



Prepared by: TYR Review Team
Purpose: Information

Fifth Meeting of the APFNet Council

20-21 March 2019 | Ulaanbaatar, Mongolia

Ten Year Review of the Asia-Pacific Network for Sustainable Forest Management and Rehabilitation (APFNet)

Overview of the Review Process and Detailed Review Plan

I. The PaxTerra Team

PaxTerra has assembled a strong, experienced team for this Review. The team has:

- Deep experience across the Asia-Pacific region, including with regional programs and networks in Asia, West Africa, and South America.
- An impressive expertise and ability to analyze forestry programs and networks at multiple levels ranging from field-level forestry operations to national, regional and global policy issues.
- A passion for combining assessment & evaluation that “looks back” with suggestions & recommendations that “look forward”.
- A firm belief based on experience that looking at the “bigger picture” and the “longer term” always makes sense because it puts projects, programs and networks on firmer ground and enhances the chances of real and lasting impact, and
- A proven track record of assessments that include practical, action-oriented recommendations.

The PaxTerra Team is composed of the following members:

George F. Taylor II	Team Leader & Evaluation Specialist
Dr. Xiaoqian Chen	Deputy Team Leader and Forestry Sector Specialist
Dr. Keshav Raj Kanel	Forestry Governance and Capacity Building Specialist

Introducing the Team

George Taylor

George Taylor is Director of Philanthropy Support Services at PaxTerra and currently serves as Chair of the Advisory Council of the Center for Asian Studies at the University of Colorado in Boulder. Mr. Taylor has extensive international development experience over 40 years in more than 35 countries on three continents (Asia, Africa & South America) with primary focus on natural resources management & environmental conservation. He has worked on many different sides of the international development equation: inside a large bilateral development

assistance agency (USAID); for several private consulting firms (IRG, Winrock, Social Impact, PaxTerra); for the U.S. Forest Service Office of International Programs (USDA/USFS-IP); for the International Food Policy Research Institute (IFPRI); as the manager of field programs of an international NGO (Future Generations, with programs in China/Tibet, India, Afghanistan and Peru); with a private foundation active in international philanthropy in South Asia (Winterline Foundation); and as Team Leader for a string of project, program and institutional evaluations, many of them in Asia. Recent clients have included the World Resources Institute (WRI), International Food Policy Research Institute/Bill & Melinda Gates Foundation, U.S. Forest Service, USAID, Bhutan Trust Fund for Environmental Conservation/World Bank, Center for People and Forests (RECOFTC), and The Nature Conservancy. Throughout his career Mr. Taylor has been a strong supporter of regional programs, institutions and networks. He has also been a champion of donor coordination and of community and country-led development. He has devoted special attention to working collaboratively with host government institutions, multilateral and bilateral donors, and civil society organizations of all types. Mr. Taylor is a graduate of Woodstock School in Mussoorie, Uttarakhand, India. He earned a BA in African History (with High Honors) and a MS in forest resource management and policy/international forestry. In addition to his role at the Center for Asian Studies at the University of Colorado, he has been a Visiting Fellow at the School of Global Environmental Sustainability (SoGES) at Colorado State University (CSU) and is currently serving as a Visiting Fellow at the Colorado Water Center (CoWC).

Xiaoqian Chen

Xiaoqian Chen is Senior Expert on China Europe Forest Bioeconomy at the European Forest Institute (EFI) and Associate Professor at Beijing Forestry University. Dr. Chen has 20 years of experience on forestry economy and policy research and international forestry project implementation. She has worked with many international organizations to design and implement their forestry programs in China, especially in the areas of sustainable forest management, forest governance and trade. She set up and led the European Forest Institute (EFI)'s EU FLEGT in Asia office in China from 2011 to 2016 where, together with Chinese partners, she provided technical support to the EU China Bilateral Coordination Mechanism on Forest Law Enforcement and Governance. Earlier she led the important, innovative work in China under the USAID-funded, The Nature Conservancy (TNC)-implemented Responsible Asia Forestry and Trade (RAFT) Program serving as Forest Policy Advisor from 2009 to 2011, and Green Wood and Sustainable Forest Management Project manager at The Nature Conservancy (TNC) China office from 2006 to 2009. Dr. Chen has served as a consultant with international organizations including the FAO (China country report for the *FAO Asia Pacific Forest Outlook 2010* from 2008 to 2009) and Asian Development Bank (ADB) (financial and fiscal expert for *China's Six Forestry Ecological Programs and Poverty Reduction* from 2003 to 2004). Ms. Chen received her Ph.D degree in Forestry Economics and Policy from Beijing Forestry University in 2000 and has been an Associate Professor at Beijing Forestry University since 2002. She spent 2017-18 at the Yale School of Forestry and Environmental Studies as a Fulbright Visiting Scholar. She was a Research Fellow at the World Forestry Center in 2007. Dr. Chen is a Board Member of the Center for People and Forests (RECOFTC), Committee Member of Forest Product Trade Sub-committee of China's Forestry Economy Council,

Committee Member of the Forest Industry and Product Standard Committee of the Chinese National Forestry Industry Association, and serves as Chief of Economics & Policy on China's National Poplar Council. Individually or with others, she has published 4 books and over 30 articles.

Keshav Kanel

Keshav Kanel has over forty years of experience in the fields of forest policy analysis, monitoring and evaluation; program review and assessment; linkages between climate change and development; ecosystem based adaptation and management; resource planning and strategy formulation; forest products marketing; inter-linkages between forest management and livelihood, and common property management systems and institutions. After joining the Forest Service of Nepal in 1976, he worked in the field and on institutional reform of the forestry sector. He was a Visiting Faculty member of the Institute of Forestry for four years, working to produce a new cadre of foresters. His work on the preparation and implementation of the Master Plan for the Forestry Sector facilitated the process of handing over national forests to local communities, changing the role of foresters to that of advisor to communities, and devolving forest rights and governance to community forest groups. This process led to a new Forest Act and Regulations which led, among other things, to increased natural regeneration and growth of forests. Subsequently, Dr. Kanel became the head of the Community Forest Division and then the Director General of the Department of Forests. In 2007, he became a Permanent Secretary of the Government of Nepal (the highest non-political position in the Government). He also served as Chief of the Monitoring and Evaluation Division of the Ministry of Forests and Soil Conservation. His experience, knowledge and skill in promoting and implementing forestry sector reform has been recognized by the Rights and Resources Initiative (RRI), and he has been invited by RRI to participate in meetings of the group MegaFlorestais (an informal global network of forest agency leaders) including its international seminar *Next Generation of Forest Agency Leaders: Global issues in Governing Natural Resources*. Dr. Kanel graduated from University in Nepal and obtained his Masters in Forestry at the Indian Forestry Institute, Dehradun, India. He secured a USAID scholarship for his Masters in Forestry at Duke University (USA) and completed his Ph.D. in Forest Economics and Policy Studies from the University of Minnesota (USA) in 1995.

II. Objectives and Scope of the Review

The objectives of the Ten-Year Review are to produce an independent and comprehensive review that will:

1. Evaluate the effectiveness and impacts of APFNet and its Programs and the added value they have brought into the region;
2. Analyze and evaluate areas where APFNet has worked well and should continue; identify aspects to be strengthened or improved; and identify areas where APFNet has comparative advantage and where APFNet should focus its resources on;
3. Identify challenges and opportunities that need to be addressed for future development; and
4. Provide recommendations for the future direction, strategy and priorities of APFNet.

The review will cover the two levels set out in the Terms of Reference (ToRs):

- Overall performance & governance and selected programs & activities of APFNet in four categories:
 - Capacity building
 - Policy dialogue
 - Demonstration projects, and
 - Information sharing
- The effectiveness and efficiency of governance and administration between 2015 -2018.

III. Assessment Approach & Methodology

PaxTerra’s approach to assessment is comprehensive, taking elements from a variety of evaluation approaches and mixing them with the “common sense” acquired over several decades of thinking about and doing both development and the evaluation of development programs, with a particular focus on NRM/natural resources management. Key elements include Self-Assessment and Data Collection & Analysis.

Self-Assessment:

In our experience, internal self-assessment and external review need to be two sides of the same coin. The APFNet Secretariat is to be congratulated for preparing a number of Self-Reviews, Internal Summaries and Assessments as a prelude to this Review (details in the document *Tentative Matrix of APFNet Ten-Year Review* (hereafter referred to as the Matrix)). These elements of self-assessment will serve as a critically important input for the Ten-Year Review.

A Two Phase Process:

PaxTerra has proposed a two phase process for the Review:

Phase I - Answering the 70+ questions in the Matrix.

Primary responsibility for this phase will lie with the Secretariat. Except for the first section of the Matrix (Overall performance of APFNet), each section of the Matrix has a self-review, internal summary or assessment either currently underway or planned as input into the Review process. The role of the PaxTerra team will be to review these inputs (i.e. responses to each of the 70+ questions), work with Secretariat staff to finalize the assessments (if needed), and decide which questions, if any, require additional attention during the Phase II process.

Phase II - Answering the 4 key objectives presented in Section II above and the 7 Questions in the “Overall performance of APFNet” section of the Matrix.

Responsibility for this phase will lie with the PaxTerra team.

The 7 questions are:

1. Are the outcomes and impacts of APFNet's programs and activities contributing to the realization of its mission and objectives?
2. What factors have contributed to the success or failure of APFNet's programs or activities?
3. Have there been any unintended impacts or consequences of APFNet's programs and activities?
4. Have there been any contextual changes in the circumstances facing sustainable forest

management and rehabilitation in the Asia-Pacific since APFNet's formation in 2008? If so, what are the potential implications of these changes for APFNet?

5. What comparative advantages does APFNet have in terms of promoting sustainable forest management and rehabilitation in the Asia-Pacific Region?

6. What are the potential niches/priorities in technical fields where APFNet could usefully provide more support during its next strategic planning period?

7. What are the relations among the four pillars of APFNet? Have the four pillars reinforced each other in achieving the objectives of APFNet in operation? Have the outputs of one pillar been fully applied in other pillars?

These questions will be assessed in the context of then Mission, Objectives, Values and Principles of APFNet:

Mission

The mission of APFNet is to help promote and improve sustainable forest management and rehabilitation.

Objectives

APFNet's actions aim to:

- Contribute to the achievement of APEC's aspirational goal of increasing forest cover by at least 20 million hectares of all types of forests by 2020;
- Help to enhance forest carbon stocks and improve forest quality and productivity by promoting rehabilitation of existing but degraded forests, and reforestation and afforestation of suitable cleared lands in the region;
- Help to reduce forest loss and degradation and the associated greenhouse gas emissions by strengthening sustainable forest management and enhancing biodiversity conservation; and
- Help to increase the socio-economic benefits of forests in the region.

Values

APFNet implements all work in accordance with the following core values:

- Respect for differences
- Action-oriented
- Creative and innovative thinking

Principles

APFNet's actions are governed by a set of core principles that ensure that its activities are open to the scrutiny and participation of and guidance from all key stakeholders, that they foster cooperation and avoid duplication, and that they are targeted to the specific needs of the beneficiary:

- Openness and participation
- Complementarity
- Beneficiary focused

PaxTerra will synthesize the results of Phase I & II and present them in the final report.

Data Collection and Analysis:

Data collection for the Ten-Year Review will include:

- Review of APFNet documents
- Inputs from the self-assessments and other elements of Phase I described above
- Desk study/literature review of related programs and the overall development context in which APFNet has been operating
- Key stakeholder & key informant interviews (in-person as well as by skype, phone and email), and
- Observation in the field and interaction with key stakeholders, including in-person focus group discussions.

Data collection has been initiated as part of the development of this proposal. It will be continued as soon as a contract has been signed and will include:

- Participation in the APFNet Council and Board Meetings in UlaanBaatar March 18-23 2019
- Visits to several APFNet member economies. For details see Section V below.

PaxTerra uses participatory methods to engage all relevant stakeholder groups and other key informants knowledgeable about the forestry sector across the Asia-Pacific region. These include:

- APFNet Secretariat staff, Board and Council members
- APFNet Partner Organizations, including Universities that have been hosting APFNet-supported students and participating in the Forestry Education Coordination Mechanism (AP-FECM), the Forestry Planning Network (FPN), the Sino-ASEAN Network of Forestry Research Institutes (SANFRI), and the Meeting Mechanism of Greater Central Asian Ministers in Forestry (MMRF-GCA)
- Others who have been either directly or indirectly involved with APFNet over the past 10 years.
- International and regional organizations that have had cooperation MOU/activities with APFnet over the past 10 years.
- Host- economy government organizations & institutions, and
- Private sector and civil society groups involved at local, national, regional and international levels in the forestry sector across the Asia-Pacific region.

Findings and Recommendations:

Findings and recommendations will be based on an analysis of the data collected by the means described above. They will include an assessment of:

- Results (outcomes and impacts) achieved to date
- Challenges encountered
- The efficiency and effectiveness of APFNet's program implementation
- The quality and effectiveness of the partnerships developed between the APFNet Secretariat and other elements of the Network
- Synergies among APFNet stakeholders and between APFNet and other organizations and programs working towards similar goals, and

- Key lessons learned and recommended next steps that flow from all of the above, including suggested elements of APFNet's 3rd Strategic Plan (2021-2025).

The recommendations presented in the final report will be clear, concise, practical, forward-looking, and actionable. The Final Report will be composed of a main report (no more than 35 pages, including a 5 pages Executive Summary) and necessary Annexes.

IV. Participation by Secretariat staff in the Review Process

The PaxTerra team welcomes the participation of Secretariat staff in the Review process, including accompanying the team on its visits outside of China. This would add an element of capacity building into the review process.

V. Detailed Review Plan¹

Phase I: Preparation for the Review

February

13 PaxTerra informed that it had been selected to conduct the Review
ongoing Work with the Secretariat to draft & finalize Contract and Detailed Review Plan

March

TBD Contract with PaxTerra finalized and signed
ongoing Work with the Secretariat to finalize arrangements for Phases II & III
ongoing Background reading, development of interview protocols etc.

Phase II: APFNet Council & Board Meetings (Ulaanbaatar, Mongolia)

March

16/17 PaxTerra team to Ulaanbaatar (Taylor from Denver, Colorado; Chen from Beijing; Kanel from Kathmandu, Nepal)

18-23 APFNet Council and Board meetings [Taylor, Chen & Kanel]

23 Taylor and Kanel to Kathmandu, Chen to Beijing

Phase III: Visits to Nepal, China, Myanmar, Cambodia and Thailand

Each visit to include:

* 2-3 days meeting with APFNet Board & Council members, government officials, APFNet scholarship recipients who have returned home, and other stakeholders.

Includes review of three of APFNet's four Pillars:

#1 Capacity Building,

#3 Regional Policy Dialogue, and

#4 Communications/Information Sharing.

¹ This is a **DRAFT** plan, prepared in consultation with the Secretariat and subject to modification following discussion with the APFNet Board.

* 2-3 days visiting Demonstration Projects (APFNet Pillar #2)

April

1-5 **NEPAL** [Taylor, Kanel]²

8 Taylor returns from Kathmandu to Denver, Colorado

29-30 Vancouver/University of British Columbia (UBC) to review AP-FECM and related programs [Taylor from Colorado - 2 days - coordinated with Secretariat/Huang for project evaluation]

April/

May Continue background reading, interview key stakeholders by phone, skype etc., and prepare for field visits.

May

11/12 Taylor Denver to Beijing, Kanel Kathmandu to Beijing

13-24 **CHINA** [Taylor, Chen and Kanel]

13-17 Beijing: APFNet Secretariat, Beijing Forestry University, government officials, Board & Council members and other stakeholders

19 Travel Beijing to Chifeng City (by road) [Taylor and Kanel]

20-21 Chifeng City - visit demonstration project

21 Return to Beijing (by road)

22 Beijing to Kunming (Taylor & Kanel by high-speed rail, Chen by air)

23-24 Kunming: APFNet Training Center at Southwest Forestry University and Yunnan Academy of Forestry

25/26 Taylor to Phnom Penh, Kanel to Yangon, Chen to Beijing³

27-31 **MYANMAR** [Kanel] **and CAMBODIA** [Taylor]

Meetings with Board & Council members, other government officials, forestry program implementers, APFNet scholarship recipients who have returned home, and other stakeholders. Visits to Demonstration Projects.

June

1 Kanel Yangon to Bangkok, Taylor Phnom Penh to Bangkok

3-6 **THAILAND** [Taylor and Kanel]

Meetings in Bangkok with Board & Council members and with Institutional partners FAO Regional Office and the Center for People & Forests (RECOFTC). Skype calls with other institutional partners: ITTO, SPC/The Pacific Community and TNC. Visit to Demonstration project.

6 Chen Beijing to Bangkok

7-8 Time for the full PaxTerra team to compare and consolidate notes and start to draft the report.

9 Taylor to Colorado, Chen to Beijing and Kanel to Kathmandu

Phase IV: Preparation & submission of draft and final reports

June

² Taylor has previous commitments in Nepal March 25-31 and in India April 6-7.

³ Chen has several previous commitments in Beijing. She will continue followup work with the Secretariat and others and join the rest of the PaxTerra team in Bangkok on June 6th.

30 Draft report submitted

July

31 Comments & suggestions received from the Secretariat

August

31 Final, revised report submitted.



Information Note for Interviews for APFNet Ten-Year Review

1. Background

APFNet Ten-Year Review (TYR) will be conducted by an independent review team to assess the overall performance of the organization in its past a decade. The review team will observe the Board and Council meetings from 20-22 March, 2019 in Ulaanbaatar, Mongolia, where the review team plans to interview Board members and representatives of the Council meeting, to collect comments and recommendations for the development of APFNet.

2. Arrangement for interviews

The interviews will take place in the conference room of Puma Imperial Hotel (floor 2), for

- Selected council meeting participants, tentatively in the afternoon on 21 March 2019
- Board members, tentatively in the afternoon, on 22 March 2019

The review team will communicate with interviewees individually to identify time allocations (around 30 mins' face-to-face meeting).

3. Questions to be raised by the TYR team

A brief questionnaire is prepared by the TYR team, please see *Annex 1*.

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Annex 1: PaxTerra APFNet 10 Year Review: QUESTIONNAIRE #1 for Board & Council Members

Name: _____ Board or Council (circle one)

Economy/Institution: _____ On APFNet Board or Council since: (year) _____

Contact information: _____

Prelude: a few questions about the involvement of your economy in APFNet

Joined APFNet in the year: _____

Have attended (#) ____ Board/Council Meetings in years (list) _____ Contributions to APFNet:

- Monetary contributions:
- Non-monetary contributions:

Top 3 things that participation in APFNet has provided to your county/economy to date:

- 1.
- 2.
- 3.

Top 3 things you would like to see from APFNet in the future:

- 1.
- 2.
- 3.

A few general questions:

* What have you learned from APFNet and how is this disseminated/shared with others in your economy and/or Institution?

* What other forest & related regional or international networks and institutions are active in your economy? (i.e. forestry, sustainable forest management, forest landscape rehabilitation/restoration, agroforestry, biodiversity conservation, climate change, etc.)

* Is there synergy between these other networks/institutions and APFNet?(discuss)

* What process is used to identify and propose demonstration projects and capacity building opportunities to APFNet?