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

**Forty-Second Meeting
1 – 4 August 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.....	11
Appendix V Scoring table for the assessment of new Project and Pre-project proposals.....	13
Appendix VI Flow charts for deciding categories in the scoring system	15
Annex Assessment, recommendation and conclusion by the Forty-second Panel on each Project and Pre-project proposal.....	17

**REPORT OF THE EXPERT PANEL FOR THE
TECHNICAL APPRAISAL OF ITTO PROJECT PROPOSALS
(Expert Panel)
REPORT OF THE FORTY-SECOND 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-second 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-second 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 Twenty-seven (27) projects and six (6) pre-projects (total of 33) proposals were received for appraisal by the Forty-second Expert Panel. The overall list of 33 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 (25), then with those related to Economic Information and Market Intelligence (3) 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 **Appendix 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-second Expert Panel, as derived from the appraisal of all 33 proposals, are listed in section 5.

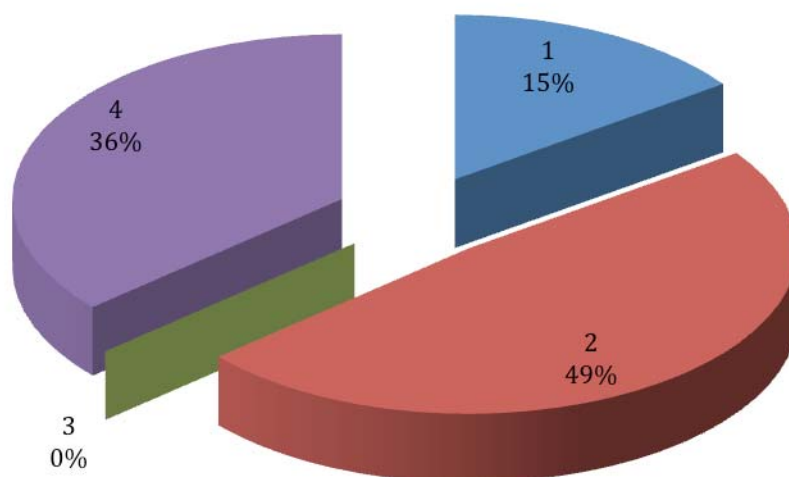
4.6 The Panel heartily appreciated the willingness of the Secretariat to work effectively for very long hours whereby full deliberation of the 33 proposals and the success of this Forty-second Panel were made possible.

5. GENERAL FINDINGS AND RECOMMENDATIONS

On the whole the Panel noted that the quality of the proposals was not wholly satisfactory which is reflected by the fact that:

- twelve (12) proposals: 3 pre-projects and 9 projects (36 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;
- sixteen (16) proposals: 2 pre-projects and 14 projects (49 percent of the total) will be sent back to proponents for essential revisions, rated as category 2;
- zero (0) project proposal received a category 3, indicating that the project requires a pre-project to better formulate a new proposal;
- only five (5) proposals: 1 pre-project and 4 projects (15 percent of total) were commended to the Committee for final appraisal with minor modifications required (category 1), four (4) were new projects and one (1) was a revised submission.

Decisions of the 42nd Expert Panel on Project and Pre-project proposals (number of proposals by category)



5.1. Considering the findings of the last panel, it was noted that though an effort was made by some proponents to carry out a proper stakeholder analysis, further attention in project design is still needed as regards **adequate involvement of all stakeholders and especially 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.

In a number of projects, communities are mentioned as the primary target group but the outputs and activities as well as the implementation approaches and methods and other sections of the proposal fail to reflect this.

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. The **high share of personnel** into the total budget of most projects is a threat to **sustainability** of project results. In this regard, personnel which are liable to be maintained after project completion should not be budgeted in ITTO's contribution.

The Panel noticed that activities related to training are insufficiently funded and therefore suggests that proponents allocate **enough resources** for this purpose thus ensuring mainstreaming of techniques and results.

- 5.3. Relevant **ITTO guidelines** (e.g. fire management, restoration, management and rehabilitation, sustainable forest management, plantation) are **not adequately used** as key reference for project formulation.

Besides, given the continued member's interest in **sustainable mangrove management**, the **ITTO Mangrove Work Plan 2002-2006 should be updated**. The need for integrated coastal zone management should be taken into account.

On the whole, the Panel still felt that proponents should have **followed the guidance** of the third Edition of the ITTO Manual for Project Formulation (GI Series 13). The Panel re-emphasized the fact that **training on project formulation** is still needed. The Panel noted that the **national clearing house mechanism** suggested in Decision 3(XXXVII) 1.(i) does not seem to be widely implemented.

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:

Summary of Project and Pre-project proposals submitted to the 42nd Expert Panel by Region

Region	Project Proposals				Pre-project Proposals				Total
	RFM	FI	EIMI	Total	RFM	FI	EIMI	Total	
<i>Americas</i>	8	-	-	8	1	-	-	1	9
<i>Asia Pacific</i>	7	2	-	9	1	-	-	1	10
<i>Africa</i>	6	2	1	9	2	1	1	4	13
<i>Europe</i>	-	-	1	1	-	-	-	-	1
Total	21	4	2	27	4	1	1	6	33

RFM = Reforestation and Forest Management

FI = Forest Industry

EIMI = Economic Information and Market Intelligence

Decisions of the 42nd Expert Panel on Project and Pre-project proposals by Committee Area

Category	Committee			Total
	RFM	FI	EIMI	
Projects				
1	3	-	1	4
2	10	3	1	14
3	-	-	-	0
4	8	1	-	9
Total	21	4	2	27
Pre-projects				
1	1	-	-	1
2	2	-	-	2
4	1	1	1	3
Total	4	1	1	6

Decisions of the 42nd Expert Panel on Project and Pre-project proposals by Submitting Country

Country	Category				Total
	1	2	3	4	
Cameroon				1+(2)	3
China		2			2
Colombia	(1)				1
Gabon				3	3
Germany	1				1
Ghana		1		(1)	2
Guatemala		2			2
India				1	1
Indonesia	1	1+(1)		1	4
Malaysia		1			1
Mexico				3	3
Nepal		1			1
Panama		1			1
Papua New Guinea		1			1
Peru	1	2			3
Togo	1	2+(1)			4
Total	5	16	0	12	33

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-second Expert Panel

Project No.	Title	Country	Category
PPD 151/11 (F)	Support to the Local Communities of the Mono Plain for the Promotion and Sustainable Management of Community Forests in Togo	Togo	2
PPD 152/11 (F)	Ensuring Conservation of Sumatra Tropical Plant Species Threatened by Excessive Harvest and Adverse Environmental Condition (PD 589/10 (F)-40EP)	Indonesia	2
PPD 153/11 (F)	Forest Fire Prevention through the Implementation of Regional Actions with the Participation of Local Communities and other Relevant Stakeholders so as to Ensure the Protection of Forests and Ecosystem Services	Colombia	1
PPD 154/11 (F)	Rehabilitation of Degraded Ecosystems Using Community Plantations and the Establishment of a Botanical Garden and Zoo on the Messa Mountain Range and Adjoining Landscapes in the City of Yaoundé (Central Cameroon)	Cameroon	4
PD 581/10 Rev.1 (F)	Establishing a Geographic Information System for the Sustainable Management of the Forest Areas of Togo	Togo	1
PD 601/11 Rev.1 (F)	Strengthening Mangrove Ecosystem Conservation in the Biosphere Reserve of Northwester Peru	Peru	2
PD 602/11 Rev.1 (F)	Tropical Forest Governance in the Region of Darien, Panama	Panama	2
PD 607/11 (F)	Sustainable and Multipurpose Forestry to Settle the Tribal Shifting Cultivators of Tripura State in North-Eastern India by Providing Viable Economic Activities	India	4
PD 609/11 (F)	Implementation of a Participatory Bushfire Prevention and Management System in Togo	Togo	2
PD 610/11 (F)	Community-based Forest Fire Management Project in the National Forests, Nepal	Nepal	2
PD 611/11 (F)	Demonstration on Forest Ecotourism Based on Community to Enhance Environmental Services and Local Livelihoods in Hainan Province, China	China	2
PD 613/11 (F)	Enhancing Forest Governance in 'Pilot Communities' in the States of Campeche, Chiapas, Quintana Roo and Yucatan, Mexico	Mexico	4
PD 614/11 (F)	Conservation, Management and Utilization of Tropical Timber Forests in the State of Tamaulipas, Mexico	Mexico	4
PD 615/11 (F)	Propagation and Establishment of Sustainable Plantations of <i>Swietenia humilis</i> , a Timber and Medicinal Species Used in the Xochipala Community, Eduardo Neri, State of Guerrero, Mexico	Mexico	4
PD 616/11 (F)	Building capacity to participate in emerging REDD+ opportunities – a pilot action learning initiative in the Adelbert Mountains, Madang Province of PNG	PNG	2
PD 617/11 (F)	Promoting biodiversity conservation in Betung Kerihun National Park (BKNP) as the trans-boundary ecosystem between Indonesia and State of Sarawak Malaysia (Phase III)	Indonesia	1
PD 618/11 (F)	Establishment of Spatial Forest Resources Information System (Spa-Fris) in West Papua Province	Indonesia	2
PD 619/11 (F)	Assessment of Actual Deforestation and its Impacts toward Forest Resources Sustainability in West Kalimantan Province	Indonesia	4
PD 622/11 (F)	Marketing of Native Plant Seeds, Seedlings and Timber Products to Improve Living Standards and Strengthen Regional Forest Policies in the Amazon Region of Peru: A Pilot Case on the Taulia Molinopampa Rural Community	Peru	1

PD 623/11 (F)	Production and Availability of Teak Clone Varieties: Development of Improved Plant Material for Reforestation in Togo	Togo	2
PD 624/11 (F)	Project to Promote Municipal, Community and Private Forest Plantations in Cameroon (3PF2CP)	Cameroon	4
PD 625/11 (F)	Development of Demonstration Forest Plantations by Rural Communities in Gabon Using Tree Species under Total Protection: <i>Baillonera toxisperma</i> (Moabi), <i>Poga oleosa</i> (Afo), <i>Dacryodes butnerii</i> (Ozigo), <i>Irvingia gabonensis</i> (Andok), <i>Tieghemella africana</i> (Douka)	Gabon	4
PD 626/11 (F)	Mangrove Forest Participatory Rehabilitation and Management Project in the Akanda National Park, Pointe Akanda-Cap-Esterias	Gabon	4
PD 628/11 (F)	Strengthening of Forest Management Practices of Local Communities and Indigenous Peoples in Guatemala	Guatemala	2
PD 629/11 (F)	Protection, Management and Restoration of Forest Lands for Water Catchment and Flow Regulation as a Climate Change Adaptation Measure	Guatemala	2
PPD 155/11 (I)	Village Community Support Project to Promote Reduced Impact Logging Practices in Community Forests and in situ Processing of Timber Using Industrial Mobile Saws	Cameroon	4
PD 604/11 Rev.1 (I)	Value-Added and Efficient Utilization of Veneer-Reconstituted Products from Sustainable Plantation Eucalyptus in China	China	2
PD 608/11 (I)	Life Cycle Assessment-based Initiative for Carbon Footprint Reduction and Improved Utilization of Tropical Timber Products from Malaysia	Malaysia	2
PD 612/11 (I)	Rural Community Development through Efficient Charcoal and Briquette Production from Logging and Corn Biomass Residues in the Afram Plains District of the Republic of Ghana	Ghana	2
PD 627/11 (I)	Processing of Timber Refuses as Energy Generation Solution in Gabon	Gabon	4
PPD 150/11 (M)	Assessment of market demand of particleboards produced from agricultural residues towards sustainable timber production in Ghana	Ghana	4
PD 620/11 (M)	Development and implementation of a species identification and timber tracking system in Africa with DNA fingerprints and stable isotopes	Germany	1
PD 621/11 (M)	Traceability of Timber Produced by Forest Concessions and Native Communities in Madre de Dios and Ucayal	Peru	2

APPENDIX IV

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

Marks indicate:

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

Rating categories:

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

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

Weighted Scoring System						
1.			PRE-PROJECT CONTEXT (5)	Mark	Score	Threshold
1.	1.		Origin and justification		5	
1.	2.		Relevance			
1.	2.	1.	Conformity with ITTO's objectives and priorities			Y
1.	2.	2.	Relevance to the submitting Country's policies			Y
2.			JUSTIFICATION OF PRE-PROJECT (15)			
2.	1.		Objectives		15	Y
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
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
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)

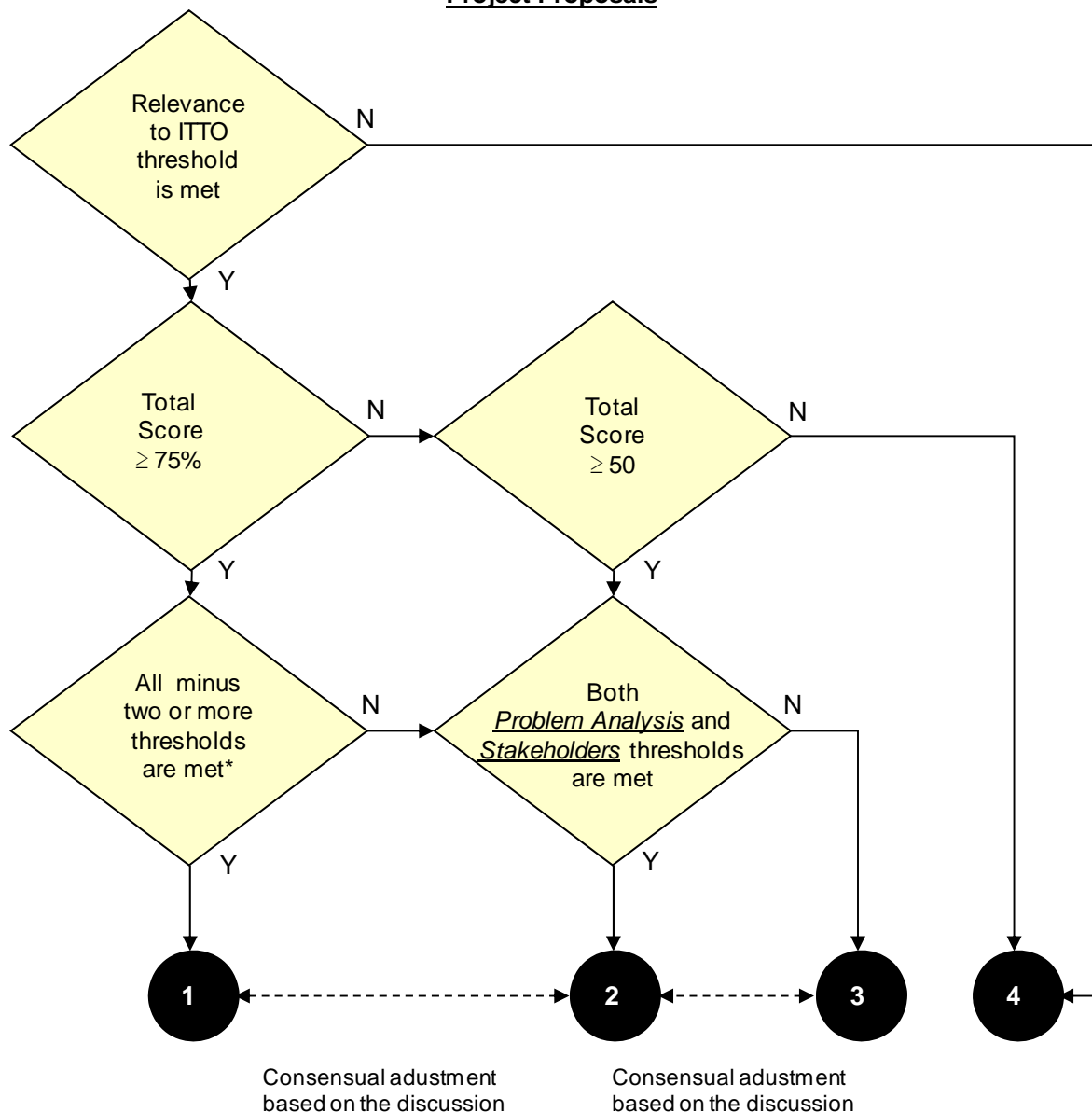
Rating categories:

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

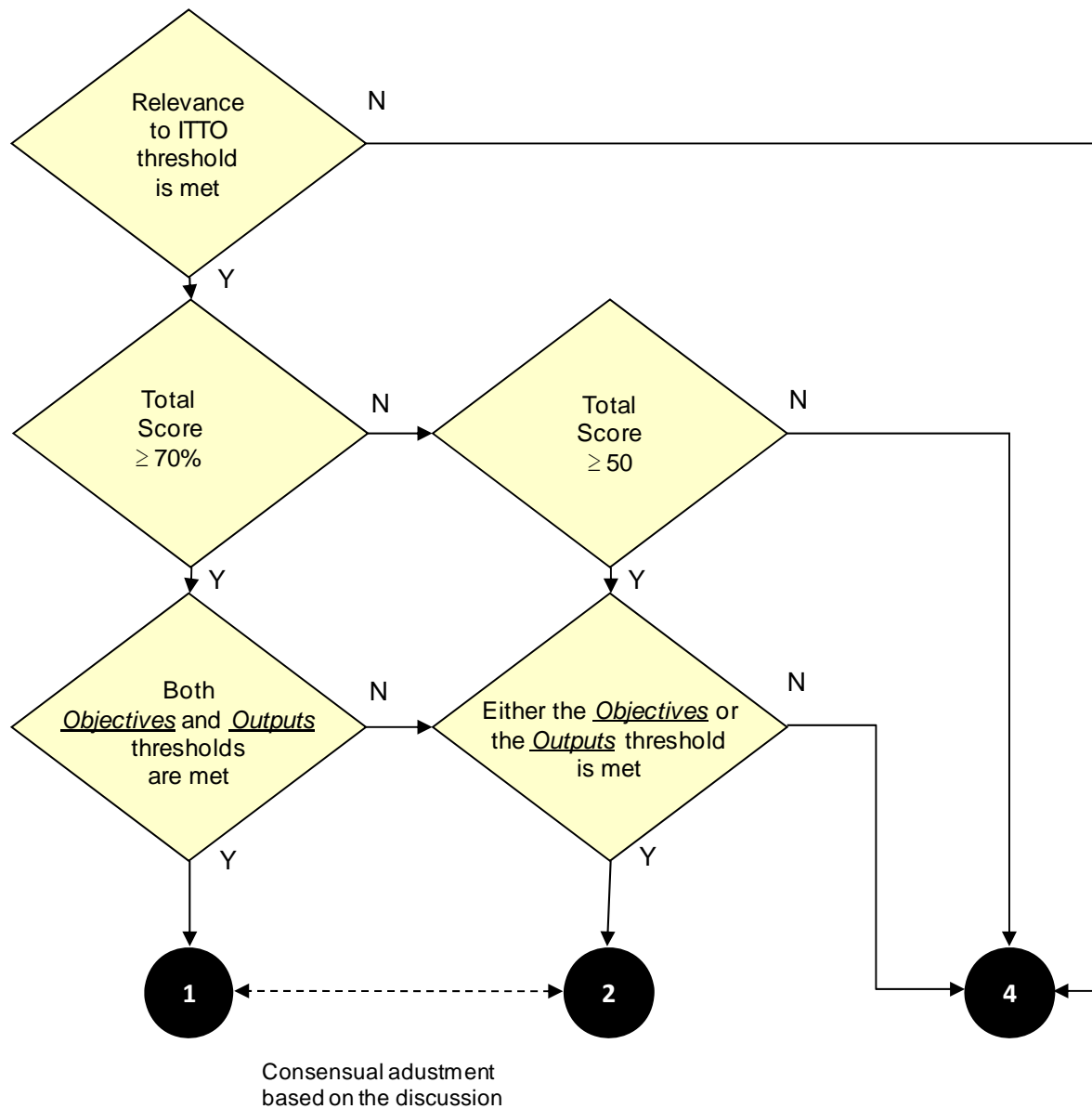
Category 1: The Panel concluded that the proposal could be commended to the Committee with incorporation of amendments. Proposal commended to the Committee with incorporation of amendments if any.

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-second Expert Panel on
each Project and Pre-project proposal**

Assessment by the Forty-second Panel

A) Overall Assessment

The Panel acknowledged the efforts made by the proponent in addressing the comments and recommendations of the Panel at its Thirty-ninth Meeting, resulting in the improvement of most components of the revised project proposal. The Panel noted that there was still a need to address some remaining minor weaknesses noticed in some sections and sub-sections, and it was also noted that the fourth, fifth, seventh and tenth recommendations of the Fortieth Expert Panel meeting were only partially addressed in the revised version of the proposal. Those noticed weaknesses mainly include the following: stakeholder analysis with the description of the level of consensus reached by primary stakeholders still inadequately described; Logical Framework Matrix presenting indicators with non-realistic time horizon for the development objective, indicators not measuring the immediate effects expected to be achieved by the project (but looking like outputs) for the specific objective, and indicators of the Output 2 were too ambitious.

The Panel also noted that there was still no clear explanation, in the implementation approaches and methods, showing the current situation regarding the management of data and information and how the geographical information system (GIS) would contribute to solve the identified key problem through the implementation of the project. The Panel further noted that the justification for the need to purchase one vehicle and five motorcycles was still missing in the revised version, if the proponent wants those items to be budgeted under ITTO contribution. In addition, the Panel noted that the assumptions and risks were still described without adequate mitigation measures, while the sustainability was still questionable due to the lack of information on the source of finance for the follow-up actions after the project completion. Finally, the Panel noted that there was still a need to improve the reporting, review, monitoring and evaluation section in accordance with the standard operating procedures applying to the ITTO project cycle and implementation.

B) Specific Recommendations

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

1. Further improve the logical framework matrix by including SMART indicators for the development objective, specific objective and Output 2 in light of the above overall assessment;
2. Provide clear explanation on the level of consensus reached among primary stakeholders in the stakeholders' analysis;
3. Insert in the "implementation approaches and methods" section an overview of the current situation regarding the management of data and information (without a GIS);
4. Further improve the section regarding the assumptions, risks and sustainability by providing more specific information on appropriate mitigating measures for potential risks, in relation to assumptions made in the logical framework matrix, and also clearly explain the source of financing for follow-up actions after project completion;
5. Revise the section related to the "reporting, review, monitoring and evaluation" in accordance with the standard operating procedures applying to the ITTO project cycle and implementation;
6. Revise the ITTO budget in line with the above overall assessment and specific recommendations and also in the following way:
 - a) Delete the budget sub-item 41 (1 4WD vehicle and 5 motorcycles) and related consumable costs (sub-item 51), if not clearly justified,
 - b) Recalculate the ITTO Programme Support Costs (sub-item 83) so as to conform with standard rate of 8% of the total ITTO project costs (on budget items 10 to 82); and
7. Include an Annex that shows the overall assessment and specific recommendations of the 42nd Expert Panel and respective modifications in tabular form. Modifications should also be highlighted (**bold and underline**) in the text.

C) Conclusion

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

Assessment by the Forty-second Panel

A) Overall Assessment

The Panel acknowledged the efforts made by the proponent in addressing the comments and recommendations of the Expert Panel at its Forty-first Meeting, as well as the inherent importance of this effort. However, the Panel noted that the essential modifications did not go far enough in addressing some critical aspects of the proposal including, in particular, the origin of the project and its link to the key problem, and the stakeholders' involvement in the formulation of the proposal. No reference was made to the ITTO Mangrove Workplan 2002-2006 nor does the proposal incorporate its recommendations. It was further noted that the proposal contained too many outputs and activities and the Panel considered their implementation to be currently unmanageable. The budget tables also do not follow the ITTO format and were difficult to assess due to the fact that the master budget by activities was lacking. Last but not least, modifications made in the revised document to address the recommendations made by the Expert Panel at its Forty-first Meeting were not highlighted in the text and, as such, it was difficult to distinguish between the original text and the changes that were made.

B) Specific Recommendations

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

1. Clarify the origin of the project and link it to the key problem;
2. Further explain how the proposal conforms with national forest policies;
3. Revise the Logical Framework Matrix to make it consistent with the problem tree and use qualitative and quantitative smart indicators in adherence with the ITTO manual for project formulation;
4. Reduce the outputs required to achieve the objectives to not more than three and verify that these are consistent with the problem tree and the logical framework matrix;
5. Revise and consolidate the proposed activities as a function of each of the 3 remaining outputs;
6. Review the work plan taking into account the two prior recommendations;
7. Provide greater details as regards the project's long-term sustainability after completion, and also by clarifying stakeholders' involvement;
8. Further breakdown the master budget by activities, the consolidated budget by component and provide detailed in the itemized budgets by source of funding, as per the examples provided in the ITTO Manual on Project Formulation. Transfer the refund of pre-project costs to the counterpart budget, as ITTO cannot cover this item;
9. Further explain how the project results will be mainstreamed into national policies and plans; and
10. Include an annex that shows the recommendations of the 41st and 42nd Expert Panels and the respective modifications in tabular form. Modifications should also be highlighted (bold and underline) in the text.

C) Conclusion

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

Assessment by the Forty-second Panel

A) Overall Assessment

The Panel acknowledged the efforts made by the proponent in addressing the comments and recommendations of the Expert Panel at its Forty-first Meeting. However, the Panel noted that the essential modifications did not go far enough in addressing many critical aspects of the proposal including, in particular, the roles and contributions of governmental institutions such as ANAM in relation to forest governance, and basic background information on the underlying causes and characteristics of the illegal logging activities carried out in the Darien Region and its perpetrators. Moreover, the problem tree, the objective tree and the corresponding analysis continue to be very weak and at the same time quite convoluted. In addition, the sustainability of the project's activities after completion is not clear. Also, the recommendations of the previous Panel were attached as an annex but not highlighted in the text, making it difficult to assess the proposal as a whole. Last but not least, there are some minor inconsistencies in the budgets presented.

B) Specific Recommendations

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

1. Describe in detail the roles and contributions of government 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, with a organizational chart of the project;
2. Further strengthen the problem analysis and streamline the problem tree and the objective tree, as the analysis is weak and the trees are very complex and difficult to follow;
3. Further improve the logical framework by providing SMART qualitative and quantitative indicators (avoiding percentages) that properly indicate the expected outcomes upon project completion;
4. Provide adequate background information on the underlying causes and characteristics of the illegal logging activities carried out in the Darien Region and its perpetrators. A distinction should be drawn between what is termed illegal logging and informal logging in Panama;
5. As ANAM is the authority in charge of forest governance in Panama, it should provide some sort of commitment as regards the implementation of illegal logging prevention and control mechanisms in Panama and its long-term sustainability. In any case, the proposal should by all means clearly state how the project's activities, particularly the illegal logging prevention and control mechanisms, will be sustained in the long term and by whom (after project completion);
6. Review the budget figures and correct any discrepancies found; and
7. All modifications stemming from a revision of the current proposal should be highlighted (**bold and underline**) in the text. Also include an Annex which shows the recommendations of the 42nd Panel and the respective modifications in tabular form.

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 607/11 (F)

Sustainable and Multipurpose Forestry to Settle the Tribal Shifting Cultivators of Tripura State in North Eastern India by Providing Viable Economic Activities (India)

Assessment by the Forty-second Panel

A) Overall Assessment

The Panel recognized the importance of the project to promote sustainable multipurpose forestry in the Tripura State of North Eastern India through the development of viable economic activities for the tribal shifting cultivators. It noted that the proposal stemmed from the outcomes of PPD 111/05 Rev.2 (F) "*Sustainable and Multipurpose Forestry to Settle the Tribal Shifting Cultivators of Tripura State in North Eastern India by Providing Viable Economic Activities*" which was implemented between July to December 2007.

However, the Panel noted that the project proposal had been poorly developed based on quite old information on the national policies and data which often showed disparities. The Panel questioned the usefulness of citing the survey report on the Jhumias of Tripura conducted in 1987 about 24 years ago. The Panel further noted that the proposal failed to follow the guidelines of project formulation provided by the ITTO Manual for Project Formulation (2009) regarding the fundamental structure of the proposal, especially the stakeholder analysis, the problem analysis, the logical framework matrix, and sustainability. The stakeholder analysis did not provide a thorough assessment of the primary, secondary and tertiary stakeholders regarding their characteristic, problems, potential and involvement in the project to ensure the active engagement of the tribal shifting cultivators. The key problem should be more concise and focused on a specific problem of the tribal shifting cultivation which will lead to the development of one concise specific objective rather than two specific objectives. With regard to the identification of the thirteen outputs and forty-two activities, the Panel felt that they are too many for efficient management of a project and considered that they should be consolidated in a concise way. The Panel also felt that the indicators for the development and specific objectives and outputs should be more SMART (Specific, Measurable, Appropriate, Realistic and Time-bound). The sustainability assessment was unclear on how the income generation activities initiated by the project will be continued or further developed. Indeed, there is no mention at all about what are the income generation activities in order to replace the shifting cultivation. The Panel expressed some concern about the settlement of shifting cultivation which might have been practiced for a long time. The critical importance of strengthening the sustainable livelihoods of the tribal shifting cultivators and their participation in joint forest management activities to ensure the success of the project was stressed.

The Panel further observed a number of weaknesses and disparities in the project budget, the work plan, and the implementation arrangements. Therefore, the Panel was of the view that the proposal should be completely reformulated. In order to increase the chance of a successful project, the Panel recommended that the proponent should first clearly identify the specific problems and needs of the tribal shifting cultivators in Tripura State based on the outcomes of PPD 111/05 Rev.2 (F) and other updated information and data and then reformulate a completely new proposal by strictly adhering to the guidance specified in the ITTO Manual for Project Formulation (2009).

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 609/11 (F)

Implementation of a Participatory Bushfire Prevention and Management System in Togo

Assessment by the Forty-second Panel

A) Overall Assessment

The Panel recognized that the proposal, dealing with bushfire prevention and management in Togo, was well formulated in accordance with the ITTO standard format. However, the Panel noted that the proposal contained a number of weaknesses. These include the following: origin not clearly described in relation to the different Council (ITTC) decisions and Committee (CRF) recommendations regarding the forest fire programme of ITTO; situation at project completion described but without explaining what communities, training institutions and fire brigades will be doing after project completion; institutional set up and organizational issues section not providing information on which public institutions should be involved in bushfire control and what is the level of coordination and the capacity of each as partner; no indication on the level of consensus reached amongst primary stakeholders; non-focused problem analysis and problem tree presenting a list of problems without categorizing them by importance and without clearly indicating the cause-effect relationship of the problems to be addressed; a logical framework matrix with indicators which were not SMART (specific, measurable, appropriate, realistic and/or time-bound); defined development objective not consistent with the project problem tree and objective tree.

The Panel also noted the following: need to explicitly mention the ITTO guidelines on forest fire in the implementation approaches and methods section; ITTO budget too high with master budget presented in accordance with the ITTO manual but the general expenses were attached to individual activities; assumptions and risks were not clearly analyzed in relation to potential risks and sustainability was questionable on how the sub-contracting to local farmers would generate profit to ODEF and sustain the main project outcomes.

The Panel further noted that the project steering committee membership was not appropriately presented, while the stakeholder involvement mechanisms were not adequately elaborated in order to involve representatives of local communities, training institutions and private sectors. In addition, the Panel noted that there was a lack of information on mainstreaming of project lessons and results into the national policies regarding bushfire in Togo.

B) Specific Recommendations

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

1. Clearly present the origin of the project with an appropriate chronology of facts leading to the current project proposal;
2. Categorize by importance the identified problems and improve the problem analysis by focusing on one problem to be considered as the key problem while ensuring the appropriate cause-effect relationship in the problem tree, and by re-phrasing the direct causes, sub-causes and also consequences in order to ease understanding;
3. Improve the description of the situation after the project completion in relation to the roles and responsibilities of primary stakeholders;
4. Subsequent to the second specific recommendation, appropriately redefine the development objective in accordance with the consequences of the key problem defined in the problem tree;
5. Improve the section regarding the institutional set up and organizational issues by emphasizing the coordination of public institutions to be involved in bushfire control;
6. Subsequent to the second and fourth specific recommendations, improve the logical framework matrix by using SMART indicators with time-bound of 3 to 4 years after project completion for development objective, and measurable indicators for the specific objective and outputs;
7. Improve the stakeholders' analysis by including information on the level of consensus among primary stakeholders, in support of proposed project or otherwise;

8. Explicitly refer and mention use of the ITTO guidelines on fire management in tropical forests in the implementation approaches and methods section;
9. Improve the section regarding the assumptions, risks and sustainability by providing more specific information on the potential risks and their mitigating measures, in light of the assumptions made in the logical framework matrix, and also by clarifying how sub-contracting activities to farmers will generate profit to ODEF and sustain main project impacts;
10. Include donor representatives in the PSC membership and add the representatives of local communities, training institutions and private sector in the organizational chart;
11. Scale down the ITTO budget and revise it in line with the above overall assessment and specific recommendations and also in the following way:
 - a) Significantly reduce the capital goods and sub-contracting budget items,
 - b) Put all general expenses under the “non-activity based” category in the master budget (e.g. office supplies, vehicles, fuel and lubricant, etc.),
 - c) Adjust the budget item 81 to the standard rate of US\$10,000.00 per year for the monitoring and review costs (US\$40,000 for 4 years),
 - d) Recalculate the ITTO Programme Support Costs (sub-item 83) so as to conform with standard rate of 8% of the total ITTO project costs (on budget items 10 to 82); and
12. Include an Annex that shows the overall assessment and specific recommendations of the 42nd 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 610/11 (F)

Community-based Forest Fire Management Project in the National Forests, Nepal

Assessment by the Forty-second Panel

A) Overall Assessment

The Panel observed that the proposal is an output of ITTO activity (PP-A/35-140A) "Development of a policy, a strategy and building capacities in local, national and transboundary forest fire management for Nepal" which was implemented jointly by the Global Fire Monitoring Center and the Ministry of Forests and Soil Conservation of the Government of Nepal under Council Decision 6(XXXIII) "Prevention and Management of Forest Fire". The Panel further acknowledged that the project aims to build fire management capacities in Nepal through participatory approach, which is commonly applied in rural areas in Nepal.

Given the importance of the intent of this project, the Panel was of the view that the proposal should be reviewed so as to incorporate the recommendations detailed below.

A) Specific Recommendations

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

1. Include a larger scale and more descriptive map, as the current one is impossible to read;
2. Explain why the project is relevant for the ITTO's objectives mentioned;
3. Reformulate the key problem, as it looks like an effect of the key problem;
4. The cause-effect linkages are poor (weak cause/effects ramification). Define at least 2 causes per effect;
5. The development objective and specific objective and corresponding indicators are poorly defined, and some of the assumptions are not well defined. Redefine the development objective, the specific objectives and respective indicators based on an improved problem analysis;
6. As regards the project's social, cultural, environmental and economic aspects, these are well described but should follow the ITTO format mentioned in the manual;
7. Outputs look more like impacts. Some of the indicators can be used to better define the outputs;
8. No reference is made to the ITTO Forest Fire Guidelines. Clearly show how the ITTO Forest Fire Guidelines will be applied;
9. Most assumptions are harsh so some adequate mitigation measures should be incorporated;
10. Redo the institutional chart, as the project's steering committee should not be above the planning and human resource division;
11. Provide greater details on the project management team. Annex the terms of reference for key project personnel and major sub-contracts;
12. Clearly explain how the project results will be mainstreamed into national policies and plans;
13. Restructure the project budget, so as to provide a more equitable budgetary distribution of personnel costs and other line items among institutions and facilitate the project's sustainability in the long term; and
14. Include an annex that shows the recommendations of the 42nd Expert Panel and the respective modifications in tabular form. Modifications should also be highlighted (bold and underline) in the text.

B) 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 611/11 (F)

Demonstration on Forest Ecotourism Based on Community to Enhance Environmental Services and Local Livelihoods in Hainan Province, China

Assessment by the Forty-second Panel

A) Overall Assessment

The Panel recognized that the proposal was prepared in the format of a small project with the objective of promoting community-based forest ecotourism in Hainan Province, South China. The Panel also noted that the proposal is linked to ITTO RED-SPD 20/09 Rev.1 (F) *“Development and Demonstration of Scheme of Payment for Environmental Services (PES) derived from Degraded and Secondary Tropical Forests in Hainan Province”* which is in the final implementation stage. However, the Panel noted that although the proposal was formulated as a small project in accordance with the ITTO Manual for Project Formulation, there were several weaknesses in the proposal. These include: limited background information on the potential of developing forest ecotourism in Hainan Province; unfocused problem analysis by mixing forest degradation and lack of assessment of environmental services in relation to the proposed work; weak identification of the development and specific objectives without clear link to the problem analysis; and inclusion of an output relating to project reporting. The Panel further noted the importance of improving the strategic approach and methods to ensure the effective engagement of local communities as well as the project long-term impact and the outcome indicators.

B) Specific Recommendations

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

1. Provide more background information on the potential of developing forest ecotourism in the project site to ensure the validity of the proposed work;
2. Improve the problem analysis by focusing on the key problem to be addressed by the project, as the current analysis is mixed with forest degradation and lack of assessment of environmental services in Hainan Island. Moreover, “Lack of effective patterns such as forest ecotourism” specified in the problem tree as the key problem is a means to address the development of ecotourism. In relation to the refined key problem, relevant causes and effects should be specified and the problem tree should also be refined accordingly;
3. Improve the social and economic aspects by providing more information on social and economic background of the project area;
4. Modify the development and specific objectives, and their indicators in connection with the refined key problem;
5. Refine the outputs by deleting output 3 (project general report) as it is related to project reporting;
6. Improve the strategic approach and methods by clearly reflecting the linkage between the problem analysis and the proposed solutions and by ensuring the effective engagement of local communities in project implementation;
7. Improve the indicators for the development and specific objectives by specifying them in a more measurable way;
8. Describe the dissemination strategy as to how the project results will be made useful to interested parties and users; and
9. Include an annex that shows the recommendations of the 42nd 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 613/11 (F)

Enhancing Forest Governance in ‘Pilot Communities’ in the States of Campeche, Chiapas, Quintana Roo and Yucatan, Mexico

Assessment by the Forty-second Panel

A) Overall Assessment

The Panel recognized the importance of the project aimed at strengthening the skills of communities in the Yucatan peninsula of Mexico to assist them in the sustainable management of their forests. However, several of the project's components are either very ambiguous, or lack focus or are quite convoluted. For example, the specific objectives appear to be more like outputs and the outputs appear to be more activities. Also, while the pilot communities of the Yucatan Peninsula are to be the main beneficiaries of the project, no stakeholder analysis was included in the proposal. Moreover, the “pilot communities” have not been identified in the proposal, nor is any community participation mentioned in the formulation of this proposal. There is also a severe mismatch between the outputs and the budget, as it appears that the project coordinator will be solely responsible for developing a model for a legal scheme to promote forest governance, provide feedback and advice to forest authorities, develop training material on community forest management and legislation and on community organization, organize and implement 8 workshops, and further develop and implement a detailed communication and outreach program, including a dedicated website. The Panel considered this to be overambitious and unrealistic. In addition, it was not clear to the Panel why the Executing Agency would not commit any counterpart funds to the project, and further not provide any explanation as to who would provide the other sources of funding for the project.

Given the above recommendations and the importance of the intent of this project, 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 2009 (GI Series 13).

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 614/11 (F)

**Conservation, Management and Utilization of Tropical Timber Forests
in the State of Tamaulipas, Mexico**

Assessment by the Forty-second Panel

A) Overall Assessment

The Panel recognized the importance of the project aimed at increasing the capacity of local actors (Municipalities, communities and individual forest producers) to manage their forests in a sustainable way. Nevertheless, several elements in the project proposal are unclear. For example, the objectives, problem tree and analysis, activities, outputs and outcomes are inconsistent throughout the proposal, and are overly ambitious and extremely difficult to achieve within the allocated timeframe. The stakeholder analysis is very weak and the project's direct beneficiaries are not clearly described. Moreover, no quantitative or qualitative indicators have been developed for the three outputs envisaged by the project, the outputs and activities do not match the work plan or the budget, and the costs for the elaboration of 10 municipal management plans, 10 environmental impact assessments and the continuous monitoring and control of these areas have been greatly underestimated. The sustainability of the project's activities after project completion was also unclear. Last but not least, ITTO's procedures require that all Executing Agencies carry out bidding processes to select companies to execute sub-contracts rather than select one by finger.

In addition, the proposal does not mention any previous contact and coordination with the private sector, even though the organization of the producer group from the private sector is one of the more important outputs of the project.

Given the above recommendations and the importance of the intent of this project, 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 2009 (GI Series 13).

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 615/11 (F)

**Propagation and Establishment of Sustainable Plantations of
Swietenia Humilis, a Timber and Medicinal Species Used in the
Xochipala Community, Eduardo Neri, State of Guerrero, Mexico**

Assessment by the Forty-second Panel

A) Overall Assessment

The Panel recognized the importance of this small project for ensuring the rehabilitation of degraded lands in the Community of Xochipala in Mexico so as to generate reforestation opportunities with a view towards improving the environment and the living conditions of the aforementioned rural community. As such, it is relevant to ITTO's objectives and core priorities, in particular those related to the restoration, management and rehabilitation of degraded and secondary tropical forests, and the promotion of non-timber forest products. However, several aspects in this project proposal are weakly presented and developed, and the proposal itself does not follow the format as per ITTO's new Project Formulation Manual (Third edition, 2009).

To be more specific, the Panel was not clear about the origin of the project proposal or why "caobilla" was selected as the tree specie to focus on; the institutional set up and how different partners would interact was not described; the stakeholder analysis was very weak; and no information was provided as to how the community would be involved in the project and if and how they were involved in the formulation of the project proposal. Moreover, the proposal did not contain a real problem analysis, just a description of caobilla, and the logical framework matrix was very superficial. The development objective was very weak and appeared to be more of an activity than an objective. In addition, the outputs and activities did not match the work plan or the budget. In addition, the Executing Agency did not consider providing any counterpart funds at all to the project.

On the other hand, while the project initially focused on the dramatic reduction of the original populations of caobilla in the natural forests of Guerrero, the activities and outputs ended up being more oriented towards the rehabilitation of degraded lands than recovering the populations of caobilla. Moreover, there is no evidence regarding the viability of reproducing caobilla by vegetative propagation, nor do any experiences exist as regards establishing plantations of caobilla using this technique. Also, there was no mention on how the project would tackle the enormous susceptibility of this tree species to the attacks of shoot borers, being the predominant one in Mexico "*Hypsipyla grandella*".

Given the above recommendations and the importance of the intent of this project, 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 2009 (GI Series 13).

B) Conclusion

Category 4: The Panel concluded that it could not comment the proposal to the Committee, and submits it to the Committee with the recommendation not to approve the project proposal, as a complete reformulation is necessary.

PD 616/11 (F)

Building Capacity to Participate in Emerging REDD+ Opportunities - A Pilot Action Learning Initiative in the Adelbert Mountains, Madang Province of PNG

Assessment by the Forty-second Panel

A) Overall Assessment

The Panel recognized that the proposal was well written as a follow-up to ITTO project PD 324/04 Rev.3 (F) "*Sustainable Management of Tropical Forest Resources through Stakeholder Agreements in Traditionally Owned Areas of PNG*". It also recognized the importance of the project for building capacity of local stakeholders in Madang Province in promoting REDD+ activities in PNG. However, the Panel felt that the stakeholder analysis, the problem analysis, the logical framework matrix and the sustainability needed to be further improved. It was not clear how local communities would be fully and effectively engaged in project implementation. Background information resulted from PD 324/04 Rev.3 (F) should be concisely presented in the origin of the proposal. Moreover, observing that there are three specific objectives, six outputs and twenty-two activities in the proposal, the Panel considered that it is necessary to refine them in a concise way following the guidance of the ITTO Manual for Project Formulation. With regard to the project budget, the Panel noted that ITTO budget allocation for project personnel should be substantially reduced while increasing the contributions of Executing Agency and Collaborating Agency.

B) Specific Recommendations

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

1. Provide a better map of the project area with a simple country map showing Madang Province;
2. Improve the stakeholders' analysis by further detailing the problems, needs and interests of local communities in project implantation as they are the primary beneficiary;
3. Improve the problem analysis by clearly analyzing the gaps, taking into account the achievements of PD 324/04 Rev.3 (F). The achievements of PD 324/04 Rev.3 (F) should be presented in a concise way as they appear in many parts of the proposal;
4. Improve the problem tree by differentiating main causes and their sub-causes. Provide a solution/objective tree which can be developed from the problem tree by turning problems into solutions.
5. Refine the three specific objectives into one specific objective. Avoid giving more than two specific objectives;
6. Refine the outputs and activities in a consolidated way as there are too many outputs and activities. Output 3 (Review progress, identify lessons and measures, etc.) needs to be dropped as it is related to monitoring and reporting. Two or three consolidated activities can be formulated for each output;
7. Improve the logical framework matrix by specifying SMART (Specific, Measurable, Appropriate, Realistic and Time-bound) indicators for the development and specific objectives and outputs. It is not necessary to include activities in the logical framework matrix;
8. Improve the work plan by specifying responsible parties for the implementation of each activity;
9. Revise the project budget in the following ways:
 - a) Scale down substantially the ITTO budget in particular with regard to the engagement of national experts while increasing the contributions of Executing Agency and PNG Forest Authority;
 - b) Include the amount of US\$15,000 for ITTO Monitoring & Review Cost as budget item 81;
 - c) Include the amount of US\$15,000 for ITTO Ex-post Evaluation Cost as budget item 82;
 - d) Recalculate the ITTO Programme Support Costs;
 - e) Provide a master budget schedule;

- f) Refine the Executing Agency budget by component exclusively focused on the contribution of Executing Agency;
 - g) Provide a separate table for PNG Forest Authority budget by component;
10. Improve the project sustainability by reviewing the identified assumptions which may hamper the implementation of the project. Due attention should be given to specifying post project mechanisms to ensure the further development of the activities initiated by the project;
11. Ensure consistency as regards presentation of Executing Agency on the cover page and Part 4 (Implementation Arrangements); and
12. Include an annex that shows the recommendations of the 42nd 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 617/11 (F)

Promoting Biodiversity Conservation in Betung Kerihun National Park (BKNP) as the Trans-boundary Ecosystem between Indonesia and State of Sarawak Malaysia (Phase III) (Indonesia)

Assessment by the Forty-second Panel

A) Overall Assessment

The Panel recognized that the proposal was the follow-up of the outcomes of the completed project PD 26/93 Rev.1 (F) *“Development of Betung Kerihun Nature Reserve as a National Park, Phase I”* and PD 44/00 Rev.3 (F) *“Implementation of a Community-Based Transboundary Management Plan for the Betung Kerihun National Park, West Kalimantan, Indonesia, Phase II”*. The Panel noted that although some progress had been made through Phases I and II, the management of Betung Kerihun National Park (BKNP) is still facing several challenges, especially relating to transboundary conservation cooperation with the Lanjak Entimau Wildlife Sanctuary (LEWS) and the Batang Ai National Park (BANP) in Sarawak and sustainable livelihood improvement of local communities within and surrounding BKNP which has been enlarged to 800,000 ha.

The Panel further noted that the proposal was well written in accordance with the format stipulated in ITTO Project Formulation Manual (2009). However, the Panel noted some weaknesses that should be addressed such as the full and effective participation of local communities in project implementation through a benefit-sharing mechanism between BKNP and the local communities. In this regard, the Panel expressed a particular concern about improving the project sustainability of Phase III to ensure the further development of the activities initiated by the project. Moreover, the Panel also noted that there was still the need for further improvement regarding the expected outcomes at project completion, the key problem, the statements of specific objective and output 1, the impact indicator and the implementation approaches. The Panel further noted that a significant amount of the ITTO budget was allocated for Project Personnel and Duty Travel and considered this budget allocation should be substantially reduced while increasing Executing Agency's contribution.

B) Specific Recommendations

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

1. Further improve the project sustainability of Phase III by specifying post project mechanisms to ensure the further development of the activities initiated by the project. A greater attention should be given to the establishment of an adequate framework for sustainable livelihood improvement of the local communities through development of community-based ecotourism and adequate market development for organic farming and NTFPs promoted by the project. In line with the improved project sustainability, the implementation approaches and methods should be further improved to ensure the effective participation of key stakeholders. Moreover, further elaboration of the expected outcomes at project completion by describing the intended changes (outcomes) of the project is required;
2. Further improve the problem analysis by highlighting only one key problem to be addressed by the project. In the problem tree, only one key problem should be presented with its immediate effects;
3. Further improve the logical framework matrix by defining the statements of the specific objective and output 1. The specific objective statement should reflect the main change that is intended to take place by the end of the project. It was suggested rephrasing the wording of “To initiate a process of” with “To strengthen” as a transboundary conservation management framework has already been established by Phases I and II. The negative statement of Output 1 should be dropped out as it is not an intended achievement of the project. The impact indicator should be improved to reflect the long-term effects of the project beyond 2015;
4. Adjust the organization chart by putting the project steering committee on next to the Executing Agency and ensure the consistency of the name of Betung Kerihun National Park, and the project duration between the cover page and the work plan;
5. Revise the project budget in the following ways:

- Scale down substantially the ITTO budget in particular with regard to the project personnel, and duty travel while increasing contributions of the Executing Agency;
 - Executing Agency Yearly Budget Table should be improved with detailed sub-categories;
 - Some correction is required for capital and consumable items in the Budget of the Executing Agency;
 - Include the amount of US\$15,000 for ITTO Ex-post Evaluation Cost as budget item 82; and
6. Include an annex that shows the recommendations of the 42nd Expert Panel and the respective modifications in tabular form. Modifications should also be highlighted (bold and underline) in the text.

A) Conclusion

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

PD 618/11 (F)

Establishment of Spatial Forest Resources Information System (SPA-FRIS) in West Papua Province (Indonesia)

Assessment by the Forty-second Panel

A) Overall Assessment

The Panel recognized the need for strengthening the forest resource information system in West Papua Province to promote sustainable management of its forest resources. However, the Panel requested more information on SIAPHUT developed by the Ministry of Forestry and its linkage with the proposed spatial forest resources information system (SPA-FRIS). In addition, more information on the current forest resource information system in West Papua should be provided, as the scope of the proposed work should focus on the improvement of the existing system rather than developing a new system. It felt that the problem analysis should be improved by containing an analysis of the reason behind the limited documentation of data and information in West Papua and unsynchronized data between central and local governments. Based on the refined problem analysis, project strategy should be identified to address such problems.

The Panel further noted a number of weaknesses in the design and formulation of the proposal. These include: insufficient information on the geographic location and the social, cultural, economic and environmental aspects; unclear presentation of the expected outcomes at project completion; weak assessment of the institutional set-up and organizational issues; limited identification of stakeholders without including local communities and the private sector; weak development of the logical framework matrix; weak sustainability after project completion; and unclear stakeholders involvement mechanisms. With regard to the project budget, the Panel noted that a significant amount of the ITTO budget was allocated for Project Personnel and Duty Travel and considered this allocation should be reduced while increasing Executing Agency's contributions.

B) Specific Recommendations

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

1. Provide more information on SIAPHUT developed by the Ministry of Forestry a few years ago and clarify how this proposal will complement such existing information system to strengthen the origin of the proposal;
2. Provide a short description of the target area's major physical features and ecological characteristics with a better map of West Papua;
3. Further describe the social, cultural, economic and environmental aspects with appropriate demographic and social data, and environmental background of the project area;
4. Further elaborate the expected outcomes at project completion by clearly specifying the intended immediate effects of the project. Since BPKH XVII has already been established as a center for data and information for West Papua, the expected outcomes would be related to the institutional strengthening of this center;
5. Improve the institutional set-up and organizational issues by elaborating how the identified partners, including University of Papua, will coordinate in project implementation;
6. Improve the stakeholders' analysis by reviewing the involvement of local communities and the private sector such as private plantation holders and concessionaires as users of the information produced by the project;
7. Improve the problem analysis by refining the key problem and its relevant main causes. Reasons behind limited documentation of data and information in local forestry agencies and unsynchronized data between central and local governments would include lack of coordination between concerned agencies. The key problem in the problem tree was not well identified as the project will address the improvement/strengthening of the existing information system rather than developing a system;
8. Based on the refined problem analysis, improve the logical framework matrix by defining the specific objective and outputs and their indicators in a more measurable way;

9. Review the work plan, as no activities were included for quarters III and IV of the 2nd and 3rd year as well as for quarter IV of the 1st year;
10. Improve the sustainability of the project by ensuring further development of activities initiated by the project;
11. Improve the stakeholder involvement mechanisms by reviewing the engagement of local communities and the private sector in project implementation;
12. Provide more detailed information on the hardware and software provision of the ITTO budget whether they will be purchased or rented;
13. Scale down the ITTO budget provision allocated to Project Personnel and Duty Travel while increasing Executing Agency's contributions; and
14. Include an annex that shows the recommendations of the 42nd Expert Panel and the respective modifications in tabular form. Modifications should also be highlighted (bold and underline) in the text.

B) 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 619/11 (F)

Assessment of Actual Deforestation and its Impacts Toward Forest Resources Sustainability in West Kalimantan Province (Indonesia)

Assessment by the Forty-second Panel

A) Overall Assessment

The Panel recognized that the project was originated in line with the findings of WWF (2005) and that it aimed at supporting local governments in assessing deforestation and its impacts in West Kalimantan Province through mapping of deforestation during 1999-2009.

However, the Panel questioned the need of the proposed work, as it felt that substantial information on deforestation in West Kalimantan was already available through various initiatives conducted by many organizations including FAO, World Bank, ITTO and JICA. For instance, ITTO Pre-project PPD 103/04 Rev.2 (F) "Rehabilitation of Degraded Forest Using Indigenous Species through Collaboration with Local Communities in West Kalimantan, Indonesia" implemented in 2006 had already analyzed and identified underlying causes of deforestation in West Kalimantan. However, such outcomes have not been taken into account in the formulation of the project proposal. In this regard, the Panel felt that the proposal should provide essential background information on completed and on-going initiatives being carried out to ensure the viability of the proposed work without overlapping with such initiatives. The Panel also questioned the problem analysis, as the key problem was not appropriately identified since lack of adequate data of deforestation in West Kalimantan would be a cause instead of a problem to be addressed by the project.

The Panel further noted that the proposal presented many weaknesses. These include: missing a project brief and list of abbreviations and acronyms; weak presentation of the social aspects; unclear presentation of local communities' participation in project implementation; identification of forest and plantation concessions as a tertiary stakeholder rather than a primary stakeholder; unclear indicator for Output 2 by focusing on only 24 villages; unclearly defined development and specific objectives; and unreasonable duration for the implementation of Activity 1.3 in the work plan which may require more than three months. With regard to the project budget, the Panel felt that a substantial amount of the ITTO budget was allocated for Project Personnel and Duty Travel and questioned whether project results will be sustained at the end of ITTO's financial involvement. It also pointed out that the quantity of DSA for the implementation of Activity 2.1 was incorrectly calculated.

Given the above weaknesses of the proposal, particularly on, lacking essential information on previous and on-going initiatives, the problem analysis and sustainability, the Panel was of the view that a completely new proposal should be formulated in accordance with the ITTO Manual for Project Formulation (GI Series 13).

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 622/11 (F)

Marketing of Native Plant Seeds, Seedlings and Timber Products to Improve Living Standards and Strengthen Regional Forest Policies in the Amazon Region of Peru: a Pilot Case on the Taulia Molinopampa Rural Community (Peru)

Assessment by the Forty-second Panel

A) Overall Assessment

The Panel recognized that this small project aims to establish and operate community enterprises for the production and marketing of certified seeds and seedlings so as to be able to cover an unsatisfied demand for the aforementioned products in the Department of Loreto, Peru. The Panel acknowledged that the proposal was well articulated in accordance with the guidance for a small project proposal, as specified in the ITTO Manual for Project Formulation (2009).

However, the budget tables are not in order and some items have been misplaced. In addition, there can only be one Executing Agency and it is currently ambiguous which one of the three institutions mentioned will be Executing Agency and the remaining two will be collaborating Agencies. As regards technical aspects of the proposal, the Panel was not clear if plus seed trees would be selected within natural forests or only planted in the 3 permanent plots to be established, or both. The Panel also sought more information on quality control to be applied in the production of seeds.

B) Specific Recommendations

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

1. Clearly explain the origin of the project and to what extent the project will contribute to the ITTO Action Plan;
2. Clearly describe the roles and contributions of each of the three institutions involved, and decide which will act as the Project's Executing Agency and which ones are to be considered as Collaborating Agencies, and show them in the project management chart;
3. Redefine the development objective in broader terms, such as "to contribute to the forest conservation and poverty alleviation in the Amazon Region" and clarify the cause-effect relationship and further summarize it within the problem tree;
4. Provide more information on the beneficiaries of the project, their involvement in the formulation of the project proposal, and how they will improve their livelihoods in the long-term based on the project's outcomes;
5. Describe in further detail the certified seed production process, and clarify if plus seed trees would be selected within natural forests or only planted in the 3 permanent plots to be established, or both;
6. Rename the project budget tables and include detailed budgets by components and sources of funding, so as to conform to the formats provided in the ITTO Project Formulation Manual. Labour costs should fall under Project personnel and not Miscellaneous;
7. Adjust the costs for ITTO monitoring and review to US\$7,500 per year, delete the funds allocated for mid-term/ex-post evaluation as it is not required for small projects, and recalculate ITTO's Programme Support Costs so as to conform to the standard of 8% of total ITTO project costs; and
8. Include an annex that shows the recommendations of the 42nd Expert Panel and the respective modifications in tabular form. Modifications should also be highlighted **(bold and underline)** in the text.

C) Conclusion

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

PD 623/11 (F)

Production and Availability of Teak Clone Varieties: Development of Improved Plant Material for Reforestation in Togo

Assessment by the Forty-second Panel

A) Overall Assessment

The Panel acknowledged the importance of the project proposal, dealing with the production and availability of teak clone varieties through the development of improved plant material for reforestation purpose in Togo. However, the Panel noted that the project proposal contained a number of weaknesses and discrepancies in relevant sections and sub-sections summarized as follows: an overview of forest plantations in Togo was missing in the section regarding the origin of the project as well as the silvicultural activities in Togo; social, economic and environmental aspects are not sufficiently elaborated with specific data in relation to the project area; excepted the two first achievements expected after project completion, the remaining ones are too ambitious for this project; stakeholders analysis did not cover all primary stakeholders presented in the stakeholders analysis table; weak problem analysis and problem tree, the identified key problem is questionable due to the lack of clear vertical relationship with what are presented as its direct causes, some sub-causes are also just repeated under causes without a clear link with those causes; logical framework matrix with the indicators of the development objective presenting a time-bound too far away from project completion; and lack of consistency between the development objective dealing with natural forests and the specific objective relating to teak plantations, besides this specific objective is more like an output.

The Panel also noted that Output 1 and Output 2 were formulated like indicators with time-bound while activities were well elaborated under all outputs, but the timing of some activities (2.1 and 2.2) were not realistic as presented in the work plan. For a 4-year project, more time could be allocated to those activities in order to ensure their smooth implementation and completion. The Panel further noted that the implementation approaches and methods sub-section was not sufficiently developed in relation to the problem analysis. It was furthermore noted that the ITTO monitoring and evaluation costs were not correctly budgeted, and the non-activity based expenses were missing in the budget table 3.1.1. In addition, the Panel noted that the assumptions, risks and sustainability were analyzed without clear linkage with the logical framework matrix. Finally, the Panel noted that the organizational chart did not put the project steering committee (PSC) in the right place giving the impression that the PSC is a board of the Ministry of Environment and Forest Resources. There was no explanation on the mainstreaming of project results in the national policies.

B) Specific Recommendations

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

1. Add in the project origin section appropriate information and data on the overview regarding forest plantations in Togo;
2. Further elaborate the social, economic and environmental aspects with appropriate data in relation to the project area;
3. Improve the expected outcomes after project completion
4. Improve the problem analysis and the problem tree with causes clearly linked to the key problem through appropriate cause-effect vertical relationship, while resolving the lack of consistency between the development objective and specific objective;
5. Subsequent to the fourth specific recommendation, appropriately redefine the development objective, specific objective and related outputs;
6. Subsequent to the fourth and fifth specific recommendations, readjust the logical framework matrix accordingly;
7. Revise the implementation approaches and methods sub-section in relation to the problem analysis and problem tree;
8. Revise the work plan based on activities to be developed under each readjusted output;

9. Improve the section regarding the assumptions, risks and sustainability by providing more specific information and mitigating measures, in relation to the logical framework matrix, and also with clear information on the source of financing for follow-up actions;
10. Revise the organizational chart by placing the project steering committee on the right position (see the model in the ITTO Manual for Project Formulation, page 60);
11. Clearly explain how the project results will be internalized in national forest policies.
12. Revise the ITTO budget in line with the above overall assessment and specific recommendations and also in the following way:
 - a) Improve the budget table 3.1.1 by adding non-activity based expenses,
 - b) Adjust the budget item 81 to the standard rate of US\$10,000.00 per year for the monitoring and review costs (US\$40,000 for 4 years),
 - c) Recalculate the ITTO Programme Support Costs (sub-item 83) so as to conform with standard rate of 8% of the total ITTO project costs (on budget items 10 to 82); and,
13. Include an Annex that shows the overall assessment and specific recommendations of the 42nd 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 624/11 (F)

Project to Promote Municipal, Community and Private Forest Plantations in Cameroon (3PF2CP) (Cameroon)

Assessment by the Forty-second Panel

A) Overall Assessment

The Panel recognized the intention of the Government to promote the municipal, community and private forest plantations in order to offset and meet the need for the timber harvesting in Cameroon. However, the Panel noted that this project proposal was not well designed and that most of its sections and sub-sections were extremely vague, missing or full of inconsistencies and deficiencies, including the most critical of them: origin of the project not clearly explained; no map focused on the location of the target project areas; lack of relevant information on the target project areas in the section regarding the geographical location, social, cultural, economic and environmental aspects; no stakeholder analysis introducing the stakeholder analysis table in order to facilitate its review, and the stakeholder analysis table was poorly presented and the association of communes and municipalities of Cameroon was not even mentioned in it; very weak and confused problem analysis and the related problem tree which included too many effects instead of focusing on the target project areas; logical framework matrix not consistent with the problem analysis and problem tree; two poorly defined and non-focused specific objectives not clearly linked to the problem analysis and related problem tree; budget tables with figures not coherent; assumptions, risks and sustainability not adequately elaborated in relation to the logical framework matrix; and institutional arrangement and related organizational chart not including the communes and municipalities. The Panel also noted that the project proposal was lacking impact indicators and outcome indicators under the development objective and specific objective respectively, as recommended in the ITTO manual for project formulation. The Panel further noted that there was no information provided on the financing from HIPC (Highly Indebted Poor Country) Initiative already secured for this project. It was finally noted that the relevant annexes required for a complete assessment of a project proposal were missing.

In this light, the Panel was of the view that all sections and sub-sections were not appropriately elaborated.

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 625/11 (F)

Development of Demonstration Forest Plantations by Rural Communities in Gabon Using Tree Species under Total Protection: *Baillonera toxisperma* (Moabi), *Poga oleosa* (Afo), *Dacryodes Butnerii* (Ozigo), *Irvingia Gabonensis* (Andok), *Tieghemella Africana* (Douka) (Gabon)

Assessment by the Forty-second Panel

A) Overall Assessment

The Panel recognized the relevance of the project dealing with the development of demonstration forest plantations by rural communities in Gabon using tree species under total protection: *Baillonera toxisperma* (Moabi), *Poga oleosa* (Afo), *Dacryodes butnerii* (Ozigo), *Irvingia gabonensis* (Andok) and *Tieghemella africana* (Douka), in order to restore the timber production potential in forest ecologically impoverished for these five species and to combat poverty in rural areas.

However, the Panel noted that the project proposal was not well formulated and several elements in the project proposal were either weak or unclear, such as: origin of the project not specifically explained and looked like a justification rather than an origin; map of the entire country without clear indication of the location of the target project sites; geographical location, social, cultural, economic and environmental aspects insufficiently elaborated; expected outcomes at project completion not consistent with the goal of the project; no stakeholder analysis introducing the stakeholder analysis table which is besides poorly presented; very weak problem analysis and the related problem tree not in full adherence with the ITTO manual for project formulation guidance; logical framework matrix missing both the vertical and horizontal logic; non-focused development objective and specific objective and not clearly linked to the problem analysis and related problem tree; outputs and related activities formulated without a clear link to problem analysis and problem tree; ITTO budget mostly used to pay project personnel and capital goods while less than 5% of the budget will be affected directly or indirectly to communities; assumptions, risks and sustainability not adequately elaborated in relation to the logical framework matrix; and institutional arrangement not including the communities. The Panel also noted the lack of information in relation to the following sections and sub-sections: project brief missing; no information on institutional set-up and organizational issues; impact indicators and outcome indicators missing under the development objective and specific objective respectively. There was no information about the extent of the impoverishment of forest resources and its actual impact on the local communities and forest biodiversity. Moreover, the proposal failed to explain why restoring timber production potential should be addressed by relying solely on forest plantation rather than conservation strategies and management of the natural regeneration of the five species.

In this light, the Panel was of the view that all sections and sub-sections were not appropriately elaborated.

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 626/11 (F)

**Mangrove Forest Participatory Rehabilitation and Management Project
in the Akanda National Park, Pointe Akanda-Cap-Esterias (Gabon)**

Assessment by the Forty-second Panel

A) Overall Assessment

The Panel recognized the importance of the project intending to contribute to the rehabilitation and participatory management of mangrove forest in the periphery of the Akanda National Park, not far from the capital city of Libreville, Gabon.

However, the Panel noted that the project proposal was not well articulated and presented several weaknesses summarized as follows: project brief missing; origin not well developed and looks like a justification; no reference to the ITTO Mangrove Work Plan in the relevance section; map of the Akanda National Park without clear indication of the mangrove zones to be rehabilitated; economic and environmental aspects not providing essential elements required for the project assessment; project rationale without relevant and appropriate information; very weak stakeholder analysis not providing sufficient information; problem analysis just listing the problems without categorizing them by importance in order to justify the identification of the key problem, and lack of consistency between the problem analysis and problem tree; weak logical framework matrix with one output not realistic in relation to the living standard of local communities and non SMART (specific, measurable, appropriate, realistic and time-bound) indicators; no indicators under the development objective and specific objective; outputs and related activities formulated without a clear link to problem analysis and problem tree; budgets by component (ITTO and Executing Agency) missing; assumptions just listed without any explanation and risks not clearly described, while there is no explanation on the sustainability issue; insufficient information on organizational structure and stakeholder involvement mechanisms; and no annexes included in the proposal to provide information on the profile of the Executing Agency, tasks and responsibilities of key experts to be provided by the Executing Agency, and terms of reference of consultants and sub-contracts.

In this light, the Panel was of the view that all sections and sub-sections presented fundamental weaknesses. Therefore, the Panel cannot justify its commendation of this proposal for consideration by the Committee. Given the abovementioned comments and remarks, the Panel was also of the view that a completely new proposal should be submitted to ITTO. The proposal should be reformulated taking into account the above comments, referring to both the ITTO Mangrove Work Plan 2002 – 2006 and technical information from other ITTO projects on mangroves. It should also take into account the cross-sector approach promoting an integrated coastal zone management instead of focusing only on mangroves, and the problem analysis and stakeholder analysis should be based on this approach.

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 628/11 (F)

Strengthening of Forest Management Practices of Local Communities and Indigenous Peoples in Guatemala

Assessment by the Forty-second Panel

A) Overall Assessment

The Panel recognized the importance of this project in contributing towards the restoration and sustainability of community forests by empowering and strengthening community forest management in the poorest areas of Guatemala. The Panel further noted that the proposal was well formulated and in accordance with the format stipulated in ITTO's Project formulation Manual. Moreover, the project's expected outcomes are very clear. However, it also observed some weaknesses that should be strengthened, such as clarifying the origin of the project, broadening the development objective, improving the problem analysis and problem tree so as to be more focused on a precise key problem, quantifying the outputs so as to put a time frame on these, specify the activities in greater detail, and further define the risks involved. The mainstreaming of the project should also be strengthened, and the budget should be more equitably distributed among the institutions, particularly as regards personnel. In addition, CALMECAC is for some reason not mentioned in the institutional setup and should be included, and a description of BOSCOM's role and mandate should be provided.

B) Specific Recommendations

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

1. Provide a better and larger scale map that highlights the regions where the project will implement its activities in Guatemala, and provide greater information on the target areas;
2. Explain the origin of the project and participatory community consultation processes;
3. Provide more information on the socio-economic aspects of the project, such as main providers of income to the population, the type and size of the forest industry and further processing, and what the forests are used for;
4. Replace IUCN with CALMECAC in point 6. Financial Contributions;
5. Include CALMECAC as part of the institutional setup, and describe in detail the mandate of BOSCOM and its role and responsibilities in the project;
6. The development objective should be broadened in scope, and the specific objective reformulated;
7. The problem analysis is not clear as the key problem is not clearly identified; identify precisely the key problem and further strengthen the problem analysis and related tree;
8. Strengthen the logical framework matrix by including SMART qualitative and quantitative indicators and means of verification, including those related to the impacts and outcomes of the project. Eliminate the vagueness in the matrix by clearly specifying what is meant by "spaces" and providing concrete outcomes;
9. Improve the section regarding the assumptions and risks, as it is not clear if the barriers to the project are the government and the communities themselves; include other risks beyond the government's and communities' possible inaction, and provide the mitigating measures;
10. Clearly explain how the project results will be mainstreamed into national policies and plans;
11. Restructure the project budget in order to provide a more equitable budgetary distribution of personnel costs and other items among the different institutions so as to facilitate the project's sustainability in the long term. Correct the inconsistencies currently present in the budget; and
12. Include an annex that shows the recommendations of the 42nd 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 629/11 (F)

Protection, Management and Restoration of Forest Lands for Water Catchment and Flow Regulation as a Climate Change Adaptation Measure (Guatemala)

Assessment by the Forty-second Panel

A) Overall Assessment

The Panel recognized the importance of the project for ensuring the conservation of strategically important forests for water catchment and flow regulation in Guatemala, and also as a climate change adaptation measure. The proposal was well structured but still presented some weaknesses such as the justification of relevance of the project to ITTO objectives, the design of the logical framework, the budget tables, and the risk analysis. Moreover, Adaptation to Climate Change (ACC) is mentioned only as a framework in the Title, and neither the objectives nor the activities relate specifically to ACC.

Given the importance of the intent of this project, the Panel was of the view that the proposal should be reviewed so as to incorporate the recommendations detailed below.

B) Specific Recommendations

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

1. Provide a better and larger scale map that highlights Guatemala's most important watersheds, and which allows for the identification of the "departments" mentioned in the text;
2. Clarify the origin of the project;
3. Clearly show how the proposed project is consistent with ITTO's objectives and priorities;
4. Consider applying the ITTO Guidelines for the Restoration, Management and Rehabilitation of Degraded and Secondary Tropical Forests during the implementation of the project;
5. Clarify the relevance of the project to the national policies of Guatemala;
6. Provide more information on the social aspects of the project;
7. Clearly specify all the expected outcomes of the project upon completion; will the project include all of the country's watersheds, or consider only a few pilot water catchments;
8. Consider including other institutions involved in watershed management and possibly consider these as collaborating agencies;
9. Regroup the stakeholders so that communities, small land-owners, forest managers and water users are highlighted as the primary stakeholders;
10. Delete the activities from the logical framework, and include SMART qualitative and quantitative indicators and means of verification, including those related to the impacts and outcomes of the project;
11. While ACC is a framework condition but not the main focus of the project, it still should be clarified in the approaches;
12. Develop a Master budget by activities as per the format in the ITTO manual, and scale down the budget by reducing personnel costs;
13. Improve the section regarding the assumptions and risks by providing more specific information and mitigating measures, in relation to the logical framework matrix;
14. In the workplan an unknown acronym is used, this being CEFÉ. Provide an appropriate description of it and its role in the implementation of the project;

15. Provide terms of reference for key project personnel and for the national and international consultants;
16. Include profiles of the executing agencies and collaborating agencies;
17. Describe how the project's activities will be sustained in the long term (after project completion) and what institutions will be responsible for it and how the resources needed will be secured;
18. The Project's Steering Committee is underrepresented. Include representatives from local governments, water user associations, forest managers and local NGOs as members of this committee;
19. 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; and
20. Include an annex that shows the recommendations of the 42nd 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 151/11 (F)

Support to the Local Communities of the Mono Plain for the Promotion and Sustainable Management of Community Forests in Togo

Assessment by the Forty-second Panel

A) Overall Assessment

The Panel recognized the importance of promoting sustainable management of the community forests located in the Mono Plain of Togo, and the need to provide assistance (through a pre-project implementation) in a participatory process for the formulation of a project proposal aimed at restoring the forest cover in the Mono Plain through forest rehabilitation activities to be implemented by local communities.

The Panel noted the following weaknesses: weak relevance to the ITTO objectives which were just listed without explanation provided under each; no description of the communities to be affected by the problem expected to be addressed by the future project to be developed through the pre-project implementation; communities not mentioned and not described in the section regarding the approaches and methods mainly focused on collecting and analyzing data relating to fauna and flora in the future project area; budget not consistent with the work plan, as honoraria for consultants were not budgeted although mentioned in the work plan as responsible for the implementation of five activities and while their DSA were budgeted; and there was no organizational chart regarding the implementation arrangement.

B) Specific Recommendations

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

1. Add appropriate explanation under each ITTO objective considered as consistent with the development objective of the future project to be developed through the pre-project implementation;
2. Improve the preliminary problem identification by adding the description of the communities to be affected by the problem to be addressed by the future project;
3. Further improve the section on the approaches and methods with information on a realistic methodology and timing which could contribute to get the involvement of local communities in the implementation of the future project;
4. Add the organizational chart in relation to the implementation arrangements;
5. Readjust the ITTO budget in accordance with the above overall assessment and specific recommendations and also in the following way:
 - a) Make sure that the honoraria of consultants are budgeted if they are responsible for the implementation of pre-project activities,
 - b) Add the amount of US\$3,000.00 for ITTO monitoring and review costs,
 - c) Recalculate the ITTO Programme Support Costs (Sub-component 83) specified in the budget so as to conform with new standard rate of 8% of the total ITTO pre-project costs; and
6. Include an Annex that shows the overall assessment and specific recommendations of the 42nd Expert Panel and respective modifications in tabular form. Modifications should also be highlighted (**bold and underline**) in the text.

C) Conclusion

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

PPD 152/11 (F)

**Ensuring Conservation of Sumatra Tropical Plant Species Threatened
by Excessive Harvest and Adverse Environmental Condition (Indonesia)**

Assessment by the Forty-second Panel

A) Overall Assessment

The Panel recognized that the pre-project proposal was formulated based on the recommendations of the 40th Expert Panel and the importance of conserving threatened or potentially threatened species in Sumatra. However, the Panel considered the proposal was not focused and required further improvement and clarification, in particular as regards the problem identification. Essential background information on the above mentioned species was also lacking in the proposal. It was also unclear which approach and methods would be used to assess the current status of the threatened or potentially being threatened species in Sumatra. The Panel further observed a number of weaknesses and disparities between the title and scope of the pre-project, specific objective, outputs and activities. Overall, the Panel suggested a focused problem analysis for the conservation of threatened or potentially threatened species in Sumatra with the specification of an appropriate method to assess such species as the first step and that the proposal be reformulated based on the guidance provided by the ITTO Manual for Project Formulation (2009).

B) Specific Recommendations

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

1. Further elaborate how the pre-project complies with ITTO's objectives and priorities and the national country policies since simply quoting relevant paragraphs is not sufficient;
2. Refine the specific objective by focusing solely on the formulation of a full project proposal based on an assessment of the current status of potentially threatened forest tree species in Sumatra;
3. Improve the preliminary problem identification as it is too broad. A key problem should focus on specific ecosystems/species groups of threatened or potentially threatened species in Sumatra along with essential background information on such species. Based on the refined key problem, the pre-project elements of the specific objective, outputs, activities and budget should be adjusted;
4. Improve the statement of Output 1 (Current status of the threatened or potentially threatened species in Sumatra is obtained) by clearly stating the identification and analysis of such species. For instance, it would be "Current status of the threatened or potentially threatened species in Sumatra is identified and analyzed". Similarly, improve the statement of Activity 1.1 (Review on the existing forest tree species in Sumatra and its monitoring mechanisms) as it is too wide and the importance of such Activity is to conduct an assessment rather than a simple review;
5. Clarify the approach and methods to be applied for the assessment of the current status of the threatened or potentially threatened species in Sumatra;
6. Refine the title and scope of the pre-project as they are not matched. Conservation of tropical plant species threatened by excessive harvesting is more related to proper forest management systems and this would lead to the challenge of how to ensure good forest management practices rather than conservation issues. Ensure the focus of tropical tree species in the title as tropical plant species are too wide;
7. Improve the terms of references for the two national consultants by identifying their specific duties; and
8. Include an annex that shows the recommendations of the 42nd 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 pre-project proposal requires essential modifications and will be returned to the proponent. The Panel will need to assess the revised pre-project proposal before it can commend it to the Committee for final appraisal.

PPD 153/11 (F)

Forest Fire Prevention through the Implementation of Regional Actions with the Participation of Local Communities and other Relevant Stakeholders so as to Ensure the Protection of Forests and Ecosystem Services (Colombia)

Assessment by the Forty-second Panel

A) Overall Assessment

The Panel recognized that the pre-project aimed at addressing the very important issue of reducing the incidence of forest fires in Colombia by gathering information on the culture and customs of the rural communities in its three regions in relation to fire management, particularly in all aspects related to agriculture, tourism and other local customs, so as to facilitate the design and formulation of a project. The Panel further noted that the proposal was well formulated and in accordance with the format stipulated in ITTO's Project formulation Manual. Moreover, the development objective, the specific objectives, the methodology and the outputs were all very clear and well articulated in the proposal. However, more information should be provided as regards the pre-project's integration with the National Plan for Forest Fire Prevention and Management and Rehabilitation of Affected Areas, formulated in 2002, and which established the national guidelines for forest fire management based on the ITTO forest fire guidelines, and how it relates to the National Strategy for Forest Fire Prevention and Control in Colombia, which was developed in 2004 with the assistance of ITTO under Decision ITTC 6/(XXXIII) Prevention and Management of forest Fire.

B) Specific Recommendations

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

1. Describe in detail the participation of local communities in the implementation of the pre-project and the formulation of the project proposal;
2. Consultations with the local communities should be periodic throughout the implementation of the pre-project and should be reflected as such in the Work plan;
3. Clearly state how this pre-project and the proposal to be formulated will incorporate the ITTO Guidelines on Fire Management in Tropical Forests;
4. Replace the Steering Committee with a Technical Consultative Committee, as the former is not required for a pre-project;
5. Rename the project budget tables as per the format mentioned in the ITTO Project Formulation Manual, and include detailed budgets by components and sources of funding, so as to conform to the formats provided in the ITTO Project Formulation Manual. Include the costs for the organization of the workshops and to carry-out a final audited report upon pre-project completion. Provide for a more equitable distribution of costs, particularly as regards pre-project personnel;
6. Adjust the costs for ITTO monitoring and review to US\$5,000, and recalculate ITTO's Programme Support Costs so as to conform to the standard of 8% of total ITTO project costs; and
7. Include an annex that shows the recommendations of the 42nd Expert Panel and the respective modifications in tabular form. Modifications should also be highlighted (bold and underline) in the text.

C) Conclusion

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

PPD 154/11 (F)

Rehabilitation of Degraded Ecosystems Using Community Plantations and the Establishment of a Botanical Garden and Zoo on the Messa Mountain Range and Adjoining Landscapes in the City of Yaoundé (Central Cameroon)

Assessment by the Forty-second Panel

A) Overall Assessment

The Panel noted that the goal of the pre-project scope was to contribute to develop a project proposal dealing with the rehabilitation of degraded ecosystems using the communities living in mounts and hills surrounding the City of Yaoundé, in Cameroon, and also dealing with the establishment of a botanical garden and zoo in Mount Messa in the periphery of Yaoundé City.

The Panel noted that the basic requirement regarding the relevance with ITTO objectives was questionable for a future project which will be dealing with the urban or sub-urban reforestation and the establishment of a botanical garden and zoo. This is a crucial pre-requisite for any ITTO project which should have a clear relevance to ITTO objectives. It was questioned by the Panel why this pre-project proposal focused on the establishment of a botanical garden and zoo in Mount Messa, as there was no clear explanation provided on this issue.

The Panel also noted that the pre-project proposal presented weaknesses in quite ALL sections and sub-sections: relevance to ITTO objective questionable, relevance to national forest policies too vague, development objective not correlated to the ITTO objectives, activities not relevant for a pre-project (A.1.4 and A.1.5), approaches and methods not well elaborated in order to explain how the establishment of the botanical garden and zoo will contribute to alleviate poverty of communities, work plan not focused to the studies and surveys to be carried out and to the development of a project proposal as required for a pre-project, implementation arrangement not sufficiently developed for a clear understanding of the roles and responsibilities of institutions to be involved in the pre-project implementation.

In this light, the Panel was of the view that critical requirements for a pre-project were not met in this proposal.

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.

Assessment by the Forty-second Panel

A) Overall Assessment

The Panel noted the proponent has tried to improve the proposal based on its overall assessment and recommendations. However, the improvement has not been made to the extent that all recommendations were fully addressed. Emphasis should be given to improve the stakeholders and problems analysis, and consequently modify the problem tree and the logical framework.

There is missing adequate explanations/linkages on the existing advanced technologies and experiences worldwide for veneer-reconstituted products from Eucalyptus (especially in Brazil and Australia).

The Panel felt that the previous overall assessment and recommendations need to be reiterated and thoroughly taken into account. The Panel still saw the need to rephrase the text of the proposal in order to avoid misinterpretation of the contents.

B) Specific Recommendations

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

1. Clarify the involvement of the private sector in the implementation of the project, which include their role, responsibility and how they engage with the project. In the Implementation Approaches and Methods (3.2), give more explanation on how the Project will work in close cooperation with other primary stakeholders;
2. 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. Elaborate clearly the problem analysis to be more reasonable in terms of technological and utilization problems of eucalyptus plantation. Accordingly, modify the problem tree, especially the causes of the problem;
5. Improve the Logical Framework with measurable and attainable indicators;
6. Reformulate the impact indicators in order to correspond to the logical framework;
7. Reconsider the duration of the project;
8. Improve the explanation on the need to have an activity on organizing an international conference to disseminate the project results;
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 of the revised proposal.

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 608/11 (I) **Life Cycle Assessment-Based Initiative for Carbon Foot Print Reduction and Improved Utilization of Tropical Timber Products from Malaysia (Malaysia)**

Assessment by the Forty-second Panel

A) Overall Assessment

The Panel acknowledged the relevance of the proposal to the recent development in the framework of ITTO's work. The Panel was informed that stakeholder's consultations have been organized during the formulation of the project proposal, however clarification in the text is needed on how stakeholders were involved in the identification and analysis of the key problem addressed. The Panel also felt that the proposal needs to be improved by re-visiting the Problem Analysis and the Logical Framework and significantly reducing the budget particularly on the duty travel component.

B) Specific Recommendations

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

1. Provide a detailed situation of environmental aspects in relation to the specific implication of the project;
2. Narrow down the expected output, considering there is no universal protocol which is currently adopted at the global/regional level;
3. In 2.1.1 (Institutional set up and organizational issues) specify the role and responsibilities, and assess respective capacity of involved institutions;
4. Formulate a feasible project's implementation strategy;
5. Re-group the stakeholders of plywood manufacturers, saw-millers, and wood products manufacturers into 'timber producers and exporters';
6. Revisit the Problem Analysis. The existing problem analysis oversimplified the real problem encountered, some important main causes and sub-causes were ignored.
7. Improve the presentation of the Problem Tree and the Objective Tree. Re-examine direct causes and sub-causes to ensure a strong vertical logic of project elements;
8. Modify the project's Outputs and activities in accordance with revised problem analysis;
9. Revise the budget arrangement, in full adherence with the ITTO Manual for Project Formulation and significantly reduce the duty travel budget;
10. Improve the assumptions, risks and sustainability Section; the assumptions presented do not correspond to the Logical Framework. Re-write the Sustainability (3.5.2) in order to be more realistic;
11. Include donor representatives in the Project Steering Committee (4.1.3);
12. Present reporting, review, monitoring and evaluation Section in close consultation with the ITTO's SOP for project cycle;
13. 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 612/11 (I)

Rural Community Development through Efficient Charcoal and Briquette Production from Logging and Corn Biomass Residues in the Afram Plains District of the Republic of Ghana (Ghana)

Assessment by the Forty-second Panel

A) Overall Assessment

The Panel acknowledged the relevance of the proposal to the Country's need and ITTO's work to improve efficiency in utilization of forest resources and livelihood of rural communities.

However, the Panel felt that the project proposal failed to address the involvement of important stakeholders: Forestry Institution(s), considering the project deals with utilization of forest resources and its contribution to sustainable forest management. Additional information is needed to clarify the project's origin.

The Panel emphasized that core activities of the project proposal should focus on improving the accessibility of local people to available technologies for producing charcoal. Therefore, reallocation of budget is necessary to training activities for the benefit of local community.

B) Specific Recommendations

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

1. Improve the presentation of the project area map to include clear thematic boundary and necessary information consistent with the text;
2. In Sub-section 1.3.1 (Social, economic, environmental aspect), address current information and situation on charcoal manufacturing industry, production and consumption, and level of technology;
3. In Sub-section 2.1.1 (Institutional Set-up and Organizational Issues), present all the institutions directly involved in energy development and SFM, assess level of coordination and identify the institution(s) having potential as a partner in project implementation. Involvement of Forestry Institution(s) is considered important;
4. Include in the Stakeholder analysis (2.1.2) women and forestry institution(s);
5. Improve the problem analysis by redefining the key problem and correctly identify the causes and sub-causes and effect(s). The following key problem and main-causes may be considered: "Extremely large volume of wood used in charcoal production", (main-cause 1) "Inefficient production system of charcoal", (main-cause 2) "unpopular use of substitute materials in charcoal and briquette production", (main-cause 3) "weak policy in wood utilization for charcoal production";
6. Redefine the development objective, the specific objective, the outputs and the activities based on newly identified problem tree and objective tree.
7. Improve the Logical Framework based on revised, improved problem analysis and with more specific and clearly measurable indicators;
8. Improve the Work Plan based on newly identified activities;
9. Improve the budget arrangement in full adherence with the ITTO Manual for Project Formulation and allocate more budget for the core activities, namely: training and kiln construction;
10. Improve Assumptions and risks (3.5.1) and move the "economic indicators" to appropriate section, e.g. 1.3.2;
11. Improve the Sustainability (3.5.2) by adding information on the institution(s) that will be responsible for implementing crucial activities after project completion and how needed resources will be secured;
12. In the Project Management Team (4.1.2) provide more information of the management team and how SFM will be taken into account;

13. In the Project Steering Committee (4.1.3) revise the PSC membership by omitting the Project Leader and bringing in donor as well as forestry representative(s) and revise the organizational structure accordingly;
14. 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 627/11 (I)

**Processing of Timber Refuses as Energy Generation Solution in
Gabon (Gabon)**

Assessment by the Forty-second Panel

A) Overall Assessment

The Panel recognized the importance of the use of timber residues as alternatives sources of energy in Gabon and in all the ITTO member countries of the Congo Basin. While the Panel believes this is a crucial topic, it also noted the proposal was poorly formulated and did not follow the ITTO Manual for Project Formulation, third edition.

The Panel noted several inconsistencies throughout the various sections of the proposal, such as:

- Lack of project brief;
- Missing information in the “Origin” section, in particular, no reference is given to the pre-project that generated the proposal, while there is a provision for reimbursement of pre-project cost in the budget section;
- The section “Conformity with ITTO objectives and priorities” fails to explain how the proposal relates to the ITTO objectives and just enunciates them;
- Under “Geographic location” maps should be bigger and more detailed;
- Under “Social, cultural, economic and environmental aspects” there is a need to revise the text and give more clarity as some cultural aspects are not cultural, and economic aspects do not provide information about the economic situation in the country and in the forest and energy sectors;
- The “Expected outputs at project completion” are inconsistent with those described in the Logical Framework Matrix, and are too ambitious;
- The section “Institutional set-up and organizational issues” does not provide information on how the stakeholders will be involved in the implementation of project activities. Furthermore it does not provide details of the management structure, neither information on required skills for consultants to be hired by the project;
- The section “Stakeholders’ analysis” fails to explain who the players are; the proposal does not considers properly the involvement of the private sector while it is the solely primary stakeholder who will be using the timber refuses and wrongly considers training institutions as a stakeholder;
- The key problem described in the “Problem tree” is inconsistent with the Specific Objective and the Logical Framework Matrix. Even the key problem seems more to be a cause than a problem itself, and it lacks of sub-causes;
- As mentioned above many sections are inconsistent with the Logical Framework Matrix, which also lacks of SMART indicators and appropriate means of verification (please refer to page 39 of the ITTO Manual for Project Formulation, third edition, French version for a definition of SMART indicator);
- The proposal also states 3 Specific objectives and only 2 Outputs. As per the ITTO Manual for Project Formulation, project proposals should deal with one Specific Objective (please refer to page 33 in the French Version);
- Under “Outputs and activities” the Panel felt that there is no need of new legislation for utilization of timber residues, and also activities are not clear as to what kind of incentive measures will be provided to stakeholders. Further more activities do not lead to the achievement of Outputs and Specific Objectives;
- Under “Work Plan” there are no activities scheduled for the first quarter of the project;

- The proposal is also over-budgeted with high allocations for personnel, vehicles, and locals which are not in line with the activities and for which no justification is given. Also unit cost provided do not seem to be accurate;
- The “Assumptions” are too optimistic and no risk and mitigation measures are identified;
- The section on “Sustainability” needs to clarify how the different stakeholders will own the project and will continue with project activities, in particular the communities and the private sector;
- The “Project Steering Committee” does not include a representation of the relevant stakeholders, as it is only composed by government representatives;
- The “Stakeholder involvement mechanism” fails to describe how stakeholders will be involved in project activities, and does not list any stakeholders, it only mentions “a large number of stakeholders”;
- The strategy and methods to be used for the implementation of the proposal is unclear;
- Finally the proposal lacks of relevant Annexes, such as Profile of the Executing Agency, CV of the Executing Agency’s personnel to be involved in the proposal, and Terms of Reference for Consultants and Personnel.

The Panel also noted that the Government of Gabon is working in elaborating a second phase of the project PD 392/06 Rev.2 (F) where the component of RIL and use of timber refuses for energy generation could be incorporated.

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.

PPD 155/11 (I)

Village Community Support Project to Promote Reduced Impact Logging Practices in Community Forests and in Situ Processing of Timber Using Industrial Mobile Saws (Cameroon)

Assessment by the Forty-second Panel

A) Overall Assessment

The Expert Panel recognized the relevance of the pre-project proposal, in particular it praised the preliminary problem identification to be addressed (which could be further applied to the whole forest of Cameroon and other countries in the region), “the communities finding it difficult to use their forest, despite their significant potential due to the lack of financial resources and technical capacity for logging and timber processing”.

While the Panel believes this is a very crucial topic, it also noted the proposal was poorly formulated and did not follow the ITTO Manual for Project Formulation, third edition.

In general, the Panel felt that the structure of the pre-project, its inputs and activities do not match with the preliminary problem identified, neither with the title of the project proposal. More specifically, the panel noted that:

- The pre-project proposal is quite lengthy and a bit repetitive. A pre-project proposal shall be of maximum 12 pages according to the ITTO Manual for Project Formulation (page 73 of the French version), an effort shall be done in order to reduce the size of the proposal in a concrete manner.
- The activities involved in the elaboration of a full project proposal, should also be coherent to the title of the pre-project, RIL practices, and in situ timber processing through the use of portable saw-millers, need to be reflected in the text.
- In the list of Acronyms, CAFT, which seems to be one of the main implementation partners, is missing.
- The section on “Origin and Justification” needs more clarity, in particular regarding the impact or influence of previous projects carried-out, in the origin of the proposal.
- It is also important to have a clear reason and justification on why the pre-project will be implemented within the forest communities of NGOYLA and not in other areas or with other forest communities in Cameroon.
- The maps need to be bigger and more detailed.
- The section 2.2 “Preliminary problem identification” seems more a description of the geographical area, and the real preliminary problem identification comes at the very end of the section. The Panel feels preliminary problem may come at the very beginning of the section.
- The pre-project interventions (activities and budget) need to be limited to the main output of a pre-project proposal, which is a full project proposal. The Panel is of the view that there is no need for four consultants for the elaboration of a full project proposal, and therefore the ITTO budget could be scaled down.
- There is a need for more clarity and specificity for section 3.3 “Approaches and methods”.
- There is a need for more clarity on how the local forest communities will be involved (roles and responsibilities) in the implementation of pre-project activities. Also the roles and responsibilities of CAFT need to be spelled-out under section 4.2 “Pre-project Management”.

Finally, the Panel would like to re-emphasize that the main output of the pre-project is a full project proposal, and therefore the activities and budget should be limited to attain such output.

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 620/11 (M)

Development and Implementation of a Species Identification and Timber Tracking System in Africa with DNA Fingerprints and Stable Isotopes (Germany)

Assessment by the Forty-second Panel

D) Overall Assessment

The Panel noted that the proposal was a follow-up to the ITTO pre-project TFL-PPD 023/10 Rev.1 (M) with the same title recently implemented under the ITTO Thematic Programme on Forest Law Enforcement, Governance and Trade (TFLET).

Despite its highly technical nature, large budget and ambitious time-line, the proposal, overall, was found to be sound and well written. The project context was well presented with its relevance to ITTO objectives and priorities as well as policies of submitting and collaborating countries clearly confirmed. However, the social, economic and environmental aspects could be enhanced with the inclusion of estimates of illegal logging, size of companies and the contribution of forest exports to GDP. Expected outcomes were clearly stated although the first outcome was felt to be a little ambitious.

Project rationale was found to be sound with the institutional set-up and organizational issues substantiated with a detailed organizational chart. The stakeholder analysis was also comprehensively presented. The problem analysis chart as presented was satisfactory although it was noted that the consequences were not solely caused by the key problem identified. The analysis could also be supported with a short descriptive text.

The logical framework matrix was found to be lacking in smart indicators. The time-bound indicators related to the development and specific objectives would require base line information which was not provided. There appeared to be a lack of linkage between the 8 proposed outputs with the 4 main causes of the key problem identified in the problem analysis. Whereas the private sector was classified as primary stakeholders and beneficiaries, there appeared to be no project activities targeting the involvement of the sector, given the concerns and scepticism the sector had on the species identification and traceability systems to be developed and implemented.

The Panel underlined the need for the project budget to be presented in accordance with the ITTO Manual for Project Formulation particularly in respect of the consolidated budget by component, ITTO budget by component and the Executing Agency budget by component. There should also be some brief descriptions and explanations of the key budget components particularly sub-contracts and duty travel.

With regard to implementation arrangements, the Panel felt that, considering the highly technical nature of the project, stakeholder involvement mechanisms should be elaborated and strengthened to strengthen the involvement of stakeholders other than those in the research sector. There was also a clear need to strengthen the dissemination and mainstreaming of project learning particularly to the private sector and stakeholders in the collaborating countries in Africa.

E) Specific Recommendations

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

1. Refine the Logical Framework Matrix by adjusting some of the outputs in line with the main causes of the problem analysis and improving some of the indicators.
2. Re-examine the outputs and activities to ensure their conformity with the main causes and sub-causes presented in the problem analysis.
3. Present the project budget in accordance with the ITTO Manual for Project Formulation and some descriptions and explanations on the key components particularly sub-contracts and duty travel.
4. Elaborate and strengthen the sub-section on stakeholder involvement mechanisms, focusing on stakeholders other than those in the research sector.

5. Strengthen the sub-section on dissemination and mainstreaming of project learning with emphasis on incorporating the private sector and stakeholders in the collaborating countries in Africa.

F) Conclusion

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

PD 621/11 (M)

Traceability of Timber Produced by Forest Concessions and Native Communities in Madre de Dios and Ucayali (Peru)

Assessment by the Forty-second Panel

A) Overall Assessment

The Panel recognized that the aim of the project is to strengthen the capacity of forest SMEs to demonstrate and verify that the timber produced and traded is sourced from forest concessions and native community forests that are under sustainable forest management. This project is based on the experience gained in three previous projects that were submitted and financed by ITTO. The proposal is well formulated but still has some weaknesses such as the stakeholder and problem analysis, the development and specific objectives and their indicators, activities as well as the budget section.

The Panel was of the view that the proposal should be reviewed so as to incorporate the recommendations detailed below.

B) Specific Recommendations

1. Targeted area for project unclear, the map for geographic location should be improved;
2. The economic, environmental, cultural and social aspects should provide baseline information on the targeted area based on relevant ITTO manuals guidance for formulation rather than provide information on the expected outcomes of the project;
3. Stakeholders should be more clearly identified and gender issues need to be included in the analysis. Furthermore, clarification is also needed on the role and function of DGFFS and AIDER in the implementation of the project;
4. The problem analysis needs to be reformulated in terms of the logics of causes, key problems and effects;
5. A text analysis should also be included in addition to the problem tree;
6. The development objective and specific objectives as well as outputs need to be reformulated clearly and precisely. The indicators of the development objective and specific objective seemed not closely related to the impact and outcome of the project and need to be improved;
7. The activities designed in the proposal should be more action oriented and explain exactly what is to be carried out instead of gathering those detailed and concrete inputs;
8. The ITTO budget and the Executive Agency Budget by component should be broken down into sub-components;
9. The project personnel part comprised a relatively large percentage of the total budget and needs to be reduced and more streamlined;
10. The sustainability of the project needs to be more reliable in terms of personnel and institutional arrangements. Clarifications are needed on how CNF will maintain sustainability after completion of the project.

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 150/11 (M)

**Assessment of Market Demand of Particleboards Produced from
Agricultural Residues Towards Sustainable Timber Production in
Ghana**

Assessment by the Forty-second Panel

A) Overall Assessment

The Panel recognized that the aim of the pre-project is to assess rural and urban community demand for particleboards produced from agricultural residues with the objective of submitting a full project proposal on rural community participation in particleboard production from agricultural residues.

However, the Panel noted that this project is not quite in conformity with ITTO's objectives and mandate as the focus of the pre-project is solely agricultural residues.

Besides, the Panel further noted that the proposal presented a number of key weaknesses, especially for the following sections and sub-sections of the proposal: target area not clarified, stakeholders analysis not including main consumers, the development objective and specific objectives as well as the outputs need to be clearly and precisely formulated, work plan need to be shortened, budget need to be reduced and reformulated particularly personnel. Furthermore, the Panel felt the target should shift to the processing industry rather than rural and urban communities.

The Panel thus suggested that this pre-project proposal should be reformulated with inclusion of and emphasis put on timber-related residues rather than agricultural residues with a view to be more relevant to ITTO.

B) Conclusion

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.