbaatar	19 – 31 May 2008	30 participants
10.	Field facilitator training Hentii aimag	25-26 July 2008	4 facilitators
11.	Participatory forestry and forest thinning	24-27 July 2008	55 participants
12.	Field Facilitator Training in Ulaanbaatar	December 8th and 9th, 2008	18 participants
13.	Field trip to visit GTZ project sites in Selenge aimag, FUG "Kharaagiin Hischig" and FUG "Khurgalag".	18th and 19th January 2009	15 participants
14.	Nepal study tour March 15th to 31st 2009	February 2009	17 participants
15.	Review of sub-decree for Nukhurluls	April 16th, 2009	8 participants
16.	Training workshop Action Learning.	April 20th to 25th, 2009	31 participants
17.	Training on SFA	May 7th, 2009	18 participants
18.	MA&D training	29th May to June 9th, 2009	27 participants
19.	Workshop on PFM guidelines, CBFiM, SFA	May 18th to 20th, 2009	21 participants
20.	Drafting workshop, sub-decree thinning	June 26th to 28th, 2009	12 participants
21.	Review of sub-decree thinning workshop	June 29th, 2009	12 participants
22.	Review of project concept and Workplan update 2009	July 1st to 3rd, 2009	19 participants
23.	Introduction of MA&D concept to FUG in Khentii, Dadel and Binder Soum	July 4th to 7th, 2009	21 participants
24.	Drafting workshop, sub-decree on NTFPs	July 22th to 23th, 2009	6 participants
25.	Working group on legal framework for FUGs, FAQs.	October 4th, 2009.	6 participants
26.	Workshop on participatory forestry for journalists, Ulaanbaatar	October 29th, 2009.	16 participants
27.	Problem and solution tree training for field facilitators in Darkhan and Bulgan	November 16th - 18th, 2009	26 participants
28.	Training on Community-based Forest Fire Management, Ulaanbaatar.	December 15th, 2009	19 participants
29.	Project review and planning workshop and map production and stand volume assessment training, Ulaanbaatar.	December 16th-18th, 2009	19 participants
30.	Project workshop on Simple Forest Assessment, Ulaanbaatar	January 29th, 2010	17 participants
31.	First National Forestry Forum, Ulaanbaatar	February 1st - 2nd, 2010	210 participants
32.	Debate on participatory forestry, Forestry Agency, Ulaanbaatar	February 4th, 2010	23 participants
33.	Workshop on urban/soum forest development, Forestry Agency, Ulaanbaatar	March 30th, 2010.	23 participants
34.	Training workshop on Community-based Forest Fire Management, organized in collaboration with the Forestry Agency and	May 18th, 2010	27 participants

	the National Emergency Management Agency, Bulgan, Bulgan Aimag.		
35.	Training workshop on the use of GPS and preparation of Simple Forest Management Plans, Bulgan, Bulgan Aimag	May 19th to 20th, 2010.	27 participants
36.	Workshop on Soum and Urban Forest Management Concept Development, organized in collaboration with the Forestry Agency, Ulaanbaatar	June 4th, 2010.	16 participants
37.	Workshop on "Study of local institutions and forest management in Mongolia", organized in collaboration with the Forestry Agency, Ulaanbaatar.	June 28th, 2010	18 participants
38.	Review of project concept and Workplan update 2010, Ulaanbaatar.	July 1st to 2nd, 2010	19 participants
39.	Award ceremony for the first 11 FUGs to have completed their SFMP, organized at the National Parliament in collaboration with the MNET and the Forestry Agency, Ulaanbaatar	August 9th, 2010	36 participants
40.	Presentation of the project mid-term review, organized in collaboration with the MNET and the Forestry Agency, MNET, Ulaanbaatar	August 27th, 2010	20 participants
41.	Joint retreat Forestry Agency - FAO - GTZ, "Participatory forest management and development of simple forest management plans", Zuunkharaa, Selenge Aimag	October 18th to 19th, 2010	36 participants
42.	Review of PFM implementation process and preparation of workplan 2011, Ulaanbaatar	December 8th to 10th, 2010	22 participants
43.	Training workshop "Conflict management and mediation", Ulaanbaatar	January 17th to 21st, 2011	26 participants
44.	Second National Forestry Forum, Forest Policy Reform, Ulaanbaatar	February 15th to 17th, 2011	220 participants
45.	Meeting on Forest Policy formulation, organized jointly with MNET, Ulaanbaatar	March 4th, 2011	15 participants
46.	Training workshop for WWF staff on "Simple Forest Assessment" in collaboration with WWF in Khentii Aimag in Dadal, April 23rd to 24th and in Binder	April 26th to 27th, 2011	12 participants
47.	Training workshop for WWF staff on "Participatory Forest Management" in collaboration with WWF in Dadal, Khentii Aimag	April 28th to May 3rd, 2011	12 participants
48.	Training workshop for WWF staff on "FUG constitution" in collaboration with WWF in Khentii Aimag in Dadal, May 23rd and 24th and in Binder	May 25th and 26th, 2011	12 participants
49.	Stakeholder workshop to review the GEF-PIF proposal, in collaboration with the MNET and the Forestry Agency, MNET conference room	June 16th, 2011, Ulaanbaatar	20 participants

50.	Training workshop for WWF staff on "Participatory Forest Management" in collaboration with WWF in Khentii Aimag in Dadal	June 20th to 21st and in Binder, June 22nd to 23rd, 2011	14 participants
51.	Training on silvicultural guidelines and mid-year project planning workshop, Terelj National Park	June 27th to 30th, 2011	28 participants
52.	Project workshop on scaling-up strategy, policy recommendations, feedback on SFMPs and recommendations for MA&D, Ulaanbaatar	September 26th 27th 2011	13 participants
53.	Training workshop for WWF staff on "Participatory Forest Management" in collaboration with WWF, Module 6 ,Dadal, Khentii Aimag	October 11th to 13th 2011	12 participants
54.	Workshop on adapted MA&D field facilitator's guidelines	October 18th, 2011	10 participants

Table 3. Participants* of PFM orientation workshops by profession and gender since July 2009 up to date

	Ranger	Inspector	EPTA Adm.	FUG	NGO	Other	Total	Gender w/m	
Bulgan Aimag	122	25	16	59	15	45	272	89	183
Darkhan Aimag	80	34	27	37	12	17	214	59	155
Khentii Aimag	72	34	21	66	31	42	265	83	182
Khuvsgul Aimag	197	88	16	0	5	12	318	74	244
WWF Dadel	0	0	0	5	31	0	36	12	24
GIZ Tsetserleg	3	3	5	10	0	1	22	6	16
Total	**474**	**184**	**85**	**177**	**94**	**117**	**1127**	**323**	**804**
%/Total	42	16	8	16	8	8	100	29	71

*Participant numbers refer to module person-days, with one module generally conducted over two days.

Annex 16. Awareness raising products

	Report	Remarks	Author	Date
1	Project yearly planner	200 copies		Jan. 2009
2	Illustrated desk calendar on PFM concept and legal framework	1,000 copies		Jan. 2009
3	TV reports on the Mongolian delegation in Nepal	Broadcast on National News prime time		March 2009
4	Report of study tour on Nepal experience “30 years of experience in Nepal since establishment of FUGs”	2,000 copies	Mr. D. Enkhsaikhan	Aug. 2009 – Oct. 2009
5	Booklet on tree and shrubs of Mongolia	4,000 copies	Mr. D. Enkhsaikhan	Dec. 2009 - April 2010 - June 2011
6	Project yearly planner	200 copies		Dec. 2009
7	Illustrated desk calendar on PFM concept and legal framework	1,500 copies		Dec. 2009
8	“Guidelines for foresters” - legal framework for PFM	4,000 copies	Forestry Agency - Project	Jan.-April 2010
9	1st National Forestry Forum - Forest Policy Reform	> 200 participants	Forestry Agency-FAO-GTZ	Feb. 2010
10	1st National Forestry Forum proceedings	500 copies		June 2010
11	Award ceremony at Parliament for first 11 FUGs to have developed SFMP themselves	Broadcasted on National News		Aug. 2010
12	Illustrated desk calendar on PFM concept and legal framework	1,500 copies		Dec. 2010
13	Project yearly planner	200 copies		Dec. 2010
14	2nd National Forestry Forum - Forest Policy Reform	> 200 participants	Forestry Agency-FAO-GTZ	Feb. 2011
15	Translation of the US Forest Service-FAO magazine for kids on the “World’s Forests”	3,000 copies		May 2011 – Aug. 2011
16	Guidelines for training on community-based fire management	1,000 copies	Mr. E. Dorjtsuren	Dec. 2009 July 2011
17	PFM guidelines	300 copies	Mrs. L. Knur, Mr. D. Reeb, Mrs. D. Purevdash	Aug. 2011
18	PFM guidelines for Soum governors	500 copies	Mr. N. Dashdorj, Mr. S. Tuguldur	Sept. 2011
19	Silvicultural guidelines	300 copies	Mr. J. Sved and Mr. B. Sambuu	Oct. 2011
20	Video “Herders taking responsibility to protect woodlands”	English, French, Spanish, Chinese	Mr. S. Nettleton	Oct. 2011
21	Video on PFM in Mongolia, 20 min, “The spirit of owning the forest”	200 CD	Mrs. D. Sundergusem	Nov. 2011

22	MA&D Facilitators guidelines Phase I, II, III	300 copies	T. Steinsberger, E. Oyuka (2011)	Dec. 2011
23	Example of business plan for FUGs	300 copies	T. Steinsberger, E. Oyundelger (2011)	Dec. 2011
24	MA&D quick references guidelines Phase I, II, III	300 copies	T. Steinsberger, E. Oyundelger (2011)	Dec. 2011
25	Practical Microcredit Guidance for FUGs	300 copies	E. Fontein, E. Oyundelger (2011)	Dec. 2011
26	Service providers for FUGs' small scale enterprises	300 copies	Project team (2011)	Dec. 2011