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

**Forty-First Meeting
7 – 10 March 2011, Yokohama, Japan**

Table of Contents

	<u>Pages</u>
Report of the Expert Panel	3
1. Terms of reference	
2. Panel membership	
3. Appraisal procedure and criteria	
4. Appraisal and assessment carried out	
5. General findings and recommendations	
6. Experience from application of the Appraisal System	
7. Panel decisions on projects and pre-projects proposals	
Appendix I Terms of Reference of the Expert Panel.....	7
Appendix II Rating Categories of the ITTO System for Technical Appraisal	8
Appendix III List of Project/Pre-project proposals reviewed by the Expert Panel.....	9
Appendix IV Membership of the Expert Panel.....	10
Appendix V Scoring table for the assessment of new Project and Pre-project proposals.....	12
Appendix VI Flow charts for deciding categories in the scoring system	14
Annex Assessment, recommendation and conclusion by the Forty-first Panel on each Project and Pre-project proposal.....	16

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

1. TERMS OF REFERENCE

- 1.1 The Expert Panel worked in accordance with the Terms of Reference attached, see **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”. The Forty-first 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 Forty-first Expert Panel was attended by members listed in **Appendix IV**. Ms. Eudeline Melet Pekam (France) chaired the meeting.

3. APPRAISAL PROCEDURES 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 had 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 the 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 Nineteen (19) projects and two (2) pre-projects (total of 21) proposals were received for appraisal by the Forty-first Expert Panel. The overall list of 21 Project/Pre-project proposals reviewed by the Expert Panel and the category of decision allocated to each proposal is presented in **Appendix III**. The procedures 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 (14), then with those related to Economic Information and Market Intelligence (2) and finally with those related to Forest Industry (5). 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 extremely useful for adequate work of the panel before it could finalize its 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 findings and final categories commended by this Panel (section 5 and **Appendix III** of this report).

4.5 General findings and recommendations of the Forty-first Expert Panel, as derived from the appraisal of all 21 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 21 proposals and the success of this Forty-first Panel were made possible.

5. GENERAL FINDINGS AND RECOMMENDATIONS

On the whole the Panel noted that the quality of the proposals has decreased which is reflected by the fact that:

- nine (9) proposals (43 percent of the total) received a category 4, indicating that the Expert Panel does not commend these to the Committee for approval as they require complete reformulation;
- seven (7) proposals (1 pre-project and 6 projects) will be sent back to proponents for essential revisions, rated as category 2;
- one (1) project proposal received a category 3, indicating that the project requires a pre-project to better formulate a new proposal;
- only four (4) project proposals (19 percent of total) were commended to the Committee for final appraisal with minor modifications required (category 1), two (2) were new projects and two (2) were revised submissions.

See paragraph 6, pie chart "*proposals by category*".

5.1. Many proponents have not answered key questions before designing the projects, namely: What is the **aim of the project**? And **how should it be accomplished**?

Particular attention should be placed on project designing, as stated in the manual, especially by:

- **adequate consultation of stakeholders including communities**

Projects should carry out in-depth analysis of all parties affected by the project, either positively (beneficiaries) or negatively. Communities should not be taken as a homogenous group, gender issues and group equity should be considered.

- **ensuring sustainable involvement of all stakeholders and esp. communities**

Projects should provide for beneficiaries' needs and priorities esp. in the case of local communities. Expression of support of stakeholders should be demonstrated for each project.

5.2. Sustainability after project completion is not guaranteed.

Many proposals do not have:

- **proper institutional and financial arrangements** to ensure sustainability

Required budget from ITTO covers to a large extent personnel and travel costs, thereby raising the question of financial viability after project completion.

- mechanisms for **monitoring and dissemination** of results in place

5.3. Relevance and mainstreaming into existing projects and policies.

A number of proposals do not properly justify their **link with** the country's existing policies and strategies. Additionally, they do not **account for** previous and on-going projects in the country.

Moreover, they do not properly show how the project has **wider value** and describe how its results will be **mainstreamed** into existing national policies and strategies.

On the whole, the Panel felt that proponents should have followed the third Edition of the ITTO Manual for Project Formulation (GI Series 13). The Panel feels that training on project formulation is still needed. Furthermore, ITTO focal points should be discriminating in passing forward proposals.

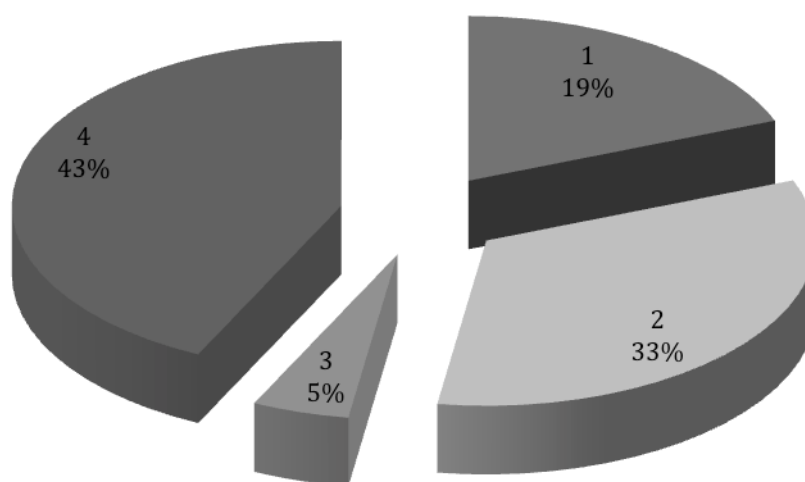
6 EXPERIENCE FROM APPLICATION OF THE APPRAISAL SYSTEM

As already pointed out by the report of the 39th session of the EP, the use of the appraisal system (Appendix V and VI) became standard procedure.

7 PANEL DECISIONS ON PROJECT AND PRE-PROJECT PROPOSALS

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

**Decisions of the 41st Expert Panel on Project and Pre-project proposals
(number of proposals by category)**



Summary of Project and Pre-project proposals submitted to the Forty-first Expert Panel by Region

Region	Project Proposals				Pre-project Proposals				Total
	RFM	FI	EIMI	Total	RFM	FI	EIMI	Total	
<i>Americas</i>	2	-	-	2	-	-	-	-	2
<i>Asia Pacific</i>	3	5	1	9	-	-	-	-	9
<i>Africa</i>	8	-	-	8	1	-	1	2	10
Total	13	5	1	19	1	-	1	2	21

RFM = Reforestation and Forest Management
 FI = Forest Industry
 EIMI = Economic Information and Market Intelligence

Decisions of the 41st Expert Panel on Project and Pre-project proposals by Committee Area

Category	Committee			Total
	RFM	FI	EIMI	
<i>Projects</i>				
1	2	1	1	4
2	5	1	-	6
3	1	-	-	1
4	5	3	-	8
Total	13	5	1	19
<i>Pre-projects</i>				
1	-	-	-	-
2	-	-	1	1
4	1	-	-	1
Total	1	-	1	2

Decisions of the 41st Expert Panel on Project and Pre-project proposals by Submitting Country

Country	Category				Total
	1	2	3	4	
China		2			2
Côte d'Ivoire				3	3
Egypt				1	1
Gabon				(1)	1
Ghana		2			2
India				1	1
Indonesia	1			1	2
Liberia		(1)			1
Malaysia	1				1
Myanmar				1	1
Nigeria			1		1
Panama		1			1
Peru		1			1
Philippines	1			1	2
Togo	1				1
Total					21

Note: Parenthesis indicates a 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
Forty-first Expert Panel

Project No.	Title	Country	Category
PPD 148/11 (F)	Project to Develop Conservation Infrastructure in the Tridom Landscape	Gabon	4
PD 563/09 Rev.2 (F)	Community Based Forest Management of Sungai Medihit Watershed	Malaysia	1
PD 567/09 Rev.1 (F)	Enhancing the Capacities of the Forestry Sector and Civil Society Organisations in West Africa in Forest Law Compliance with the Use of GIS and Remote Sensing	Ghana	2
PD 582/10 Rev.1 (F)	Promoting Mixed Native Species Plantations in Ghana, Phase II: Enlarge Community Plantation Base through Appropriate Tree Choices and Improved Silvicultural Practices	Ghana	2
PD 584/10 Rev.1 (F)	Implementing the Cooperative Framework between ODEF and the Stakeholders for the Effective Participatory and Sustainable Management of the Eto-Lilicope Forest Complex	Togo	1
PD 588/10 Rev.1 (F)	Promoting Indigenous <i>Mamar</i> Agroforest System (IMA) as Community Forest Model for Rehabilitating Critical Land in Noelmina Watershed Area, West Timor Indonesia	Indonesia	4
PD 591/11 (F)	Rehabilitation of Gazetted Forests in the Savannah Belt with the Involvement of Local Communities	Cote d'Ivoire	4
PD 592/11 (F)	Integrated Development of Coastal Forests with the Involvement of Local Communities	Cote d'Ivoire	4
PD 593/11 (F)	Good Governance and Combat Against Poverty in the Protection of Gazetted Forests	Cote d'Ivoire	4
PD 598/11 (F)	Rehabilitation and Management of 1500Ha of Degraded Forest Reserves in Taraba, Edo and Osun States of Nigeria of the Federal Republic of Nigeria through Community Participation	Nigeria	3
PD 601/11 (F)	Strengthening Mangrove Ecosystem Conservation in the Biosphere Reserve of Northwestern Peru	Peru	2
PD 602/11 (F)	Tropical Forest Governance in the Region of Darien, Panama	Panama	2
PD 603/11 (F)	Addition of 1000 Feddans from <i>Khaya Senegalensis</i> (African Mahogany Tree) as Extensive Forests to Existed Kaya Forest Plantations of Upper Egypt Provinces	Egypt	4
PD 605/11 (F)	Research and Demonstration on Fire-Break Forest Belt Models Optimization in China's Tropical Forest Region	China	2
PD 594/11 (I)	Regional Efforts on the Production and Utilization of Plantation Teak to Sustain Supply of Value Added Teak Wood in International Teak Market	Myanmar	4
PD 595/11 (I)	International Conference on Planted Teak Forests - A Globally Emerging Forest Resource	India	4
PD 596/11 (I)	Smallholder Rattan-based Enterprise Development in Southeast Asia and West Africa	Philippines	4
PD 600/11 (I)	Model Capacity Building for Efficient and Sustainable Utilization of Bamboo Resources in Indonesia	Indonesia	1
PD 604/11 (I)	Value-added and Efficient Utilization of Veneer-Reconstituted Products from Sustainable Plantation Eucalyptus in China	China	2
PPD 149/11 (M)	Pre-Scoping Study in the Planning and Conduct of Social Audits of Logging Concessions in Liberia, Ensuring that Liberia's Forest Concessions Are Right, Pro-poor and Tenure-based	Liberia	2
PD 599/11 (M)	Development and Testing of National Forest Stock Monitoring System (FSMS) with Improved Governance Capabilities at All Levels of the Forest Administration	Philippines	1

APPENDIX IV

MEMBERSHIP OF THE FORTY-FIRST MEETING OF THE EXPERT PANEL
FOR TECHNICAL APPRAISAL OF PROJECT PROPOSALS
Yokohama, 7 - 10 March 2011

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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.	<i>Conformity with ITTO's objectives and priorities (1.2.1)</i>			Y	
1.	1.	2.	<i>Relevance to the submitting country's policies (1.2.2)</i>			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.	<i>Stakeholder analysis (2.1.2)</i>	5			
2.	2.	2.	<i>Stakeholders involved at inception (2.1.3.) & implementation (4.1.4.)</i>	5			
2.	3.		Problem analysis (2.1.3)		10	Y 6	
2.	3.	1.	<i>Problem identification</i>	5			
2.	3.	2.	<i>Problem tree</i>	5			
3.	Project design (45)						
3.	1.		Logical framework matrix (2.1.4)		20	Y 13	
3.	1.	1.	<i>Objectives (2.2)</i>	5			
3.	1.	2.	<i>Outputs (3.1.1)</i>	5			
3.	1.	3.	<i>Indicators & means of verification (columns 2 and 3 of the LogFrame)</i>	5			
3.	1.	4.	<i>Assumptions and risks (3.5.1)</i>	5			
3.	2.		Implementation		20	Y 13	
3.	2.	1.	<i>Activities (3.1.2)</i>	5			
3.	2.	2.	<i>Strategy (approaches and methods, 3.2)</i>	5			
3.	2.	3.	<i>Work plan (3.3)</i>	5			
3.	2.	4.	<i>Budget (3.4)</i>	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:

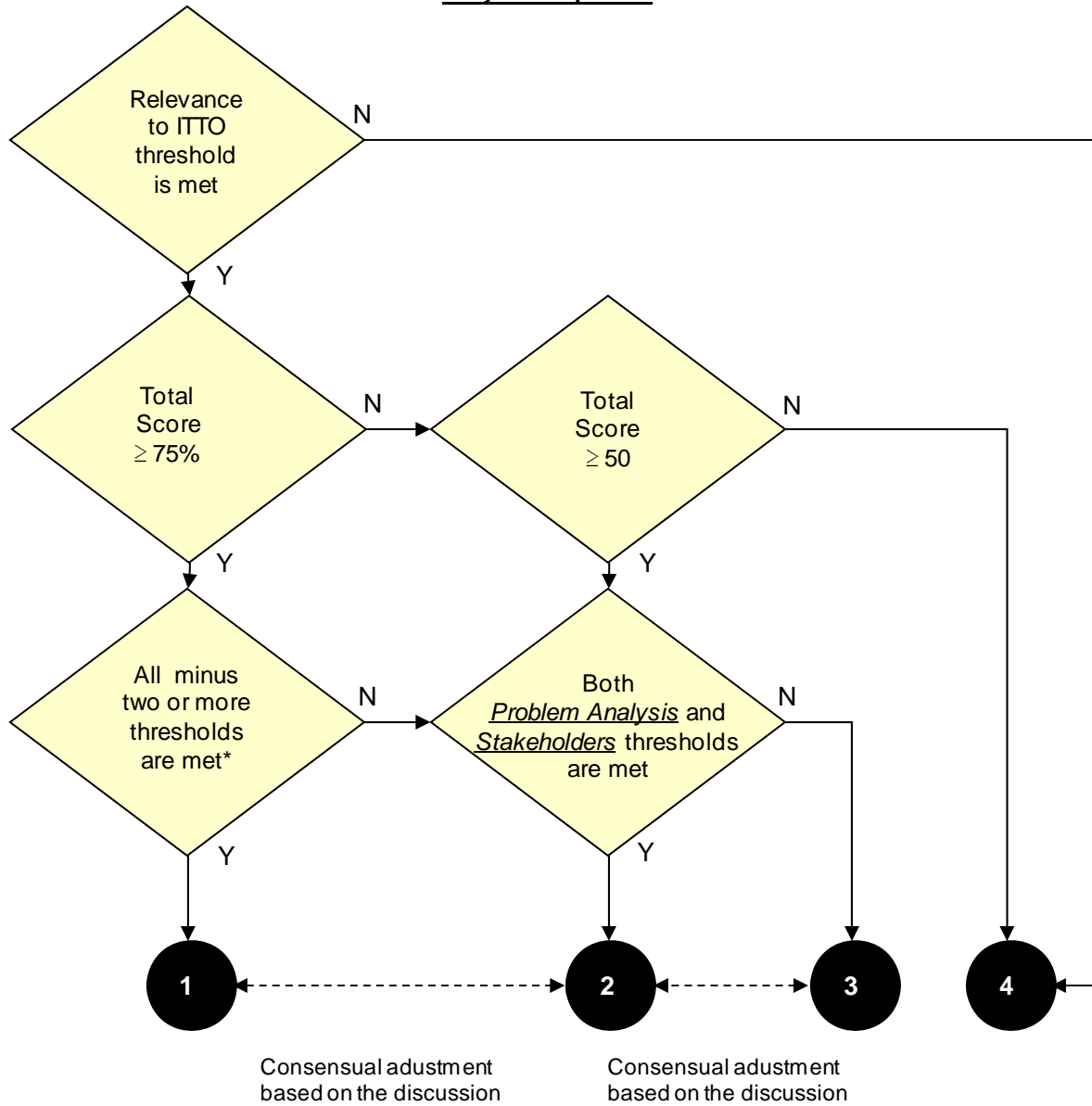
- 0 - Information is completely missing
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- 2 - Poor: essential elements are incomplete, insufficient, wrong or misunderstood
- 3 - Moderate: essential elements are available but unclear or inaccurate
- 4 - Good: clear, accurate and informative
- 5 - 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

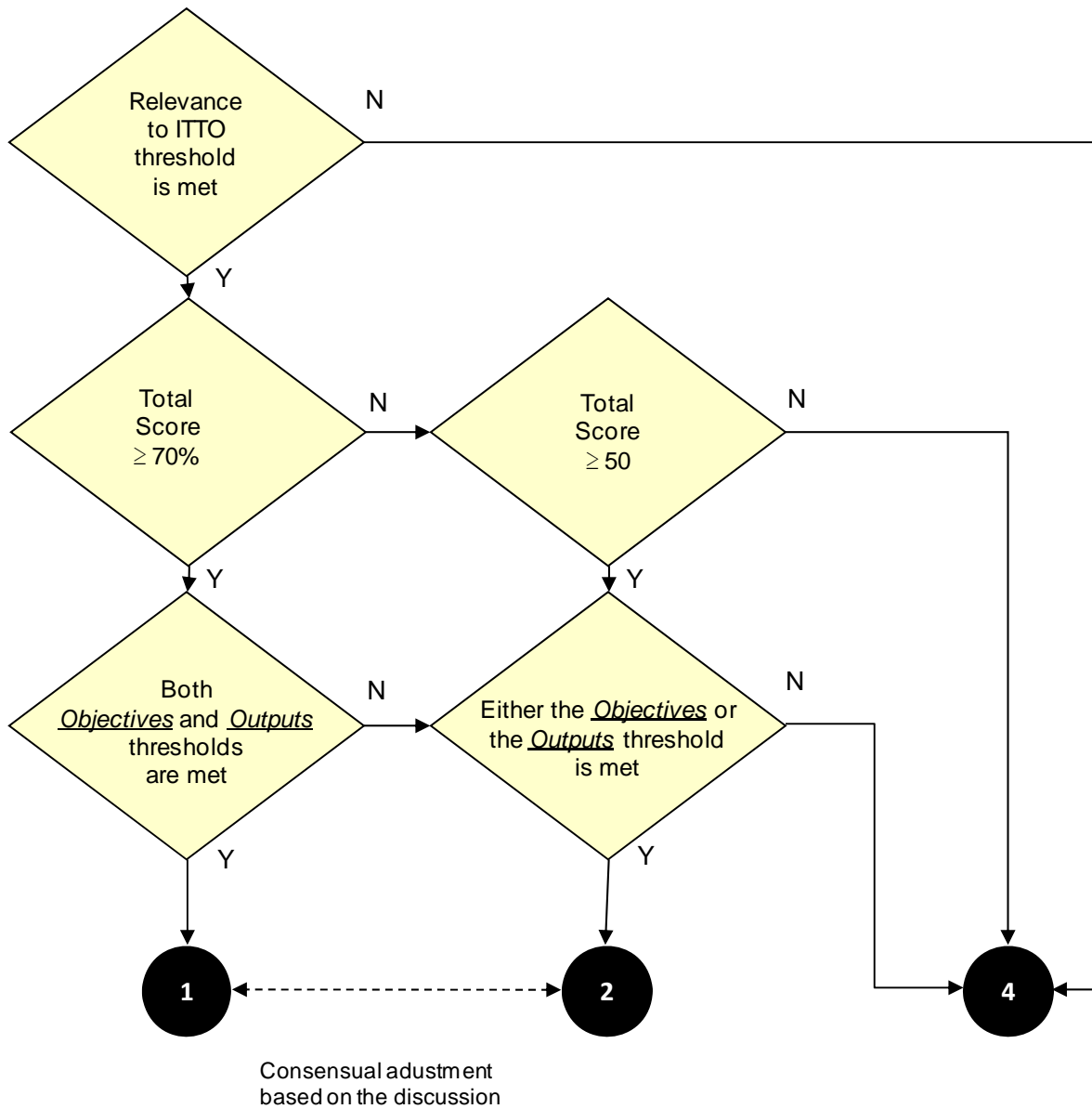


*Thresholds failed cannot be any two among the following three:

- 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 Forty-first Expert Panel on each Project and Pre-project proposal

Assessment by the Forty-first Panel

A) Overall Assessment

The Panel recalled that the proposal was derived from PPD 135/07 Rev.1 (F) *Community-based Forest Management of Sungai Medihit Watershed* and that the assessment of the proposal had been made twice by the two previous Expert Panels. In the second revised proposal, the Panel acknowledged the efforts made by the proponent in addressing the comments and recommendations of the Panel at its previous meeting.

However, the Panel noted that the revised proposal still needed to address some remaining weaknesses: weak development of the logical framework matrix without measurable indicators and lack of clarification without baseline data (i.e. the second indicator of the development objective); unclear presentation of the organizational chart without highlighting the PSC as the single key decision making body; unreadable legends of the project site map; and weak strategies for the sustainability of the project after its completion. Moreover, the Panel observed that the proposal would benefit from including more information on the main outcomes of the pre-project.

B) Specific Recommendations

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

1. Further improve the indicators in the logical framework matrix by including relevant baseline data to allow effective monitoring of the project;
2. Further refine the project organization chart by placing the PSC in staff to the Executing Agency and not under the line authority of the two Ministries. In this regard, the organizational chart illustrated in the previous version of the proposal (PD 563/09 Rev.1 (F)) could be modified as it shows hierarchical relationships well. The recommended modifications include: placing the Federal Ministry of Plantation Industries and Commodities in parallel with the State Ministry of Planning and Resource Management; adding national consultants in the box of international consultants; deleting project management team under the project coordinator; and specifying project management units and/or technicians under the authority of the project manager who directly supervises the execution of project activities;
3. Provide readable legends in the project site map;
4. Further improve the sustainability of the project after ITTO's intervention by specifying whether institutional arrangements will be made to ensure the continuation and/or further development of the activities initiated by the project;
5. Provide more information on the main outcomes of the pre-project in Section 1.1 (Origin);
6. Specify the provision (US\$65,840) allocated for budget item 61 (Sundry) in Table 3.4.3 (ITTO budget by component); annual auditing costs should be clearly included in Sundry unless such costs are not borne by the Executing Agency; and
7. Include an annex that shows the recommendations of the 41st 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 the incorporation of amendments.

Assessment by the Forty-first Panel

A) Overall Assessment

The Panel acknowledged the efforts made by the proponent in addressing some elements of the overall assessment and specific recommendations of the 39th Expert panel meeting. It reiterated its appreciation of 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), but under the leading role of governmental institutions, such as the forestry research institute of Ghana (FORIG). The Panel noted that the project title was amended too to highlight that leading role of governmental institutions linked to the sovereignty of governments over their natural resources.

However, the Panel also noted that the regional scope of the project was questionable as Cote d'Ivoire and Togo were neither involved in the formulation of the first version of the project proposal nor in its revision. Both countries had no foreseen role in the implementation of the project. The Panel further noted weaknesses in some sections and sub-sections of the revised proposal, such as: a logical framework matrix with too vague indicators and no valid assumptions; the sustainability of the project remains questionable; a high budget with 50% allocated to Personnel and Travel expenses while some budget items were difficult to assess.

Furthermore, the Panel noted that it could be difficult to get a proper involvement of Cote d'Ivoire and Togo in the project revision process because of time constraints, especially for Cote d'Ivoire due to the current socio-political unrest prevailing in this country. Thus, the Panel suggested allowing Ghana to reformulate the project proposal focusing on a national coverage.

Finally, the Panel reiterated its advice to the ITTO Secretariat regarding the re-assignment of the proposal to the Division of Economic Information and Market Intelligence due to the project's relevance to forest data collection, statistics, law enforcement, governance and trade.

B) Specific Recommendations

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

1. It was reiterated that further explanation is needed on the role of civil society organizations in forest law enforcement and governance in the countries involved and on the reasons why it is necessary to build capacity of CSOs on the use of remote sensing for forestry and land use purposes in these specific countries.
2. It was also reiterated that 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 in project implementation and how they could benefit from the project.
3. It was further reiterated that all other agencies listed in the project proposal should be considered as project partners, as only TROPENBOS was recognized as the project collaborating agency. Thus, the implementation arrangements should be adjusted accordingly.
4. The amended logical framework matrix should be further improved with specific, measurable, appropriate, realistic and time-bound indicators and also with valid assumptions.
5. The ITTO budget needs to be revised in line with the above overall assessment and specific recommendations and also in the following way:
 - a) Transfer from ITTO budget to the Ghana counterpart budget the costs related to budget items 11.1, 11.2, 11.3, 11.4, 11.5, 11.6 and 12.1,
 - b) Reduce the costs for travels and provide a justification for planned travels,
 - c) Remove the budget item 43 as a vehicle is not justified for this project,
 - d) Provide a breakdown of the budget item 44 for its assessment,
 - e) Recalculate the ITTO Programme Support Costs (sub-item 83) so as to conform with the standard rate of 8% of the total ITTO project costs (on budget items 10 to 82).

6. Include an Annex that shows the overall assessment and specific recommendations of the 41st 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 582/10 Rev.1 (F)

**Promoting Mixed Native Species Plantations in Ghana, Phase II:
Enlarge Community Plantation Base through Appropriate Tree
Choices and Improved Silvicultural Practices (Ghana)**

Assessment by the Forty-first Panel

A) Overall Assessment

The Panel acknowledged the efforts made by the proponent in addressing the comments and recommendations of the 40th Expert Panel Meeting. It also recognized that the Executing Agency has produced a series of quality technical reports under the implementation of the completed project PD 256/03 Rev.1 (F): "*Alternative mixed plantation systems and restoration strategies for conservation and sustainable production of native timber species in Ghana*". However, the proposal still presented a number of weaknesses in the following sections and sub-sections: problem analysis with the key problem well defined but some causes are not relevant; lack of vertical logic in the problem tree; lack of consistency between the problem tree and objective tree and logical framework matrix; no correlation between outputs and causes of the key problem (e.g. four outputs listed while only three main causes are mentioned in the problem tree).

The Panel also noted that the proponent did not provide convincing justification regarding the need to hire an international consultant, especially as the Executing Agency had accumulated experience and knowledge during the implementation of Phase I. The Panel further noted that the communities were not represented in the project steering committee, despite the community-oriented approach chosen for the implementation of this project. Finally, the Panel noted that the project steering committee was not appropriately placed at the top of the organizational chart, in relation to its key role in the monitoring and evaluation of the project implementation (see the ITTO manual for project formulation, page 60).

B) Specific Recommendations

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

1. With the rephrased key problem "Ghana's ability to produce timber from native species is not sustainable", the problem tree and objective tree should be better adjusted while ensuring the consistency with the logical framework matrix;
2. Further improve the revised logical framework matrix in correlation with the problem analysis and the problem tree of the project and also by using SMART indicators for the specific objective and redefined outputs;
3. Redefine the outputs in accordance with the sub-causes, and in particular by merging the Outputs 2 and 3 which are duplicating;
4. Subsequently to the 3rd recommendation, adjust the work plan with the appropriate activities in relation to the redefined outputs;
5. Remove the international consultant from the work plan for the implementation of this Phase II project;
6. Further adjust the organizational chart by putting the project steering committee on top: it should be placed in staff and not in line on the same horizontal level with the Executing Agency;
7. Revise the ITTO budget in line with the above overall assessment and specific recommendations and also in the following way:
 - a) Remove from the ITTO budget all costs correlated with the international consultant (12.1, 34.1 and 34.2 budget items),
 - b) Delete the budget item 12.7 (fellowship for graduates and undergraduates thesis), as it is duplicating with the ITTO Fellowship Programme,
 - c) After deducting the amounts related to a) and b), recalculate the ITTO Programme Support Costs (sub-item 83) so as to conform with the standard rate of 8% of total ITTO project costs; and
8. Include an Annex that shows the overall assessment and specific recommendations of the 41st 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 584/10 Rev.1 (F) Implementing the Cooperative Framework between ODEF and the Stakeholders for the Effective Participatory and Sustainable Management of the Eto-Lilicope Forest Complex (Togo)

Assessment by the Forty-first Panel

A) Overall Assessment

The Panel acknowledged the efforts made by the proponent in addressing most of the comments and recommendations of the Expert Panel made at its Fortieth Meeting. It was recognized that the proposal was based on the findings and outcomes of the completed project PD 217/03 Rev.2 (F): *“Establishing a Cooperative Framework between ODEF and the communities living in the Eto-Lilicope Forest complex for the Sustainable Participatory Management of this Complex”*.

The Panel noted that there was still a need to address some remaining weaknesses noticed in some sections and sub-sections, and it was also noted that the second and sixth recommendations of the previous Expert Panel meeting were ignored in the revised version of the proposal. Those noticed weaknesses mainly include the following: stakeholder analysis inadequately described with inconsistency between the information presented in different paragraphs of the sub-section 2.1.2; Logical Framework Matrix still uses outputs' indicators inadequately formulated in order to be specific, measurable, appropriate, realistic and time-bound (SMART), and also with too broad assumptions for the development objective and specific objective; impact indicators and outcome indicators still missing under the development objective and specific objective respectively.

The Panel also noted the lack of consistency between the work plan and the budget (e.g. the coordinator's intervention for the implementation of Activity 1.1 is scheduled for 2 months in the work plan, but it is budgeted for 3 months in the master budget schedule). There was no need to repeat the elements provided as responses to the overall assessment and specific recommendations in Annex 4. The project steering committee was placed at the top of the organizational chart, but it should have been placed in staff and not in line hierarchical position in relation to its role in the monitoring and evaluation of the project implementation.

B) Specific Recommendations

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

1. Provide more information on issues and needs of the institutions involved in the project implementation, their capacity, roles and responsibilities;
2. Further improve the stakeholders' analysis by providing more information on the level of consensus, need for change and steps to ensure the participation of stakeholders, while defining the target beneficiaries in relation to identified primary stakeholders;
3. Further strengthen the logical framework matrix by using SMART indicators for the outputs, and also by formulating appropriate assumptions for the development objective and specific objective;
4. Redefine the outputs in accordance with the main causes of the key problem and provide more information on the use of outputs by beneficiaries in the section regarding the expected outcomes at project completion, while defining relevant activities in relation to the sub-causes of the key problem;
5. Revise the ITTO budget in line with the above overall assessment and specific recommendations and also in the following way:
 - a) Check the consistency between the master budget schedule and work plan regarding the planned duration of each activity and related budgeted amount;
 - b) After adjusting budget item 81 to US\$15,000, recalculate the ITTO Programme Support Costs (sub-item 83) so as to conform with the standard rate of 8% of the total ITTO project costs (on budget items 10 to 82); and
6. Include an Annex that shows the overall assessment and specific recommendations of the 41st 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 the incorporation of amendments.

PD 588/10 Rev.1 (F)

Promoting Indigenous Mamar Agroforest (IMA) as Community Forest Model for Rehabilitating Critical Land in Noelmina Watershed, West Timor Indonesia

Assessment by the Forty-first 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 and the importance of promoting community-based watershed management. However, the Panel noted that such efforts were not well articulated in the revised proposal and that the technical design of the project remained unclear because some of the important recommendations had not been adequately addressed in the revised proposal.

In particular, the Panel noted that there would be a big potential of overlapping with the on-going UNDP Project on Strengthening Community-Based Watershed Forest Management in Noelmina Watershed Area, as the objectives and target audiences of the revised proposal appear to be similar. Moreover, the Panel was not clear about the concept of the Indigenous *Mamar* Agroforestry System (IMAS) that had only been referred to as a mixed dry land agriculture model developed by local communities. There wasn't enough information on the IMAS and why it should be the best solution to improving rehabilitation of degraded lands in Noelmina watershed area. How widespread is this system at the moment? Why isn't it more widely used? Why would farmers readily adopt it?

In addition, the Panel pointed out that there are still many weaknesses in the revised proposal. These include the problem analysis, stakeholder analysis, logical framework matrix and budget due to its inconsistent presentation. Finally, the Panel was of the view that, in order to increase the technical soundness of the proposal, the proponent should first reflect on the best model for rehabilitating critical land building upon the results of the UNDP project and clearly identify problems/gaps/barriers in promoting this system, and then formulate a completely new project proposal based on a thorough problem analysis following the guidance specified in the Third edition of the ITTO Manual for Project Formulation.

B) Conclusion

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, as a complete reformulation is necessary.

PD 591/11 (F)

Rehabilitation of Gazetted Forests in the Savannah Belt with the Involvement of Local Communities (Côte d'Ivoire)

Assessment by the Forty-first Panel

A) Overall Assessment

The Panel recognized the relevance of the project dealing with the rehabilitation of gazetted forests in the savannah areas of Cote d'Ivoire through afforestation activities to be carried out with the involvement of local communities.

However, the Panel noted that the project proposal was not well formulated and that major elements of the project proposal were either weak or unclear, such as: origin of the project not sufficiently explained; map of the entire country without clear location of the project sites; expected outcomes at project completion not explaining how this community-based project could contribute to the improvement of the living conditions of local communities; very weak stakeholder analysis considering local communities as a homogenous group and leaving out the ministry in charge of forests; problem analysis not appropriately described while the problem tree and objective tree were too general; logical framework matrix missing both vertical and horizontal logic making it difficult to assess and understand the aim of the project; development objective and specific objective not concisely and clearly formulated and not clearly linked to the problem analysis and related problem tree end objective tree; outputs and related activities formulated without a clear link to the problem analysis; budget very high with 75% of ITTO funds allocated to sub-contracts and capital items, but without funds allocated for the livelihood of local communities; assumptions, risks and sustainability not adequately elaborated in relation to the logical framework matrix. The Panel also noted the lack of information in relation to the following sections and sub-sections: project brief missing; no information on the institutional set-up and organizational issues; impact indicators and outcome indicators missing under the development objective and specific objective respectively.

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.

PD 592/11 (F)

Integrated Development of Coastal Forests with the Involvement of Local Communities (Côte d'Ivoire)

Assessment by the Forty-first Panel

A) Overall Assessment

The Panel acknowledged the importance of this project aiming at the conservation of coastal forest ecosystems of South-western Cote d'Ivoire through an integrated development approach with the involvement of local communities. Nevertheless, the Panel noted that the project scope was too broad ranging from wildlife protection to ecotourism development.

The Panel noted that the project proposal contained major weaknesses in the following sections and sub-sections: while the origin of the project was clearly mentioned, no information was provided on the project funded by the European Development Fund aiming to mitigate the impact of the opening of the highway linking Abidjan to San Pedro; the relevance to ITTO objectives and priorities wasn't well justified; the map is of the entire country without clear marking of the project sites; social, cultural, economic and environmental aspects are not clearly presented particularly in relation to the coffee and cocoa plantations established in the gazetted forest lands; the stakeholder analysis is very weak with only three stakeholder groups listed; the problem analysis was not adequately explained and the main causes and sub-causes were not properly identified; the problem tree and objective tree are not picturing clearly the cause-effect relationship of the core problem; the logical framework matrix is without specific, measurable, appropriate, realistic and time-bound (SMART) indicators, and key assumptions are weak; the development objective and specific objective are too broadly defined; the outputs and related activities are formulated without a clear link to the problem analysis; the work plan is poor and based on inadequate activities and inappropriate project interventions; the budget is very high with 62% of ITTO funds allocated to sub-contracts and capital goods while no funds are clearly budgeted for the livelihood of local communities; the assumptions, risks and sustainability and the dissemination of project results and mainstreaming project learning were not adequately presented. The Panel also noted the lack of information in relation to the following sections and sub-sections: project brief missing; no information on the institutional set-up and organizational issues; impact indicators and outcome indicators missing under the development objective and specific objective respectively; and stakeholder involvement mechanisms missing.

Thus, the Panel was of the view that the aim of the project was poorly articulated in the proposal, as information and data were either missing or insufficient or inconsistent in most sections and sub-sections.

B) Conclusion

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.

PD 593/11 (F)

**Good Governance and Combat against Poverty in the Protection of
Gazetted Forests (Côte d'Ivoire)**

Assessment by the Forty-first Panel

A) Overall Assessment

The Panel recognized the importance of the project intending to contribute to the rehabilitation and sustainable management of gazetted forests in Cote d'Ivoire by halting activities leading to land clearance with both preventive and enforcement measures.

However, the Panel noted that the project proposal was not well articulated and noted that: the map is of the entire country without clear location of the project sites; the expected outcomes at project completion do not explain what is the current strategy to be replaced; the stakeholder analysis is very weak and limited to three stakeholder groups and referring to a group of coastal farmers which is not further defined; the problem analysis is not clear and the key problem not adequately identified and main causes not linked to the key problem; the logical framework matrix is weak with outputs not deriving from the main causes of the key problem, and indicators and key assumptions not appropriately formulated; the outputs and related activities are formulated without a clear link to the problem analysis and problem tree; the budget is very high with 72% of funds allocated to sub-contracts and capital items; the assumptions, risks and sustainability are questionable without a clear explanation on the project strategy contributing to solve the identified key problem. The Panel also noted the lack of information in relation to the following sections and sub-sections: project brief missing; no information on the institutional set-up and organizational issues.

Thus, the Panel was of the view that all sections and sub-sections presented fundamental weaknesses.

B) Conclusion

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.

PD 598/11 (F)

Rehabilitation and Management of 1500Ha of Degraded Forest Reserves in Taraba, Edo and Osun States of Nigeria of the Federal Republic of Nigeria through Community Participation (Nigeria)

Assessment by the Forty-first Panel

A) Overall Assessment

The Panel recognized the importance of the rehabilitation and management of the degraded tropical forest reserves in Taraba, Edo and Osun States of Nigeria through community participation. However, the Panel noted that this project proposal has no wider value for replication due to the very limited impact of working on 1500 ha in comparison with the size of Nigeria and also due to the high unit cost of the establishment of the community-managed reforested areas (more than US\$ 500 per ha, based on the consolidated budget).

The Panel also noted that there were weaknesses in important sections and sub-sections of the proposal, such as: problem analysis with the key problem not adequately identified, as massive deforestation is a consequence and not a key problem; logical framework matrix with indicators not specific, measurable, appropriate, realistic and time-bound (SMART) and assumptions not adequately formulated; stakeholder analysis not detailed for communities; no reference to the ITTO guidelines for the rehabilitation and restoration of degraded and secondary tropical forests. Moreover, in view of the critical importance of essential socio-economic information on communities on the proposed work, the Panel felt that a pre-project would be necessary to assess the current situation and formulate a project proposal.

B) Specific Recommendations

The Panel recommended that a pre-project should be developed to adjust the scope of the project for wider value and replication in other regions of Nigeria and to formulate a project proposal. The focus of the pre-project should be on improving the problem analysis, undertaking an appropriate stakeholders' analysis and carrying out relevant studies/surveys (social, cultural, economic and environmental), explaining assumptions, updating the current status of the monitoring, management and conservation of rehabilitated forests established by local communities with regard to land tenure access and ownership of resources from those community-managed reforested areas, in the future. The results and findings of the pre-project will be used for the formulation of a project proposal dealing with pilot areas for the establishment of community-managed reforested areas. The project should refer to the ITTO guidelines for the rehabilitation and restoration of degraded and secondary tropical forests.

C) Conclusion

Category 3: The Panel concluded that a pre-project is necessary in order to address the above recommendations. The Panel will need to assess the pre-project proposal before it can commend it to the Committee for appraisal.

PD 601/11 (F)

Strengthening Mangrove Ecosystem Conservation in the Biosphere Reserve of Northwestern Peru

Assessment by the Forty-first Panel

A) Overall Assessment

The Panel recognized the importance of the project that aimed at promoting the conservation of mangrove forests in Northern Peru. However, it also noted that several aspects of the proposal were weak or poorly developed, such as the problem analysis and the logical framework. On the whole the proponent did not exactly follow ITTO's new Project Formulation Manual (Third edition, 2009). Furthermore, the Panel also felt that the proposal lacked essential background information, particularly as regards the social, cultural, economic and environmental aspects, that should be included in both qualitative and quantitative detail. In addition, the proposal had too many outputs that appeared to be rather activities; similarly the components rather appeared to be outputs.

B) Specific Recommendations

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

1. Follow the adequate format as per ITTO's new Project Formulation Manual (Third edition, 2009);
2. Clarify the origin of the project, redefine the key problem and review the problem analysis, and based on the aforementioned, reassess and reduce the outputs required to achieve the objectives, while considering current outputs as activities; rewrite the logical framework accordingly and provide proper indicators and assumptions;
3. Explain how and to what extent the project will contribute to the objectives of the ITTA and the ITTO Action Plan;
4. Clearly explain how the proposal conforms to national forest policies;
5. Provide clear indications and or maps on the exact location of the estuaries;
6. Further develop the project's social, cultural, environmental and economic aspects; the institutional set-up and organizational issues; the stakeholders' involvement in the formulation of the project; and the project's long-term sustainability after completion;
7. Revise the work plan based on the newly defined outputs and activities;
8. Provide detailed budgets by component and by source of funding, as per the examples in the new manual on project formulation, and verify all calculations, particularly as regards the Executing Agency's administrative costs, which cannot be included under the ITTO budget;
9. Adjust the costs for ITTO monitoring and review to US\$10,000 per year, include US\$15,000 for mid-term/ex-post evaluation, and recalculate ITTO's Programme Support Costs so as to conform to the standard of 8% of total ITTO project costs;
10. Provide terms of reference for key project personnel and for the national and international consultants;
11. Clearly present the project areas of concentration;
12. Clearly demonstrate what MEDA/MDA will do in Tumbes and Piura Regions;
13. Clearly explain how the project results will be mainstreamed into national policies and plans; and
14. Include an annex that shows the recommendations of the 41st 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 602/11 (F)

**Tropical Forest Governance in the Region of Darien, Panama
(Panama)**

Assessment by the Forty-first Panel

A) Overall Assessment

The Panel noted the importance of this project for intending to enhance forest governance in the Darien Region of Panama and further noted that the proposal is the follow-up of one of the outputs of a previous ITTO project. However, it observed that many aspects of the proposal were vague or missing. Background information was lacking, particularly as regards the causes and characteristics of the illegal logging activities carried out in the Darien Region and its perpetrators. The proposal also lacked a well elaborated stakeholder analysis and a description of the current legal and institutional framework in place to prevent and control illegal logging in Panama. Moreover, some of the outputs, such as the implementation of a chain-of-custody system and streamlined forest harvesting permits, were overambitious and most likely unachievable in the short term. In addition, as ANAM has the institutional mandate for preventing and controlling illegal logging, it should be the Executing Agency and WWF the collaborating agency. In addition, nothing is said about the involvement of the different stakeholders in the identification of the problem. It also appears as if the stakeholders did not participate in the development of the key problem and project objectives and as if the inputs of the stakeholders were not taken into account in the preparation of the proposal. Last but not least, sustainability of the project's activities after project completion is unclear and uncertain.

B) Specific Recommendations

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

1. Clearly describe, and if possible reorganize, the roles and contributions of governmental institutions and NGOs, at the national, regional and local levels, and reconsider the institutional setup for the implementation in terms of involvement of stakeholders in particular and with an organizational chart of the project;
2. Explain how and to what extent the project will contribute to the objectives of the ITTA;
3. Provide greater details as regards the project's social, cultural, environmental and economical aspects;
4. Describe the link between this project and other projects/activities going on in the region, including the PANAMA UN-REDD proposal, if any, and how this project will complement them;
5. Strengthen the problem analysis and streamline the problem tree, as the analysis is weak and the tree is very complex and difficult to follow;
6. Review and improve the logical framework as described in ITTO's new project formulation manual and besides provide measurable indicators (avoiding percentages) that properly indicate the expected outcomes upon project completion;
7. Provide adequate background information on the underlying causes and characteristics of the illegal logging activities carried out in the Darien Region and its perpetrators;
8. Clearly describe the current legal and institutional framework in place to prevent and control illegal logging in Panama;
9. Consider extending the timeline needed to carry out some activities to achieve outputs such as the implementation of a chain-of-custody system and the streamlined forest harvesting permits as these appear to be overambitious and most likely unachievable within the allocated timeframes in the work plan;
10. Include a bigger and more descriptive map, as the current one is impossible to read;
11. Describe how the project's activities will be sustained in the long term (after project completion);

12. Provide for detailed budget tables by component and by source, as per the examples provided in the new manual on project formulation; and
13. Include an Annex which shows the recommendations of the 41st Panel and the respective modifications in tabular form. Modifications should 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 603/11 (F)

Addition of 1000 Feddans from Khaya Senegalensis (African Mahogany Tree) as Extensive Forests to Existed Kaya Forest Plantations of Upper Egypt Provinces (Egypt)

Assessment by the Forty-first Panel

A) Overall Assessment

The Panel recognized the importance and the relevance of the project aiming at the promotion of innovative techniques for the afforestation of arid areas through the utilization of treated sewage water for the irrigation of forest plantations thus greening the desert.

The Panel noted that this project is the continuation of the completed project PD 004/97 Rev.3 (F) Phases I & II which was ex-post evaluated in September 2004. The proponent should have taken advantage of findings and lessons learnt from the implementation of the two phases of PD 004/97 Rev.3 (F). The Panel also noted that the project focused on establishing new forest plantations through the utilization of treated sewage water instead of focusing on the development of policy and monitoring mechanism in relation to the management of those established forest plantations or future ones.

The Panel further noted that the project proposal was not well structured and failed to follow the guidelines provided by the third edition of the ITTO manual for project formulation. The Panel finally noted that the proposal was incomplete, as several sections and sub-sections were missing: table of contents, project brief, work plan, budget tables. For the included sections and sub-sections, they were all very weak due to the lack of appropriate information and data. Therefore, it was impossible to really assess this project proposal.

Given the abovementioned comments and remarks, the Panel was of the view that a completely new proposal should be submitted to ITTO according to the third edition of the ITTO Manual for Project Formulation (GI Series 13) and complying with the findings and results of the ex-post evaluation of PD 004/97 Rev.3 (F): *"Development and Promotion of Afforestation Activities in Egypt"*.

B) Conclusion

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.

PD 605/11 (F)

**Research and Demonstration on Fire-Break Forest Belt Models
Optimization in China's Tropical Forest Region (China)**

Assessment by the Forty-first Panel

A) Overall Assessment

The Panel recognized that the proposal was derived from the results of the implementation of PD 228/03 Rev.3 (F) *Tropical Forest Fire Monitoring and Management System Based on Satellite Remote Sensing Data in China* and that it was completely reformulated from PD 537/09 Rev.1 (F) *Climate Change and Demonstration of Community-based Countermeasures for Tropical Forest Fire Management in China* which was assessed with a complete reformulation conclusion by the Thirty-ninth Expert Panel.

However, the Panel noted that the proposal presented many weaknesses. These include: too general descriptions of the social, cultural, economical and environmental aspects; weak analysis of the stakeholders and the problems to be addressed by the project; lack of measurable indicators in the logical framework matrix; unclear presentation of the project development and specific objectives; inconsistent presentation of the budget compared to the ITTO standard format specified in the ITTO Manual for Project Formulation; and weak presentation of the risk assessment without identifying appropriate mitigation measures to be employed to address the risk. Moreover, the proposal is difficult to read and the Panel felt the need to rephrase the text of the proposal in order to avoid misinterpretation of the contents. Attention should be paid to the presentation of the entire proposal in English.

B) Specific Recommendations

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

1. Provide greater detail pertaining to the strategy for reaching out to national level and other ITTO members to share the results and "lessons learned" from this project.
2. Elaborate Section 1.3.2 (Social, Cultural, economical and environmental aspects) by addressing the following questions:
 - a) What is an estimate of the number of beneficiaries from the project intervention out of the total population of over 100 million in the tropical forest region in China?
 - b) How widely will this project's effects spread among minority ethnic groups of the project beneficiaries?
 - c) Can an estimate be made regarding the anticipated economic benefits (from timber and harvested fruits) of the project to farmers / poor community members?
3. Improve the stakeholders' analysis by describing the characteristics and size of the target and beneficiary groups (i.e. by age, gender, and ethnic composition) and by including a gender analysis. Consider whether the township and village administrations should be considered as primary stakeholders. Address possible conflicting interests among stakeholder groups, and how the project strategy will address such conflicts.
4. Improve Section 2.1.3, §2 (Problems to be addressed in the Project) by narrowing down its key problem to low quality of fire-break forest (FBF) belts in south China to be addressed by the project and rewrite the problem tree accordingly. Under this key problem, consider its three causes, namely lack of understanding of good quality of FBF belts, under-developed technology for FBF belts and lack of skilled farmers in the establishment and management of FBF belts.
5. Strengthen the logical framework matrix by providing specific, measurable, appropriate and time-bound (SMART) indicators for the key project elements. For SMART indicators, consider identifying measurable indicators reflecting socio-economic impacts of the project. These include: how much money will be saved by reducing the annual frequency of tropical forest fires and by reducing the area of forest affected by fire? How does this translate into money "in the pockets" of farmers? And what are the social impacts?
6. Review and redefine the project development and specific objectives in a more clear and concise way. The development objective would be something like "To contribute to the sustainable management of

tropical forests in Guangdong Province” while the specific objective could be stated as “Establish and manage improved quality of FBF belts to block tropical forest fires in south China”.

7. Rework Section 3.1.1 (Outputs) so that they are written in the present continuous tense or present perfect tense. “Activities” should be deleted from this section, only “Outputs” should appear here.
8. Present the work plan in a quarterly basis rather than monthly divisions of time for ease of reference and presentation.
9. Revise the ITTO budget in the following way:
 - a. Follow the ITTO standard format specified in the ITTO Manual for Project Formulation by providing Master Budget Schedule as well as detailed sub-categories for ITTO Budget by Component and Executing Agency Budget by Component;
 - b. Correct inconsistent presentations, the provision for National Experts should be \$116,875 instead of \$111,000.00 as $170 \text{ input} * 687.50 \text{ unit cost} = \$116,875$;
 - c. Specify “Subsidies for forest land”.
10. Improve Section 3.5 (Assumptions, risks, sustainability) by addressing whether funding is available to enact the subsidy policy; and what risk mitigation measures are being employed and how will they be monitored in the course of project implementation?
11. Improve the presentation of the entire proposal in English by editing; and
12. Include an annex that shows the recommendations of the 41st 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.

PPD 148/11 (F)

**Project to Develop Conservation Infrastructure in the TRIDOM
Landscape (Gabon)**

Assessment by the Forty-first Panel

A) Overall Assessment

The Panel recognized the importance and the relevance of the pre-project scope in relation to the development of a project dealing with transboundary conservation of biodiversity in the tri-national Dja-Odzala-Mikebe (TRIDOM) conservation area between Cameroon, Congo and Gabon.

However, the Panel noted that the basic requirement regarding transboundary aspects were missing, such as the formal support of all three countries covering the TRIDOM conservation area. This is a crucial pre-requisite for a transboundary project. The Panel questioned why this pre-project proposal had a special focus on the assessment of the infrastructure in the TRIDOM conservation area, which is already covered by the pre-project PPD 147/10 (F). One of the recommendations for the approval of the revised version of PPD 147/10 (F) was related to the harmonization of transboundary aspects for synergy and efficiency among the three countries of the TRIDOM initiative. Infrastructure was one of those transboundary aspects. Therefore, there is a risk for the duplication of efforts and means if both pre-projects are implemented. The Panel encouraged the Executing Agency to cover all transboundary aspects during the implementation of the pre-project PPD 147/10 (F) which was funded by the 46th Council.

Thus, the Panel was of the view that duplication should be avoided in the TRIDOM conservation area by not engaging into another PPD.

B) Conclusion

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 pre-project proposal.

PD 594/11 (I)

Regional Efforts on the Production and Utilization of Plantation Teak to Sustain Supply of Value Added Teak Wood in International Teak Market (Myanmar)

Assessment by the Forty-first Panel

A) Overall Assessment

The Panel recognized that the proposal is an output of PPD 68/03 Rev.2 (I) aiming at promoting sustainable supply of plantation teak timber as a supplement to natural forest teak timber.

The Panel was of the view that the proposal failed to identify the key problem with weak links among the causes and sub-causes, and therefore weak formulation of the respective objectives, with lack of clarity on the involvement of stakeholders and primary beneficiaries. The text of the proposal is unclear on whether the main objective of the proposal is to improve the quality of teak plantations or downstream processing of value added products.

The Panel also felt that the proposal is quite ambitious, comprising eight different outputs in the fields of genetic improvement, technology and machinery, establishment of plantations and market information and access.

The Panel noted that some of the outputs and activities proposed are similar to those already carried out in previous projects in the fields of reforestation and forest management, such as outputs 1.1 to 1.3, and that the proposal should build upon existing knowledge.

The Panel also found several contradictory statements in the text, such as in the section regarding problem analysis and in particular on the issue that "there is no significant difference in wood properties of plantation and natural grown teak' (page 11).

B) Conclusion

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.

PD 595/11 (I)

International Conference on Planted Teak Forests – A Globally Emerging Forest Resource (India)

Assessment by the Forty-first Panel

A) Overall Assessment

The Panel recognized that the proposal aims at supporting the conference entitled “International Conference on Planted Teak Forest – A globally Emerging Forest Resource”, to be held in Costa Rica from 31 October to 2 November 2011.

While the Panel recognized the value of discussing several issues on teak plantations and teak trade at the global level, it was of the view that the rationale and key problem behind organizing an international conference was not properly justified.

The Panel also noted that the duty travel component for the ITTO contribution was high (around 73% of the ITTO budget), while no information was given in the proposal about the contribution of the other collaborative agencies, such as FAO, CATIE, etc.

The Panel also considered that an international conference could not be financed through project work, since it does not fit into the regular project cycle, and that alternative means of financing, such as through the biennial work programme and fellowships programme should be explored, taking into account the time and channels needed to submit such requests.

B) Conclusion

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.

PD 596/11 (I)

**Smallholder Rattan-based Enterprise Development in Southeast Asia
and West Africa (Philippines)**

Assessment by the Forty-first Panel

A) Overall Assessment

The Panel noted that the proposal derives from the project PD 334/05 Rev.2 (I) with the aim of strengthening the rattan sector in ASEAN countries and in Cameroon.

The Panel was of the view that all countries do not have the same level of development of their rattan sector, and that in particular, there might be a gap between countries in South East Asia and Cameroon. The proposal did not provide information on how activities will be balanced among the various countries and how they will be coordinated.

The Panel felt the proposal lacked a clear definition of small-holder rattan based enterprise and that the stakeholders' analysis and involvement of local communities was rather weak and not clear in the proposal.

The proposal lacked the problem and objective trees, and it has two specific objectives, while the ITTO Manual for Project Formulation third edition, states "ITTO project proposals should have one specific objective, regardless of project size" (page 38).

The Panel also considered that the budget allocated for personnel and duty travel was too high in relation to the whole budget.

B) Conclusion

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.

The Panel may be willing to assess two new project proposals (one for ASEAN and one for Cameroon expanding to other countries in Africa), with a clearer scope and focused on the involvement of primary stakeholders, also taking into account the knowledge gained from the executed project and other relevant institutions such as INBAR.

Assessment by the Forty-first Panel

A) Overall Assessment

The Panel acknowledged the relevance of the proposal to the Indonesian Government's programmes on sustainable utilization of Bamboo resources, and to the ITTO's programme on the promotion of Non-Timber Forest Products.

The Panel noted that the overall project is well designed but that the proposal could be improved through:

- further clarification on how communities (and which members of those communities) will benefit from the project and how the project will allow for an active role for the private sector; especially detailing how will the project develop and support small business enterprise development / cooperatives and what sort of market access will be achieved through this project;
- demonstration on how governmental institutional capacity -which the proposal identifies as weak- will be improved (changes in policies and laws?), given the current government decentralization process taking place;
- rearranging the budget; allowing for more personnel costs to be covered by the executing agency rather than ITTO

B) Specific Recommendations

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

1. Provide a detailed map of the project area;
2. Clarify whether the project would be the unique action undertaken to implement the specified governmental decision, or whether the project would be complementing other governmental actions to implement this governmental decision and explain how governance issues, poor coordination, and lack of institutional capacity in planning, monitoring, and evaluation will be overcome;
3. Improve stakeholders and beneficiaries analysis: involvement and roles of private sector, communities including sub-groups such as women, government institutions as well as R&D institutions and universities;
4. Explain the strategy and method by adding more information on:
 - o Bamboo processing technologies,
 - o Small business enterprise development / cooperatives (for communities),
 - o Demonstration plots in plantations and natural stands (please clarify if the experimental plots will be based in plantation or natural stands),
 - o Capacity building scope,
 - o Establishment of the revolving funds and the linkages with the existing banking system;
5. Revise the Problem Tree to ensure there is only one key problem identified. Reformulate the 'effects' to focus on the bamboo issue and not on forest resources as a whole. Figure 2: Solution Tree should also be redone, per the revised Problem Tree;
6. Revise Logical Framework Matrix:
 - a. The Development Objective and Specific Objective should be reworded: DO could perhaps read "Improve the management of the utilization and transformation of Bamboo resources for their sustainable use and benefits to local community" and SO could perhaps read

- “Enhance capacity among community and government stakeholders to develop and utilize bamboo in an efficient and sustainable manner”,
- b. Ensure Outputs are time-bound, and outline the finished results in qualitative and quantitative terms,
 - c. Measurable indicators for DO should be more realistic towards the establishment of guidelines and/or policies to increase the utilization of Bamboo in Bali,
 - d. Explain how potential risks/mitigating measures will be monitored in the course of project implementation, and
 - e. Key assumption should also be improved;
7. The amount of the ITTO budget for salaries should be substantially reduced by increasing contributions of the Executing Agency; besides, as it appears in the proposal, GOI mostly contributes to “miscellaneous” and some local transport; demonstrate the necessity to expend the allocated budget for study tours to China/India/Vietnam: why is this necessary, as opposed to perhaps having an outside expert(s) come to Indonesia to conduct training(s), which could be more economically efficient?
 8. Improve the section on Sustainability in terms of economic and financial aspects; and
 9. Include an Annex that shows the overall assessment and specific recommendations of the 41st 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 the incorporation of amendments.

PD 604/11 (I) Value-added and Efficient Utilization of Veneer-reconstituted Products from Sustainable Plantation Eucalyptus in China (China)

Assessment by the Forty-first Panel

A) Overall Assessment

The Panel noted that the proposal deals with technological development for adding value to plantation Eucalyptus. Though the status of processing plantation Eucalyptus in China was mentioned in the proposal, there is missing explanations/linkages on the existing advanced technologies and experiences worldwide for veneer-reconstituted products from Eucalyptus (especially in Brazil and Australia).

Besides, the Panel felt that clarification is needed on the status of the proposed project proposal with the on-going research activities of the Research Institute of Wood Industry.

Furthermore, the Panel saw the need to rephrase the text of the proposal in order to avoid misinterpretation of the contents. Avoidance of repetitive paragraphs in different sections was strongly recommended.

B) Specific Recommendations

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

1. Give clear explanation on the involvement of the private sector in the implementation of the project;
2. Clearly specify the relevance of the proposed project to ITTO's objectives and priorities and how the project will address them;
3. In point 2.1.1 (Institutional Set-up and Organizational Issues), elaborate on how the involved institutions are going to work together in a coordinated way;
4. Redo the stakeholder analysis to allow clearer and precise grouping of the stakeholders and explain their involvement in project implementation;
5. In the Problem Tree, consider to reformulate the key problem (it could perhaps read "low added value products from plantation Eucalyptus");
6. In the Logical Framework, make use of SMART indicators which will make the project easier to monitor;
7. Remove the text "other Asian countries" from the Development Objective, and improve the impact indicators;
8. Consider to reformulate the specific objective since it is now unclearly formulated;
9. In the Implementation Approaches and Methods, explain how the Project will work in close cooperation with stakeholders;
10. In the Work Plan, justify the duration for carrying out the study into a shortened period;
11. Rewrite the Sustainability section (point 3.5.2) to reflect effective measures to ensure the project's sustainability after completion;
12. Include some stakeholders representatives in point 4.1.3 (Project Technical Committee);
13. Rewrite point 4.1.4 (Stakeholder Involvement Mechanism) to allow for a clearer mechanism. The 'platform' as it is mentioned needs to be further elaborated;
14. Reconsider organizing an international conference, since presenting the results of the project in a different fora is more effective for dissemination purposes; and

15. Include an Annex that shows the overall assessment and specific recommendations of the 41st 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 599/11 (M)

Development and Testing of National Forest Stock Monitoring System (FSMS) with Improved Governance Capabilities at all Levels of the Forest Administration (Philippines)

Assessment by the Forty-first Panel

A) Overall Assessment

The Panel acknowledged that the project aimed to improve forest governance, institutional law enforcement capacity, stakeholder coordination and forest sector competitiveness through improved data management. The Panel recognized that the project will develop and test an integrated, real time, multi-tiered, configurable, on-line national Forest Stock Monitoring System (FSMS) with improved governance capabilities at all levels of the Forest Administration.

The Panel noted that the lessons learned from the completed ITTO projects PD 41/99 Rev.2(M), PD 353/05 Rev.2(M,F,I), PP-A/39-170 should be considered in the project context in a more comprehensive manner. By incorporating the key results, developments and stakeholder interviews from the previous projects, the description of the current situation could be improved to define measurable baselines and indicators for the objectives.

The Panel observed that the project proposal could be further improved by reformulating the stakeholder analysis, the problem analysis and the assumptions, risks and sustainability.

Considering the stakeholder analysis, there is a lack of information on the specific roles of the various stakeholders. In addition, the problem analysis does not include real practical and technical obstacles to the development of FSMS faced by the operators under the current system. The defined risks for the intended project were recognized to be easily avoided by organizing a stakeholder meeting on the completed projects.

The panel recognized that there is growing demand for timber with such traceability systems. There are also other similar ITTO projects which provide lessons and valuable information for the implementation of timber traceability systems, e.g. ITTO project in Gabon "Enhancement of the Forest Statistics Information & Management System (STATFOR) Through the Integration of Two Computer Modules: 1) Compilation of Management Inventory Data; 2) Management of Export Log Lumberyards" (PD056/00 Rev.3 (M)).

B) Specific Recommendations

The proposal should be revised taking into account the following recommendations:

1. Revise the Conformity with ITTO's objectives and priorities by including operational activities specified in the current ITTO Action Plan.
2. As the indicators were recognised to be difficult to measure, improve the indicators and accordingly the logical framework.
3. Add the report and list of participants from the previous meeting held in August 2009 to the Annex. Incorporate the main findings to the stakeholder analysis.
4. Both the problem analysis and the defined risks are lacking comprehensive analysis and inclusion of practical obstacles.
5. Reformulate the ITTO budget component and Executing Agency budget component according to formats recommended in the Project Manual.
6. For the project organization structure, the Department of Environment and Natural resources should be included in the Steering Committee.
7. Include an Annex that shows the overall assessment and specific recommendations of the 41st 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 the incorporated amendments.

PPD 149/11 (M)

Pre-scoping Study in the Planning and Conduct of Social Audits of Logging Concessions in Liberia, Ensuring that Liberia's Forest Concessions are Right, Pro-poor and Tenure-based (Liberia)

Assessment by the Forty-first Panel

D) Overall Assessment

The Panel noted that the proposed pre-project originated from observed undesirable impacts on stakeholders, the local population in particular, of the implementation of national forest policies on granting logging concessions and their operations. Its specific objective is to establish baseline data on logging concessions and impacted stakeholders to be used in formulating a full project proposal on social auditing of logging concessions in Liberia. While the proposal was developed in accordance with the ITTO Manual and provided useful information, a number of serious weaknesses were noted including weak justification of its relevance to ITTO's objectives and priorities, weak definition of the development objective, inappropriate definition of activities and inadequate presentation of the budget.

The Panel found that the pre-project proposal did not explain the collaboration between government agencies and the EA appropriately. In addition, while collecting the baseline information requires the use of GIS, this was not planned in the budget or described in the activities.

The Panel was concerned about the relevance and additional value of the pre-project in the context of other on-going development work in the forest sector. In this regard, it is necessary to explain how the pre-project fits in the completed or on-going projects in the field of social agreement, such as the Social Agreement Pilot Project implemented by the Liberian Forestry Development Authority (FAO financed project).

E) Specific Recommendations

The proposal should be revised taking into account the following recommendations:

1. Clearly state the origin of the project.
2. The text only listed relevant individual objectives of ITTA 2006 and ITTO Action Plan to which the intended project is related to. Explain briefly how the intended project conforms to ITTA 2006 objectives and ITTO Action Plan.
3. Conformity with national forest policies should be described in the pre-project proposal.
4. Concisely define the development objective of the intended project.
5. Improve the problem identification by defining the key problem clearly and identifying its main causes as well as sub-causes.
6. Table 1 was not constructed in full adherence with the Manual. Revise Table 1 by listing appropriate activities, inputs and units costs (add one more column for inputs). In addition, some activities are actually sub-activities or unnecessary activities (2.2, 2.3, 3.3) or incorrectly defined (1.3 – why workshop on pre-project?). The activity number 3.2 should be changed to 3.1, while 3.1 should be renumbered as 3.2. Revise the workplan by listing only necessary activities in accordance with revised Section 3.2. Revise Table 3 in accordance with the Manual; construct one Table for EA's contribution by components to cover the activities in Table 1 including EA's management costs.
7. Revise the organizational structure; change Project Steering Committee (PSC) to Project Technical Committee (PTC); remove ITTO from the top. In addition, justify why GAI is the EA instead of FDA.
8. Improve the reporting section in accordance with the ITTO's SOP for project implementation.
9. Include TORs for any consultants or contractors to be paid with ITTO funds.

10. Include an Annex that shows the overall assessment and specific recommendations of the 41st Expert Panel and respective modifications in tabular form. Modifications should also be highlighted (**bold and underline**) in the text.

F) Conclusion

Category 2: The Panel concluded that the pre-project 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 for final appraisal.

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