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**REPORT OF THE EXPERT PANEL
FOR TECHNICAL APPRAISAL OF ITTO PROJECT PROPOSALS**

Thirty-Ninth Meeting

1 – 5 February 2010, Yokohama, Japan

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**REPORT OF THE EXPERT PANEL FOR THE
TECHNICAL APPRAISAL OF ITTO PROJECT PROPOSALS
(Expert Panel)
REPORT OF THE THIRTY-NINTH MEETING**

1. TERMS OF REFERENCE

- 1.1 The Expert Panel worked in accordance with the Terms of Reference attached as **Appendix I**. Furthermore it has been guided by the endorsement of the Council at its 40th Session of Document ITTC (XL)/5 and, in particular the authorization contained in paragraph 7, to apply the “Revised ITTO System for Technical Appraisal of Project and Pre-project Proposals”. Since then the Panel has been testing the scoring system and further revising it. The Thirty-ninth Panel appraised the proposals and classified them according to categories listed in **Appendix II** applying the current consolidated version of the scoring system summarized in **Appendix V** and **Appendix VI**.

2. PANEL MEMBERSHIP

- 2.1 The Thirty-ninth Expert Panel was attended by the members listed in **Appendix IV**. Dr. Luiz Carlos Estraviz Rodriguez (Brazil) chaired the meeting.

3. APPRAISAL PROCEDURE AND CRITERIA

- 3.1 In accordance with past practice, each project or pre-project proposal was introduced by two Panel members (one from a Producer country and one from a Consumer country). After that the Panel held an open discussion and finally concluded its assessment by taking a consensus decision on the category of each project or pre-project in accordance with terms contained in **Appendix II**. Furthermore, it applied the criteria for assessment contained in the third edition of the ITTO Manual for Project Formulation. In cases where proposals were submitted to the Panel as revised project or pre-project (Rev.1 or Rev.2), the Panel first referred to the overall and specific recommendations made by the earlier Panel(s) to assess if these recommendations have been adequately addressed.
- 3.2 The procedures, aspects and guidelines applied by the Panel to appraise project and pre-project proposals are laid down in the Terms of Reference of the Expert Panel for the Technical Appraisal of ITTO Project Proposals (**Appendix I**).
- 3.3 In cases where a project or pre-project proposal was submitted to the Panel that had already been subject to two revisions by prior Panel sessions (Rev.2 documents) the Panel had to follow Council's Decision 3(XXXVII) that projects may only be assessed three times and that such Rev.2 projects would either have to (a) qualify by obtaining category 1 (to be commended to the Committee); or (b) in case it does not qualify for a category 1 it could not be commended to the Committee.
- 3.4 The Panel analyzed the proposals which obtained category 1 in view of Terms of Reference of the Bali Partnership Fund and found that none of them were eligible for funding from the Bali Partnership Fund in accordance with Decision 8 (XXV) of the ITTO Council.

4. APPRAISAL AND ASSESSMENT CARRIED OUT

- 4.1 Seventeen (17) projects and two (2) pre-projects (total of 19) proposals were received for appraisal by the Thirty-ninth Expert Panel. The overall list of 19 Project/Pre-project proposals reviewed by the Expert Panel and the category of decision allocated to each proposal is presented in **Appendix III**. The procedure and criteria applied for the assessment have been specified above in section 3.
- 4.2 The ITTO Secretariat allocated the Project and Pre-project proposals in three blocks so that the Panel could deal with all proposals related to Reforestation and Forest Management (13), then with those related to Economic Information and Market Intelligence (2) and finally those related to Forest Industry (4). This arrangement facilitated the appraisal as well as the formulation of the overall assessment and specific recommendations for each proposal listed in **Annex III** of this report.
- 4.3 The assistance provided by the ITTO Secretariat in addressing previous deliberations and necessary inputs on each Project/Pre-project was definitively essential and very useful for adequate work of all panel members before they could finalize their evaluations and recommendations.
- 4.4 In following-up the meetings' results, the Panel requested the Secretariat to provide the following information and documents to all countries who have submitted proposals:

- The Overall Assessment and Specific Recommendations on each proposal submitted by the country (**Annex**);
- General comments and final categories commended by this Panel (section 5 and **Appendix III** of this report).

4.5 General Comments and Specific Recommendations of the Thirty-ninth Expert Panel, as derived from the appraisal of all 19 proposals, are listed in section 5.

4.6 The Panel heartily appreciated the willingness of the Secretariat to work effectively for very long hours whereby full deliberation of the 19 proposals and the success of this Thirty-ninth Panel were made possible.

5. GENERAL COMMENTS AND SPECIFIC FINDINGS

5.1 The Panel continues to recommend that ITTO focal point in each member country ensures prior to submission to ITTO that proposals are assessed at the national level with regard to the country's priorities and to the relevance to ITTO objectives and in conformity with guidelines provided by the third Edition of the ITTO Manual for Project Formulation (GI Series 13).

5.2 The Panel underscores the need for focal points in each country to play an active role to ensure that high quality proposals are submitted and a clearinghouse mechanism and proper monitoring and evaluation mechanism are in place.

5.3 Member countries are encouraged to submit no more than three new proposals per Expert Panel Meeting (Decision 3(XXXVII)).

5.4 The Panel reminds proponents and ITTO focal points that the Council requested the member countries to formulate and submit new (Pre-) Project proposals exclusively based on the third edition of the ITTO Manual for Project Formulation (Decision 5 (XLIV)), and the Panel further encourages proponents to use the ITTO Pro-Tool software, a program that guides project formulators on producing good quality project proposal.

5.5 Five (5) project proposals (26 percent of total) were commended to the Committee for decision with minor modifications required (category 1). Of this total, two (2) were new projects and three (3) were revised submissions. It is noted that proponents had made efforts to effectively follow the specific recommendations made by the previous Expert Panels for revised and reformulated proposals. However, in some cases these recommendations were only partially followed.

5.6 Six (6) project proposals (32 percent of the total) received a Category 4 rating, indicating that the Expert Panel does not commend these to the committee for approval as they require a complete reformulation.

5.7 **Specific findings** from the Thirty-ninth Panel meeting:

1. Six (6) project proposals and two (2) pre-project proposals will be sent back to proponents for revisions. The observations made through the assessment were as follows:
 - (a) It is clear that many proponents have not fully incorporated the third edition of the ITTO Manual for Project Formulation in their proposals. Proponents are strongly encouraged to make efficient use of the guidance in the Manual, not only to apply the format but also to improve the content.
 - (b) Proponents should present the budgets in accordance with the third Edition of the ITTO Manual for Project Formulation.
 - (c) Panel members observed that the scope of the key problem was not adequately identified in some of the proposals, leading to proposals with weak focus.
 - (d) Terms of References, profiles and organizational charts were not included in some project proposals. These should be provided.
 - (e) Proposals commonly exhibit confusion between different levels of results (development objective, specific objective and outputs).
 - (f) In most cases the sections on implementation approaches and methods do not conform to guidance provided in the Manual.
 - (g) Although improvement of livelihoods and mitigation of climate changes have been mentioned by many project proposals, these issues were only mentioned as catchwords without further elaboration.

- (h) For projects that stipulate international or regional cooperation, proposals have not included letters from participating Countries. In these cases, letters from cooperating countries are mandatory.
 - (i) ITTO focal points should ensure that there is no conflict of interest when the proposal involves private corporations, or any other profit oriented organization, as executing agencies or responsible for managing funds and setting priorities.
 - (j) Sustainability was a major concern for some proposals especially those submitted by NGOs, where mechanisms ensuring continuity are absent or adequate exit strategies are provided to ensure that project benefits will continue.
2. The 39th Panel Meeting is the second session assessing the proposals mostly drafted in accordance with the third edition of the ITTO Manual for Project Formulation, thus the Panel observed the following points through the assessment for those proposals in connection with the new Manual:
- (a) The Panel noted the overall usefulness of the revised Manual, due to its clear guidance regarding specific proposal components, supported by strong logical justification, and its identification of essential points that proponents must bear in mind in the course of Project formulation.
 - (b) Some of the new proposals fully utilized the Manual not only in terms of format and organization but also through incorporating the detailed instructions in their proposals. Such proposals were generally successful in presenting all required elements. Those proposals that applied only the format but failed to follow the detailed guidance in the Manual were not successful in convincing the Panel.
 - (c) The panel noted that the guidance provided in the manual for stakeholder analysis has improved the quality of the proposals and facilitated their appraisal.
 - (d) The quality of the proposals has increased in general, but still budget presentation has varied across different proposals.
 - (e) To help with budget elaboration and other refinements during proposal preparation, the improvement of Pro-Tool should be undertaken as early as possible and made accessible to all member Countries.

6 EXPERIENCE FROM APPLICATION OF THE APPRAISAL SYSTEM

1. After several and continuous tests, provided in sessions 33, 34, 35, 36, 37, 38 and 39 of the Expert Panel, the appraisal system has allowed the members of the Expert Panel to further develop and improve its usefulness. These improvements have been already listed on the report of the 38th session of the Expert Panel.
2. The system has the potential to help expert panel members to cover all the aspects. But it still up to all evaluators to adequately analyze aspects such as key assumptions, expected outcomes, approaches and methods and sustainability.
3. The use of the scoring system is essential when proposals are being revised for first time. But it becomes less essential for subsequent evaluations (Rev. 1 and Rev. 2), given that the panel becomes more concentrated on how well the proponent has addressed the recommendations.

The 39th Expert Panel has agreed upon the final format of the scoring spreadsheet as shown in **Appendix V**.

7 PANEL DECISIONS ON PROJECT AND PRE-PROJECT PROPOSALS

7.1 The Panel's decisions are listed in **Appendix III**, in accordance with established practice. Proposals classified by regions, by committee areas and by submitting countries are summarised in the following tables:

Summary of Project and Pre-project proposals submitted to the Thirty-ninth Expert Panel by Region

Region	Project Proposals				Pre-project Proposals				Total
	RFM	FI	EIMI	Total	RFM	FI	EIMI	Total	
<i>Americas</i>	1	1	2	4	1	-	-	-	5
<i>Asia Pacific</i>	5	3	-	8	-	-	-	-	8
<i>Africa</i>	5	-	-	5	1	-	-	-	6
Total	11	4	2	17	2	-	-	-	19

RFM = Reforestation and Forest Management

FI = Forest Industry

EIMI = Economic Information and Market Intelligence

Decisions of the 39th Expert Panel on Project and Pre-project proposals by Committee Area

Category	Committee			Total
	RFM	FI	EIMI	
<i>Projects</i>				
1	3	2	-	5
2	4	1	1	6
3	-	-	-	-
4	4	1	1	6
Total	11	4	2	17
<i>Pre-projects</i>				
1	-	-	-	-
2	2	-	-	2
4	-	-	-	-
Total	2	-	-	2

Decisions of the 39th Expert Panel on Project and Pre-project proposals by Submitting Country

Country	Category				Total
	1	2	3	4	
Brazil		(1)			1
China				1	1
Côte d'Ivoire		1+(1)			2
Ghana	1	1		1	3
India				2	2
Indonesia	1				1
Japan	1				1
Malaysia		1			1
Mexico	1			1	2
Nepal		1			1
Panama				1	1
Papua New Guinea		1			1
Peru		1			1
Republic of Congo	1				1
Total	5	6+(2)		6	17+(2)

Note: Parenthesis indicates pre-project.

APPENDIX I

TERMS OF REFERENCE OF THE EXPERT PANEL FOR THE TECHNICAL APPRAISAL OF ITTO PROJECT PROPOSALS

The Panel shall:

- (i) Assess new Project and Pre-project proposals submitted to the organization. The recommendations for amendments to these proposals shall be made by the Expert Panel exclusively for the purpose of ensuring their technical soundness;
- (ii) Screen the Project proposals for their relevance to ITTO's Action Plan and Work Programs (in the areas of Economic Information and Market Intelligence, Reforestation and Forest Management, and Forest Industry), and consistency with ITTO decisions and policy guidelines, but not otherwise prioritize them;
- (iii) Where reformulation involving major amendments is recommended, request to carry out a final appraisal of the revised versions of Project and Pre-project proposals, prior to their presentation to the relevant ITTO Committees;
- (iv) Report on the results of the technical assessment of Project and Pre-project proposals to submitting governments and to the ITTO Council and Committees, through the ITTO Secretariat;
- (v) The Expert Panel shall take into consideration previous Expert Panels' reports.

The Expert Panel, in assessing Projects and Pre-projects, shall also take into account:

- (a) their relevance to the objectives of the ITTA, 2006 and the requirement that a Project or Pre-project should contribute to the achievement of one or more of the Agreement objectives;
- (b) their environmental and social effects;
- (c) their economic effects;
- (d) their cost effectiveness;
- (e) the need to avoid duplication of efforts;
- (f) if applicable, their relationship and integration with ITTO policy work and their consistency with the ITTO Action Plan 2008-2011 including:
 - ITTO Guidelines for Sustainable Management of Natural Tropical Forests, 1990;
 - Guidelines for the Establishment and Sustainable Management of Planted Tropical Production Forests, 1993;
 - Guidelines for the Conservation of Biological Diversity in Tropical Production Forests, 1993;
 - ITTO Guidelines on Fire Management in Tropical Forests, 1996;
 - ITTO Guidelines for the Restoration, Management and Rehabilitation of Degraded and Secondary Tropical Forests, 2002; and
 - ITTO Mangrove Work Plan 2002-2006.

APPENDIX II

Rating Categories of the ITTO System for Technical Appraisal of Project and Pre-project Proposals

Rating schedule for Project proposals

Category 1: The Panel concluded that the proposal could be commended to the Committee with incorporation of amendments.

Category 2: The Panel concluded that the proposal requires essential modifications and will be returned to the proponent. The Panel will need to assess the revised proposal before it can commend it to the Committee.

Category 3: The Panel concluded that the proposal is not accepted because a Pre-project proposal is required. According to the indication of the Panel the Pre-project shall (a) be submitted to the Expert Panel for appraisal or (b) could be directly submitted to the Committee for appraisal.

Category 4: The Panel concluded that it could not commend the proposal to the Committee, and submits it to the Committee with the recommendation not to approve the Project proposal. Justification should be given to the proponent and the Committee (e.g. complete reformulation is necessary; in case of rev.2 Project proposals; Project not relevant; Project with insufficient information, etc.)

Rating schedule for Pre-project proposals

Category 1: The Panel concluded that the proposal could be commended to the Committee with the incorporation of amendments.

Category 2: The Panel concluded that the proposal requires essential modifications and will be returned to the proponent. The Panel will need to assess the revised proposal before it can commend it to the Committee.

Category 4: The Panel concluded that the Pre-project proposal is not commended to the Committee. The proposal is submitted with the recommendation not to approve the Pre-project proposal.

APPENDIX III
List of Project and Pre-project Proposals reviewed by the
Thirty- Ninth Expert Panel

Project No.	Title	Country	Category
PPD 145/09 Rev.1 (F)	Study to Establish a Pilot Community Forest in Côte d'Ivoire	Cote d'Ivoire	2
PPD 146/09 (F)	Tropical Forest for Livelihoods: A Cross-Continental Assessment for Multipurpose Management Approaches and Research Priorities	Brazil	2
PD 537/09 Rev.1 (F)	Climate Change and Demonstration of Community-Based Countermeasures for Tropical Forest Fire Management in China	China	4
PD 538/09 Rev.1 (F)	Community-based Participatory Forest Fire Management Project in the National Forests, Nepal	Nepal	2
PD 550/09 Rev.1 (F)	Climate Change Impact on the Phenology and Availability of Mexican Tropical Species Germplasm	Mexico	4
PD 555/09 Rev.1 (F)	Integrated Management of Teak and Terminalia Spp. Stands Affected by the Dieback Disease in Côte D'Ivoire	Côte d'Ivoire	2
PD 559/09 Rev.1 (F)	Integrated management approach for sustainable forestry development with community participation in India	India	4
PD 560/09 Rev.1 (F)	Conservation and Sustainable Management of Mangrove Forests of the Kouilou Coastal Area, with the Participation of Local Communities Established in this Area of Southern Congo	Rep. of Congo	1
PD 562/09 (F)	Tropical Hardwood Reforestation, Natural Rehabilitation, and Biodiversity Education by Example: Promoting Private Mixed Plantations of Indigenous Tree Species in Ghana	Ghana	4
PD 563/09 (F)	Community Based Forest Management of Sungai Medihit Watershed	Malaysia	2
PD 564/09 (F)	Production of an educational book series on mangroves for sustainable management and utilization of mangrove ecosystems	Japan	1
PD 567/09 (F)	Enhance the capacity of civil society organizations in West Africa to collaborate with Governments in forest law compliance with the use of remote sensing	Ghana	2
PD 568/09 (F)	Developing community-based sustainable mangrove management system for the Amanzuri ad Ama Emissa River Estuaries in Ghana	Ghana	1
PD 521/08 Rev.2 (I)	Participatory Forest Management for Sustainable Utilization of Non Timber Forest Products (NTFP) surrounding the Protected Area of Rinjani and Mutis Timau Mt, Nusa Tenggara Indonesia	Indonesia	1
PD 549/09 Rev.1 (I,M,F)	Provenance Evaluation, Wood Technological Characterization and Market Survey for Balsawood (<i>Ochroma pyramidale</i> Cav.) in the Lacandon Forest, Chiapas, Mexico	Mexico	1
PD 551/09 Rev.1 (I)	National Training Program to Promote the Adoption of Reduced Impact Logging (RIL) in Papua New Guinea	PNG	2
PD 561/09 (I)	Processing and Marketing of Teak Wood Products of Planted Forests	India	4
PD 565/09 (M)	Efficient Regional Management for the Harvesting of Forest Resources in the Madre de Dios Region, Peru	Peru	2
PD 569/09 (M)	Preventing and Controlling Illegal Timber Logging in Darien, Panama, Through Improved Forest Governance and Community Participation	Panama	4

APPENDIX IV

THIRTY-NINTH MEETING OF THE EXPERT PANEL
FOR TECHNICAL APPRAISAL OF PROJECT PROPOSALS
Yokohama, 1 - 5 February 2010

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APPENDIX V

Revised Scoring Table – ITTO Project Proposal (PD)

Weighted Scoring System								
1.	Project relevance, origin and expected outcomes (15)			Mark	Score	Threshold		
1.	1.	Relevance						
1.	1.	1.	Conformity with ITTO's objectives and priorities (1.2.1)				Y	
1.	1.	2.	Relevance to the submitting country's policies (1.2.2)				Y	
1.	2.	Origin (1.1)				5		
1.	3.	Geogr. location (1.3.1)+ Social, cultural and environ. aspects (1.3.2)				5		
1.	4.	Expected outcomes at project completion (1.4)				5		
2.	Project identification process (25)							
2.	1.	Institutional set up and organisational issues (4.1. + 2.1.1)				5		
2.	2.	Stakeholders				10	Y	6
2.	2.	1.	Stakeholder analysis (2.1.2)		5			
2.	2.	2.	Stakeholders involved at inception (2.1.3.) & implementation (4.1.4.)		5			
2.	3.	Problem analysis (2.1.3)				10	Y	6
2.	3.	1.	Problem identification		5			
2.	3.	2.	Problem tree		5			
3.	Project design (45)							
3.	1.	Logical framework matrix (2.1.4)				20	Y	13
3.	1.	1.	Objectives (2.2)		5			
3.	1.	2.	Outputs (3.1.1)		5			
3.	1.	3.	Indicators & means of verification (columns 2 and 3 of the LogFrame)		5			
3.	1.	4.	Assumptions and risks (3.5.1)		5			
3.	2.	Implementation				20	Y	13
3.	2.	1.	Activities (3.1.2)		5			
3.	2.	2.	Strategy (approaches and methods, 3.2)		5			
3.	2.	3.	Work plan (3.3)		5			
3.	2.	4.	Budget (3.4)		5			
3.	3.	Sustainability (3.5.2)				5	Y	3
4.	Implementation arrangements (15)							
4.	1.	Project's management (EA - 4.1.1, Key staff - 4.1.2, SC - 4.1.3)				5	Y	3
4.	2.	Reporting, review, monitoring and evaluation (4.2)				5		
4.	3.	Dissemination and mainstreaming of project learning (4.3)				5		
Entire project proposal (100)					100,0%	Y	75%	
Category					1			

Marks indicate:

- 0 - Information is completely missing
- 1 - Very poor: some elements are there but the essential ones are missing
- 2 - Poor: essential elements are incomplete, insufficient, wrong or misunderstood
- 3 - Moderate: essential elements are available but unclear or inaccurate
- 4 - Good: clear, accurate and informative
- 5 - Excellent: clear, accurate, informative and comprehensive (perfectly integrated with other items)

Rating categories:

- | | |
|-------------|--|
| Category 1: | The Panel concluded that the proposal could be commended to the Committee with incorporation of amendments. |
| Category 2: | The Panel concluded that the proposal requires essential modifications and will be returned to the proponent. The Panel will need to assess the revised proposal before it can commend it to the Committee. |
| Category 3: | The Panel concluded that the proposal is not accepted because a pre-project proposal is required. According to the indication of the Panel the pre-project shall (a) be submitted to the Expert Panel for appraisal or (b) could be directly submitted to the Committee for appraisal. |
| Category 4: | The Panel concluded that it could not commend the proposal to the Committee, and submits it to the Committee with the recommendation not to approve the project proposal. Justification should be given to the proponent and the Committee. |

Revised Scoring Table – ITTO PRE-PROJECT PROPOSALS (PPD)

Weighted Scoring System							
1.	PRE-PROJECT CONTEXT (5)			Mark	Score	Threshold	
1.	1.		Origin and justification		5		
1.	2.		Relevance				
1.	2.	1.	Conformity with ITTO's objectives and priorities			Y	
1.	2.	2.	Relevance to the submitting Country's policies			Y	
2.	JUSTIFICATION OF PRE-PROJECT (15)						
2.	1.		Objectives		15	Y	9
2.	1.	1.	Development objective	5			
2.	1.	2.	Specific objective	5			
2.	2.		Preliminary problem identification	5			
3.	PRE-PROJECT INTERVENTIONS (25)						
3.			Outputs and activities		10	Y	7
3.	1.		Outputs	5			
3.	2.		Activities, inputs and unit costs	5			
3.	3.		Approaches and methods		5		
3.	4.		Work plan		5		
3.	5.		Budget		5		
4.	IMPLEMENTATION ARRANGEMENTS (15)						
4.	1.		Executing agency and organizational structure		5		
4.	2.		Pre-Project Management		5		
4.	3.		Monitoring and reporting		5		
Entire project proposal (60)					100,0%	Y	75%
Category					1		

Marks indicate:

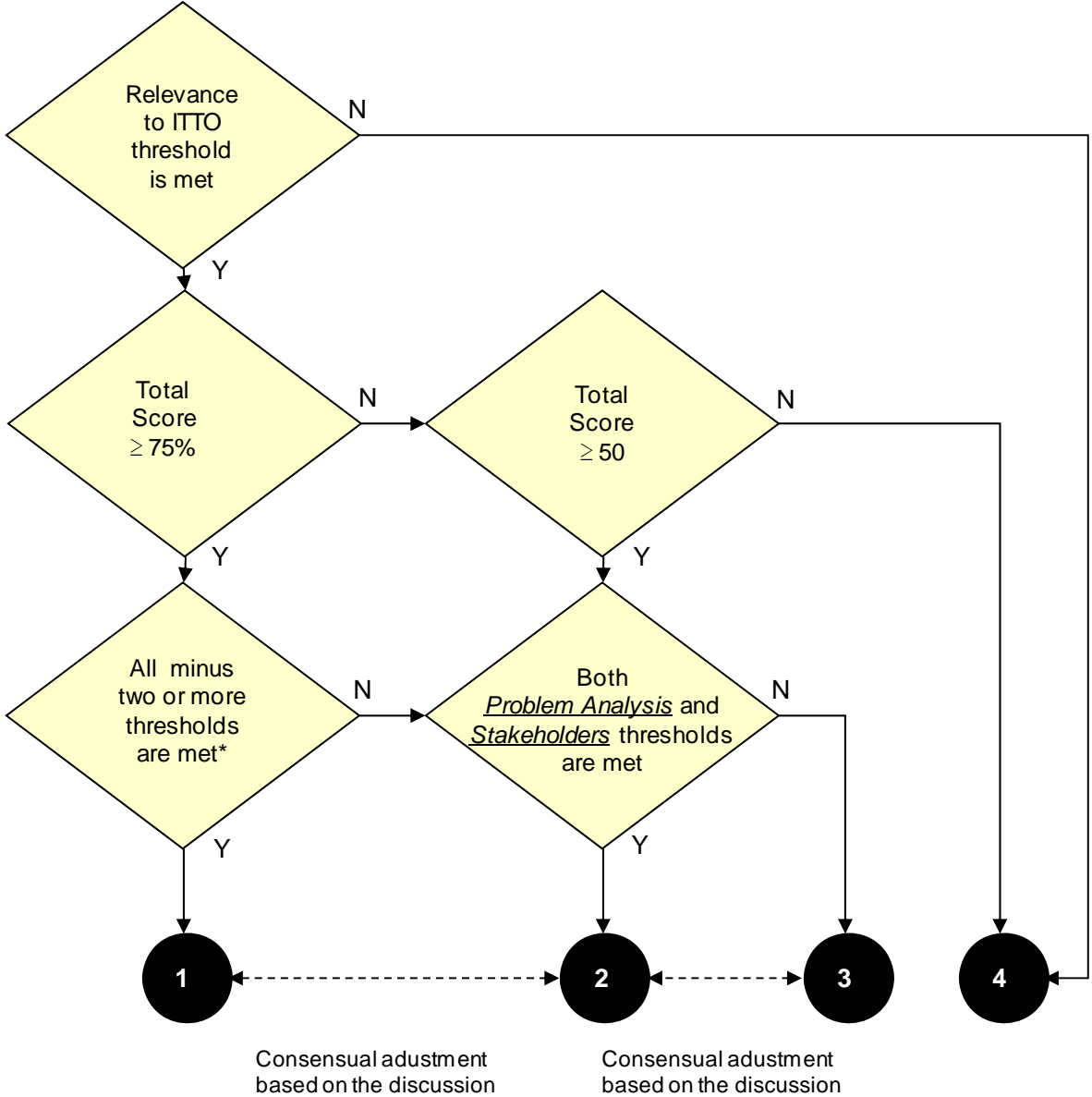
- 0 - Information is completely missing
- 1 - Very poor: some elements are there but the essential ones are missing
- 2 - Poor: essential elements are incomplete, insufficient, wrong or misunderstood
- 3 - Moderate: essential elements are available but unclear or inaccurate
- 4 - Good: clear, accurate and informative
- 5 - Excellent: clear, accurate, informative and comprehensive (perfectly integrated with other items)

Rating categories:

Category 1:	The Panel concluded that the proposal could be commended to the Committee with incorporation of amendments.
Category 2:	The Panel concluded that the proposal requires essential modifications and will be returned to the proponent. The Panel will need to assess the revised proposal before it can commend it to the Committee.
Category 3:	The Panel concluded that it could not commend the proposal to the Committee, and submits it to the Committee with the recommendation not to approve the project proposal. Justification should be given to the proponent and the Committee

Appendix VI
Flow charts for deciding categories in the scoring system

Project Proposals

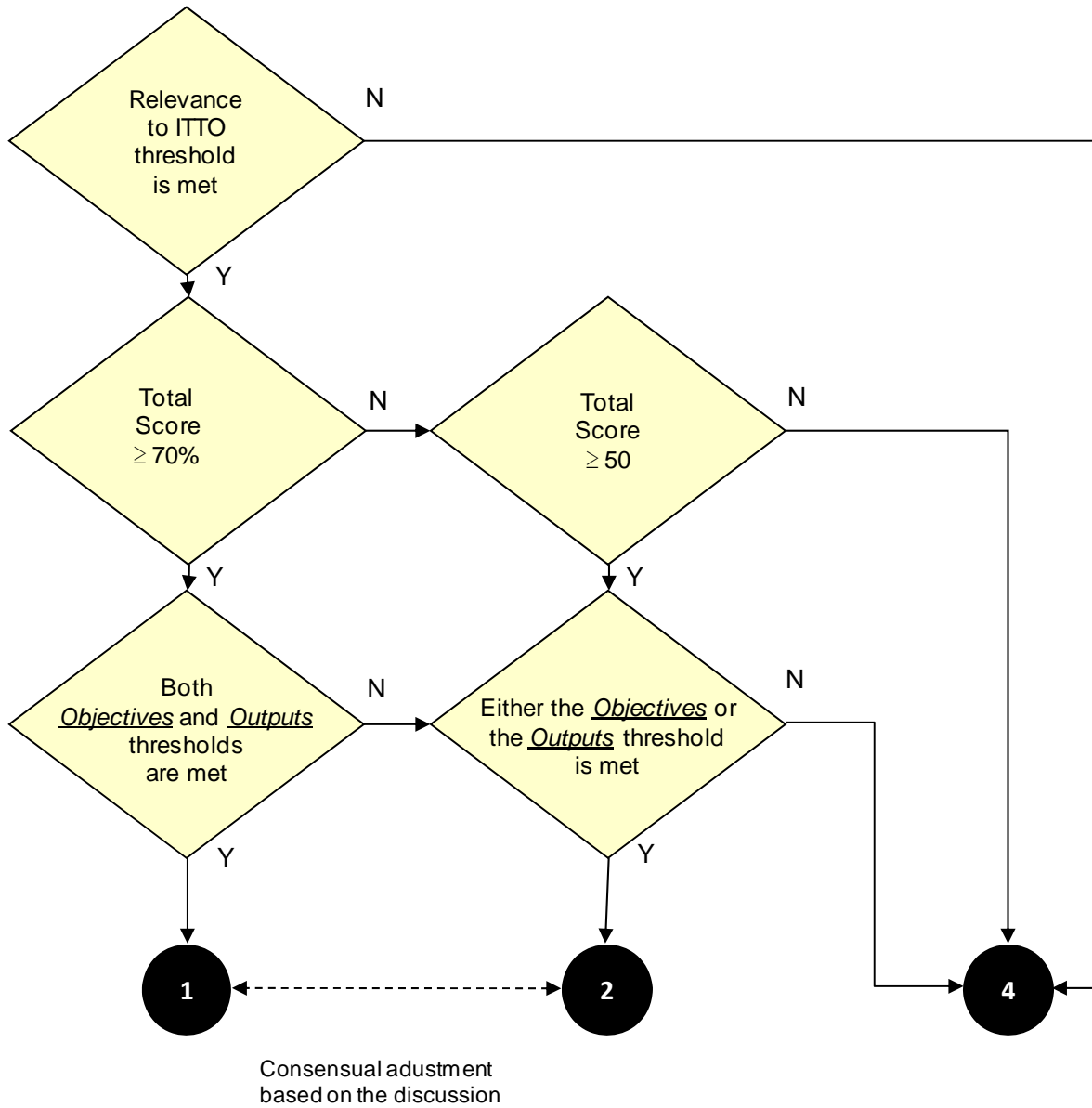


*Thresholds failed cannot be any two among the following three:

- Stakeholder
- Logical Framework
- Sustainability

- Category 1: The Panel concluded that the proposal could be commended to the Committee with incorporation of amendments. Proposal commended to the Committee with incorporation of amendments if any.
- Category 2: The Panel concluded that the proposal requires essential modifications and will be returned to the proponent. The Panel will need to assess the revised proposal before it can commend it to the Committee. Proposal requires essential modifications and will be returned to the proponent.
- Category 3: The Panel concluded that the proposal is not accepted because a pre-project proposal is required. According to the indication of the Panel the pre-project shall (a) be submitted to the Expert Panel for appraisal or (b) could be directly submitted to the Committee for appraisal. Proposal is missing fundamental information, consequently a pre-project is required and to be submitted to the EP.
- Category 4: The Panel concluded that it could not commend the proposal to the Committee, and submits it to the Committee with the recommendation not to approve the project proposal. Justification should be given to the proponent and the Committee Proposal not recommended but submitted to the Committee with the recommendation not to approve the project proposal, (a) either because a complete reformulation is necessary, or (b) because it's not relevant to ITTO. Justification should be given to the proponent and the Committee.

Pre-Project Proposals



- Category 1: The Panel concluded that the proposal could be commended to the Committee with incorporation of amendments. Proposal commended to the Committee with incorporation of amendments if any.
- Category 2: The Panel concluded that the proposal requires essential modifications and will be returned to the proponent. The Panel will need to assess the revised proposal before it can commend it to the Committee. Proposal requires essential modifications and will be returned to the proponent.
- Category 4: The Panel concluded that it could not commend the proposal to the Committee, and submits it to the Committee with the recommendation not to approve the project proposal. Justification should be given to the proponent and the Committee. Proposal not recommended but submitted to the Committee with the recommendation not to approve the project proposal, (a) either because a complete reformulation is necessary, or (b) because it's not relevant to ITTO. Justification should be given to the proponent and the Committee.

Annex

**Assessment, recommendation and conclusion by the Thirty-ninth Expert Panel on
each Project and Pre-project proposal**

Assessment by the Thirty-ninth Panel

A) Overall Assessment

The Panel considered the modifications contained in the revised proposal in response to the comments and recommendations made by the Thirty-eighth Expert Panel. The Panel acknowledged the efforts of the proponent to address the recommendations. However, the Panel noted that such efforts were not well articulated in the revised proposal and that the technical design of the project remained weak because many of the important recommendations had not been adequately addressed in the revised proposal.

In particular, the Panel noted that the key problem to be addressed by the project remained vague and confused with two or three additional ideas. For instance, the Panel felt that a study to investigate the impacts of climate change on tropical forest fires in South China would be a separate subject, as there would be many important causes of forest fires in the region. "Abnormal rise of forest fires and more frequency of forest fires in China as the result of climate change" which was presented as part of the key problem (page 17) should not be a key problem because it would be irrelevant to the project's possible interventions. It also felt that "climate change" in the project title is not compatible with the project's objectives. Moreover, the Panel had a difficulty to assess the logical framework because the specific objective was mixed with many things and the outputs were not clear enough for review. Measurable indicators in the logical framework were still lacking. The Panel further noted that the sustainability of the project was not clear as it did not provide sufficient information on adequate institutional arrangements to ensure the continuation and/or further development of the activities initiated by the project. Therefore, it was the view of the Panel that the revised proposal lacked focus and incoherence between key project elements such as the problem analysis and logical framework

B) Conclusion

Category 4: The Panel concluded that the proposal is not commended to the Committee and recommends that the Committee not to approve the project proposal.

Assessment by the Thirty-ninth Panel

A) Overall Assessment

The Panel noted that efforts had been made to address specific recommendations made by the 38th Expert Panel meeting. However, the Panel still considered that some of these recommendations, particularly those critical to the smooth implementation of the project, had not been sufficiently addressed and incorporated into the revised proposal. In this light, the Panel also noted the need for a further improvement of the proposal, in order to correct some weaknesses as regards the formulation of the specific objective, the problem tree, the project strategy, the objective tree, the logical framework matrix, and the outputs and activities. In addition, proponents are urged to reduce the project to just one phase, in view of an eventual extension and future phase II to be planned in light of recommendations generated by an evaluation of the first phase.

B) Specific Recommendations

The proposal should be revised taking into account the overall assessment **and** the following:

1. Reformulate the specific objective, as it currently appears to be more related to the problem analysis, as the models by themselves are not the change that is needed. Consider returning to use the specific objective as stated in the original project proposal;
2. Reassess the Problem Tree. The current problem tree presented on page 19, the key problem is an "increase of environmental and economic damages by forest fires". Main root causes are: (i) use of fire for local agricultural practices for subsistence livelihood; (ii) lack of capability of local communities to manage forest fires; (iii) and ineffective legal, policy and institutional framework to deal with forest fire disasters. The Panel is of the opinion that these statements should be precisely transferred to the revised problem tree;
3. As a consequence of the aforementioned revision of the problem tree, activities 1.1 to 1.4 remain related to output 1, which deals with the first root cause. The activities planned to deal with the second root cause should be reduced and confined only to deal with the efficient involvement of local communities. Activities planned to deal with the third root cause should be revised to deal explicitly with the adequate improvement of local infrastructure in the selected pilot areas;
4. Redesign the objective tree presented on page 20. Considering the revised problem analysis, the current proposal should only cover the first phase, with a view towards an eventual second phase based on the recommendations of the evaluation of the first phase; and
5. Include an annex that shows the recommendations of the 39th Expert Panel and the respective modifications in tabular form. Modifications should also be highlighted (**bold and underline**) in the text.

C) Conclusion

Category: 2: The Panel concluded that the project proposal requires essential modifications and will be returned to the proponent. The Panel will need to assess the revised project proposal before it can commend it to the Committee for final appraisal.

Assessment by the Thirty-ninth Panel

A) Overall Assessment

The Panel noted that the proposal continues to focus on the impact of climate change on the phenology of tropical forest species. The Panel has had difficulty in considering phenology as part of a strategy for climate change mitigation and adaptation. The recommendation of focusing solely on the development of phenological studies has not been taken into consideration by the proponent. In addition, the proponent did not reduce the budget sufficiently to consider this proposal as a Small Project, as recommended by the Panel at its previous meeting. Furthermore, the Panel had also considered the project's timeframe as far too short, as most phenological studies require more than two years of data to provide statistically significant information.

In this light, the Panel was of the view that the revised proposal had not addressed any of the critical aspects previously recommended and, therefore, cannot justify its commendation for consideration by the Committee.

B) Conclusion

Category: 4: The Panel concluded that the proposal is not commended to the Committee and submits it to the Committee with the recommendation not to approve the project proposal.

Assessment by the Thirty-ninth Panel

A) Overall Assessment

The Panel noted that efforts had been made to address its overall assessment and specific recommendations made by the 38th Expert Panel meeting, in the revised version of the project proposal, derived from the pre-project *PPD 123/06 Rev.1 (F) "Controlling the Dieback and Decay Phenomenon in Plantation Species"*. This pre-project has undertaken the baseline study on the dieback and decay phenomenon observed in the plantations of Teak and *Terminalia spp* in Cote d'Ivoire..

However, the Panel also noted that the revised project proposal still contained the following main weaknesses: the problem analysis weak due to the omission of teak in the key problem and the cause-effect relationship not clearly explained; lack of consistency between some outputs and the problem tree and objective tree; intervention to achieve the specific objective not adequately analyzed; weak logical framework with indicators not appropriately formulated and due to lack of coherence with the problem tree; scientific aspects not taking into account the environmental and seasonal effects in the multi-factor approach required for an integrated fight against dieback phenomenon; work plan to be redeveloped due to lack of coherence between the problem tree and outputs, budget still high.

B) Specific Recommendations

The proposal should be revised taking into account the overall assessment **and** the following:

1. Further improve the problem analysis by clearly describing the cause-effect relationship regarding the identified key problem;
2. Construct a problem tree that clearly shows the problem to be addressed, its causes and sub-causes, and also construct an objective tree by turning into solution the newly constructed problem tree;
3. Subsequent to the first and second specific recommendations, appropriately define the specific objective, and related outputs and activities. The impact indicators of the development objective and outcomes indicators of the specific objective should add under each as required in the ITTO manual for project formulation;
4. Subsequent to the third specific recommendation develop the entire logical framework matrix by using improved indicators and means of verification (for examples: the indicator of the development objective was only one and was formulated like a specific objective; there was no explanation on the use of 80% target in most indicators; the progress reports and final project report can not be considered as means of verification of the development objective);
5. Revise the work plan based on newly identified activities in accordance with the third specific recommendation;
6. Reorganize the project management committee as required in the ITTO manual for project formulation and avoid to prematurely mentioning the name of donors countries;
6. Significantly revise and reduce the ITTO budget in accordance with the above overall assessment and specific recommendations; and
7. Include an Annex that shows the overall assessment and specific recommendations of the 39th Expert Panel and respective modifications in tabular form. Modifications should also be highlighted (**bold and underline**) in the text.

C) Conclusion

Category 2: The Panel concluded that the project proposal requires essential modifications and will be returned to the proponent. The Panel will need to assess the revised project proposal before it can commend it to the Committee for final appraisal.

Assessment by the Thirty-ninth Panel

A) Overall Assessment

The Panel acknowledged the efforts made by the proponent in addressing the comments and recommendations of the Expert Panel at its Thirty-eighth Meeting. It also recognized that the Executing Agency has produced a series of quality technical reports relating to promotion of C&I for SFM in India under PD 37/00 Rev.1 (F) "Operational Strategy for Sustainable Forestry Development with Community Participation in India".

However, the Panel noted that the essential modifications did not go far enough in addressing many critical aspects of the proposal including, in particular, the problem analysis, logical framework matrix, budget and sustainability. Most critically, the Panel had a fundamental difficulty with the problem analysis and the presentation of the problem tree especially with regard to the scope of the key problem because it did not address adequately the negative consequence of not having C&I for SFM extensively adopted in India. A particular concern of the Panel was that the revised proposal did not provide any strong justification for the need of the proposed work because there was no gap analysis with the achievements of PD 37/00 Rev.1 (F). In this regard, the Panel felt that the revised proposal was totally disconnected with PD 37/00 Rev.1 (F).

In improving the proposal, the Panel felt that the revised proposal would have been better if it clearly concentrated on only one of the three major problems affecting the limited application of C&I in India which were presented in the problem tree of the revised proposal. It also felt that the revised proposal could have better linked up with the promotion of a national timber certification system.

Activities 1.3 and 5.1 were not detailed to allow an accurate estimate of the resources required. Moreover, the outputs did not describe the project's intended achievements, but listed some of the eight criteria. The presentation of the outputs indicators is still vague without specific, measurable, realistic and time-bound information. With regards to the budget, the Panel pointed out that most of the expenses was allocated for Project Personnel, Sub-Contract and Duty Travel. In addition, the Panel questioned the sustainability of the project as the ITTO budget allocated for Project Personnel was too high.

The fundamental flaw in the problem analysis and logical framework of the revised proposal and the other weaknesses of the revised proposal led the Panel to consider it was not recommendable to the Committee.

B) Conclusion

Category 4: The Panel concluded that the proposal is not commended to the Committee and recommends that the Committee not to approve the project proposal.

PD 560/09 Rev.1 (F)

Conservation and Sustainable Management of Mangrove Forests of the Kouilou Coastal Area, with the Participation of Local Communities Established in this Area of Southern Congo (Republic of Congo)

Assessment by the Thirty-ninth Panel

A) Overall Assessment

The Panel noted that the vast majority of the comments and recommendations made by the Thirty-eighth Expert Panel had been adequately addressed in the revised proposal, which was derived from the implementation of the pre-project PPD 40/02 Rev.1 (F). However, the Panel also observed that the project could be further improved by strengthening some technical aspects with a clear arrangement for the coordination of stakeholders to be part of the Integrated Coastal Zone Management (IZCM) approach for the implementation of this project.

The Panel further noted that there were still the following main weaknesses: lack of consistency between the problem tree and solution tree and the way outputs are formulated; number of hectare to be rehabilitated is changing from 150 ha in mentioned in the logical framework and master budget table to 300 ha in the work plan; no means of verification for the output 4; how to implement the Activity 3.4 which is not budgeted in the master budget table; risks and assumptions not presented in relation to the project operationalization; errors in the calculation of sub-total of capital goods and lack of consistency in the allocation of funds budgeted on yearly basis in the master budget table (for example: for the Activity 2.2 the honorarium of the international consultant is budget for the second year while his/her travel is budgeted for the first year to conduct a training workshop scheduled for the first year).

B) Specific Recommendations

The proposal should be revised taking into account the overall assessment **and** the following:

1. Provide clear arrangements showing the coordination of different institutions to be involved in the development and implementation of an ICZM approach for the coastal area and explain how the project will bring these institutions to interact with each other and to work in consolidated manner;
2. Provide further explanation on the participation of local communities in the rehabilitation of mangroves, and indicate the right number of hectare to be rehabilitated by them;
3. Further explain the role of identified stakeholders and make sure to strictly follow the format of the table of stakeholders analysis in the ITTO manual for project formulation;
3. Further improve the problem tree with appropriate causes and sub-causes and related solution tree while ensuring the consistency in the formulation of correlated outputs and activities;
4. Subsequently to the third recommendation, further improve the information provided in the work plan and add the responsible party for each activity of the Output 4;
5. Add appropriate means of verification for the output 4 in the logical framework matrix;
6. Revise the ITTO budget in accordance with the above overall assessment and specific recommendations and also in the following way:
 - a) Check the yearly allocation of funds by activity in the master budget table and the calculation of sub-totals and grand total in the budget by component tables,
 - b) The budget sub-component 68.1 should be broken-down, and nursery equipment and materials budgeted under capital goods component and seeds and other raw materials under consumables component
 - c) Remove the budget components 52 and 53 from the ITTO budget as recommended by the 38th Expert Panel; and
7. Include an Annex that shows the overall assessment and specific recommendations of the 39th Expert Panel and respective modifications in tabular form. Modifications should also be highlighted (**bold and underline**) in the text.

C) Conclusion

Category 1: The Panel concluded that the proposal could be commended to the Committee with incorporation of amendments.

PD 562/09 (F)

Topical Hardwood Reforestation, Natural Rehabilitation, and Biodiversity Education by Example: Promoting Private Mixed Plantations of Indigenous Tree Species in Ghana

Assessment by the Thirty-ninth Panel

A) Overall Assessment

The Panel recognized the importance and the relevance of the project originating from the grassroots with a strong involvement of local communities for the reforestation and rehabilitation of degraded lands in the transition zone of the Volta Region of Ghana. Nevertheless, the project proposal was messy and not well structured in relation to the format for the formulation of ITTO project proposals. The Panel also noted that several elements in the project proposal were either weak or unclear, such as: development objective and specific objective were not concisely and clearly formulated; stakeholders analysis not following the appropriate format; problem analysis not clearly elaborated; problem tree and objective tree missing; logical framework matrix missing; lack of consistency between the main causes identified in the problem analysis and outputs; strategic approach and methods not clearly elaborated; activities presented in table 5 (activities and inputs) do not correspond to those in the table 7 (work plan); no master budget table and other budget tables not following the ITTO format; no information on the project sustainability; and the description of partners mentioned is missing.

The Panel further noted that Greenwaves International Ghana Limited (GIGL), as future project executing agency, has been converted from a non-profit organization into a private company. Therefore, the project proposal submitted by GIGL was not eligible for ITTO project cycle, even if it could have been correctly formulated and structured, in relation to ITTO project-related policy.

B) Conclusion

Category 4: The Panel concluded that it could not comment the proposal to the Committee, and submits it to the Committee with the recommendation not to approve the project proposal, as it was submitted by a private company which is supposed to make profit.

PD 563/09 (F)

Community-based Forest Management of Sungai Medihit Watershed

Assessment by the Thirty-ninth Panel

A) Overall Assessment

The Panel recognized that the proposal was based on the outcomes of PPD 135/07 Rev.1 (F) "Community-base Forest Management of Sungai Medihi Watershed" which was implemented by Sarawak Forest Department in collaboration with Hirosar Jaya Snd Bhd. The Panel noted that the project aimed to promote the sustainable management of Sungai Medihit catchment resources through strengthening the capacity of concerned stakeholders in conserving and managing the resources in a sustainable manner.

However, the Panel noted that the proposal presented many weaknesses. These include: lack of conciseness of project activities; unreadable presentation of the work plan; weak presentation of the indicators of the logical framework matrix; unclear role of the project personnel (i.e. project coordinator, project manager, project officer and field officers) in the operational arrangements, weak presentation of the ITTO budget without following ITTO standard format; and weak presentation of the risk assessment. With regard to the ITTO budget, the Panel noted that a significant amount of the expenses was allocated for the project personnel and recommended that it should be substantially reduced in favor of increasing contributions by the Executing Agency to ensure its longer term sustainability.

B) Specific Recommendations

The proposal should be revised taking into account the overall assessment **and** the following:

1. Improve Section 1.3.2. (Social, cultural, economic and environmental aspects) by providing information on impacts of timber extraction to the environment of the project sites;
2. Simplify Activities in a concise way. For instance, Activities relating to CRRS, CDP and HCVF could be combined to make them more concise;
3. Revise the work plan in accordance with the newly defined activities;
4. Improve the impact indicators of the development objective to reflect longer-term effects of the project such as improved water quality from watershed management activities and recovered forest cover from rehabilitation of degraded forests, etc.;
5. Consider extending the project duration without increasing the ITTO budget since two years are not sufficient given the scope of the project work involving multi-stakeholders consultations;
6. Improve Section 3.5 (Assumptions, risks and sustainability) by summarizing the identified risks and their mitigating measures in a table form, where appropriate;
7. Further clarify the role of the project coordinator, project manager, project officer and field officers as there are too many personnel in the management and coordination role;
8. The organizational structure should be streamlined to ensure the efficient implementation of the project;
9. Engage a national consultant to carry out the tasks of an international consultant (forestry) and provide terms of reference to justify the proposed tasks;
10. Be precise on who will chair the PSC and make clear which NGOs, relevant ministries, research institutions will be member of the PSC;
11. Provide terms of reference for sub-contracts, a profile of the collaborating agency and tasks and responsibilities of key experts provided by the Executing Agency;
12. Revise the budget in the following way:

- a) The amount of the ITTO budget for Project Personnel should be substantially reduced in favor of increasing contributions by the Executing Agency,
 - b) Present a master budget table in accordance with the guidance of the ITTO Manual for Project Formulation (2008),
 - c) Yearly budget by Source (ITTO) should be detailed at the level of sub-budget component,
 - d) Include ITTO monitoring costs to US\$9,000 and US\$15,000 for ITTO evaluation costs,
 - e) Provide a profile of the other sources contributing to the amount of US\$26,040.00,
 - f) Recalculate the ITTO Programme Support Costs at 8% of ITTO total project costs; and
13. Include an annex that shows the recommendations of the 39th Expert Panel and the respective modifications in tabular form. Modifications should also be highlighted (bold and underline) in the text.

C) Conclusion

Category 2: The Panel concluded that the project proposal requires essential modifications and will be returned to the proponent. The Panel will need to assess the revised project proposal before it can commend it to the Committee for final appraisal.

PD 564/09 (F)

Production of an Educational Book Series on Mangroves for Sustainable Management and Utilization of Mangrove System (Japan)

Assessment by the Thirty-ninth Panel

A) Overall Assessment

The Panel acknowledged that the project intended to publish three educational books on mangrove ecosystems (Introduction to Mangrove Ecosystems; Structure and Function of Mangrove Forests; and Useful Products from Mangrove Plants) with a view to increasing public awareness of the environmental, ecological and socio-economic functions of mangrove ecosystems. It also recognized the Executing Agency (International Society for Mangrove Ecosystems-ISME) has published a manual for mangrove restoration, a world atlas of mangrove and a global mangrove database and information system (GLOMIS) through ITTO projects. The Panel further noted that the proposed publication would be complementary to such publications.

However, the Panel noted that the proposal could be further improved by refining the problem analysis and its problem tree focused on the key problem to be addressed by the project. It also noted that the specific objectives and outputs could be refined in a concise way. With regards to the dissemination of project outcomes, the Panel recalled that the recommendations of the ex-post evaluation of ISME implemented mangrove projects included the need to publish technical reports in three ITTO working languages for wide dissemination. In this regard, the Panel felt that the publication of the three educational books in French and Spanish would be necessary.

B) Specific Recommendations

The proposal should be revised taking into account the overall assessment **and** the following:

1. Refine the problem analysis and its problem tree by focusing on the key problem to be addressed by the project. For instance, "lack of appropriate and technically-sound policies and/or management plans for sustainable management and utilization of mangrove forests" would be a sectoral problem rather than a problem to be addressed by the project;
2. Adjust the specific objective to the refined key problem and combine Outputs 2 and 3 into one Output as they are closely linked with the dissemination of the three educational books;
3. Provide impact indicators for the development objective of the project and outcome indicators in connection to the specific objectives;
4. Provide a profile of the target audiences who will actually use the three educational books in the key stakeholders such as forest management units, NGOs & NPOs, local governments, and education and research institutes;
5. Strengthen the dissemination activities by considering the organization of a launching ceremony of the three books at a Session of the ITTC instead of holding a separate project workshop;
6. Rearrange the current budget resources to allow for the publication of the three educational books in French and Spanish for more wider dissemination;
7. Correct the title of Table 2 in consistent with the planned project duration;
8. Include ITTO Monitoring and Review Costs to US\$1,000 and recalculate the ITTO Programme Support Costs at 8% of ITTO total project costs; and
9. Include an annex that shows the recommendations of the 39th Expert Panel and the respective modifications in tabular form. Modifications should also be highlighted (bold and underline) in the text.

C) Conclusion

Category 1: The Panel concluded that the proposal could be commended to the Committee with incorporation of amendments.

PD 567/09 (F)

Enhance the Capacity of Civil Society Organizations in West Africa to Collaborate with Governments in Forest Law Compliance with the Use Of Remote Sensing (Ghana)

Assessment by the Thirty-ninth Panel

A) Overall Assessment

The Panel appreciated the overall project approach and its relevance for the ITTA objective on improving forest law compliance and governance with the involvement of civil society organizations (CSO). However, questions have been raised regarding the project sustainability: It is not clear how the involvement of CSO's is / will be institutionalized in the countries; how the CSO's link with the Government efforts to improve forest law compliance and governance. Also to guarantee the continuity of the capacity building activities, the project should have a Government body as its executing agency.

Taking into consideration the project's relevance to forest data collection, statistics, law enforcement, governance and trade, it advises ITTO to re-assign it to the Division of Economic Information and Market Intelligence.

B) Specific Recommendations

The proposal should be revised taking into account the overall assessment **and** the following:

1. Further explanation is need on the role of civil society organizations in forest law enforcement and governance in the countries involved, and the reasons why it is necessary to build capacity of CSO's on the use of remote sensing for forestry and land use purposes in these specific countries.
2. The project relevance to social, cultural, economic and environmental aspects (item 1.3.2 at page 16) requires further discussion and detailing.
3. It is not clear why traditional authorities and forest communities are considered as project's primary stakeholders (item 2.1.2), taking into account they are not amongst the project's direct beneficiaries. The project "target audiences" must be clearly specified.
4. The proposal lacks information on how Togo and Côte d'Ivoire will actually participate in the project, including which organizations (governmental and non-governmental) would be involved.
5. The project shall provide detailed evidence of its link with the Declaration of the AFLEG Yaoundé Conference of 2003.
6. A Government agency (e.g. FORIG or RMSC) should be considered as project executing agency to guarantee project sustainability over time. The relevance and commitment of Tropenbos International Ghana is recognized and the Panel recommends maintaining this international NGO as a project collaborating agency. All other agencies listed in the project proposal should be considered project partners.
7. The role of EMBRAPA as provider of satellite images and technical assistance can be further explained.
8. The table included in pages 36-43 is poorly formatted, incomplete and difficult to understand. It requires checking, re-editing and re-inserting.
9. The project budget tables bring various calculation inconsistencies (e.g. in budget items 61, 62, 63 and 69 of consolidated budget; or in item 33. 2 of ITTO budget by component; or item 63 and 69 of Yearly project budget – Ghana). Also, budget item 20 – "Subcontracts" is left blank while the project proposal itself includes description of subcontracts to be made between the parties (Annexes C and D). Hence, the project budget tables require an overall review and re-calculation.
10. In the table inserted at page 53, the term "GIS Expert" is not compatible with the column "Organization".

11. The figure 4 – “Organizational structure” at page 54 is to be reviewed after the confirmation of the executing agency.

12. Include an Annex that shows the overall assessment and specific recommendations of the 39th Expert Panel and respective modifications in tabular form. Modifications should also be highlighted (**bold and underline**) in the text.

C) Conclusion

Category: 2: The Panel concluded that the project proposal requires essential modifications and will be returned to the proponent. The Panel will need to assess the revised project proposal before it can commend it to the Committee for final appraisal.

PD 568/09 (F)

Developing Community-Based Sustainable Mangrove Management System for the Amanzuri and Ama Emissa River Estuaries in Ghana

Assessment by the Thirty-ninth Panel

A) Overall Assessment

The Panel recognized that the project proposal was built on the findings of the project PPD 108/06 Rev.1 (F) “*Sustainable Community Management, Utilization and Conservation of Mangrove Ecosystems in Ghana*”, which documented the main problems facing management and sustainability of the mangrove forests in the Amanzuri and Ama Emissa River estuaries of Ghana. The Panel also noted that the project proposal was well formulated and structured in most of its main sections and sub-sections. However, there was still the need for further improvement regarding, among others: stakeholders analysis was acceptable but not presented in a table following the format in the ITTO manual for project formulation; development objective and specific objective were almost similar; no impact indicators for the development objective and no outcomes indicators for the specific objective; weak logical framework matrix with indicators too vague for measurement process, in particular there was no indicators on livelihoods in relation to the development objective, and with assumptions too vague and presented in a passive way; activities defined were not consistent with the sub-solutions presented in the boxes (lowest row) of the objective tree, no information on the role of a forum mentioned in Output 1; budget tables not following the format as required in the ITTO manual for project formulation; no information on the Ghana Forestry Commission and FORIG as project partners; no terms of reference for personnel other than project coordinator and for sub-contract.

B) Specific Recommendations

The proposal should be revised taking into account the overall assessment **and** the following:

1. Improve the table of stakeholders analysis using the format in the ITTO manual for project formulation;
2. Define concisely and clearly the project specific objective in order to differentiate it from the development objective, as a specific objective should reflect the changes that are expected to take place through the achievement of project outputs and consistent with the key problem identified;
3. Add appropriate impact indicators under the development objective and outcomes indicators under the newly formulated specific objective as required by the ITTO manual for project formulation;
4. Reformulate the second output to show what to be achieved and not as an impact;
5. Adjust project activities in consistency with the sub-solutions presented in the boxes (lowest row) of the objective tree;
5. Improve the logical framework matrix by adding appropriate indicators facilitating the measurement process, adequate means of verification (for example: FAO occasional reports can be considered as means of verification of the development objective) and assumptions presented in an affirmative form (for example: Local government will support ... instead of Local government will be supportive of...);
6. Explain the role of the forum for the achievement of the first output;
7. Provide information on the Ghana Forestry Commission and FORIG as the project partners;
8. Add the terms of reference of the sub-contract and personnel, other than the project coordinator;
9. Present all budget tables in the format required in the ITTO manual for project formulation, and revise the ITTO budget accordance with the above overall assessment and specific recommendations and also in the following way:
 - a) Develop a master budget based on inputs of individual activities,
 - b) Breakdown in to sub-components the following budget components: 10, 30, 40, 50 and 60,
 - c) Adjust the budget component 81 to the standard rate of US\$10,000.00 per year for the monitoring and review costs (US\$30,000 for a 3-year project),
 - d) Add an amount of US\$15,000 to cover the costs of ex-post evaluation,

e) Recalculate the ITTO Programme Support Costs (sub-component 83) specified in the budget so as to conform with standard rate of 8% of the total ITTO project costs; and

10. Include an Annex that shows the overall assessment and specific recommendations of the 39th Expert Panel and respective modifications in tabular form. Modifications should also be highlighted (**bold and underline**) in the text.

C) Conclusion

Category 1: The Panel concluded that the proposal could be commended to the Committee with incorporation of amendments.

PPD 145/09 Rev.1 (F) Study to Establish a Pilot Community Forest in Côte d'Ivoire

Assessment by the Thirty-ninth Panel

A) Overall Assessment

The Panel noted that efforts had been made to address its specific recommendations made by the 38th Expert Panel meeting. The Panel reiterated the importance of promoting sustainable management of the rural forest estate in Côte d'Ivoire through the establishment of operational community forests or other types of forest management systems.

However, the Panel also noted that there was still a need for further improvement for the following pre-project sections and sub-sections presenting some deficiencies and weaknesses: specific objective concise but not formulated with clear purpose of developing a full project proposal; lack of background information on the land tenure issue; no information on livelihoods for local communities although mentioned in the development objective; first and second outputs not relevant for the scope of a pre-project; participatory approach not well described for stakeholders to be involved in the project implementation; budget greatly increased but still not consistent with outputs and activities; role of collaborating institutions not well described.

B) Specific Recommendations

The proposal should be revised taking into account the overall assessment **and** the following:

1. Reformulate the specific objective in order to concisely focus on the development of a full project proposal aiming to develop a legal framework for the establishment of community forests or another type of forest management (e.g. co-management) in the rural forest estate of Cote d'Ivoire in relation to livelihoods and land tenure issues for local communities;
2. Improve the preliminary problem identification by taking into account the critical issue of land tenure and livelihoods for local communities, and a problem tree should be added for a better understanding of the problem analysis although it is optional for a pre-project;
3. Keep only the third output and add one output on baseline study to collect useful data and information on livelihoods and land tenure issues for the preparation of a full project proposal aiming to deal with the preparation of a legal framework for the establishment of operational community forests or other types of forest management systems in the rural forest estate of Cote d'Ivoire;
4. Further elaborate the participatory approach by providing clear information on the involvement of the local communities in the participatory process which should start with the pre-project implementation and continue with the implementation of the future project;
5. Provide background information on land use and livelihoods issues for local communities;
6. Clearly explain what will be the role of the forest concessionaire and collaborating institutions (DRCF and DPIF) in relation to their involvement in the establishment of a pilot community forest;
7. Replace the CVs with the terms of reference of key pre-project personnel, as there is often a turnover of staff in the ministry's administration;
8. Reduce and revise the ITTO budget in accordance with the above overall assessment and specific recommendations; and
9. Include an Annex that shows the overall assessment and specific recommendations of the 39th Expert Panel and respective modifications in tabular form. Modifications should also be highlighted (**bold and underline**) in the text.

C) Conclusion

Category 2: The Panel concluded that the pre-project proposal requires essential modifications and will be returned to the proponent. The Panel will need to assess the revised pre-project proposal before it can commend it to the Committee for final appraisal.

PPD 146/09 (F)

**Tropical Forests for Livelihoods: A Cross-Continental Assessment for
Multipurpose Management Approaches and Research Priorities (Brazil)**

Assessment by the Thirty-ninth Panel

A) Overall Assessment

The Panel considered the project relevant for the ITTO objectives and focused in a very important topic – multipurpose forest management – but requiring complete reformulation as the expected results go beyond a Pre-Project Proposal. In addition, two points of relevance are weakly addressed in the current proposal: i) the livelihoods dimension that is stated in the project title is not reflected in the objectives and results of the project; and ii) a clear definition of the role of the participating countries for their appropriation of project results is missing.

B) Specific Recommendations

The proposal should be revised taking into account the overall assessment **and** the following:

1. Ownership and commitment of participating countries must be visible in the project implementation and in its results. Evidence of their commitment should be made available through letters of support of each country, annexed to the project proposal. More specifically, the role of Brazil as submitting country and its relation with the proposed executing agency is to be clearly spelled out.
2. Clear evidence that the project proposal is addressing the forest development policies of the participating countries should be provided (item 1.2.2. in page 5).
3. While the development objective is clearly stated, the specific objective does not reflect the project outputs and should be re-written, including the livelihoods dimension referred to in the project title; otherwise the words “tropical forests for livelihoods” should be removed from the title.
4. If the livelihood focus is to be maintained, the project contribution to livelihoods has to be discussed and detailed (e.g. in the problem analysis and outputs) explaining how the knowledge that will be made available will effectively contribute to improve local livelihoods.
5. The proposed working group and steering committee (item 4.2 in page 12) should include participants from relevant agencies of participating countries. The requirement for indicating FAO officers and meetings in Rome should be reconsidered.
6. Item 4.3 (page 12) is to be corrected, as the report of activities and outputs are to be addressed to ITTO (and not to the executing agency as stated).
7. Include an Annex that shows the overall assessment and specific recommendations of the 39th Expert Panel and respective modifications in tabular form. Modifications should also be highlighted (**bold and underline**) in the text.

C) Conclusion

Category: 2: The Panel concluded that the project proposal requires essential modifications and will be returned to the proponent. The Panel will need to assess the revised project proposal before it can commend it to the Committee for final appraisal.

PD 521/08 Rev.2 (I)

Participatory Forest Management for Sustainable Utilization of Non Timber Forest Products (NTFP) Surrounding the Protected Area of Rinjani and Mutis Timau Mt, Nusa Tenggara Indonesia (Indonesia)

Assessment by the Thirty-ninth Panel

A) Overall Assessment

The Panel considered the modifications contained in the revised proposal in response to the comments and recommendations made by the Thirty-Eighth Expert Panel. The Panel noted that the revised proposal addressed most of the comments and recommendations, including a more focused proposal in the context of local community involvement, project strategy, objective tree, and outputs indicators.

B) Specific Recommendations

The proposal should be revised taking into account the following:

1. Revise the diagram of the organizational structure presented in page 35 of the project proposal (PART III. 1) in which the representatives of the Executing Agency and the Collaborating Agencies are represented in the Project Implementing Unit;
2. Rephrase first paragraph of PART III.1 to conform with the modification elaborated in the point 1 above; and
3. Include an Annex that shows the overall assessment and specific recommendations of the 39th Expert Panel and respective modifications in tabular form. Modifications should also be highlighted (**bold and underline**) in the text.

C) Conclusion

Category 1: The Panel concluded that the proposal could be commended to the Committee with incorporation of amendments.

PD 549/09 Rev.1 (I,F,M) Provenance Evaluation, Wood Technological Characterization and Market Survey of Balsawood (*Ochroma pyramidale* Cav.) in the Lacandon Forest, Chiapas, Mexico (Mexico)

Assessment by the Thirty-ninth Panel

A) Overall Assessment

The Panel noted that a serious revision of the proposal has been carried out, which addressed the majority of the specific recommendations of the previous version, and that it is in general satisfied with the revision.

B) Specific Recommendations

The proposal should, however, be revised taking into account the following:

1. Improve the matter of sustainability with emphasis on the financial aspect once the ITTO project is completed;
2. Improve the risk mitigation measure associated with the willingness of farmers and the business sector to engage in the project;
3. Avoid personalization of the Project Organizational Chart (page 37 of the English version);
4. Since balsawood is mostly used for indoor applications, please justify the need for budget provision for activity 2.6 "Biodegradation test with insects and fungi";
5. Eliminate the budget provision of US\$40,000.00 under Activity 2.2 for Universal Testing Machine, since the project envisages collaboration with ITTO project PD 384/05 Rev.3 (I) "Testing Laboratory for the Development of Quality Standards for Mexican Primary and Processed Tropical Forest Products", which has already acquired a Universal Testing Machine;
6. Better justify the budget provision of US\$80,000.00 under Activity 2.2 on equipment for physical properties, and describe the type of equipment needed;
7. Budget tables' 3.4.3 "ITTO budget by component" and 3.4.4 "Executing Agency budget by component" need to be detailed in the same manner as table 3.4.2 "Consolidated budget by component"; and
8. Revise the calculation for ITTO Program Support (8% of Subtotal, plus ITTO Evaluation Cost, plus ITTO Monitoring & Review Cost).

C) Conclusion

Category 1: The Panel concluded that the proposal could be commended to the Committee with incorporation of amendments.

Assessment by the Thirty-ninth Panel

A) Overall Assessment

The Panel acknowledged the improvement made in the revised proposal. However, the Panel noted that more precision is still needed especially to the recommendations that not fully addressed. The Panel observed that the Logical Framework of the proposal does not reflect transformative changes from the Development Objective to the Specific Objective. In the same line, the measurable indicators together with the key assumptions do not reflect the impacts of adopting RIL toward the fulfillment of primary stakeholders' needs and improvement in forest industry efficiency.

The Panel also observed that the proposal is still considered over-budgeted in light of its outlined activities.

B) Specific Recommendations

The proposal should be revised taking into account the overall assessment **and** the following:

1. Present the geographical information (including maps) of the potential participating concessions and the demonstration sites;
2. Redefine Output 2 since the workshop in itself is not an output;
3. Develop a generic modules for the RIL training applicable for PNG situation;
4. Prioritize the target audiences for the training to manager, supervisor and operator levels of the concessioners;
5. The Panel insists to lower the budget by reducing the input of national and international experts, in country airfares and office supplies from ITTO budget;
6. Include the master budget table and present in specific tables all budget provisions from different organizations (PNGFA, TFTC, TFF, FI Association) as they are specify in the cover page of the proposal;
7. Exclude the capital cost items of office/venue rental from ITTO budget source;
8. Exclude names of consultants/experts in the project proposal document as these will be hired during the project's implementation in accordance with ITTO guidelines for the selection and employment of consultants;
9. Correct the amount of the ITTO Monitoring and Review Costs to US\$ 20,000, ITTO Ex-Post Evaluation (US\$ 15,000), ITTO Programme Support Cost (8% of Subtotal 2); and
10. Include an Annex that shows the overall assessment and specific recommendations of the 39th Expert Panel and respective modifications in tabular form. Modifications should also be highlighted (**bold and underline**) in the text.

C) Conclusion

Category 2: The Panel concluded that the project proposal requires essential modifications and will be returned to the proponent. The Panel will need to assess the revised project proposal before it can commend it to the Committee for final appraisal.

PD 565/09 (M)

Efficient Regional Management for the Harvesting of Forest Resources in the Madre de Dios Region, Peru

Assessment by the Thirty-ninth Panel

A) Overall Assessment

The Panel noted that the proposal was about building the capacity of the Regional Government of Madre de Dios in assuming the responsibility of administering the forest resource of the region that has been delegated to it by the Central Government of Peru under its policy of decentralizing forest administration to regional governments.

Acknowledging the relevance of the proposal to ITTO objectives and priorities as well as the national policies of Peru, the Panel commended on the satisfactory presentation of the social, cultural, economic and environmental aspects save for the reference to peoples in voluntary isolation which appeared to be contradictory. On project rationale and objectives, the Panel noted that the institutional set-up was merely descriptive with no focus on its adequacy and deficiencies to be addressed. The stakeholder analysis, while appearing to be comprehensive, could be further refined and consolidated by reclassifying some of the stakeholders listed. The basis for arriving at the analysis was also not provided.

The Panel also noted that the problem analysis was not sufficiently clear and had not been satisfactorily presented in the problem tree and transformed into the objective tree. Consequently, the development objective, the specific objective, the outputs and the logical framework matrix suffer from deficiencies, with the specific objective appearing to be more of an output and only one of the four outputs (Output 4) resembling and correctly stated as an output. Some of the output indicators particularly on certified forests, companies yield and monitored timber were found to be overly ambitious with no indication of the availability of base-line information by which the achievement of targeted values could be measured and assessed.

The Panel found that the strategies under implementation approaches and methods were adequately presented. However, the Work Plan was incomplete, with the outputs and the column for responsible party conspicuously missing. The bi-monthly periods in the Work Plan should have been presented in terms of quarters and should not be repeated in the master budget. The sequencing of some activities under the Work Plan, for e.g. activities 4.2 and 4.3, was incorrect.

On the total budget amounting to US\$2,349,393, the Panel noted that the bulk (63%) of it was for personnel. Although the ITTO budget was less than 25% of the total budget, the proportion of the budget allocated for personnel at 47% was unduly excessive. Some budget items like office rental, furniture and insurance should not have been charged to ITTO. The Executing Agency budget by component comprised not only that of the Regional Government of Madre de Dios but also those of the Central Government of Peru (DGFFS), WWF-stakeholders and companies. The budget by component for the Executing Agency (the Regional Government) and for each of these agencies should be presented separately and as detailed as that of the ITTO budget by component.

With regards to implementation arrangements, the information and organizational chart presented do not provide sufficient information on the respective responsibilities of the agencies involved and on overall coordination of project implementation. While WWF is well known for its competence and skills in technical and knowledge aspects, it will be involved in the administrative management of project funds which should rightly be handled by the Regional Government of Madre de Dios in its capacity as the Executing Agency of the project. There should be clear reference and evidence of commitment to ensuring the implementation of the project by these agencies by way of memorandums of understanding to be signed between them and the Executing Agency.

B) Specific Recommendations

The proposal should be revised taking due account of the overall assessment and the following:

1. Refine the development objective to indicate its contribution to the sustainable development of the forest resources in the Madre de Dios Region.
2. Refine the specific objective to be directed towards enhancing the capacity of the Regional Government of Madre de Dios in administering the forest resource of the region.

3. Refine Outputs 1-3 to make these more direct and tangible.
4. Refine the overall Logical Framework Matrix by sharpening its focus and by means of more realistic indicators.
5. Provide more information on the current status of the forests and its management in the region that could provide base-line information for verification purposes.
6. Reduce the budget component on personnel and provide total budget by components separately for the Executing Agency, the Central Government of Peru (DGFFS), WWF-stakeholders (Collaborating Agency) and companies.
7. Clarify the roles of the Regional Government of Madre de Dios, Central Government of Peru (DGFFS), WWF and companies in the implementation of the proposal.

C) Conclusion

Category 2: The Panel concluded that the proposal requires essential modifications and will be returned to the proponent. The Panel will need to assess the revised proposal before it can commend it to the Committee.

PD 569/09 (M)

**Preventing and Controlling Illegal Timber Logging In Darien,
Panama, Through Improved Forest Governance and
Community Participation**

Assessment by the Thirty-ninth Panel

A) Overall Assessment

The Panel recognized that the aim of the project is to strengthen forest government and community participation so as to improve the sustainability of timber production and monitoring of legal timber flow, based on the experiences and lessons learned in past years in Darien region. However, this project seems to be in duplication with PD 482/07 Rev.2 (F) which was approved by 36th Expert Panel and 44th Council in 2008, namely "Sustainable Forest Production and Conservation with Community Participation in the Chepigana Forest Reserve of Darien, Panama". In the meantime, a relevant project PD 405/06 Rev.3(F), "Extending the Area under Sustainable Forest Management in the Forest Lands of the Embera-Wounaan Comarca, Darien, Panama", just started implementation from October of 2008.

The Panel noted that the development objective and specific objectives appeared to be formulated unclearly, imprecisely and incoherently. The indicators of development objective and specific objective have not closely reflected the impact and outcome of the project. Moreover, some of the outputs seemed rather ambitious to achieve in the project duration of two years, and a number of activities designed in the proposal are lack of consistency with outcomes and outputs. Lacking of a logic framework in the proposal adversely affected the design and strategy of the project, and confusions could be found between objectives, outcomes, outputs and activities, as well as different indicators.

The Panel also noted that critical weaknesses existed for the following sections and sub-sections of the project proposal: origin and relevance to ITTO's objectives and priorities not sufficiently explained, target area not clarified, socioeconomic aspects need to be further analyzed, problem analysis not clearly elaborated with a lack of consistency between the causes, problems and affects as was the problem tree, stakeholders analysis not showing how the local communities will get the benefit from the project implementation, work plan should be better formulated, missing of the project organizational and operational chart.

The Panel further noted that the budget was still inconsistent with some project outputs and activities, and need to be more streamlined, particularly not funded by ITTO for the personnel and administration cost.

B) Conclusion

Category 4 (New system): The Panel concluded that it could not commend the proposal to the Committee, and submits it to the Committee with the recommendation not to approve the project proposal.

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