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**Independent Evaluation of FAO-Netherlands Partnership Programme  
(Phase II)**

**2004-2007**

**Final Report**

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**LIST OF ABBREVIATIONS**

AFH	Honduran Forestry Agenda
APO	Associate Professional Officer
ASCU	Agricultural Sector Coordination Unit (Kenya)
BNFSS	Bhutan National Food Security Programme
CAC	Central American Agricultural Council
CAFTA	Central America Free Trade Agreement
CATIE	Tropical Agricultural Research and Higher Education Centre
CBD	Convention on Biological Diversity
CCAD	Central American Commission for Environment and Development
CGIAR	Consultative Group on International Agricultural Research
COHDEFOR	Honduran Forestry Development Corporation
COMIFAC	Central Africa Forests Commission
COMISA	Central America Council of Health Ministers
DCCFF	Department of Commercial Crops, Fruits and Forestry (Zanzibar)
DPFT	District Planning Facilitation Team (Bhutan)
DRC	Democratic Republic of the Congo
EFCA	Central American Forestry Strategy
ERA	Central America Regional Agro-Environmental Policy
ESNACIFOR	National Forestry School (Honduras)
FAO	Food and Agriculture Organization of the United Nations
FAOR	FAO Representative
FFS	Farmers' Field School
FNPP	FAO-Netherlands Partnership Programme
FYP	Five-Year Plan
GEF	Global Environmental Facility
GFAR	Global Forum on Agricultural Research
GOFO	Forstry Governance Committee (Nicaragua)
GTZ	German International Cooperation Enterprise
IDA	International Development Association
IEE	Independent External Evaluation of FAO
IICA	Inter-American Institute for Cooperation on Agriculture
ILRI	International Livestock Research Institute
ILUA	Integrated Land Use Assessment (Zambia)
INAFOR	National Forestry Institute (Nicaragua)
INRA	Integrated Natural Resources Assessment (Kenya)

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IPC	Food Security and Humanitarian Phase Classifications
IPGRI	International Plant Genetic Resources Institute
IPM	Integrated Pest Management
ITTO	International Tropical Timber Organization
KARI	Kenya Agricultural Research Institute
KEFRI	Kenya Forestry Research Institute
KFS	Kenya Forest Service
KPFR	Kiwengwa-Pongwe Forest Reserve (Zanzibar)
MAGFOR	Ministry of Agriculture and Forestry (Nicaragua)
MALE	Ministry of Agriculture, Lands and Environment (Zanzibar)
MAMUCA	Regional Association of Small Municipalities (Honduras)
MANCOSOL	Municipalities Organization of Southwest Lempira (Honduras)
MDG	Millenium Development Goal
MKUSA	Economic Progress Programme (Zanzibar)
NISM	National Information-Sharing Mechanism (Kenya)
NPAN	National Plan of Action for Nutrition (Kenya)
NTFP	Non-Timber Forest Product
PACA	Central American Agricultural Policy
PAIA	Priority Areas for Interdisciplinary Action (FAO)
PESAL	Payment for Environmental Services from Agricultural Landscapes
PRONAFOR	National Forestry Programme (Honduras)
PRSP	Poverty Reduction Strategy Paper
RAAN	Northern Atlantic Autonomous Region (Nicaragua)
RAAS	Southern Atlantic Autonomous Region (Nicaragua)
RUTA	Central America Regional Technical Assistance Unit (Costa Rica)
SICA	Central American Integration System
SRA	Strategy for the Revitalisation of Agriculture (Kenya)
TCP	Technical Cooperation Programme (FAO)
TROF	Tree Resources Outside Forests
TWG	Thematic Working Group
UNA	National Agricultural University (Honduras)
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
WHO	World Health Organization

## I. Executive Summary

### *Introduction*

1. The FAO Netherlands Partnership Programme (FNPP) is designed to promote three major themes: Food Security, Agro-biodiversity and Forestry. The Programme has two major groups of objectives. The first are institutional objectives related to improving FAO's overall performance. The second are related to the promotion and diffusion of the three themes, their incorporation into national policy, legal and regulatory frameworks and in applied strategies and policies in IDA eligible countries, 17 of which are participating in FNPP.
2. The project has had two phases. The second phase, the subject of this evaluation, started in mid-2004 and was originally scheduled to finish in December 2007. There was a mid-term evaluation in 2005.
3. The Evaluation took place between 1 October and 20 December 2007. The Evaluation Team was composed of three independent consultants, Martin Piñeiro (Team Leader) from Argentina, Kay Muir Leresche from South Africa and James Gasana from Rwanda, plus Robert Moore from PBEE, FAO.
4. The Evaluation visited six countries: Tanzania (Zanzibar), Kenya, India, Bhutan, Honduras and Nicaragua. In addition, the Evaluation visited Costa Rica for the Central America regional activities and FAO headquarters in Rome at the beginning and conclusion of the Evaluation.

### *Main Findings*

5. FNPP is a successful programme. It is well managed, has made good progress on the planned outcomes and is making significant contributions to FAO's work in relation to the Millennium Development Goals and its policy assistance activities with member countries. Furthermore, FNPP is developing a number of activities in the participating countries with considerable potential to positively affect the lives of people. The continuation of these activities is important.
6. The design of the Programme included long term structural and institutional objectives and the desire to have rapid impact at country level. These two sets of objectives are contradictory and would have required different implementation strategies. The Programme adopted a strategy that emphasized rapidly achievable outcomes over the longer term objectives.
7. The Programme required for meeting its objectives the development of a solid conceptual framework in each of the three themes and another integrating all of them. This was done only partially.
8. The design of the Programme introduces an innovative element: the definition of outcomes to be produced as a result of outputs and activities. This concept is useful to emphasize results and impacts and allows for a more flexible budgeting and management procedures. The design, however, requires a clear and precise definition of Outcomes - a requirement that has not always been fulfilled.
9. Monitoring systems are not well developed in FNPP. The monitoring system should be adjusted to the inbuilt flexibility of the Programme and in particular to the different strategies that have been implemented in each country.
10. The overall implementing strategy applied in each country has been adapted to the special circumstance of those countries. The variability found in relation to the degree in which alliances and partnerships are used and the level of control and supervision exercised by the FAO office over the FNPP activities was considerable.

11. Notwithstanding these differences, the impact at country level is significant given the time frame of the Programme and the resources utilized. This impact is especially noticeable in the improvement of national policy, legal and regulatory frameworks to include issues and policies related to Food Security, Agro-Biodiversity and Forest Management.
12. Field activities are heterogeneous in nature and their potential success and impact. Some activities are well selected, in terms of their importance, and well designed. Others could be improved and lack the ex-ante economic analysis to justify their importance and potential. The Evaluation has identified a number of options for further work.
13. The Evaluation has prepared specific country reports for the six countries visited, which are presented as Annexes. These reports include a few country specific recommendations.
14. The Food Security theme is organized in two different Programme Entities. One is concentrated on characterizing alternative food security situations. It is important work that has built on the comparative advantages and accumulated knowledge of FAO on this theme. The other has successfully concentrated on country specific work directed to the improvement of national policy, legal and regulatory frameworks in order to include and promote food security issues and concerns in an appropriate and effective manner. The work is could in future be more focussed on implementation in addition to policy formulation.
15. The Agro-biodiversity theme explores a relatively new area of work. It is defined as the conservation of both biological diversity and the inherent knowledge and production systems that have adapted and used these resources over time. In FNPP, it is a cross-cutting theme and plays a catalytic role in developing Agro-biodiversity concepts, working closely with the other themes. It is inter-departmental and interdisciplinary, complementing the efforts to transform FAO. There is no conceptual framework which together with these factors has led to a fragmented programme that, in spite of having very good pieces of work, lacks coherence and consistency. Furthermore, there needs to be a clearer understanding of who benefits and who is paying the costs of conserving agro-biodiversity when designing interventions or influencing policy. In addition to the general recommendations on developing the concept and the conceptual framework for a future programme, there are a number of recommendations specific to Agro-biodiversity.
16. The Forestry theme is working in the largest number of countries. It is concentrated on the improvement of national policy, legal and regulatory frameworks and their application, a better understanding of forest resources and their multiple use and new approaches for sustainable forest management. Work has progressed effectively especially in the areas of improving National Frameworks and Integrated Natural Resource assessments (INRA). Among the challenges are: (a) the need to systematize the methodology for improving framework conditions (policies and laws of forestry and other related sectors); (b) strengthening of the economic dimension in community forestry initiatives and projects; and (c) provision of support to countries who need to institutionalize INRA.
17. FNPP is making a number of important contributions to the overall institutional improvement and effectiveness of FAO. These contributions have been focused on inter-disciplinary and interdepartmental work, linking normative and operational work and partnership and knowledge management. Although these contributions have to be measured with care, taking into consideration the size of the Programme, improvements could be made in order to optimize these contributions. The major areas include organizational adjustments to promote inter-departmental work, development of a conceptual framework and linking it to operational work and greater use of partnership and inter-institutional alliances.
18. The evaluation makes the following recommendations:
  1. *FNPP activities are of great importance and the Programme should be continued in some form with dependable funding over a longer planning horizon of at least three years. The development of successor arrangements should include a careful analysis of the work that*

*has been done, the achievements and shortcomings, the possibilities of new directions and the correction of the weaknesses identified in this Evaluation.*

2. *To avoid disruption of important country-based activities, if appropriate successor arrangements are not in place by early 2008, FNPP should be extended for a reasonable period of time to allow for implementation of an exit strategy. The strategy should be based on an analysis of which activities can be brought to a conclusion quickly with high likelihood of success. The proposal would include costs for the extension. Furthermore, the continuation of activities should be organized around a new programme that builds on the good work initiated by FNPP.*
3. *The successor arrangements to FNPP should be defined with more precision on the desired balance between: a) the objective of having an impact on long term substantive matters and institutional reforms; and b) the short term objectives of rapid results at the country level. It is recommended further that the long term structural objectives should receive considerably more weight than in Phase II of FNPP.*
4. *The successor arrangements to FNPP should contribute to an effort to mobilize the substantive knowledge accumulated in FAO and, in partnership with other institutions, develop a solid conceptual and operational framework for the thematic areas in its mandate.*
5. *FNPP (or its successor) should develop a conceptual and operational framework that integrates its substantive Themes whenever possible. In addition, it is suggested that the integration should recognize Food Security as the overarching objective for the new programme. Agro-biodiversity and Forest Management outcomes would be selected specifically for their contribution to sustainable Food Security.*
6. *FNPP should analyze the Outcomes that have been used, document their characteristics and usefulness and share this experience with the rest of the Organization. In a future programme, special care should be taken to identify, characterize and define outcomes in a more precise way including base line situations where applicable and include a clearly defined reporting and monitoring strategy.*
7. *FNPP should document the management procedures that have been put in place, extract the lessons and define what could be defined as the best practice. This will be an important contribution to FAO's reform.*
8. *Future activity selection should realistically weigh the clarity and consistency of the stated Outcome and the time and resources proposed to be devoted to achieving it. In addition exit strategies should be included in the design of the activity when appropriate.*
9. *FNPP should analyze the implementing strategies applied in each country, evaluate their appropriateness and, if need be, design the support mechanisms necessary.*
10. *FNPP should continue work to improve national and regional (e.g. Central America) policy, legal and regulatory frameworks and as far as possible, work towards the conceptual integration of the three thematic areas. In addition, the Programme should do more work on designing strategies for implementing the policies, in particular in the more vulnerable countries with responsive Governments.*
11. *In formulating successor arrangements to FNPP, programme designers should, taking into consideration the analysis and criteria presented in this report: and reinforce, in the selection of future activities, the criteria and the substantive areas of integrated work mentioned above.*

#### ***Recommendations for thematic areas***

12. *FNPP should extend and expand its work in the development and application of IPC. In doing so it could take into consideration the comments and suggestion included in this report.*



13. *FNPP should continue its work on the improvement of national policy, legal and regulatory frameworks introducing the issues, concerns and objectives of Food Security. Subject to the availability of funds in a successor arrangement, this work should be extended to a larger number of countries. A diagnosis of the situation in the particular country should be made, identifying the main weaknesses, realistic opportunities for making a significant contribution to the policy making process and designing interventions that are focused on the identified problems.*
14. *FNPP should develop criteria to be used in the production of a broad range of working Guidelines on the agro-biodiversity theme, which may also incorporate useful elements from work carried out by other themes. The guidelines should be made available for comment and use by a wide audience in order to better incorporate agro-biodiversity into development projects and policy.*
15. *The capacity to manage multiple activities in one country is limited and for any subsequent agro-biodiversity programme, it may be better respond to demand for activities that are central to the conceptual and strategic implementation framework of the programme.*
16. *Research and field projects need to assess the benefits and costs of agro-biodiversity and determine their incidence.*
17. *With regards to the improvement of forest policy, legal and regulatory frameworks, FNPP should systematize the experiences gained in Central America and elsewhere and develop a methodology for the analysis of gaps and incoherences in forest policies and legal frameworks.*
18. *FNPP should replicate its experiences in Integrated Natural Resource Assessment (INRA) where this approach is needed.*
19. *FNPP should provide support to countries in establishing a supportive policy environment for the development of small local forest enterprises, particularly those aimed at processing and marketing of NTFPs.*

***Recommendation on Programme contribution to institutional objectives***

20. *As an integral part of the formulation of a third phase or successor arrangements, FNPP should take stock of its contributions to institutional reform, analyze the relationships between these contributions and the organization and management practices adopted by the Programme and make suggestions as appropriate for the long-term organizational reform of FAO. It is recommended that a process of systematic analysis and documentation of current status and results from Phase II be organized as part of the holding of a workshop/seminar to formulate a new phase, with the participation of theme and country FNPP managers, FAO administration and operations staff and some external technical advice, as appropriate.*

## II. Introduction

19. The final evaluation of Phase II of the FNPP took place from 1 October-20 December 2007. As with all major FAO evaluations, the evaluation team was largely composed of independent external experts. The team was:

- Martin Piñeiro (Argentina) – Team Leader and Food Security theme consultant
- James Gasana (Rwanda) – Forestry theme consultant
- Kay Muir-Leresche (South Africa) – Agro-biodiversity theme consultant
- Robert Moore – Evaluation Manager, FAO Evaluation Service

20. The evaluation team worked at FAO Headquarters in Rome and in various countries where FNPP had been active in this phase. The mission schedule was as follows:

- 2-5 October – Briefing at FAO HQ
- 6-9 October – Visit to Zanzibar (Tanzania)
- 10-16 October – Visit to Kenya
- 17-19 October – Visit to India
- 20-24 October – Visit to Bhutan
- 25 October – Debriefing in New Delhi on visits to India and Bhutan
- 15-16 November – Visit to Costa Rica (Central America regional component)
- 17-20 November – Visit to Honduras
- 21-23 November – Visit to Nicaragua
- 24 November-8 December – Interviews and report writing at FAO HQ

Persons met by the evaluation mission are listed in Annex IX.

21. The evaluation team would like to thank all the persons who met with us during the mission and for the excellent cooperation and logistical assistance we received in each and every country we visited. Special thanks go to the FNPP Coordinators in FAO HQ and in the countries visited and FAO Representatives and their staff, who graciously assisted us throughout.

## III. Background and Methodology

### A. BACKGROUND

22. The second phase of the FNPP began in mid-2004 and was scheduled to end in December 2007. The Programme works in three themes: food security, agro-biodiversity and forestry. Each theme is set up as a project with its own budget holder, and 25 percent of the total budget is unallocated, with the Chief, Field Programme Development Service as the budget holder. The Programme has country-based activities in 17 countries<sup>1</sup>.

23. The main overall objectives of the FNPP are: (i) to increase the effectiveness of the cooperation between FAO and the Netherlands by a thematic and programmatic approach; (ii) to support reform within FAO by substance-driven innovations, including in FAO's working methods at country level; and (iii) to enhance FAO's effectiveness in providing policy assistance to developing countries. In the second phase, the orientation of FNPP shifted from primarily an FAO Headquarters focus to achievement of pre-determined "outcomes" at country level.

24. The project agreement called for two independent evaluations of the Programme. The first midterm evaluation was held in 2005. It focused on achievements and constraints with a view

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<sup>1</sup> The 17 countries are: Angola, Bhutan, Cambodia, DR Congo, Honduras, India, Kenya, Lao PDR, Malawi, Mali, Mozambique, Nicaragua, Tanzania, Timor-Leste, Uganda, Viet Nam and Zambia.

towards providing accountability to the donor and recommending changes in orientation of the Programme as warranted. The evaluation found that FNPP was relevant to MDGs, FAO's Regular Programme and the countries in which activities took place. It found that the main strong points of FNPP were its flexible design and implementation modalities, and how it had strengthened inter-disciplinary work within FAO. The evaluation viewed cross-thematic integration as a challenge for the future, along with a need to strengthen linkages between FNPP and the regular technical work of FAO and identification of best practices and lessons learned.

25. The present evaluation took place towards the end of the Programme period. The purposes of the evaluation, as defined in the terms of reference (see Annex I) were to:

- i) provide accountability to the donor on the effectiveness of FAO's policy assistance to developing countries provided under the FNPP and its working methods at country level (emphasis put on sustainable outcomes); and
- ii) draw lessons and issues from programme implementation and, if warranted, make recommendations for further assistance under the FNPP.

## **B. METHODOLOGY**

26. The evaluation was undertaken by a team of three independent external consultants, one per theme, plus a representative of the FAO Evaluation Service.

27. As evaluation in FAO has as an important function lesson learning and feedback into future programming, the evaluation included extensive stakeholder consultation as a key feature. Within FAO, this included affording an opportunity to comment on the terms of reference, advice to the Evaluation Service on appropriate consultants and extensive briefing and debriefing of the evaluation team. The Netherlands Government also was consulted on the terms of reference and met with the evaluation team before and after the field visits.

28. Qualitative methods were used in the evaluation, including in-depth, open-ended interviews, direct observation and review of written materials. In the latter connection, a series of excellent briefing materials was prepared by the FNPP coordination unit. Because of the many and varied activities of the FNPP, covering 17 countries besides an extensive amount of work based at FAO Headquarters, a sample of project countries was chosen for the field visits. Time and cost considerations also played a role in the decision to visit only a sample. No quantitative surveys were carried out due to the heterogeneous nature of the interventions.

29. Because assessment of cohesion among activities and between themes was included in the terms of reference, one of the criteria for country selection was that at least two of the FNPP themes had to be operating in the country. This already eliminated many of the candidates that had only a single component. Furthermore, it was a hypothesis of the evaluation that in certain countries the three themes had worked together either by intentional design (Central America - Honduras/Nicaragua), because of particular country circumstances (Bhutan), or else had not worked together extensively (Kenya). Taking into account the multi-theme criterion, the desire to mix large and small countries in the sample and logistical considerations, these four countries were chosen for in-depth study, along with India and Zanzibar (Tanzania), i.e. six of the 17 countries where the Programme operates.

30. The mission stayed 3-5 days in each country visited; in India and Bhutan the mission members split into two groups in order to cover more project sites. Most interviews were conducted in capital cities but the mission also had 1-2 field visits in each country, to meet with local implementing agencies and beneficiaries of FNPP interventions, and to make on-the-spot observations about them.

31. At the conclusion of the field visits, the mission returned to FAO HQ for follow-up meetings with concerned FAO staff and to prepare its draft report. Two group meetings were held with FAO staff – an initial one immediately on return to raise and clarify major issues arising from the evaluation work to that point and a second meeting to discuss the findings and

recommendations of the evaluation. A separate meeting was held with the Netherlands representation to FAO, to ensure appropriate coverage in the final report of emerging themes of interest to the donor.

## **IV. Assessment of the Programme Design**

### **A. BACKGROUND AND JUSTIFICATION**

32. The Programme originated from the desire of the Government of the Netherlands and FAO to strengthen their collaboration, further contribute to the quality and effectiveness of FAO's work in reaching the Millennium Goals and contribute to the Paris Declaration objectives of increasing the effectiveness of development assistance by harmonizing the activities of different donors and aligning them to national poverty reduction priorities.

33. The FNPP is ambitious in its scope. It attempts on the one hand to contribute to poverty alleviation in developing countries in a sustainable manner, taking into consideration environmental and gender issues. At the same time, it is intended to contribute to the reform of FAO and improve FAO's contribution to achievement of the Millennium Development Goals. These objectives are extremely ambitious in relation to the total size of the Programme and the short planning horizon it has had. In this respect, even if the total duration of the FNPP could be considered as 7 years counting both Phases, the way in which the successive extensions have been approved has forced managers to plan within an 18 months to two years time horizon. These circumstances have imposed restrictions and have determined to a considerable degree the implementation strategy followed. Activities were initiated in 2001 but only in July 2004, with the start of the second phase, that the Programme took its present structure.

34. In December 2005, a mid-term evaluation took place covering the first eighteen months of activities of the second phase. Accordingly, this Evaluation largely concentrates on the activities that have taken place during 2006 and 2007. The first Evaluation made a number of recommendations which have been significantly adopted by the Programme. Some of the issues and problems raised still remain.

35. Notwithstanding the potential areas of improvement that this evaluation has found, it is important to emphasize from the start that the overall assessment of the FNPP is positive; it has been effective and it has resulted in a number of important contributions to FAO's work in relation to the Millennium Development Goals and in the policy assistance activities to member countries. Furthermore the activities now ongoing in many cases have potential long-term impacts, but require additional time to achieve them.

#### ***Recommendation 1***

FNPP activities are of great importance and the Programme should be continued in some form with dependable funding over a longer planning horizon of at least three years. The development of successor arrangements should include a careful analysis of the work that has been done, the achievements and shortcomings, the possibilities of new directions and the correction of the weaknesses identified in this Evaluation.

36. FNPP has initiated a number of activities with considerable potential for positive impact on the lives of people. Some of these activities have raised expectations within governments and among the target beneficiaries. The continuation of FNPP beyond early to mid-2008 is not clear and the desire of the Donor to transform it into a multi-donor programme may prove complex and take some time. A sudden termination of FNPP without sufficient time to plan and put in place an exit strategy would imply a loss of painfully constructed social capital and important opportunities.

***Recommendation 2***

To avoid disruption of important country-based activities, if appropriate successor arrangements are not in place by early 2008, FNPP should be extended for a reasonable period of time to allow for implementation of an exit strategy. The strategy should be based on an analysis of which activities can be brought to a conclusion quickly with high likelihood of success. The proposal would include costs for the extension. Furthermore, the continuation of activities should be organized around a new programme that builds on the good work initiated by FNPP.

**B. OBJECTIVES**

37. The Programme was designed with strong participation of the Government of the Netherlands. The Donor had well defined ideas and objectives in relation to the Programme. These ideas were broad, ambitious and refer both to substantive themes and organizational and institutional matters related to FAO and the UN System. The basic ideas and expectations held by the Donor are reflected in the Policy Framework Paper for 2004-2007. These general objectives have been reinforced, with some relatively minor additions and suggested new emphasis, during the FAO/Netherlands Annual Bilateral Consultations held in January 2005, 2006 and 2007.

38. The initial and main objectives were:

- a) to increase the effectiveness of cooperation between FAO and the Netherlands by a thematic and programmatic approach and closer cooperation with other donors regarding their extra budgetary funding;
- b) to support the reform within FAO by substance driven innovations, including FAO's working method at country level; and
- c) to enhance FAO's effectiveness in providing policy assistance to developing countries.

39. These are long-term changes that will impact on the normative work of the FAO – an area in which it has significant comparative advantage. However, the Policy Framework paper states the objective of achieving results and impacts starting at the end of 2005. The clearly stated expectation of significant progress in obtaining results and impacts in a short time frame was a key factor in deciding interventions during Phase II of FNPP.

40. In addition, a number of principles for FNPP were delineated. These included: a) a focus on poverty; b) the importance of coordination with other donors, international organizations and with FAO's regular budget activities including policy assistance; c) the focus on a limited number of IDA- eligible countries. The stated objectives and principles are well defined but are not totally consistent and thus introduce the need for making operational decisions to achieve an appropriate balance among them. The judgment of what is appropriate is a matter of opinion.

41. The Programme Managers interpreted the main priority of FNPP in Phase II as obtaining results in the field in a short period of time. This implied a strategy that privileges flexibility, working in a demand driven mode and close to government institutions. This strategy has been developed at the expense of the more structural and long term objectives defined in the initial pages of the Policy Framework Paper.

***Recommendation 3***

The successor arrangements to FNPP should be defined with more precision on the desired balance between: a) the objective of having an impact on long term substantive matters and institutional reforms; and b) the short term objectives of rapid results at the country level. It is recommended further that the long term structural objectives should receive considerably more weight than in Phase II of FNPP.

### C. CONCEPTUAL FRAMEWORK

42. The Programme was designed, from the very beginning, as an instrument to relate the substantive knowledge accumulated in FAO to the policy assistance work at country level. In addition, it selected three thematic areas: Food Security, Agro-biodiversity and Forest Management that have been relatively ignored in policies implemented in much of the developing world.

43. To work effectively in these thematic areas requires the existence of a solid conceptual framework on each that could serve as the intellectual basis for the work in the field. These conceptual frameworks were not sufficiently developed. This situation is particularly true in the case of agro-biodiversity, which is a relatively new international concern and also, although to a lesser extent in Forest Management.

#### *Recommendation 4*

The successor arrangements to FNPP should contribute to an effort to mobilize the substantive knowledge accumulated in FAO and, in partnership with other institutions, develop a solid conceptual and operational framework for the thematic areas in its mandate.

44. These three thematic areas became the centre pieces of the design and the implementation strategy followed by the Programme. Later, two other concerns were more explicitly introduced, namely water management and gender issues. While FNPP has a number of discrete activities addressing these concerns, they could be better mainstreamed into all activities in future programmes.

45. One of the main strengths of the FNPP has been the interest in integrating the three main Themes into one conceptual and operational entity. The three Themes are each complex. Their integration is a major intellectual challenge that needs considerable effort and time. The Evaluation strongly supports the need for and usefulness of developing a framework that integrates conceptually and operationally the themes but considers that insufficient efforts have been made thus far for this purpose.

46. This integrating conceptual framework should recognize the different nature of the three Themes. Food Security is a concept close to the most essential well being of humanity. It is one of the central elements in the Millennium Goals and should be the overarching objective. The other two Themes are more instrumental. They should be designed to have an enabling role as a means of contributing to sustainable food security and to achieve the well being of present and future generations.

#### *Recommendation 5*

FNPP (or its successor) should develop a conceptual and operational framework that integrates its substantive themes whenever possible. In addition, it is suggested that the integration should recognize Food Security as the overarching objective for the new programme. Agro-biodiversity and Forest Management outcomes would be selected specifically for their contribution to sustainable Food Security.

#### *Planned Outcomes*

47. The design of the Programme introduced as a central element Outcomes, or results beyond the managerial control of the project to be achieved in a relatively short amount of time. The main reason for the emphasis on Outcomes in FNPP is two-fold: first, it puts greater emphasis on the results and changes due to the activities. Second, it allows more flexibility in the implementation. By giving less attention to specific activities and outputs and introducing less detail in the programme design, the approval of activities can be more easily delegated. The Evaluation considers this to be a useful step forward.

48. On the other hand, its appropriate use requires that the concepts are clear and used in a consistent manner. In some cases, the selection and description of the outcomes could have been improved. Some of the problems found are: a) in some cases, outcomes defined are actually physical outputs produced by FNPP; b) they are difficult to measure; and c) some outcomes are excessively broad and ambitious, given the time and resources allocated to them.

***Recommendation 6***

FNPP should analyze the outcomes that have been used, document their characteristics and usefulness and share this experience with the rest of the Organization. In a future programme, special care should be taken to identify, characterize and define outcomes in a more precise way including base line situations where applicable and include a clearly defined reporting and monitoring strategy.

## V. Implementation Strategy

### A. BUDGET AND COST EFFECTIVENESS

49. The Dutch contribution to Phase I was €18.216 million; the Agreement for Phase II was for €20 million. The funds are divided among the three Themes and each has its own “project” within FAO’s accounts<sup>2</sup>. A fourth “project”<sup>3</sup> was established for the unallocated portion of the budget.

50. Under Phase II, total funds made available came to the equivalent of US\$24.12 million. Inter-fund transfers from the unallocated portion of the budget to the three themes were about US\$2.5 million. As at 30 June 2007, reported expenditure on each of the budget components in the three-year period from 1 July 2004 was as follows:

- Food Security: US\$5.14 million
- Agro-biodiversity: US\$5.82 million
- Forestry: US\$5.60 million
- Unallocated: US\$0.98 million

51. As of 30 June, some US\$7.60 million available to FNPP had not yet been spent. Given the expenditure rates in the first three years of the project, it is estimated that these funds would be sufficient for a no-cost extension of the programme until June 2008.

52. Because of the large number of activities spread among 17 countries plus FAO HQ and regional bodies, it is impossible to generalize about the cost effectiveness of individual interventions. Nonetheless, it is clear that the transaction costs of FNPP are lower than those of traditional projects and the results achieved are probably better than would have been achieved through a traditional project organization. In fact, due to the large number of activities, the transaction costs of carrying out the FNPP programme through a set of Trust Fund or TCP projects would have been prohibitive. The evaluation includes more observations on this topic in Chapter VIII.

53. However, one drawback is that there is no systemic way to distinguish expenditures by country and budgetary information is not generally available at country level. The Food Security Theme has maintained expenditure information at country level through the use of baby projects<sup>4</sup>. Although not created for this purpose, the advantages of using baby projects for maintaining expenditure records could be considered.

<sup>2</sup> FNPP/GLO/001/NET – Food Security; FNPP/GLO/002/NET – Agrobiodiversity; FNPP/GLO/003/NET – Forestry.

<sup>3</sup> FNPP/GLO/004/NET – Cross-Cutting FNPP Issues

<sup>4</sup> Sub-project within a larger project; normally used to assign Budget Holder responsibility to different persons within the same overall project.

## B. ORGANIZATION AND MANAGEMENT

54. Each theme is managed by a Coordinator, who is also the Budget Holder and is a senior staff member. The unallocated 25 percent of the FNPP budget is managed by the overall FNPP Coordinator. The unallocated budget is largely used to add or strengthen ongoing and new activities in the other three themes, with funds transferred to the theme being supported. Some activities funded through the Global funds have not been transferred to the other themes and remain within the purview of the overall FNPP manager. Overall, FNPP management and the FNPP evaluations are funded, *inter alia*, from the unallocated resources.

55. The general administrative scheme followed is that activities in the field are discussed and agreed with the FAOR and country coordinators (where they exist), and then funds transferred to the FAO country offices by means of a Field Budget Authorization. Expenditures on international consultants, acquisitions (computers, furniture, etc.) are authorized by the Budget Holder; however, this responsibility is often delegated “de facto” to an officer responsible for the theme and country in question.

56. FNPP has introduced flexibility to FAO’s usual administrative procedures. Worth noting is that:

- a) in some countries, the ex-ante authorization for expenditures has been” de facto” waived. FAOR’s exercise their own judgment and authority to carry out the expenditures and activities that have been agreed with the budget holder; and
- b) the definition of activities is considerably less detailed than in the traditional project documents. By stating only fairly broad Outcomes, the specific activities are defined with flexibility and taking into consideration opportunities and constraints that develop along the road.

57. This flexibility adds considerable value and this is perceived unanimously by FAO and Government authorities dealing with FNPP, when comparing it to other FAO field activities.

58. The preceding analysis leads to the following conclusions:

- i) the management flexibility obtained in FNPP has substantially improved the effectiveness and operational capacity of the Programme;
- ii) this flexibility has been very attractive to energetic and capable staff who willingly decided to participate;
- iii) this flexibility however has been obtained by following practices other than those normally used for Trust Funds. This implies that if the Programme grows there could be attempts to further control the Programme forcing it to conform to the norm;
- iv) the level of flexibility obtained is not completely homogeneous between themes and even within themes. The differences are mainly accounted for by circumstantial situations and or personal inclinations of responsible staff; and
- v) a careful analysis of the present situation suggests that, as it has been already indicated by the IEE, considerable additional room for further decentralization and additional flexibility of Management procedures exist in FAO’s present regulations. For example, the Evaluation considers that additional responsibilities should be assigned to the FAORs.

### *Recommendation 7*

FNPP should document the management procedures that have been put in place, extract the lessons and define what could be defined as the best practice. This will be an important contribution to FAO’s reform.



### C. MONITORING, LESSONS LEARNED AND EXIT STRATEGIES

59. A good programme or project design should include a monitoring system that contributes to the effective management of the programme and, in addition, facilitates the analytic work that needs to be done at the end of the project to extract the relevant lessons and experiences that can expand the institutions knowledge and effectiveness in programme management.

60. Although a number of monitoring activities take place, with more intensity in some countries than others, FNPP has not developed a sufficiently explicit overall monitoring system. The need for it is especially important in FNPP because of the different implementing strategies utilized for the field work in the different Country Programmes (see Chapter VI) and in each of the three themes (see Chapter VII). For example, if the country programme is mainly operated directly by the FAO country office through FAO hired technical people (example: Nicaragua), the established FAO monitoring procedures are probably sufficient. On the contrary, when field activities are implemented mainly through alliances with non-governmental organizations and the FAOR has little direct responsibility (example: Honduras), special monitoring procedures need to be applied.

61. In addition, the programme needs to establish baseline information in order to facilitate and enrich lesson learning. In the case of FNPP, where a significant part of the activities have been related to improving the content and substance of policy, legal and regulatory frameworks in the countries, baseline information was available before the FNPP programme was implemented. However, the Programme also includes a number of field activities related to forest management and agro-biodiversity practices with communities where baseline studies are necessary and have not always been made.

62. More recently, FNPP management has launched initiatives to collect and analyze crosscutting information that may contribute to the process of exchanging experiences and building up institutional learning capacities. In this respect the activities that have been developed in relation to policy assistance are especially important. The Evaluation endorses these activities which are a contribution to the learning process within FAO.

63. A second concern refers to the potential duration in time of FNPP in relation to the sometimes complex and long range nature of the selected activities. An example that illustrates such a situation is the work in the Atlantic regions of Nicaragua (RAAN and RAAS). This work is very important from humanitarian and political perspectives. The problems are difficult and would take many years of work in order to contribute in a significant way to their solution. Raising high expectations on sensitive issues implies certain institutional dangers for FAO. FNPP should clarify its role as awareness-raising on the issues faced rather than in trying to resolve them.

#### *Recommendation 8*

Future activity selection should realistically weigh the clarity and consistency of the stated Outcome and the time and resources proposed to be devoted to achieving it. In addition exit strategies should be included in the design of the activity when appropriate.

## VI. FNPP Activities at Country Level

64. This section is mainly based on the Evaluation's visit to the six Programme countries and is supported by the information and analysis presented in the individual country reports that are included in Annexes II-VII.

### A. ORGANIZATION OF FNPP ACTIVITIES AT COUNTRY LEVEL: A TYPOLOGY

65. The overall strategy for FNPP in each country has depended on the political and institutional conditions prevailing and the limitations and comparative advantages of the exiting FAO personnel, activities and infrastructure.

66. The different country strategies are mainly defined by two variables:

- a) the degree to which the FNPP activities are developed and executed directly by the FNPP staff hired by FAO, as opposed to the execution by other institutions which have been convened by FAO to form specific alliances in the context of FNPP; and
- b) the degree to which the FAO Representation participates and monitors FNPP activities<sup>5</sup>.

67. The variability found in country strategies is quite significant. Honduras represents the extreme case of alliances with a number of different institutions that actively participate in the execution of activities. This strategy has allowed FNPP to attract a large number of institutions and consequently has mobilized the capacity to do extensive work. This strategy however implies that FNPP and FAO have less control on the quality and the substantive content of the work. This is particularly true in the absence of well developed conceptual frameworks and operational guidelines which leave the participating institutions ample space to interpret the needs and objectives of the work they have agreed to develop and to apply their own conceptual and theoretical interpretations to the substantive matters involved. In Nicaragua, to the contrary, most of the work is done directly by the National Coordinator. The only significant alliance is with GTZ. The involvement of the FAO Representation varies significantly between the two countries. It is very close in Nicaragua and less intense in Honduras.

68. These contrasting strategies in two countries of the same region, similar size and level of development are, to a significant degree, explained by the institutional context in both countries. In Honduras, there are a large number of NGOs that are respected and traditionally work with and for the government. In Nicaragua, there are fewer NGOs and they work less directly with the government. The involvement of the FAO Representation also varies significantly between the two countries.

69. Graph 1 shows the relative position of the six countries visited in relation to the two variables described. It can be seen that the South-West quadrant represents the position of largest control by FAO on the activities being developed by FNPP while the North-East quadrant represents the weakest position. These relative positions do not reflect any prescription on whether they are good or bad. Rather, they highlight the variability in the country management of FNPP. The optimal position for each country is determined by its particular institutional and contextual conditions. For these reasons, the situations found in the countries visited could well be the best alternatives given their particular circumstances. However, the strategies followed in each country have strategic and managerial implications:

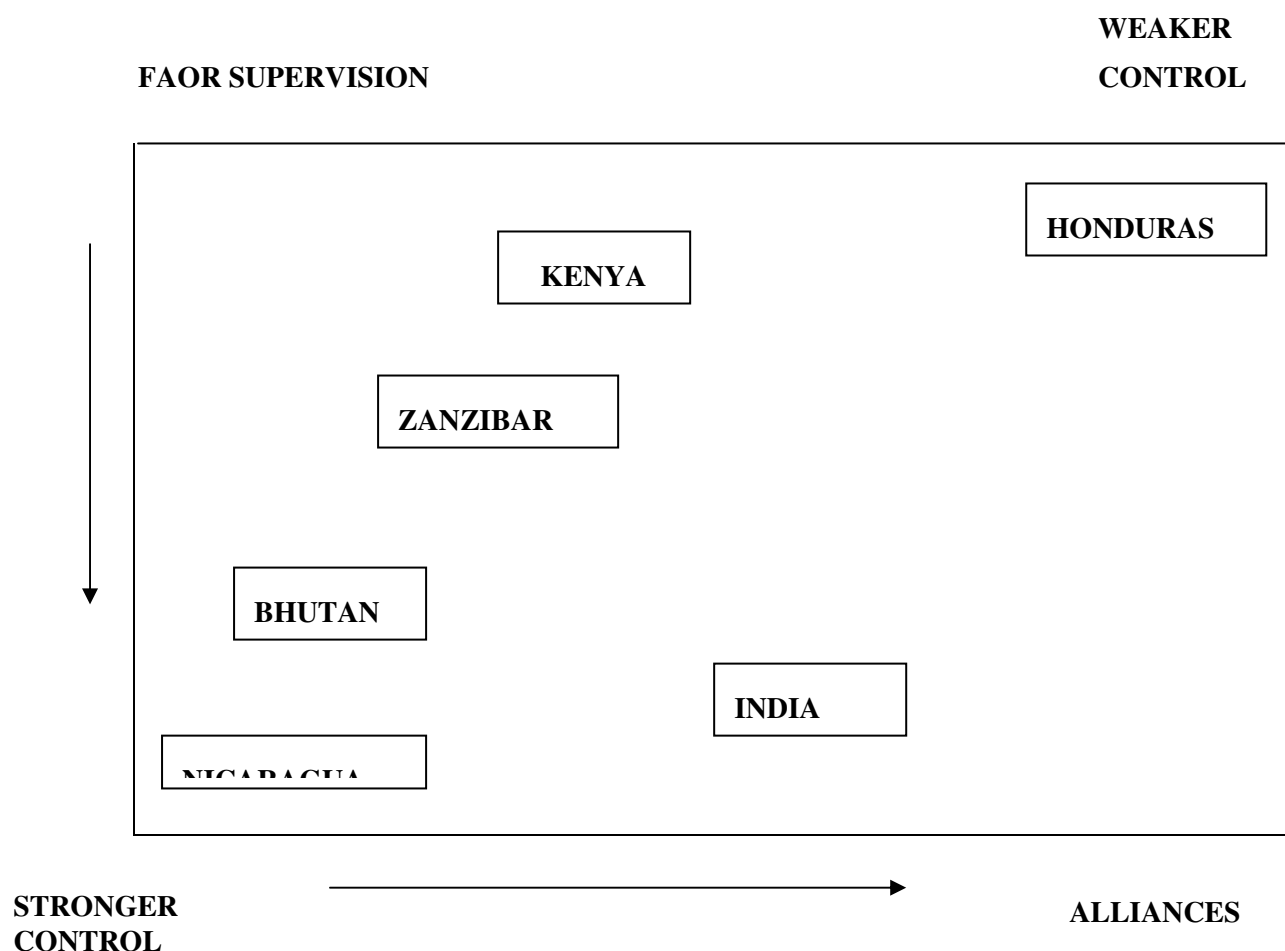
- i) in situations where FAO's institutional control is weak, it is particularly important to have: a) well developed conceptual frameworks; b) strong monitoring systems; and c) more active participation from FAO's technical services; and

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<sup>5</sup> An additional dimension is the use of consultants, where the extent to which FAO staff take ownership of the results is a key factor.

- ii) strong institutional control will most likely result in: a) higher costs per unit of output; b) a higher institutional exposure in activities of high political risk; and c) less mobilization of local talent, capacity building and knowledge management activities.

**Graph 1. FAO's Institutional Control of Country Activities**



***Recommendation 9***

FNPP should analyze the implementing strategies applied in each country, evaluate their appropriateness and, if need be, design the support mechanisms necessary.

**B. OVERALL ASSESSMENT OF FNPP ACTIVITIES AT COUNTRY LEVEL**

70. The overall assessment of FNPP activities at country level is very positive. It is clear that FNPP has been able to attract highly motivated and capable people in participating countries. In general, government officials are well informed about and appreciative of FNPP's work and on the progress made until now. They expressed a strong desire to continue active participation in FNPP activities. This situation was especially noticeable in Bhutan and Zanzibar where, because of the size of the country and level of donor support, the Programme has a more significant dimension.

71. The achievement until now is impressive given the size of the Programme and the short time that has elapsed since the beginning of the second phase. This progress is particularly significant in the way it has raised awareness of the issues and in the case of food security, in relation to the work documenting and improving the existing policy, legal and regulatory frameworks and introducing new concepts, methodologies and best practices. However, one shortcoming of the work related to these frameworks is that in some countries, there is a widespread attitude that it assumes that if an idea or proposal is written and approved then it is already applied. As a result, future work should progress into designing implementing strategies and helping the countries in the practical implementation of the principles and actions that have already been delineated. This is particularly true in smaller and more vulnerable countries where FNPP could have a larger impact and where immediate application is urgently needed (e.g. Bhutan).

**Recommendation 10**

FNPP should continue work to improve national and regional (e.g. Central America) policy, legal and regulatory frameworks and as far as possible, work towards the conceptual integration of the three thematic areas. In addition the Programme should do more work on designing strategies for implementing the policies, in particular in the more vulnerable countries with responsive Governments.

72. With respect to field activities, the Evaluation concluded that:
- a) a number of activities address significant problems at the national and regional level, have a potentially wider interest at the international level and have been well designed. Examples are: a) water management and conflict resolution in Honduras; b) involvement in regional integration processes in Central America; c) local seed banks in India; and d) the inter-agency approach to incorporating food security in PRSPs and other national policy documents in Bhutan, Kenya and Zanzibar;
  - b) at least one activity is ambitious and has high political risks. It would be better for FNPP to concentrate on clarifying concepts in such cases, taking advantage of FAO's comparative advantage as an honest broker; and
  - c) finally, some activities address problems that are site specific, are very localized, include few potential beneficiaries and lack a convincing *ex ante* economic or social/environmental impact analysis to justify their potential. Examples are the development of artisanal work and home food processing in Honduras and Zanzibar and some activities in Bhutan and Kenya.
73. The analysis and comments are made above to suggest that ongoing and new activities designed to affect local livelihoods should be carefully analyzed in terms of their potential impacts with a cost-benefit analysis including opportunity and environmental costs, where feasible.
74. The Evaluation also identified a number of elements that could be options for future work. Examples are:
- a) work on watershed development in Bhutan integrating the three thematic areas. A watershed or ecosystems approach gives a possibility for linking field and policy work;
  - b) implementation of food security policies in Bhutan, Zanzibar and Kenya;
  - c) agro-forestry/livestock management practices for sustainable food security in Nicaragua and Bhutan;
  - d) comprehensive assessments of existing agro-biodiversity within countries and regions with an analysis of farmer, national and international impacts if lost; and
  - e) more interaction with the private sector.

***Recommendation 11***

In formulating successor arrangements to FNPP, programme designers should take into consideration the analysis and criteria presented in this report and reinforce, in the selection of future activities, the criteria and the substantive areas of integrated work mentioned above.

## **VII. Assessment of FNPP Thematic Areas**

### **A. FOOD SECURITY**

#### *Introduction*

75. Food Security has been one of the main substantive themes in which FAO has concentrated its work on recent years. FAO is now a major international player in the theme and has had a significant role in introducing food security issues on the international agenda in general and in the Millennium Goals in particular. In addition, it has implemented, alone and in partnership with other organizations, a wide array of field activities under the general umbrella of the Special Programme for Food Security (SPFS).

#### *Conceptual Framework and Overall Strategy*

76. The Food Security Theme is organized around two Programme Entities: a) Assessment of Food Security and Nutrition in Emergencies and b) Poverty and Food Security: Policy at Country Level.

77. Similarly to the FNPP overall, there is no document that presents a conceptual framework for the Food Security Theme as a whole. However as food security is a subject that has been one of the major activities of FAO, the Organization has an ongoing and operational strategy in place.

78. The objectives and the nature of the work are different for each of the two Programme Entities. Programme Entity 1 is reasonably straight forward and the objectives are laid down in the available documentation. Programme Entity 2 is a selection of activities in different countries and includes a number of different subjects. However, the main work has been on the improvement of policy, legal and regulatory frameworks in the country in relation to food security.

#### *Main Activities and Outputs*

#### **Programme Entity 1: Assessment of Food Security and Nutrition in Emergencies**

##### ***a) Objectives, outcomes and outputs***

79. Programme Entity 1 has defined as its main objective to develop protocols for food security analysis, assessment and response applied in a number of countries and incorporated by strategic partners.

80. The work on Assessment of Food Security and Nutrition in Emergencies consists of the development of a typology of food security situations which includes: a) an Analysis Template that organizes key pieces of information; b) Cartographic Protocols or standardized mapping and visual communication tools; and c) population tables. This information is organized for situation analysis which includes a typology of Food Security situations which may serve as a basis for an improved response analysis which links the situations with the design of appropriate strategies for food security interventions.

81. The objective is to develop protocols for food security analysis, assessment and response and to promote the incorporation of such protocols by strategic partners that have an active role in emergency situations and to strengthen the capacity of governments to support and apply the framework.

82. The main output has been the development of an Integrated Food Security and Humanitarian Phase Classification (IPF) as a common tool for interagency assessment and analysis work. It includes:

- a) a methodology for data collection and analysis leading to a typology of IPC for different food security situations. The methodology has been applied in Somalia (where it was originally developed), Kenya, and Sudan and at regional level in central and eastern Africa;
- b) validation of the approach and acceptance by other international organizations (EC, CARE International, Save the Children UK and USA, Oxfam, WFP, UNICEF, Action AID and FEWSNET); and
- c) a number of publications that have been developed.

**b) Assessment**

83. This work is important and well placed within FAO's basic mandate and comparative advantages. The Evaluation strongly endorses the main thrust of the work in progress, which has been validated by a number of international agencies and donors as well as governments and endorsed by FAO's Committee on Food Security. Furthermore, it endorses the suggested changes proposed by the theme which are described and documented in the FAO Internal Technical Review Meeting dated on November 2007, mainly:

- a) re-label one of the types from chronically food insecure to borderline food insecure in order to emphasize the chronic factors more systematically. Clarifying the relevance of the IPC approach having a more precise description of the situations and deemphasizing the crisis situations in the classification will contribute to give additional focus to the work;
- b) insert a new type in order to give more flexibility to the classification and a better sense of a gradual change between the different types of food insecurity;
- c) integrate temporal aspects of a crisis more systematically in the IPC classification in order to incorporate more fully the different food security situations that may exist in a 10 year period as a consequence of climatic circumstances or other disruptive situations. A better understanding of historical dimensions will contribute to improved design of interventions; and
- d) revise the name of IPC in order to eliminate the emphasis on Emergencies. The objective would be to dilute the emergency concept from the classification and emphasize the structural and more permanent situations of food security. This is consistent with FAO's mandate and comparative advantages. Clarifying the focus of IPC will facilitate linkages with other initiatives and emphasize the appropriate role of FAO in this area of work.

84. The following suggestions are made for future work:

- a) introduce a new classification in the middle of the scale to provide a smoother gradient of situations;
- b) expand the application to cover a larger number of countries in a shorter period of time; and
- c) de-emphasize the role of FAO in the direct response to crisis situations. This suggestion is based on: a) the absence of comparative advantages by FAO in this area; b) the existence of other better placed organizations; and c) the potential disruptive effect that emergency work would have in the planning and management culture of FAO which is better adapted to longer term structural and normative work.

***Recommendation 12***

FNPP should extend and expand its work in the development and application of IPC. In doing so, it could take into consideration the comments and suggestion included in this report.

**Programme Entity 2: Poverty and Food Security: Policy at Country Level**

**a) *Objectives, outcomes and outputs***

85. Programme Entity 2 has concentrated on two objectives:

- a) *Country Level Work to Support Poverty Reduction Strategy Processes (PRSPs) and Other Policy Initiatives and Programmes Targeting Poverty and Food Security.*  
The work has focused on inclusion of food security objectives, policies, programmes and monitoring mechanisms in PRSPs and other policy initiatives in countries both at centralized and decentralized levels. The objective is associated to six planned Outcomes. Four of them are closely related to the inclusion of Food Security issues and objectives in national policy, legal and regulatory frameworks. One refers to the construction of institutional capacities for responding to the needs and concerns of the poor and the application of Food Security policies and the other, added more recently, relates to including water resources management work in close relationship to food security issues; and
- b) *Small Farmers and Commercialization.* Adoption of policies at national and sub-national level that facilitate the adjustment of small farmers and rural communities to a more globalized and urbanized food economy.

**b) *Assessment***

86. In relation to planned outcomes on inclusion of food security issues, concerns and policies into the national policy, legal and regulatory frameworks, significant progress has been achieved in most of the countries where FNPP is working. In most of these countries, the contributions by FNPP have been significant. National Food Security Policies have been prepared and have been approved, or are in process of approval by the government in five of the countries visited by the Evaluation: Zanzibar, Kenya, Bhutan, Honduras and Nicaragua. Similar progress has been achieved in Cambodia and Mozambique.

87. This work, which is the main thrust of the theme, responds well to the objectives of FNPP and the comparative advantages of FAO. The progress shown is quite significant and the work should be continued in the future, expanding the number of countries and making a stronger effort into integrating the three themes in the modifications and improvements in the policy, legal and regulatory frameworks (see Recommendation 10).

88. The strengthening of institutional capacity in the application of food security strategies and policies has been slower. In part, this is the result of the weakness of the institutions that are responsible for their application. This situation emerged with great clarity in, for example, Bhutan, Kenya and Nicaragua. However, it is not the same in the three countries. In Bhutan the government is willing to implement policies but has neither the necessary information nor analytical skills to design the necessary policies. Nor does it have the institutions and the legal and budgetary instruments for significant interventions in the rural economy. In relation to information and analytical skills, FNPP is making a significant contribution with the value chain analysis. However, longer term processes for institution building and rural investment are for the time being beyond the scope and possibilities of FNPP. In Kenya, the analytical information and skills are probably available but the decision making processes within the government are more diffuse. In Nicaragua there are weaknesses on both elements of the equation. FNPP needs to take into consideration these difficulties while defining its future work.

***Recommendation 13***

FNPP should continue its work on the improvement of national policy, legal and regulatory frameworks introducing the issues, concerns and objectives of Food Security. Subject to the availability of funds in a successor arrangement, this work should be strengthened by extending it to a larger number of countries. A diagnosis of the situation in the particular country should be made identifying main weaknesses and realistic opportunities for making a significant contribution to the policy making process and as a basis for designing interventions that are focused on the identified problems.

89. On the planned outcome related to the implementation of strategies and policies for integrated water resource management, the progress has been slow. In Bhutan, for example, a number of problems with the hiring of consultants have impeded any progress.

90. This area of work is very different from the core areas of Food Security. It requires a different type of technical background and a long planning horizon. While important, in order to establish and maximize the possible interrelations with the three themes and especially with Food Security, water resource management should be considered within a river basin perspective.

91. Activities to facilitate the adjustment of small farmers and rural communities to the more globalized and urbanized food economy (Objective 2) have been carried out in four countries visited by the Evaluation: India, Bhutan, Honduras and Kenya, with some additional activities in China and Mexico. The activities were supported by FNPP-FS and in some cases by unallocated funds.

92. Country studies have provided interesting information and perspectives on the importance and change in market structures in countries with different GDP levels and economic structures. The research and analytical methodology followed and the results obtained are important contributions to the normative work of FAO and to the understanding of food systems and how they affect small farmer's access to markets. The results have been documented in a publication entitled "The Transformation of Agri-Food Systems: Globalization, Supply Chains and Small-holder Farmers".

*Main Achievements, Impacts and Sustainability*

***a) Overall impact***

93. The Programme has had considerable success in two main fields:

- a) it has helped FAO in its positioning as a major player in food security work, including the characterization of food security situations; and
- b) it has raised awareness at country level and on the international scene on food security issues, problems and alternative policies. This awareness is beginning to be translated and incorporated into substantive changes in the policy, legal and regulatory frameworks at the country level and in the policies and priorities both at the country level and in the international agendas.

94. These two major achievements have been important contributions and should continue to be the major focus of the Theme.

***b) Interdisciplinary and interdepartmental work***

95. The institutional work that FAO has developed during the last decade on food security has required a significant amount of interdisciplinary work. The theme in itself demands inter-disciplinarity, especially at the field level. In the specific context of FNPP, the contributions of this Theme to interdisciplinary and interdepartmental work have been less than optimal.

96. In Chapter VIII, it is argued that FNPP needs to make a major effort to develop a conceptual framework integrating the three themes. Within the conceptual framework, Food Security should be the leading element and main objective while the other two themes should



contribute to it. It is natural, then, that the Food Security theme should play a leading role and assign energy and time to the promotion of interdisciplinary and interdepartmental work.

*c) Knowledge creation and management*

97. The theme is contributing in a significant way to the creation of knowledge. Much of the work has generated concepts and empirical knowledge on real life situations. Food Security is one of the emerging themes in the international agenda and FAO has played a major role in this process. It is only more recently that countries have started to integrate the concept in their own National Policies. The concept in itself is complex and includes some technical areas not normally considered in rural development activities. For this reason, the development of conceptual frameworks and best practice interventions is highly needed. FAO is in a good position to contribute to this discussion and to be a major player in the knowledge creation process in this field. FNPP is one instrument for this and should use its full capacity to optimize its contributions.

*d) Capacity building and partnerships*

98. The development of inter-institutional collaboration in Programme Entity 1 is substantial and has been a good complement to the wider institutional work that FAO has done in this specific theme. Work at country level in Programme Entity 2 has implied substantial capacity building in governmental institutions, and in some cases, in associated non- governmental organizations in the countries. This is noticeable in some of the countries visited like Bhutan, Honduras and Zanzibar, and to certain extent, in Kenya. This work should be continued and tied into the wider policy assistance activities developed by FAO.

## **B. AGRO-BIODIVERSITY**

### *Introduction*

99. Agricultural biodiversity (hereafter called agro-biodiversity) is the conservation and sustainable use of biological diversity in agricultural ecosystems and production systems. It is more broadly defined than plant or animal genetic diversity in that it includes the inherent knowledge systems that have adapted these resources over time and the diverse production systems using them. While biodiversity is becoming more widely understood, agro-biodiversity is still poorly understood. FNPP Phase One helped to bring agro-biodiversity into the dialogue on Biodiversity and to integrate it into the CBD but in the broader international arena, especially in conventional agriculture, forestry and sustainable development, it remains almost unknown. It is often misunderstood, with environmentalists underestimating the role of agriculture in genetic conservation, in particular human intervention and knowledge systems in developing and maintaining diversity, and agriculturalists/foresters/pastoralists underestimating the importance of diversity to sustainable production systems and to food security. In Phase 2, the FNPP interventions were designed to raise awareness and bring agricultural biodiversity issues into the discourse as well as to further develop and test the concept in different contexts and to mainstream agro-biodiversity into policies, programmes and actions at country level.

100. Agro-biodiversity is a cross-cutting theme. It draws on FAO staff from a range of departments and disciplines working together in the Inter-Departmental Working Group on Biodiversity (PAIA BIODIV).

101. Agro-biodiversity is part of FNPP primarily in Kenya, Mali, Laos and India with some input in Bhutan, Vietnam and Nicaragua. The theme is also involved in an international assessment of seeds markets to consider how they affect agricultural biodiversity and has responsibility for several of the activities funded through the unallocated resources of FNPP: Payment for Environmental Services from Agricultural Landscapes (PESAL)<sup>6</sup> and Integrated Pest Management (IPM) and as part of the Regional Forest and Agro-biodiversity Programme in

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<sup>6</sup> Although closely linked to Agrobiodiversity in terms of content, this activity is managed by the Food Security theme.

Central America. The theme has also engaged in some watershed and water quality projects in an effort to assess their relationship with Agro-biodiversity.

### *Conceptual Framework and Overall Strategy*

102. Agro-biodiversity has not been consolidated into a clear conceptual framework. It is a wide and complex theme and it would be unfair to expect that FNPP could have developed one. The Evaluation has already emphasized the importance to work in this direction. In the absence of this conceptual framework it has been difficult to define a clear overall strategy for the theme. The approach thus far has been one to take advantage of existing opportunities at global, regional and local level. While this has resulted in a number of excellent pieces of work, it has also led to a fragmented programme and has not adequately leveraged the work carried out under FNPP. It is important for agro-biodiversity to contribute to international, regional and national efforts to encourage sustainable agricultural growth and the reduction of rural poverty (MDGs 1 and 7). A strong conceptual framework for Agro-biodiversity in FNPP will help to create synergies and to contribute to the development of the broader conceptual work and normative guidelines needed to lead the international community into incorporating agro-biodiversity considerations into the dialogue and agenda of development. Agro-biodiversity within FAO and through FNPP has a very important role to play in developing the concepts and engaging with environmentalists and agriculturalists.<sup>7</sup>

103. FNPP needs to ensure that concepts being introduced into policies and programmes are well defined and that activities promote a coherent agenda on agro-biodiversity. It is important for all those involved to understand that there are many benefits but that *in situ* agro-biodiversity is not necessarily always good at the individual farm or local level. There may be opportunity costs involved in its conservation that are not fully compensated on the farm and may require intervention at national or international level. The poorest members of society should not bear the costs of conserving agro-biodiversity when the benefits may accrue to mankind in general or future generations<sup>8</sup>.

104. For developing the concept of agro-biodiversity in genera, there is a need to determine:
- What types of agro-biodiversity exist in different countries and regions and how much is being lost?<sup>9</sup>
  - Factors affecting loss and what is important to conserve *in situ* and what can be conserved by national or regional systems.
  - Who owns *in situ* biological resources, and who controls access to them?
  - What are the benefits and what are the costs (direct/indirect and opportunity)?
  - Who is receiving the benefits and who is paying the costs?
  - How should their use be regulated, and how can the resulting benefits be shared equitably?
  - Where and when it makes sense to encourage farmers to promote agro-biodiversity: produce a variety of commodities, use traditional/local species and varieties, develop local seed banks, promote IPM.
  - Needs for alerting farmers, technicians and policy makers of the impact of greater specialisation on sustainability and where there are considerable gains to be made, provide input into ameliorating the impacts.

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<sup>7</sup> Throughout the document, the term “agriculturalists” is broadly defined to include all those using natural resources found on farms or in locally controlled farming communities for livelihoods (production or use of crops, animals, water, trees to sell or to consume as food, shelter, medicines, cultural rites, clothes, etc.). In this instance, “agriculturalists” also includes the technicians and policy-makers affecting agriculture.

<sup>8</sup> It may be appropriate to draw on the work on paying for environmental services which was supported under FNPP to consider mechanisms for reducing inequities.

<sup>9</sup> FAO has been doing some work on this and through FNPP including the INRA process it is taking steps to expand this knowledge.

- How can local communities receive compensation for their supra-generational breeding contributions?
- When and how to implement measures to encourage *in situ* conservation of genetic resources for food and agriculture?
- When and how to take steps to conserve agro-biodiversity which is not viable *in situ* but which is important internationally or inter-generationally?

105. Work by FNPP and the agro-biodiversity working group is directed at acquiring some of the above information and in developing the dialogue and the concept.

106. It is suggested (in support of Recommendation 4, Chap. IV) that a new phase concentrate on work directed at further developing the concept of agro-biodiversity in response to a changing world, taking into consideration the requirements articulated above, particularly to determine the local, national and international benefits and costs of conserving agro-biodiversity. This will involve developing a range of studies on the conservation of traditional production systems and seeds at the farm or community level. These systems are likely to have local benefits with respect to diverting risk by including a broader spectrum of commodities produced, a wider variety of races and different production systems. However, using these diverse traditional systems must be balanced against the costs of not using higher yielding introduced varieties, the economies of scale in marketing (and possibly production) and often, lack of markets. Benefits can be increased by identifying and developing markets and sometimes by reducing distortions and/or by introducing appropriate taxes for systems that undermine agro-biodiversity or payments for environmental services where appropriate. These are, however, relatively new concepts at the global level and often unknown at the national or local level and FNPP has made a start in supporting PESAL. FAO is well placed to lead work on agro-biodiversity as it hosts the Commission on Genetic Resources for Food and Agriculture and due to its key role in the Convention on Biodiversity and the Convention to Combat Desertification.<sup>10</sup> FNPP has already, and can continue to, play a catalytic role in developing the concepts by working closely with the other themes and in the countries with projects that contribute to this. The work in India in Phase 2 (especially on seed banks) and the multi-country work and studies (PESAL, food markets, seeds markets, IPM, pollinators and watersheds) could all produce analytical outputs that would feed into normative work on agro-biodiversity at both the global and local levels.

107. Deriving from the conceptual framework, guidelines should be developed that can be used by actors at different levels and in different fields when they are introducing agro-biodiversity into development work. During Phase 2 of FNPP, a number of guidelines for specific projects have been developed and some of these are excellent (including the Training Manual “Building on Gender, Agro-biodiversity and Local Knowledge” in Kenya and the “Bosques y Biodiversidad Agricola para la Seguridad Alimentaria en America Central”). Where available, these have been well received and considered most useful. However, they need to be more widely available as there were very different interpretations of what was meant by agro-biodiversity. Some guidelines are being developed from the work being carried out in Farmer Field Schools in Kenya<sup>11</sup> and from the work being carried out in Laos and are expected in due course from the cross country pollination studies and the seeds markets studies. It is important that these Guidelines are shared, assessed and discussed by the agro-biodiversity working group before being distributed so that a cohesive message is being put forward and to share experiences

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<sup>10</sup> Other international treaties and actions on Agrobiodiversity: The International Treaty (IT-PGR) on Plant Genetic Resources for Food and Agriculture; The Global Strategy for the Management of Farm Animal Genetic Resources; The Global Plan of Action (GPA) for the Conservation and Sustainable Utilization of Plant Genetic Resources for Food and Agriculture (Leipzig Declaration).

<sup>11</sup> Some excellent drafts have been seen but there is a need to extend these to consider other aspects of the farming system and how farmers can assess the economics (including risk and nutrition) when selecting production options. The guidelines need to be made less complex as very often the FFS leaders do not have the education to understand complex language. As currently written, they would be most useful to the universities working on incorporating Agrobiodiversity into their curricula.

in developing manuals that are clear to the target audience. It is essential that they include key concepts and that they are careful not to recommend agro-biodiversity for diversity's sake but clearly identify its role in the context it is being promoted. A key set of criteria could be developed by FNPP in a next phase that assists those developing guidelines arising from their fieldwork.<sup>12</sup> To ensure a growing credibility for agro-biodiversity, it is important that all those implementing FNPP projects who refer to agro-biodiversity, understand what it is and how to incorporate it. These guidelines need to be made available to all those working on FNPP projects, both within the agro-biodiversity theme and in the other themes. They would also be useful to other FAO departments and for dissemination into the international arena.

***Recommendation 14***

FNPP should develop criteria to be used in the production of a broad range of working Guidelines on the Agro-biodiversity theme, which may also incorporate useful elements from work carried out by other themes. The guidelines should be made available for comment and use by a wide audience in order to better incorporate agro-biodiversity into development projects and policy.

108. Although a wide range of activities and projects implemented under the Theme respond to national demand, a future programme should engage in those activities for which it has a comparative advantage and which directly contribute to its mandate. It is suggested that for a subsequent phase, a Conceptual Framework for the implementation of the agro-biodiversity theme needs to be developed that will direct activities and have as a core that the work be directed at an overall objective. For example it could be (as suggested in Chapter IV, Recommendation 5) that agro-biodiversity is directed at maintaining food security for the poorest over time. Then, there should be a set of sub-objectives to be achieved relating to agro-biodiversity, with the opportunity to respond flexibly and as needed (as is the case with FNPP now). All the work should contribute to the normative work in FAO and the development of the concept of the role of agro-biodiversity in food security. To achieve this it would be useful to have a few criteria that are used throughout to assess the eligibility of projects for inclusion in a new programme. To retain the flexibility to respond to opportunities on the ground, the criteria should not be too limiting. Strong conceptual and implementation strategies allow for decentralisation, local initiatives and partnerships, particularly if there is a good reporting and monitoring system to support it.

109. FNPP Phase One enabled agro-biodiversity to be brought into part of the Environment agenda (CBD, IPGRI, etc.) with a recognition that, in certain conditions, it could contribute to a win-win situation for both environment and agriculture – contributing to sustainable systems and livelihoods (although it could be argued that there is still a long way to go). Phase Two has concentrated more on studies at the local level and in building awareness of agro-biodiversity into the policy debate nationally. It has also assisted countries to respond to international treaties and to participate in international fora.<sup>13</sup> There has been a substantive contribution to inter-disciplinarity, to the importance of sustainable systems and to the relevance of an integrated and interdisciplinary approach to addressing poverty. New programmes need to assess the gaps in understanding and knowledge and use the programme to fill these, so that it can more effectively make a strong case for mainstreaming agro-biodiversity within the departments and programmes in FAO and in the broader international agriculture arena.

<sup>12</sup> These criteria could include that the guidelines clearly indicate the specific benefits to be derived from Agrobiodiversity (and where possible value them), that the direct and indirect beneficiaries are identified and that the direct, indirect and opportunity costs associated with maintaining Agrobiodiversity are also acknowledged with those bearing these costs identified. In other words, the Guidelines should have criteria to be taken into account when assessing what Agrobiodiversity currently exists, how and why it is being lost and whether retaining or reintroducing traditional systems will contribute to local livelihoods or whether they are primarily of national, regional or international interests.

<sup>13</sup> The African Regional Workshop on Sustainable Use of Biological Diversity, with a Focus on Agrobiodiversity.

## *Main Activities and Outputs*

### *a) Overall*

110. With funds allocated from the global component of FNPP, the agro-biodiversity theme has been able to support the FAO Global IPM Facility. It has been a major contributor to the policy work on Pesticide Risk Reduction in Cambodia, developed International Guidelines on pest management, has helped governments promote good agricultural practice on pest management (Thailand), facilitated collaboration between FAO, UNEP and WHO on Integrated Vector Management aimed at phasing out DDT in malaria control and provided support to FAO normative work and internal policies on pesticides. FNPP has also provided support to the Global Facility in assisting a wide range of countries to respond to specific pest problems. IPM has not, however, been actively integrated into the various FNPP activities which would have benefited from more engagement and a new phase may consider establishing closer co-operation.

111. There have been a number of other multi-country studies supported by the Agro-biodiversity Theme. The PESAL project has produced a substantive contribution to FAO's normative work and provided useful input to a subsequent phase of FNPP. The documentation on the pollinator and seeds markets is still to be finalised but the work in the field indicates that it responds to both national demands and should make a strong contribution to FAO's normative work. Inter-country exchanges and workshops would help to contribute to this, not only between the countries participating in the studies, but also to other countries and interested participants from the other themes in FNPP. Documenting the outcomes from the workshop and ideas for further research or scaling up would be an important contribution.

112. The main country activities have been directed at understanding the potential for agro-biodiversity to contribute to improving the livelihoods of the poor and at bringing the issue into the debate and, in some countries, encouraging greater cross-sectoral linkages (Nicaragua, Laos, Kenya). The approach has been affected by the very short time line for projects and the need to show outcomes at local level integrated into national policies. In some countries, this has meant engaging with partners who have strong links into the government to carry out research and field pilot projects (India). In other countries it has involved a very wide range of stakeholders and partners involved in many activities (Kenya, Mali) and in others it has resulted in an approach of engaging with the government to identify gaps and to develop the country programme to address this (Laos, Nicaragua, Zanzibar). To some extent, this mirrors the opportunistic selection of management strategy referred to in the previous chapter where FNPP is adapting its programmes to fit the particular circumstances of different countries. As such, there is no wrong or right way with one *caveat*: it is important not to engage in too many activities that may result in lack of required technical assistance and monitoring and make it too difficult to analyse and then assimilate the results into the body of knowledge. It is important that expectations of governments, farmers or implementing agencies (universities, extension, etc.) are not raised above the level of the potential of FAO to address the issues.

113. For the most part, the agro-biodiversity activities have been most impressive and reflect the high level of enthusiasm and skill of the FAO staff working with FNPP and of the partners selected. This should be more evident at the end of the project since many of the outputs are still in the process of being documented.

114. There is, however, some concern that there may be too much emphasis placed on the number of activities rather than on their quality and contribution. It is important, in order to avoid undermining the credibility of agro-biodiversity, that field activities are both well designed and well implemented by people with a good grasp of what they are promoting, why and in what ways it affects those with whom they are working. The results from field activities and research need to be fed back into the normative work and, at the same time, field activities need to have sustainable impacts for those affected, especially when working with marginalised small farmers.

***Recommendation 15***

The capacity to manage multiple activities in one country is limited and for any subsequent agro-biodiversity programme, it may be better respond to demand for activities that are central to the conceptual and strategic implementation framework of the programme.

115. It may be useful for the conceptual framework to develop some criteria for selecting countries to work in and for responding to demand for activities within country and to encourage depth and assessment of capacity for implementation. Where local capacity is thin, the programme can deliberately concentrate on building capacity, but it then has to scale down the number of activities to match available access to expertise.

116. It may also be useful to work on a watershed or eco-system approach, drawing on the three themes and on expertise from throughout FAO.<sup>14</sup> This provides opportunities to carry out integrated and interdisciplinary work in a way that can scale up some of the initiatives within a system and encourage more integrated and sustainable development.

117. Another (or complementary) approach would be for FNPP to concentrate on integrated cross-country research to fill the gaps. The successful PESAL, the pollinator and seeds markets work and the Food Systems studies all provide evidence of the potential for generating more broadly relevant and comparative results and for contributing to the normative work of FAO. The contribution of FNPP to the Gender programme through the training manuals on mainstreaming gender into agro-biodiversity and its role in understanding and working with local knowledge systems is an example of helping to build inter-departmental co-operation and inter-disciplinarity that also raises awareness on agro-biodiversity<sup>15</sup>. The approach provides opportunities for developing generic methodologies and guidelines and at the same time for highlighting the aspects which will require in-country adaptation. It provides opportunities for scaling up the integration of local field results into policies and implementation strategies.

***b) Policy work at national level***

118. Understandably, the direct impact has been generally limited to raising the profile of agro-biodiversity to policy-makers and in developing field work to demonstrate the potential of agro-biodiversity for both development and conservation. Much of this work has also involved helping countries to develop inter-agency and interdisciplinary teams and there is evidence that agro-biodiversity has been brought into government agendas in Nicaragua and Laos. India already had agro-biodiversity in its policy agenda and the approach there has been to use partners who will be able to effectively feed the results of the field studies back into government. In Kenya, the strategy has been to raise the profile of agro-biodiversity by engaging with a range of actors including the universities and to work with the Food Security theme in support of an inter-sectoral government policy making committee (ASCU). Phase 1 of FNPP assisted Lao PDR to establish a National Agro-biodiversity Programme and Phase 2 has been active in assisting the government to develop an implementing strategy and in capacity building to implement the policy.<sup>16</sup> Of particular interest is their integration of agro-biodiversity into a capacity building activity on environmental impact assessment.

<sup>14</sup> Select an area to work in that will provide the field input to the national policy work and or to begin implementation of policies established in Phases 1 and 2 – scaling up and using what is there and promoting inter-Departmental work. Also this provides a mechanism for working with partners and some of the FNPP in-country work has helped to catalyse much larger projects e.g. the work in Mali on a multi-country watershed project in West Africa.

<sup>15</sup> Gender, however, did not receive the attention it should have in many activities, although there were good efforts to involve female farmers in FFS in Kenya, where they constituted the majority of participants, and in the seed banks in India.

<sup>16</sup>The NABP reflects the complexity of agricultural biodiversity, addressing sectoral (e.g. crop and crop-associated biodiversity, livestock, non-wood forest products, aquatic biodiversity) and cross-sectoral issues (e.g. environmental impact assessment).

c) *Local level*

119. Some projects have had good potential for adaptation in other countries or regions and most are clearly linked to food security. The projects in India were particularly impressive for replicability and all appeared to be well designed and implemented. Given the wide spread of FFS, the work in Kenya could be used to introduce agro-biodiversity into many countries where there are FFS. The work in India on seed banks was especially noteworthy.<sup>17</sup> It is suggested that some economic assessments of these seed banks (including the values and costs locally, nationally and internationally) are carried out and proposals be developed for the scaling up of the *in situ* conservation pilot projects in Jharkhand, India and that a new phase or programme consider adapting these to other countries for pilot studies. This could be combined with Food Security initiatives by developing local seed banks and integrating them with local market studies and seeing how the seed banks can assist the poorest move out of the poverty trap. This could provide strong justification for initial support and investment by governments in retaining agro-biodiversity, especially as the seed banks have good potential to be sustainably funded by the communities once established.

120. The activity on the food producing cycad, Teocinte (*Dioon mjiae*) in Honduras uses a local university for research on this unique and threatened food source, to consider factors affecting its conservation. The strategy could be relevant to other unique, or locally important, plants.<sup>18</sup> There is also some very interesting work on the restoration of biodiversity in wetland areas in Laos and in Mali. The participatory work in the Farmer Field Schools (Kenya) and the pilot projects (Bhutan and Central America) also need to be adapted to ensure that economic issues are incorporated.

**Recommendation 16**

Research and field projects need to assess the benefits and costs of agro-biodiversity and determine their incidence.

121. Where possible, the values should be priced, but what is most important is to acknowledge and be aware of both the costs and benefits and who is paying or receiving them<sup>19</sup>. It is important that efforts to conserve agro-biodiversity do not require the poorest members of society to pay.

*Main Outcomes, Impacts and Sustainability*

a) *Contribution to knowledge and concepts*

122. FNPP Phase 2 has the potential to make a substantial contribution to knowledge once it has been more fully documented. The work carried out has laid the groundwork in providing an assessment of the potential for conserving agro-biodiversity *in situ*, and is in the process of acquiring evidence of the contribution of agro-biodiversity to livelihoods. A wealth of information has been generated and this now needs to be documented, used to adapt the evolving concepts of agro-biodiversity and be more widely shared. It is suggested that in a new phase of FNPP, more weight may be given to determining and documenting inventories of agro-biodiversity together with an assessment of their cost-benefit linkages.

<sup>17</sup> It is important not only as a way of producing inventories of Agrobiodiversity, of providing viable and sustainable methods for *in situ* conservation of some of them and a mechanism for working with local universities for field conservation of those that are not currently in demand by local farmers but it also provides a mechanism for local safety nets addressing individual household emergencies.

<sup>18</sup> It is a very interesting project but needs to take into account the economics – not necessarily financial as it is not a marketed product, but the labour and opportunity costs of production.

<sup>19</sup> Draw on the expertise available e.g. shown in the Agrobiodiversity supported PESAL project.

123. The agro-biodiversity theme has contributed significantly to assisting FAO fulfil its mandate to assist countries in complying with international treaties in Lao PDR and is also ongoing in Kenya and Mali<sup>20</sup>.

**b) *Building awareness***

124. The agro-biodiversity theme has worked closely with government and other stakeholders in countries to raise the profile of agro-biodiversity. It has produced, and is in the process of producing a number of manuals, guidelines and publications which should make this knowledge accessible. This could include short briefs on results from FNPP activities which are widely circulated. It would be useful to find the entry points to translate the findings into policies and actions from the research in seeds markets, pollinators, local and national seed banks and to find opportunities for reaching a broader audience with agro-biodiversity information.

**c) *Capacity building***

125. FNPP has taken a different approach to capacity-building in the various countries. In Laos it has worked closely with the government agents helping them to understand the relevance of sustainable production systems, inter-disciplinarity and the relevance of agro-biodiversity. In Kenya, the focus is on using universities to develop curricula incorporating agro-biodiversity and to hold workshops for middle level technicians and policy-makers.<sup>21</sup> In Central America, the approach has been to provide workshops, video conferencing and materials and to train those working in FNPP activities. It is very important that the capacity building efforts are reinforced and that the message is clearly understood by those involved in implementation even in small projects at field level.<sup>22</sup>

126. The IEE gave agro-biodiversity, and capacity building and policy assistance a high priority for resource allocation (Table 3.16 and in para. 661, Recommendation 3.23).

**d) *Interdisciplinarity***

127. Agro-biodiversity has been actively promoting interdisciplinary work particularly in Laos, Nicaragua, Kenya and Mali. The INRA pilot project in Kenya has adapted an essential forest-oriented data gathering methodology to incorporate agro-biodiversity and address the needs of the wider farm system in a range of ecosystems.<sup>23</sup> In all countries visited, the government agents indicated their strong support for the work carried out by FNPP and recognised the value of working more closely across agencies and disciplines. They considered that this would have been much more difficult without FNPP.

128. However, within the other FNPP themes, there is a potential for agro-biodiversity to play a much stronger role in any future work, particularly if an eco-system or watershed approach is adopted.

129. A good start has been made in developing a more sustainable agriculture perspective and encouraging inter-disciplinary work. It is suggested that future work continue to try to establish inter-agency task forces to consider policy issues within Government to discourage mono-

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<sup>20</sup> Supporting Lao PDR to understand the international treaties, prepare reports, on approaches to implement them, developing a plant breeding strategy and encouraging animal genetic resource conservation. In Kenya has provided the national gene bank with resources for fulfilling their reporting mandate for plant genetic resource but is less focussed on Agrobiodiversity.

<sup>21</sup> An excellent short course was developed for training but there needs to be more technical assistance on the incorporation of Agrobiodiversity into degree curricula.

<sup>22</sup> Some of the pilot or FSS projects visited in Bhutan and Kenya reflected the importance for field work to include technical assistance and capacity building to ensure a stronger understanding of the concept of Agrobiodiversity as well as its economic implications. The role of IPM could also be more deliberately integrated into these projects.

<sup>23</sup> It has been highly successful in attracting support from the government who are keen to scale it up, possibly before it has had a chance to be fully tested.



disciplinary approaches. This is more of a challenge in places like Laos, which have less exposure to broader farm systems and sustainable agriculture issues than in Africa. But even where the importance of a more systems approach to smallholder problems is acknowledged the ability to work in interdisciplinary teams with both natural and social scientists needs continual reinforcement. It would also be useful if government task forces working on policy issues could be encouraged to draw on participation from a wider stakeholder network including communities, producers, the private sector, NGOs and civil society.

*e) Partnerships*

130. There has been effective use of partners, particularly in India, and agro-biodiversity has made a concerted effort to engage widely with CGIAR, GEF, international and local NGOs and other FAO initiatives to implement their mandate. It would be interesting for future programmes to consider engaging more with the private sector in developing markets for commodities and services that promote agro-biodiversity.

131. In furthering the recommendation by the IEE (3.20 b) and d)), it would also be useful to work with partners in deepening the international agro-biodiversity “banks” of knowledge (IPGRI, etc.) by developing or improving inventories for different agro-ecological regions and farming systems in countries through piggy backing on existing projects and expanding on the INRA concept.

*f) Contribution to changes in FAO*

132. Agro-biodiversity, with FNPP support, has made a significant contribution to changing the way FAO works and this is recognised in the IEE (paras. 931 and 932) as being well aligned to improving the knowledge management and effectiveness of FAO. The FNPP programme has allowed the Inter-departmental Working Group on Biodiversity to expand its influence and to move closer to mainstreaming agro-biodiversity and a more interdisciplinary approach to development. This needs to be recognised and encouraged in any future programmes.

## **C. FORESTRY**

### *Introduction*

133. The FNPP Forests theme was implemented in more countries than any of the other themes during Phase 2. Those participating included Angola, Bhutan, Cambodia, DR Congo, Honduras, Kenya, Lao PDR, Mali, Mozambique, Nicaragua, Tanzania, Timor-Leste, Vietnam and Zambia, plus a regional activity covering the COMIFAC countries. In addition, the Forests theme was engaged in a number of global activities. Although efforts have been made to integrate forestry with other themes (perhaps most notably in Central America), it is the one theme in FNPP that is firmly rooted in one FAO Department.

134. FAO and the Netherlands have a long history of partnership on forestry matters and given this and the importance of forestry on the international agenda for sustainable development, it was decided to continue this cooperation through FNPP. The programme components agreed between FAO and the Netherlands were:

- a) strengthening of national forest policies, plans and institutions;
- b) conservation of forests and promotion of sustainable forest management; and
- c) support to international agreements related to forests.

### *Conceptual Framework and Overall Strategy*

135. The contribution of the FNPP Forests theme is to be reached through the achievement of the four outcomes described in Table 1. There is no logical framework for these outcomes, and there are too many elements in their definition. As for other themes, the design did not provide key assumptions for reaching the outcomes, particularly with respect to the responsibilities of

beneficiary countries, and in certain aspects lacked realism, particularly regarding time needed to achieve the outcomes.

136. It should be noted that, for a programme that is intended to contribute to Poverty Reduction and to Food Security, there is no outcome that focuses specifically on the economic contribution of forests to rural livelihoods. The design did not include a system to monitor progress towards the outcomes, neither at the overall theme nor country level. This has had a direct impact on the quality of progress reporting which is unequal between countries, and does not provide analytical information.

**Table 1: Planned outcomes and respective indicators for the Forests theme**

<b>Outcome Description</b>	<b>Indicators</b>
<p><i>Outcome 1:</i> Effective participatory processes are initiated to implement improved policies, legislation and administrative changes that help to reduce poverty and that incorporate new dimension of biological diversity, water conservation and energy planning in forest sector, as well as addressing key policy issues in other sectors that have impact on forests. Countries will understand and take steps to fulfil their commitments under major international processes relevant to forests. Steps will have been initiated in at least two countries by the end of 2005 and significant progress will have been made in up to 5 countries by the end of 2007.</p>	<ul style="list-style-type: none"> <li>– <i>Countries will have drafted modifications to forest legislation, policies or administrative practices to address bio-energy, biodiversity, and/or water issues.</i></li> <li>– <i>Countries will have incorporated forest concerns into their national plans or strategies for poverty reduction, conservation of biological diversity, mitigation of climate change, agricultural planning, development planning, or similar.</i></li> <li>– <i>Countries will have taken steps to implement relevant IPF/IFF proposals for action and their national forest-related commitments of the conventions on biological diversity, climate change and desertification.</i></li> </ul>
<p><i>Outcome 2:</i> Steps are taken to improve forest law compliance. By the end of 2005, 3 countries will have initiated a review of forest law compliance. By the end of 2007, the same countries will have established guidelines, practices, or drafted new policies or legislation to improve forest law compliance.</p>	<p><i>Countries will have established a set of guidelines or practices to improve forest law compliance (governance).</i></p>
<p><i>Outcome 3:</i> New approaches will be implemented to understand and assess the status of forest resources in combination with agricultural and land uses including inland or mangrove fisheries habitats, providing the basis for improved policies and decisions that address cross-sectoral issues and to assess national progress towards sustainable forest management. By the end of 2005, methodologies would have been developed and pilot tested in one country. By the end of 2007, an assessment would have been carried out in up to 3 countries.</p>	<p><i>Methodologies are developed, pilot-tested and implemented for an integrated land use assessment that addresses the full spectrum of land uses, including forests, agricultural land and watershed impacts on inland fisheries and/or mangroves.</i></p>
<p><i>Outcome 4:</i> New approaches for sustainable forest management will have been developed and implemented on a pilot basis, addressing issues from outside the forest sector that affect forests. This will include new approaches for addressing the society-forest relationship, and new approaches for addressing and assessing the economic benefits from forest services including biodiversity, climate, water and inland mangroves fisheries. Ultimately, the role of forests in</p>	<p><i>Methodologies for alternative approaches to sustainable forest management are developed, pilot-tested and implemented.</i></p>

achieving relevant MDGs would be assessed. By the end of 2005, methodologies will have been developed and pilot tested in at least one country. By the end of 2007, alternative approaches will have been tried in three countries.	
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### *Relevance*

137. The Forests theme is relevant to MDG Goals 1 and 7. The implementation of a study on Gender and Forestry in Africa enhanced its relevance to MDG Goal 3 “Promote greater gender equality and empower women”. At country level, the Theme is relevant as far as national priorities are concerned. In most of the beneficiary countries, FNPP contributed to a much needed improvement in the framework for sustainable development of the forest sector, mainly in the area of forest policy and law.

### *Efficiency*

138. The results largely justify the costs incurred. Indeed very many activities were implemented in relation to the financial resources made available. This was due in many cases to implementation through partnership agreements, which kept down the overheads (e.g. in Honduras), and in other cases to leveraging the national resources (e.g. in Kenya with INRA, and in Angola). The efficiency was also increased by the complementarity with partners’ activities, such as those of GTZ in Central America. In some cases such as Zanzibar (for income initiatives), efficiency would have been even higher if NGOs had been more involved in the implementation of activities as partners.

### *Main Activities and Outputs*

**Outcome 1: Effective participatory processes are initiated to implement improved policies, legislation and administrative changes. Steps will have been initiated in at least two countries by the end of 2005 and significant progress will have been made in up to 5 countries by the end of 2007.**

139. This has been a central area of work and one in which FNPP has had considerable achievements, although with unequal quality and progress.

140. In Zanzibar, FNPP supported the process of preparing the “National Forest Resources Management Plan (2007-2020)”. The process has been participatory, involving different stakeholders and levels of government. However more backstopping from FAO would have been useful, particularly with respect to analytical work and feasibility studies.

141. In Central America, an innovative methodological approach was followed, starting with an analysis of gaps in existing policies and laws before working on revisions or new proposals. This approach was applied in Honduras and Nicaragua. In Honduras, FNPP was much appreciated as a catalyst in the process of revising the legal framework. The Law has been already approved by the Congress and is awaiting ratification by the President of the Republic.

142. In Kenya, FNPP supported the elaboration of subsidiary regulations on forest concessions and the drafting of Guidelines on forest management plans. The drafting is completed but the gazetting has been delayed. The Guidelines on Forest Management do not provide sufficient technical guidance and examples for Management Plan Elaboration. Furthermore, they address mostly Afforestation/Reforestation and insufficient attention is given to conservation and management of natural forests and mangroves.

143. In Mali, an excellent work was done to revise existing policy and legal framework with particular attention to greater decentralization of the management of natural resources by local communities, integration of forestry and livestock in land use policy, and addressing biodiversity and livelihood issues.

144. In Angola, the war era left the country's forest administration in shambles. Production of timber dropped from an annual cut of about 500,000 m<sup>3</sup> to no more than 30,000 m<sup>3</sup>. Protected areas were abandoned, trade of endangered species flourished, and the population in the forests increased. In these conditions, it was obvious that no forestry development programme could be undertaken before establishing adequate framework conditions.

145. With FNPP support, the Angolan government elaborated a new forest policy and legal framework through a participatory process. The major strengths of the Draft legal framework include allowing contribution of the forest sector to the national economy, integration of forests in national food security and biodiversity concerns, opening to the private sector. However with 227 articles, it is a very dense text. While it allows the contribution of the forest sector to the national economy, it is also very restrictive in several respects as far as conservation is concerned, and this may complicate its enforcement.

146. The forestry and wildlife services have been reorganized, staff trained, investments in forestry development scaled up, and institutions familiarized with the conduct of participatory democratic processes. Among the factors explaining the success of the FNPP in Angola are:

- the political commitment of the ministers of Agriculture and Environment, and the active involvement of the local administrations, the institutions of education and research, NGOs and of the community-based organizations;
- dedication of the Forestry Department;
- proactive support of the FAOR; and
- good technical backstopping.

147. FNPP is providing support to COMIFAC to assist in preparing the forest policy reviews for seven of its member countries (Cameroon, Chad, Central African Republic, Congo, Democratic Republic of Congo, Gabon and Equatorial Guinea). The achievements cannot be reviewed due to insufficient reporting.

148. In Timor-Leste, FNPP supported the development of a national forest policy and law and the elaboration of a policy framework for community forestry. The process for the latter drew from the experiences and lessons learnt elsewhere in Asia.

149. In addition to country and regional activities, it should be mentioned that FNPP implemented in Africa two special studies that have a potential of improving forest policies and strategies in the future, namely Mainstreaming Gender in Forestry, and Forestry and Poverty Reduction. The results of these studies have been published and have been used to organize international workshops in which gathered participants from countries where the studies were conducted.

150. Most forestry policies developed have included new dimensions such as biological diversity, water conservation and energy planning. Angola and Zanzibar are outstanding in this respect. However, with the exception of Mali where the proposed policy takes livestock into consideration, other sectors are generally not clearly addressed.

### ***Challenges***

151. The commendable progress made in the implementation of Outcome 1 notwithstanding, there are three important challenges that need to be addressed:

- systematizing the methodology followed in Central America for the analysis of gaps and incoherences in forest policies and legal frameworks;
- addressing in the policy and legal framework improvements the problem of sustainability of finance in relation to the forest sector, particularly with regards to sustainable forest management, and the promotion of the contribution of the forest sector to poverty reduction (e.g. provision for National Forest Funds); and

- using the results of studies on Gender Mainstreaming in Forestry in Africa, and Forestry and Poverty Reduction in Africa to further improve forest policies, strategies and plans.

#### ***Recommendation 17***

With regards to the improvement of forest policy and legal frameworks, FNPP should systematize the experiences gained in Central America and elsewhere and develop a methodology for the analysis of gaps and incoherences in forest policies and legal frameworks.

### **Outcome 2: Steps are taken to improve forest law compliance**

152. Important progress has been accomplished in Nicaragua. There has been a detailed analysis of the law called “*Ley de Veda*” which prohibits logging in the region close to the border with Honduras, and recommendations have been made to the government for its amendment given the hardships the prohibition is causing to the local populations. It is also worth to mention the creation of the GOFOS, which are fora at different levels of the Nicaraguan administration where matters of forest governance and law compliance are discussed. In DRC, FNPP has supported the review of existing forest regulations and proposed their updating for the enforcement of the new forest policy.

153. In Mali, a methodology for the elaboration of local community bylaws or conventions for natural resource management has been elaborated. Such conventions have an impact on law compliance. In Tanzania, a study was carried out in 2007 to explore modalities of involving forest adjacent communities in law enforcement and monitoring of wood production and trade in Rufiji. The study showed that villagers surrounding the forests were willing to strengthen control of wood production if they owned the forests and benefited from them. It further showed that villages surrounding the forests where the study was carried out have bylaws which have provisions for forest management. In addition to country level activities, FNPP is assisting COMIFAC to elaborate Regional Guidelines on forest control. This is done in the framework of FAO’s support to the implementation of COMIFAC’s Convergence Plan. In Central America, FNPP was involved in an FAO/ITTO initiative to organize a regional workshop on Forest Law Enforcement and Governance in 2007. The Workshop got a high profile and had a considerable impact because it was opened by the President of Honduras.

### **Outcome 3: New approaches will be implemented to understand and assess the status of forest resources in combination with agricultural and land uses. By the end of 2007, an assessment would have been carried out in up to 3 countries.**

154. In Kenya, the Integrated Natural Resource Assessment (INRA) project was implemented under both the Agro-biodiversity and Forests themes, while in Zambia, FNPP assisted with the Integrated Land Use Assessment (ILUA). These methodologies for natural resources assessment have been developed and described in Field Manuals which have been pilot tested in those two countries.

155. The objective of INRA is to enhance national capacity to collect and analyse harmonized data on a wide range of natural resources with a view to inter-sectoral decision-making. In a first of three phases, surveys are planned to be conducted in three pilot zones and later scaled up to cover the rest of the country. The sampling design is robust, and the field data collection approach is clear. However, a few modifications to the procedures, particularly in the assessment of non-tree attributes, are needed so that the INRA data can be more useful in addressing current and emerging forestry and food security needs. The INRA design and process has a potential to generate national forest inventory statistics for Kenya on several attributes, such as tree volume, to provide a basis for informed national policy decision-making. The INRA process will also provide information on tree resources outside forest. It also has the potential to provide statistics on attributes of emerging importance, including carbon content, plant biomass and bio-energy.

156. Finally, the INRA methodology addresses well the collection of data to assess the current state of the resources. That is, it will provide answers to the question: how much of the resource is there and how is it changing over time? However, for some forestry applications (e.g. determining the location of prime trees to harvest) a second important question is: where is the resource located? The INRA approach does not cover this aspect. To address the latter question would require mapping of the entire country based on the INRA land cover/land use system, or as an approximation, to develop some sort of thematic maps by interpolating the data from the systematically laid out tracts.

157. The operations of INRA in Kenya and ILUA in Zambia are not yet completed, and are therefore not yet contributing to improved policies. However, they enjoy considerable political support and they have raised expectations in the beneficiary countries. There is therefore little doubt that they will make a positive contribution to national policies addressing sustainable forest management.

158. Anticipated work on assessment of inland or mangrove fisheries habitats has not taken place.

### *Challenges*

159. The commendable progress made in the implementation the methodologies for ILUA in Zambia and INRA in Kenya notwithstanding, there are two important challenges that need to be addressed:

- developing a guide on how the INRA (or ILUA) approach can be used to strengthen practical inter-sectoral linkages for higher contribution to Poverty Reduction and for Food Security;
- continue supporting Kenya and Zambia to institutionalize INRA and ILUA respectively; and
- envisage replication of these experiences in other countries where integrated natural resources assessment may be needed.

### *Recommendation 18*

FNPP should replicate its experiences in Integrated Natural Resource Assessment (INRA) where this approach is needed.

### **Outcome 4: New approaches for sustainable forest management will have been developed and implemented on a pilot basis, addressing issues from outside the forest sector that affect forests**

160. In Mali, FNPP supported the operationalization of the approach for transfer of responsibility for Natural Resource Management through the “Conventions locale de gestion des forêts”. In DRC, FNPP has supported collaboration between the public sector, private sector, NGOs and the local communities. It supported participatory mapping in pilot forest zoning activities. This has contributed to reducing tensions between local communities and the forest concessionaires. In Tanzania, FNPP supported studies to review and strengthen the Joint Forest Management (JFM) practices and the local by-laws that enable community involvement in law enforcement and benefit sharing from wood harvesting. The potential of non-timber forest products and environmental services in contributing to improved food security and income generation was also assessed. Another study in Tanzania was carried out to build up comprehensive knowledge on the availability, use and potential of non-timber forest products for contributing to increased income and improve household livelihoods, as well as to contribute in reducing pressure on adjacent forest resources. The study’s recommendations that may be relevant beyond Tanzania include:

- need to initiate and establish local and institutional arrangements in the form of village harvesting and marketing groups to support the development of small industries for NTFPs and ensure that the benefits are maximized, equitably shared and sustained in the study areas;
- coordinated strategies need to be developed among villages producing similar NTFPs to share experiences on production, processing and marketing, including how to increase the contribution of the same to livelihood improvement, poverty reduction and district income;
- identified priority NTFPs need to be promoted economically for local communities to realize their potential at household level and beyond. The local value-addition processing strategy is essential;
- due to poor knowledge of and access to NTFPs market information; there is a need to establish a transparent marketing chain to keep producers in stronger positions as compared to traders. Local producers of NTFPs and products need to be enabled to be aware of price information from key points in the marketing chain to give them stronger bargaining power with the traders;
- the growing interest in organic products is an opportunity for NTFPs development worldwide; and
- local honey producers should be encouraged and enabled to produce quality products which could be linked to external markets to maximize profit.

161. Pilot economic activities are implemented under FNPP in Zanzibar and Honduras. Most such activities lacked prior economic, marketing and organizational studies and were of dubious sustainability. However, a more potentially useful effort was implemented in Honduras to develop appropriate methods for the management of the cycad Teocinte (*Dioon mejiae*) in partnership with National Agricultural University (UNA) although they still need to consider the economics from the household perspective.

162. *Water as a forest service*: There are pilot watershed management activities in Bhutan and Honduras in which FNPP is supporting local processes of conflict resolution, while in Zanzibar, a coral forest area is managed for water catchment, where payment for environmental services (forest protection) is being considered for the future.

### **Challenges**

163. The key challenges for FNPP in addressing Outcome 4 are:
- support to countries in establishing supportive policy environment for the development of small local forest enterprises particularly those aimed at processing and marketing NTFPs;
  - promotion of value addition, particularly by local small forest enterprises for timber and NTFP processing. Marketing requires an appropriate involvement of the private sector and the civil society; and
  - mangrove management requires more attention in view of its potential to contribute to poverty reduction and food security. Similar attention is needed for other important ecosystems such as Miombo forests.

### **Recommendation 19**

FNPP should provide support to countries in establishing a supportive policy environment for the development of small local forest enterprises, particularly those aimed at processing and marketing of NTFPs.

### *Main Outcomes, Impacts and Sustainability*

164. Overall, there are impressive performances in the support provided to the processes of improving policy and legal framework in many beneficiary countries and good technical and physical results from field activities in most countries visited. Most of the weaknesses found are mainly due to the lack of an effective conceptual framework, which contributed to overly-ambitious planning. However, given the scale of operations and the short duration of the project, the overall impression is largely positive. The success can be attributed to the partnerships, the dedication of the FNPP staff and the commitment of governments. The activities which show the most interesting outcomes are likely to have wider impacts and may be replicable include the following:

- participatory and democratic process in forest policy and law formulation in Angola;
- conflict resolution approaches in watershed management in Bhutan and Honduras;
- integrated Natural Resources Assessment in Kenya and Zambia;
- analysis of gaps and incoherences in the policy and legal framework in Central America and COMIFAC;
- transfer of responsibility for Decentralized Natural Resource Management in Mali;
- local conventions or bylaws for forest management and law enforcement in Mali and Tanzania; and
- collaboration with civil society and the private sector in DRC.

165. The likely sustainability of the outcomes in many of the above fields was enhanced by the participatory methods used for field implementation, the good response of local communities, and working through partnerships. However, lack of private sector involvement will limit economic sustainability of certain activities relating to value adding and access to markets.

### *Overall Assessment*

166. The implementation of FNPP in different countries has allowed FAO to address forest issues in a diversity of policy, cultural and human contexts, and to acquire considerable experience. The Forests theme is well integrated in the priorities of Governments of the beneficiary countries. The ownership of the results by these governments and other partners who have been involved in the implementation is quite high. Overall, the efficiency of implementation of forestry activities is good, given the large number of activities and the relatively limited funds. Areas for improvement include:

- under-reporting of the progress and achievements of the Programme, both at central and country levels;
- the coherence and linkages with other FNPP themes could be reinforced in many countries;
- the economic dimension is not well developed in the Forests Theme. Where there are attempts to develop it, there were no prior studies on markets and marketing aspects, and no value chain analysis; and
- collaboration with the civil society and the private sector could be strengthened, for example in form of implementation partnerships and capacity building.

167. The current scope of FNPP is sufficiently broad to adequately contribute to Millennium Development Goals 1 “Eradicate extreme poverty and hunger” and 7 “Ensure environmental sustainability”. Its breadth provides a potential to use the multiple functions of forests to contribute to poverty reduction, food security and environmental sustainability. The Evaluation suggests that the summary below may be considered in future reflections on the successor arrangements to FNPP.



**Table 2: Summary on the framework and scope of the FNPP Forests theme**

Overall goals	Scope of Forests Theme Interventions		
	Areas for thematic issues identification	Strengthening economic outcomes	Enabling framework in the national context
<b>Food Security</b>	Farm and Community Forestry; Co-management of public forests; FLR; Bio-energy; Mangroves management.	Integration of value chains: Promotion of small forest enterprises; Value adding; NWFP valorisation.	Support improvements of policy framework conditions.
<b>Environmental Sustainability</b>	Promote new integrated approaches for: SFM; Watershed management; Biodiversity; Mitigation of climate change.	Mechanisms for payment of Environmental services; Certification.	Support enabling policy, regulatory and institutional framework; Analysis and advice on factors in other sectors with impacts on forests.
<b>Social Sustainability</b>	Support social organizations for management and access to services.	Support capacity building; access to rural credit, etc.	Support participatory and equity policies: Gender; small-holder access to credit, etc.
<b>Forest Governance</b>	Support articulation of levels of government, private sector and civil society roles	Support partnerships and inter-actor collaboration	Support participatory and equity policies: Gender; small-holder access to credit, etc.

168. In future interventions, cognizance should be taken of the distinction between two contexts in order to address the issues in a coherent way: countries that are forest-rich and those that are forest-poor. In the former (e.g. DRC, Cambodia, Laos, Zambia, Honduras, Angola, Timor-Leste and Bhutan), forests may be seen as a development capital, or in some cases as a barrier to development. Unplanned or uncontrolled use gives rise to deforestation and forest degradation. The main issues in such situations include therefore deforestation, biodiversity loss, and often the exclusion of forest dwelling population from decision-making and resource use. In the forest-poor situations (e.g. Tanzania, Mali, Mozambique, Kenya and India) forests contribute to satisfying basic needs (food, fuel, fodder) and may be considered also as reserves for agricultural land. The remaining cover may be important to conserve for the protection of soil, water and biodiversity values. The main issues may relate to the critical ecological role and its impact on human well-being and survival, and to land productivity.

#### **D. ACTIVITIES UNDER UNALLOCATED FUNDS**

169. As was stated in Chapter V, 25 percent of the FNPP funds are not allocated to any of the three themes. In consultation among the Theme Coordinators and with the agreement of the overall FNPP Coordinator, some of the unallocated funds are transferred to one or more of the three Themes, for specified activities in a particular year. Most of these activities (e.g. work on IPM, PES, Food Systems, Forests and Agro-biodiversity in support of Food Security in Central America) are covered in the earlier parts of this chapter. This section examines a few activities that were not covered previously.

##### *Policy Assistance Lesson Learning*

170. Policy assistance is an important activity of FAO, one in which it claims comparative advantages because of its expertise and position of neutrality in providing advice to member

countries. Over the years, FAO (and other agencies) have developed a considerable body of work in policy advice.

171. The FNPP activity was based on the premise that “best practices” in provision of policy advice were not well developed or known; that most providers of policy advice rely on their own or their group’s experience and do not have access to experience of other actors.

172. The methodology adopted for carrying out this study foresaw three main phases: (i) definition of the method and approach and preparatory work; (ii) collection of analytical findings; and (iii) synthesis. Information used for the synthesis was based on:

- a review of the literature on policy processes and how to influence them;
- an institutional survey of agencies providing policy assistance in order to gather their views and the lessons they are drawing from their experience; and
- an in-depth analysis of selected case of FAO policy assistance projects.

173. Views of experts from FAO and other agencies were gathered during an international workshop held in Rome in April 2007.

174. The case studies were generally well done, followed the same methodology for their preparation and each attempted to draw conclusions based on the process of formulating policies and subsequent implementation of the advice. Subsequent to the workshop, summaries of the case studies have been prepared who will be published together with the synthesis report of this activity. It is planned that during the first months of 2008, further lesson learning from FNPP operations in countries will take place, to supplement the knowledge base developed thus far. The idea is that there should be a publication on best practices in policy advice that could be ready by mid-2008. This has the potential to be an important output of FNPP.

#### *Support to One UN Pilot countries*

175. FNPP provided US\$150,000 to Mozambique and US\$75,000 each to Tanzania and Viet Nam, to be used as sought fit by the FAO Representatives for FAO’s participation in the One UN pilot countries. There are eight such countries in the world; three were participating in FNPP<sup>24</sup>. The support was used for a variety of purposes, mostly studies or for specialized staff to participate in programme development processes.

#### *Institutional Constraints to Promoting Non-Farm Income and Employment*

176. Three studies (in Ghana, Guatemala and Nicaragua) were commissioned on government approaches to rural development, including the role of different line ministries, regional and local governments, and an examination of the roles of the public and private sector. The findings of the studies were used to suggest specific policies and institutional approaches that can improve rural development strategies in general and PRSPs in particular.

177. The studies are to be published as FAO Working Papers and the synthesis is to be submitted for publication to a peer-reviewed journal. However, the lessons of the study have not been used in the development of field activities under FNPP. This may be considered as appropriate in future.

#### *Building Capacity to Mainstream Food Security, Nutrition and Right-to-Food Principles in Kenya, Mozambique, Uganda and Zanzibar*

178. FNPP funded a workshop in Mozambique for participants from the four countries, which are or are planning to undertake district-level planning and implementation of their food security and nutrition strategies. The workshop was intended to familiarize officers with the concepts for mainstreaming food security, nutrition and right to food principles. It is too early to judge the

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<sup>24</sup> The others are Albania, Cape Verde, Pakistan, Rwanda and Uruguay

impact of this activity,<sup>25</sup> although it was relevant in the context of the decentralized planning strategies being pursued in the participating countries.

## **VIII. Assessment of Programme Contribution to Institutional Objectives**

### **A. INTRODUCTION**

179. From its inception, FNPP has included among its purposes promotion of institutional reform within FAO. The context in which FAO's reform is taking place is wide and has accelerated in recent times. Three elements converge into this: a) overall UN reform following the guidelines of the High Level Panel Report on UN system wide coherence "Delivering as One"; b) the Independent External Evaluation (IEE) of FAO that has now been finalized and acted upon by the FAO Conference; and c) the ongoing reform measures of the Director-General.

180. It is within this wide and overarching context that FNPP contributions to FAO's reform have been analyzed. The Evaluation has selected four items to analyze FNPP in this respect. They were taken from the background documents of the programme (including the evaluation terms of reference), from the analysis and recommendation of the IEE and from suggestions made in the different meetings held with the Programme managers.

### **B. PROMOTION OF INTERDISCIPLINARY AND INTERDEPARTMENTAL WORK**

181. Interdisciplinary work has been significantly increased as a result of FNPP. A number of activities and outputs are the result of informal interdisciplinary work among the staff that participates in FNPP and in some cases, with the participation of other staff. One example of this is the policy work on Food Security. Agro-biodiversity is covered by an interdisciplinary, interdepartmental working group. It was built from a pre-existing biodiversity group that was supported by FNPP in its first phase. It has reinforced and formalized interdisciplinary activities that existed in the organization carried out by people interested in this thematic area.

182. The question of more formal arrangements for interdepartmental work is more complex. Some interdepartmental activities have been carried by FNPP with the participation of the overall Coordinator and three Theme Coordinators from four different Departments. In addition some of the activities funded through the unallocated component are, by design, interdepartmental. Notwithstanding these efforts, formal interdepartmental work does not seem to have been improved significantly by FNPP. The "silo" culture and organization that predominates in FAO is difficult to change and implies high transaction costs for those that wish to work outside of it.

183. One of the major elements to promote interdepartmental work would be a strong conceptual framework that could serve as an amalgamating force between the work of the Departments, a theme that has been developed in Chapters IV and VII. Even if there were such a framework, it is likely that for formal interdepartmental work to be undertaken, it would require explicit incentives or authority not found in the present organization of FNPP.

184. Some possible organizational changes within FNPP could provide a better setting for stronger interdepartmental work. The Evaluation does not wish to make any specific recommendation regarding these options. They are presented as an indication of possible avenues that could be considered. These include: a) the overall coordinator is designated as the budget holder for the whole FNPP budget with authority to attract individual persons from other departments to do specific jobs. These persons would respond to him in those specific activities.

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<sup>25</sup> Those who attended from Zanzibar indicated that it had been most useful and they were in the process of implementing what they had learned in the District planning process.

The overall Coordinator would need to have a high dedication to FNPP. This type of organization would resemble the one used in the World Bank; b) the overall Coordinator (who belongs to the Technical Cooperation Department and not a technical Department) assigns budgets and responsibilities as budget holders to units in other departments. The heads of those units would respond directly to him in the FNPP activities assigned to their units. In this case, the overall coordinator should have seniority over the heads of the other units; c) similar to b), but the overall Coordinator is from a technical department, thus that Department would have intellectual leadership over the Programme.

### **C. LINKING NORMATIVE AND OPERATIONAL ACTIVITIES**

185. The thematic structure of FNPP together with its flexibility in the field work puts it in an especially favourable position to contribute to this objective. The Evaluation considers that the conceptual body of knowledge available from FAO to contribute into national policies is considerable in Food Security, less clearly articulated in Forestry with respect to sustainable non-timber use and community forest/woodland resource management and that it is very thin for Agro-biodiversity with a varied interpretation of even the existing body of knowledge. This is elaborated in the relevant theme chapters. The potential contribution of FNPP to FAO's normative work is significant but requires that reporting from field activities is more consistent across activities and themes. While the feedback into normative work by most of the specific in-country activities has been limited, the results from inter-country studies (Food Systems, PES, Seeds Markets, Central American assessment of current legislation and policies) and through collaboration in partner programmes (gender and indigenous knowledge, pollinators, watersheds) has been significant including published books, guidelines and other knowledge sharing media. The six-month, no cost, extension to FNPP provides an opportunity to carry out inter-country and theme exchanges and to provide the input back into FAO's normative work. A number of the in-country activities have also contributed to assisting them to adhere to the provisions of international treaties. The results from the INRA activities in Zambia and Kenya will provide valuable additional statistical information contributing to a primary mandate in FAO.

### **D. PARTNERSHIPS AND KNOWLEDGE MANAGEMENT**

186. Globalization and the rapid expansion of science have made knowledge management a major element in technical cooperation and development assistance. No organization, not even one with the size and resources of FAO, can have the necessary wealth of knowledge and expertise needed to deal with the urgent and difficult problems of agricultural and rural development. To meet this challenge, it is necessary to develop an institutional culture that promotes and rewards creativity and the exchange of ideas, seeks wide partnerships with other organizations, uses available capacities at the country level and shares knowledge with a wide range of partners and beneficiaries.

187. The IEE has noted that FAO has not fared well in some of these requirements. However, through FNPP, important progress has been made in this area. Examples of partnerships are the participation of NGO's in the execution of a number of activities in Honduras and India, and the alliances with other international organization like GTZ in Central America and with CGIAR agencies especially in the inter-country studies. However, it would seem that more can be done and the Programme should further expand and promote a culture of partnerships and ensure that the results are disseminated widely through good knowledge management.

188. The Evaluation's findings related to the institutional objectives of FNPP are that:

- a) FAO's reform is a complex and long term institutional process that will take place mainly in the Governing Bodies and senior management of the Organization. There should not be unrealistic expectations about the contributions that a Programme the size of FNPP can make to such a process;

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- b) however, institutional change is a cultural process that includes all of the staff. Thus, they should contribute to it in all possible ways; and
  - c) the participants in FNPP have been a modernizing and reform oriented group of persons and the way the Programme functions and is managed represents a significant improvement to management procedures of the organization. More can be done and should be done in the future in this direction.

***Recommendation 20***

As an integral part of the formulation of a third phase or successor arrangements, FNPP should take stock of its contributions to institutional reform, analyze the relationships between these contributions and the organization and management practices adopted by the Programme and make suggestions as appropriate for the long-term organizational reform of FAO. It is recommended that a process of systematic analysis and documentation of current status and results from Phase II be organized as part of the holding of a workshop/seminar to formulate a new phase, with the participation of theme and country FNPP managers, FAO administration and operations staff and some external technical advice, as appropriate.

## **Annex I: Terms of Reference for the Final Evaluation Exercise (October-December 2007)**

### **I. Background**

1. The FNPP II was signed in July 2004 for a 3.5 year period. Its implementation started during the third quarter of 2004 and activities at country level started during first quarter of 2005. The agreement stresses the results and policy outcome orientation of the Programme. The Programme is to report on outputs and their expected contribution to outcomes on an annual basis. The FNPP agreement also envisages in-depth assessments at the end of 2005 and 2007 on outcomes and progress towards achievements of objectives as established in the framework document.

### **II. Purposes of the Evaluation**

2. This final evaluation exercise will serve to:
- i) provide accountability to the Donor on the effectiveness of FAO's policy assistance to developing countries provided under the FNPP, and its working methods at country level (emphasis will be put on sustainable outcomes); and
  - ii) draw lessons and issues from programme implementation and, if warranted, make recommendations for further assistance under the FNPP.

### **III. Scope and Issues to be addressed by the Evaluation**

3. The FNPP II has a country level and thematic focus. It is structured around three major themes: Food security, Agro-biodiversity and Forestry. It also has a programme approach to the extent that (i) FNPP-supported actions are supposed to be catalytic and embedded in broader development contexts at country-level and (ii) there is an overall funding allocation for the three themes, while 25% of the total budget is unallocated. The evaluation will provide an assessment of results and contribution to outcomes for each of the themes at global and country level with particular attention to the key principles/focus underpinning the FNPP: poverty alleviation, food security and the role of capacity building in ensuring sustainability. Furthermore, synergies and complementarities are sought between the themes and within each theme for greater effectiveness. However, the Programme is not designed in such a way that foresees specific joint outputs and outcomes between the three themes. The evaluation will therefore cover this programme aspect where it exists.

4. The FNPP pays particular attention to a number of processes relating to FAO's working methods, including:
- inter-disciplinarity;
  - links and complementarity between normative and operational activities;
  - coordination and harmonization with other FAO programmes and extra budgetary programmes of other donors;
  - partnerships with external agencies;
  - innovative flexible ways of cooperating with member countries and the range of actors and institutions affecting policy including government, private sector and civil society; and
  - coordination and harmonization at country level in particular with the United Nations system.

These aspects will also be reviewed in the evaluation.

5. There will be two levels of analysis:
- i) one which relates to the overall global programme (programme approach, methods of working and assessment of outcomes across themes and activities, including use of the unallocated funds); and

- ii) the other relates to achievement of outcomes at country level for each theme. Relevance, efficiency and results will be best assessed at country level.

Country- level and theme assessments will be consolidated and used to assess the Programme.

### **Issues to be covered**

#### **A. Programme level**

##### *Programme Approach*

- Is there a conceptual framework which links the three themes of the programme? To what extent did the design of the programme foster a programme approach at various levels: (a) common or coordinated objectives; (b) common outcomes; (c) joint activities for common outputs?
- To what extent do Programme coordination and management structures and functions facilitate a programme approach?
- Is there an effective mechanism in place to identify and help develop synergies and complementarities between themes and within each theme?
- What are the limits and constraints to a programme approach, taking into account in particular the various timeframes and levels of operations (from community-based interventions to policy level support) within and between the themes?

##### *Overall Programme Relevance*

Extent to which the country work is relevant to:

- gaps in knowledge;
- strengthening FAO capacities to provide services;
- FAO priorities; and
- Millennium Development Goals.

##### *Coordination and Harmonization*

- Internally: coherence, effective coordination and effective partnerships (when relevant) within the Organization with other programmes (RP and other extra-budgetary programmes);
- Externally: coherence, effective coordination and effective partnerships (when relevant) with the external agencies.

##### *Interdisciplinarity*

- Extent to which the design of the Programme fosters greater interdisciplinarity?
- Extent to which the Programme uses FAO's interdisciplinarity mechanisms (e.g. PAIAs)?

##### *Programme Leadership and Management*

- Efficiency of programme management structure and functions at Headquarters for the whole Programme and for each of the themes? Do they ensure timely delivery and effective support to the Programme activities?
- Extent to which decision-making processes in the Programme give clear and coherent direction for Programme implementation and facilitate timely and smooth implementation of the FNPP's activities;
- Extent to which the Programme Management ensures flexibility and inclusiveness;
- Effectiveness of the monitoring and reporting system.

##### *Linking Normative and Operational Activities*

- Contributions of the FNPP to RP normative work (quality, value-added);
- Extent to which the FNPP facilitates and promotes greater integration between normative work and operational activities (i.e., direct assistance to Member countries) at country level.

*Global Programmes*

- Assessment of individual activities of a global nature: relevance, quality of outputs, possible outcomes and linkages with country-level activities.

*Unallocated Funds*

- Extent to which criteria for funding activities under the unallocated funds are clear and appropriate.

*Knowledge Building and Management*

- How effective are the mechanisms to take stock and build knowledge, including lessons learnt and best practices developed within each theme, between FNPP countries and at Programme level?

**B. Country level**

*Each component (“project”<sup>26</sup>) will be evaluated along the structure below. Specific issues and focus will be defined by country by theme on the basis of workplan, project document and/or any other document that explains objectives, outcomes, outputs and activities:*

- Quality, clarity and adequacy of the formulation/design of FNPP’s interventions;
- Relevance of project with respect to:
  - country needs, demand and priorities;
  - policy and strategy environment, in particular as it relates to poverty reduction and food security (including PRS);
  - extent to which FNPP has allowed actions to be developed in response to issues emerging from existing, broader development initiatives at country level; and
  - existing programmes and other support including the UN system support.
- Efficiency and adequacy of implementation including:
  - the extent of national support and commitment;
  - the quality and timeliness of input delivery by FAO, the Government and other stakeholders;
  - managerial and work efficiency, including clear responsibilities and mutual support between the Headquarters team and the FAO country office;
  - the extent of consultation, coordination and collaboration with stakeholders in the country and with relevant external partners (partnerships based on comparative advantage);
  - the quality and quantity of administrative and technical support by FAO Headquarters, regional offices and the country office;
  - implementation difficulties; and
  - adequacy of monitoring and reporting.
- Results, including a full and systematic assessment of outputs produced to date: quantity and quality as compared with work plans and prospects for contribution to outcomes. Particular attention will be given to the following questions:
  - value-added of FNPP’s interventions and roles within the overall support provided to the country in that sector;
  - knowledge building and management among all stakeholders;
  - capacity building;
  - gender aspects when relevant;
  - contribution to food security and poverty reduction policy and strategy;
  - contribution to cooperation between stakeholders in establishing national policies and goals;
  - prospects for sustainability (e.g. processes conducive to ownership); and
  - potential limits and constraints.

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<sup>26</sup> The term “project” is understood here as a set of activities for the production of outputs and outcomes.



### *Country Level Programme Aspects*

- Extent to which various themes at country level are coherent, carried out in coordination;
- Extent to which complementarities and synergies are explored and realized; and
- Effective learning and knowledge building mechanism among various themes at country level.

Each country evaluation will provide conclusions, recommendations and guidance with a view to ensuring appropriate follow-up actions for sustainability of the results achieved.

## **IV. Methodology**

6. The Evaluation will use traditional tools for evaluation, including structured individual and group interviews with staff (FNPP and non-FNPP) at headquarters and at country level as well as with partners and potential partners, reviews of reports and other outputs produced within the framework of the FNPP, country evaluation case studies, and any other relevant materials.

7. The evaluation will be consultative. Theme Coordinators will be used as resource persons for the evaluation. A workshop should take place at an appropriate time during the evaluation process to discuss preliminary conclusions and recommendations as well as to start drawing lessons for the future.

### **Proposal for the Evaluation Exercise (October-December 2007)**

8. It is proposed to carry out country level missions in 6 countries selected primarily on the perceived interface between the three programme themes and other practical considerations. Among the countries visited, some must have all the three themes under implementation. While in Latin America, the Team will also visit the Central America regional programme coordination unit in Costa Rica. These country level missions will be supplemented by detailed information provided by the concerned theme coordinators for countries not visited by the Evaluation Team, and possibly by telephone interviews or emailed questionnaires to countries not visited.

#### Countries to be visited:

Africa: Kenya  
Tanzania (Zanzibar)

Asia: Bhutan  
India

Latin America: Honduras  
Nicaragua

## **V. Deliverables**

### **The following outputs will be produced:**

- an evaluation report covering all of the above issues and consolidating the results of country visits and the results of the analysis of the information provided on countries not visited (by 14 December);
- a workshop to discuss preliminary conclusions and recommendations; and
- an internal lessons learned paper (by 31 January).

## **VI. Team Composition and Responsibilities**

The team will be composed of four experts:

- an Evaluation Team Leader - Policy and Food Security specialist;
- Forestry specialist with experience in evaluation (Forest legislation/Policy specialist);

- Specialist in agro-biodiversity; and
- Evaluation Manager from the FAO Evaluation Service (PBEE).

9. PBEE will be responsible for the management of the evaluation, including selection and recruitment of consultants, organizing, providing advice and supervising the Team, reviewing reports. PBEE will participate in the field missions and contribute to the evaluation report. PBEE will also be responsible for producing the internal lessons learned paper.

10. Staff involved in the FNPP will be collaborative and provide inputs and advice to the Evaluation Team.

#### **VII. Tentative time schedule for the final Evaluation exercise**

- By September 2007: Briefing materials prepared by TCAS prepared and submitted to Team Members.
- 2-5 October 2007: Team briefing at FAO Headquarters
- 6-26 October: Field Mission to Tanzania (Zanzibar), Kenya, India, Bhutan
- 15-24 November: Field Mission to Central America coordination unit (Costa Rica), Honduras, Nicaragua
- 26 November-7 December (approx.): Final report writing and workshop on evaluation findings at FAO HQ.

## Annex II: Country Report on Zanzibar

### Introduction: Background and Description

1. Zanzibar enjoys a high degree of autonomy. While it is part of Tanzania, sharing common foreign relations, defence, home affairs and other strategic ministries, it has its own Parliament and independent productive and social service government departments and ministries. Zanzibar has a relatively homogenous population of just over 1 million, some 90 percent of whom are Moslem. It has a very high population growth rate of over 5 percent and one of the lowest HIV infection rates in Africa, estimated at less than 1 percent. Income is relatively evenly distributed, but despite this 49 percent live below the basic needs poverty line of some US\$25 per month and 13 percent below the food poverty line of approximately US\$15 per month. Some 60 percent of the population is rural relying predominantly on natural resources with the productive economy dominated by agriculture, fisheries and tourism. Most of the agriculture is subsistence with small surpluses for market. A few large companies are involved in producing sugar seaweed and organic spices for export. Cloves are the largest export crop, monopolized by a state owned company. Resource access and ownership in the smallholder sector is in the process of clarification but tenure issues still undermine incentives to investment in most areas and despite several generations of national plans aimed at privatising the economy, agriculture and forestry are still in the process of moving away from central planning and state ownership (Agricultural Policy 2003). There is strong verbal commitment by government agents to effectively engage local communities, develop a more participatory approach and contribute to poverty alleviation. Various policy documents (e.g. MKUZA, Agricultural Policy) indicate a commitment by government to become a facilitator of growth and to move away from state production and control. There is also a growing understanding of the importance of encouraging sustainable use of resources and of implementing policies and programmes that both alleviate poverty and address environmental integrity.

2. The Zanzibar Strategy for Growth and Reduction of Poverty (MKUZA) was launched in 2002 and the Government invited FNPP to contribute in the area of Food Security which had not been directly addressed in the preliminary drafts.

3. Zanzibar is concerned with the loss of its indigenous forests due to clearing for agriculture, urban growth and tourism, and the collection of wood for both energy and construction. In particular they are concerned that the unique coral-rag forest is endangered. The Zanzibar government established the Kiwengwa-Pongwe Forest as a fully protected reserve in 2003. It is the only remaining high coral-rag forest in Zanzibar (some 33 km<sup>2</sup>) and provides habitat to a number of endemic and threatened species of flora and fauna. The Government of Zanzibar requested FNPP to assist in establishing field activities to manage the forest and to assist in the development of a national forest resources management plan.

### Assessment of FNPP in Zanzibar

#### a) Overall

4. The Food Security and Forestry themes have been implemented at the request of the Zanzibar Government. Biodiversity is an important element in the forestry component in Zanzibar but the FNPP agro-biodiversity team is not involved in Zanzibar. The FNPP worked closely with the government in producing their MKUZA (PRSP) strategy and they are now engaged with the Government in preparing a Food Security and Nutrition Policy and an Implementation Programme. Food Security is co-ordinated through the Ministry of Agriculture, Livestock and Environment (MALE), with direct support by an effective national consultant supported by a committed APO and FAOR in Dar es Salaam. Although FNPP has provided leadership in assistance to the Zanzibar government in developing food security policy, other partners are being actively encouraged to participate in future, especially for the implementation of the strategy.

5. The Government's vision is that Zanzibar forests, and the Forest Department, should contribute to GDP and to local community livelihoods without compromising environmental integrity. Technical assistance is given by Turku Geographical Society (Finland), which has assisted with eco-tourism, the World Bank and a local NGO funded by UNDP on mangroves and the Jane Goodall Trust on environmental awareness for children. FNPP has been primarily involved with the community livelihoods projects and in developing the management strategy of both the Kiwengwa-Pongwe Forest (KPFR) and of the long-term strategy. The government team is very committed and were using the FNPP funds to promote more effective community forest management, but they require more technical assistance on economic, institutional and social analysis and also on indigenous and community forest management, water protection and ecotourism opportunities.

**b) *Specific outputs and outcomes***

(i) Food Security Outcomes

6. The overall objective has been to work with the Zanzibar Government to mainstream food security and nutrition into national policies and programmes to address food insecurity and poverty. The Zanzibar Government counterparts indicated that FNPP had been most helpful in assisting them to incorporate food security into the MKUZA. FNPP also assisted the government in ensuring that MKUZA was more consultative and ensured that the food security component reflected close collaboration of affected ministries (Agriculture, Health, Social Welfare and Local Government) and helped establish an Inter-Sectoral Steering Committee (ISSC). The food security work also included strengthening the capacity for implementing the ZFSN Programme into district planning procedures in four pilot districts and facilitated an exchange visit to Mozambique (see Chapter VII, D.) which participants found to have been most useful.

(ii) Quality of Food Security Outputs

7. There were a number of studies carried out, including a valuable one on marketing margins and market structures although it tended to recommend regulations where it may be more useful to consider policies to reduce transactions costs and enable the private sector. The land study highlights some of the problems but land tenure is in the process of change, is highly complex and is an area which will require a much more rigorous analysis in any future work in Zanzibar. An analysis of credit and in particular the role of credit in promoting food security and at the conditions for successful lending to the smallholder sector may be useful to work on implementing the food security strategy.

(iii) Forestry Outputs and Outcomes

8. FNPP supported activities directed at expanding the knowledge base of the KPFR and it has assisted the Forest Department to establish a community-managed access system to the forest. Although there has been progress, much remains to be done<sup>27</sup>. This is an area that needs more technical support and continuous capacity building with the community. The efforts to develop alternative income activities for the community to reduce pressure on the forests appeared to be *ad hoc* and required very much more careful analysis of the viability of interventions and a more creative approach to develop better use of non-timber products both within the KPFR and in the woodlands surrounding the communities. However, the Evaluation noted enthusiasm and commitment to improving both rural livelihoods and conserving forests. It may be useful to engage with the agro-biodiversity group in developing a broader assessment of biodiversity in the KPFR and surrounding villages. It will be interesting to see if the water caves carrying capacity and ecotourism reports (not yet available) take due cognisance of both environmental and economic sustainability, social interactions and the incentives linked to ensuring sustainable use.

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<sup>27</sup> While the evaluation team was in the field, it witnessed a poaching incident, indicating the difficulties faced.

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c) **Conclusion**

9. Intervention in Zanzibar could have benefited from synergies between the three themes working more closely together. This would require a conceptual framework that clearly identifies the basic principles within each theme and on how the components can link their efforts and operationalise a closer working relationship. The activities in the forestry theme were rather *ad hoc* and would have benefited from a more coherent approach to implementing community activities and structures to reduce pressure on the coral-rag forest. The food security component, being directly targeted at providing policy assistance was less affected by an overall programme but their work could have benefited from input on the role of forestry and agro-biodiversity in food security so that these issues could have been incorporated into the food security policy and programme documents.

10. The activities selected were based on requests from government and complemented on-going activities. The projects selected were related to the themes, there was extensive government and community stakeholder involvement although there may need to be greater involvement of private and civil society in future. Care is needed to ensure that expectations are not raised too high relative to potential (especially eco-tourism to DCCFF and of livelihood interventions to communities). The activities were very relevant to FNPP objectives and Food Security is intending to work more closely with other agencies in the implementation phase and in the decentralized capacity building. Tanzania generally is working closely with other agencies and any new FNPP phase will be a part of the One UN pilot in Tanzania. In Forestry, there are a number of other agencies involved including international NGOs and here it is important to assist DCCFF with the capacity to co-ordinate these efforts and to ensure that they receive good technical assistance. There needs to be more emphasis on feasibility especially for forestry and the programme would have been strengthened by clearer provision of guidelines from FAO for all the proposed interventions and outputs. The programme in general had very good collaboration with government agencies but there appears to be room for broader stakeholder collaboration for the future that more directly includes the private sector and NGOs, even where their capacity needs strengthening as part of the programme.

## **Annex III: Country Report on Kenya**

### **1. Background**

#### **1.1 Context**

1. Kenya has an area of 587,000 sq. km including 11,000 sq. km of water, and a population of 29 million inhabitants according to the census of 1999. It has a population growth rate of 2.5% per year and an average population density of about 51 inhabitants per sq. km. About 84% of the landmass is arid and semi-arid, receiving low and highly variable rainfall, and 16% is of high and medium agricultural potential with adequate and reliable rainfall. The latter part of the landmass is dominated by subsistence and commercial agriculture, with cropland occupying 31%, grazing land occupying 30%, and forests covering 22%. The rest is used for game parks, urban centres, markets, homesteads and infrastructure. The population is mainly rural, and about 80% of the country's inhabitants live in rural areas and depend on agriculture for their livelihoods. About 56% of that population lives below poverty line. At present the Government is giving priority to the adoption of a food security policy, as it is recognized that the majority of the population is food insecure. About 50.6% of the population lacks access to adequate food. The prevalence and incidence of food insecurity is more severe in Arid and Semi-Arid Lands (ASALs). It was estimated in 2004 that the Government spends annually US \$ 40-65 million on famine relief, support from NGOs not included. These are the most important factors that explain the interest that Kenya has demonstrated in FNPP.

#### **1.2 FNPP Programme in Kenya**

2. FNPP in Phase Two has worked on all three themes in Kenya, although interventions under each theme have been conceived separately. The planned outcomes for each theme were:

##### **Agro-biodiversity:**

Outcome 1: Agro-biodiversity concerns and issues are integrated in the curricula of agricultural training and educational institutions and into approaches and modules for Farmer Field Schools.

Outcome 2: Improved access to knowledge and database development on Agro-biodiversity.

Outcome 3: Greater awareness and commitment among key policy makers in agriculture and rural development sectors on the need to integrate Agro-biodiversity concerns and issues in their sectoral policies.

##### **Food Security:**

Outcome 1: Revised Strategy for Revitalisation of Agriculture (SRA).

Outcome 2: Revised coordinating structure established and functional.

Outcome 3: Institutional and technical capacity developed in the key organizations and units within the sectoral government Ministries Departments.

Outcome 4: Issues arising from study on linking smallholders to globalized and urbanized markets inform the review of SRA and development of NFSN Strategy.

##### **Forestry:**

Outcome 1: The legal and institutional framework for achieving sustainable forestry management in place by 12/07.

Outcome 2: Guidelines for forest assets valuation in the context of granting forest concessions used by stakeholders by 12/07.

Outcome 3: The Management Information System (MIS) for the forest concession process becomes operational to provide transparent information (by 12/07).

## 2. Main Findings

### 2.1 Challenges of Design and Focus of FNPP's Interventions

3. The lack of a framework for the FNPP intervention in Kenya led to numerous, but fragmented activities, with unclear objectives and outcome indicators. The lack of institutional assessment prior to the launch of FNPP Kenya and absence of linkages between outcomes/outputs makes it difficult to evaluate the overall effectiveness, although some activities were clearly useful.

4. Day-to-day management of FNPP activities is done by a coordinator based in the FAO Office, Nairobi. There is also a full-time monitoring and evaluation consultant, who is also responsible for coordination of outreach activities under the Agro-biodiversity theme. The technical backstopping and the financial allocations are handled by FAO Headquarters, Rome. The annual work planning of activities is done by the Coordinator in cooperation with focal points in the technical ministries. The reporting system, monitoring and evaluation require improvement and insufficient attention has been given thus far to documenting the experiences and lessons from different programme processes.

### 2.2 Assessment of Outcomes

#### Agro-biodiversity Theme

*Outcome 1: Agro-biodiversity concerns and issues are integrated in the curricula of agricultural training and educational institutions and into approaches and modules for Farmer Field Schools.*

5. With respect to agricultural training and educational institutions, the main counterparts of FNPP are two Universities (Jomo Kenyatta and Egerton) and a third institution, Baraka Training College<sup>28</sup>. The short courses that have been designed on agro-biodiversity are appropriate but it would have been better to include the agro-biodiversity dimension in existing degrees and diplomas, to avoid a too narrow approach and to widen the range of beneficiaries of training. Agro-biodiversity should be understood in a larger framework of sustainable agriculture. It was further noted that the curricula tend to focus more on diversification of agricultural crops in the extension messages and not enough on farming systems analysis, agro-ecosystems and habitat conservation, including assessment and use of biodiversity for livelihood improvements.

6. FNPP has worked to strengthen capacity of service providers to support farmers in Bondo and Mwingi Districts<sup>29</sup> on integration of agro-biodiversity in Farmer Field Schools. The groups each received a 57,000 KShs grant to purchase production inputs and pay for the visits of facilitators. The Evaluation was impressed by the farmers' enthusiasm and was informed that some of the lessons learned at the group plot had been applied on farms. However, there is a need for a stronger focus on broader farming systems approaches and on the economics of alternative options. The emphasis on a few crops in the demonstration plots tends to minimize the interaction with other crop, tree, no-wood forest resources and in particular the animal components in this dryland area. A broader livelihoods approach may be more appropriate.

*Outcome 2: Improved access to knowledge and database development on agro-biodiversity.*

7. *The National Information Sharing Mechanism (NISM)* has a focal point at Kenya Agricultural Research Institute (KARI), which chairs a committee, composed of representatives of Kenya Forestry Research Institute (KEFRI), Kenya Forests Service (KFS), IPGRI, MoA, Kenya

<sup>28</sup> The evaluation met two staff members of Egerton University who provided results from a study on inter-cropping versus mono-cropping ; the curriculum for a short training course in agrobiodiversity and a proposal for a new postgraduate degree in agrobiodiversity

<sup>29</sup> The Evaluation Team visited the sub-locations of Kyomo in Kyomo Location, and Edhombe in Mwingi Location, in Mwingi District, to observe how Agrobiodiversity is integrated in the FFS with the District Agricultural Offices (the FNPP counterparts in FFS).

Wildlife Service, and National Museum of Kenya. Stakeholders were trained in data gathering. FNPP provided support to the data gathering and to assist with the national reports in compliance with international treaties. FNPP also provides support to the establishment of a website on Kenya's genetic resources, primarily targeted at plant breeders, researchers and decision-makers. There is a need to incorporate Agro-biodiversity resources more closely into this process.

8. *The Integrated Natural Resource Assessment (INRA)* was established by the Government of Kenya with help from FNPP. The objective of INRA is to enhance national capacity to collect and analyse harmonized data on a wide range of natural resources with a view to inter-sectoral decision-making. In the first of three phases, surveys are planned to be first conducted in three pilot zones and later scaled up to cover the rest of the country. INRA has produced a field manual "*Integrated Natural Resources Assessment in Kenya*", which gives guidelines and a description of the methodology and procedures used. The manual is well organized and clearly written, with good graphical illustrations. The sampling design is robust, and the field data collection approach is clear. However, a few modifications to the procedures, particularly in the assessment of non-tree attributes, are needed so that the INRA data can be more useful in addressing current and emerging forestry and food security needs, as described further below.

9. The use of the stratified systematic sampling design to establish plots (tracts) across the country is statistically sound; it is a commonly used sampling design in forest inventories in many countries. Use of the tract plot-cluster design is also reasonable and has a long history of use. An attractive feature of the design is that the tracts will be permanent and re-measured over time, so as to monitor resource trends. However, the re-measurement design is not described in the manual. For example, will all the tracts be re-measured at the same time (e.g. every five years)? Or could the re-measurements be done on a more efficient approach, whereby a portion (e.g. 1/5<sup>th</sup>) of the tracts is re-measured each year, to spread the costs and maintain crews working over time? It is important that this aspect be addressed now so that the field forms and the database can be designed to accommodate collection and analysis of monitoring data. The systematic design helps to allocate tracts across the country more efficiently. However, if the strata boundaries will change, then analysis will become complicated over time, as one will need to track movement of tracts between the two strata. This could in turn also affect the design of the field forms.

10. The field procedures for tree mensuration are well described and illustrated. However, there is no description of the measurement of other plants such as bamboo clumps and culms, and climbers. The INRA design and process has a potential to generate national forest inventory statistics for Kenya on several attributes, such as tree volume, with adequate precision. These statistics can provide a basis for informed national policy decision-making. The INRA process will also provide information on tree resources outside forests (TROF). TROF are an alternative source of timber and non-timber products, which rural people are becoming increasingly reliant upon for livelihoods. The INRA approach can also provide survey information on silvicultural practices in Kenya. Finally, it also has the potential to provide statistics on attributes of emerging importance, including carbon content and plant biomass. Ecosystem carbon is becoming an important attribute in the perspective of carbon trading; however, it is unclear from the data collected in the INRA approach how ecosystem carbon content will be determined. Furthermore some components of the total ecosystem carbon are missing; these include carbon from soil and woody debris on the forest floor.

11. The INRA approach could also provide information on bio-energy. For example, the tree and shrub biomass information could be used to assess the national potential for production of bio fuels, as well as assessing the availability of fuelwood and fodder for local communities. However, this cannot be done unless, as stated earlier, there is some sort of sub-sampling of the woody and other vegetation, developing factors to convert woody/non-woody volume collected from the INRA to biomass. Many local communities are dependent on the forest for livelihoods. They collect mainly non-timber forest products (NTFPs) for food and medicine, and to supplement their income. Thus, information on the abundance and trends in NTFPs linked to socio-economic data needs further reinforcement. The INRA process can provide this information



if the list of all plants was collected on the tracts, rather than just the indicator plant species and shrubs/bushes. The proposed INRA approach of collecting this medicinal and edible plant information based on interviews provides considerable insight, but alone it may not be sufficient.

12. Finally, the INRA methodology addresses well the collection of data to assess the current state of the resources. That is, it will provide answers to the question: how much of the resource is there and how is it changing over time? However, for some forestry applications (e.g. determining the location of prime trees to harvest) a second important question is: where is the resource located? The INRA approach does not cover this aspect. To address the latter question would require mapping of the entire country based on the INRA land cover/land use system, or as an approximation, to develop some sort of thematic maps by interpolating the data from the systematically laid out tracts.

13. *Using markets to promote sustainable utilization of crop genetic resources and information on invasive and alien aquatic and forestry species:* FNPP carried out studies through consultants instead of partnerships with institutions, which would have promoted more ownership and follow-up. The three studies<sup>30</sup> were of good quality, had some interesting results but again were not co-ordinated. The recommendations have been communicated to the TWG on Food Security of ASCU for their consideration in policy elaboration. In future work on using markets to promote Agro-biodiversity, it may be useful for FNPP to link with the private sector and the NGOs<sup>31</sup>.

*Outcome 3: Greater awareness and commitment among key policy makers in agriculture and rural development sectors on the need to integrate agro-biodiversity concerns and issues in their sectoral policies.*

14. Greater awareness on agro-biodiversity and commitment among key policy makers has been reached by incorporating it into ASCU. A National Seed Development Policy has received FNPP support and is to be presented at a high-level review workshop. The importance of Agro-biodiversity has received wider acknowledgement by the universities, Government, farmers in pilot areas and other partners working with FNPP and a number of short Agro-biodiversity training courses have also helped to create a more meaningful understanding of the issues. The progress made so far is such that Agro-biodiversity is likely to become an integral part of the national agricultural, forestry and fisheries strategies and programmes. More work is needed to develop a common vision and understanding of Agro-biodiversity and in time research and policies promoting the conservation of Agro-biodiversity should be broadened to include the full farm system and surrounding forest resources and not focussed so closely on a few crops.

### **Food Security Theme**

15. The main objective of FNPP was to ensure that broad food security concerns are reflected in new and revised policy statements as well as related programmes and action plans. This has been done very successfully. FNPP has provided good support to the Government of Kenya in its process of elaboration of the National Food Security and Nutrition Policy. This process is a cross-sectoral exercise coordinated by the Ministry of Agriculture. The policy may be officially adopted in the course of 2008.

*Outcome 1: Revised Strategy for Revitalisation of Agriculture (SRA).*

16. *Recommendations in Draft Sessional paper on National Food Security and Nutrition Strategy (NFSN) incorporated by November 2007:* The process draws on existing policy documents, such as the Sessional Paper on Food Policy of 1994, the National Plan of Action for

<sup>30</sup> Commercialization of Smallholder Agriculture in Kenya in the Districts of Kiambu and Kisii; Factors Affecting Access to Seeds in Rural Livelihoods of Bondo District; Role of Local Markets in the Sustainable Utilization of Crop Genetic Resources in 4 Districts of the Eastern Province

<sup>31</sup> NGOs were used as consultants and not as development partners who are more likely to ensure that the activity is sustained.

Nutrition (NPAN) of 1994. The support provided by FAO in form of international consultants is highly appreciated. It is recognized that the technical support from FNPP allowed policy elaboration to move fast and to add the “Nutrition” dimension. The revision of the SRA is now expected to be finalised in 2008.

17. *NFSN guides public and stakeholder resource allocation and priority setting for food security and nutrition by November 2007*: This output has not yet been achieved because the National Food and Nutrition Policy has not been adopted. However, proposals on institutional aspects have been included in the final draft and a Draft Implementation Framework has been prepared for multi-stakeholder review process.

18. Outcomes 2, 3 and 4 were subsidiary to the overall goal of developing the National Food Security and Nutrition Policy. FNPP has participated in the Agricultural Sector Coordination Unit (ASCU) has been set up in 2004 to coordinate reforms in the agricultural sector. ASCU works through six Technical Working Groups, one of which (Formulating food security strategies and programmes) includes participation from FNPP. Membership of this TWG is wider than government ministries. This participation has been instrumental to FNPP’s work on food security in Kenya.

### **Forestry Theme**

19. FNPP’s primary objective in Forestry was to strengthen the legal and institutional framework for achievement of sustainable forest management related to the Forest Act 2005. The work conducted by FNPP has been relevant and the quality of the work good. However, only three of 19 sets of rules of the Forest Act have been elaborated, and most of this Act is not yet operational. Thus, it is premature to conclude that the legal and institutional framework has been sufficiently strengthened for achieving sustainable forest management.

*Outcome 1: The legal and institutional framework for achieving sustainable forestry management in place by 12/07.*

20. FNPP has supported two relevant activities related to this:

- drafting of subsidiary legislation on forest concessions; and
- drafting of guidelines for forest management plans.

21. For subsidiary legislation, the aim is to have rules and regulations allowing co-management with the private sector, local communities and farmer groups. Rules and regulations, on concessions of forest plantations to the private sector and communities were elaborated and have been submitted to the Minister for approval. The drafting is completed but they have not been gazetted pending completion of Model Contract Forms that are to be attached to the rules as Addendum.

22. “Draft Guidelines for preparation of a proposed Forest Management Plan for Joint Management Agreement” were prepared by a consultant. The current draft is more of a table of contents and does not provide sufficient technical guidance and examples for Management Plan Elaboration. Furthermore, it addresses mostly Afforestation/Reforestation and does not sufficiently cover other aspects such as conservation and management of natural forests and mangroves.

*Outcome 2: Guidelines for forest assets valuation in the context of granting forest concessions used by stakeholders by 12/07.*

23. The aim of these guidelines is to provide the Forest Department a framework for valuing forest assets to ensure transparency in allocating concessions to communities, farmers and industries and to avoid under-valuation. The guidelines and procedures were completed in December 2006. They were field tested and submitted to the KFS Board for approval in September 2007. As there is no plan of selling the state’s forests to the private sector, the relevance of the guidelines is not clear. Indeed, granting the forest concessions may be done

through open public auction. If valuation were to be needed, it would be done case by case to take into account particular conditions of the concessions. The exercise would have strengthened the justification of FNPP support if for example there were a preoccupation of integrating the environmental values in the valuation of forest assets.

*Outcome 3: The Management Information System (MIS) for the forest concession process becomes operational to provide transparent information (by 12/07).*

24. FNPP helped the establishment of a website, containing personal data about concessionaires. This does not constitute an effective MIS. As the operations of the Kenya Forest Sector are not adequately monitored and reliable, and timely analysis of sector performance is not possible, one might have expected the MIS to more comprehensively enhance KFS' capacity in formulating, planning and evaluating national forest policies and programmes. This would include establishment of methodologies to gather information and coordinate operations among forest sector stakeholders, and to develop an information exchange network for these stakeholders. For effective coordination of the forest sector activities, at least four areas of operations would have been given attention for the development of the MIS: forest management, revenue collection, research analysis, policy analysis, and stakeholders' information. The database developed is well below such expectations.

### **3. Conclusion**

25. FNPP in Kenya was aimed at achieving objectives that relate to revision of policies or adoption of new regulations. To be effective, the appropriate political authority must make decisions on the adoption of the proposals. This stage has not yet been reached for the objectives in the three themes (Food Security, Agro-biodiversity and Forestry). However, the preceding description shows that important progress has been made, and a number of policies are at an advanced draft stage and may be adopted in the course of 2008.

26. The general conclusion is that, overall, the three themes are relevant to the situation of Kenya. Although the impact of FNPP is not measurable yet, the Evaluation has the impression that in view of the interest shown by different ministries involved in the revision of food security policies and programmes, the activities have contributed to raising the awareness of the decision makers. They have also contributed to raising the awareness of public agencies on the need of streamlining agro-biodiversity in research, extension and education.

27. In spite of this overall positive assessment, there are still problems that result from the vague programme design. With the exception of processes that are coordinated by ASCU and the work being carried out by INRA, FNPP-Kenya gives an impression of a cluster of individual activities that proceed each on a quick pace to comply with the time pressure of the work plan, and are not interlinked as far as the use of the results is concerned. The Evaluation is convinced of the merits of the flexibility of the thematic programme approach; it allows quick interventions that respond to the needs expressed to FAO by the Government. However, annual Work Plans alone are not sufficient to guide the implementation of the FNPP in Kenya. A defined conceptual/strategic framework combined with strong monitoring and evaluation would enable the flexibility to be within guidelines.

28. There is no evidence that the general approach of FNPP Kenya pays a special attention to gender issues. No specific indicators were defined in relation to gender and it was not mainstreamed in any of the policy documents, curricula or programmes. For Agro-biodiversity in particular, such an attention is necessary because women hold traditional knowledge as far as management and use of plants is concerned, and can play a key role in their conservation and sustainable use.

## Annex IV: Country Report on India

### Introduction: Background and Description

1. India, with some 3.3 million km<sup>2</sup> and over 1.1 billion people, is densely populated (336 people per km<sup>2</sup>) and has a strongly growing economy. Macro-economic indicators are stable but income distribution is skewed with 20 percent of rural people living in chronic poverty. Per capita GDP is US\$730 and only some 60 percent of the population is literate. Government expenditure on health and education is low (5% and 3.7% GDP). Agriculture accounted for 19 percent of GDP in 2005, some 10 percent of exports and is the basis of the economy for the 800 million people living in rural areas. The 11<sup>th</sup> Development Plan (2007-2012) has given priority to raising agricultural productivity, aiming to achieve an agricultural growth rate of over 4 percent. Specific steps are promoted to revise policies: liberalising markets and encouraging contract and corporate farming and foreign investment are cornerstones. The plan recognizes the importance of conserving and enhancing the depleting natural resource base and has specifically recognized the conservation and promotion of agricultural biodiversity both to help improve food security for poor farmers and in recognition of India's importance as the centre of origin of globally important species, in particular rice.

2. India has been at the forefront of recognizing the importance of agro-biodiversity, enacting several laws to protect both biodiversity and farmers rights. The National Biodiversity Strategy and Action Plan (2003) recognizes the importance and vulnerability of domesticated biodiversity, its role in local culture and information systems and the key role of women for *in situ* conservation. The Chennai Platform of Action (2005) was developed at an international consultation organized by M.S. Swaminathan Research Foundation, IPGRI (International Plant Genetic Resources Institute and GFU (Global Facilitation Unit for Underutilised Species of GFAR) to define the agenda and as a call for international collaboration in ensuring the conservation and the sustainable and equitable sharing of the benefits from agricultural biodiversity in helping to achieve the MDG of halving hunger and poverty by 2015.

3. FNPP is directed at implementing some of the strategies proposed in the Chennai Platform of Action. FNPP recognized that there are challenges in reconciling the conservation of agro-biodiversity while increasing production and incomes. India has a very well organized and established civil society with many active and effective NGOs and, where appropriate, FNPP has used these agencies to implement its agenda. The programme in India has five activities and they are the result of opportunistic decisions dictated by the interest on part of the government and of the needs and calibre of some NGOs and research institutes working on relevant issues. They include two multi-country studies on seeds markets and pollination that are being co-ordinated through FNPP and which involve various partners in the different countries including local and international NGOs and the CGIAR. There is also a project concerned with establishing viable and self-sustaining *in situ* seed banks and farmer empowerment. The activities in India have also included support to the documentation and dissemination of information on the conservation of animal genetic resources (including through a film) and assistance to the Government of India in strengthening capacity in plant protection.

### Assessment of FNPP in India

#### a) Overall

4. The country activities are directly relevant to the FNPP objectives of promoting agro-biodiversity and contributing to poverty reduction and sustainable agriculture. The work responds to demand promoting national policies and priorities with respect to agro-biodiversity. It has identified effective partners and champions and is supporting efforts by both the national government and NGOs to promote the agenda. The phytosanitary work is not limited to agro-biodiversity issues but incorporates the broad range of plant protection issues. Local communities

visited in the field, meetings with the NGOs involved and with the FAOR and government representatives indicate that the programme is relevant and that there is strong local ownership. All the projects funded under the programme are innovative and provide interesting and relevant contributions to knowledge in agro-biodiversity and some also contribute directly to knowledge on local community empowerment, food security and agro-forestry.

5. The FAOR is closely involved in co-ordinating the work and interacting both with the NGOs, the government representatives and the technical contacts in FNPP Rome. FNPP in India is well managed with some of the components finalized and others on track for finalization in early 2008.

6. Agro-biodiversity is the only theme financing activities in India. There are, however, implicit links with both food security and forestry in some of the activities. The work on farmers' rights and seed banks includes activities to promote both risk management and nutrition education and the work on millet seed markets is directed at improving food security, in particular nutrition, while maintaining agro-biodiversity. The work on improving pollination is related to agro-forestry (coffee and their shade regimes).

*b) Specific outputs and outcomes*

- **Management of pollinators for sustainable agriculture**

7. This activity is a component in a multi-country project being co-ordinated through FNPP. It is to study the relationship between the progressive substitution of native trees used for shade in coffee and cardamom production by cultivated trees with the pollination function of wild bees. The project also includes pollinator training workshops and the development of a manual and training of farmers. The project is well designed and seems to be progressing satisfactorily. This study could contribute to a change in policy on tree cutting if it is able to show that farmers' are more likely to plant indigenous trees, encouraging conservation of shade tree diversity, with a policy change.<sup>32</sup>

- **Seed Banks and Farmers' Rights**

8. This project confirmed the potential for involving villagers in genetic conservation and assisting their poorest members through the establishment of seed banks. The project resulted in a remarkable empowerment of very poor villagers through education on farmers' rights and through their taking ownership, control and management of their own seed banks. Gene Campaign (the implementing partner, an NGO) has used workshops, pamphlets in local languages, slogans on walls, banners and posters as well as plays, dances and songs to convey its message. It has also worked closely with elected village members and the elders to train villagers in establishing and maintaining their seed banks. These seed banks grow each year with villagers required to repay 3-5 kgs of seed for every 1kg loaned at the start of the season. In this way the villagers also hope to build up supplies to be used for the most indigent and those facing personal disasters. Working through the Gene Campaign, FNPP has contributed directly to establishing two village seed banks with a third one to be established which will provide a larger and more permanent collection. The project has trained farmers and with them has so far collected and identified some 2000 rice varieties as well as various tubers, leafy greens and other traditional vegetables, cereals, legumes and oilseeds. It has sent seeds to the national gene bank which provides specialized facilities. It is also holding 463 rice varieties in a "live" collection at the local agricultural university in Ranchi. Gene Campaign is responsible for maintaining the seed bank which it does in accordance with ILRI criteria. This means that the seeds must be multiplied every year to ensure they retain

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<sup>32</sup> The Forest Act prohibits cutting certain native trees and a number of cultivated species. So, the farmers cut these trees surreptitiously and then plant Silver Oak which is not included in the Act. In addition, the farmers own the land farmed but apparently not the trees, particularly indigenous trees, further acting as a disincentive to plant trees that would contribute more to Agrobiodiversity.

viability. These seeds are multiplied on a plot at the university by Gene Campaign staff with some being kept to maintain the gene bank and others used to reintroduce traditional varieties in villages where they have been lost. Villagers are particularly pleased to receive the aromatic, the medicinal and the red rice varieties where they have been lost. Hybrids are grown but are less popular since a recent disaster resulted in a high failure rate. The hybrids are also inaccessible to the poor since they are relatively expensive and require the use of pesticides and fertilizers. However an improved variety is very popular with all farmers<sup>33</sup> The Gene campaign are carrying out research to test the viability of drying seed (ultra desiccation).<sup>34</sup> It is also hoped that the seed banks will build up each year so that they can be used as a source of food in the last three months before the new harvest when many of the poorest people are forced to take loans from moneylenders at very high rates which leads to a cycle of poverty and eroding asset bases.

- **Farmer-based assessment of seed and product systems for minor millets in Tamil Nadu**

9. This study, part of a multi-country project, is researching the millet production chain in Kolli Hills and Dharmapuri Plains with emphasis on millet marketing, in particular the marketing of millet seed and the impact of this on agro-biodiversity in both the hills and the plains. Millet production has been declining in the face of strong demand for cassava by local industry and cassava has come to replace millet also in food consumption. Farmers in the plains grow fewer varieties than those in the hills. Households prefer not to consume their millets as processing them is very labour intensive. The project appears to be very ambitious and may need more clarification on whether the farmers are expected to bear the burden of agro-biodiversity conservation for mankind. The reports do acknowledge that unless millet can be made more competitive it is unlikely that local food consumption traditions and local millet varieties will be conserved. More economic analysis on its competitive potential would be useful. The project includes a component on nutrition education and efforts to have millet incorporated into school feeding programmes. No evidence is provided of the nutritional superiority of millet and yet it is the strongest rationale for promoting it given its known disadvantages (labour intensive processing and much lower returns than alternate crops).

10. The research and researchers are competent and committed and have come up with some interesting results. Whether millets should continue to be encouraged at farm level is not yet clear and it may be better to conserve the genes *ex situ*. Despite encouragement farmers will not grow commodities that are uneconomic, particularly when they are not in local demand because they are time consuming. They may continue to grow some of these crops for risk diversion and/or for specific festivals. The study has therefore highlighted the dilemma facing options to maintain agro-biodiversity within local communities. The study needs to provide compelling rationale for promoting diversity and of the policy interventions needed. Some ideas were put forward from earlier work, but the impact of this subsequent work needs to be incorporated.

- **Animal Genetic Resources**

11. Both the document and the film have apparently been very well received and there are plans to provide broader exposure for the film.

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<sup>33</sup> estimates that around 45% is planted to IR64, 5% to hybrids and 50% to a range of traditional varieties in one village visited by the evaluation.

<sup>34</sup> This is as an alternative to a cold store for the regional seed bank which they cannot afford and instead of the multiplication of seed each year which (although probably sustainable in farmer seed banks since it is in their direct interests) may not be sustainable at the University when Gene Campaign withdraws – unless a particular unit is funded to continue the work. The Gene Campaign is concerned that it may open up the potential for bio-piracy and are controlling access to the varieties until the laws are seen to be effectively working.

- **Phytosanitary Capacity**

12. The project, objectives, outcomes, content and activities were clearly articulated by the government project co-ordinator who showed strong interest and ownership of the activity, which is directed at improving phytosanitary services in India. FNPP is also working with the National Bureau of Plant Genetic Resources to improve quarantine measures in germplasm international exchange and also in highlighting the importance of plant protection in the light of disease risks with monocultures and thus the importance of conserving agro-biodiversity.

### **Conclusion**

13. The seed bank project is very well organized and established with a strong potential for success and sustainability. Although FNPP has not had a technical backstopping role the project could contribute significantly to the normative work and as an example to many of the other projects in the programme (especially Bhutan and Kenya) to consider supporting. FNPP could also play a role in facilitating Gene Campaign to access resources and spearhead a project to work with NGOs throughout India in establishing seed banks and promoting farmers' rights.

14. The projects in India were well selected with good champions and a strong likelihood of impact. They have been successful and have shown the advantages of FAO being in a position to select good partners and to co-operate closely with local NGOs and other research institutes and donors. It is less clear how the results will be incorporated into FAO's normative work and the lessons shared with other countries in the FNPP. Also the work could be useful to demonstrate effectiveness of the Indian policies and laws and NGO field work to other FNPP countries, encouraging them to adopt relevant policies for Agro-biodiversity and to encourage them to engage in similar research.

### **Recommendation:**

*FNPP should publish some of these studies and their results. It would be useful to hold a workshop with those countries that could benefit directly from the work carried out in India in particular for those components that have research across countries. Where possible it may be useful to combine such a workshop with the PESAL and Food Systems projects to promote broader thinking and greater inter-country, interdisciplinarity and cross-thematic integration.*

## **Annex V: Country Report on Bhutan**

### **I. Introduction**

1. Bhutan is a small, low income country. However, two special characteristics give it a considerable strategic importance: First, its geographic location between India and China and second, its special environmental and cultural heritage.
2. It is virtually a closed economy having very little trade with the outside world except India and heavily dependent on agriculture. Exports are concentrated on potatoes and a few other horticultural products and fruits exported to India. Rice is the main import, about half of national consumption. As a consequence, food security is heavily dependent on two elements: a) a secure supply of rice and b) the country's own production, a situation that is reinforced by its physical isolation and the traditional social structure and habits of the population.
3. Farming communities represent 69 percent of total population but farm land represents only seven percent of the total area. Consequently, in spite of the low population density, the available agricultural land per capita is low, farms are very small and the pressure on land extremely high.
4. Farmers complement their income with the exploitation of forest resources which means that the interrelations of agriculture and forestry are large. One of the main uses of forest is for livestock production, mainly for milk.
5. Bhutan is one of the ten global biological hotspots, a richness that has been conserved by stringent policies and legislation. As a consequence, food security issues are closely related to forestry management.
6. The geography of the country is dominated by four main river basins. They include all the agricultural land, most of its forest and the most important tourist areas. In addition, the hydroelectric energy, which represents the main export and source of government revenue, is generated by those water resources.
7. The percentage of food insecure households is not very high compared to other poor countries of the region. On the other hand, temporary food insecurity between harvest periods has been reported (UN Common Country Assessment). However, it can be argued that the vulnerability of the country to food crisis is quite severe. Two elements justify this assertion. First, the existing high dependency on local production for most of its food supply makes the country vulnerable to climatic and sanitary emergencies. Second, the heavy reliance on imported, rice, in the context of a very minimal communications infrastructure and a highly scattered rural population, makes access to food difficult and highly vulnerable to potential irregularities in the supply of imported goods. In addition, the dimensions of quality of food both in terms of protein intake and quality and health standards need to be analyzed as part of the food security equation. Iron deficiency in women and children, particularly infants below five years, is widespread.

### **II. Description of FNPP Activities**

8. FNPP in Bhutan is concentrated on the second Programme Entity of the Food Security Component: Country Level work to support Poverty Reduction Strategies Papers and other policies, initiatives and programmes targeting poverty and food security. A few activities closely related to food security concerns are included in Agro-biodiversity and Forestry. However, given their relatively small size and subsidiary nature, they will be discussed in the context of Food Security.
9. At the outset of the FNPP, FAO reviewed food security information in the country, provided policy support and attempted to raise public awareness of policy makers on the issues involved. However, no conceptual framework was developed, clarifying issues, defining priorities



and articulating the interrelationships between Food Security, Forest Management and Agro-biodiversity issues which are especially important in the particular case of Bhutan. The strategy followed was to concentrate the work of food security issues at the policy level through a close collaboration with the Ministry of Agriculture which participates through a number of its departments. Other ministries (Health, Education, Home and Cultural affairs, Trade and Industries) and a few other agencies participate in a more marginal manner. The creation of a Working Group on Food Security with representatives of the Ministries of Agriculture, Health, Education, Home and Cultural Affairs, and the Planning Commission that actively follows the implementation of the BNFSS, is a major element of the operational strategy followed.

10. Three main outcomes were planned for the Food Security theme:
  - a) to ensure that food security is adequately prioritized and addressed in the tenth FYP by all sectors and at all levels, by the end of 2007;
  - b) concrete steps taken for BNFSSP implementation by 2007; and
  - c) policy-makers sensitized to new emerging policy issues and innovative approaches by the end of 2007.
11. A small agro-biodiversity activity was included to sensitize policy makers to new emerging policy issues and innovative approaches and on forestry to raise awareness about its close association to food security concerns.

### **III. Adequacy of Design and Strategy**

12. FNPP activities in Bhutan responded to real needs in the country and to an explicit request by the Government. The activities were defined with a strong government participation. Its concentration on the second Programme Entity of Food Security was an appropriate choice given the conditions in the country and the areas covered by other programmes being implemented. However, should FNPP or a successor arrangement continue in Bhutan, interventions should be conceived as part of a coherent package through the development of a conceptual framework that identifies the main problems to be addressed, the strategy and the interventions that are likely to be most effective.
  13. Future activities should also take into account that:
    - a) there are very strong interrelations between agricultural production, forest utilization and management and livestock production as a major source of income and animal protein at the farm level;
    - b) their importance suggests that a River Basin Management perspective should be part of an overall conceptual and operational framework. A river basin perspective could provide an effective way for developing activities that articulate the interrelations between agriculture, livestock, forestry and water management. It would also contribute to the wider policy needs to articulate the management of agricultural resources with the production of hydroelectricity and environmental and cultural tourism, which are the main productive sectors in the country; and
    - c) trade of agricultural commodities is very small but has a high impact on food security because its importance on rice availability. The country has little storage capacity and lacks the necessary communications infrastructure to assure a steady supply of rice at reasonable prices under situations of instability in the international market or the usual commercial partners. Trade and commercial policies seem to be a sensitive and not well developed area of food security policy.
- a) *Efficiency and adequacy of implementation***
14. Bhutan is covered by the FAO Representative in India under dual accreditation arrangements. The country activities are coordinated by an effective and dedicated National Coordinator with an office in the UNDP premises.

15. Management procedures are flexible and effective. However, there are still areas in which operations could be further streamlined. These areas should be analyzed:

- a) although resources are transferred to the FAOR, most expenditures have to be administratively approved by the Divisions in Rome. In the present structure of management, it is a bureaucratic procedure that adds little; and
- b) on some activities like, for example, hiring of international consultants, there was insufficient information exchange with the FAOR in India and the local Coordinator. The lack of consultation and participation precludes their appropriate intervention in monitoring and quality control activities when needed.

**b) *Quality and timeliness of FAO inputs***

16. The technical inputs of FAO are well regarded by governmental counterparts. An exception is the work on water resource management was not of high quality and has resulted in delays and lack of progress in this area of work.

17. On several occasions, financial resources that had been earmarked for activities were delayed for considerable periods, which had a negative impact on the level and timing of project execution. In addition, in at least two occasions, resources that had been committed for specified activities did not materialize.

**c) *Assessment of main activities and outputs and their contribution to planned outcomes***

*Outcome 1: Activities directed to the incorporation of Food Security concerns into the Five-year Plan (FYP)*

18. Food Security has been a concern of the Bhutan Government since 1994. However, the concept was unclear and was not translated into specific actions. The main activity of FNPP in this area was the direct support to the MoA in the development of the Bhutan National Food Security Paper (BNFSSP). The paper was developed by a team led by the MoA with technical backstopping by FAO.

19. Implementation started on May 2005 but proceeded very slowly because budgetary problems. In May 2006, the MoA submitted the Paper to the Planning Commission which endorsed it. The MoA extracted from it the main elements that fall within its specific mandate and prepared a strategy for the implementation of the Food Security Strategy. The main elements of the BNFSSP were incorporated in the Tenth FYP of the MoA. Consequently, it may be concluded that the concept and main issues of Food Security have been incorporated into the Planning framework, which was the main component of the planned outcome.

20. A number of additional activities have been developed to contribute to the appropriate implementation of the Food Security strategy: a) it has been discussed with the UN Country Team for incorporation in UNDAF; b) a planning manual for decentralized planning was prepared in coordination with local governments and other stakeholders; and c) four regional training activities were organized for the district planning facilitation team (DPFT) and it is planned that 300 members of the DPFT will be trained on the proper use of the manual.

*Outcome 2: Studies and activities that lead to the definition and implementation of policies related to Food Security*

21. Several studies have been designed to contribute to the knowledge base. The most important are the Value-Chain Analyses that describe and characterize productive sub-sectors. Studies have been developed for rice, maize, potatoes and oranges, non-wood forest products (mainly mushrooms), apples, oil crops, chillies and yak products. Investment proposals have been prepared for these same products. In addition, a study on the seed sector was developed.

22. A few other studies are in progress: an anthropometric study on Eastern Bhutan and a study linking small farmers to dynamic urban markets in India. These studies are new in Bhutan and are generating and systematizing important information on many of the most important

agricultural products. In general the studies are of good quality and represent an important step forward.

23. A second type of activities is directed at policy design and implementation. This area of work is not very well developed. The FYP is for the most part a manifestation of goals and to some extent definition of targets which have not been translated into actual policies. Advancing on this area of work will require considerable work to identify possible areas of intervention, identify and design policy instruments and, in some cases, the design and establishment of new institutional capacities. FNPP cannot expect to address all of the issues and opportunities that exist but should fine-tune and increase its work in this area. Some progress has been made, which is exemplified by the National Seed Policy and Strategy which has been approved by MoA and a Strategy for the sustainable management of non-wood forest products.

24. A third type of activities includes all those developed directly in the field, in cooperation with rural households, in order to increase agricultural production and productivity. Main activities include: a) development of a methodology for improved management of agrobiodiversity at the farm level in two pilot villages; b) improvement of irrigation facilities at the farm level for rice paddies; and c) community work for water sharing among upstream and downstream communities.

25. Finally, work has been undertaken on improving policy, legal and regulatory instruments. A number of laws and policy instruments are being reviewed and proposals for their improvement are being developed. The Land Act, with modification, was approved by the National Assembly in June 2007. A new text for the Food Safety Regulations was finalized in April 2007, and a new Pesticide Act has been approved. This area of work is extremely important and would benefit from additional technical backstopping to assure that best practices and innovative approaches are taken into consideration.

26. The activities related to the second Outcome are reasonably well defined and are progressing but the implementation period has been short in relation to the expected Outcome.

*Outcome 3: Activities directed to sensitize policy-makers on new issues and perspectives on Food Security*

27. The activities done in this area are not clearly distinguishable from those above. However, there is considerable evident interest and knowledge about Food Security issues among key government officials. A number of themes have been analyzed and discussed in meetings and recommendations are being fed into the national debate, including water resources management, payment for environmental services for the use of water, wildlife damages to farm production and the identification of benefits from river basin management.

28. Bhutan is initiating democratic political life under the terms of newly drawn Constitution and will have, at the end of 2007, the first election in its history. New political actors are emerging and new stakeholders will participate in the decision making process. For this reason, there is a special need for concerted and well articulated actions to sensitize them in regards to Food Security and environmental issues.

**Recommendation:** *There is a need to clearly select the main priorities for the last few months of existence under the second phase in order to close this phase in an organized manner and define the next steps to select and design the main activities of a potential continuation.*

#### **IV. Observations and Main Conclusions**

##### **a) General observations**

29. Although Bhutan is a small, low-income country, it has a well organized and efficient public service that works quite effectively. In part because of this, the FNPP activities have had a

considerable impact and progressed quite satisfactorily. The main problem is the continuation of the activities that are underway and have not been completed because the short duration of the project.

30. The Evaluation feels that the needs of Bhutan are considerable, that the political moment magnifies these needs and also the potential benefits of achieving the planned outcomes. It also considers that the externalities for success are large.

**b) *Outcomes and impacts***

31. Although planned Outcomes have not been fully achieved at this stage, their relation to the four major elements identified in the evaluation TOR are:

- a) *Value-added of FNPP Activities.* Given the special political circumstances and the acute need for information and technical knowledge in Bhutan, the potential value added of FNPP is high. FNPP is progressing well and the Government has a strong commitment completion of the work that has been initiated;
- b) *Knowledge Building and Management.* The problems addressed and the results obtained are quite specific to the particular economic, productive, political and cultural conditions of Bhutan. Activities with a river basin perspective could be an important contribution to the understanding of watershed management and environmental issues in connection to the development of an environmentally based tourist industry;
- c) *Capacity Building.* The country has great needs for capacity building at all levels. FNPP is contributing to this within the government institutions. An important contribution is the implementation of the Value Chain Analysis and its utilization to identify potential areas of intervention and investment. More activities could be designed with this purpose; and
- d) *Contribution to Cooperation between Donors.* FNPP operates as a stand alone programme and, with the exception of a modest contribution by WFP Bhutan in the initial phase, has not attracted additional and/or complementary funding by other Donors. However within the UNDAF, it has served as a focal point for including the Food Security component.

**c) *Relevance and sustainability of results***

32. The results that are being obtained through FNPP are relevant for the country. The government is making extensive use of them and they have been a significant contribution to the effectiveness of governmental institutions. The Government of Bhutan is in the process of internalizing and adopting the issues and techniques promoted and developed by FNPP and will continue some or most of the lines of work initiated by FNPP. However, as it has been argued in previous sections of this report, there is a large number of urgent, important and difficult issues that need to be studied in much greater depth than they have been until now. For this work Bhutan will require financial and technical support for a significant period of time.

**Recommendation:** *That Donors taking into consideration the: a) strategic importance of the country; b) very special historical and political moment of the country; and c) conditions of its untouched natural resource base and cultural endowment, consider a substantial and concerted action of technical cooperation to help Bhutan define and implement the unique development path it needs.*

## Annex VI: Country Report on Honduras

### I. Introduction

1. Honduras, the second-largest country in Central America, has a land area of 112,000 sq. km and a population of 6.9 million inhabitants. It comprises three distinct bio-geographic regions: the central highlands, with fertile valleys and steep slopes between 700 and 1,900 m above sea level, the Northern Coastal Plain, and the Gulf of Fonseca on the Southern Pacific Coast. In total, forests cover 46,480 km<sup>2</sup>, or 41.5 percent of the land area. According to the 2007 FAO estimates, deforestation averaged 156,000 ha per year between 2000 and 2005, which is about 3.1 percent of the forest area. Deforestation results from logging and clearing of land for agriculture by subsistence farmers, for rangelands, mining activities, and collection of fuelwood (65% of the country's energy consumption comes from fuelwood). The contribution of the forest sector to Honduras' economy reached a peak of 10% of GDP in the late 1990s. In 1999 it was estimated that about 60,500 people were employed in the forest sector: 18,500 in forest operations and 42,000 in forest industry. Informal harvesting and trade in forest products are important in forested areas.

2. Twelve agencies are involved in forest development; the most important ones are the Secretariat for Agriculture and Livestock, the Secretariat for Natural Resources and Environment, and the State Forestry Administration. There is a diversity of laws and regulations relating to the forest sector. Problems include illegal logging that competes with legally produced timber products. However, the government is making considerable efforts to combat illegal activities and corruption in the forest sector, and to strengthen to integrate forests in sustainable development. To provide new framework conditions for solving the ills caused by an inadequate legal framework, the Government of Honduras undertook a participatory process to develop a new forest law. FNPP provides support to this process.

3. FNPP Honduras is designed to contribute to poverty reduction and to the reduction of environmental vulnerability through interventions aimed at facilitating the sustainable management of natural resources. Some of the constraints to achievement of these goals relate to inconsistencies and contradictions within the forest policies and legal frameworks and within those of other sectors, including agriculture, environment, and biodiversity. FNPP offers the opportunity to diverse actors at different levels to participate in the validation of the forestry legal framework and of the National Forest Programme approved in 2005. It implements activities related to national policy and in pilot areas at field level. For field activities, the project deals with five project pilot sites located in five regions of the country, namely MANCOSOL, MAMUCA, Villa San Antonio, Yeguaré and Gualaco. Central to the project strategy is the implementation through partnerships.

### II. Assessment of FNPP in Honduras: Main Findings

#### a) *Adequacy of design and selected strategy*

4. FNPP Honduras adopted a multi-stakeholder approach, which is appropriate to a context characterized by a diversity of interests in the forest sector, and a diversity of public institutions with a stake in natural resources from economic, environmental, social, political and institutional angles. The participatory approach adopted for field activities involving local communities in general, and women's groups in particular, is also appropriate given the role that forests play in their everyday life. These strategies have allowed FNPP to have a broad national commitment to the support of its objectives.

#### b) *Relevance of FNPP activities with respect to country needs: Ownership and commitment by the Government*

5. FNPP Honduras fits well within the government's priorities. Its development and immediate objectives address the problems that need to be solved in order to integrate the forest

sector in the sustainable development concerns of the country. The activities carried out match the issues in food security, agro-biodiversity and the forest sector. FNPP is relevant in view of the needs to reformulate the Forest Law, which the government had already started.

### **III. Efficiency and Adequacy of Implementation**

#### *a) Management structure and organization*

6. The Project is implemented by “Agenda Forestal Hondureña” (AFH). AFH is an independent body organized as a permanent forum of public and private institutions and NGOs. It aims at coordinating the consultation and negotiation processes of the actors who are related to the forest sector, mobilizing them to participate, and strengthening the capacities of public and private member institutions<sup>35</sup>. AFH has a Consultative Committee which is chaired by the Secretariat of Agriculture and Livestock. To implement FNPP activities, AFH works with a network of “Socios” or partners through collaborative contracts. The partners include the Forest and Environment Commission of the National Congress, the Secretariat of Agriculture and Livestock, the State Forest Administration, the Secretariat of Natural Resources and Environment, FAO projects, Honduras Municipalities Association, technical partners (GTZ, ESNACIFOR, etc.), municipality and community-based associations.

7. The overall implementation of FNPP Honduras is cost-effective. This has been largely due to implementation of activities through contracts with partners. Thus many activities have been implemented in a relatively short time, with limited resources. However, monitoring of outcomes is a weak area.

#### *b) Articulation and coordination within themes and between themes*

8. FNPP Honduras has good articulation and coordination within and between themes. Although the major focus is on improving the framework conditions for the sustainable management of forest resources, the concerns of agro-biodiversity are addressed in the work, and both forests and agro-biodiversity activities are designed to contribute to food security. The concepts for the three themes are well integrated by FNPP coordination in AFH, and are operationalized in the field activities by a diversity of “socios” who work with FNPP. An example of a successful integration of the three themes at field level is the work conducted on the cycad Teocinte.

#### *c) Assessment of main activities and outputs and their contribution to planned outcomes*

##### **FNPP Honduras**

9. Some of the so-called outputs below are actually results expected, i.e. outcomes or objectives beyond the managerial control of the project.

##### **Output 1: Elements contained in the forestry legal framework, as well as those in the National Forest Programme (PRONAFOR) that hinder or promote the management and use of forest resources for rural development have been identified; Forest law adopted by the National Congress by December 2007**

10. The forest policy document has been reviewed and updated together with the PRONAFOR. In addition FNPP contributed to the identification of elements in the legal framework and PRONAFOR that hinder sustainable forest resource management. This approach, which was applied in other countries of Central America, is a commendable initiative. The Forest

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<sup>35</sup> The members include the Secretariat of Agriculture and Livestock, the State Forest Administration, the Secretariat of Natural Resources and Environment, the Secretariat of International Technical Cooperation, the National Agrarian Institute, the Honduran Municipalities Association, the Honduran Loggers Association, the Honduran Timber Industry Association, the Honduran Federation of Agroforestry Cooperatives, the Association for Dendro-energy Development, Representative of Forest Science Colleges, Foundation VIDA, Forest Academia representative, International Cooperation.

Law was adopted by the National Congress in November and is pending signature by the President of Honduras for its promulgation. Members of Congress who were on the Commission that analyzed the Forest Law expressed great satisfaction with the cooperation the Commission had received from AFH.

**Output 2: Specific proposals for the improvement of forestry regulations which promote sustainable forest management, use and commercialization presented to decision-makers**

11. This is part of the previous output. It should be noted that the proposal did not address the problem of sustainability of finance in relation to the forest sector, particularly with regards to forest management, and the promotion of the contribution of the forest sector to poverty reduction.

**Output 3: Improved capacity of community level stakeholders to better understand and participate in the formulation and compliance of the forestry legal framework and the PRONAFOR by December 2007**

12. PRONAFOR has been launched and main elements presented in a series of meetings and workshops organized for the local communities, academics, private sector, members of parliament, and other stakeholders. However, the degree of capacity improvement could not be assessed.

**Output 4: Proposals for alternative finance of forest management by means of payment of environmental services taking into account opportunities for rural development offered by the MDL and the Kyoto Protocol made. Mechanisms of payment for environmental services developed and contribute to generation of additional income by December 2007**

13. During the site visits, the Evaluation visited El Coyolar Watershed, Villa de San Antonio pilot zone, where FNPP is facilitating the process for an agreement between downstream water user communities and upstream forestry communities in order to compensate the latter for environmental protection services. The degree of understanding of the stakes that has been already reached by both sides is impressive. Considerable progress has been achieved between the Ministry of Environment, the different communities living around the watershed and the Energy Agency. FNPP contributed not only in awareness building, but also organized and facilitated the negotiation meetings. Although strategies have been proposed, the communities are not yet benefiting from additional income due to provision of environmental services.

**Output 5: Strategies developed to combat illegal logging and illegal trade of timber in pilot areas, as a contribution to national strategy by December 2007**

14. FNPP assisted actors in MAMUCA and Gualaco to define and implement a strategy to combat illegal logging. FNPP was also involved in the organization in 2007 of an FAO/ITTO Central America workshop on Forest Law Enforcement and Governance. The President of Honduras opened the Workshop, and this gave a high profile to the event.

**Output 6: Forest resources in Pilot areas have been evaluated, using a set of biophysical and socioeconomic variables with emphasis on management and use of resources**

15. FNPP provided support to the FAO-supported "National Forest Assessment" hosted by COHDEFOR. The inventory was conducted in pilot areas and the results were published. The work was based on traditional parameters of timber inventories, as NTFPs were not included in the focus.

**Output 7: Experiences in three pilot areas have been systematized in collaboration with organizations such as ACIFOCA and regional processes such as EFCA, and can be disseminated in other areas of the country and of other countries, with similar situations**

16. FNPP made a commendable effort in documenting its experiences<sup>36</sup>. The use to which these documents will be put can only be determined over time.

**FNPP Central America (Honduras component)**

**Output 1.1: Inconsistencies and/or contradictions in forest and agro-biodiversity legal frame and policies, as well as perverse incentives identified with attention to poverty reduction and food security**

17. The project has made excellent progress and performance in terms of methodology and achievements. It has achieved a notable success in raising its profile on the regional level.

**Output 2.1: The impacts and experiences of the project in its areas of work are evaluated and systematized taking into account gender at local and national levels**

18. See Output 7 above.

**Output 3.1: Consultation structures in the themes of forests, agro-biodiversity and food security in the areas of impact of the Project are strengthened**

19. The Evaluation visited an area where the Project trained members of the local community in processing NTFPs to make handcrafts and jams for family use and income. While community members were enthusiastic, they were unable to market their production. Before undertaking such initiatives, it important to assess demand first (either subsistence or commercial demand), while concentrating support on existing income earners such as resination and grazing.

20. The Project did not have a clear strategy of how to develop community based NTFP enterprises that have a good chance of economic and social sustainability. The project did not work on enterprise development, taking into account NTFP inventories, value chain studies and business plans. Indeed, no prior market studies were carried out and no assistance and advice in marketing was given. Marketing, which is not part of the normal competency of AFH, was not addressed. There was no information showing the flow of income among subsets of the community in order to have an idea of the role of the gender factor before project intervention.

21. With respect to thematic integration and gender focus, the Project has been innovative in carrying out studies the cycad Teocinte (*Dioon mejiae*) in Gualaco. The studies were conducted by the National Agriculture University of Honduras (UNA), and looked first at the ecological aspects in the natural conditions of that species, the threats for conservation and sustainable use, and the ways to work with local farmers for sustainable management. UNA worked with women in communities, organizing them into production groups and building their capacity to participate in decision-making. Ultimately the results should enable people to utilise this species without threatening its production base. An assessment of the labour and opportunity costs and benefits of the recommended sustainable management practices needs to be carried out to ensure economic sustainability.

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<sup>36</sup> The publications include the following:

- *Guía Metodológica para la Operacionalización del Proyecto FNPP-Honduras.*
- *Sistematización De La Experiencia Proyecto FNPP-Hon “Apoyo a la operacionalización del Marco Jurídico Forestal y del PRONAFOR”.*
- *Marco Jurídico Forestal de Honduras Análisis comparativo entre la legislación forestal vigente y la propuesta de la nueva Ley Forestal, de las Áreas Protegidas y de la Vida Silvestre.*
- *Análisis comparativo entre la Legislación Forestal vigente y la Propuesta de la Nueva Ley Forestal, de las Áreas Protegidas y de la Vida Silvestre.*
- *Elementos más relevantes del Programa Nacional Forestal (PRONAFOR) a implementarse en áreas piloto.*
- *El Programa Nacional Forestal, Conceptos y Enfoques.*
- *Reports on baselines of the pilot areas of the Project.*
- *Resumen de la Evaluación Nacional Forestal.*



#### **IV. Observations and Main Conclusions**

22. FNPP is viewed positively at different levels in the country, as a catalyst for consultations on the forestry legal frameworks. It has had direct impact on the process of Forest Law formulation by delivering specific outputs (analyses and proposals), and an indirect impact through the facilitation of consultations and capacity building. It has made good progress in terms of raising the awareness of government stakeholders on the need to improve management and conservation of forest resources and to update the legal framework of the forest policy. It has excelled in mobilizing and developing partnerships and collaborative interactions with numerous concerned organizations and stakeholders. There is a high degree of capability and commitment on the part of AFH.

23. While AFH has achieved a notable success in developing and maintaining partnerships and networking with government agencies, local government units, cooperation agencies and local communities, it did not attempt to develop the same with NGOs and the private sector. The Evaluation's view is that there should be further efforts to consolidate the successes achieved thus far. Additional attention should be given to strengthening social organization of groups in the local communities for NTFPs processing and marketing.

24. The most important outcome of FNPP Honduras is undoubtedly the adoption of the Forest Law. The FNPP-supported consultations raised awareness on the threats to sustainable forest management in the country. FNPP successfully promoted recognition at various levels of the need to integrate the themes of forests, agro-biodiversity and food security. FNPP now finds it easier to get partners and collaborators at national and lower levels for networking on its work for this integration. Also important is the fact that the community groups who collaborated with the Project have become interested in processing NTFPs. The outcomes reached so far may however not lead to lasting impacts if the Project does not work on strategies for a clear orientation to providing appropriate support to local small forest-based enterprise.

#### **Major factors affecting the results obtained and future activities**

25. Good results are due to several strategies. First, AFH has given considerable importance to clearly designing the project with the participation of stakeholders. Second it developed partnerships and collaborations with development agencies and organizations, and with research and education institutions in the country. Partnerships, collaboration and networking, all seem to have significantly contributed to strengthening a participatory implementation. Needless to say, the government has also been responsive to the approaches of AFH. Third, a great variety of training activities and workshops were undertaken. This helped improve the understanding not only of staff members, but also of various stakeholders, partners and collaborators.

26. Economic results have been affected by lack of rigorous market studies. For NTFPs processing and marketing, the project faces a challenge to carry out such studies. There is also a need to include NTFPs in forest inventories to avoid focusing on timber alone. Inventory data on NTFPs would allow proposing specific strategies for the development of local forest-based businesses that process NTFPs. Another challenge is investigating the ecosystem services to bring greater policy attention to the vital role these ecosystems play in carbon sequestration, soil and water conservation in watersheds.

## **Annex VII: Country Report on Nicaragua**

### **I. Introduction**

1. Nicaragua has a territory of about 120.000 Km<sup>2</sup>, a total population of just over four million, with the lowest population density of any country in Central America. It is a Republic with 15 departments and two self-governing regions on the Atlantic coast (Region Autonoma del Atlantico Norte, RAAN and Region Autonoma del Atlantico Sur, RAAS). The economy is based on agriculture and livestock production. Milk is produced for home consumption and marketing to urban areas. Beef is consumed locally but also exported to other Central American countries and the USA.
2. Half of the country (6,2 million hectares) is designated as forest land but only about half of this actually had forest cover in 2000. Another 1,8 million ha were used for livestock production. It is estimated that around 300,000 ha have been reforested.
3. Food security is a problem both in the urban and rural areas. It is estimated that 73 percent of the total population are food insecure and 48 percent are in a critical position. About half of the population in a critical food security situation live in the Caribbean Coast and are mainly rural.
4. Land tenure is a main problem because a large number of rural people do not have definite property titles over the land they occupy. Although land pressure is not particularly high, the lack of titles and the absence of regulation and control, together with the widespread rural poverty and low level of information and organization of rural population, create a situation where forest, land and biodiversity conservation are increasingly at a risk.
5. The FNPP was initiated at the beginning of the term of a new government that wished to review and strengthen as necessary some key laws, policies and strategies. These included:
  - a) the National Forest Policy, National Forest Strategy and National Community Forest Strategy. In addition, it was agreed to harmonize forest legislation and create an agenda for environment, water, soil and forest;
  - b) the National Biodiversity Law and National Biodiversity Strategy: there is a national policy on biodiversity and it has been agreed to revise it to integrate an agro-biodiversity component; and
  - c) the National Policy on Food Security, Nutrition Law and National Food Security and Nutrition Strategy. Nicaragua is included in the FAO Special Programme on Food Security and there is a new national programme “Zero Hunger“, which promotes the production of food and the eradication of chronic malnutrition in infants.
6. The Government of Nicaragua through the Ministries of Agriculture and Forestry (MAGFOR) and of Environment and Natural Resources (MARENA) requested FAO and FNPP to assist them in reviewing these policy, legal and regulatory frameworks.
7. A number of other public and private organizations participate in the activities. Among them the Forestry Governance Committee (GOFO), the National Forest Institute (INAFOR) and several departmental organizations are especially important.

### **II. Description of FNPP activities in Nicaragua**

8. FNPP began operations in Nicaragua only in August 2006, with the hiring of a National Coordinator. Thus, FNPP has been operating in Nicaragua for only a short time, and considerably less than any other country visited by the Evaluation.
9. FNPP in Nicaragua works at both the national policy level and through field activities, based at five sites. National policy work included a review of the 2001 Forest Policy; a review by GOFO of the implications at the national level of the “Ley de Veda” adopted in 2006; and work

to harmonize National and Regional policies and legislation in Agro-biodiversity, Food Security and Forestry. At field level, FNPP works to improve integrated forest management at community level ; to raise understanding by indigenous people from the North, Central and Pacific regions of the legal issues that are included in the draft of the Law on Indigenous People, and raise awareness at all pilot sites on issues of Agricultural biodiversity, including gender aspects, and Food Security.

### **III. Assessment of FNPP in Nicaragua**

#### **a) Adequacy of design and strategy**

10. The main aim of the FNPP in Nicaragua is to improve the existing policy, legal and regulatory frameworks in order to introduce the concepts and operational elements needed to deal with the three FNPP themes. Then according to opportunities, possibilities of alliances and interest on the part of the government, other activities are dovetailed into the major focus.

11. Nicaragua has added a major activity in working with the two autonomous Atlantic regions RAAN and RAAS. While this activity is important for the country, the problems involved are of great complexity. With the time and resources at the disposal of FNPP, the problems are too large and complex to be addressed with any success. There is a danger of creating expectations that will not be met.

#### **b) Efficiency and adequacy of implementation**

12. FNPP Nicaragua is managed by a capable and dedicated National Coordinator. The majority of the work has been done by FNPP. There is little execution of activities by other organizations and the only significant alliance is with GTZ. This strategy is in part explained by the fact that there are few NGOs and other technical organizations that could participate and, in addition, the government has a restrictive view on the advantage and convenience of these alliances. This being said, there is room for advancing in the direction of looking for more alliances with other institutions. FNPP is well supported and closely monitored by the FAO Representation in Managua.

13. Administrative support, availability of funds and resource utilization has been effective in Nicaragua. Technical Support from Headquarters has been largely limited to legal matters. However the Regional component headquartered in Costa Rica has provided substantial support on a number of technical areas.

#### **c) Assessment of main activities and outputs and their contribution to planned outcomes**

14. FNPP has had significant success in the components relating to national laws and policies in spite of some difficult conditions in the country. The fact that the programme was initiated in the moment of a government change created a vacuum and the need to make some readjustments. A significant amount of technical work on improvements of the national policy, legal and regulatory frameworks has been done and they are at different stages of their consideration by the government.

15. An important element in the process has been the increased understanding by government institutions of the multiple roles played by forests in the lives of people, which go beyond the utilization of wood products. A second important element is the integration of Agro-biodiversity issues in forest management. Nicaragua has important forest resources especially in the Atlantic Region that are under increasing pressure for livestock and agricultural uses. An understanding of these interrelations and the definition and implementation of appropriate policies is of fundamental importance for the country and a potentially important impact from FNPP.

16. With respect to the activities at the pilot sites, the outcomes are defined in very broad and ambitious terms. However, the activities being pursued are relevant and would contribute to the achievement of the planned outcome.

17. The work being developed is of importance but of great difficulty. The region was devastated by the last hurricane and a number of economic and legal problems and issues have emerged as a consequence of this. Interaction with community representatives from the pilot areas showed that: a) the present legal system negatively affects their opportunities for living from forest activities; b) the support from governmental institutions is weak; and c) the region has important food security issues and the political situation is complex and sensitive.

18. In this context, the work of FNPP is important and potentially of high impact but special care should be taken in clarifying its role and possible contributions.

#### **IV. General Observations and Conclusions**

19. The FNPP in Nicaragua is well managed with good involvement on the part of the FAO's country office. The progress made, in a short time and in a rather difficult institutional environment, is quite significant. Of special importance is the articulation with the regional component managed from Costa Rica that is a driving force in the process of regional integration in Central America. The close integration and cross reference between the work on improving the national policy, legal and regulatory frameworks and legislation at the regional level is a potentially important contribution of FNPP.

20. The Programme has not yet been appropriated by government institutions as would be desirable. This, in part, is a consequence of the weaknesses that exist in the institutions of the country and the political instability. FNPP needs to take these elements into consideration in the implementation strategy of future activities.

21. FNPP has not developed many alliances or partnerships, partly due to the relative weakness of non governmental institutions. The alliance with GTZ has been effective and will be extended into the future. Additional work should be done in order to develop partnerships and alliances whenever possible. This would permit a multiplication of the good work under way, contribute to the capacity building of local institutions and contribute to a more efficient management of existing knowledge.

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## **Annex VIII: Central America Regional**

### **I. Background**

1. The countries of Central America have been aiming for greater regional integration for some years, including development of strategies and policies designed to protect and develop natural resources in a more sustainable manner and increase agricultural production. Already by 2002, countries of the region through the Central American Commission for Environment and Development (CCAD) comprised of Ministers of Environment from the seven Central American countries plus the Dominican Republic, had adopted a regional forestry strategy (EFCA) which is now being implemented. In 2005, the Central American Agricultural Council (CAC), a similar organization comprised of Ministries of Agriculture (but not including the Dominican Republic), began a process to develop a Central American Agricultural Policy (PACA), which in its initial iteration was largely focused on export-led agricultural growth. In June 2006, ministers of the Central American countries requested CCAD and CAC, along with COMISA (Council of Health Ministers of Central America) to develop a regional inter-sectoral agro-environmental strategy (ERA). CCAD, CAC and COMISA are part of the Central American Integration System (SICA).

2. The objective of the CA regional component is the harmonization of regional policies on agriculture (PACA) and agro-environment (ERA). The ERA should promote measures to enhance food security that are environmentally, socially and economically sustainable, thus contributing to poverty reduction and enhanced quality of life. The component seeks to integrate agricultural and environmental agendas at regional and national levels. It provides assistance to CCAD (based in El Salvador) and CAC (based at IICA in Costa Rica) in the elaboration of a common agenda and harmonized policies.

3. Besides assistance to the working groups to prepare the PACA and ERA, the Regional Component also included a study of the legal framework on forestry and agro-biodiversity in support of food security in Central America. The study carried out a comparative analysis of biodiversity and forestry laws and practices related to food security in the seven Central American countries and the Dominican Republic, to identify deficiencies in and contradictions among the various laws and policies, to assess whether the policies and laws are designed to facilitate the achievement of food security and to make recommendations for future orientation of the legal framework in the region.

4. The Regional Component also included conservation and sustainable use of biodiversity by campesinos and indigenous people in the operation of model farms in the Mesoamerican Biological Corridor (in Honduras and Nicaragua), including strengthened management capacity. FNPP has identified three pilot sites in Honduras and five in Nicaragua intended to be associated with this part of the work.

### **II. Relevance**

5. Regional integration is an important goal in Central America, especially in the light of CAFTA with the US and on-going trade negotiations with the EU that cover all the Central American countries and the Dominican Republic. The PACA is part of the regional integration process, and they were under way even before the FNPP Central America Regional Component began in September 2006. The decision to undertake ERA, taken in June 2006, was accompanied by a request for assistance in its formulation from RUTA, IUCN, CATIE and other international organizations in the region, besides FAO. Thus, the decision by FNPP to become involved in this policy harmonization work was in response to on-going processes. Thus, the support from FNPP was bringing added value to the activity. As enhancing the effectiveness of policy advice to developing countries is one of the aims of FNPP, it was an appropriate device for work on regional agricultural policy.

6. PACA when first developed was strongly focused on export-led agricultural growth, with scant mention of regional food security and no mention of biodiversity as goals of the regional policy. Given FAO's advocacy role especially in food security, it was very relevant to attempt to influence policy in these areas.

7. While provision of information about biodiversity and training to strengthen management capacity among disadvantaged groups are useful activities, the link between this and the upstream work that constitutes the main thrust of the component is not sufficiently well elaborated. Furthermore, the Evaluation has serious reservations about the operation of model farms as a goal of FNPP.<sup>37</sup>

### **III. Implementation**

8. The Regional Component began only in September 2006. FNPP funds a Regional Coordinator, based at IICA, and also another full-time officer. The project staff work with various national and regional partners, prepare submissions for working groups and other meetings and liaise with the National Coordinators in Honduras (AFH) and Nicaragua on the field components intended to support and test the policy making process. Support is given to the Regional Component by the FAO Representation in San José.

9. FNPP has supported the preparation and holding of various workshops related to biodiversity and forestry in support of food security in Honduras and Nicaragua, and has participated in regional and national workshops on various topics. With respect to ERA, FNPP participated at the fourth (June 2007, San José, Costa Rica) and fifth (November 2007, Zamorano, Honduras) sessions of the Inter-Agency Consultative Committee for ERA. FAO participates in the Working Groups on sustainable land management, climate change, biodiversity and organic stores. At its next meeting in February 2008, the Committee will consider the proposed strategic goals for ERA that are to be submitted by January.

10. On PACA, FNPP participated in various meetings related to elaboration of a regional strategy, as well as national level consultations on the topic in Honduras. A revised PACA was issued in October 2007.

11. A key activity so far has been a comparative analysis of biodiversity and forestry laws and policies in the seven countries of Central America plus the Dominican Republic. The study was to discover gaps and inconsistencies between these instruments, as a first step in promoting harmonization between them.

12. The Regional Coordinator has participated in the elaboration of a GEF-funded project "Conservación y Uso Sostenible de los Cultivos Nativos y Silvestres en Mesoamérica". FNPP has participated to ensure synergies between the project and itself, and to ensure that the experience gained thus far will be utilized in the GEF project.

13. FNPP also has played a role in the development of PUEMBO II – an initiative for inter-sectoral planning of forest policies.

### **IV. Results**

14. The component has largely concentrated its efforts on the revision of the PACA and the ERA, with a view towards these policy documents being approved by December 2007. This is a likely outcome of a meeting of Central American presidents to be held in Guatemala on 12 December 2007.

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<sup>37</sup> The concept of model farms under any circumstances is very complex and is unlikely to be relevant outside of very localised situations. It may be more relevant to carry out research on sustainable farming and/or combined agro/pastoral/silvicultural mixed farming but it is not appropriate to promote one particular model for all farmers.

15. A major output thus far has been the comparative analysis of biodiversity and forestry laws and policies referred to above. The main conclusions of the study were:

- where they exist, some of the laws and policies were either obsolete or not implemented;
- laws and policies were not related to food security;
- issues of bio-safety were not sufficiently considered; and
- with the exception of Guatemala, which has a food security law, there was no systematic integration of institutions dealing with food security.

16. The study noted that there tended to be too many forest laws in countries yet with insufficient recognition of non-timber forest products. Incentives for the practice of sustainable agriculture were found to be generally lacking. While this has been an important study, it was unrealistic to expect that the policies and laws relating to agro-biodiversity, forestry and food security of all the Central American countries would be harmonized by December 2007. Already the development of regional policies within the time and resources available to FNPP was a good result.

17. It was equally unrealistic to expect model farms (Outcome 4) to be developed in the time available, as this would logically follow the adoption of policies, if it would be done at all. Some progress has been made on capacity building (Outcome 5), although thus far the work at community level has largely consisted of consultation and participatory analysis at village level. Much remains to be done in terms of applying policies in a practical way at field level.

## **V. Impact and Sustainability**

18. The Regional Component of FNPP has raised the profile of FAO in Central America, particularly in the forestry sector where comparatively little work had been done in recent years. The work at policy level is considered to be significant and should result in a better orientation on food security issues, and the role of forestry and agro-biodiversity within food security, in the implementation of national programmes.

19. FNPP has also resulted in a notable strengthening of institutional relationships with regional institutions and other donors in the forestry sector in Central America. Worth noting in particular are the closer working ties with IICA, as a result of the presence of the project, the close ties with the secretariats of CAC and CCRD and the good relationship fostered with GTZ in Nicaragua.

## Annex IX: List of Persons Met

### FAO Headquarters

#### *FNPP Coordination*

Materne Maetz, FNPP Coordinator

Masa Kato

Coumba Dieng

Pietro Chiappini-Carpena

#### *Agro-Biodiversity Theme*

Peter Kenmore, Agro-biodiversity Theme Coordinator

Linda Collette

William Settle

Sally Bunning

Regina Laub

Harry van der Wulp

Matthias Halwart

Marjon Fredrix

Nadine Azzu

#### *Food Security Theme*

Kostas Stamoulis, Food Security Theme Coordinator

Prabhu Pingali

Jean Balie

Leslie Lipper

Luca Alinovi

Colin Andrews

Alberto Zezza

Maarten Immink

Monika Zurek

Giorgio Zazzara

Ellen McCullough

Victor Mosoti

#### *Forestry Theme*

Douglas Kneeland, Forestry Theme Coordinator

Jan Heino

Michael Martin

Eva Muller

Dan Rugabira

Olman Serrano

Francesca Feliciani-Robles

Anne Branthomme

Arvydas Lebedys

Paul Vantomme

Oudara Souvannavong

Simmone Rose

Eduardo Mansur (by phone)

### Netherlands Embassy, Rome

Agnes van Ardenne-van der Hoeven, Ambassador

Theo van Banning

Marjolein Geusebroek



Zanzibar

Hon. Ali Juma Shamuhuna, Deputy Chief Minister and Minister for Information, Culture and Sports

Rahma M Mshangama, Principal Secretary, Ministry of Agriculture, Livestock and Environment (MALE)

Louise L. Setshwaelo, FAO Representative

Edward Kilawe, Forestry Officer, SAFR, Harare

Bakari S. Asseid, Director, Dept. of Commercial Crops, Fruits and Forestry (DCCFF)

Y.H. Kombo, Head, Conservation Section, DCCFF

Badru Mwamuur, Head, Commercial Crops Section, DCCFF

Pereira Silima, Head, Tender Committee, Kiwenga-Pongwe Forest Reserve (KPFR)

Suluhu Rashid, District Forestry Officer

Miza S. Khamis, GIS Officer, DCCFF

Othman A. Othman, Law Compliance Officer, KPFR

Kassim H. Madeweya, Head, Central Administration, DCCFF

Abeid J. Mitemi, Mechanical Engineer, DCCFF

Juma M. Salum, Forestry Officer, DCCFF

Abbas J. Mzee, GIS Officer, DCCFF

Fatma A. Khamis, Planning Officer, DCCFF

Rashid Ali, Chief Officer, DCCFF

Khadija Mohd, DCCFF

Nassim Said, Spices Officer, DCCFF

Tahir A. Haji, Ecologist, KPFR

Tamrini Ally Said, Project Manager, KPFR

Susanne Boekhees, APO (Food Security)

Hamed R.H. Hikmany, Coordinator, Zanzibar Poverty Reduction Plan

Juma Ali Juma, National Consultant for Zanzibar Food Security and Nutrition Programme (ZFNSP)

Ali Haji Ramadhan, ZFNSP Formulation Team Member

Kashid Ali, Chief Officer, DCCFF

Khalid Abdullah Omar, Planning Officer, North A District

Mansura M. Kassim, ZFNSP Formulation Team Member

Haji H. Saleh, ZFNSP Formulation Team Member

Hassan A. Nadhif, ZFNSP Formulation Team Member

Abuu Hamad Juma, Nutrition Officer, Ministry of Health and Social Welfare

Kenya

Castro P. Camarada, FAO Representative

Michael M. Odera, Kenya National Coordinator, FNPP

Edwin Adenya, Monitoring and Evaluation Officer, FNPP

Zachary K. Muthamia, National Genebank of Kenya

Henry Kamau, Biodiversity International

William Omundi, Kenya Forestry Research Institute

Maurice Wanyiri, Kenya Forest Service

Peterson Wambugu, National Genebank of Kenya

Patrick Audi, ICRISAT

Bernard Ogola, Nairobi Friends Club International

Martins Odeno, Kenya Agricultural Research Institute

Paul Omanga, Food Security Consultant

Monica Opole, Centre for Indigenous Knowledge Systems and By-Products

Sixtus Odumbe, Central Bureau of Statistics

Monica Kimuthia, Ministry of Livestock and Fisheries Development

Margaret Ndanyi, Ministry of Education

Richard B. Jones, Assistant Director, Eastern and Southern Africa, ICRISAT

Dorcas M. Mwakoi, Programme Officer, Agricultural Sector Coordinating Unit (ACSU)

Sunya Orre, Programme Officer, ACSU  
Lenah Nakhone, Director, Crop Management Research Training Project, Egerton University  
C.A. Situma, Chief Geo-Information Officer, Dept. of Resource Surveys and Remote Sensing  
Tom Nyanbundi, FNPP Coordinator, Bondo  
Mzee Pairober Essau, Chairman Bondo FFS  
Morris R.O. Omollo, Forester, Ministry of Environment and Natural Resources, Bondo

#### India

Daniel Gustafson, FAO Representative in India and Bhutan  
W.R.Reddy, Joint Secretary Ministry of Agriculture, National Bureau of Plant Genetic Resources  
Suman Sahai, Gene Campaign  
R.V. Bhavani, MS Swaminathan Research Foundation  
R.K. Khetarpal, Head, Division of Plant Quarantine, National Bureau of Plant Genetic Resources  
R.V Bhavani Project, Director B.V.Rao Centre for sustainable food security  
R.K. Khetarpal, Head, Division of Plant Quarantine  
Mike Robson, AGPP, FAO Rome  
M.Soubadra, Fellow, Ashoka Trust For Ecology and the Environment (ATREE)

#### Bhutan

Nicholas Rosellini, UN Resident Coordinator  
Dorjee Kinlay, FAO Regional Office for Asia and the Pacific  
Chadho Tenzin, FNPP Coordinator  
Sherub Gyaltshen, Secretary, Ministry of Agriculture  
Karma Tshiteem, Secretary, Planning Commission  
Chencho Norbu, Director, Department of Agriculture  
Ganesh Chetri, Joint Director, Department of Agriculture  
Bhim Gurung, Coordinator, Seeds Project, Department of Agriculture  
Tenzin Dendup, Director, Department of Livestock  
T.N. Acharya, Head, Information Unit, Department of Livestock  
Tenzin Chopel, Deputy Chief Planning Officer, Policy and Planning Division, MoA  
Nidup Peljor, Head, Policy and Legal Department, Policy and Planning Division, MoA  
Karmo Drupka, Data Manager, Policy and Planning Division, MoA  
Thinley Namgyel, Head, Coordination Division, Planning Commission  
Tashi Samdrup, Director, Council for Renewable Natural Resources Research of Bhutan, MoA  
Sangay Wangchuk, Nature Conservation Division, Dept. of Forestry Services, MoA  
Karma Dorji, Executive Director, Agriculture and Food Regulatory Authority  
Thuji Tshering, Chief Regulatory Officer, Agriculture and Food Regulatory Authority  
Dr Sithar, Food Regulatory Officer, Agriculture and Food Regulatory Authority  
Karma Dorji, Director, Department of Forests  
Chado Tshering, Chief Forest Officer, Social Forestry Division  
Kinley Tshering, Project Coordinator, Social Forestry Division  
D. B. Dhital, Chief Forest Officer, Forest Resource Development Division  
Lungten Norbu, Programme Director, Research Centre, Yusipang  
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#### Community Representatives

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 Juan Flores (Siguatepeque)  
 Secarlos Padilla (Flores)  
 Arturo López (Los Valles)  
 Norberto Andino (Chagüite Grande)  
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Community Representatives met in Nueva Segovia

Miguel A. Enriquez A. (Macuelizo)  
Jaime Espinoza (Macuelizo)  
José Miguel Gómez G. (Mozonte)  
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