

**EMPOWERING AND STRENGTHENING CIVIL SOCIETY FOR PARTICIPATORY
FOREST MANAGEMENT IN EAST AFRICA**

EMPAFORM

PROGRAMME MONITORING AND EVALUATION FRAMEWORK

**Towards Monitoring and Evaluation of Pro-Poor Participatory Forest Management In East
Africa**



**PROCEEDINGS OF THE REGIONAL WORKSHOP FOR THE PROGRAMME M&E
FRAMEWORK FOR THE EMPAFORM PROGRAMME**

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1. Introduction

1.1 Background

Implementation of the Programme “Strengthening and Empowering Civil Society for Participatory Forest Management in East Africa (EMPAFORM)” officially began on April 1st 2005. EMPAFORM is a partnership programme that is being implemented as a joint venture of national and international NGOs. The partners include FAN, KEFRI and CARE Kenya in Kenya, TFCG and CARE Tanzania in Tanzania, and BUCODO, ACODE and CARE Uganda in Uganda.

In the programme proposal the EMPAFORM programme is summarised as follows:

This programme of civil society strengthening will promote a pro-poor approach to the management and conservation of natural forests in E. Africa. CBOs are the primary target group. By strengthening and empowering these organisations the programme will make the implementation of new forest policy more demand driven, and more equitable in addressing the interests and rights of poor men, women and children. Major areas of activity include access to information, advocacy, organizational strengthening, networking at local, national and regional levels, and demand-driven technical assistance. The programme’s focus on CBOs will also give the rural poor, and particularly women and other marginalized groups, a stronger voice in policy development at national level. By influencing the underlying power relationships within communities, and between communities and the State, the programme will promote good governance both within and beyond the forest sector.

It is targeting second level CBOs as the entry point for building the capacity. Seven outputs (also called themes) are targeted to be achieved within the next four years namely:

1. **Access to information** – Provide the needed information to communities
2. **Local/ National networking** – Effective exchange of the information
3. **Advocacy and Legal literacy** – Communities to better understand: Land Policy, Forest Policy, PRSP processes, able to demand what is due to them. (Via workshops, articles, policy briefs, newsletters)
4. **Organisational Strengthening** – Governance, management, negotiation capacity, fundraising, and Networking skills strengthened in targeted second level CBOs.
5. **Direct technical assistance** - to respond to demands by communities to undertake PFM.
6. **Regional networking** – Regional meetings on emerging issues and case studies for PFM in the region.
7. **Learning and Dissemination** – Documentation and sharing with the wider public; learning from our own experience

Themes 1-5 are to be implemented at the National level and themes 6 and 7 are at the regional level. Each of the partners is responsible for each of the themes as follows:

Programme Theme/Component	Kenya		Uganda		Tanzania	
	Responsible	Supporting	Responsible	Supporting	Responsible	Supporting
1. Access to information	FAN	KEFRI	BUCODO	ACODE	TFCG	
2. Local & national networking	FAN	CARE Ke	BUCODO		TFCG	
3. Advocacy and legal literacy	FAN		BUCODO	ACODE	CARE Tz	
4. Organisational strengthening	CARE Ke		CARE Ug	CARE Ke	TFCG	CARE Ke
5. Direct technical assistance	FAN	SP’s	BUCODO	SP’s	TFCG	SP’s
6. Regional networking	CARE at regional level (K, T, U, DK)					
7. Learning	CARE at regional level (K, T, U, DK)					

SPs = Service Providers subcontracted to provide specific services.

But what is Participatory Forest management (PFM)

PFM also called Collaborative management, Co- management or Joint management of forest resources refers to a situation where “ some or all of the stakeholders interested in a forest resource are involved in a substantive way in its management”. It includes:

- The **arrangements** for management, which are negotiated by multiple stakeholders and based on a set of rights and responsibilities that are recognized by the government and widely accepted by the resource users, and,
- The **process** for sharing power among stakeholders to make decisions and exercise control over resource use.

PFM is essentially the involvement of local communities or NGOs in the management and conservation of forests and forest lands with appropriate user rights as incentives” and is an approach being promoted now in the region for centrally managed forest reserves (which include most of the high biodiversity forests).



Figure1: PFM = some or all stakeholders interested in a forest resource are involved in a substantive way in its management. Management is decided through discussions such as depicted here.

In East Africa, PFM is being implemented in two forms: **Joint Forest Management(JFM)** – a

collaborative management approach that divides forest management responsibility and returns between either central or local government authorities and forest adjacent communities; and **Community Based Forest Management (CBFM)**– the involvement of communities in managing their own forest resources.

While JFM is practiced on Government owned land, namely Forest Reserves; CBFM is on privately owned or community land. CBFM management of forest resources by local communities, and is primarily at forests and woodlands that lie outside forest reserves.

The programme is funded through the EU Tropical Forest Budget Line and operates in 3 countries in East Africa: Kenya, Uganda and Tanzania. The proposal was approved in December 2004 and implementation started with effect from April 1st 2005.

The proposal contains a provisional M&E framework, which is summarised in the logical framework (see annex 2). As noted in the proposal, this M&E framework would be revised within the first six months of the start of the project in order to verify the indicators and targets, more clearly define how the information would be collected (means of verification), and build ownership amongst project staff. Experience shows that this process is essential if an M&E system is to be effectively implemented, and the adaptive management approach that is a key feature of this project effectively institutionalised. The workshop described in this report is a main element of this process.

It was therefore planned that a robust M&E framework be developed for the programme to enable appropriate monitoring of programme progress. In this respect a workshop was organised with the following main objectives:

- a) Development of Indicators and means of verification.
- b) Assignment of M&E roles for each of the partners in EMPAFORM; i.e. responsibility in terms of coordination and collection of data/information required to verify the indicators

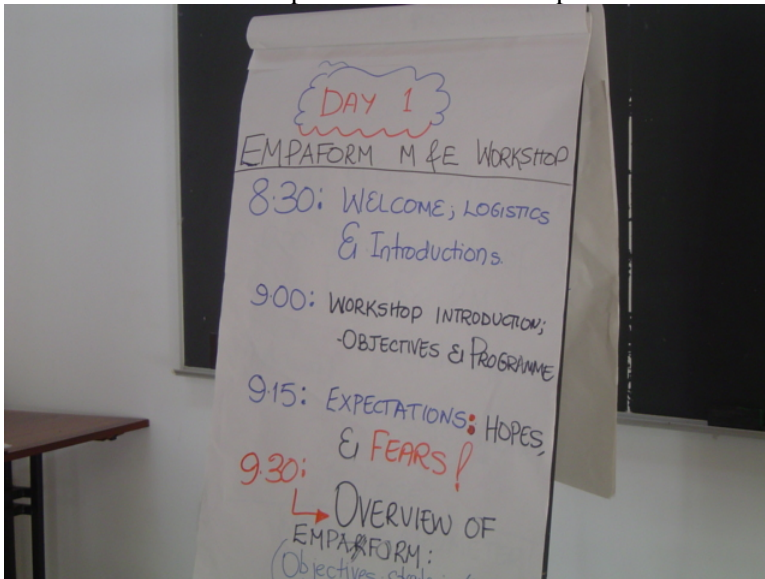
- c) Identifying the baseline needed and design a baseline assessment programme i.e. The time frame and frequency for data collection

Assessment and prioritisation of Assumptions

1.2 Workshop Objectives

Specific objectives of the workshop were defined as follows:

1. Development of indicators and means of verification
2. Assignment of roles in EMPAFORM programme M&E (of partners and individuals)
3. Design and planning of a baseline assessment
4. Assessment and prioritization of assumptions



1.3 EMPAFORM overview

The chart on page 6 summarises the objectives and specific strategy of the EMPAFORM programme. In terms of strategy the programme comprises seven themes, each of which is described by a statement of the expected result. The logframe (annex 2) specifies the major activities to be undertaken under each theme/result.

As briefly outlined in the preceding section, the first five themes operate at a national level within the three target countries whilst the following two themes operate at the regional level. The programme within each country is coordinated by a National Coordinator who is a staff member of the National NGO host. The overall programme is coordinated by a Regional Programme Coordinator.

EMPAFORM is a four-year programme. It is expected that themes 1&2, the core functions of the national networks, will continue after the end of the programme. The remaining themes are specific inputs to be provided within the 4 years of the programme, and there is a clearly defined exit strategy that describes how these will wind down and phase out in year four of the programme.

Hierarchy of Objectives

OVERALL OBJECTIVE

The ultimate objective to which the project will make a major contribution. *Expressed in terms of sustainable improvements in human conditions and in the quality of natural resources that will be achieved by the end of the project, and after the project ends (“impact” level)*

SPECIFIC OBJECTIVE

A concise statement summarising what this particular project is expected to achieve within its lifetime. *Expressed in terms of changes in behaviour/practices, rights/power and access to resources (in this case relating to NRM) that will be achieved by the end of the project (“effect” or “outcome” level).*

EXPECTED RESULTS

Results/outputs to be achieved within the project lifetime for which the project partners are held accountable. *Expressed in terms of tangible products and increased capacity of individuals and organisations that will be delivered by the end of the project.*

MAJOR ACTIVITIES

Activities and processes implemented by project partners (or other individuals/organisations sub-contracted to them) that are supported by the resources of the project. *Expressed in terms of the things that will be done by the staff of partner agencies involved in the project.*

EMPAFORM – Hierarchy of Objectives

Overall objective:
 Natural forests and woodlands in East Africa are sustainably managed and conserved with increased benefits to poor men, women and children in forest-dependent communities.

Specific objective:
 Empowered civil society organisations have promoted a pro-poor approach to PFM that is more demand-driven and more equitable in addressing the interests and rights of poor men, women, and children, and national networks have been established that will institutionalise and reinforce this approach.

Access to Information	Local + National Networking	Advocacy Capacity	Organisational Strengthening	Direct Technical Assistance	Regional Networking	Learning and Dissemination
Relevant information has been disseminated to CBOs and NGOs at all levels on the legal and policy framework for PFM, the experience and performance of government and civil society in PFM implementation, and key opportunities and constraints as they emerge	Networking between community level and second-level CBOs has promoted sharing of information and experience on PFM and related issues, and joint action on advocacy and other issues of common interest.	Increased capacity of second level CBOs and national NGOs to analyse forest and land tenure policy, and PRSP processes, to design, implement and monitor advocacy initiatives for PFM policy and decision-making, and to mainstream PFM within PRSP processes	Governance, management, negotiation, fund-raising and networking skills of second-level CBOs have been strengthened, emphasising effective representation of the interests of poorer households, women and other marginalised groups.	Community-level and second-level CBOs involved in PFM have had access to legal advice and other technical support for CBO establishment and governance, negotiation and conflict resolution, and forest based enterprise.	Networking at the regional level between second-level and national level CSOs has promoted sharing of information and experience on PFM and related issues across the 3 countries, and common strategies for engagement in regional and global policy processes.	The nature of community participation in PFM and the effect of civil society strengthening processes have been monitored, analysed and shared between countries on a regular basis, and learning has been applied and documented for wider dissemination.

1.4 What is M&E?

Project monitoring and evaluation may be defined as follows:

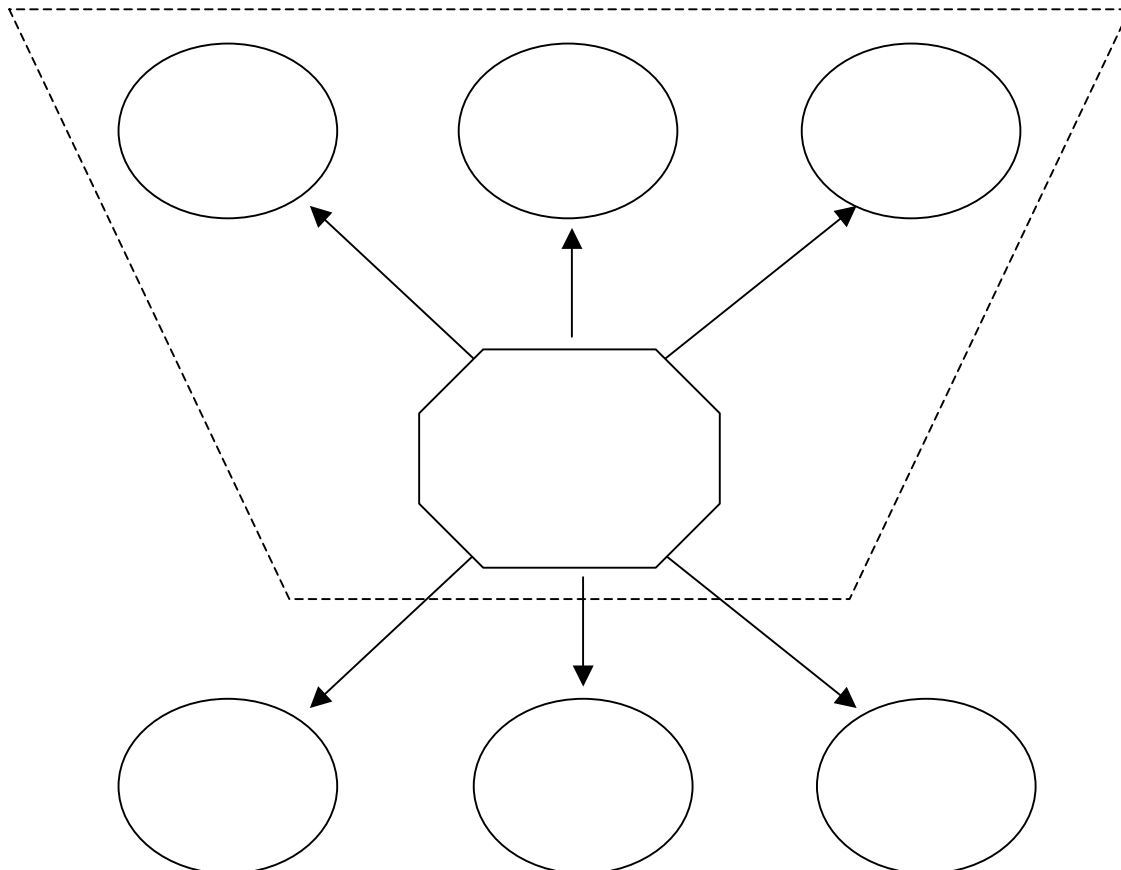
The collection and management of information to be analysed and used for the regular and periodic assessment of a project's relevance, performance, efficiency and impact in the context of its stated objectives."

The design and implementation of a programme such as EMPAFORM involves gathering many different types of information about the programme, its interventions and its operating environment. As defined above, an M&E system is a subset of the overall "management information system" that is concerned specifically with assessing achievement of a programme or project's objectives.

Monitoring refers to the regular, ongoing collection, analysis and use of information within the programme/project. Evaluation, on the other hand, is the formal, periodic assessment of available information usually involving key stakeholders within and outside the programme/project. That said, with all the different ways in which information is gathered and used to guide decision-making within a programme/project the technical distinction between monitoring and evaluation becomes rather blurred; hence more often than not the terms are used together.

Given that programme/project M&E is about assessing programme/project performance against its stated objectives the starting point for developing a project M&E system is the programme/project's hierarchy of objectives (see previous page) which makes up the left hand column of the logframe. The logframe also includes a summary of the M&E system but usually lacks the details of exactly what data is to be collected, and how it is to be collected and analysed. Thus one of the first activities following start-up of a project is development of an M&E plan which provides these details.

Users of M&E Information



Using M&E Information for Programme Management

In a “learning project” such as EMPAFORM that aims to use an adaptive management approach much of the M&E effort (e.g. > 66%) goes into satisfying the information needs of staff implementing the programme. Data is collected and analysed to produce information. Staff draw conclusions from this information through a process of “collective interpretation”. These conclusions are then applied through the planning processes at various levels, for example:

- monthly planning meetings focusing on work-plans of individual staff
- quarterly planning meetings focusing on work-plans of project components
- annual planning meetings which develop the annual work-plan for the whole project
- the project mid term review which provides an opportunity to revise the logframe

Indicators and Means of Verification

In most cases project objectives, as stated, are not directly measurable, for example you can’t directly measure enhanced biodiversity, sustainable management, increased public awareness, improved law enforcement systems, or livelihood security. Hence there is a need to define one or more criteria, known as indicators, which we can use to determine whether the particular objective has been achieved. As strictly defined an indicator is simply a criteria for assessment, and as far as possible objectively verifiable (i.e. not subject to biases of the person collecting the information). However in the CARE approach to M&E the indicator is taken to include a target and timeframe over which the target is to be achieved. When direct measurement is too difficult or expensive it is common to use “proxy indicators”, (e.g. quality of housing can be a proxy for livelihood security).

Having defined the indicator the next stage is to define the “means of verification”, that is where you will find the information (“source of information”), how you will collect the information (“method of collection”), how often you will collect the information (“frequency of collection”). Sometimes we find that the information we need is already available in report or diagram form as it has been collected for some other purpose (e.g. incidence of illegal activities in the forest). We call this secondary data. However, often this is not the case and we have to design a specific procedure to collect the information we need from the people who have it (e.g. resource users, CBO leaders). New information of this nature is called primary data.

For collection of primary information it is important to specify exactly how the information will be collected from the source, and it is only when this is specified that we can be sure whether a certain indicator is viable. Very often an apparently good indicator will have to be dropped when the method of collection proves impractical or too expensive.

Quantitative or qualitative. Quantitative information is numerical while qualitative information is usually described in words. M&E tends to focus on quantitative but the value of qualitative information should not be overlooked. And note that some qualitative information can actually be captured in numbers.

Participatory or non-participatory. Traditional M&E focuses on individual interviews but there is increasing interest in more participatory methods. Some common techniques:

	Participatory	Non-participatory
Qualitative	Open-ended interviews Focus group discussions Participant observation PRA tools (e.g. mapping, trends)	Direct observation without discussion Photos
Quantitative	Some PRA tools (e.g. scoring) Self completion of records by farmers	Structured surveys Measurements (e.g. birth weights, crop harvests)

Baseline

A baseline is the level of achievement for a specific indicator before the start of programme/project activities. For expected results (*tangible products and increased capacity of individuals and organisations*) a baseline is rarely needed since the baseline level is usually obvious and often zero. For overall and specific objectives a baseline is needed where it is going to be hard to determine when the achievement took place, and who was responsible for it (attribution). Whether or not a baseline needs to be established will depend on the nature of the indicator. Even where a baseline is needed it may be possible to establish this retrospectively, i.e. the method of collection is able to determine the change that has taken place since the start of the project rather than the absolute value.

Inevitably there will be some indicators that do require information collection at the start of the programme/project to establish a baseline value, but this is usually a much less complex exercise than might be expected. This exercise can be described as a “baseline survey” but this should not be confused with a general information gathering exercise at the start of a project that is designed to collect a whole set of information about the operating context of the project. Such an exercise is correctly described as a situation analysis but is often incorrectly called a “baseline survey”.

2. M&E Framework

Following the introductory sessions described in the previous section the workshop proceeded to the main task of developing M&E indicators and their means of verification (MOVs) using the “M&E matrix” format which is shown on the following page.

This process of developing indicators and MOV's started with the highest level of the logframe, the overall objective, and proceeded downwards to the specific objective and expected results. For each objective/expected result participants started by brainstorming possibilities and then the preferred indicators were selected. As each indicator was selected the means of verification was defined. In some cases more than one means of verification was defined to allow for cross checking (“triangulation”). In other cases it proved impossible to define any means of verification that was realistic in terms of practicality and cost and thus the indicator had to be dropped.

For the overall and specific objectives the full group of 12 participants divided into two so that two sets of indicators were produced. These were then compared in plenary session and a single set produced that combined the best characteristics of the two.

For the seven expected results the participants were divided into two groups with each group taking three results. The last result was addressed in plenary.

Major activities of the programme were reviewed during the development of indicators for expected results to ensure that key areas of activity were addressed but indicators for activities were not developed. Such indicators are not necessary where, as in this case, the activities of the programme are properly specified as genuine activities. In this case monitoring is simply a matter of checking whether and how the activity was implemented – there is no need for additional criteria.

The existing indicators that are specified in the programme logframe (annex 2) were used as a checklist and most of these appear in the finalized M&E framework. However it proved necessary to make a number of changes, particularly at the level of specific objective which is the most challenging for M&E in terms of finding realistic indicators and practical means of verification.

Experience suggest that the total number of indicators in a programme/project M&E framework should not exceed 50, and efforts were made to keep within this limit.

Having defined indicators and MOVs participants went through the full list to define responsibilities: who will coordinate M&E for a particular indicator, and who should actually collect the information.

2.1 Indicators for Overall Objective and their Means of Verification

Overall Objective: Natural forests and woodlands in East Africa are sustainably managed and conserved with increased benefits to poor men, women and children in forest-dependent communities.

Indicator	Means of Verification			Baseline		Responsibility	
	Source of information	Method of collection	Frequency of collection	What	MOV (if different)	Coordinate	Collect
Stable area of forest cover at at least 60% of EMPAFORM sites	Satellite images for a sample of 5 sites per country	Contract relevant centre to do analysis	Baseline Endline (year 4)	Images as near current as possible	Same	NPC	NPC contracts centre
Decrease in illegal activities that cause forest degradation at at least 60% of EMPAFORM sites	Forest department records for the same sample of 5 sites per country	Review records	Baseline Mid term Endline	Yes	Same	NPC	IO
	Forest Department staff Community members at 5 sample sites	Participatory Methods (tools: trends, transect walk)	Baseline Mid term Endline	yes	Same	NPC	IO/OSO
Increased contribution of forest resources and related enterprise to the livelihoods of poor men, women and children (Kenya and Tanzania, to be extended to Uganda???)	Community members for 3 sites per country	Selected tools being developed by ARPIP	Baseline Endline (year 4)	During 2006	Same	NPC	KEFRI (Kenya) Tanzania (SEM) Uganda (Makerere)

2.2 Indicators for Specific Objective and their Means of Verification

Specific Objective: Empowered civil society organisations have promoted a pro-poor approach to PFM that is more demand-driven and more equitable in addressing the interests and rights of poor men, women, and children, and national networks have been established that will institutionalise and reinforce this approach

Indicator	Means of Verification			Baseline		Responsibility	
	Source of information	Method of collection	Frequency of collection	What	MOV (if different)	Coordinate	Collect
% of community members who believe that PFM agreements and their implementation is equitable	Community members (random sample) at 5 sample sites	Survey with Questionnaire	Baseline Mid-term Endline (year 4)	Existing PFM sites in next 6 months For new sites once PFM implementation starts	Same	NPC	IO
Byelaws developed at local level reinforce a pro-poor approach to PFM	Local authorities at 5 sample sites	Reviewing the documents	Mid-term and end.	Check what exists at the start	Same	NPC	AO
PFM guidelines/regulations are modified to encourage a more pro-poor approach	Guidelines	Review guidelines	End of project	Review current guidelines	Same	NPC	AO
Increased participation of women and youth (young adults) in PFM decision-making within CBOs	Minutes of meetings	Review minutes	Annual	Whatever is currently there	Same	NPC	OSO
	Field reports by EMPAFORM staff	Review report	Quarterly	N/A			
Number of issues/demands of CBOs to which government responds	CBO committee	Focus group discussion	Annual	N/A		NPC	AO
Communities <i>exercising</i> a full range of existing rights under current policy and legal framework.	Community members at 5 sample sites	Questionnaire	Baseline, Midterm Endline	Yes required	Same	NPC	AO
	CBO members	FGD					
Increased adoption of forest-friendly enterprises by specific interest groups (e.g. beekeeping, crafts) TARGET	Community members	Survey with Questionnaire	Baseline Midterm Endline	Yes required	Same	NPC	IO
Perceived increased legal tangible benefits going to poor men, women and children	Community members at 5 sample sites	PRA tools with stratified groups (at least by gender)	Baseline Midterm Endline	Required	Same	NPC	AO
% of new PFM villages that ask to be included in a PFM process (i.e. solicit involvement)	District, CBO and NGO Records	Review Records	Annual	N/A		NPC	IO
40 (??) second level CBOs (registered with govt) have become actively engaged in 3 national networks which are able to continue their core functions post-programme	Networks CBOs	Review of networks during the programme's final evaluation	Annual	N/A		NPC	OSO

2.3 Indicators for Expected Result #1 and their Means of Verification

Result 1: Relevant information has been disseminated to CBOs and NGOs at all levels on the legal and policy framework for PFM , the experience and performance of government and civil society in PFM implementation, and key opportunities and constraints as they emerge.

Indicator	Means of Verification			Baseline		Responsibility	
	Source of information	Method of collection	Frequency of collection	What	MOV (if different)	Coordinate	Collect
Simplified guides to policy, law and regulations relevant to PFM produced and disseminated in 3 countries	Guides Workshop participants lists Mailing list	Review Documents	Biannual	NA		NPC	IO
Simplified guide to PFM guidelines produced and disseminated for each country	Guide Workshop participants lists Mailing list	Review Documents	Biannual	NA		NPC	IO
30 newsletters produced and distributed quarterly (8 pages)	Newsletters	Review Documents	Quarterly	NA		NPC	IO
54 TV and radio news features broadcast	Broadcasts	Review Broadcasts	Quarterly	NA		NPC	IO
6 newspaper articles on the distribution of costs and benefits of PFM	Newspapers	Review papers	Annual	NA		NPC	IO
Leaflet and posters developed for advocacy on “maswala nyeti”	Leaflets and posters	Review	Biannual	N/A		NPC	IO

2.4 Indicators for Expected Result #2 and their Means of Verification

Result 2: Networking between community level and second level CBOs has promoted sharing of information and experience on PFM and related issues, and joint action on advocacy and other issues of common interest.

Indicator	Means of Verification			Baseline		Responsibility	
	Source of information	Method of collection	Frequency of collection	What	MOV (if different)	Coordinate	Collect
500 CBO membership meetings throughout the programme.	Minutes of Meetings	Review Documents	Annual	N/A		NPC	OSO
300 people on cross-visits at the national level	Study tour reports	Review documents	Annual	N/A		NPC	IO
50% of those going on cross-visits reporting that they have been exposed to new ideas or concepts	Study tour reports	Review Documents	Annual	N/A		NPC	IO
12 Annual meetings of national networks	Minutes of Meetings	Review Documents	Annual	N/A		NPC	OSO
3 Advocacy strategies produced that are operationalised through preparation of annual advocacy action plans	Documents	Review Documents	Annual	N/A		NPC	AO
180 people gain skills and expertise in PFM related issues through peer group training	People in working groups	Survey	Annual	N/A		NPC	OSO

2.5 Indicators for Expected Result #3 and their Means of Verification

Result 3: Increased capacity of second level CBOs and national NGOs to analyse forest and land tenure policy, and PRSP processes, to design, implement and monitor advocacy initiatives for PFM policy and decision-making, and to mainstream PFM within PRSP processes

Indicator	Means of Verification			Baseline		Responsibility	
	Source of information	Method of collection	Frequency of collection	What	MOV (if different)	Coordinate	Collect
140 CBO leaders gain skills in advocacy to influence PFM decision-making	Workshop report (including results of evaluation questionnaire) Trainees	Review report FGD at network meeting	After training Annual	N/A		NPC	AO
45 national/local NGO staff gain skills in policy analysis and advocacy	Workshop report (including results of evaluation questionnaire)	Review report	After training	N/A		NPC	AO
CBOs engaged in site level lobbying on specific issues of PFM implementation: number of CBOs and number of issues	CBO records CBO leaders	Review records FGD	Annual	N/A		NPC	AO
4 policy briefs per country (=12 total) produced and distributed	Policy brief	Review brief	Annual	N/A		NPC	AO

2.6 Indicators for Expected Result #4 and their Means of Verification

Result 4: Governance, management, negotiation, fund-raising and networking skills of second-level CBOs have been strengthened, emphasising effective representation of the interests of poorer households, women and other marginalised groups

Indicator	Means of Verification			Baseline		Responsibility	
	Source of information	Method of collection	Frequency of collection	What	MOV (if different)	Coordinate	Collect
CBO members gain skills in: - fundraising: 90 - governance 90 - management/negotiation 90	Workshop report (including results of evaluation questionnaire) Trainees	Review report FGD at network meeting	After training Annual	N/A		NPC	OSO
90 CBO members and NGO staff gain skills in networking	Workshop report (including results of evaluation questionnaire) Trainees	Review report FGD at network meeting	After training Annual	N/A		NPC	OSO
Guidelines for good governance of CBOs in PFM developed and being used by CBOs	Guidelines CBO leaders	Review guidelines FGD		N/A		NPC	OSO
Increase in % of CBOs involved in writing proposals for funding: - PFM-related - Non PFM related	CBO leaders Proposals	FGD Review proposals	Annual	Number of existing CBOs that wrote proposals in the previous year		NPC	OSO

2.7 Indicators for Expected Result #5 and their Means of Verification

Result 5: Community-level and second-level CBOs involved in PFM have had access to legal advice and other technical support for CBO establishment and governance, negotiation and conflict resolution, and forest based enterprise

Indicator	Means of Verification			Baseline		Responsibility	
	Source of information	Method of collection	Frequency of collection	What	MOV (if different)	Coordinate	Collect
50 CBOs assisted with legal services for CBO establishment	Project records	Review project records	Annual	N/A		NPC	IO
CBOs given technical support on demand driven basis (e.g. for good governance, negotiation of PFM agreements, forest-based enterprise)	Project records	Review project records	Annual	N/A		NPC	IO

2.8 Indicators for Expected Result #6 and their Means of Verification

Result 6: Networking at the regional level between second-level and national level CSOs has promoted sharing of information and experience on PFM and related issues across the 3 countries, and common strategies for engagement in regional and global policy processes.

Indicator	Means of Verification			Baseline		Responsibility	
	Source of information	Method of collection	Frequency of collection	What	MOV (if different)	Coordinate	Collect
40 people on cross-visits at regional level	Study tour reports	Review reports	Annual	N/A		RPC	NPC
At least 2 regional meetings for discussing key emerging issues and producing a learning document	Learning document	Review documents	Annual	N/A		RPC	RPC
Regional advocacy strategy for linking national to local and global PFM processes	Advocacy strategy	Review Strategy	Annual	N/A		RPC	NPC
12 PFM case studies documented for use by trainers	Studies	Review studies	Annual	N/A		RPC	RPC
	Trainers	Interview					
Web-site established and updated quarterly	Project Quarterly Report	Review Reports and log-on numbers	Quarterly	N/A		RPC	ROSC
	Log-on survey						

2.9 Indicators for Expected Result #7 and their Means of Verification

Result 7: The nature of community participation in PFM, and the effect of civil society strengthening processes, have been monitored, analysed and shared between countries on a regular basis, and learning has been applied and documented for wider dissemination.

Indicator	Means of Verification			Baseline		Responsibility	
	Source of information	Method of collection	Frequency of collection	What	MOV (if different)	Coordinate	Collect
M&E that encourages adaptation of programme strategies is implemented	M&E information	Review reports	Annual	N/A		RPC	NPC
4 technical articles and 3 papers produced	Articles and papers	Review articles and papers	Annual starting year 2	N/A		RPC	RPC
At least 100 people from within Africa attend a conference on pro-poor PFM and proceedings produced and disseminated	Proceedings of conference	Review documents	End of project	N/A		RPC	RPC

Baseline Action Plan

Indicator	Means of Verification			Baseline		Responsibility	
	Source of information	Method of collection	Frequency of collection	What	By When	Coordinate	Collect
Stable area of forest cover at at least 60% of EMPAFORM sites	Satellite images for a sample of 5 sites per country	Contract relevant centre to do analysis	Baseline Endline (year 4)	Select sample sites Develop TOR Analysis of images that are as near current as possible	End Nov End Oct End Feb 06	NPC	NPC contracts centre
Decrease in illegal activities that cause forest degradation at at least 60% of EMPAFORM sites	Forest department records for the same sample of 5 sites per country	Review records	Baseline Mid term Endline	Review records	End Jan 06	NPC	IO
	Forest Department staff Community members at 5 sample sites	Participatory Methods (tools: trends, transect walk)	Baseline Mid term Endline	Planning Data collection	Mid Dec 05 End Feb 06	NPC	IO/OSO
Increased contribution of forest resources and related enterprise to the livelihoods of poor men, women and children (Kenya and Tanzania, to be extended to Uganda???)	Community members for 3 sites per country	Selected tools being developed by ARPIP	Baseline Endline (year 4)	During 2006	Kenya &Tz: end Sept 06 Uganda: end Sept 06 ??	NPC	KEFRI (Kenya) Tanzania (SEM) Uganda (Makerere)
% of community members who believe that PFM agreements and their implementation is equitable	Community members (random sample) at 5 sample sites	Survey with Questionnaire	Baseline Mid-term Endline (year 4)	Developing questionnaire Data collection	End Oct 05 Existing PFM sites: end March 06 For new sites once PFM agreement is completed	NPC	IO
Byelaws developed at local level reinforce a pro-poor approach to PFM	Local authorities at 5 sample sites	Reviewing the documents	Baseline Mid term Endline	Check what exists at the start (if anything)	Existing PFM sites: end Dec 05 New sites: mid Jan 06	NPC	AO

PFM guidelines/regulations are modified to encourage a more pro-poor approach	Guidelines	Review guidelines	End of project	Review current guidelines	End of Mar 06	NPC	AO
Increased participation of women and youth (young adults) in PFM decision-making within CBOs	Minutes of meetings	Review minutes	Annual	Review whatever is currently there	End of Nov 05	NPC	OSO
Communities <i>exercising</i> a full range of existing rights under current policy and legal framework.	Community members at 5 sample sites CBO members	Questionnaire FGD	Baseline, Midterm Endline	Developing questionnaire Data collection Develop FGD checklist Data collection	End Oct 05 Existing PFM sites: end Mar For new sites once PFM agreement is completed End Oct 05 Existing PFM sites: end Mar For new sites once PFM agreement is completed	NPC	AO
Increased adoption of forest-friendly enterprises by specific interest groups (e.g. beekeeping, crafts) TARGET	Community members at 5 sample sites	Survey with Questionnaire	Baseline Midterm Endline	Developing questionnaire Data collection	End Oct 05 Existing PFM sites: end March 06 For new sites once PFM agreement is completed	NPC	IO
Perceived increased legal tangible benefits going to poor men, women and children	Community members at 5 sample sites	PRA tools with stratified groups (at least by gender)	Baseline Midterm Endline	Planning Data collection	Mid Dec 05 End Feb 06	NPC	AO
Increase in % of CBOs involved in writing proposals for funding: - PFM-related - Non PFM related	CBO leaders Proposals	FGD Review proposals	Annual	Number of existing CBOs that wrote proposals in the previous year	End Jan 05	NPC	OSO

3. Baseline Survey

Having developed the M&E matrices the development of an action plan for collecting baseline information was simply a matter of selecting the subset of indicators that had been identified as needing a baseline measurement, and then specifying exactly what needs to be done and when. The resulting baseline action plan is summarised in the tables on the two previous pages. In reality this is not a single “baseline survey” but rather a set of data collection exercises. Some of these may be done at the same time and some indicators and MOVs were adjusted to maximize such opportunities for efficiency.

4. Critical Assumptions

Alongside M&E indicators another key element of an M&E framework are the programme’s critical assumptions which must be monitored to check that they remain realistic and valid. Assumptions can be defined as:

“Conditions that must exist if the project is to succeed that are outside the control of the implementing partners”

Of all possible assumptions there are a sub-set which are of key importance in relation to the success of the programme/project. These are called “critical assumptions” and are included in the logical framework (at the appropriate level). A number of such assumptions were identified during the programme design process (see annex 2).

This last stage in the workshop process began by reviewing the assumptions specified in the logframe using a decision tree to determine whether they should remain in the logframe according to their level of importance and likelihood of holding true during the lifetime of the programme. A few assumptions were removed as being no longer important factors.

Finally participants were asked to identify any other factors beyond the control of the programme that they felt were of serious concern in potential undermining the achievement of EMPAFORM’s objectives and results. These Threats or risks were reformulated as positive assumptions and then subject to the same decision tree. This exercise resulted in the identification of several new critical assumptions that must be closely monitored as the programme proceeds.

The final, revised list of critical assumptions is presented in the table on the following page. The assumptions in bold are those that are considered particularly critical, and which are not monitored by the existing M&E indicators and therefore need special attention.

EMPAFORM Critical Assumptions

Overall Objective to Super Goal

- Enhancing community control over forest resources, and making the distribution of costs and benefits more pro-poor has a positive impact on forest conservation.

Specific Objective to Overall Objective

- Governments are willing to adjust PFM guidelines and regulations to enhance community control over forest resources, and make the distribution of costs and benefits more pro-poor.
- **Second-level CBOs are an effective entry point for work on governance of CBOs involved in PFM.**
- PFM networks are member-driven.
- Donor funding is available to support networks post-programme but limited
- Returns out of PFM are sufficient to motivate communities to continue engagement

Results to Specific Objective

- Other national-level NGOs involved in PFM policy development and implementation (other than the programme partners) are willing to collaborate with the networks (i.e. do not establish a parallel network)
- There exist NGO and other service providers that are suitably qualified and experienced to provide the required technical support
- The programme is able to manage expectations for service provision
- **Communities are able to access funding to address priority needs of the community (especially with respect to forest-related IGA's)**
- NGO's that plan to engage in regional and global policy processes can access the necessary resources to finance their participation in relevant regional and global events
- The programme donor (EU) accepts an adaptive management approach that will result in changes to project strategy and targets at activity and output levels.

Activity to Results and Preconditions

- **Adequate government and donor support in Uganda and Kenya for government forest agencies at national and local levels to fulfil their responsibilities as defined by PFM policy, legislation and regulations (already assured in Tanzania).**
- Broad political support for the principles of PFM continues
- District forest staff are supportive of PFM in their areas
- Programme partners are successful in securing additional funding
- Favourable security situation prevails

Annex 1: Workshop Participants

No.	Name of Participant	Organization	Address	Designation
1.	Mr. Anthony Michael Ochino	Forest Action Network (FAN)	P.O.Box 380, 00517,Uhuru Gardens ,Kenya Tel:891035,891907 Email:mikeochino@fanworld.or.ke Tel/Fax: +254-20-891035	National Programme Coordinator- EMPAFORM
2.	Mr. Adrian Kahemela	Tanzania Forest Conservation Group (TFCG)	P.O.Box 23410,Dares Salaam Tel:+255(0)22 2669007 Email akahemela@tfcg.or.tz Also: TFCG, #23410, Dodoma	National Programme Coordinator
3.	Ms. Doreen Kabasindi Wandera	BUCODO	P.O. Box 357, Masundi –Uganda Tel: 077592832/0465-23156 Email: dwandera@nemaug.org	Uganda National Coordinator
4.	Mr. Robert Nabanyumya	CARE - Uganda	EMPAFORM, C/o CARE-Uganda P.O.BOX 7280, Kampala; Tel: 078 904009	Regional Programme Coordinator
5.	Ms. Vick Luyima	ACODE	P.O.Box 29836,Kampala Tel:254641 -530798,077423449 Email: vluyima@acode-u.or	
6.	Ms. Dawn Huntly	CARE Tanzania		
7.	Ms. Miriam Nattimba	EMPAFORM - BUCODO	P.O. Box 357, Masundi –Uganda???	Information Officer
8.	Phil Franks	CARE -International	P.O Box 43864 –00100 Mucai Road off Ngong Road, Nairobi, Kenya; Tel. 254 (2)2718019 Email: phil@care.or.ke	Integrated conservation and Development Network coordinator
9.	Balisidia Sechelela	TFCG	P.O.Box 23410,Dares Salaam Tel:+255(0)22 2669007 Email bsechelela@tfcg.or.tz	Information officer
10.	Ms Waititu Joyce	CARE – Kenya EMPAFORM-ROSC	P.O.Box 43864, 00100 GPO,Nairobi, Kenya Tel: 2710069 Email: jwaititu@care.or.ke	ROSC
11.	Charles Meschack	TFCG - Tanzania	P.O.Box 23410,Dares Salaam Tel:+255(0)22 2669007 Email cmechack@tfcg.or.tz	Executive Director
12.	Howard Akimala	Forest Action Network (FAN) - EMPAFORM	P.O.Box 380,Uhuru Gardens,Nairobi,Kenya. Tel:891035,891907 Email: hakimala??@fanworld.or.ke	Information officer

Annex 2: Workshop Programme

DAY 1: Tuesday September 27th

08:30 Welcome, Logistics and participants Introduction – (Robert Nabanyumya, RPC).

09:00 Workshop Introduction, Objectives and workshop programme (Phil???)

09:30 Expectations, hopes and fears (Robert...)

10:30 **Tea/ Coffee Break**

11:00 Overview of EMPAFORM – Objectives, Strategies and Activities (Robert...)

12:00 M&E framework – What is it? (Phil)

1:00 Lunch break

2:00 Development of Indicators and means of verification for the Overall Objective

3:30 Tea

4:00 Development of Indicators and means of verification for the Specific Objective

DAY 2: Wednesday September 28th

Development of Indicators and Means of verification for the seven project outputs.

DAY 3 Thursday September 29th

Identifying the baseline needed for each of the indicators

Assessment and prioritisation of Assumptions

Assignment of roles for each of the partners in the monitoring process, and,

Development of a Baseline assessment programme i.e. time frame and frequency of data collection.

DAY 4 Friday September 30th

Morning: Editing and Finalisation of M&E.(by Phil, RN and DH) Departure

Saturday 1st October: RPMT – The RPC, ROSC and NPCs only.