THIRTY-NINTH SESSION
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SYNTHESIS REPORT ON EX-POST EVALUATIONS

Overall Evaluation of ITTO Projects on Community Participation in Sustainable Forest Management (Bolivia, Ghana, Panama, Peru, Philippines and Togo)

PD 44/99 Rev.2 (F)
Implementation of a Management Plan by the Chiquiacá and Orozas Communities in Tarija (Bolivia)

PD 48/98 Rev.1 (F)
Reforestation of the Abutia Plains by Indigenous Communities in the Volta Basin (Ghana)

PD 49/98 Rev.1 (F)
Participatory Tropical Forest Development by Women in Indigenous Communities in Worobong (Ghana)

PD 37/95 Rev.2 (F)
Management of Cativo Forests and Non-timber Products with the Participation of Rural and Indigenous Communities in Darién (Panama)

PD 38/99 Rev.1 (F,I)
Demonstration Community Forest Management in the Natural Cloud Forests of the Urumba Basin in San Ignacio (Peru)

PD 21/97 Rev.2 (F)
Developing Tropical Forest Resources through Community-Based Forest Management in Nueva Vizcaya (The Philippines)

PD 9/99 Rev.2 (F)
Sustainable Management of the Missahoe Reserved Forest Forestry Resources with the Participation of the Local Rural Communities for an Optimal Timber Production in Kpalimé (Togo)

Prepared for ITTO by
Marc J. Dourojeanni and Juan E. Sève

1 With the support of Carlos Rodríguez Chang (Bolivia, Panama and Peru), Baharuddin Haji Ghazali (The Philippines) and Astrid Bergqvist (Ghana and Togo).
Table of contents

Abbreviations
Summary
1. Context
   1.1 Background
   1.2 Terms of reference
   1.3 Methodology
   1.4 Brief description of the projects
      1.4.1 Bolivia (Orozás and Chiquiacá)
      1.4.2 Ghana (Abutia)
      1.4.3 Ghana (Worobong)
      1.4.4 Panama (Darién)
      1.4.5 Peru (Urumba)
      1.4.6 Philippines (Nueva Vizcaya)
      1.4.7 Togo (Missahoé)
2. Main findings of the evaluations
   2.1 Evaluation of original project documents
   2.2 Evaluation of projects’ execution (efficiency)
      2.2.1 Techniques applied
      2.2.2 Project management, financial management, administration
      2.2.3 Governments and/or NGOs as executing agencies
      2.2.4 External factors: Unexpected problems or circumstances
   2.3 Evaluation of projects results, products or outputs (effectiveness)
      2.3.1 Programmed results, outputs or products
      2.3.2 Unanticipated or unexpected results, outputs or products
      2.3.3 Additional funding for follow-up or complementary operations
      2.3.4 Technical and scientific quality of results and their dissemination
   2.4 Overall attainment of development objectives (impacts and effects)
      2.4.1 Social engineering and participation
      2.4.2 Forestry issues and economic sustainability
      2.4.3 Ecological sustainability
   2.5 Overall impact and relevance of the results in terms of community participation in forest management
   2.6 Relevance of project results for authorities, executing agencies, the forestry sector and the countries concerned
   2.7 Relevance of project results as related to ITTO policies, plans and strategies.
   2.8 Post-project sustainability issues
3. Lessons learned for future projects
   3.1 The need for and the objectives of similar projects in the future
   3.2 Innovative approaches/designs for projects aiming at community participation in forest management
   3.3 Appropriate target groups
   3.4 The organizational arrangements for the projects
   3.5 Lack of economic analysis and other technical matters
   3.6 Follow up and evaluation practices
4. Conclusions
5. Recommendations
References
## Abbreviations

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>AFERM</td>
<td>African Environmental Regeneration Movement (Ghana)</td>
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<tr>
<td>ANAM</td>
<td>Autoridad Nacional del Ambiente (Panama)</td>
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<tr>
<td>CBFM</td>
<td>Community-Based Forest Management (a forestry policy of The Philippines)</td>
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<tr>
<td>CIFOR</td>
<td>Center for International Forestry Research</td>
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<td>DENR</td>
<td>Department of Environment and Natural Resources (The Philippines)</td>
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<tr>
<td>DPCEF</td>
<td>Direction de la Protection et du Contrôle de l’Exploitation de la Flore (Togo)</td>
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<tr>
<td>DWM</td>
<td>31st December Women’s Movement (Ghana)</td>
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<tr>
<td>FC</td>
<td>Forestry Commission (Ghana)</td>
</tr>
<tr>
<td>FVHKKUFI</td>
<td>Federation of Vista Hills, Kalongkong &amp; Kakilingan Uplands Farmers Inc. (The Philippines)</td>
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<td>ITTO</td>
<td>International Tropical Timber Organization</td>
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<tr>
<td>INRENA</td>
<td>National Institute of Renewable Natural Resources (Peru)</td>
</tr>
<tr>
<td>INRENARE</td>
<td>Instituto Nacional de los Recursos Naturales Renovables (extinct, Panama)</td>
</tr>
<tr>
<td>NGO (NGOs)</td>
<td>Non-Governmental Organization(s)</td>
</tr>
<tr>
<td>PA (PAs)</td>
<td>Protected Area (Protected Areas)</td>
</tr>
<tr>
<td>PROMETA</td>
<td>Protección del Medio Ambiente Tarija (Bolivia)</td>
</tr>
<tr>
<td>STRI</td>
<td>Smithsonian Tropical Research Institute (Panama)</td>
</tr>
<tr>
<td>UN</td>
<td>United Nations</td>
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</table>
ITTO decided to conduct ex-post evaluations of 7 projects dealing with community forest management that were completed between early 2002 and 2005. The evaluations were carried out in June and August 2006 by a team of 5 independent consultants. An overall evaluation synthesis has been requested to point out the successful and unsuccessful outcomes, the reasons for successes and failures and the contribution of the projects towards ITTO’s Objective 2000 and the ITTO Yokohama Action Plan, and to draw lessons that can be used to improve similar projects in the future.

The evaluated projects were: (1) Implementation of a Management Plan by the Chiquiacá and Orozas Communities in Tarija, Bolivia; (2) Reforestation of the Abutia Plains by Indigenous Communities in the Volta Basin, Ghana; (3) Participatory Tropical Forest Development by Women in Indigenous Communities in Worobong, Ghana; (4) Management of Cativo Forests and Non-timber Products with the Participation of Rural and Indigenous Communities in Darién, Panama; (5) Developing Tropical Forest Resources through Community-Based Forest Management in Nueva Vizcaya, The Philippines; (6) Demonstration Community Forest Management in the Natural Cloud Forests of the Urumba Basin in San Ignacio, Peru and; (7) Sustainable Management of the Missahoé Reserved Forest Forestry Resources with the Participation of the Local Rural Communities for an Optimal Timber Production in Kpalimé, Togo.

These projects were approved between 1996 and 2001. Their total cost, not including the first phases of 4 of them, amounted to US$5.7 million and ITTO’s contribution to this total was US$4.2 million. Three projects were focused on natural forest management (Orozas/Chiquiacá, Urumba and Darién), two were essentially reforestation (Abutia and Worobong) and the two others were a mix of both options (Nueva Vizcaya and Missahoé).

Main findings and conclusions

1. None of the seven projects achieved their respective development objectives even though in most cases they have attained reasonably well their expected products, results or outputs. In general, the projects were not able to provide either significant additional welfare or increased income to the participating communities during project implementation, and because project activities and initiated community ventures are not being continued or maintained, it may be expected that they will not accomplish this goal in the future if additional measures are not urgently taken.

2. In this general scenario, three projects show good to very good possibilities of achieving their development objectives if moderate follow up assistance is provided. These are: Missahoé, Nueva Vizcaya, and Worobong. These were also, by all evaluated parameters, the most successful projects. A fourth project with good prospects is Chiquiacá, one of the sub-projects included in the Bolivian project.

3. Two projects (Urumba and Orozas/Chiquiacá) showed a general failure simply because essential conditions for the execution of the project objectives were not granted by the responsible governmental agencies. These conditions include: (1) legal community access to the forest resources; and/or (2) authorizations (such as management plan approval) to utilize the forest resources. However, even if these legal aspects were solved, these two projects would probably not achieve their objectives as a consequence of other project design weaknesses.

4. All projects were either successful (Darién, Abutia) or very successful (Worobong, Missahoé, Nueva Vizcaya, Orozas/Chiquiacá, Urumba) at promoting participation, raising local people’s environmental and forestry awareness, organizing the communities, and developing forestry community enterprises and training. They overcame traditional resistances and mistrust, and achieved very high levels of participation and enthusiasm regarding project objectives. However, as a consequence of the failure of the projects in achieving development objectives, especially with regard to the generation of additional income, the enthusiasm and participation are fading.

5. The main causes of project failure as related to development objectives were:

   1) Serious flaws in project design. This includes qualitatively and quantitatively overstated objectives and, especially, lack of appropriate analysis of strategic options to confront the characterized problems. Among other common defects in project design it is important to mention the absence of
quantified baseline information, the low quality of the logical frameworks, and the lack of adequate community consultation during project design.

2) Due to the mentioned project design deficiencies the attainment of products, results, and outputs does not warrant the achievement of the project development objectives, as has been the case in most evaluated projects.

3) Inadequate strategic analysis is a key cause of failures. A few examples clarify the point: (1) natural forest management projects intended to sustainably utilize difficult to access protection forests with no consideration of very high costs or environmental implications (Urumba, Orozas/Chiquiacá); (2) more than a thousand hectares of forest plantations were planned to be established in only 2 to 3 years with no serious provision for either future maintenance costs or for the continuity of the planting (Abutia, Worobong); (3) degraded land rehabilitation for ecological services from the forest were planned as a costly responsibility imposed on poor hill farmers with no provision for compensation while the benefits are essentially being reaped by rich planters in the lowlands (Nueva Vizcaya); (4) alternative or complementary options, such as reforestation in natural forest management projects (Urumba, Orozas/Chiquiacá) with fast growing tree species, sequential planting, properly adapted taungya systems, or adequate fruit tree planting in forest plantations (especially in Abutia) were not seriously considered.

4) Lack of economic analysis of ventures proposed by the projects. The project proponents did not take into consideration that the projects were to become self sustained and profitable economic ventures at project completion, as would be the case in any enterprise. As a result, technical and especially economic feasibility studies were absent in all evaluated projects. Most proposed ventures were decided as a priori profitable actions.

5) Lack of support from national forestry agencies. All projects had official support from governments. However, the more successful projects were those with the highest level of effective support from the governmental forestry agencies such as Nueva Vizcaya, Missahoe and Worobong. The less successful projects such as Abutia, Urumba, Orozas/Chiquiacá and, to some extent, Darién, were those with less effective support.

6. Management plans for natural forests as well as for forest plantations were either entirely absent (Abutia, Worobong) or of very low quality (Orozas/Chiquiacá, Darién, Urumba, Nueva Vizcaya). The examined plans were overly simplistic and, if applied, they would not warrant economic or ecological sustainability. The only partial exception has been for Missahoe, where the proposed forest management plan is on the right track but needs to be completed.

7. Other projects had complications that add to the general causes of failure mentioned above, such as in the case of Darién, successful at providing technical information, as planned, but unable to achieve its general objectives regarding sustainable management, in part because the species that was the main subject of the project lost its economic importance nationwide. Another project, Abutia, faced serious difficulties as consequence of the behavior of the NGO that acted as executing agency.

8. All projects had a high positive correlation with corresponding government forest policies, strategies and plans as well as with most related ITTO 1994 Objectives, the Yokohama Action Plan 2000-2006, and guidelines. However, this correlation was less evident regarding project results as objectives were not attained.

9. Other findings and conclusions are:

1) The target social groups were adequately selected being, in all projects except one (the sub-project in Orozas), the poorer rural traditional, indigenous or tribal groups.

2) A positive aspect has been project location with regard to protected areas, often inside a forest reserve (Worobong, Missahoe) contributing to its restoration, buffer zones (Darien, Urumba, Chiquiacá) or forming a corridor between two protected areas (Abutia).

3) Project execution, expressed in terms of expected results and products, has been quite efficient. Administration and project organization has been adequate, local and steering committees operated well, and budget modifications were reasonable.

4) However, project implementation periods as approved by ITTO were invariably too short to achieve the proposed products and results. Three projects required more than 15 additional months.

5) In some projects the main successes were not related to the objectives of the project. In Urumba the project improved the coffee productivity and successfully promoted the construction of a new road, a medical post, an electrical power plant and several other social infrastructure improvements. In Worobong the project was able to improve local incomes through cassava processing plants. In
Nueva Vizcaya the project was instrumental in obtaining additional assistance to local farmers to improve agricultural productivity.

6) Excepting Darién and Nueva Vizcaya all other projects failed in producing technical, dissemination or other material as required by ITTO.

**Main lessons learned**

1. The poor performance of most projects is clearly not a demonstration of any inherent difficulty to make possible community forestry management. None of the causes of failures can be attributed to the participating communities that demonstrated an extraordinary endurance regarding project objectives. All failure causes were related to project design, or to a lesser extent to implementation deficiencies.

2. Projects aiming at creating economic ventures for communities must be treated as any other for-profit investment and not as conventional or traditional development projects. Sustained profits are the best proof and the only warranty of success of forestry based community projects.

3. Some innovative approaches of the evaluated projects may be useful for future operations:

   1) The establishment of community enterprises that bring together those community members really interested in the forestry venture.
   2) Compensation for effective work in logging or planting and maintenance must be direct, in the form of salary, considered as a "production cost". This compensation must not be considered a share part of benefits.
   3) Project generated incomes must benefit directly those members that effectively participate and not be exclusively oriented to community infrastructure improvements, which also benefit community members who don’t work and/or do not participate.
   4) Early definition of the sharing of benefits obtained at harvest to each shareholder (government, landlords, community, and participating community members) is essential to avoid conflicts.
   5) The establishment of a "Forest Fund" with resources from the project, the initial incomes or, as it was done in Missahoé, with a percentage of the salaries paid to community workers, is an excellent option to ensure the maintenance of plantations until main profits are generated.

4. The need for technical experimented forestry advisory assistance has been enormous in all projects except in Darién, especially at the stage of project preparation. The three most successful projects benefited from either a first phase (Nueva Vizcaya and to some extent Worobong) or a project preparation facility (Missahoé). The assistance must make up for deficiencies regarding the understanding of the principles of sustainable forest management.

5. Natural regeneration is an important and underutilized tool to restore degraded forest land as it has been proven in Nueva Vizcaya. Projects such as Worobong, Missahoe, Orozas and Urumba also could take advantage of this simple and inexpensive approach.

6. To opportunely address errors in approved projects design, as was done in the case of Worobong, is much better than to endure the mistakes such as in the equivalent Abutia project. Openness and flexibility to consider project modifications has been a definite advantage.

**Main additional recommendations to ITTO**

1. The need for future similar projects is evident. However, they must be based on a careful analysis of the strategically viable options and on serious technical and economic feasibility studies. Considering the expected demonstrative impacts of ITTO projects it is important not to locate projects in distant and very difficult to access locations.

2. The duration of community forestry development projects must be expanded. Several options that can be combined are available:

   1) Spreading the budget over a longer implementation period.
   2) Warranting up-front a timely second phase.
   3) Building a budgetary reserve in the projects for maintenance costs ("Forest Fund") such as was adopted in Missahoé.
   4) Building into the project economic options for sustainability after funding has ended.

/...
3. ITTO may consider developing a program to revitalize and renew the basics of forest management, especially among young professional foresters of producer countries.

4. ITTO may consider limiting its project’s investments exclusively to permanent fruit trees when requested to finance actions that are not related to forest products. If other agricultural crops are needed for “the success” of the project the funding should come from other sources.

5. ITTO may consider not investing in almost pure forest research projects or, when justified, to seek participation of other specialized agencies.

6. With regard to ITTO guidelines on conservation of biological diversity it may be convenient to carefully consider requests to finance projects that intend to harvest timber in technically defined protection or residual forests that are nationally or locally considered as production forests from a statutory standpoint.

7. Considering the complexity of the community forestry projects, it may end up being more cost effective for ITTO to provide experienced technical assistance for the preparation of selected projects than to conduct intense ex post evaluations. Under the same criteria it may be worth offering project preparation facilities such as offered for Missahoé.

8. It is recommended that ITTO stimulate the preparation and finance follow up phase operations for Missahoé and Worobong and, possibly, for the Chiquiacá community. The main justification for the two African projects is that these are very near achieving effective and definitive success and may become, with a limited additional financing, excellent demonstrative projects. Chiquiacá, provided the Government grants forest utilization rights to the community, is the natural forest management project with the highest probability of success. Nueva Vizcaya, also a promising project, is already a second phase and the Government is taking care of the situation.

9. ITTO’s responsibility with regard to the other projects that were not as successful as expected may be oriented to the support of governments and executing agencies to find other local, national or international financing options.

10. Not only should ITTO be especially careful with legal considerations concerning projects but member governments should avoid submitting project proposals to ITTO unless they can guarantee clear community land tenure or access to forest resources, as well as clearance of forest management plans and/or logging authorizations. Two of the evaluated projects failed essentially as a consequence of these problems. These aspects must be fully solved before project approval or remain as a first disbursement condition.

11. Ex post evaluations may be carried out by smaller teams of experts but require more flexibility on time allocation per project. Time elapsed between project termination and ex post evaluation is a factor to be considered, as local information on projects that ended several years earlier may not be available. However, longer periods between termination and evaluation offer a better perspective on development achievements. It is also important to request a summary of actual expenditures as part of the completion report to facilitate evaluation.

12. The transfer to the community enterprises of the infrastructure and pertinent goods acquired with project funds must be executed as an obligation of project completion procedures.
Synthesis Report on Ex-Post Evaluations

Overall Evaluation of ITTO Community Forest Management Projects (Bolivia, Ghana, Panama, Peru, Philippines and Togo)

Prepared for the ITTO by Marc J. Dourojeanni and Juan E. Sève²

1. Context

1.1 Background

This overall evaluation was carried out in fulfillment of a decision of the Thirty-seventh Session of the Committee on Reforestation and Forest Management in Yokohama (November 2005) to carry out ex-post evaluations of seven completed ITTO projects related to community participation in forest management and reforestation, and to provide a concise diagnosis on the selected projects so as to point out: (1) successful and unsuccessful outcomes; (2) the reason for successes and failures; (3) the contributions of the projects towards ITTO’s Objective 2000 and the ITTO Yokohama Action Plan; and (4) to draw lessons that can be used to improve similar projects in the future. The selected projects for the ex-post evaluations and for this overall report are briefly described in Table 1.

Table 1. Projects that were subject of ex-post evaluation

<table>
<thead>
<tr>
<th>Project number</th>
<th>Full name of the project (Country and location)</th>
<th>Total &amp; ITTO costs</th>
<th>M/Y Init.*</th>
<th>M/Y Com.**</th>
</tr>
</thead>
<tbody>
<tr>
<td>PD 44/99 Rev.2 (F)</td>
<td>Implementation of a Management Plan by the Chiquiacá and Orozas Communities in Tarija (Bolivia)</td>
<td>505,439 285,589</td>
<td>06/01</td>
<td>06/04 (11/04)</td>
</tr>
<tr>
<td>PD 48/98 Rev.1 (F)</td>
<td>Reforestation of the Abutia Plains by Indigenous Communities in the Volta Basin (Ghana)</td>
<td>712,088 576,188</td>
<td>12/99</td>
<td>12/03 (03/05)</td>
</tr>
<tr>
<td>PD 49/98 Rev.1 (F)</td>
<td>Participatory Tropical Forest Development by Women in Indigenous Communities in Wombong (Ghana)</td>
<td>833,334 589,534</td>
<td>07/00</td>
<td>09/03 (03/05)</td>
</tr>
<tr>
<td>PD 37/95 Rev.2 (F)</td>
<td>Management of Cativo Forests and Non-timber Products with the Participation of Rural and Indigenous Communities in Darién (Panama)</td>
<td>1,585,667 1,042,667</td>
<td>09/96</td>
<td>12/01 (02/02)</td>
</tr>
<tr>
<td>PD 38/99 Rev.1 (F,I)</td>
<td>Demonstration Community Forest Management in the Natural Cloud Forests of the Urumbe Basin in San Ignacio (Peru)</td>
<td>623,100 443,100</td>
<td>10/99</td>
<td>09/01 (02/02)</td>
</tr>
<tr>
<td>PD 21/97 Rev.2 (F)</td>
<td>Developing Tropical Forest Resources through Community-Based Forest Management in Nueva Vizcaya (The Philippines)</td>
<td>957,135 913,285</td>
<td>07/98</td>
<td>12/01 (09/02)</td>
</tr>
<tr>
<td>PD 9/99 Rev.2 (F)</td>
<td>Sustainable Management of Missahoé Reserved Forest Forestry Resources with the Participation of the Local Rural Communities for an Optimal Timber Production in Kpalime (Togo)</td>
<td>508,994 384,524</td>
<td>11/99</td>
<td>11/02 (04/03)</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td>5,725,757 4,234,887</td>
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Notes: * ITTO official dates of project initiation. Dates reported by executing agencies rarely are coincident. **ITTO official dates of project completion. In parentheses are the effective dates of project completion, including formal project extensions.

These projects were initiated between 1996 and 2001 and effectively completed between 2002 and 2005. The total cost of the seven projects amounted to US$5,725,757 including the equivalent of US$1,490,870 provided by national forestry agencies, non governmental organizations and project beneficiaries. ITTO’s direct contribution to these projects was US$4,234,887 not including either first phases or project preparation costs.

1.2 Terms of reference

The terms of reference for the evaluation of the seven selected projects required the preparation of a synthesis on the following items:

² With the support of Carlos Rodríguez Chang (Bolivia, Panama and Peru), Baharuddin Haji Ghazali (The Philippines) and Astrid Bergqvist (Ghana and Togo).
1. Assess the overall role and meaningful contribution of the seven projects in achieving the community participation in sustainable forestry management in ITTO Producer Member countries taking into account ITTO’s objectives, Yokohama Action Plan, and Objective 2000.

2. Assess the potential and actual contribution of the seven projects to ITTO’s sustainable forestry management work.

3. Evaluate the overall impact on and relevance of the seven projects for the forestry and environmental authorities, executing agencies, the forest industry and conservation sector and local communities being served and the countries concerned.

4. Evaluate the overall attainment of the objectives and assess the overall effectiveness of the seven projects.

5. Evaluate the overall appropriateness of the costs and cost structure and use of resources within the seven projects.

The terms of reference also requested recommendations on:

1. The need for similar projects in the future.
2. The objectives of such future projects.
3. Innovative approaches/designs for projects aiming at community participation in sustainable forestry management.
4. Appropriate target groups, e.g., countries, government, organizations, forestry sector, local communities, etc.
5. The organizational arrangements of the projects.
6. Follow-up and evaluation practices.
7. Supplemental, alternative activities, processes, procedures, and/or follow-up programmes in the field of community participation in biodiversity conservation, if appropriate.

1.3 Methodology

The methodology applied for the preparation of this overall evaluation has been conventional. The main author acted as team leader of the ex-post evaluation mission for the seven selected projects and was given the opportunity to visit each one (the Latin American projects from June 11th to July 1st, 2006, and Asian and African projects from July 21st to August 20th, 2006) in company of the co-author and of one of the three additional consultants, appointed on the basis of their regional experience. In addition to the ex-post evaluation reports, that are the baseline for the overall appraisal, the consultants had access to most relevant information available on each project.

To some extent, the emphasis of the appraisal has been placed on the following themes: (1) overall achievement of development objectives of the projects in terms of actual and potential, and direct and indirect benefits to targeted local populations; and (2) sustainability of the actions, outputs or products of the projects. In the preparation of this report it was intended to draw a clear distinction between, on the one hand, the achievement of the so-called “development” or “general” objectives including the specific objectives and, on the other, the achievement of “results, outputs and/or products”. The authors decided to emphasize these aspects due to the early recognition that most projects were fairly efficient at executing expected results, outputs or products, but were unable to achieve their development objective and rarely their specific objectives. It became evident that the completion and accumulation of results, outputs and/or products does not warrant the achievement of essential project objectives.

The consultants spent an average of 5 field work days per project and kept a balance between meetings with national or local forestry authorities, executing agencies, target communities, and other national or local stakeholders. The meetings with direct beneficiaries were replicated with most of the communities participating in projects when all beneficiaries were not able to fully assemble. One of the meetings had over 300 participants but most of them had an attendance bordering 40 people, which facilitated the dialogue. The forests and the plantations were visited as intensively as distances, time and weather allowed. However, it has been evident that plantations over hundreds and often more than a thousand hectares, spread over a large territory, cannot be fully inspected during evaluation missions. This aspect, as well as the status of the recuperation of degraded forests, has been difficult to assess due to the generalized lack of maps showing plantation locations and of factual baseline information on the pre-projects situation.
1.4 Brief description of the projects

Despite many evident similarities, the projects show important differences and cannot easily be compared. Table 2 summarizes some of the main similarities and differences of the projects. The key common elements are: (1) to address natural forest resources management and/or reforestation; (2) to address direct long-term social and economic development of local poor farmers or indigenous, often tribal people, through their direct involvement in these activities; (3) to deal with mostly residual protection forests or forest lands that are usually already highly degraded by past abusive uses; and (4) to be included in buffer zones or nearby protected areas.

In contrast, the differences among projects are, in some cases, substantial: (1) Orozas and Chiquiacá in Bolivia, Urumba in Peru and Darién in Panama were essentially focused on natural forest management; (2) Abutia and Worobong, in Ghana were exclusively oriented to reforestation, while; (3) Nueva Vizcaya in The Philippines and Missahoé in Togo were a mix of both alternatives; (4) the project in Bolivia was, for all practical purposes, two projects in one; (5) as opposed to all others Panama’s project was essentially a research project; (6) five out of eight projects (considering Orozas as a second Bolivian project) have been executed by NGOs, including as such the Smithsonian Institute of Panama; (7) four of the projects were a second phase (Urumba, Nueva Vizcaya, Abutia, Worobong) totaling a much longer presence of ITTO financed operations in the field (7 to 10 years) than in those benefited by a single project phase (in principle only 3 to 4 years); (8) the Latin American projects were developed in very distant and difficultly accessible locations, while the African and Asian projects were easily accessible and; (9) the time elapsed between project completion and ex-post evaluation varied from 5 years (Darién) to less than a year (Abutia).

The subsequent review and discussion of the results of the selected projects will provide more information on each project’s characteristics, as required. For more detailed information see the respective project documents, completion reports and, especially, the ex-post evaluations that are available on the ITTO web site.

### Table 2. Main similarities and differences among evaluated projects

<table>
<thead>
<tr>
<th>Facts/Projects</th>
<th>Orozas</th>
<th>Chiquiacá</th>
<th>Urumba</th>
<th>Darién</th>
<th>N. Vizcaya</th>
<th>Missahoé</th>
<th>Abutia</th>
<th>Worob.</th>
</tr>
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<tbody>
<tr>
<td>General objective</td>
<td>forestry activities developed by local communities to improve their own social &amp; economic welfare</td>
<td>Forest improvement and management in the rural and local level</td>
<td>Mostly management of natural forests &amp; to a lesser extent reforestation</td>
<td>Research Watershed Managnt.</td>
<td>Forest land and forest rehabilitation</td>
<td>Forest land and forest rehabilitation</td>
<td>Forest land and forest rehabilitation</td>
<td></td>
</tr>
<tr>
<td>Specific objectives</td>
<td>Timber marketing improvement, species diversification</td>
<td>Information, effective participation, organization, training and empowerment of local people</td>
<td>Forest management</td>
<td>Research Watershed Managnt.</td>
<td>Forest land and forest rehabilitation</td>
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<td>Strategic objective</td>
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<td>Information, effective participation, organization, training and empowerment of local people</td>
<td>Forest management</td>
<td>Research Watershed Managnt.</td>
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<td>Forest types</td>
<td>Often highly degraded mature protection forest and/or secondary protection forests and denuded forest land</td>
<td>Denuded forest land and/or very degraded production forests</td>
<td>Denuded forest land and/or very degraded production forests</td>
<td>Denuded forest land and/or very degraded production forests</td>
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<td>Protected area status</td>
<td>Most project are located in protected areas, their buffer zones or in the vicinity of protected areas</td>
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<td>Benefited communities</td>
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<td>Farmers</td>
<td>Farmers</td>
<td>Tribal &amp; afro-amer.</td>
<td>Farmers</td>
<td>Tribal &amp; afro-amer.</td>
<td>Tribal &amp; tribal farmers</td>
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<td>Poor</td>
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<td>Gov.</td>
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<td>36 months</td>
<td>24 months</td>
<td>48 months</td>
<td>36 months</td>
<td>36 months</td>
<td>48 months</td>
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<tr>
<td>Duration (effective)</td>
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<td>41 months</td>
<td>26 months</td>
<td>67 months</td>
<td>38 months</td>
<td>41 months</td>
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**Notes:** * a previous project preparation facility; ** a project not realized in the same area

### 1.4.1 Bolivia (Orozas and Chiquiacá)

This has been the follow up of a previous project not financed by ITTO. Its objective was to facilitate the implementation of a community forest management system by members of the Chiquiacá and Orozas communities to consolidate their rights to access local forest resources, and to facilitate timber and timber products commercialization thus improving their living conditions. Specific objectives were: (1) to implement systems and technologies for the utilization of forest resources that are legally, socially, economically and ecologically sustainable; and (2) to diversify the supply of timber in the regional, national and international markets. The executing agency was PROMETA, an important and well established NGO operating in the region of Tarija since 1990. The community of Orozas has been, for a long time, the home of a carpentry cooperative (Aniceto Arce) that claims to be the legal owner of a patch of 1,000 ha inside the eastern part of the Tariqúa Flora and Fauna Reserve (established in 1989, covering 245,870 ha). The community of Chiquiacá is located on the border of the same Reserve but on its western side and is claiming access to utilize an adjacent area of natural forest. Both communities had been unlawfully exploiting these forests for...
long time. Thus, the project was aiming at legalizing their activities in application of the forestry legislation that warrants local communities’ access to forest resources.

The project results can be summarized as follows: (1) the Chiquiacá community organization (ASL Virgen de los Ángeles) and the Orozeña Handicraft Association were legally recognized; (2) forest management plans for the Chiquiacá (2,705 ha) and for the Orozas (944 ha) communities were prepared, submitted to the forestry authorities and partially approved; (3) a request for expansion of the rights of the Chiquiacá community over an additional 4,376 ha was submitted to the forest authority; (4) logging equipment was provided to both community cooperatives and wood processing equipment was provided to the Orozeña Handicraft Association; (5) three small forest nurseries were established and some 10,000 seedlings were planted; (6) training on organization, logging, silviculture and marketing was offered to both communities; and (7) two studies regarding timber markets and demand were prepared.

The ex-post evaluation confirmed these results but found out that: (1) the forest authorities, for different reasons in each case, did not grant the rights or permits for the utilization of the forests and either did not approve or only partially approved the management plans; (2) consequently, none of the objectives were achieved, in fact, they were not even tested; (3) enrichment plantations were made in the Orozas property but only a reduced part of it survived to pest attacks and grazing; and (4) logging equipment and wood processing equipment provided to the Orozeña Handicraft Association is not being utilized. Additionally, the prepared management plans were deficient and would not ensure sustainable economic or ecological results. Even less, considering that local forest are from a technical standpoint, essentially almost inaccessible residual protection forests, imposing high production costs and serious ecological risks.

Local people are frustrated. However, they still hope a solution will be provided. PROMETA is still looking for the welfare of the communities and, in the case of Chiquiacá, this ONG has been able to find additional resources to assist them in developing their agricultural possibilities.

1.4.2 Ghana (Abutia)

The Abutia Plains are located near the city of Ho, in a Sub-Sahelian region. The development objective of the project states “to support community based reforestation to arrest and reverse the deterioration of tropical forests”. Its specific objectives were: (1) to implement a reforestation plan to rehabilitate 1,360 ha of degraded forest land using teak and fruit trees; and (2) to support the development of indigenous capacity to protect and manage community forest resources. The executing agency was AFERM, an NGO that has been operating in the Volta region since 1994, with the support of the Forestry Commission (FC). The intended beneficiaries are traditional tribal communities with a complex relation to the land and land-use rights. The project area is a patch of some 1,400 ha, obtained under a 75-year contractual agreement from a traditional chieftain, bordering on the Abutia Hills Forest Reserve on one side and with the Kalapka Game Reserve on the other.

Claimed results were: (1) the planting of 750 ha of pure teak stands; (2) 600 ha of agro-forestry plantations of teak, Cassia and fruit trees; (3) the plantations were to be supported by 3 small size dams, an office and 8 forest nurseries; and (4) training of local population in all aspects of forest plantation management. Additionally, snail and grass cutter production units would be established. The project document strategy stated the establishment of a Forest Fund, the thinning of teak and the harvest of fruit trees in order to compensate the participants, and to pay for the forest maintenance before harvest.

The facts as observed by the mission are: (1) it is not evident that 1,350 ha of plantation were really established; (2) only few small plots of planted areas show an acceptable growth for their age while most of the plantations have been abandoned since before the end of the project, and the trees show a pitiful condition; (3) the plantations were not maintained (weed control, protection against fires, pruning or thinning); (4) most fruit tree plantations were reported destroyed by fire; (5) all nurseries but one seem to have been abandoned and, (6) the Forest Fund has not been established. The resulting situation is that as of today there are no benefits to share, and a general disappointment on the part of the community members who participated in the project is quite obvious.

There are many reasons for such an unsatisfactory performance including: (1) very deficient project design with little consultation with future beneficiaries before project approval by ITTO; (2) conflicts between the executing agency and the landlords over the area to be planted; and (3) authoritarian management of the project by the executing agency with little consultation with the FC.
1.4.3 Ghana (Worobong)

This project is considered a second phase of the project “Women and tropical forest development program” that was developed also by the DWM, an NGO, as executing agency in close collaboration with the FC. Its specific objectives were: (1) to strengthen community organizations and local institutions to achieve sustainable forest management; and (2) to establish 1,200 ha of community plantations in mostly highly degraded forests and forest land. It has been carried out with people from 6 communities within the limits of the Worobong Forest Reserve (some 11,000 ha) located in the Fanteakwa District. The population from the communities that are practicing shifting cultivation in the Reserve is made up mostly of Krobo farmers from a nearby region where most of them own their permanent traditional residences. Otherwise the land tenure in the Reserve is complex as there are indigenous groups and also traditional landlords. The portion (around 20%) of the Forest Reserve that still possesses mature natural forests is being logged (20m³/ha) on the grounds of concession rights based on an outdated management plan. The main expected outputs of the project were: (1) strengthening of the DWM; and (2) planting of 800 ha of teak in pure stands and of 400 ha in agro-forestry alternatives.

After a year and a half of implementation it became evident that the target of 800 ha of pure teak stands was unviable and the total plantation target was reduced to 700 ha, mostly with other species, and the resources were redirected to acquiring 5 cassava processing machines and the installation of 64 small snail production units. The project contained important elements to promote constructive dialogue and participation with local people, with special emphasis on the women’s empowerment through meetings, seminars and especially training in technical matters such as nursery management, planting and fire control.

The project achieved 660 ha of planted forests, a portion of which is teak located in poor soils; these plantations are in precarious condition. However, the bulk of plantations with other species (mostly Cedrela, Ceiba and Terminalia) on better soils have had outstanding results, and also, where teak failed, there were good results with Cassia. The reassignment of funds to cassava processing and snail production, especially in women’s hands, was successful in providing incomes to local people and, in spite of little forest maintenance, the well trained fire brigade and the new local behavior with regard to fire, have prevented most accidents until today. The project can be considered a partial success, probably as a consequence of the opportune change of its initial disproportioned objective of planting a large extent of teak, a species clearly not suitable to most Worobong site conditions.

The main positive features of this project are: (1) women involvement and empowerment; (2) success of a significant portion of the forest plantations; (3) adequate fire control and evident regeneration of natural vegetation, and better moisture conservation in the area; and (4) sustaining the interest of community members in the project goals despite lack of direct incomes from the forest, and inconveniences caused by the shade of planted timber trees on their crops.

The main issues, as in other plantation projects, are: (1) the lack of tangible economic benefits that compensate farmers for the inconveniences of planting forests in crop areas; (2) poor site selection for teak and a generalized lack of maintenance of the planted forests (weeding, pruning, thinning); (3) lack of clear and up-front determination of the sharing of benefits; (4) poor strategic planning regarding the sequence of tree and crop planting to cause less disturbance to farmers and to offer them sustained incomes for forest maintenance after project completion; (5) discontinued forest planting and nursery production after end of project; and (6) absence of a management plan for the Forest Reserve that should include, among other considerations, the tree planting actions and putting an end to logging in the residual natural forests.

In brief, the Ghanaian Worobong project may be considered an important partial success with very good possibilities of achieving its development objective, provided the activities launched by the ITTO project are redirected and maintain continuity for a few years more, until the first incomes from forest thinning and fast growing species can be obtained.

1.4.4 Panama (Darién)

The development objective of this project was to manage the cativo (Prioria copaifera) and some non timber forest products, especially the palms tagua (Phytelephas semanni) and chunga (Astrocaryum standleyanum) of Darién, generating information to develop programs aimed at improving the living conditions of rural indigenous communities and strengthening their capacity to manage forest resources and favor the

3 Another species has been included in the project: the cocobolo (Dalbergia retusa) that is used by indigenous people for wood carvings.
conservation of the natural heritage of the region. Two specific objectives were planned: (1) to generate information on the total area covered by cativo forests, their dynamics and growth patterns under different conditions and to promote their management through demonstration models based on the CELOS system; and (2) to strengthen the harvesting, processing and marketing of the local communities through management and propagation of non timber forest products in consonance with the conservation of biodiversity.

The executing agency has been the INRENARE (today the ANAM) with direct participation of the STRI, a branch of the Smithsonian Institution. The project is located relatively near the Darién National Park and one of the plots was located inside the Canglon Forest Reserve. The target beneficiaries were Emberá and Wounaan indigenous communities, especially as related to non-timber forest products, and mestizo and black-Panamanian communities regarding cativo. The expected products of this project can be summarized as follows: (1) scientific information on the biology, ecology and management of the cativo, including distribution maps; (2) preparation of a participatory management plan for cativo forests; (3) start-up of a 200 ha pilot sustained cativo forest management plan based on the CELOS system; (4) training in several aspects related to the management of cativo and other species; (5) publication of a cativo management guide and of scientific papers on this and other species; (6) involvement of the communities in the sustainable management of the forest resources; and (7) research and implementation of practices aimed at ensuring the sustainable production of tagua and to a lesser degree of chunga and cocobolo.

Most results, or products, or outputs were achieved in one degree or another. The scientific products of the project were relevant. However, at present there is no management of the remaining cativo forests or of other species used as non-timber products, which are irrationally exploited like in the past. Additionally, no tangible benefits to the local population can be attributed to the project. The today scarce cativo was once the key raw material for domestic plywood production, which has largely been replaced by imports. The experimental management plots have been abandoned as were nurseries and other project outputs. Obviously, excepting a better understanding of the necessity to preserve forests, the local population obtained no benefit whatsoever from this project. Their deception was obvious and reiterated at every community meeting. Additionally, as most results were not published or translated into Spanish, their use has been very limited even among national forestry professionals.

1.4.5 Peru (Urumba)

This project is the second phase of Project PD 42/92 Rev. 1 (F) “Reforestation, management and sustainable use of mist natural forest in Jaén, San Ignacio”. Its development objective was to increase the standard of living of the population of the Urumba watershed through its organization and participation in the sustainable management of the forest resources. Its specific objectives were: (1) to sustainably manage the forests through the participatory implementation of a pre-existent forest management plan and, (2) to test the technical, economic and social viability of natural forest management by an organized local community. It was developed directly by a team appointed by the INRENA, the national forestry authority. The location of the target community and, especially of the forest, is remote and of very difficult access.

The main expected project outputs or products were: (1) implementation of a 10,000 ha management plan, including installation and maintenance of seven forest management plots; (2) a network of trails for mule skidding fully operational and two teams trained in low impact logging techniques; (3) training of villagers in several aspects of forest management and reforestation; (4) improvement of environmental awareness, (5) establishment of five communal agro-forestry committees; (5) production of 43,000 seedlings, planting of 124 ha, and maintenance of 250 ha of existing plantations; (6) extraction of 1,500 m³ of wood from the managed forest; (7) production of 1,050 m³ of sawn timber in a Centre of Training and Production located at La Bermeja and of 750 m³ of wood products manufactured and marketed at the Centre for Furniture Assembling and Marketing in Jaén; and (8) a community enterprise fully consolidated and self sufficient. The most important outputs were not achieved as the forestry authority (INRENA) was not able to provide community access to the forest resource and did not approve the management plan either. Outputs not depending on the access to the forest, such as structures, equipment, training and sensitization, creation of the community enterprise, and seedling production and planting were achieved.

The expected post project situation was: (1) a fully operational management plan being applied by the community enterprise; (2) a strong and consolidated community forest enterprise; and (3) improvement of the incomes of the community. Reality as seen, was very different: (1) the management plan was not applied and, even if it had been, it would not ensure either economic or ecological sustainability; (2) logging and sawmill equipment was utilized only at an experimental level as only 243 m³ of wood were harvested, 184 m³ of sawn wood were processed and 40 m³ of goods were marketed; (3) forest nurseries as well as most small
patches of forest plantations were abandoned and/or destroyed by fire; (4) the forest to be managed is being invaded by shifting cultivators; (5) the large facility established at the Centre of Training and Production of la Bermeja is abandoned and the equipment is either abandoned or has been moved to Jaén; and (6) the community enterprise is not making profits. The members of the community and in particular those participating in the Empresa Comunal de Servicios Forestales y Agropecuarios La Bermeja S. R. L. are deeply frustrated, and serious divisions among them are obvious despite commendable efforts of a small group of leaders to save the idea and to move ahead.

Curiously, the small agro-forestry component was successful in promoting the use of a new variety of coffee that produces three times more than the one traditionally used in the area, greatly improving farmers’ revenues. Also, the project’s staff presence in the small village was instrumental in obtaining the construction of an access road, the installation of a medical facility and several other deeply needed improvements. Additionally, a grant of US$173,000 was obtained for the community enterprise in Jaén to improve its commercial capacity.

1.4.6 Philippines (Nueva Vizcaya)

The main objective of the project was to improve the productivity of degraded land and regenerating forest lands through the national policy known as Community-Based Forest management (CBFM), complemented by the application of research-validated methods. Its specific objectives were: (1) to establish forest plantations and manage the regenerating and mature natural forests; and (2) to manage forest resources through the CBFM strategy. The project was the second phase of Project PD 130/91 Rev. 2 (F) “Plantation establishment methods” also financed by ITTO. It was executed directly by the DENR. It is developed in a 3,000 ha watershed located in Buenavista (Bayombong, Nueva Vizcaya). The beneficiaries are members of the three local communities reunited in the FHKKUFI, a federation legally recognized as a rural enterprise.

The main expected outputs of the project were: (1) maintenance of 100 ha experimental plantations established in the previous project, the planting of at least 100 more ha and to establish at least 100 ha of regenerating natural forests under silvicultural treatment; (2) at least 1,500 ha of mature and secondary dipterocarp forests protected and managed for production of timber and non-timber products; (3) about 1,300 ha of grassland and bush land placed under management by organized communities for development and productive uses; and (4) at least 3 community organizations formed and one forest-based community enterprise organized.

The project was successful in achieving most outputs or products but it was not yet able to provide the additional economic benefits expected by the local population. This is to some extent because it was decided to postpone forest utilization and also because the plantation forests are too young and are not growing as expected. Some evident benefits of the project for local people, such as increasing water flows and reduced soil erosion, are a consequence of relatively successful forest protection against fires. Also, agro-forestry practices as well as forest plantations are being applied by some community members. In contrast, the proposed management plan is too general to be considered useful for effective management of the natural forest.

In conclusion, this project achieved almost all its outputs and products, but not its main objective. Until know natural forest management for production as well as quality forest plantations are a good possibility but not a reality.

1.4.7 Togo (Missahoé)

This project has been the result of a 9-month project preparation facility funded by the ITTO. The development objective of this project was to improve national timber production by reconstituting and managing public forests through the active participation of local communities. Its specific objectives were: (1) to restore the Missahoe Forest Reserve (established in 1953) and adjacent forest resources through tree planting and agro-forestry practices; and (2) to sustainably manage them through community participation. The project area (around 1,100 ha within the Forest Reserve) is located in a mountain range near the town of Kpalimé (Kloto prefecture). Eleven local communities and around 20,000 people are located in the project area and surroundings. The Forest Reserve has been heavily logged and the remnant forests have been progressively eliminated by successive waves of intruders practicing shifting cultivation or planting coffee and cacao. In 1999 the forest was almost denuded of vegetation and submitted to frequent fires and practically all its drainages were dry most of the year. The project has been executed directly by the forestry government agency (DPCEF) with some initial support (preparation phase) from a local NGO.
The main project activities were: (1) consensual confirmation of the limits of the Reserve; (2) planting of 200 ha of pure forest stands, enrichment planting of 100 ha and agro-forestry planting of 150 ha; (3) strict protection of 150 ha of remaining natural forests; (4) logging of 3,000 m³ of timber in natural forests; and (5) the rebuilding of some 6 km of trails to facilitate log extraction and planting. Nurseries were planned to be established in the participating communities. To achieve community participation a series of consultation meetings, seminars and training events were conducted.

The achieved results include: (1) the consensual demarcation of the Forest Reserve and of five areas to be used by farmers; (2) the planting of 596 ha in the Reserve and of 288 ha in its vicinity⁴, mostly with Terminalia, Cordia and Khaya; (3) the training of 350 persons; (4) the preparation of a management plan for the Reserve; and (5) the construction of an 80 m² office. The logging operation and the trail restoration were not implemented because unlawful logging was carried out before project's actual startup⁵.

This project, as all others, has failed in achieving its development objective that can only be attained when new forests will be harvested. Also, at the present moment, the project has not produced any measurable direct economic benefit to the participating communities. However, it had several important and distinctive features and results: (1) it was better planned, in technical terms, than any other reviewed project and it carefully matched the interest of the forest authority with those of the community farmers; (2) it is the only project that planned and executed the establishment of a Forest Fund to attend plantation maintenance after project completion; (3) most visited plantations were of good quality demonstrating better than expected growth rates; (4) there is unanimity in recognizing that in the period between project initiation and the present moment, the hills’ vegetation has been better preserved from fires and has significantly recovered, generating permanent water flows in many previously dry creeks; (5) the management plan prepared for the Missahoé Forest Reserve, while incomplete, is conceptually sound; (6) as a project it has been highly cost/effective as it has achieved important tasks with one of the smallest ITTO grants among the evaluated projects (US$384,525); (7) it has been able to generate two additional projects [US$75,000 for “cure-dent” (Garcinia spp.) planting⁶ and US$10,000 for butterfly production]; and (8) at least one women’s association has taken charge of a small forest nursery and is making profits by selling plants to neighbors. In synthesis, this project offers clear and good possibilities for success if the forest authorities and the local population maintain their current commitments.

The main pending matter in this project in addition to complement the funding of maintenance costs by the communities (in cash through the Forest Fund and personal work) is the determination of a fair distribution of benefits between the government agency and the farmers. A nation-wide decision of a 15% share for the communities is definitively inadequate in this case considering the high level of involvement of local people.

### 2. Main findings of the evaluations

#### 2.1 Evaluation of original project documents

The design of the projects under scrutiny has been the origin of most detected problems that, ultimately, resulted in their unsuccessful outcomes. Several deficiencies must be noted and can be grouped as follows: (1) unrealistically ambitious development and specific objectives especially with regard to the projects’ budgets and implementation periods; (2) programmed outputs or products not adequately correlated to the objectives; (3) absence of, or insufficient consideration of the economic viability of proposed ventures; (4) weak analysis of forestry and environmental technical issues; (5) absence of quantified technical baseline information on project sites; (6) limited community participation during project preparation; and (7) inconsistent and generally useless logical frameworks. Altogether these deficiencies resulted in proposing and applying unviable strategies. Of course, not all these deficiencies are to be noted jointly in each evaluated project. Some of them were much better designed than others, especially Nueva Vizcaya and Missahoé.

Two of the above-mentioned problems (economic analysis of proposed ventures and technical forestry issues) will be discussed in other sections. Suffice to say at this point that the deficiencies regarding these aspects had a direct incidence in the often erroneous or over-simplistic strategies adopted to solve the identified problems.

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⁴ Most forest plantations and, obviously, agro-forestry operations involved very open spacing, explaining the large area of planting achieved. Thus, it is not evident that the planted area has significantly exceeded the initial objective.

⁵ Apparently there was also an overestimate of the available timber volume that was mostly found in inaccessible ravines.

⁶ The planting of Garcinia is an excellent option to generate early revenues in forest plantation projects. It grows very fast and its national market is enormous.

/ . . .
A characteristic of most project documents is the overly ambitious description of development and specific objectives. The Urumba project provides an example of this, stating as general objective “to increase the standard of living of the population of the Urumba watershed...”. The fact is that this project deals with only a small portion of the watershed and an even a smaller portion of its population. Similar excessively ample objectives were noted in the Darién, Missahoe, and Nueva Vizcaya projects. In other cases, such as in the Ghanaian projects, the excesses are numerical, such as proposing the planting of more than a thousand hectares in a brief period of time. It follows from the above, as will be evidenced in this report, that there is no correlation between stated objectives and programmed outputs, products or results. The correlation of such ambitious objectives with available financial and technical resources and project duration is even weaker.

The less successful projects were, undoubtedly, those where community participation during project preparation was minimal. This is evident when comparing the failure of Abutia and the relative success of Missahoe and Worobong. These last two projects, especially Missahoe, had excellent pre-project community participation. Community participation is important to provide local people with a sense of ownership, but it is essential to select the project strategy.

A common deficiency of original project documents has been the lack of baseline information on the social, economic and ecological aspects of the projects. Often, the socio-economic studies, including those referred to marketing, were a product of the project instead of being an input for their preparation (Abutia, Worobong, Orozas/Chiquiacá, Urumba). Additionally, the pre-project situation in terms of soil degradation, forest types' areas, deforested areas, and equivalent socio-economic information were rarely quantitatively documented making it very difficult to evaluate claimed progress made with the projects.

The logical frameworks of the reviewed projects often failed in many aspects regarding verifiable indicators, means of verification and also in proper characterization of assumptions. The indicators were often purely qualitative instead of being, as required, essentially quantitative and time-related. Means of verification were mostly limited to reports that were also mostly qualitative. In general, as prepared, the logical frameworks were not useful for project management or project evaluation. As an example, in the Bolivian and Peruvian projects the assumption has been that the forestry agencies would provide, without delay or difficulty, the rights for forest utilization to the target communities. This never happened.

In spite of the above mentioned deficiencies the seven projects were designed well enough to be approved by ITTO committees, after adopting some modifications. This has been mentioned in one of the project completion reports (Worobong) as “a proof” of the rationality of the project design.

### 2.2 Evaluation of projects’ execution (efficiency)

Efficiency, in this section, is evaluated only in terms of project execution conducting to products or outputs, but not in terms of the quality or sustainability of the results nor in terms of achievement of development objectives. So considered the evaluated projects were all efficient and showed an acceptable cost/benefit relation. Expenditures were proportional to outputs or products. In most projects the costs of staff was high or very high with regard to other expenses but this is explainable as professional staff was absolutely essential for project execution. Other costs, such as those of planting trees, include the payment of workers, usually the beneficiaries themselves. The regional offices of some of the executing agencies offered adequate to excellent support to field activities (Nueva Vizcaya, Missahoe, Worobong).

#### 2.2.1 Techniques applied

Techniques applied in the projects for the social engineering were traditional but well tested in past similar operations everywhere. When correctly applied, as in all projects except Abutia and, to some extent, Darién, the results were excellent, often exceeding expectations.

The techniques applied to develop the forestry aspects of the projects were not as successful, especially regarding management plans and site and species selection for reforestation. The management plans for natural forests as well as for forest plantations were seriously deficient in all projects with the relative exception of Missahoe, where the proposed forest management plan is on the right track but needs to be completed. Site selection for reforestation has been a serious issue in the case of the Abutia, Worobong and Nueva Vizcaya projects. The selection of teak as the key species in all these projects is also highly debatable.
While project execution may have been cost/effective, this was not the case for the economic ventures proposed to the communities. The lack of serious economic considerations for the forest businesses promoted by the projects is a decisive cause of the failure in achieving sustainability and, obviously, the development objective.

2.2.2 Project Management, financial management, administration

All projects fulfilled the obligation of establishing community committees or councils, community enterprises if so planned, and a steering committee for the management of the project. Except in Abutia, these mechanisms operated well, providing a bottom to top perspective as well as a generally timely top to bottom reaction. Regional stakeholders were rightly incorporated in most steering committees, providing ideas and support that were especially noticeable in Nueva Vizcaya. Women were heavily involved, even in leadership roles, in several projects (Chiquiacá, Nueva Vizcaya, Missahoé) but especially in Worobong.

The periodic and final audits revealed no meaningful issues regarding the financial management of the projects. Equipment or infrastructures financed by the projects were seen by the evaluation team; some of them were abandoned (Urumba), underutilized (Urumba and Orozas) or not well maintained (Abutia, Orozas). Vehicles and electronic equipment were usually transferred to the regional forest authority's office but other equipment items are usually in the hands of the beneficiaries. However, handing over of equipment to local beneficiaries has not always involved a legal transfer (Urumba). Some doubts may be raised about the real costs of some equipment and installations, as well as services payments, but the mission had no opportunity to confirm its concerns on this matter.

As previously stated, some of these projects were located in very distant regions (especially Urumba and Darién), implying long journeys by air, road or boats to reach the project areas. Others were conveniently located not so far from capital cities and other relatively large towns such as the projects in Nueva Vizcaya, Worobong, Missahoé and Abutia. The projects in Bolivia had an intermediate situation. In every case the project administration has been located as near as possible to the project area. Nevertheless, the costs of transportation and allowances of project staff were high. No major administrative difficulties were registered.

2.2.3 Governments and/or NGOs as executing agencies

The projects are all governmental in nature. ITTO signed the agreements with the respective national forestry authorities. However, as previously mentioned, in 4 of the 7 projects, the designated executing agency has been an NGO. Two of the 3 comparatively most successful projects (Missahoé and Nueva Vizcaya) were directly executed by governmental forestry agencies and the third (Worobong), while executed by an NGO, was strongly supported by the forestry agency. One of the two less successful projects (Urumba) was carried by the forestry agency, however through a somewhat independent arrangement. The other clearly unsuccessful project (Abutia) was executed by an NGO.

From the above results it is not easy to draw a general conclusion on the convenience of having forestry governmental institutions or NGOs as executing agencies. However, it seems that in general the forestry agencies were more efficient than NGOs. Success stories were heavily associated with a better quality of the technical inputs and the absence of conflicts between the forestry agency and the NGO and/or the lack of governmental support to NGOs initiatives. The Bolivian project lacked a clear back up from the Government and the same was seemingly the case of the Darién project. In Abutia, the uncomfortable relationship between the forestry agency and the NGO executing the project has been clearly documented as a cause of failure.

2.2.4 External factors: Unexpected problems or circumstances

There were few unexpected problems that affected the evaluated projects. These included some natural disasters such as a typhoon's impact on new plantations (Nueva Vizcaya) and an exceptional drought in Abutia. However, the main negative impacts were caused in the Bolivian and Peruvian projects by the lack of decision on the part of the forestry authorities regarding community access to forest resources, which drastically hampered the viability of these projects. Land-related issues affected negatively the Abutia project as the landlords decided they must receive an up-front payment after signing a 75-year lease agreement that had no provision for such payment. Probably, the most serious external factor registered has been the radical and unexpected opposition of the Catholic Church in the Jaén province of Peru against the management of natural forests proposed in the Urumba project. The Church used the press against the project and was instrumental in causing internal divisions among community members regarding the project,
propagating the concept that “to cut a tree is a crime”. Finally, it may be also worth mentioning the loss of commercial value of the cativo in Panama, which reduced the potential value of the Darién project.

2.3 Evaluation of project results, products or outputs (effectiveness)

2.3.1 Programmed results, outputs or products

As mentioned in the previous chapter, despite being in some cases much less than expected, the evaluated project results, outputs or products, were those that were roughly expected. Table 3 contains a summary of the main proposed results of each project as included in the respective Project Documents. The degree of completion estimates that are indicated in table 3 are based on the results as presented in the Project Completion Reports modified on the basis of observations made during field missions and reported in the ex post evaluation reports. The main problem with results is less a question of numbers than a question of quality. The quality factor has been incorporated in table 3 jointly with the quantity factor to determine the completion percentage of each product and the corresponding comments. Admittedly, table 3 may contain a certain degree of subjectivity as a detailed qualitative and quantitative examination of every aspect of the projects was just impossible.

<table>
<thead>
<tr>
<th>Project</th>
<th>Main key expected results or products</th>
<th>Achievement estimate*</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Management of Cativo Forests and Non-timber Products with the Participation of Rural and Indigenous Communities in Darién (Panama)</td>
<td>Information on cativo forest dynamics</td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Distribution maps and areas</td>
<td>70%</td>
<td>Less information than expected</td>
</tr>
<tr>
<td></td>
<td>Start up of a pilot cativo forest management plan (200 ha)</td>
<td>20%</td>
<td>Plan for 87.5 ha. Only low impact logging has been applied. Today abandoned</td>
</tr>
<tr>
<td></td>
<td>Publications (manuals and other)</td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Training of professionals and community members</td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Scientific information on tagua and other species</td>
<td>50%</td>
<td>Only for tagua</td>
</tr>
<tr>
<td></td>
<td>Experimental planting of tagua and other species</td>
<td>60%</td>
<td>Installed and abandoned</td>
</tr>
<tr>
<td></td>
<td>Involvement of local communities</td>
<td>70%</td>
<td></td>
</tr>
<tr>
<td>Developing Tropical Forest Resources through Community-Based Forest Management in Nueva Vizcaya (The Philippines)</td>
<td>Forest experiment maintenance</td>
<td>80%</td>
<td>Inadequate maintenance</td>
</tr>
<tr>
<td></td>
<td>&gt; 100 ha new forest plantations</td>
<td>80%</td>
<td>Inadequate maintenance</td>
</tr>
<tr>
<td></td>
<td>&gt; 100 ha regeneration forests under management</td>
<td>100%</td>
<td>However, not confirmed</td>
</tr>
<tr>
<td></td>
<td>&gt; 1,500 ha mature and secondary forests protected and managed for timber production</td>
<td>40%</td>
<td>No timber has been produced and management is not evident</td>
</tr>
<tr>
<td></td>
<td>1,300 ha of grassland and brush land managed</td>
<td>50%</td>
<td>Some fire protection only</td>
</tr>
<tr>
<td></td>
<td>3,000 ha of public forest land under effective community management under tenure arrangement</td>
<td>30%</td>
<td>&quot;Under effective management” is not evident,</td>
</tr>
<tr>
<td></td>
<td>&gt; 3 community organizations with Community-based Forest Management Agreements</td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Training of communities members</td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td></td>
<td>1 Forest-based community enterprise organized</td>
<td>100%</td>
<td>But not operating</td>
</tr>
<tr>
<td>Reforestation of the Abuta Plains by Indigenous Communities in the Volta Basin (Ghana)</td>
<td>Forest cover restored on 1,364 ha (teak and fruits)</td>
<td>50%</td>
<td>In poor to very poor condition</td>
</tr>
<tr>
<td></td>
<td>750 ha of pure teak plantation</td>
<td>60%</td>
<td>In poor to very poor condition</td>
</tr>
<tr>
<td></td>
<td>600 ha of agro-forestry with teak and fruit trees</td>
<td>30%</td>
<td>In very poor condition</td>
</tr>
<tr>
<td></td>
<td>Construction of 3 dams and one office</td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Forest nurseries for 350,000 seedlings/year</td>
<td>80%</td>
<td>Currently mostly abandoned</td>
</tr>
<tr>
<td></td>
<td>Indigenous communities trained</td>
<td>80%</td>
<td>Not evident</td>
</tr>
<tr>
<td>Participatory Tropical Forest Development by Women in Indigenous Communities in Worobong (Ghana)</td>
<td>Strengthening of 5 community organizations</td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td></td>
<td>800 ha of pure stand of teak plantations and 400 ha of agro-forestry plantations in degraded areas, reduced to 700 ha in total with other species **</td>
<td>80%</td>
<td>Most plantations without teak are in good or very good condition despite lack of maintenance</td>
</tr>
<tr>
<td></td>
<td>Forest and bush fire prevention and combat</td>
<td>80%</td>
<td></td>
</tr>
<tr>
<td></td>
<td>5 cassava processing installations</td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td></td>
<td>64 snail production units</td>
<td>80%</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Nursery establishment</td>
<td>100%</td>
<td>Currently mostly abandoned</td>
</tr>
<tr>
<td></td>
<td>Training of communities members</td>
<td>100%</td>
<td></td>
</tr>
</tbody>
</table>

---

7 The percentages accumulate and combine estimates of both quantitative (i.e., hectares planted) and qualitative aspects (i.e., observed tree survival or growth rates)
### Sustainable Management of Missahoé Reserved Forest Forestry Resources with the Participation of the Local Rural Communities for an Optimal Timber Production in Kpalimé (Togo)

<table>
<thead>
<tr>
<th>Description</th>
<th>Percentage</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Installment of a shared system of management</td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td>Consensual revision and demarcation of the limits</td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td>200 ha of pure forest stands, 100 ha enrichment plantation and 150 ha of agro-forestry plantations</td>
<td>200%</td>
<td>Almost duplicated the target and plantations are in good shape</td>
</tr>
<tr>
<td>Strict protection of 150 ha of the Reserve with still natural forests</td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td>Exploitation (3,000 m³) from mature forests</td>
<td>0%</td>
<td>Trees were illegally exploited</td>
</tr>
<tr>
<td>Restoration of extraction trails</td>
<td>0%</td>
<td>Consequently not necessary</td>
</tr>
<tr>
<td>Establishment of a maintenance Forest Fund</td>
<td>100%</td>
<td>Still existing but short of funds</td>
</tr>
<tr>
<td>Training of communities’ members</td>
<td>100%</td>
<td></td>
</tr>
</tbody>
</table>

### Demonstration Community Forest Management in the Natural Cloud Forests of the Urumba Basin in San Ignacio (Peru)

<table>
<thead>
<tr>
<th>Description</th>
<th>Percentage</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Management plan fully operational (10,000 ha)</td>
<td>0%</td>
<td>Not applied</td>
</tr>
<tr>
<td>Two nurseries established, 235 ha of plantation maintained and additional 124 ha planted</td>
<td>60%</td>
<td>Most plantations were abandoned and destroyed. Nurseries also.</td>
</tr>
<tr>
<td>1500 m³ of roundwood extracted, 1050 m³ sawn wood and 750 m³ of marketed wood products</td>
<td>30%</td>
<td>Only 26 logs were extracted</td>
</tr>
<tr>
<td>One community enterprise fully operational</td>
<td>100%</td>
<td>But with serious problems and not profitable</td>
</tr>
<tr>
<td>5 community agro-forestry plantations established</td>
<td>30%</td>
<td>Not evident that they still exist</td>
</tr>
<tr>
<td>Training</td>
<td>100%</td>
<td></td>
</tr>
</tbody>
</table>

### Implementation of a Management Plan by the Chiquiacá and Orozas Communities in Tarjía (Bolivia)

<table>
<thead>
<tr>
<th>Description</th>
<th>Percentage</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chiquiacá’s forest management plan being implemented</td>
<td>50%</td>
<td>The plan was approved but is not implemented. Low quality plan</td>
</tr>
<tr>
<td>Orozas’ forest management plan being implemented</td>
<td>20%</td>
<td>The plan was not approved nor implemented. Low quality plan</td>
</tr>
<tr>
<td>Logging and wood transformation equipment is being utilized</td>
<td>40%</td>
<td>Logging equipment not utilized and wood transformation equipment is partially utilized</td>
</tr>
<tr>
<td>Nurseries and enrichment plantations</td>
<td>60%</td>
<td>Small abandoned plantations</td>
</tr>
<tr>
<td>Organization of two communal forest enterprises</td>
<td>100%</td>
<td>But not operating as enterprises</td>
</tr>
<tr>
<td>Training</td>
<td>100%</td>
<td></td>
</tr>
</tbody>
</table>

Note: * Indicative estimates made by the evaluators combining qualitative and quantitative aspects; not necessarily those informed in the Project Completion Reports but close to those reported in the ex post evaluation reports.

Regarding most forestry related outputs the analysis revealed that in some cases it was not possible to confirm in the field the results that were reported. Examples of reporting not fully consistent with facts are many and varied. Usually, the reports state a number of hectares that were planted but they often do not document the number of hectares that were lost to fires, weeds, pests, drought or wrong site selection. Nor do they mention the quality of the surviving trees. Replanting, if carried out, has often been reported as new planting. In some cases the figures were credible but in other cases (especially Abutia) it was highly improbable that the planted areas mentioned in the completion reports really existed. The evaluators had only a relative autonomy during field visits and in all projects there was an absolute lack of plantation maps or remote sensing information. What was easier to confirm was the quality of the plantations that were visited, assuming that those being shown were most probably the better ones. The management of secondary natural forests by enrichment is almost impossible to confirm. The high numbers of participants in meetings, seminars and training that are mentioned in the completion reports are also difficult to confirm. It is evident that many persons attended more than one single event.

Several projects did not produce any technical, promotional or training printed or audiovisual material (Abutia, Urumba, Orozas/Chiquiacá, Missaholé) and other produced much less than required. Darién and Nueva Vizcaya were those with more and better quality material. There are many examples of these less than planned records, which in one or other degree are present in most projects. Nevertheless, the mission does not consider these quantitative aspects as an issue as serious as it is the quality of project outcomes.

As shown in table 3 and also in table 4 the social engineering results are much more evidently successful than the so-called technical results, establishing a dangerous imbalance between the benefit expectations raised in the community and the real possibility of achieving them through the forestry activities.

In contrast, the relatively high degree of completion of results, outputs and products as compared with the low level of achievement of project objectives as seen in table 4 and corresponding discussions is a key aspect of this evaluation.
2.3.2 Unanticipated or unexpected results, outputs or products

The evaluated projects had few non-expected outputs. Among others, it is worth mentioning the creation of a women’s association for the management of a small but well managed and profitable nursery created as a by-product of the Missahoé project (Togo) and the already mentioned replacement of a traditional coffee variety by a new, much more productive one in Urumba, as well as improvement of the La Bermeja village access and living conditions. In Nueva Vizcaya, Worobong and Missahoé some community members, as well as wealthier neighbor farmers became interested in the establishment of small forest plantations on their own. In Missahoé the greening of the Forest Reserve allowed a small but growing tourism industry.

2.3.3 Additional funding for follow-up or complementary operations

Some of the projects obtained financial resources from other sources to complement or ensure follow up of some project’s activities. The Urumba project, after completion, has been able to get additional funding of US$172,778 in order to facilitate commercialization of the products of the communal enterprise. The Missahoé project obtained two complementary projects adding some US$85,000 to the ITTO investments. The DENR of The Philippines obtained a new ITTO supplementary activity in the Nueva Vizcaya area, setting-up a local level system of monitoring criteria and indicators of sustainable management, facilitating continued support to the local communities.

2.3.4 Technical and scientific quality of results and their dissemination

As was to be expected, the Darién project has produced the largest amount of good quality scientific and technical printed material, including two manuals. This project has been the basis for a few PhD theses and for a number of scientific publications in international journals. The Nueva Vizcaya project also prepared good quality technical and training material, including the printing and dissemination of project reports, and of an independent and quite critical final evaluation of the project. The Worobong project prepared and published a couple of elementary notes for dissemination.

The other four projects prepared some material exclusively for their use in training and seminars but they did not publish nor disseminate them. A few audiovisual materials were also prepared and used for training. In some cases (Urumba and Abutia) even the technical archives of the projects are difficult to access or simply do not exist. Essential information such as the forest inventories and the management plans are not available either in place or at headquarters.

The several studies on different topics (socio-economy, timber and wood-products markets, land tenure, etc.) prepared for the projects were of variable quality, but were rarely utilized as project inputs due to their late availability with regard to project execution and none has been published.

2.4 Overall attainment of development objectives (impacts and effects)

The overall impact of a project is determined by the fulfillment of its development objective, the permanence of the project proposed economic activities in the post-project situation and, also, its replicability in similar circumstances. As will be discussed, none of the evaluated projects reached success in economic terms at the moment of their completion or at the moment of the ex-post evaluation. Some projects are more promising than others but in general it is not expected that any of them will reach sustainability if corrective measures and additional investments are not urgently made. Table 4 is an attempt to evaluate the development objectives both in terms of the post project situation and, especially of the expectations of achieving them. The items that are evaluated under the social, economic, forestry and ecological aspects are those that, ultimately, define success or success probability in terms of development objectives. The average qualification, on the other hand, provides an idea of the relative success of each project. The main elements justifying the grading of each item in table 4 are given in this section.

As every project completion report states and as confirmed by the ex-post evaluation reports, the projects formally achieved to some extent almost every immediate result (outputs or products) expected. However, as already mentioned, the evaluated projects did not achieve most of their specific objectives and none of their development objectives or purposes.

Again, it is important to point out that the projects were much better at achieving the social elements (tables 3 and 4) than the so-called technical or economic elements. All projects were able to convince, empower, get the active participation and organize local people, often in the form of community enterprises. Most
unfortunately, the sustainability of the enterprises created by the project and, therefore, the achievement of the development objectives, depends also on the economic and technical feasibility of the forestry businesses proposed. And, success regarding these two key aspects has been elusive.

2. 4.1 Social engineering and participation

Results related to the information, promotion, organization, empowerment and training of farmers and indigenous people to actively participate in sustainable development alternatives were, in every reviewed project, very convincing. Despite the lack of success of projects in providing concrete or tangible economic benefits, except for salaries during project implementation, community members are currently aware of the ecological and economic benefits that can derive from forest conservation, forest rehabilitation and forest management. The villagers have kept enthusiasm and willingness to continue executing the projects and in many cases it is evident their attitude towards forests has changed very positively. In several projects (New Vizcaya, Missahoé, Worobong) local people are planting trees in their private farmlands even though community forest plantations are abandoned.

Also, all outputs related to community organization to participate in the project were correctly accomplished as well as those aiming at the establishment of community enterprises to manage resulting forest businesses (Orozas/Chiiquiacá, Urumba, Nueva Vizcaya). These organizational efforts resulted in additional benefits for local people such as being better prepared to claim their rights and to obtain a more effective support from local authorities to get the public services they are entitled to.

The special merit of these outputs is to have been able to overcome local population reluctance to the projects, responding to previous frustrating experiences with the national and/or international agencies. It must be pointed out that it took a tremendous effort from executing agencies to progressively raise their curiosity, interest and good will. Then, the following challenging task was to obtain that community members become organized to undertake a joint, long term, for profit venture despite their often individualistic customary behavior. In several cases it was previously required to bring together views of groups that were not friendly to each other, such as in Nueva Vizcaya (mountain tribes, local farmers and newcomer farmers) and Darién (tribal indigenous people, Afro-Panamanian communities and mestizo farmers). In several projects the established organizations include only a minor part of each community’s member (Orozas, Urumba, Chiquiacá, Darién).

Project outputs related to formal training and in-service training were in general of good quality and were highly appreciated by local people, more than conceptual messages provided as part of the environmental awareness events. They expressed special interest to the training they received about forest inventories, nursery management, tree planting and wood processing. Also, they are grateful for the information they received on subjects such as marketing, and forest policy and legislation.

2. 4.2 Forestry issues and economic sustainability

Reforestation. Generally speaking, all planted forests that were visited except portions of two (Worobong and Missahoé) are of low quality, showing way below average growth rates than those corresponding to their ages if they were adequately planted and managed. In many cases it is evident that there were serious errors in site and species selection and, especially, it is obvious that maintenance or management (weeding, fertilization, thinning, pruning, fire control) were very deficient or not even carried out, especially after project completion (Abutia, Urumba, Nueva Vizcaya). Most forest nurseries were abandoned immediately after the project ended.

In this generally unfavorable scenario, a significant portion of the plantations developed at Worobong and Missahoé were an exception. In Worobong, most Cedrela plantations were very successful showing an above average growth rates and a very healthy condition. If maintenance is carried out, these plantations promise excellent economic results. In the same conditions Terminalia spp and Ceiba pentandra were also in very good shape. In soils that were poorer or more degraded only Cassia showed good results. The same positive results were seen at Missahoé mostly with Terminalia, Cordia and Cedrela and to a lesser extent with Khaya. Teak plantations, except in few small plots, have not shown good results either in Abutia or in Worobong and only slightly better results were obtained in some of the plantings conducted at Nueva Vizcaya. Little consideration to soil conditions seems to be the first cause of plantation failures but deficient weed control (at an initial stage) and inefficient fire control, as well as absolute lack of pruning and thinning are also serious causes of failure.
The principal justification of beneficiaries for the abandonment of project activities as soon as the project ends is the "lack of financial resources". The examination of the facts in all reviewed projects demonstrates that, indeed, these projects were not able to generate in their life span enough additional revenues to keep actions going. The reasons of this situation are quite obvious: (1) the duration of ITTO's projects, even when two phases are developed, is far too short to ensure revenues from reforestation that can substitute for the project's financial contribution or cover maintenance expenses; (2) palliative measures included in most reforestation projects (agro-forestry practices, planting of fruit trees, snails, honey or mushroom, handicraft, etc.) even when successfully developed, were systematically insufficient to cover financial gaps during the period prior to forest harvesting; and (3) it is often difficult for local beneficiaries to accept that they must work without additional payment for a very long-term objective, even when they recognize it is for the benefit of the community.

Natural forest management. Forest inventories were carried out and management plans of natural forests were prepared but were not applied in Urumba, Orozas, Chiquirec and Darien and only minimally applied in Nueva Vizcaya. These plans were very simplistic and/or of very low quality. Therefore, even if applied, they would not warrant economic or ecological sustainability.

In Bolivia and Peru, and partially also in Panama, the main cause of failure with respect to project objectives was the lack of effective support from the governmental agencies that either did not approve the management plans or did not grant rights on the forests to the beneficiary people (Bolivia and Peru), and/or did not provide any continuity to the projects after the end of ITTO funding (Panama).

Projects strategies and economic sustainability. Economic sustainability must be discussed separately for natural forest management projects and for forest plantations, as their realities are quite different. As already mentioned, the forest management projects (Orozas, Chiquirec, Urumba, Darien and to some extent Nueva Vizcaya) were not really implemented due to unresolved legal matters (Orozas, Chiquirec and Urumba), loss of commercial value of the species that originated the project (Darien) and as consequence of a government and community decision (Nueva Vizcaya). Therefore, the economic viability of these projects must be discussed under the hypothesis that their corresponding management plans were really applied and that these forests would have produced timber. These analyses can be seen in the ex-post project evaluation reports and they demonstrate that, most probably, the economic results of these exploitations would not be positive. There are both economic and technical reasons for these conclusions: (1) the proposed ventures and their corresponding management plans had little or no economic viability and, (2) the management plans were of a very low technical quality and could not warrant a sustainable production of wood.

Table 4. Projects evaluation in function of proposed or desirable objectives: situation and expectable perspectives

<table>
<thead>
<tr>
<th>Evaluation parameters</th>
<th>BO1</th>
<th>BO2</th>
<th>PE</th>
<th>PA</th>
<th>PH</th>
<th>GH1</th>
<th>GH2</th>
<th>TO</th>
</tr>
</thead>
<tbody>
<tr>
<td>Social aspects</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Achieved social &amp; enterprise organization</td>
<td>4</td>
<td>4</td>
<td>4</td>
<td>3</td>
<td>4</td>
<td>2</td>
<td>4</td>
<td>4</td>
</tr>
<tr>
<td>2. Increase of forestry and environmental awareness</td>
<td>3</td>
<td>4</td>
<td>4</td>
<td>3</td>
<td>5</td>
<td>2</td>
<td>4</td>
<td>4</td>
</tr>
<tr>
<td>3. Community quality of life improvement (1)</td>
<td>1</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td>3</td>
<td>0</td>
<td>3</td>
<td>3</td>
</tr>
<tr>
<td>Economic aspects</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Community incomes increase (1)</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>2</td>
<td>0</td>
<td>2</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>5. Potential economic sustainability of the enterprise</td>
<td>1</td>
<td>2</td>
<td>2</td>
<td>1</td>
<td>3</td>
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<td>4</td>
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<tr>
<td>6. Marketing improvement</td>
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<td>1</td>
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<td>7. Forest management plan overall quality</td>
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<td>2</td>
<td>3</td>
<td>1</td>
<td>0</td>
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<td>8. Effective management of the forest resources</td>
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<td>0</td>
<td>2</td>
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<td>3</td>
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<td>9. Effective improved logging techniques</td>
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<td>1</td>
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<td>N/A</td>
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<td>10. Improved wood transformation technology</td>
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<td>3</td>
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<td>11. Community training in forestry related practices</td>
<td>4</td>
<td>4</td>
<td>4</td>
<td>3</td>
<td>4</td>
<td>2</td>
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<tr>
<td>12. Successful reforestation, including enrichment</td>
<td>2</td>
<td>1</td>
<td>1</td>
<td>1</td>
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<td>1</td>
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<tr>
<td>13. Introduction of new species in the local market</td>
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<td>0</td>
<td>0</td>
<td>0</td>
<td>N/A</td>
<td>N/A</td>
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<td>14. Technical or dissemination material produced</td>
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<td>0</td>
<td>0</td>
<td>5</td>
<td>4</td>
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<td>15. Legal matters are in order (2)</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>2</td>
<td>4</td>
<td>2</td>
<td>4</td>
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<tr>
<td>Ecological aspects</td>
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<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>16. Probable sustainability of forest utilization</td>
<td>0</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td>3</td>
<td>3</td>
</tr>
<tr>
<td>17. Overall forest conservation</td>
<td>4</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
<td>4</td>
</tr>
<tr>
<td>18. Avoidance or control of deforestation and fires</td>
<td>2</td>
<td>3</td>
<td>1</td>
<td>N/A</td>
<td>4</td>
<td>1</td>
<td>3</td>
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</table>
The small local industries that wanted to manage their own difficult to access forest, could be satisfied much more effectively by purchasing timber in the nearby Tarija market or, in the long term, by planting forest in their own farmland. The costs of management, protection, extraction and transportation, which were not evaluated by the project, are evidently so high that they would make the operation uneconomical. The idea of producing timber in Chiquiacá to provide for Orozas raw material requirements raw material did not consider the comparative high costs of transporting logs or sawn material over a long distance. In conclusion, the project objectives were not sustained by an economic analysis that would probably provide elements for a different solution, such as organizing Orozas community to purchase legal timber and/or to conduct tree plantations. The project in Chiquiacá was more promising, as the forest is not so distant and, while it is also a protection forest, its topography is less dramatic than in Orozas. But, again, the management plan prepared by the project is useless if aiming at sustained production, with an excessively short cutting cycle (20 years), with yearly compartments all of the same size despite the disparity of wood species and volume distribution in the forest, with almost no mention of silvicultural practices to be adopted, no planning of logging operations and, of course, with no cost analysis or any other economic consideration. These two projects did not even consider maintaining technical support to apply the management plans, as requested by the beneficiaries, who in Chiquiacá are very poor and mostly illiterate people.

Very similar comments can be made with regards to Urumba. The mission was unable to see a copy of the proposed management plan but was informed that it had been made for an area much larger than the one to be awarded to the community, that it is very general in nature, and that it contains more or less the same technical deficiencies mentioned for the Bolivian projects, especially the lack of economic considerations. Urumba is a relict protection forest located in step mountain hills, very distant from the community’s village (La Bermeja) which is also extremely distant from the city of Jaén, where the wood would be consumed. This is why a processing facility (sawmill and other equipment) has been established by the project in La Bermeja. This ample facility was never utilized, as only 23 logs were extracted (at once) from the forest during project implementation and none since its completion. Again, reforestation seemed to the ex-post evaluation team a much more economically profitable alternative than the utilization of the natural forest or, at least, to have a combined effort that may gradually substitute logging in the natural forest by the harvest of planted forests. This was, indeed, very timidly considered in the project design but was not successfully implemented.

In the Darién project the main objective has been scientific research aiming at the management of an economically endangered species. An experimental management plan for a very small patch of forest has been developed but was not effectively applied and was not pursued after project completion. No forest management has resulted from this project. In the case of Nueva Vizcaya there is a very general so-called management plan for the project area which is, indeed, much more a preliminary zoning exercise. Anyhow, since the government and the community decided to apply a moratorium (until 2007) before initiating the exploitation of the forest, there was no hurry to prepare a real forest management plan.

The reforestation projects, as well as those aiming at natural forest management, did not produce definitive results, in part because the time elapsed during project implementation and thereafter was too short but also, because their economic perspectives are not encouraging as most plantations failed or were much less successful than planned. The two exceptions are the Worobong and Missahoe projects, where a significant portion of the planted forests are doing well. However, the end result is not consolidated as it depends on maintenance. In the case of Worobong, ironically, farmers do not like Cedrela precisely because its very good development rapidly creates shade for their crops. They, as also in Missahoe, prefer the teak despite (or because of) its poor development under project conditions. A lot more must be done to obtain full

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Notes:

1. Frequently not directly related to the forestry purposes of the project or not as consequence of programmed objectives.
2. Including legal origin of timber and/or access to land and to forest resources and/or future distribution of benefits.

<table>
<thead>
<tr>
<th>Strategic planning of the project</th>
<th>2</th>
<th>4</th>
<th>3</th>
<th>3</th>
<th>4</th>
<th>1</th>
<th>2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Adequacy and/or viability of project solutions</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td>2</td>
<td>4</td>
<td>1</td>
<td>3</td>
</tr>
<tr>
<td>Average qualification</td>
<td>1.5</td>
<td>1.7</td>
<td>1.7</td>
<td>1.8</td>
<td>3.1</td>
<td>0.9</td>
<td>2.3</td>
</tr>
</tbody>
</table>

Notes: BO1, Bolivia, Orozas; BO2, Bolivia, Chiquiacá, PE, Peru; PA, Panama, PH, The Philippines; GH1, Ghana, Abudia; GH2, Ghana, Worobong and, TO, Togo.

AVERAGE QUALIFICATION

Scale: 5: Excellent/optimal; 4: Very significant/ good; 3: Sufficient/ Significant; 2: Insufficient/little; 1: Insignificant/very little; 0: Nothing/none; N/A: Not applicable.
acceptance by local farmers that the land they were using for crops during long years will return to a forest condition, even though they know they will benefit from harvesting.

Two factors led to this situation in the Ghanaian projects: (1) very weak project’s strategic approach with insufficient consideration of the opportunities that some trees, or fruit species or agro-forestry alternatives may offer to cover the gap between project implementation and project expected revenues; and (2) unrealistic or simplistic expectations on economic revenues of forest plantations as well of other alternative crops. In other words, most of the problems in the Ghanaian reforestation projects were a consequence of lack of enough thinking and consultation during project design. It was evident that poor or very poor local farmers and indigenous communities cannot spend efforts, time and/or money taking care of plantations that will be harvested 20 to 30 years later. The costs of plantation maintenance may be very high especially in conditions of sub-sahelian degraded lands such as in Abutia or in the most degraded portions of Worobong: weeds, fire and pest control as well as pruning, thinning and replanting, among other activities, are laborious and costly activities. Therefore, it is necessary to conduct a much better and careful planning of the sequence of crops, fruit trees and forest trees of different maturation periods (fast growing tree species such as firewood and slower growing timber tree species) in order to offer, every year, starting with the last year of the project, incomes that cover local people’s needs and maintenance costs, while waiting for the more important revenues resulting from thinning or other types of wood harvest. Of course, plantations must be subject to the same detailed economic analysis required for any other venture or even more, considering that the beneficiaries are poor people that cannot afford failures.

The Ghanaian projects, Abutia and Worobong, had very little of the above mentioned precautions. When approved by ITTO they were respectively facing the planting of 1,300 and 1,200 ha of a few tree species (mostly teak) in a period of 3 to 4 years for each project. A portion of the area was to be planted with fruit trees in order to provide some income prior to tree harvesting. This was to be executed by paying salaries to the local people with the additional promise of a share of the benefits for the community at harvesting. Obviously, at project completion all plantations were abandoned as people claimed a salary to pursue the maintenance of the plantations. Additionally, as mentioned, large extents of the plantations were carried out on unsuitable soil conditions. In Worobong the same issues were confronted at an early stage of the project and several palliative actions were adopted, such as reducing by one-half the area to be planted and facilitating other economic alternatives.

The project documents of these two operations do not explain the logic of planting such an important extent of forest in such a brief period of time without any provision whatsoever for the planting to be continued or maintained after project completion. If the target area for a community is 1,300 ha, common sense indicates that this would be done annually over a 20 or 30-year rotation and not all at once. If done progressively it is possible to carefully study the right location for planting, and the maintenance of the forest by local population will be easier, especially if these planted forest are mixed and integrated with other crops under a taungya system or other agro-forestry options. Also, the sequential planting makes sense in terms of plantation management in the long term, and also in terms of regularity of income. The Missahoe project also planned the planting in only three years of 450 ha; an area difficult to maintain. With due regard to the much smaller proportions, the reforestation components of the Latin American projects and, to some extent, also in the case of Nueva Vizcaya, showed the same problems as the African projects.

Missahoe, in Togo, was a quite different experience as, possibly as a consequence of better participatory planning and the direct involvement of professional foresters, there was more serious consideration of the needs and wills of communities, resulting in plantations that are better designed from their point of view. Especially important were the spacing in planted forests allowing for the growth of crops and, also, the establishment of the Forest Fund for post-project maintenance. This was initially to be built on the basis of the sale of 3,000 m³ of standing wood in a section of the Reserve, but the area had been illegally logged before project’s effective initiation. Thus, the Fund was established with a voluntary retention of 10% of the salaries of community members working in the project and also with incomes derived from the community’s mushroom and seedling production. The Fund is currently almost exhausted but it has maintained essential actions such as fire control until today (3 years after project completion). Despite these very positive facts among others, this project’s results cannot be considered definitive or consolidated.

In conclusion, the projects did not reach any economic result that would allow local people to benefit or even to finance the continuity of the maintenance activities. Worst, as developed, the projects do not offer positive prospects. In addition, the reforestation projects and the reforestation components of other projects failed to produce an impact relevant enough to demonstrate that economic sustainability may be achieved through them.
As a consequence of the previously mentioned facts sustainability and social and economic benefits were not achieved at the moment of project completion. Additionally, the required activities to achieve long term economic and ecological sustainability were not continued after ITTO support ended. The logical expectation of all community based forest management projects is that, after their termination, all necessary activities would be maintained directly by the beneficiaries or with some participation of the governments and NGOs that proposed and implemented the project. This has not been the case in the evaluated projects. Therefore, the long term goals of the evaluated projects will not be attained unless urgent additional measures are undertaken.

The success of the social aspects (awareness, willingness, organization and training) of the projects contrasts with the poor results of their technical aspects (reforestation, natural forest management and logging, wood processing), creating a dangerous imbalance. The enthusiasm of the local people to practice forest activities is currently not correlated to the scarcely or not at all achieved objectives that were supposed to economically justify the project concept. The result has been growing disappointment and unhappiness.

2.4.3 Ecological sustainability

The ecological sustainability of the projects is more difficult to assess. The strategy in Orozas, Chiquiacá, Urumba, Nueva Vizcaya, Darién and Missahoe has assumed that a well managed natural forest, even when it is a protection forest, is better preserved by utilization than if maintained legally untouched in conditions where it is apparently not possible to avoid illegal logging10. This strategy is highly debatable when dealing with pure protection forests such as in Orozas, Urumba, Nueva Vizcaya and, to a large extent, also in Chiquiacá: (1) the evidence has been, in the four places, that forest ownership definition (even when not fully materialized) coupled with information and education of local people has been quite efficient in deterring illegal logging or cattle grazing in the forest; (2) if other alternatives were offered, such as reforestation or improved agriculture, local people would not be interested in logging protection forests and: (3) if a mechanism to pay for the environmental services (especially water) provided by the forests protected by the local people was devised, they would obviously prefer not to exploit these forests. The Nueva Vizcaya project was a good demonstration of the above observations, as local communities decided, on their own, not to exploit the natural forest until 2007 in order to restore its protection value and they would readily accept an economic alternative (payment for environmental services) to keep the forest logging free.

On the other hand, a priori it is not a good policy for an ITTO project to plan the logging of a pure protection forest (in legal and/or technical terms). First because there is no doubt that even the smallest and most cautious intervention will cause severe environmental impacts. In Urumba, the main species to be exploited are the rare and much endangered Podocarpus spp., enormous trees that when falling down in the steep slopes were they are located, destroy much of the surrounding forest. Second, because these forests are the last refuges for the conservation of threatened biodiversity and are essential to maintain water flow and water quality for local towns and agriculture, and avoid landslides and other violent erosion processes. Also, because ITTO guidelines on biodiversity conservation are very strict and logging in protection forests can easily violate them. Similar facts are evident in the other project areas.

The Worobong project is an example of another situation. It is implemented inside a Forest Reserve (roughly 11,000 ha) that after being heavily logged has been invaded by farmers from a nearby region. Over the years, practicing shifting cultivation and allowing fires to enter, they have destroyed around 40% of the forest vegetation of the Reserve which is currently the object of the ITTO project. The farmers seem to be enthusiastic about the project. However they have several concerns and restrictions on the use of the site. As an example, they consider unfair the fact that although the remaining old growth natural forests cover less than 20% of the Reserve there is still logging going on in it, on the basis of an obsolete management plan. Also, another large portion of the area (40%) has been excluded for “cultural” purposes but most of it has apparently been allocated to “admitted farmers”. It is, indeed, not entirely consistent for an ITTO project to finance reforestation within the same Reserve where logging is being conducted without an up-to-date management plan in the small patch of remnant forest and where unrestricted agriculture is being allowed in another part.

Additionally, from an ecological point of view it is not wise to concentrate the project in one or very few tree species, as has been the case everywhere: Cedrela in Bolivia, Podocarpus in Peru, Tectona in the

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10 This argument is supported by the governments of Bolivia and Peru. Especially in the case of Bolivia it is also argued that these technically protection forests are legally considered as production forests. The Orozas/Chiquiacá project executing agency (PROMETA) strongly defend the view that these forests may be exploited and, also, that produced management plans are fulfilling all legal requirements.
Philippines and Ghana, *Prioria copaifera* in Panama, etc. The only partial exceptions were Worobong and Missahoé where several other species where successfully tested. Most projects mentioned species diversification in harvesting, plantation and markets as a goal but none except the Worobong and Missahoé projects took serious steps toward this goal.

The question of the validity of establishing pure stands of native or exotic species has been often raised during evaluation. The mission considers that when the main objective of the plantation is to rapidly provide additional income to local poor communities to reduce their need to practice destructive shifting cultivation it is necessary to plant the species that offer the fastest and better development in the site’s conditions. Of course, exotic species and pure stands must be avoided if the objective is to reconstitute the original forest. But this is not an endeavor to be developed with local communities if their compensation is going to depend on plantation profitability.

Several projects mentioned as one of their objective the rehabilitation of degraded land and forests. However, only Nueva Vizcaya, and to a lesser extent Missahoé, rightly adopted natural regeneration as an important tool to achieve this goal. Instead of costly planting with low economic profitability the project simply adopted fire control and villagers’ education to allow vegetation recovery with great success. The same option was available in large areas of most other projects, especially in Urumba and Worobong.

An important and positive last point regarding most evaluated projects is that they were conducted in IUCN category V or VI protected areas (Worobong, Orozas, Missahoé), in buffer zones of protected areas (Chiquiacá, Abutia, Darién), in the vicinity of protected areas (Urumba) or in officially recognized watershed areas (Nueva Vizcaya). The Abutia project, as mentioned, creates a corridor between a forest reserve and a game reserve. Therefore, if successful, these projects may significantly contribute to the conservation of the biodiversity contained in protected areas, expanding the area for wildlife, reducing fire hazard and providing local people with economic options other than poaching or illegal logging. However, it was evident that little coordination existed between the overall management of the protected areas and the corresponding ITTO projects.

In all projects, a good level of community understanding of the ecological values of protecting natural forests and of rehabilitation of degraded soils and forest has been achieved through messages transmitted in meetings and events, and documented in a variety of training events. The reduction in the fire frequency in several project areas can be attributed much more to the raising of environmental awareness than to a more effective control of fires.

Finally, it is interesting to mention that in the Orozas project a small sized facility has been planned to recycle wood residues from the local industry of doors, windows and furniture.

### 2.5 Overall impact and relevance of the results in terms of community participation in forest management

As previously mentioned, the seven projects were successful in achieving their objectives related to community participation. A very important lesson of these projects is that the potential of local communities to implement forest management and conservation is enormous if well directed. The local people’s response and the maintenance of their interest to participate in projects of this kind, despite the absence of practical results, is a clear indication that the social forestry approach, if coupled with adequate technical and economical inputs, may be successful.

However, a closer analysis reveals some problems that must be mentioned: (1) in many cases the project concept and strategy has not been extensively and comprehensively discussed with the local population before the project approval; (2) in all projects a great deal of the active participation of the community members in plantations or other field activities has been achieved through direct payment (money or food) and only exceptionally by means of voluntary work; (3) not all members of the communities were interested in the project or in its outputs and, as a result, their participation varied from a small (Orozas) up to a significant percentage (Worobong, Missahoé, Nueva Vizcaya) of the population but never embraced the entire community; (4) in all projects the participation of the community began small, then grew and later diminished during project implementation and became even smaller after completion.

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11 In several projects locations some *Eucalyptus* species seemed to be a good option that was disregarded only due to the publicity against it.
The explanation of the lack of early involvement (before project approval by ITTO) of the communities is simple: the projects are drafted in NGOs’ or in governmental offices and, at this stage, there is a very cautious approach to carrying out full open local people consultations to avoid raising expectations that would not be fulfilled if the donor agency does not approve the project or delays its funding. Thus, real consultation is conducted when the project is approved, i.e., too late to introduce most changes proposed by the community. Complaints about the lack of early consultation were especially reiterated to the mission in the case of the Abutia project. If done, it is probable that the project strategy would be different, with a much smaller extent of plantation, much better maintained, with a different mix of forest and fruit species and with an even larger participation. Projects that had an ITTO preparatory project, such as Missahoé, benefited from more intensive preliminary consultations and the design is much more in line with the community’s interest.

It is difficult, in projects like those under examination, not to pay for the services to create or manage forests that ultimately would benefit the same local people. Community members are very poor and their work is essential for their families’ survival when working in their regular activities. It is not possible to ask them to do an additional effort with no added payment. The reforestation projects are those with the highest need of manpower and, as in Abutia and Worobong, it would have been wise to reduce the extent of the plantation to also reduce the input of money in the form of salaries to community members that temporarily distort the local economy, create conflicts among benefited and non benefited members and, finally, come to an abrupt end when the project finishes.

Regarding the proportion of community members that really participate in the projects it must be recognized that there is no reason for everyone in the community to be interested in the project proposals. Most members of targeted communities practice agriculture or cattle ranching, or manage small businesses, or are employed in nearby towns and are not willing to expand their current activities. However, in future similar operations it may be useful to establish a definition of “significant proportion” of the community in order to avoid having international funding assisting a relatively wealthy small segment of a community such as has been the case in Orozas.

Maintenance of interest by participating members of the project is directly related to its success mainly expressed in direct or indirect increased incomes. As no project has been fully successful it is already a great achievement to find community members still enthusiastic about project proposals and possibilities.

2.6 Relevance of project results for authorities, executing agencies, the forestry sector and the countries concerned.

Country authorities, except in Bolivia\(^\text{12}\), showed strong official support for the projects implemented in their countries under their responsibility. All of them where deeply concerned with the not so favorable overall results previously described, that otherwise were no surprise to them. On the one hand, they expressed satisfaction for the achievements related to participation and organization of the local communities and for the completion of most formal intended outputs of the project. On the other hand, the authorities were aware of the same general problems the ex-post evaluations highlighted and, in most cases, were expecting the ITTO would finance a second or third phase in order to finalize or consolidate project objectives. Acknowledging that this would not always be possible most of them were considering other sources of funding.

There were very significant differences among national forestry authority views on the relevance of the reviewed projects and their results. In some countries the projects were obviously regarded as important elements of their policies and strategies and the projects were efficiently supported by the national and field forestry agencies. The countries where the governmental attention to the projects has been especially important, during execution and afterward, are The Philippines, Togo and Ghana. The Nueva Vizcaya project was directly executed by the DENR with significant investments in qualified staff and other inputs, resulting in a project that in many regards is showing results well above average. Every forestry authority in the DENR, even at the highest level, is perfectly informed about the project, its difficulties and potentialities. Other authorities are also aware of the project, and an active and concerned project advisory council was established having been extremely helpful to solve legal and technical difficulties. In The Philippines, the Nueva Vizcaya project is considered a model project.

\(^{12}\) The new Government has just been inaugurated and comments received by the mission may have been a consequence of insufficient information available to the incoming forest sector authorities.
Togo’s Missahoe project has been carried out directly by the corresponding forestry agency (DPCEF) that provided very good technical inputs to the project. This project was well known and appreciated at every level of the national environment and forestry administration, from the Minister’s level down to all directors as well as regional and local agents.

A similar situation has been registered in Ghana where the FC has been a key instrument for the work directly carried out in Worobong by the DWM. The project was closely in line with the national reforestation policy, plan and strategy and the FC provided close supervision and timely assistance, especially technical, to the executors. However, in Abutia the FC has not been able to provide an equivalent level of supervision and technical support.

In Bolivia and Peru the forestry authorities were not able to overcome legal and/or bureaucratic obstacles to provide the ITTO projects with the authorizations that would warrant access to the forest resources that were the essence of the projects. These problems were not obvious when the projects were approved by ITTO but, finally, they prevented the achievement of the project objectives by not providing authorization for logging (approval of management plans and/or annual logging permits and/or forest utilization concessions to the communities). Therefore, all efforts regarding forest management, application of logging techniques and wood processing, as well as marketing and distribution of benefits to the members of communal enterprises did not materialize.

The projects of Orozas and Chiquiacá, as well as those in Urumba and Darién did not benefit from close attention from the national forestry authorities. In the case of the Bolivian and Panamanian projects this seems to have been a consequence of the fact that the executing agencies were respectively an NGO (PROMETA) and a branch of a foreign organization (the Smithsonian Institution). In the case of Urumba the problem may have been that the INRENA appointed a team of independent consultants that had to work in very isolated conditions. When the project financial resources were finished, the team of professionals was dissolved. Also, governmental changes had some impacts on the relatively low priority given to the project in the INRENA.

Some executing agencies such as the Bolivian PROMETA were interested in conducting a follow up to the operations. PROMETA was present in the area long before the ITTO project, and continued its support to the communities after project completion in themes other than forestry, with new operations funded by other international donors. The ANAM or the Smithsonian Institute of Panama did not pursue the search of funding for the continuation of its research project. The DWM also demonstrated interest in the follow up of the project in Worobong.

The role of NGOs in the reviewed projects has been commended by governmental authorities only in the case of the Worobong project with regard to the DWM. The role of the AFERM in the Abutia project of Ghana has been seriously criticized and contested both by the forest authorities (FC) and by the participating communities. Apparently the officer in charge of the project has been very authoritarian, unwilling to accept effective participation of local people, excessively interested in the accomplishment of targeted numbers instead of aiming at quality outcomes and his intransigent behavior has seemingly created serious difficult issues especially with the landlords.

The seven projects showed a close correlation with each country’s national forest sector policies, legislation and strategies. This was particularly the case of the New Vizcaya project in the Philippines, which is directly related to the CBFM national forestry policy. Also the Abutia and Worobong projects in Ghana and the Missahoe project in Togo were closely related to their national plans to restore the forest potential by plantations, with participation of local communities.

The projects also directly contributed to the fulfillment of international conventions or agreements adopted by the participating countries that are related to forests, biological diversity and related matters such as the International Tropical Timber Agreement, International Labor Office Convention N°169 on indigenous people, the UN Millennium Goals, the UNESCO Man and Biosphere Program, the Biodiversity Convention, and the Agenda 21.

13 The forest authorities presented reasonable or understandable explanations for failing to provide legal conditions to access the land for wood utilization by local communities or to approve management plans and corresponding annual logging permits. Changes in national legislation, lengthy preparation of regulations for the new laws and legal vacuums account for most of the problem.
14 The AFERM has been often described as a “one man organization”.
15 The evaluation team had no opportunity to contact any officer from AFERM. Thus, these appreciations are admittedly a one-side view.
2.7 Relevance of project results as related to ITTO policies, plans and strategies.

As it is evident, in general terms the objectives of the seven projects corresponded to the bulk of ITTO objectives and actions, as indicated in ITTO Objectives 1994, deepened and amplified with ITTO Objectives 2000 and, considerably expanded in the Yokohama Action Plan 2000-2006. Table 5 presents a summary of the correlation between ITTO policies, plans and strategy with the declared objectives of the projects, confirming a high correlation. However, considering the limited success of the projects in achieving their objectives, the correlation of project results (between parentheses in the table) is much less significant.

<table>
<thead>
<tr>
<th>ITTO Objectives, Action Plan and Goals</th>
<th>Degree* of compliance</th>
</tr>
</thead>
<tbody>
<tr>
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<td>BO</td>
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<td>c. to contribute to the process of sustainable development</td>
<td>4 (1)</td>
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<td>d. to enhance the capacity of members to implement a strategy for achieving exports of tropical timber and timber products from sustainable managed sources by the year 2000.</td>
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<td>f. to promote and support research and development to improve forest management . . . and to increase the capacity to conserve and enhance other forest values in timber producing tropical forests.</td>
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<tr>
<td>j. to encourage members to support and develop . . . forest management activities as well as rehabilitation of degraded forest land . . . with due regard for the interests of local communities dependent on forest resources.</td>
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<td>k. to improve marketing and distribution of tropical timber exports . . . and to maintain the ecological balance..</td>
<td>1 (1)</td>
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<tr>
<td>l. to encourage members to develop national policies aimed at sustainable utilization and conservation . . . and at maintaining the ecological balance..</td>
<td>3 (1)</td>
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**Yokohama Action Plan 2002-2006 (Reforestation and Forest Management)**

| Cross Cutting Action c) Contribute to the CPF to further the shared objective of promoting sustainable forest management | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) |
| Cross Cutting Action e) Assist human resources development…. | 4 (1) | 1 (1) | 2 (1) | 2 (1) | 2 (1) | 3 (1) | 3 (1) | 3 (1) | 3 (1) | 3 (1) | 3 (1) | 3 (1) |
| Cross Cutting Action h) Encourage and increase involvement of non-government stakeholders, including . . . environmental organizations and indigenous groups . . . | 4 (1) | 2 (1) | 4 (1) | 2 (1) | 4 (1) | 3 (1) | 3 (1) | 3 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) |
| Goal 1,1 Support effective enforcement of laws and regulations | 4 (1) | 3 (1) | 3 (1) | 3 (1) | 3 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) |
| Goal 1,4 Promote the conservation, rehabilitation and sustainable management of threatened forest ecosystems . . . in collaboration with relevant organizations. | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) |
| Goal 1,5 Assess opportunities for, and promote development of, non-timber forest products and forest services which can improve the economic attractiveness of maintaining the forest resource base. | 1 (1) | 2 (1) | 4 (1) | 1 (1) | 2 (1) | 3 (1) | 3 (1) | 3 (1) | 3 (1) | 3 (1) | 3 (1) | 3 (1) |
| Goal 1,7 Secure the forest resource base through implementation of forest policy, legislation, and associated strategies . . . which address: (1) Land use planning which defines forests appropriate for production and provides sufficient representation through protected, reserved and conservation areas to ensure biodiversity conservation and watershed protection; (2) Tenure rights taking into account traditional ownership; (3) National guidelines and regulations for forest utilization which ensure local stakeholder rights and secure conservation and environmental services. | 1 (1) | 2 (1) | 4 (1) | 1 (1) | 2 (1) | 3 (1) | 3 (1) | 3 (1) | 3 (1) | 3 (1) | 3 (1) | 3 (1) |
| Goal 2,2 Promote the implementation of sustainable forest harvesting. | 4 (1) | 1 (1) | 1 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) |
| Goal 2,3 Develop and promote the implementation of guidelines for management of secondary tropical forests, the restoration of degraded tropical forests and the rehabilitation of degraded forest land. | 1 (1) | 1 (1) | 1 (1) | 1 (1) | 1 (1) | 1 (1) | 1 (1) | 1 (1) | 1 (1) | 1 (1) | 1 (1) | 1 (1) |
| Goal 2,10. Encourage members and assist them to: implement forest inventories | 4 (1) | 1 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) |
| Goal 2,10. Improve formulation and implementation of sustainable forest management . . . | 4 (1) | 1 (1) | 3 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) |
| Goal 2,10. Implement appropriate forest harvesting | 4 (1) | 1 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) |
| Goal 2,10. Establish and manage forests for multiple uses in close cooperation with local forest owners and communities living in forest areas: | 4 (1) | 1 (1) | 2 (1) | 3 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) | 4 (1) |

**Notes:** BO: Bolivia; GH: Ghana (Abutia); GH2: Ghana (Worobong); PA: Panama; PE: Peru; PH: Philippines; TO: Togo

The upper value is correlated with proposed objectives. The lower value (under parentheses) is correlated with project results.

*Scale: 1(low), 2 (medium), 3 (high) and 4 (very high)*
2.8 Post-project sustainability issues

The sustainability of the aims and results of the projects after completion is an unresolved issue. The causes of this situation were already mentioned or explained in previous sections of this report: (1) no project, including those that were already a second phase, has been able to generate incomes for the project participants (community, forest agency, landlords, NGOs) that would allow the projects to continue or at least to maintain the achievements such as plantations; and (2) most agencies (NGOs or forestry agencies) that officially supported these projects are not in a financial condition to fill the budgetary gaps that must be covered before obtaining initial significant incomes. Therefore, all participants in ITTO projects are expecting a second or third phase. Nonetheless, only PROMETA (Orozas and Chiquiacá) has already prepared a project follow up proposal for consideration by ITTO or other donors.

It is obvious that ITTO cannot continue financing or re-financing the same projects that do not fulfill their commitments on due date. However, there are some cases when this seems to be a good option also for ITTO. Worobong and Missahoé are a good example of such a situation, essentially because these projects are clearly near success in terms of sustainability. Three additional years of a carefully designed second phase would allow a clear demonstration of the feasibility of community-based forestry. Otherwise, those who are responsible for the projects have the following alternatives: (1) search for other sources of national or international technical cooperation and; (2) on the basis of the capital increase created by the ITTO project (growing plantation, equipment) and the creation of formal community enterprises, apply to sources of rural or development credit. This last option would be viable only if additional technical assistance is provided.

Forestry agencies and NGOs mentioned their interest in adopting some of the above cited options. Nevertheless, the mission has not been informed of any concrete steps taken. Regarding the hypothetical situation that no new funding is made available to the reviewed projects the most probable scenario is that their social outputs (social organization and community enterprise) will survive but probably with different objectives. Their technical products will be lost shortly. Projects such as Orozas and Urumba will survive for a while only on the basis of the equipment that has been provided by ITTO funding. Abutia and especially Missahoé and Worobong may be saving a portion of the forests they have planted provided that their social cohesion with regard to the plantations continues but, if no support is provided, it is expected that the lack of maintenance will reduce enormously the potential gains and will gradually reduce the interest communities still demonstrate toward forestry and proportionally renew their interest in shifting cultivation. Nueva Vizcaya is a different case as the forestry agency remains present in the area even though its resources for supporting plantations and other project products are very limited.

3. Lessons learned for future projects

As was to be expected, most lessons learned as well as many of the conclusions of the ex post evaluation that are summarized in this report essentially confirm other similar evaluations, including those for other ITTO projects, such as reported by INDUFOR OY/STCP (2002) for 6 projects of sustainable forest management in Latin America and also by Dourojeanni (2005) regarding the forest management elements of 4 projects of community participation in biodiversity conservation, among others. They also confirm findings of older evaluations such as synthesized by Kartasubrata (1990) and, recently, by AFORNET/AAS/KSLA/FAO (2004, 2006) among many others.

All these documents highlight the need of better prepared projects with more genuine local people’s participation and a much more careful strategic approach that warrants long term sustainability; most also mention the need for a better correlation of time and resources with objectives, including better logical frameworks and; they also make a special mention of the need for a careful economic analysis of the proposed ventures. As in the present report, they also missed appropriate project documentation and dissemination mechanisms. The positive aspects are also similar. In other ITTO ex post evaluations it is recognized that the projects are, in general, efficiently executed; that they correlate adequately with national policies as well as with ITTO objectives and that, in general, NGOs may be very convenient executing agencies, especially in Latin America. Finally, all agree that project duration or support must be much longer than what is ITTO practice.
3.1 The need for and the objectives of similar projects in the future

The poor performance of the evaluated projects is by no means a proof of difficulty or even less of impossibility of forestry based community development. It is only the demonstration that most projects were poorly prepared and, to some extent, not well executed. The essential success factor is determined by the generation of net profits to the community even before project completion and this has not been achieved. The demonstration of this assertion is given by the very good results of the social engineering components of the evaluated projects and, even more, by the extraordinary resilience of the enthusiasm and interest of the local people for the projects despite the minimal economic results achieved, if any.

There is an obvious need for more projects that connect poor local rural people encroaching in, or depending on forests or on forest lands, with forest management and/or plantation forests. However, the design of these projects must be substantially different than that adopted in the reviewed projects. The end purpose may be the same but the strategy must be improved with: (1) serious economic inputs regarding continuity and maintenance of proposed businesses as well as timely distribution of net profits for beneficiaries; (2) better correlation of the project with the regional context, especially regarding environmental aspects; and (3) a much more careful technical support regarding forest management and plantation forests.

3.2 Innovative approaches/designs for projects aiming at community participation in forest management

None of the seven analyzed projects had really innovative approaches or designs aiming at community participation. This comment is not intended to be negative, as in the past two or three decades almost everything was tested in terms of community participation in forestry: (1) empowerment of local communities’ leadership, through organizational assistance, carefully promoting democratic approaches including women’s participation; (2) abundant and precise up-to-date information to local people about facts concerning project’s objectives and achievements, including its administration (all but one project); (3) respect for local traditions, especially indigenous people’s customary rules; (4) assisting local or indigenous leadership to enter in contact, at the appropriate level, with national or regional governmental authorities; (5) formal recognition of rights of local people over forests and forest land; (6) selection and training of indigenous or local people as promoters and conveyors of project results and goals (all projects); (7) clear up-front definition of the share of the profits from forest activities for the community and for its members participating actively in the program and, (8) establishment of communitarian enterprises. All these approaches were applied in variable degrees in the evaluated projects.

As in other evaluations, the present one has confirmed the very special importance of two of these approaches: clear definition of forest and land access rights and the distribution of expected benefits. Each country has a different but equivalent approach to local people’s rights to forest resources or forest land. Bolivia, Peru and The Philippines have forest legislation that warrants the access of local population to forest resources in public production forests and, exceptionally, also in protection forests, including in some categories of protected areas such as in the case of Bolivia, Ghana and Togo. As it was explained, even though the legislation allowed community access to the forest resources in Peru and Bolivia this has not been possible during project execution or after. In the case of Panama there were no problems for the access of the communities to their own resources (community land) or to the public forest estate.

The Philippines is the country, among those visited, that shows the most sophisticated and long standing system of community participation in forest resource utilization and forest land access based on the CBFM policy. In Nueva Vizcaya a CBFM Agreement was granted to the FVHKKUF and 200 Certificates of Stewardship were granted to individual landholdings within the project area. In Ghana (Worobong) and Togo (Missahoé) the situation of access to forest land of Forest Reserves is less legally defined, as there are ancestral rights overlapping the otherwise public area. However, in the case of the area occupied by the projects, an agreement is being worked out. In Abutia the land is considered private, based on traditional rights.

Regarding distribution of benefits between the forestry agencies, the farmers working in reforestation, the landlords and participating NGOs, it has been evident that this is a major concern of target populations in the reforestation projects. As no benefits were generated it is not possible to say what alternative worked out better than others, but is already clear that it will not be enough to assign a share to the community. As an example, in the Worobong project (a Forest Reserve) the distribution has been tentatively estimated at 40% for the forestry agency, 40% for the community, 15% for the landlords and 5% for the executing agency. The portion for the community needs a further clarification as some of the community members work as tree
planters and keepers while others almost do not participate. Thus, to use the money only in communitarian welfare is not really fair for those working effectively in the project and simultaneously conceding the land they cultivate for forest plantation, consequently causing reduction of their crop production and, when forest canopies are too dense, forcing them to move to another area. Therefore, it seems advisable that a portion of the incomes must return directly, in cash, to these farmers. Additionally, the community and the farmers are obviously claiming a larger participation that must probably be obtained by reducing the share of the forestry agency.

A special problem in Worobong has been the abandonment of planted parcels by farmers who decide to go back to their original villages. As no one knows for sure if the farmer is going to return, the tree plantation in his parcel is abandoned. Some new additional community rules are necessary to face these and other similar issues.

In projects dealing with natural forest exploitation the distribution of benefits would be much simpler, as the incomes can be generated as soon as logging operations are conducted. In principle, the benefits must go to those participating actively in the communal enterprise. Of course a share of the benefits may be allocated to the community for improvement of communitarian services.

3.3 Appropriate target groups

Target groups were adequately selected in all projects. With only one exception (Orozas) they addressed rural populations among the poorest of the region and in all cases the projects benefited traditional populations including often totally (African projects) or partially (The Philippines and Panama) tribal indigenous people. One of the projects (Worobong) especially targeted women’s participation in forestry activities and the gender question was also especially considered in the projects in Orozas and Nueva Vizcaya. In Orozas the project assisted the establishment of a women’s small wood processing enterprise and provided the required equipment to launch its activities.

It may be advisable not to attempt to work with communities located in very distant areas such as Urumba. The ITTO projects are intended to be demonstrative, and therefore it makes sense to develop them in areas readily accessible, where success possibilities are greater and where the results can be seen.

3.4 The organizational arrangements for the projects

As previously mentioned, the projects were adequately organized and administered, and this is why they were relatively efficient in terms of project execution. Established mechanisms, especially local committees, consulting groups, and steering committees, operated well. Field staff was in all projects highly committed and demonstrated an excellent disposition and capacity to work with local populations. They were, in general, much better qualified in social aspects than in forestry matters and, to a large extent, this has been a cause of project failure, especially noticeable in the Bolivian projects. Coherently with the previous fact, with few exceptions, the quality of the technical assistance provided to the farmers in the reviewed projects has been of a lower quality and has demonstrated little imagination or experience. As a matter of fact, most of the technical assistance of the projects has been provided by young professionals poorly remunerated. The most noticeable weakness of professional foresters appointed in the projects, except those of Togo and Panama, has been regarding the concept and the basics of forest management plans, including ecological considerations.

The results, as also mentioned, do not provide a clear answer about the advantages of forestry public agencies or NGOs as project executing agencies. Both options had good and poor results. If carefully selected, NGOs continue to be an option for ITTO projects in community forestry. However, national or local NGOs that are evidently associated to political parties must be avoided.

3.5 Lack of economic analysis and other technical matters

All evaluated projects demonstrated the same lack of economic concerns and considerations regarding the project objectives for the communities. Both natural forest utilization and plantation forests proposals were designed without regard to cost/benefit or cost/effectiveness analysis. They were based on a priori view that these ventures are profitable. In forest utilization projects the quality and location of the forests may determine the profitability of the venture. In forest plantations site location and maintenance may make the difference between a good or a bad business. It is irresponsible to play with the future of a local population
and their confidence in the community forestry possibilities in the absence of economic considerations of proposed project activities.

All reviewed projects demonstrated, in different levels, the same low quality of forest management plans. The situation was the same for management plans of natural forests and planted forests. Project objectives often address environmental conservation goals that cannot be placed on the back of poor local population without a clear compensation mechanism.

From a technical perspective other lessons learned were:

- Quantified baseline information (i.e., forest type areas, denuded areas, agricultural area) is of the essence for project design and an important tool for evaluation of results. This requires at least aerial photos or satellite images.
- It is not advisable to plant large areas of forests over short periods (e.g., two or three years). This leads inevitably to the establishment of a forest with an unbalanced age class structure. Additionally, with such short periods, there is no time to recover from mistakes or make adjustments and, yearly costs of plantation maintenance are too high.
- The importance of qualified technical advice cannot be overemphasized. Key aspects in forest plantation projects are soil/site/species compatibility, plantation establishment, plantation maintenance, and plantation management.
- In community reforestation projects, the importance of sequential planting (i.e., several planting systems with yields at different points in time) must be stressed to ensure continuous income to villagers.
- Plantation maintenance must be ensured by project design. This is another reason to avoid reforestation programs over short periods (e.g. 2 to 3 years) with no follow-on activities planned.

3.6 Follow up and evaluation practices

Evaluation procedures adopted by ITTO were moderately adequate. Periodic visits of ITTO staff to participate in the committees was helpful to avoid and solve administrative problems, delays, or timing and budget changes, but this was not enough to alert or to take measures regarding some of the technical issues that could lead to the timely adoption of changes in project design. Additionally, ex-post evaluations should not be fixed to five working days per project. Some projects require more time while others could be reviewed in much shorter periods, depending on their location in the country and on the accessibility of the forest. Some project products demand longer evaluation periods than other, such as the inspection of enrichment plantations. Forest plantations are often dispersed over a large area, frequently not accessible by road, requiring long time to evaluate a representative sample. Often field visits are loaded with unavoidable, but not always really relevant meetings with local people and there is not enough time to see tangible resulting outcomes, such as plantation forests or forests supposed to be managed.

4. Conclusions

The following conclusions are not submitted in the order the corresponding matters were presented and discussed in the report. They essentially follow an order of importance, from the general to the specific.

**Not achieved development objectives.** None of the seven evaluated projects had achieved their respective development objectives at project completion or later, when the ex-post evaluation was carried out. Only three of the evaluated projects (Nueva Vizcaya, Missahoe and Worobong) were successful enough to offer clear possibilities of achieving development objectives in the near future provided follow up operations can be urgently executed. The other four projects may eventually achieve their development objectives if urgent and important strategic modifications are introduced in the project, including new investments for follow up.

**The fulfillment of products, results or outputs did not imply achievement of development objectives.** Most projects fulfilled in an apparently satisfactory manner most products, results or outputs programmed. However, these same projects were not able to fulfill either their development objectives or most of their specific objectives. This a result of: (1) project design errors, especially overly ambitious objectives related to available time and resources and poor strategic approach; and (2) low quality of some key products, results and outputs, such as forest plantations that die after planting or grow below expectations and management plans that are useless and/or are not applied.
Most project activities, even those that are essential, were abandoned at project completion. A clear symptom of the unsuccessful achievement of development objectives is, with few exceptions, the abandonment of essential forest activities such as planting and replanting, nurseries, weeding, pruning, thinning, fire control and others, as soon as the project ended or when resources to pay for services became unavailable. The exceptions are partial and they correspond to the three projects that were found to be more successful (Nueva Vizcaya, Missahoe and Worobong). In these three projects there is still fire control and some limited care of the plantations.

Relative success of social engineering elements in projects. The evaluation clearly revealed that social elements such as stimulating active participation, improving environmental and forestry awareness, promoting community organization and community enterprises as well as training, were achieved extremely well in most projects. Frequently the projects were instrumental in providing diverse important benefits to the communities (including roads, medical facilities, higher coffee productivity or facilitated contacts with authorities) but failed to effectively improve community incomes from the planned forestry activities. The success of social aspects of the project has been transformed into high expectations seriously contrasting with the unsuccessful attempt to produce additional incomes for community members, thus creating an unbalanced situation that endangers further community willingness to participate in similar ventures.

Limits to community participation. Very poor and often illiterate rural people, living in agriculture-forestry frontiers, may well understand and accept the need for sustainable forest management and forest plantations, but have no economic conditions to follow up on long-term required actions to sustain or expand project proposals without financial assistance. If long term financial support is not available, as has been the case in all projects, it is essential that the projects seriously address viable economical and technical alternatives (i.e., modified taungya, fruit trees, non timber forest products, sequential planting of fast and slow growing tree species, etc. or, simply, establishing a Forest Fund for plantation maintenance) to supply incomes after project termination, as well as to pay salaries to maintain the investments (i.e., plantations) as long as necessary before harvesting.

Community participation alternatives and benefit distribution. Not all members of local communities living in agriculture-forestry frontiers are willing or interested to participate in forestry programs. Many, often most of them, prefer to endure making their living out of agriculture or practicing shifting cultivation, extensive cattle ranching or other activities. Thus, the strategy of assisting those that are really interested in building community enterprises, such as adopted in Orozas, Chiquiacà, Urumba and Nueva Vizcaya is an excellent alternative. In more traditional communities such as in Ghana and Togo, benefit distribution must be proportional to the direct level of participation (the work) of the community member and not be entirely allocated to communitarian infrastructure as has been proposed in Worobong and Missahoe. This last practice discourages those effectively participating. A careful analysis and discussion of the project’s benefits distribution among shareholders is an essential part of the successful participation, even more when, as in the African projects, the forestry authority and traditional landlords are also shareholders.

Women and forestry. The Worobong project had women development as an important objective and successfully achieved it. Women benefited directly from some of the activities such as cassava processing and snail production but, more important, they clearly had an undisputed and respected leadership role regarding project objectives. Strong women leadership was also evident in Chiquiacà and Nueva Vizcaya and, as mentioned, two women’s enterprises were created, one in Orozas (recycling of timber residues) and in Worobong (forest nursery), being this last one a very successful endeavor.

Inappropriateness of project design. No reviewed project was well designed. Most projects: (1) had overly ambitious general and specific objectives with overestimated goals considering funds availability, time framework, working conditions and capacity of control of external factors; (2) did not establish a close correlation of activities and actions with specific objectives, often mixing them; and (3) their logical frameworks were poorly prepared and of little utility. However, the major issues were related to the definition of the problem and, especially, of the strategy to solve it. All failed in one or more very basic aspects, especially regarding project short, mid and long term economics and forest management or reforestation techniques. They also generally had flaws in some conceptual matters such as their environmental sustainability.

The main problems detected in the forest management projects were: (1) their location in protection forests including project forests inside protected areas without a previous analysis of other available options, such as reforestation; (2) the absence of economic studies that justify the feasibility of the entire operation; (3) the very low quality of the management plans that were supposed to be applied not ensuring sustainability; and
(4) the lack of consideration of a mix of alternatives such as progressive substitution of natural forest utilization by planted forests.

The main issues in reforestation projects were: (1) the lack of adequate technical studies that warrant adequate site and species selection; (2) the absence of economic studies (cost/benefit) that justify the plantation as a for profit activity; (3) the lack of species sequential plantation planning that can ensure yearly incomes to the community and to the farmers to allow them to maintain the plantations up to final harvest immediately after ITTO project completion; (4) plantation targets obviously excessive such as planting over a thousand hectares with poor local communities in less than 4 years; and (5) the absence of a long term management plan for the new plantation.

**Economic considerations.** All projects failed in giving adequate economic consideration to the businesses being proposed to the communities. The ITTO projects were all, with the relative exception of Darién, the initial step of a communal enterprise. Therefore, as for any other economic venture, these proposals had to be preceded by a feasibility study based on technical (forestry) matters as well as on a sound cost benefit analysis. This approach was even more necessary considering the social environment that characterized all these projects. Ultimately, not to carry out a careful economic analysis of community based forestry programs or not ensuring their long term ecological and economic sustainability is like cheating the communities.

**Natural forest management.** A very serious problem has been, especially in the Latin American projects (Orozas, Chiquiacá, Urumba) and to some extent Nueva Vizcaya, the low quality of their forest management plans, not ensuring the sustainability of the resources even in the eventuality that they were applied. On the basis of a relatively well done forest inventory, these plans lack all required characteristics of a real management plan, even though they may apparently fulfill national regulations on the matter. These management plans demonstrate excessive emphasis in short term aspects, such as environmentally sound extraction practices in the initial forests plots to be exploited, but give almost no consideration to long term planning, including a realistic cutting cycle, road design and building, silvicultural practices, biodiversity conservation issues, local industry requirements or demand, extraction and transportation costs, etc. Low impact logging is obviously necessary but it is neither the equivalent nor a replacement for a management plan. In the Worobong Forest Reserve where the Worobong project took place there is no updated management plan and the reforestation program being developed is not incorporated to any general planning of the Reserve. The only project that developed a serious first approximation to a management plan is the Missahoé project for the Missahoé Forest Reserve.

**Timber exploitation in protection forests.** In projects that are executed in obviously protection or relict forests (Orozas, Urumba, Chiquiacá, Nueva Vizcaya), even when legally recognized as production forests, it is necessary to carefully evaluate the validity of the proposal of using them to practice forest management for timber production. Even where there are still some large valuable trees, the main value of such forests is as watershed protected areas or and as endangered biodiversity conservation areas. Their potential value for profitable logging is very limited due to high costs of harvesting and transport, to what it is necessary to add the lack of experience and means of local communities to exploit them in an ecologically sound manner as well as to reach appropriate markets. Also, exploitation of these forests may easily be in conflict with ITTO guidelines on the matter. Other options such as reforestation and/or payment for environmental services may be a better response to the problem of providing incomes to local communities to avoid their destruction.

**The importance of natural regeneration as a forest land rehabilitation tool.** In several of the reviewed projects one of the declared objectives has been the rehabilitation of heavily degraded forest land. When soil degradation is extreme, it is unfair to request very poor local people to support their rehabilitation by planting trees that will probably never achieve direct economic profits. The rehabilitation of such lands must be carried out as a public environmental service, and if there is no mechanism in place to compensate local communities for the service provided to wealthier lower land communities, they must not be required to conduct reforestation. In most cases (Abutia, Worobong, Nueva Vizcaya) it is obvious that to favor natural regeneration and vegetational succession is more than enough to achieve the desired rehabilitation, provided the area is protected from fire and/or overgrazing. Only Nueva Vizcaya rightly adopted these measures that are relatively inexpensive. Thus, it is advisable that ITTO include this option as one of the components of its community forestry projects and that it finance the necessary activities for fire (i.e., firebreaks) and/or grazing control (fences).

**Projects and protected areas.** A positive aspect has been the location of projects with regard to protected areas, often inside forest reserves (Worobong, Missahoé), buffer zones (Darién, Urumba, Chiquiacá) or
forming a corridor between two protected areas (Abutia). However, in most cases the expectable positive impacts were not obtained as the projects were not successful.

Use of ITTO funding in activities not related to forestry. In several cases project executors intended to solve short term economic needs of local people by diverting the pursued goals with activities not related to forestry, such as promoting the culture of new coffee varieties and rural extension (Urumba), fantasy flower handicrafts (Nueva Vizcaya), providing equipment to process cassava (Worobong), Paris mushroom production (Missahoé), etc. While these alternatives help local people, their own success may diffuse the interest in forestry or drain local efforts to manage forests and to maintain tree plantations, as was quite obviously the case in Urumba and to some extent in Worobong.

Comparison between projects is not easy as, despite similarities, each one is a particular case. Three projects (Orozas/Chiquiacá, Urumba and Darién) were aiming at natural forest management. Abutia and Worobong were essentially forest plantations. Nueva Vizcaya and Missahoé were a mix of forest management and reforestation. All involved poor rural communities, all were located near or inside protected areas and all were dealing with denuded forest soils or degraded forests susceptible to fires. However, there were also substantial differences among them such as being or not an ITTO second phase project, project duration, time elapsed after project completion, public or private executors, project budgets, legal situation of access to forest resources, support from national authorities, etc. Based on the results of the evaluation of the objectives achieved, or possible to achieve, the ranking includes three projects that are considered as having great potential for success (Missahoé, Worobong and Nueva Vizcaya). Among the other projects, Chiquiacá is the one that shows the best potential for follow up.

Poor baseline project information. Most projects had no quantified baseline information on the pre-project situation. Thus it was very difficult to evaluate some of the programmed outputs; especially those related to natural forest recuperation (Nueva Vizcaya) or to the application of the taungya or modified taungya system (Worobong and Missahoé). It has been often difficult to obtain quantified information on the pre and post-project dimension of the deforested area and within it, the area submitted to agriculture or grazing, the types and area of degraded land, the area of secondary forests of different types and ages, of mature degraded forests or the area of mostly untouched forests, among other information that would allow a more efficient evaluation of results. It is advisable that such technical information be provided to ITTO with the project proposal. Often a few simple good quality aerial photographs or remote sensing images may satisfy this need.

Governmental authorities’ participation and response. The governmental response to the projects has been quite diverse from country to country and from project to project. All offered official support to the projects as this is an ITTO requirement. However, the effective support for two of the projects (Bolivia and to some extent Panama) has been limited. In the case of Peru the official support was high as the INRENA itself was the executing agency, providing adequate logistic and administrative support to its project but, to a large extent, the appointed team of consultants worked in isolation and, as a result, the community was unable to obtain the indispensable authorization for forest management and utilization. The INRENA also failed seriously in providing its budgetary contribution to the project. In the Philippines, government participation in the project has been exceptionally high as its forest agency executed the two-phase project and is still present in the project area. In the Ghana projects the forestry agency executed the projects through NGOs but has been permanently present in the steering committees and in the field. Nevertheless, the forestry agency has been unable, during execution, to rectify the Abutia project despite serious difficulties with the executing NGO. In Togo the project benefited initially from the participation of an NGO but the bulk of the project has been developed with notable success directly by the forestry agency.

Relevance of projects results in function of ITTO objectives, plans and strategies. The correlation of project objectives with the ITTO 1994 Objectives and the Yokohama Action Plan 2000-2006 is very high. The correlation of project results with ITTO objectives, plans and strategies has been reduced depending on whether the objectives were partially or not achieved.

Implementation, administration. The projects have used up-to-date appropriate strategies of implementation. All seven were very fortunate in the selection of tactics to improve empowerment of leadership and local participation in the project. Regarding other matters (planning, geographic information systems, etc.) the projects applied up-to-date technological packages. However, several projects had weaknesses related to the capacity to address technical forestry matters. Administration was carried out well and no major problems were encountered. All projects required execution period extensions without budget increase, varying from a few months (Nueva Vizcaya, Urumba, Orozas and Chiquiacá, Missahoé) up to much more than a year (Darién, Worobong, Abutia). The diverse committees, commissions and other
management instances operated well in all projects except, to some extent, in Abutia. Rightly, projects were managed as locally as possible and the central offices in the capital or regional cities provided efficient political, administrative and logistical support.

Costs and cost structure. The ex-post evaluations found costs and cost structures adequate. As a matter of fact, excepting Worobong, few budget changes were requested and approved by ITTO. Cost-efficiency (considering efficiency at the level of products or outputs) was estimated as normal for this kind of projects.

Project duration. In all reviewed projects it has been evident that project duration was insufficient to accomplish the programmed or pursued final objectives or purposes. This has been the case including the projects that were already a second phase. Projects attempting to increase incomes and foster the quality of life of very poor local communities by means of sustainable forest management, and especially through reforestation programs, must have a much longer duration. From the experience collected in the reviewed projects it is necessary to plan on at least 5 years for natural forest management to provide the first net economic results and possibly as much as 10 to 15 years for some reforestation projects\(^\text{16}\), depending on the species, soil and ecological conditions, intensity of management as well on the objectives of the plantation and the level of incomes that may be generated by associated options, such as agroforestry and fruit trees among others.

The main argument in favor of longer duration projects is that the time constraint is often the cause of serious mistakes. Usually a full year is necessary for the project to become fully operational. Most of the time in the first year is spent to appoint the staff, organize the project, build or locate the facilities, conduct the social and economic studies and the soil surveys, establish the forest nurseries and especially to contact, convince and organize the local people. It may be expected that these activities can be carried out before ITTO’s first disbursement; however, this is unrealistic as executing agencies rarely have the resources to anticipate expenses. The second year is essentially for initial effective operations and training. Therefore it is just impossible for any forest plantation project to produce incomes for local people before its fifth anniversary, provided ITTO agreed on an extension. And the only incomes that a reforestation program may provide in four years is fuelwood and, maybe some fruit trees, options that are not always viable.

Timely corrections to project design. When, as in the case of several reviewed projects, it becomes evident that the original design contains important flaws it is much better to adopt corrective measures than to persist in the errors. Only one project out of all those requiring a design review adopted such a measure requesting ITTO’s permission to cut by half the plantation target in order to avoid the collapse that was evidently coming with raising maintenance costs, and to tackle the growing unhappiness of the project beneficiaries. By taking this measure, the Worobong project may become a success while the Abutia project is condemned to failure if drastic remedies are not urgently applied. The projects in Peru and Bolivia would not have failed if it had been decided on time to shift the project from natural forest management to reforestation.

5. Recommendations

ITTO continued involvement in community participation in forestry. It is evident that ITTO must continue dealing with the every day more important theme of community participation in forestry. However, its approach must be entirely reviewed as this evaluation, as well as other ITTO ex-post evaluations, and the recent literature on the subject are unanimous in pointing out the same unresolved issues described in the present report. The main aspects to be considered at the project design, execution and evaluation stages are mentioned in other sections of this report.

Project duration. Partial or complete solutions to the need of longer project execution periods are, depending on the cases: (1) spreading the same ITTO budget, usually allocated for 3 or 4 years, over a significantly longer period of time by reducing the dimension of some of the projected outputs; (2) warranting a timely second phase to projects that obviously will require a longer maturation period; (3) building into the reforestation projects a kind of fund or budgetary reserve exclusively for plantation maintenance, that can be kept by the executing agency after formal project completion under some kind of reporting to ITTO; and (4) building into the project design the economic options that will allow the project to be self sustained after

\[\text{This is the time necessary to collect the benefits of a first commercial thinning of a teak plantation in the Abutia plain (Ghana) conditions. Other species, such as } \text{Cassia}, \text{ may produce incomes much earlier (around 4 years) if utilized as firewood or for charcoal.}\]
project completion. Obviously, the last option is the ideal one but, as seen in the evaluated projects, it is difficult to achieve. This, as other options, may be combined with others.

Anyhow, it is advisable that the ITTO review its policy of financing projects with duration of only 3 to 4 years when dealing with forestry in poor rural communities. In many cases the same amount of funds can be much better utilized when spread over a longer execution period. As a matter of fact, none of the projects has been executed without an extension.

**The basics of forest management.** ITTO, as other agencies should be deeply concerned about the evident deficiencies regarding the principles of forest management or sustainable forest management. Both in natural forest and in plantation forests, the management plans were overly simplistic, mostly rhetorical and would not ensure either economic or ecological sustainability. It is essential to consider the social dimensions of forestry but it is equally essential to consider the forestry dimensions of forestry. In other words it is indispensable to add science to good will in community based forestry. Thus, it may be necessary to design a special program to renew and revitalize the concepts of sustainable forest management at the level of young professional foresters of producer countries.

**ITTO funding for non forestry actions.** ITTO may wish to contractually limit its support to non forestry activities to the planting of permanent fruit trees. It is advisable that project executors seek assistance from other sources to provide agricultural assistance that, admittedly, may help to achieve project objectives.

**Forestry research.** It is recommended that ITTO avoid financing almost pure forest research projects. When basic research is needed to manage a forest resource it could be more effective to request that CIFOR or any other specialized agency carry out the research component than to sponsor it directly. In any event it is important that the research results be made available in the local languages.

**Timber exploitation in protection forests.** ITTO may consider adopting a very cautious approach to the financing of projects that intend to exploit timber in natural forests that are technically protection forests or that are endangered relict forest ecosystems. In such cases it may be advisable to finance mechanisms that would allow local population to be paid for environmental services, tourism activities and/or to exploit forest products other than wood.

**Technical assistance to project preparation and execution.** It may end up being more cost-effective to appoint experimented consultants to evaluate selected project proposals and assist in their preparation before their final approval by ITTO than to carry out complete detailed ex post evaluations. Mid-term evaluation and assistance by ITTO officers or consultants must elaborate on the essence of the projects (attainment of development objectives) based on field visits and, if necessary, forcefully promote the changes that are deemed essential for success.

**ITTO’s responsibility.** The limited prospects of achievement of the development objectives of the evaluated projects are a primary responsibility of the proponent and executing agencies. However, the ITTO clearly shares a parcel of the responsibility as the financing institution that reviewed and approved the project design and conducted a close follow up of these operations. Of course, it is impossible that the ITTO continue for ever sustaining unsuccessful projects. Therefore, the ITTO may actively seek, jointly with corresponding government agencies, solutions for each case. For the Peruvian and Bolivian projects it is essentially a matter of getting an official decision regarding access to forest resources. This may be requested as a pre-condition for new ITTO operations in these countries. In other cases the situation may be solved through finding other national (rural development agencies, rural development banks) or international agencies (the World Bank, African Development Bank, bilateral cooperation) that are acting in the region and may wish to finance the funding gap, correct the errors and continue the economic venture proposed by the project.

**Second or third phase of projects.** The mission recommends that ITTO approve or actively promote through other donors a second phase for Worobong and Missahoé. The reason is that these are the reviewed projects that offer the clearest and most significant possibilities of reaching their objectives, provided a carefully planned follow up operation is executed. Most plantations are in very healthy conditions, with exceptional growth rates, and the local populations are exceptionally enthusiastic about the project’s possibilities. They can easily become emblematic success projects of community participation in forestry. The Worobong project documentation mentions it is already a second phase however the so called first phase was a different project implemented in other locations. In the case of Missahoé it is advisable that a

17 Fruit trees can be accepted on the ground of their positive impact regarding soils and watershed.
second phase include also, in a single operation, the continuation of some aspects of the ITTO project PD 122 /01 Rev 1 (F) regarding the regeneration of samba, which has been implemented in the same region. In both cases the proposed second phase must exclusively address the activities that will lead to rapid and sustained self maintenance. However, as of now, there have been no applications for follow up phases submitted to ITTO. Finally, the mission considers that the Chiquiacá component of the Bolivian Orozas and Chiquiacá project is also worth a follow up for similar considerations. A project proposal has been submitted to ITTO, although it would need major adjustments.

**Ex post evaluations.** Ex post evaluations may require a more flexible time allocation per project depending on the project characteristics, especially access. Some may require more time than others. It also seems possible to reduce the number of members of the ex post evaluations missions. Time elapsed between project termination and ex post evaluation is a factor to be considered in planning these activities. When the evaluation is made a long time after completion it is frequent not to find the project’s actors or all the required information (Urumba, Darién). However, in such cases it is easier to evaluate overall project’s impacts. In many ways, evaluations of recently terminated projects (Worobong, Abutia) may show results that are more favorable than those resulting from a delayed evaluation. Additionally, ITTO should require, as part of its project completion report, a summary of actual expenditures as related to project activities that would follow the same format as the outputs and costs related to activities presented in the project proposal document, but would have the actual expenditures summarized at project completion. This would not be an additional audit, but rather a tool to analyze the orders of magnitude of project expenditures per activity and specific objective.

**ITTO must not be involved in projects were key legal elements can’t be confirmed.** The cases of Urumba, Orozas and Chiquiacá that failed essentially due to the lack of governmental authorizations to access the land and/or to utilize forest resources that were the rationale of the projects, demonstrates that ITTO must be very careful not to approve projects or disburse funds before all essential legal and administrative elements for success are provided. Not only should ITTO be especially careful with legal considerations concerning projects but member governments should avoid submitting project proposals to ITTO unless they can guarantee clear community land tenure or access to forest resources, as well as clearance of forest management plans and/or logging authorizations. These aspects must be fully solved before project approval or remain as a first disbursement condition.

**Governmental responses to projects and result's follow up and sustainability.** Considering the relatively low response of governmental agencies in at least four of the seven evaluated projects, ITTO may wish to consider the following measures: (1) to request governments to provide a larger share of the project costs to be specifically included in the forest agency’s annual budget; (2) to condition ITTO disbursements to the fulfillment of minimal government’s contractual obligations (actual funding, staff financing, etc.); (3) request, as a condition, the active involvement in the project of other governmental agencies that are related to rural development and; (4) condition the approval of new projects in the same country to its performance regarding each ITTO project.

**Non-governmental organizations as executing agencies.** It is advisable that ITTO continue favoring NGO participation in its projects. However, it is recommended a careful evaluation of its capacity, including experience in forestry, and of its seriousness before project approval, in order to avoid exceptional situations such as in the Abutia project. Especially, the national forestry agency must be fully comfortable with the proposed NGO.

**Transfer to local organizations of project infrastructure, equipment and other goods.** In some projects, such as in Urumba, the executing agency did not formalize the transfer of all properties, equipments and other goods acquired with project funds to the final beneficiaries, usually the community enterprises created with the project. In the case of Urumba the wood processing equipment and part of transportation equipment are indeed in hands of the beneficiaries but as the legal transfer was not achieved, the community enterprise created by the project cannot use this capital as collateral for financial operations such as loans, or for other legal purposes.
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