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

**Forty-Third Meeting  
6 – 10 February 2012, Yokohama, Japan**

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

**1. TERMS OF REFERENCE**

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 40<sup>th</sup> 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-third 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**

The Forty-third Expert Panel was attended by members listed in **Appendix IV**. Ms. Eudeline Melet (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 Thirty-six (36) projects and six (6) pre-projects (total of 42) proposals were received for appraisal by the Forty-third Expert Panel. The overall list of the 42 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 (33), then with those related to Economic Information and Market Intelligence (4) 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).

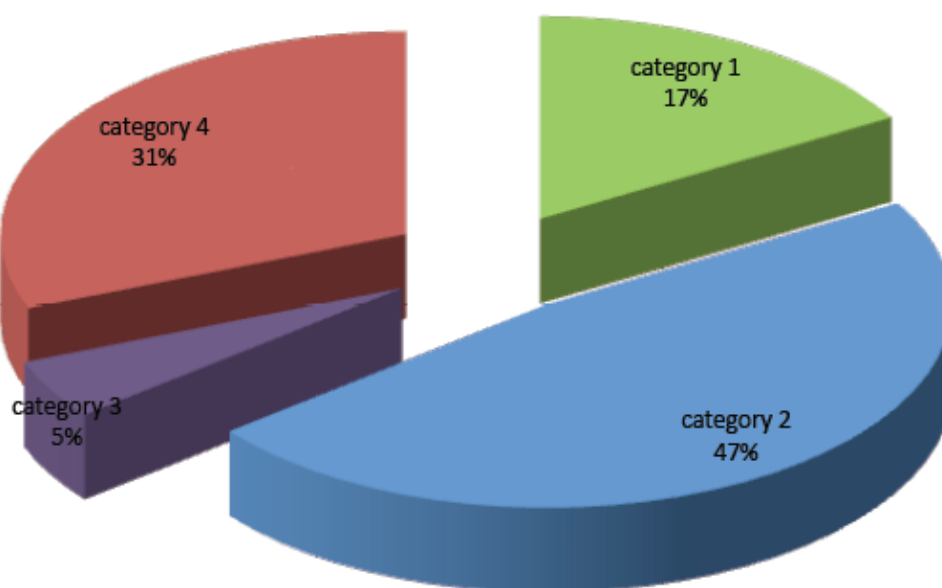
4.6 The Panel heartily appreciated the willingness of the Secretariat to work effectively for very long hours whereby full deliberation of the 42 proposals and the success of this Forty-third Panel were made possible.

## 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:

- thirteen (13) proposals: 1 pre-project and 12 projects (31 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;
- twenty (20) proposals: 4 pre-projects and 16 projects (48 percent of the total) will be sent back to proponents for essential revisions, rated as category 2;
- two (2) proposals: 2 projects (5 percent of the total) received a category 3, indicating that the project requires a pre-project to better formulate a new proposal;
- only seven (7) proposals: 1 pre-project and 6 projects (17 percent of total) were commended to the Committee for final appraisal with minor modifications required (category 1), two (2) were new projects and five (5) were revised submissions.

**Decision of the 43rd Expert Panel on Project and Pre-project proposals  
(number of proposals by category)**



5.1. The **key problem and problem analysis** section are fundamental parts of the project proposals and should be conducted thoroughly prior to identifying the outputs and activities. The Panel regrets that a lot of proposals are weak in this regard. Thus, making it impossible to know what the proponents want to solve and why.

On the same line, a **proper presentation of the context**: social, cultural, economic and environmental aspects should be provided and related to the project. Detailed and relevant information is needed on each aspect to provide a good understanding of the rationale and need for the project.

Besides, **approaches and methods** are also fundamental in the formulation of a proposal. It should describe how the problem is going to be dealt with and provide insight on why the activities are

relevant. The panel deplores that this section is often not well addressed nor directly related to the outputs and activities.

- 5.2. In line with previous panels, the 43<sup>rd</sup> Panel deplored the absence of **adequate involvement of all stakeholders and especially communities thus threatening the successful implementation of the whole project and its sustainability.**

It was noted that although an effort was made by some few proponents to carry out a proper stakeholder analysis, most proponents still carry out an academic exercise rather than using it as a basis to build the entire project proposal.

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.

- 5.3. The panel reiterates that the **high share of personnel** into the total budget of some projects is a **threat to sustainability.**
- 5.4. The Panel deplored the poor formulation of some proposals leading to their being rejected as category 4 even though the issues they intended to deal with seemed most relevant.
- 5.5. The Panel noted that some proponents submit **project proposals prior to the conclusion of their pre-project or of the previous phase of the project** thus leading to poorly formulated proposals that couldn't be approved. The Panel strongly recommends that member countries wait for on-going projects to be fully carried out and to build proposals on their outcomes. The secretariat is requested to reject such proposals that should in principle not be submitted to the Panel.
- 5.6. On the whole, the Panel observed that a lot of proponents provide justifications rather than explanations. 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 noted in line with previous panels that the **national clearing house mechanism** suggested in Decision 3(XXXVII) 1.(i) does not seem to be widely implemented despite its obvious added value in passing forward better quality proposals. In the absence of a clearing house, the Panel emphasizes the role of the **focal point** who should as a minimum carry out a first screening of proposals and be discriminative in passing forward proposals that do not follow the guidance of the ITTO Manual as they have virtually no chance of being approved by the Panel.
- 5.7. The Panel re-emphasizes again the fact that **training on project formulation** is still needed and urges member countries to provide funds to address this issue under the biannual work program.

## 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 43<sup>rd</sup> Expert Panel by Region

Region	Project Proposals				Pre-project Proposals				Total
	RFM	FI	EIMI	Total	RFM	FI	EIMI	Total	
<i>Americas</i>	12	-	1	-	-	-	-	-	13

<i>Asia Pacific</i>	7	1	-	-	-	-	-	-	8
<i>Africa</i>	11	2	2	-	3	2	1	-	21
<b>Total</b>	<b>30</b>	<b>3</b>	<b>3</b>	<b>36</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>6</b>	<b>42</b>

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

**Decisions of the 43<sup>rd</sup> Expert Panel on Project and Pre-project proposals by Committee Area**

Category	Committee			Total
	RFM	FI	EIMI	
<i>Projects</i>				
1	4	2	-	
2	14	-	2	
3	2	-	-	
4	10	1	1	
<b>Total</b>	<b>30</b>	<b>3</b>	<b>3</b>	<b>36</b>
<i>Pre-projects</i>				
1	1	-	-	
2	1	2	1	
4	1	-	-	
<b>Total</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>6</b>

**Decisions of the 43<sup>rd</sup> Expert Panel on Project and Pre-project proposals by Submitting Country**

Country	Category				Total
	1	2	3	4	
Benin	(1)	-	-	-	1
Cameroon	-	(2)	-	(1)	3
China	-	2	-	-	2
Colombia	-	1	-	1	2
Côte d'Ivoire	-	-	-	3	3
Ecuador	-	-	-	1	1
Gabon	-	1	-	3	4
Ghana	2	1	-	-	3
Guatemala	1	1	-	-	2
Honduras	-	1	-	-	1
Indonesia	-	3	1	-	4
Liberia	-	(1)	-	1	2
Malaysia	1	1	-	-	2
Mexico	-	1	1	1	3

Panama	1	-	-	-	1
Peru	1	1	-	-	2
Suriname	-	-	-	1	1
Togo	-	(1) 3	-	1	5
<b>Total</b>	<b>(1) 6</b>	<b>(4) 16</b>	<b>2</b>	<b>(1) 12</b>	<b>42</b>

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-third Expert Panel**

<b>Project No.</b>	<b>Title</b>	<b>Country</b>	<b>Category</b>
PPD 151/11Rev.1 (F)	Support to the Local Communities of the Mono Plain for the Promotion and Sustainable Management of Community Forests in Togo	Togo	2
PPD 156/12 (F)	Development and Management of the Transboundary Forest Complex of Kom National Park – Mengine Gorilla Sanctuary	Cameroon	4
PPD 160/12 (F)	Study for the Rehabilitation and Sustainable Management of the Mangrove Forests in the Coastal Area of Benin	Benin	1
PD 442/07 Rev.2 (F)	Participatory and Sustainable Development of the Mangroves of Togo	Togo	4
PD 601/11 Rev.2 (F)	Strengthening Mangrove Ecosystem Conservation in the Biosphere Reserve of Northwestern Peru	Peru	1
PD 602/11 Rev.2 (F)	Tropical Forest Governance in the Region of Darien, Panama	Panama	1
PD 605/11 Rev.1 (F)	Research and Demonstration on Fire-Break Forest Belt Models Optimization in China's Tropical Forest Region	China	2
PD 609/11 Rev.1 (F)	Implementation of a Participatory Bushfire Prevention and Management System in Togo	Togo	2
PD 611/11 Rev.1 (F)	Demonstration on Community-Based Forest Ecotourism to Enhance Environmental Services and Local Livelihoods in Hainan Province, China	China	2
PD 618/11 Rev.1 (F)	Establishment of Spatial Forest Resources Information System (Spa-Fris) in West Papua Province	Indonesia	2
PD 623/11 Rev.1 (F)	Production and Availability of Teak Clone Varieties: Development of Improved Plant Material for Reforestation in Togo	Togo	2
PD 628/11 Rev.1 (F)	Strengthening of Forest Management Practices of Local Communities and Indigenous Peoples in Guatemala	Guatemala	2
PD 629/11 Rev.1 (F)	Protection, Management and Restoration of Forest Lands for Water Catchment and Flow Regulation as a Climate Change Adaptation Measure	Guatemala	1
PD 630/12 (F)	Strengthening the Capacity of the Public and Private Forest Sectors of Suriname to Achieve Sustainable Forest Management	Suriname	4
PD 631/12 (F)	Reforestation of Coastal Wetlands in Southern Ghana Using Indigenous Tree and Bamboo Species	Ghana	2
PD 632/12 (F)	Conservation of Dry Forests in the Coastal Range of Ecuador	Ecuador	4
PD 634/12 (F,M,I)	Study on the Growth of Native Timber Species of Commercial Value in the Tropical Moist Forests of Honduras - Phase III (PROECEN III)	Honduras	2
PD 635/12 (F)	Development of Guidelines for Buffer Zone Management for Pulong Tau National Park and Involvement of Local Communities in Management, Sarawak, Malaysia	Malaysia	2
PD 637/12 (F)	Zoning and Sustainable Management of the Buffer Zone of Minkebe National Park to Contribute to the Transboundary Conservation of the Tridom Area	Gabon	4
PD 638/12 (F)	Promotion of Reduced-Impact Logging Techniques and Wildlife Management in the Forest Concessions of Gabon	Gabon	4
PD 640/12 (F)	Implementing and Promoting Sustainable Forest Management through Forest Law Enforcement and Governance in Colombia	Colombia	2

PD 641/12 (F)	Improved Governance and Low-Impact Forest Management in the Sierra Madre – Selva Zoque Corridor: A Climate Change Adaptation Strategy (Phase 1 – State of Chiapas)	Mexico	2
PD 642/12 (F)	Restoring Tropical Forest Landscapes in Northern Veracruz with Agroforestry Systems	Mexico	4
PD 643/12 (F)	Assessing Development and Growth Rates in Major Commercial Species to Make Adjustments in Forest Management Programmes in the Yucatan Peninsula, Mexico	Mexico	3
PD 644/12 (F)	Improving the Enabling Condition for a Model of Self Sufficient Unit to Support Sustainable Forest Management in KPH Yogyakarta	Indonesia	3
PD 645/12 (F)	Promoting Forest Management at Site Level in Rinjani Barat	Indonesia	2
PD 646/12(F)	Initiating the Conservation of Cempaka Tree Species ( <i>Elmerrillia Ovalis</i> (Miq.) Dandy) through Plantation Development with Local Community Participation in North Sulawesi, Indonesia	Indonesia	2
PD 647/12(F)	Support to the Restructuring of the Forest Development Board (Office De Développement et D'exploitation des Forêts - ODEF) in Togo	Togo	2
PD 649/12(F)	Rehabilitation and Restoration of Degraded Areas for the Sustainable Harvesting and Production of Natural Rubber ( <i>Hevea Brasiliensis</i> ) in the Department of Guaviare	Colombia	4
PD 650/12 (F)	Integrated Development of Coastal Forests with the Involvement of Local Communities	Côte d'Ivoire	4
PD651/12 (F)	Good Governance and Combat Against Poverty in the Protection of Gazetted Forests	Côte d'Ivoire	4
PD652/12 (F)	Rehabilitation of Gazetted Forests in the Savannah Belt with the Involvement of Local Communities	Côte d'Ivoire	4
PD 653/12 (F)	Sustainable, Mixed and Pure Forest Plantation Development in the Transitional Zone of Ghana's Biakoye District Assembly, Employing Poverty Reduction Strategies	Ghana	1
PPD 158/12 (I)	Promotion of Plant Species with High Economic Value and Multiple Uses through the Development of Fallow Land, Enrichment of Community Forests, to Combat Poverty in Cameroon	Cameroon	2
PPD 159/12 (I)	Project to Promote Further Timber Processing by Very Small Entreprises through the Creation of a Pilot Timber Village in Ebolowa in the Town of Ebolowa, Cameroon	Cameroon	2
PD 608/11 Rev.1 (I)	Life Cycle Assessment-Based Initiative for Carbon Foot Print Reduction and Improved Utilization of Tropical Timber Products from Malaysia	Malaysia	1
PD 612/11 Rev.1 (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	1
PD 639/12 (I)	Reviving Forestry Education in Liberia II	Liberia	4
PPD 149/11 Rev.1 (M)	Pre-Scoping Study in the Planning and Conduct of Social Audits of Logging Concessions in Liberia, Ensuring that Liberia's Forest Concessions Are Right, Pro-Poor and Tenure-Based	Liberia	2
PD 621/11 Rev.1 (M)	Traceability of Timber Produced by Forest Concessions and Native Communities in Madre De Dios and Ucayali	Peru	2
PD 633/12 (M)	Fruits of African Forests - Group 6 within the PROTA Programme	Gabon	2
PD 636/12 (M)	Promotion of Sino-African Collaboration to Improve Forest Governance	Gabon	4

APPENDIX IV

FORTY-THIRD MEETING OF THE EXPERT PANEL  
FOR TECHNICAL APPRAISAL OF PROJECT PROPOSALS  
Yokohama, 6 - 10 February 2012

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APPENDIX V

Revised Scoring Table – ITTO Project Proposal (PD)

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

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.	<i>Conformity with ITTO's objectives and priorities</i>			Y	
1.	2.	2.	<i>Relevance to the submitting Country's policies</i>			Y	
2.	JUSTIFICATION OF PRE-PROJECT (15)						
2.	1.	Objectives			15	Y	9
2.	1.	1.	<i>Development objective</i>	5			
2.	1.	2.	<i>Specific objective</i>	5			
2.	2.	Preliminary problem identification		5			
3.	PRE-PROJECT INTERVENTIONS (25)						
3.		Outputs and activities			10	Y	7
3.	1.	<i>Outputs</i>		5			
3.	2.	<i>Activities, inputs and unit costs</i>		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		
				<b>Entire project proposal (60)</b>	<b>100,0%</b>	<b>Y</b>	<b>75%</b>
				<b>Category</b>	<b>1</b>		

Marks indicate:

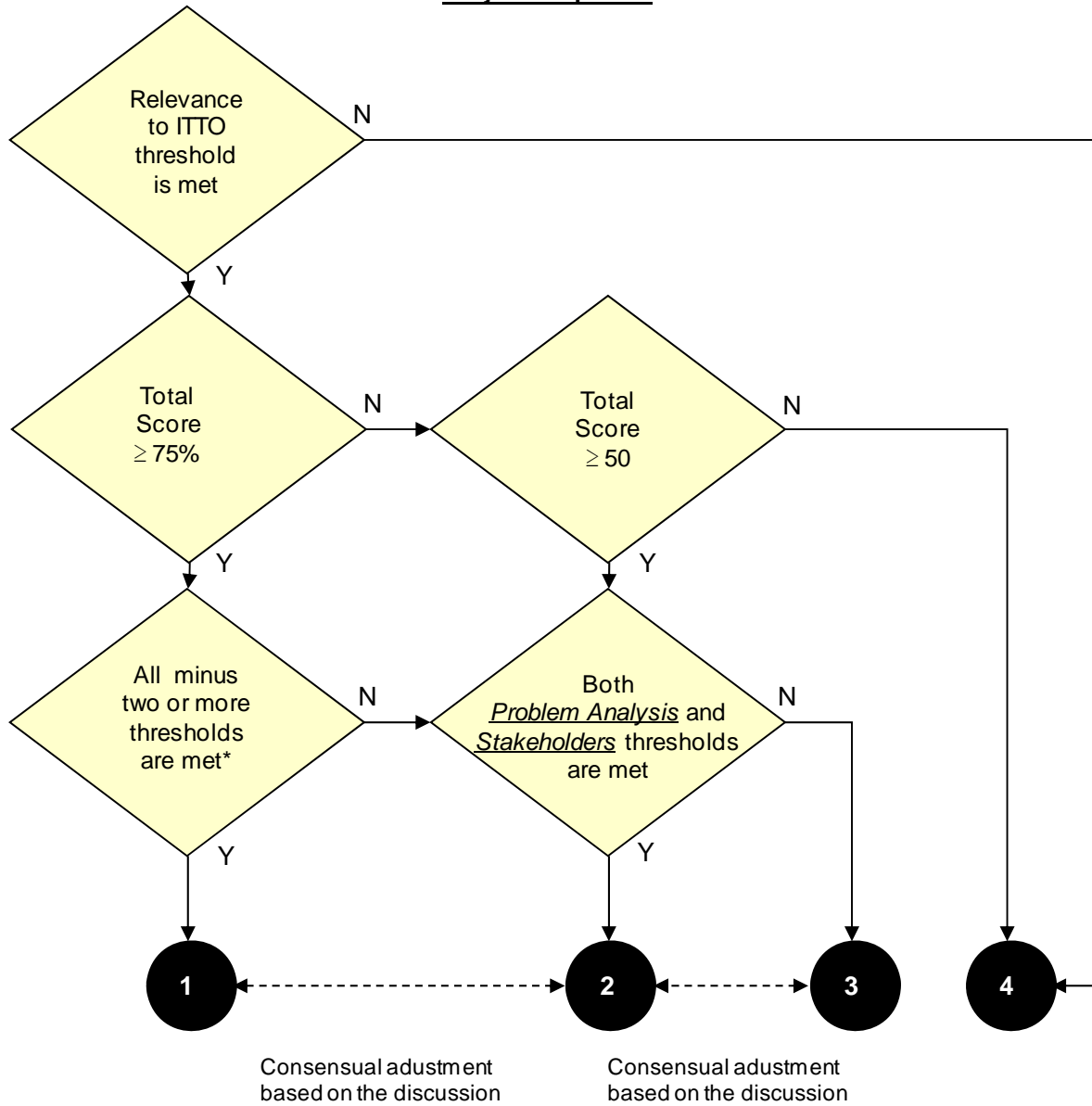
- 0 - Information is completely missing
- 1 - Very poor: some elements are there but the essential ones are missing
- 2 - Poor: essential elements are incomplete, insufficient, wrong or misunderstood
- 3 - Moderate: essential elements are available but unclear or inaccurate
- 4 - Good: clear, accurate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

**Rating categories:**

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

**Appendix VI**  
**Flow charts for deciding categories in the scoring system**

**Project Proposals**



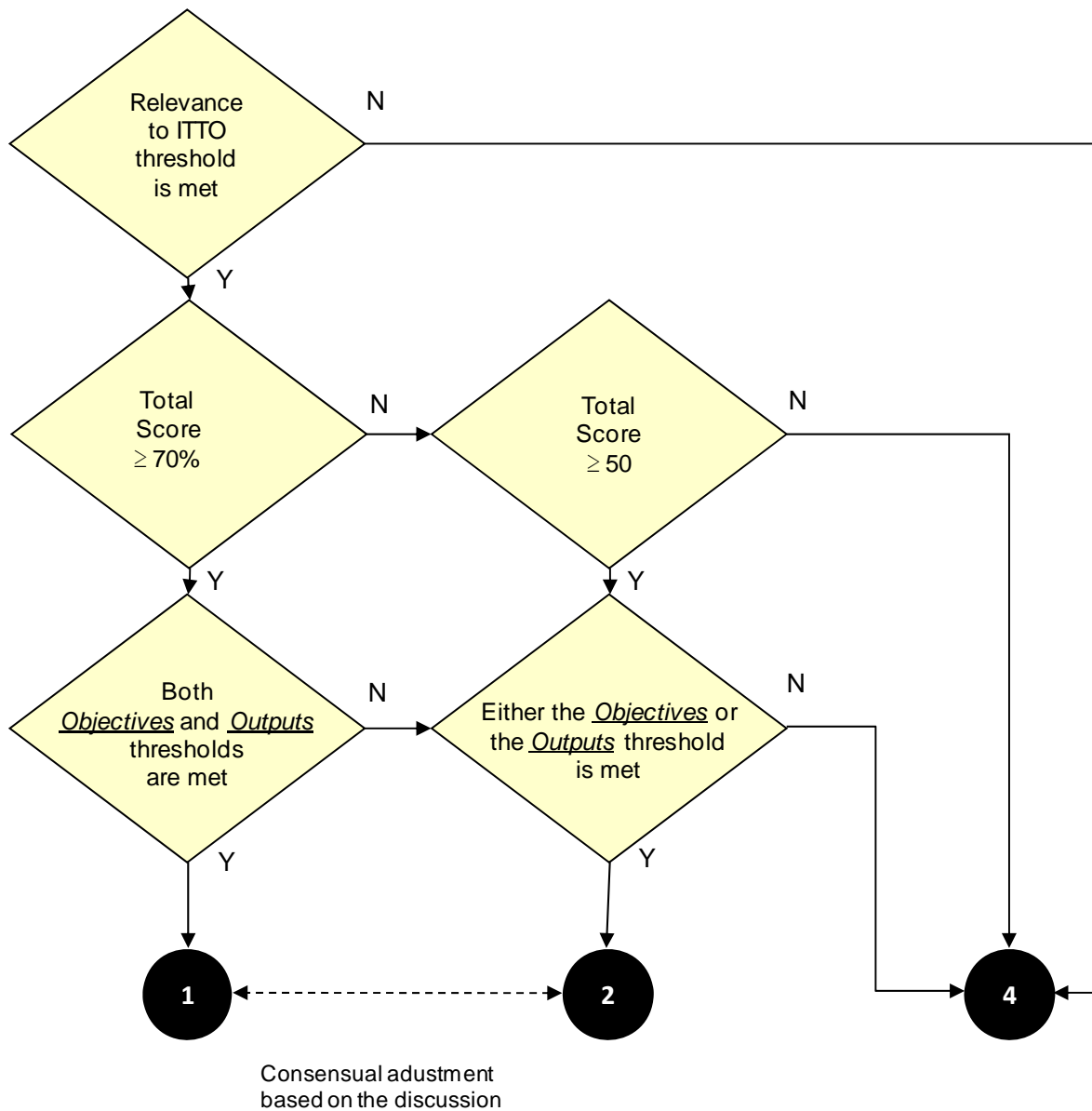
\*Thresholds failed cannot be any two among the following three:

- Stakeholder
- Logical Framework
- Sustainability

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



**Pre-Project Proposals**



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

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

Category 4: The Panel concluded that it could not commend the proposal to the Committee, and submits it to the Committee with the recommendation not to approve the project proposal. Justification should be given to the proponent and the Committee. Proposal not recommended but submitted to the Committee with the recommendation not to approve the project proposal, (a) either because a complete reformulation is necessary, or (b) because it's not relevant to ITTO. Justification should be given to the proponent and the Committee.

## **Annex**

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

**PD 442/07 Rev.2 (F) Participatory and Sustainable Development of the Mangroves of Togo  
(Togo)**

Assessment by the Forty-third Panel

A) Overall Assessment

The Panel recognized the importance for the rehabilitation and sustainable management of mangrove forests through a participatory approach along the coastal areas of Togo, where they are facing degradation related to an increasing human pressure due to multiple uses by fringes communities. However, the Panel noted that the revised version was still poorly formulated and did not address most of the recommendations of the Thirty-third and Thirty-eighth Expert Panel meetings.

The Panel noted that **ALL** project sections and sub-sections were extremely vague, missing useful information and/or full of inconsistencies and deficiencies, including the most critical of them: stakeholder analysis, problem analysis and problem tree, implementation strategy, logical framework, risk assessment and sustainability.

It was the view of the Panel that the revised project proposal should be sent back to the proponent in application of the provisions of the ITTO Council Decision 3(XXXVII) limiting the number of revision of any project proposal to two.

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, in accordance with the provisions of the Council Decision 3(XXXVII).

Assessment by the Forty-third Panel

A) Overall Assessment

The Panel noted that the revised proposal had addressed all the comments and recommendations made by the Forty-second\_Expert Panel. However, it also observed that the project could be further enhanced by expanding on the origin of the project and better describing its links to the key problem and logical framework matrix, by strengthening the participatory mechanisms with the stakeholders, and by providing a clearer strategy for the sustainability of the project's activities and outcomes in the long-term. In addition, the budgets by components and sources need to be more detailed and possibly streamlined, and the terms of reference for the project's key personnel and sub-contracts should be annexed to the proposal.

B) Specific Recommendations

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

1. Further expand on the origin of the project and clearly describe its links to the key problem and logical framework matrix;
2. Strengthen the participatory mechanisms through which the stakeholders are to be involved in the implementation of the project;
3. Reinforce the strategy for the sustainability of the project's activities and outcomes in the long-term, after project completion;
4. Include detailed budgets by components and sources as per the components and sub-components described in the table 3.4.1 Consolidated budget by component, i.e. transfer the details from table 3.4.1 to tables 3.4.2, 3.4.3 and 3.4.4;
5. Provide terms of reference for the project's key personnel and major sub-contracts, rather than attaching lengthy curriculum vitae;
6. Include an annex that shows the recommendations of the 43<sup>rd</sup> 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 602/11 Rev.2 (F) Tropical Forest Governance in the Region of Darien, Panama  
(Panama)**

Assessment by the Forty-third Panel

A) Overall Assessment

The Panel reiterated the importance of the project for ensuring the implementation of legally recognized forest management practices by native communities in the Darien Region of Panama. The Panel also observed that the submitting agency had properly dealt with the previous Panel's recommendations and further incorporated SMART qualitative and quantitative indicators into the logical framework. However, the Panel further observed that the sustainability issue after project completion could be further strengthened by highlighting both ANAM's and the communities' roles as regards illegal logging controls. The role of industry stakeholders also requires greater clarification. An organizational chart describing how the project will be implemented should also be included.

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 the forest industry at the national, regional and local levels and their involvement in the project;
2. Include an organizational chart of the project highlighting both ANAM's and the communities' roles;
3. 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;
4. Clearly describe what is termed illegal logging and informal logging in Panama;
5. 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. Include an annex that shows the recommendations of the 43<sup>rd</sup> 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.

Assessment by the Forty-third Panel

A) Overall Assessment

The Panel recognized that the attempts have been made to respond to the recommendations of the Forty-first Expert Panel and that the revised proposal has focused on its key problem of improving low quality of fire-break forest (FBF) belts in south China due to under-developed technology for FBF belts and lack of skilled farmers in the establishment and management of FBF belts. However, the Panel noted that some of the important issues have not been fully addressed in the revised proposal. Especially, the Panel observed a number of weaknesses including the stakeholder and problem analyses, and the sustainability after completion. With regard to the ITTO budget, the Panel felt that ITTO budget allocated for the subcontracts, duty travel, and consumables should be scaled down while increasing counterpart's contribution particularly in the organization of an international conference on FBF belts in China. The Panel reiterated that such essential components of the proposal should be fully addressed before it can commend it for final appraisal.

B) Specific Recommendations

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

1. Further improve the stakeholders analysis by including a tertiary stakeholder, as appropriate. Explain how communities have been consulted and involved in the preparation of the proposal. Further address how the project will motivate the stakeholders to utilize the information generated by the project to improve their fire belts, in particular the problem identified of the leaders of townships and villages having no energy to engage in forest belt development because they undertake too much work assigned by the higher-level government;
2. Address possible conflicting interests of the township and village administrations when their work has been assigned by higher level government and how the project strategy will address such conflicts;
3. Further improve Section 2.1.3 (Problems to be addressed in the Project) by justifying the necessity for traveling overseas to study FBF technology development as it seems to be not highly relevant;
4. Refine the project activities by removing Activity 1.4 or better justifying its necessity. As part of Activity 1.6, there should be commitment by Guangdong province to develop an FBF improvement plan for the province. A management plan for the demonstration will be made, but true impact will be adoption at a larger scale;
5. Further refine the ITTO budget in accordance with the ITTO standard format specified in the ITTO Manual for Project Formulation by showing ITTO vs. EA costs within the consolidated budget and unit costs as appropriate. Consider taking out ITTO budget item 32.1 and justify budget item 2. Scale down the ITTO budget allocated for the subcontracts, duty travel, and consumables while increasing counterpart's contribution in the organization of the conference;
6. Further improve Section 3.5 (Assumptions, risks, sustainability) by explain how risks will be mitigated in the course of project implementation. Describe the financial commitment by the provincial government to implement the improvement of FBF throughout the province to ensure the sustainability of the project after completion; and
7. Include an annex that shows the recommendations of the 43rd 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 609/11 Rev.1 (F) Implementation of a Participatory Bushfire Prevention and Management System in Togo (Togo)**

Assessment by the Forty-third Panel

A) Overall Assessment

The Panel acknowledged the efforts made by the proponent in addressing the comments and recommendations of the Panel at its Forty-second meeting. However, the Panel noted that there was still a need to address some remaining major weaknesses noticed in some sections and sub-sections, and it was also noted that the second, third, fifth, sixth and seventh recommendations of the Forty-second Expert Panel meeting were only partially addressed in the revised version of the proposal.

The Panel also noted that on this complex problem of bushfire it is necessary to take into consideration many factors, rather than just educating the population, creating forest fire brigades and providing equipment and materials. On this consideration, the Panel further noted that the problem analysis and problem tree of the project proposal failed to take into account other relevant causes of the key problem such as the socio-economic aspects (livelihood of local communities and land tenure issues). Finally, the Panel noted the strategic importance to concentrate the project means and efforts in the fire-prone zone identified as the most problematic one, rather than trying to cover the whole country, which is too ambitious and unrealistic. It was questioned if it should not be better to improve the conditions related to the protection of the existing forest plantations against bushfire instead of establishing new ones.

B) Specific Recommendations

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

1. Further improve the problem analysis and problem tree by also taking in consideration the socio-economic aspects (livelihood and land tenure issues) related to the communities living in the project area;
2. Subsequent to the first specific recommendation, appropriately redefine the development objective and specific objective in accordance with the consequences and the causes respectively of the key problem newly defined in relation to the need to integrate the socio-economic aspects (livelihood and land tenure issues). This improvement should lead to the adjustment of outputs and related activities, and budgets;
3. Further improve the section regarding the institutional set up and organizational issues by also taking into account the institutions dealing with socio-economic aspects (livelihood and land tenure issues), in relation to the bushfire prevention and management;
4. Subsequent to the first and second specific recommendations, further improve the logical framework matrix accordingly, while keeping in mind to adequately use SMART indicators;
5. Further elaborate the stakeholders' analysis and stakeholders' table breaking down the group of local and surrounding communities, as they should not be considered as a homogeneous group. Furthermore, the potential and involvement of the private in relation to the project should be further elaborated;
6. Revise the ITTO budget in line with the above overall assessment and specific recommendations and also in the following way:
  - a) Adjust the budget item 82 to the standard rate of US\$15,000.00 for the mid-term, final and ex-post evaluation costs, and
  - 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 the sum of budget items 10 to 82); and
7. Include an Annex that shows the overall assessment and specific recommendations of the 43<sup>rd</sup> 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 611/11 Rev.1 (F)

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

Assessment by the Forty-third Panel

A) Overall Assessment

The Panel recognized that the attempts have been made to respond to the recommendations of the Forty-second Expert Panel but noted that some of the important issues have not been fully addressed in the revised proposal. The information on the potential of developing forest ecotourism in the project site is still not clear enough to fully capture the expected outcomes at project completion. Some essential components of the revised proposal are still weak, especially the problem analysis, specific objective, and dissemination strategy. The Panel reiterated that such essential components of the proposal should be fully addressed before it can commend it for final appraisal.

B) Specific Recommendations

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

1. Provide further information on the potential of developing forest ecotourism in the project site to ensure the validity of the proposed work. The information should be detailed to support the achievement of the expected outcomes at project completion;
2. Substantial improvement should be made to the problem analysis by identifying only one key problem to be addressed by the project. Based on this key problem, underlying causes of the key problem should be discussed. Since the six problems are elaborated as the key problem, refinement should be made to the causes of the refined key problem and the problem tree should be presented in accordance with the identified causes;
3. Further improve the specific objective in accordance with the new problem analysis. Further improve the indicators that measure the immediate effects expected to be achieved for the development and specific objectives;
4. Further refine the outputs in consistent with the new problem analysis;
5. Further describe the dissemination strategy as to how the project results will be made useful to interested parties and users; and
6. Include an annex that shows the recommendations of the 43rd Expert Panel and the respective modifications in tabular form. Modifications should also be highlighted (**bold and underline**) in the text.

C) Conclusion

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

Assessment by the Forty-third Panel

A) Overall Assessment

The Panel recognized that the attempts have been made to respond to the recommendations of the Forty-second Expert Panel but noted that many of the issues have not been fully addressed in the revised proposal. The information on SIAPHUT developed by the Ministry of Forestry and its linkage with the proposed spatial forest resources information system (SPA-FRIS) is still not clear. Some essential components of the revised proposal are still weak, especially the stakeholder and problem analyses, the logical framework matrix, and the sustainability. The Panel reiterated that the recommendations of the Forty-second Expert Panel should be fully addressed as to why the project is needed, how it will contribute to forest resource information system development and what will happen after project completion.

B) Specific Recommendations

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

1. Provide clear 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 more background information on the target area's major physical features and ecological characteristics;
3. Further elaborate the expected outcomes at project completion by clearly focusing on the institutional strengthening of the existing center for data and information for West Papua;
4. Develop a more systematic stakeholders analysis by further 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;
5. Make a consistency between the problem analysis and the problem tree and clearly discuss the key problem to be addressed by the project;
6. Rework the logical framework matrix by refining the specific objective and outputs and their indicators in a more measurable way;
7. Further improve the sustainability of the project by ensuring further development of activities initiated by the project;
8. Improve the stakeholder involvement mechanisms by reviewing the engagement of local communities and the private sector in project implementation;
9. Provide more further information on the hardware and software provision of the ITTO budget whether they will be purchased or rented;
10. Consider further scaling down the ITTO budget provision allocated to Project Personnel and Duty Travel while increasing Executing Agency's contributions; and
11. Include an annex that shows the recommendations of the 43rd Expert Panel and the respective modifications in tabular form. Modifications should also be highlighted (**bold and underline**) in the text.

C) Conclusion

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

Assessment by the Forty-third 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-second meeting, as well as the inherent importance of this project 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: the social, cultural, economic and environmental aspects were still insufficiently elaborated with specific data and information in relation to the project area; the achievements expected after the project completion were still formulated without following the guidance provided in the ITTO project formulation manual; the problem analysis and problem tree were still weak, as all four causes of the identified key problem were looking similar and the vertical logic was still questionable due to the lack of clear link between the specific objective and problem tree; logical framework matrix still needed the improvement of outputs' indicators; subsequently to the weak problem analysis the outputs 2, 3 and 4 seemed to be in duplication; there was a need to increase the font size and use the quarterly instead of the monthly layout; over half of the ITTO budget was for personnel cost and thus the sustainability was questionable; assumptions, risks and sustainability elements were still weak; the roles and responsibilities of communities were still weakly elaborated in the stakeholder involvement mechanisms; the mainstreaming project learning aspects were still weak in relation to the forest national policy. Finally, the Panel noted that the organizational chart was still putting the project steering committee (PSC) under the hierarchy of the Ministry of Environment and Forest Resources of Togo.

B) Specific Recommendations

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

1. Further elaborate the social, economic and environmental aspects with appropriate data focusing on the project area (not on the whole country), with the need to lay emphasis on how the teak species is important for the environmental aspects;
2. Further improve the expected outcomes after the project completion in accordance with the guidance provided in the ITTO manual for project formulation.
3. Further improve the problem analysis and problem tree with causes clearly linked to the key problem which should replace the current ones seeming to be similar with different wording, while ensuring the vertical logic between the key problem and related consequences;
4. Subsequent to the third specific recommendation, appropriately redefine the development objective, specific objective and related outputs, in relation to the new causes and consequences of the key problem;
5. Subsequent to the third and fourth specific recommendations, readjust the logical framework matrix accordingly while ensuring that indicators are S.M.A.R.T.;
6. Revise the work plan based on activities to be appropriately developed under each newly redefined output;
7. Further improve the sustainability aspects by providing more specific information in accordance with the guidance provided in the ITTO manual for project formulation;
8. Revise the organizational chart by placing the project steering committee (PSC) on the right position (see the model in the ITTO Manual for Project Formulation, page 60), as the Ministry of Environment and Forest Resources is a PSC member;
9. Clearly explain in the sub-section 4.3.2 how the project results will be internalized in national forest policies;
10. Revise the ITTO budget in line with the above overall assessment and specific recommendations and also in the following way:

- a) Tables of budget by components and by source (ITTO & Executing Agency), deriving from the master budget, should be detailed at the level of sub-items under each budget item,
- b) Adequately scale down the budget items 10 and 20, in order to take into account the sustainability aspects after project completion,
- c) Adjust the budget item 82 to the standard rate of US\$15,000.00 for the mid-term, final and ex-post evaluation costs,
- 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 the sum budget items 10 to 82); and

11. Include an Annex that shows the overall assessment and specific recommendations of the 43<sup>rd</sup> Expert Panel and respective modifications in tabular form. Modifications should also be highlighted (**bold and underline**) in the text.

C) Conclusion

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

Assessment by the Forty-third Panel

A) Overall Assessment

The Panel reiterated 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. However, it also noted that while most of the comments in the overall assessment and specific recommendations made by the 42<sup>nd</sup> Expert Panel had been addressed in the first revision of the project proposal, some had only been addressed superficially and much of the basic background information was still missing. In this light, the Panel suggests a more focused development objective and specific objective, the inclusion of a proper high-resolution map with appropriate legends which pinpoints the target areas, a proper description of the organizational and implementation arrangements, and a further more equitably distributed budget among the institutions, particularly as regards personnel.

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. Both the development objective and the specific objective now appear too broad and should be tightened to focus on the resolution of the key problem;
3. Provide clear, quantitative indicators in the logical framework, rather than utilizing percentages;
4. Include a clearer description of the organizational and implementation arrangements, and the stakeholder involvement, particularly as regards the private forestry sector;
5. Clearly describe the current technical deficiencies the communities have in applying forest management practices on their communal forests. Clarify the function or role of PINFOR in this regard;
6. Describe in detail the components of the forest management plans to be developed by the project and the areas to be covered by these. If possible, highlight them on the map;
7. Further 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;
8. Clearly mention how the project results will be mainstreamed into national policies and plans;
9. Provide detailed terms of reference for all individual sub-contracts; and
10. Include an Annex which shows the recommendations of the 43<sup>rd</sup> 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 Rev.1 (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-third 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" and villages mentioned in the text, such as Izabal, Alta Varapaz, Huehuetenango and Barrio;
2. Consider applying the ITTO Guidelines for the Restoration, Management and Rehabilitation of Degraded and Secondary Tropical Forests during the implementation of the project, as a very short reference to these guidelines is mentioned in the implementation approaches and methods (3.2), but it remains quite vague;
3. Provide for each zone more information on the social, economic and environmental aspects of the project, as the information currently given on social aspects is very global and not really related to the subject and the priority areas selected by the project;
4. Clearly specify all the expected outcomes of the project upon completion, and if it is to include all of the country's watersheds or consider only a few pilot water catchments;
5. Provide further details on the kind of tools and instruments to be applied in the establishment of a national water reserves system (i.e. instruments for the payment of environmental services, water reserves and incentives such as those provided by PINFOR and PINPEP, etc.);
6. Clearly mention the other institutions involved in watershed management and potentially consider them as collaborating agencies and therefore include them in the stakeholder analysis. It should be noted that in the chapter on assumptions and risks it is mentioned that the project consists mainly of coordination and monitoring activities among the various institutions involved in generating primary data on forest catchment areas, but these institutions are not clearly presented or identified;
7. While ACC is a framework condition but not the main focus of the project, it still should be clarified in the approaches. Some information is given in the description on implementation approaches and methods, but the link remains poor and not very convincing;
8. Recalculate ITTO's Programme Support Costs so as to conform to the standard of 8% of total ITTO project costs; and
9. Include an annex that shows the recommendations of the 43<sup>rd</sup> 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 630/12 (F)

**Strengthening the Capacity of the Public and Private Forest Sectors of  
Suriname to Achieve Sustainable Forest Management (Suriname)**

Assessment by the Forty-third Panel

A) Overall Assessment

The Panel recognized the importance of the project aimed at strengthening the capacities and skills of Suriname's public and private forestry sectors to assist them in the sustainable management of their forests. However, several of the project's components are either ambiguous, or lack focus or are quite convoluted. In addition, the proposal's outputs are far beyond the reach and authority of the proposing agency, and it is more than likely that several years will be required so that the local capacities no longer be a constraint hampering progress towards sustainable forest management and the development of a strong forest sector in Suriname, and that clear national standards for sustainable forest management, including clear rules for forest management planning, measures to mitigate environmental impact of timber harvesting and reduced impact logging, are in place. Moreover, the issue of sustainability of the aforementioned outcomes, and how these will be maintained over time, has not been addressed at all.

As such, the Panel considered this to be too ambitious and not realistic, and considered it more appropriate for the proposing agency to focus on a core but very specific problem hampering the forestry sector in Suriname, for which an appropriate solution can be found in the short term and positively impact on the development of the forestry sector there.

In this light, the Panel was of the view that, in order to increase the chance of a successful project, the proponent should first clearly identify Suriname's specific and/or inherent forest management weaknesses based on an in-house evaluation of the indicators under the first criterion of ITTO's C&I: Enabling Conditions for Sustainable Forest Management, and then formulate a completely new project proposal based on the aforementioned findings that strictly adheres to the format specified in the Third edition of the ITTO Manual for Project Formulation.

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 632/12 (F)

**Conservation of Dry Forests in the Coastal Range of Ecuador  
(Ecuador)**

Assessment by the Forty-third Panel

A) Overall Assessment

The Panel recognized the importance of the project aimed at the conservation of forest ecosystems and to the improvement of the quality of life in the coastal range of Ecuador, via the reduction of deforestation and forest degradation rates of 340,000 hectares by controlling and mitigating the impact of production activities and the development of production alternatives compatible with biodiversity conservation. However, several of the project's components are either very ambiguous, or lack focus or are quite convoluted. Also, while the communities of the coastal range of Ecuador are to be the main beneficiaries of the project, no proper land tenure analysis of the 340,000 ha to be managed was included in the proposal, nor did the proposal indicate if the rightful owners, be they communities or private, and the regional and local governments, either consented to participate in the project's proposed activities, and further authorized the executing agency to develop land-use plans and impose control measures. Moreover, the "pilot communities" have not been identified in the proposal, nor is any community participation mentioned in the formulation of this proposal.

As such, the Panel considered that this proposal had been formulated utilizing a non-participatory approach and did not follow the format of the ITTO manual, in addition to being too ambitious and not connected to the reality. Moreover, as regards the budget, it was not clear to the Panel if the Executing Agency was to commit any counterpart funds to the project, or if it was expected that the local governments and communities provide these counterpart funds.

Given the above observations and recommendations and the importance of the intent of this project, the Panel was of the view that a completely new proposal should be formulated in a participatory manner among all stakeholders and submitted to ITTO according to the third edition of the ITTO Manual for Project Formulation 2009 (GI Series 13), and in particular to its Appendix A. In addition, it is suggested to consider applying the ITTO Guidelines for the Restoration, Management and Rehabilitation of Degraded and Secondary Tropical Forests in such a project.

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 634/12 (F,M,I)**

**Study on the Growth of Native Timber Species of Commercial Value in the Tropical Moist Forests of Honduras - Phase III (PROECEN III) (Honduras)**

Assessment by the Forty-third Panel

A) Overall Assessment

The panel noted the importance of this proposal aimed at consolidating the silvicultural research and information available on 40 native tree species from the Atlantic coastal region of Honduras. It further observed that a previous three-phased Project PD 22/99 Rev.2 (F) "Study on the Behaviour of Native Timber Species of Commercial Value in the Tropical Moist Forests of Honduras" had been approved by Council at its Twenty-sixth Session in May/June 1999, that its first and second phases had been successfully completed in March 2004 and that this proposal currently replaces the original third phase of Project PD 22/99 Rev.2 (F), based on the recommendations carried out by a mid-term evaluation of the project, among other issues. However, the Panel noted that the current proposal did not provide nor build upon the achievements of the first and second phases of PD 22/99 Rev.2 (F) and instead repeated many of the activities and outputs already initiated in phases I and II. In addition, it presented too many outputs, and most of these appeared to be more like activities, rather than outputs per se. In this light, the Panel recommends the proposal be reformulated to focus on the consolidation of the previously initiated research and studies, the widespread dissemination of the findings via publications and papers in specialized journals, and the transfer of the technology developed by the project through seminars/workshops to ensure that the research findings are utilized and applied by the private sector, government, and communities in their plantation and reforestation efforts.

B) Specific Recommendations

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

1. Reformulate the proposal building upon the achievements obtained from the first and second phases of PD 22/99 Rev.2 (F) with a focus on consolidating the previously initiated research and studies, the widespread dissemination of the findings via publications and papers in specialized journals, and the transfer of the technology developed by the project through seminars/workshops. Clearly explain the origin;
2. Include a technical synthesis of the achievements of the first and second phases of PD 22/99 Rev.2 (F). Include a list of the initial 40 species studied and those currently determined to have the greatest potential;
3. Strengthen and focus the problem tree by analyzing the current situation as regards silvicultural trials and plantations in Honduras and showing the key problem which will be addressed by the project;
4. Strengthen and clearly focus the sections on the involvement of stakeholders (including ICF, forest industry, communities, etc.), problem analysis, implementation strategy, technical and scientific aspects, social aspects, and logical framework. Strictly follow ITTO's format for project formulation structure and content;
5. Reduce the number of overall outputs and activities so as to focus on the consolidation of the previously initiated research and studies, the widespread dissemination of the findings via publications and papers in specialized journals, and the transfer of the technology developed by the project through seminars/workshops, and clearly define these. Moreover, include SMART indicators and appropriate qualitative and quantitative means of verification for these in the logical framework matrix;
6. Clearly state the provisions to be made by ESNACIFOR for the long term sustainability of the project, particularly the permanent gathering of periodic data from the established silvicultural trials, and its analysis and dissemination;
7. Provide detailed terms of reference for all individual sub-contracts. Consider producing digital publications rather than paper ones and reduce the budget accordingly;
8. Provide greater details on the management structure of the project and describe in further detail the technical and administrative structure of ESNACIFOR, including its goals and accomplishments;

9. Include the costs of the independent annual and final audits in the budget, preferably as a counterpart contribution;
10. Provide overall detailed/itemized budgets by components and by activities separately for the ITTO and counterpart contributions, including unit costs, as per the ITTO format. Clearly specify the details of ESNACIFOR's contribution and justify the need for such high sub-contract, capital goods and others costs, or reduce the budget accordingly;
11. Adjust the costs for ITTO monitoring and review to US\$10,000 per year, include US\$15,000 for ex-post evaluation, and recalculate the ITTO's Programme Support Costs so as to conform to the new standard of 8% of total ITTO project costs; and
12. Include an Annex which shows the recommendations of the 43<sup>rd</sup> 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 635/12 (F)**

**Development of Guidelines for Buffer Zone Management for Pulong Tau National Park and Involvement of Local Communities in Management, Sarawak, Malaysia (Malaysia)**

Assessment by the Forty-third Panel

A) Overall Assessment

The Panel recognized that the project aimed at the sustainable management of the buffer zone of the Pulong Tau National Park as a follow-up to PD 451/07 Rev.1 (F) "Transboundary Biodiversity Conservation – The Pulong Tau National Park, Sarawak, Malaysia –Phase II" which will be completed in June 2012.

However, the proposal was not clear about the origin of the proposal in connection with PD 451/07 Rev.1 (F) which would result in many information and data for the buffer zone of the Pulong Tau National Park. The Panel noted that it required substantial improvements in many sections as they have provided rather general information although there would be sufficient information from PD 451/07 Rev.1 (F). In particular, the Panel noted that the stakeholder analysis and the problem analysis have not been sufficiently developed and essential background information was lacking in the proposal. The Panel further observed disparities between the problem tree, the logical framework matrix, outputs and activities compromising the logic of the whole proposal. With regard to the budget, the Panel observed that a substantial amount of the ITTO budget has been allocated for the project personnel and felt that this budget provision should be scaled down while increasing contributions of the Executing Agency. The Panel had a specific concern regarding the sustainability of the project after completion and recommended a more comprehensive analysis of the sustainability to ensure an institutional mechanism to continue the activities initiated by the project.

B) Specific Recommendations

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

1. Provide a list of abbreviations and acronyms;
2. Provide more background information on the origin of the proposal in connection with the main findings and outcomes of on-going project PD 451/07 Rev.1 (F) "Transboundary Biodiversity Conservation – The Pulong Tau National Park, Sarawak, Malaysia –Phase II". Describe clearly the proposed work by comparing the achievements and gaps of PD 451/07 Rev.1 (F) as there is a clear need to avoid duplicated work;
3. Provide a better map showing the buffer zone for the Pulong Tau National Park and location of indigenous people;
4. Improve Section on location in terms of providing more environmental information;
5. Improve Section on social, cultural and economic aspects by presenting separately the 3 components of this section: social, cultural and economic aspects and especially by using all existing information on these topics to enrich the quality of this Section;
6. Improve Section 2.1.1 (Institutional Set-up and Organizational Issues) by explaining better the specific roles and responsibilities of the different agencies and institutions and their respective capacities;
7. Develop a more systematic stakeholders analysis in the formulation of the proposal to clearly show the assessment of stakeholders' needs. Since prior consultation has already taken place and local community needs have been assessed under Phase II of the Pulong Tau National Park project, these needs should be briefly presented to make the link with this new project proposal. Make sure all relevant stakeholder groups are included including tertiary stakeholders. If Erickson Air Crane Co. is a stakeholder, it should be included in the stakeholders analysis table;
8. Further describe how the project will obtain the full and effective participation of indigenous people in the sustainable management of the buffer zone for the Pulong Tau National Park.
9. Describe in detail the alternative livelihood improvement activities with more information on *Tangan System* in restoring fish resource in the Kubaan River.
10. Justify the inclusion of Output 8 (Application for birth certificates and identify documents facilitated) in connection with ITTO's mandates;

11. Provide a complete problem analysis apart from the problem tree by fully describing the underlying causes of the problem related to the management of the buffer zone for the Pulong Tau National Park. For instance, the key problem can be considered as "no management plan for the buffer zone considering the development needs of local communities". The causes of the problem would be: (i) PNTP established without considering local communities needs; (ii) no clear guidelines for the management of buffer zone; and (iii) lack of opportunities for alternative sources of revenues;
12. Reformulate the specific objectives and outcome indicators on the basis of the new problem analysis;
13. Reformulate the outputs and activities in line with the new problem and stakeholder analysis. Three outputs are expected in consistency with the three direct causes of the key problem;
14. Improve Section 3.2 (Implementation approaches and methods) as some of the methods presented are closer to activities (scientific resource survey, establishment of a field centre for implementation and training, develop guidelines);
15. Revise the project budget in the following ways:
  - a) Adjust the budget according to the new structure of activities
  - b) Scale down the ITTO budget in particular with regard to project personnel while increasing contributions of the Executing Agency
  - c) Justify the hiring of a helicopter
  - d) Recalculate ITTO's Programme Support Cost to the standard of 8% of total project costs;
16. Improve the project's sustainability by ensuring the continuity of the management of the buffer zone and the participation of the main stakeholders. Describe the commitments already pledged the local government to ensure the further development of the activities initiated by the project;
17. Improve the project organization chart by presenting a flow chart showing all the connections between the different institutions, not only in a vertical hierarchal way;
18. Improve Section 4.2.1 (Project Implementation Team) by presenting CVs for the project implementation team and showing capacities of the selected persons;
19. Improve Section 4.4.2 (Mainstreaming project learning) by explaining how the guidelines for the management of buffer zone will be internalized and adopted at the state level, to be replicated and applied for other protected areas; and
20. Include an annex that shows the recommendations of the 43rd 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 637/12 (F)

**Zoning and Sustainable Management of the Buffer Zone of Minkebe National Park to Contribute to the Transboundary Conservation of the TRIDOM Area (Gabon)**

Assessment by the Forty-third Panel

A) Overall Assessment

The Panel recognized the importance for the establishment of the Gabonese component of the TRIDOM transboundary conservation network covering three countries (Cameroon, Central African Republic and Republic of Congo). However, the Panel noted that the project proposal, which was supposed to derive from the implementation of the pre-project PPD 147/11 Rev.1 (F), did not integrate the results, findings and conclusions of that pre-project, as the completion report and final technical report were finalized after submitting the project proposal to the ITTO Secretariat.

The Panel noted that **ALL** crucial project sections and sub-sections were weak, vague, and/or missing useful information and/or full of inconsistencies and deficiencies, including the most critical of them: stakeholder analysis, problem analysis and problem tree, implementation strategy, logical framework matrix, risk assessment and sustainability. These weaknesses were largely due to the fact that the findings and conclusions of the pre-project were not taken into account.

It was the view of the Panel that the project proposal should be sent back to the proponent for proper use of the pre-project's findings: information and data, as well as the results of stakeholder analysis. Besides, considering the recent recommendations of the meta-evaluation report of ex-post evaluated projects, building new proposals without making adequate use of previous work is unacceptable.

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 638/12 (F)

**Promotion of Reduced-Impact Logging Techniques and  
Wildlife Management in the Forest Concessions of Gabon  
(Gabon)**

Assessment by the Forty-third Panel

A) Overall Assessment

The Panel acknowledged the relevance and importance of promoting -reduced impact logging techniques and wildlife management in the forest concessions of Gabon. As noted within the proposal, this project is supposed to be the continuation of the project PD 392/06 Rev.2 (F) which was ex-post evaluated and its results and findings presented at the 47<sup>th</sup> International Council of ITTO held in November 2011.

However, the Panel noted that the majority of the project sections and sub-sections were weak, vague, and/or missing useful information and/or full of inconsistencies and deficiencies, including:

- The stakeholder analysis was missing and does not adequately explain how the stakeholder table was generated (consultations with stakeholders should occur as part of proposal development). There was no funding contributions from the private sector or other partners noted within the project; and the in-kind contribution amount of the executing agency does not provide confidence that they will be able to sustain the operations after the project ends;
- The problem analysis and problem tree was very weak and did not take into consideration the findings and problems of the previous project; Specifically, it was not well addressed how this project would overcome the same problems that prevented the past project from being successful;
- The implementation strategy was not clearly explained and therefore it was hard to assess the logical framework matrix;
- Budget was also very high and not clearly linked to the project implementation approach, inputs, and outputs;
- Furthermore, the activities, risk assessment and sustainability sections were insufficiently elaborated.

It was the view of the Panel that the project proposal should be sent back to the proponent so as to build on the results and findings of the previous project. Considering the recent recommendations of the meta-evaluation report of ex-post evaluated projects, building new proposals without making adequate use of previous work is unacceptable. Proponents should ensure that any new proposals are designed based on lessons learned and a clear justification of sustainability.

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 640/12 (F)**

**Implementing and Promoting Sustainable Forest Management through Forest Law Enforcement and Governance in Colombia**

Assessment by the Forty-third Panel

A) Overall Assessment

This project proposal stems from the outcomes and recommendations of pre-project TFL-PPD 001/09, implemented by the Regional Autonomous and Sustainable Development Corporations Association (ASOCARS), which has reported that there is pressure exerted on the country's natural forests due to various factors, including illegal forest product harvesting, land occupation, conflicting policies of other sectors of the economy that often minimize the significance of forest ecosystems and the goods and services provided by them, and a lack of training on the technical, regulatory and management aspects of natural forests. As such, the proposal is highly relevant to ITTO's objectives and priorities. However, the Panel noted that while the proposal was well structured, some weaknesses were still inherent in the document, particularly as regards the complex socio-cultural situation in Colombia, the logical framework and overall inter-institutional interaction. Last but not least, the proposal did not make any reference to ITTO's guidelines on SFM or its set of C&I for SFM, when in fact these could serve as a perfect baseline a tool for measuring progress towards SFM in the context of the project.

B) Specific Recommendations

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

1. Make reference to ITTO guidelines on SFM and its set of C&I and utilize these to improve the overall implementation of the project proposal;
2. Develop further the economic and environmental aspects of the proposal. Further explain the complexity of the social situation, especially regarding the primary stakeholders which group together many different realities;
3. Describe in greater detail the specific roles and responsibilities and interaction between the 3 main agencies and further illustrate the capacities of each as regards the implementation of the project;
4. Provide greater background information on the causes of the key problem, and in particular as regards weak forest governance in Colombia. Moreover, the degradation of natural forests should not be presented as the key problem, but as a consequence/effect of poor respect/implementation of forest legislation;
5. Reformulate the current specific objective along the lines of "to improve forest law enforcement and governance in Colombia" as it currently reads more like an activity. Further adjust the indicators, means of verification and key assumptions accordingly, and quantify the indicators;
6. Properly describe the key obligations of the executing agency and the relationship/articulation between the different structures in charge of the project. Improve the flow chart and show the structure at regional level (including link with the consultative committee);
7. Improve the description of the project management team, which should be in line with key staff in annex 3;
8. Further develop the role and functions of the PSC and show the link with other elements of the managing structure in the improved flow chart;
9. Explain how the consultative committee will work and what the status of its members will be;
10. Explain how project stakeholders and beneficiaries will be constant active participants in the project, beyond simply being participants in workshops and working groups;
11. Show the financial means which have been allocated for dissemination of project results;
12. Describe in detail the training component of the project. Clearly indicate the topics to be covered, the target audiences, the number and duration of the courses, etc.;
13. Provide the terms of reference for all major sub-contracts, such as the training program, analysis of organizational/administrative procedures, etc.;



14. Scale down the ITTO budget and provide a much more equitable balance between the ITTO and counterpart contributions towards the overall budget, particularly as regards project experts;
15. Recalculate ITTO's Programme Support Costs so as to conform to the standard of 8% of total ITTO project costs; and
16. Include an annex that shows the recommendations of the 43<sup>rd</sup> 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 641/12 (F)**

**Improved Governance and Low-Impact Forest Management in the Sierra Madre – Selva Zoque Corridor: A Climate Change Adaptation Strategy (Phase 1 – State of Chiapas) (Mexico)**

Assessment by the Forty-third Panel

A) Overall Assessment

The Panel recognized the importance of this small project in implementing a low-impact community forest management model adapted to climate change in two communities in the Sierra Madre-Selva Zoque Corridor in the State of Chiapas, Mexico, with a view towards improving the living standards of for the forest dependent communities. The Panel further noted that it was well formulated and in accordance with the format stipulated in ITTO's Project formulation Manual. Moreover, the origin of the project is clear. However, more information should be provided as regards social and cultural aspects as related to the forests. In addition, the real problem and its causes in the problem analysis and tree could be further strengthened, the development and specific objectives could be more concise, the work plan needs to include the responsible parties in the implementation of the activities, and the budget needs to reflect the achievement of the outputs within the communities, rather than solely focusing on covering the costs of external consultants unrelated to the communities and in covering their participation in international conferences. Moreover, the proposal does not contain a proper description of the MCACC model, nor its essence or contents, nor any justification of why this model was selected among many. Moreover, no reference has been made to the ITTO Guidelines for the Restoration, Management and Rehabilitation of Degraded and Secondary Tropical Forests, even though these are highly applicable to the current situation in the area of influence of the proposal. Last but not least, include regional and local governments as actors in the project and clearly describe how this project relates to the national, regional and local forestry policies in Mexico.

B) Specific Recommendations

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

1. Consider applying the ITTO Guidelines for the Restoration, Management and Rehabilitation of Degraded and Secondary Tropical Forests during the implementation of the project;
2. Include a detailed description of the MCACC model, its gist and contents, and justify the selection of this model among others;
3. Provide proper information as regards the social and cultural aspects as related to the forests in the region, and further clarify the relevance of the project to the regional policies and strategies of the State of Chiapas;
4. Focus on the real problem and its causes in the problem analysis and tree, rather than "poor forest management results". Further improve the problem analysis and problem tree;
5. Consider involving other institutions in the project, such as regional and local governments, and the communities themselves and provide an organizational chart demonstrating the roles and interactions of each in the implementation of the project's activities. Possibly consider these as collaborating agencies;
6. Provide for concise development and specific objectives with feasible indicators, rather than the current very broad ones;
7. Develop concrete outputs, as the current ones appear more to be indicators. Further include SMART qualitative and quantitative indicators and means of verification, including those related to the impacts and outcomes of the project, to clearly visualize the before and after situations;
8. Most activities appear unrelated to the problem tree, outputs and budget. Correlate and integrate these accordingly;
9. Further the develop the work plan to include the responsible parties in the implementation of the activities, as per the ITTO format;
10. Reassess the overall budget to reflect the achievement of the outputs within the communities, rather than solely focusing on covering the costs of external consultants unrelated to the communities and in covering their participation in international conferences;

11. Provide a more equitable balance between the ITTO and counterpart contributions towards the overall budget, particularly as regards project personnel and international travel. Project administration costs must also be covered by counterpart funds;
12. 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;
13. Consider establishing a Project Technical Committee to guide the implementation of the project, and include representatives from regional and local governments, and the communities involved as members of this committee;
14. Adjust the costs for ITTO monitoring and review to US\$5,000 per year, include US\$5,000 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
15. Include an annex that shows the recommendations of the 43rd 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 642/12 (F)**

**Restoring Tropical Forest Landscapes in Northern Veracruz with Agroforestry Systems (Mexico)**

Assessment by the Forty-third Panel

A) Overall Assessment

The Panel recognized the importance of the project in promoting the sustainable management of the forest lands in the Papantla region of Veracruz, Mexico, via the reduction of the current deforestation and forest degradation rates through the establishment of sustainably managed areas, including agroforestry activities in agriculture and cattle-ranching lands and productive restoration activities in degraded secondary and primary forests. Moreover, the project seeks to improve data and knowledge on forest environmental services and their enhancement, to promote conditions for reducing deforestation and forest degradation and enhancing environmental services, and to establish field-level demonstration projects on sustainable forest management, restoration of degraded forests and rehabilitation of degraded forests lands.

However, several of the project's components are either very complex, or lack focus or are quite convoluted, and unrelated, or unexplained. Also, while the communities of the Papantla region of Veracruz are to be the main beneficiaries of the project, no proper land tenure analysis was included in the proposal, nor did the proposal indicate if the rightful owners, be they communities or private, and the regional and local governments, either consented to participate in the project's proposed activities, or further authorized the executing agency to develop land restoration plans and review the legislation currently in place. Moreover, the "pilot communities" and other stakeholders have not been identified in the proposal, nor is any community participation mentioned in the formulation of this proposal. In addition, none of the proposed pilot or demonstration areas, nor the 7 ecological corridors have been demarcated, or for that matter, even identified. Last but not least, the sustainability of the project's activities after project completion was also unclear.

As such, it appeared to the Panel that this proposal had been formulated utilizing a non-participatory approach. In addition, the proposal did not exactly follow the format in the ITTO manual, and many of its components were either weak or missing. Moreover, as regards the budget, it was not clear to the Panel if the Executing Agency was to commit any counterpart funds to the project, or if it was expected that the local governments and communities provide these counterpart funds.

Given the above observations and recommendations and the importance of the intent of this project, the Panel was of the view that a completely new proposal should be formulated in a participatory manner among all stakeholders and submitted to ITTO according to the third edition of the ITTO Manual for Project Formulation 2009 (GI Series 13), and in particular to its Appendix A.

In addition, consider applying the ITTO Guidelines for the Restoration, Management and Rehabilitation of Degraded and Secondary Tropical Forests in such a project.

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 643/12 (F)

**Assessing Development and Growth Rates in Major Commercial Species to Make Adjustments in Forest Management Programmes in the Yucatan Peninsula, Mexico (Mexico)**

Assessment by the Forty-third Panel

A) Overall Assessment

The Panel recognized the significance of the project for revamping a network of permanent sample plots to predict the growth and yield of the commercial species in the natural forests of the Yucatan Peninsula in Mexico, with an overall view towards estimating more realistic logging cycles and therefore improving the quality and quantity of their forests in the future. The Panel noted however that insufficient scientific or technical reasoning was provided, and no statistical design or methodology had been described in the proposal. In addition, no details had been provided as regards the contents of the silvicultural packages and in what way these would assist potential stakeholders establish or improve the management of natural forests in the Yucatan Peninsula. Moreover, the problem tree was weak and the outputs not clearly defined. The Panel also further questioned the sustainability of the network in the long run and sought clarification on the post-project institutional setup. In this light, the Panel thought it preferable the submitting agency come up with pre-project rather than reformulating the current project proposal.

B) Specific Recommendations

The Panel recommends that, instead of revising PD 643/12 (F), a pre-project be formulated. Elements of such a pre-project should include the following:

Objective: To carry out a diagnostic among stakeholders so as to analyze the drawbacks of the current growth and yield (G&Y) information utilized to determine the logging cycles in the Yucatan Peninsula, and based on this, define an overall strategy and methodology to update and further develop the required growth information needed to achieve sustainable forest management in the region.

Main outputs:

- A documented participatory review of the current G&Y data available and the status of the original permanent sample plots (PSPs) producing the aforementioned information, and a strategy to enhance the current network of PSPs and the analysis of its data.
- A detailed methodology, including the development of the statistical design, to update the G&Y data and develop the silvicultural packages needed to improve forest management practices in the region.
- A comprehensive project proposal, not exceeding 30 pages, to implement the aforementioned strategy to update the G&Y data utilizing the developed methodology, and the dissemination of silvicultural packages and their application in the region.

Main Tasks to be Undertaken:

1. Compile background information on the current G&Y data available and the status of the original permanent sample plots (PSPs);
2. Envisage a strategy to enhance the current network of PSPs, and the analysis and dissemination of its data through silvicultural packages.
3. Develop a detailed methodology, including the statistical design (including number and size of PSPs to be required and the variables to be measured) needed to update the G&Y data, and the contents of the silvicultural packages to be produced to improve forest management practices in the region.
4. Formulate a comprehensive project proposal in a participatory manner among all stakeholders to implement the aforementioned strategy to update the G&Y data utilizing the developed methodology, and the dissemination of silvicultural packages and their application in the region.
5. Develop objectives for a feasible project proposal following the ITTO format with detailed specification of all inputs and activities for implementing the proposed strategy in the Yucatan Peninsula of Mexico, and fully budget it by component and activity.

Main inputs: An expert familiar with the ITTO project cycle to review the current situation and determine the information to be collected by local researchers, and to synthesize all information and to assist in the formulation, discussion and finalization of a project proposal.

C) Conclusion

Category 3: The Panel concluded that a pre-project is required and the Panel will need to assess the pre-project proposal before it can commend it to the Committee for appraisal.

**PD 644/12 (F)**

**Improving the Enabling Condition for a Model of Self Sufficient Unit to Support Sustainable Forest Management in KPH Yogyakarta (Indonesia)**

Assessment by the Forty-third Panel

A) Overall Assessment

The Panel recognized that the project aimed at improving information systems and institutional framework of Forest Management Unit Yogyakarta to develop it as a self-sufficient model to promote sustainable forest management.

However, the Panel felt that it was difficult to understand the current status of Forest Management Unit Yogyakarta and the real objective of the project due to a lack of a clear and comprehensive problem analysis. A key problem should be clearly identified and discussed from a comprehensive assessment of underlying causes of the unsustainable management problem of Forest Management Unit Yogyakarta. The stakeholder analysis was rather general without specifying needs of key stakeholders including local communities. The social, economic and environmental aspects were not sufficiently detailed to assess the proposal. The Panel had long discussions regarding the technical design of Outputs 2 and 3 and questioned the design of the envisaged economical framework. It also questioned whether the needs of local communities had been clearly addressed as improved collaboration with Forest Management Unit Yogyakarta will be essential to its sustainable forest management. The Panel further noted a number of weaknesses in the proposal including weak development of the logical framework matrix with lack of measurable indicators, unsound work plan for the development of a management plan, a high proportion of ITTO budget to project personnel and duty travel, too general presentation of the implementation approach and not realistic assessment of the sustainability.

Recognizing the importance of a full project proposal based on more comprehensive baseline information, the Panel recommended that a pre-project should be formulated in accordance with the ITTO Manual for Project Formulation.

B) Specific Recommendations

The Panel recommended that, instead of revising PD 644/12 (F), a pre-project be formulated. Elements of such as pre-project should include the following:

1. A comprehensive assessment of the current forest management status of Forest Management Unit Yogyakarta should be conducted. A review of similar experiences in the region should be examined;
2. A through social-economic and environment assessment of the Forest Management Unit Yogyakarta should be conducted;
3. A capacity assessment of the Technical Unit of Forest Establishment Region XI, Java-Madura should be conducted to identify local capacity building needs;
4. Based on the above, a best model for the sustainable management of Forest Management Unit Yogyakarta should be identified through multi-stakeholder consultations with the full participation of key stakeholders including local communities; and
5. The main output of the pre-project should be a comprehensive project proposal in accordance with the ITTO Manual for Project Formulation (Third Edition).

C) Conclusion

Category 3: The Panel concluded that a pre-project is required and the Panel will need to assess the pre-project proposal before it can commend it to the Committee for appraisal.

**PD 645/12 (F)**

**Promoting Forest Management at Site Level in Rinjani Barat  
(Indonesia)**

Assessment by the Forty-third Panel

A) Overall Assessment

The Panel noted that the project aimed at promoting sustainable management of Forest Management Unit in Rinjani Barat of West Nusa Tenggara Province, Indonesia through the development of a forest management plan and the improvement of local communities' participation in forest management.

However, the Panel felt that the strategy of the project seems to be a top-down approach and further noted a number of weaknesses in the design and formulation of the proposal. These include: insufficient information on the target area and the social, cultural, economic and environmental aspects; weak assessment of the institutional set-up and organizational issues; weak development of the stakeholders analysis table with limited engagement of local communities; incomplete problem analysis with only a problem tree; duplicated indicators in the logical framework matrix; unsound work plan development for the development of a forest management plan; 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 Sub-Contractor and considered this allocation should be reduced while increasing Executing Agency's contributions.

Furthermore, regarding proposals relating to sustainable management of Forest Management Units in Indonesia, the Panel observed a similar proposal [PD 644/12 (F) Improving the Enabling Condition for a Model of Self Sufficient Unit to Support Sustainable Forest Management in KPH Yogyakarta] and suggested collaboration between the two projects, as appropriate.

B) Specific Recommendations

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

1. Provide more information on the geological characteristics of FMU at Rinjani Barat in Section 1.3.1;
2. Improve Section 1.3.2 Social, cultural, and economic aspects by further describing respective aspects of the project area;
3. Improve the stakeholder analysis table by ensuring the full and effective participation of local communities as a primary stakeholder;
4. Improve the problem analysis by elaborating on the causes and effects of the key problem apart from the problem tree;
5. Improve the identification of measurable indicators for the development and specific objectives without duplicating with outputs;
6. Refine the focus of Output 3 to ensure the institutional strengthening of key local actors in addition to local communities. Revisit the identification of activities for Output 3 for their concise presentation as too many activities are identified and consider deleting Activity 3.9 as it is not strongly justified;
7. Rework the work plan by allocating the formulation of a long-term management plan of PFMU Rinjani Barat at the end of the project after conducting a series of public consultations;
8. Budget tables should be revisited to be coherent between Master Budget and Consolidated Budget. Budget for activities of Output 3 in Master Budget is inconsistent with the activities identified in Section 3.1.2 and has to be revisited. Justify the budget items 14 (counterpart) and 20 (Sub-contractor). Include the ITTO project monitoring and administrative costs in accordance with the guidance specified in the ITTO Manual for Project Formulation;
9. Scale down the ITTO budget on project personnel and sub-contractor while increasing the counterpart's contribution;
10. Improve the risk assessment by identifying specific risks beyond the control of project management. In this connection, 'Government's inconsistency in supporting FMU development' is regarded as national policy aspects rather than project management aspects;
11. Improve the sustainability of the project by specifying any institutional arrangements to ensure the continuation of the activities initiated by the project;



12. Improve Section 4.1.1 (Executing Agency and partners) by further describing EA's capabilities to deal with the project and its relationship with target groups and partners;
13. Improve Section 4.1.4 (Stakeholder involvement mechanisms) by specifying the membership of a stakeholder forum;
14. Improve Section 4.3 (Dissemination and mainstreaming of project learning) by further describing the communication strategy and methods and how project results will be mainstreamed into national policies and plans; and
15. Include an annex that shows the recommendations of the 43rd 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 646/12 (F)

**Initiating the Conservation of Cempaka Tree Species [*Elmerrillia ovalis* (Miq.) Dandy] Through Plantation Development with Local Community Participation in Northern Sulawesi, Indonesia (Indonesia)**

Assessment by the Forty-third Panel

A) Overall Assessment

The Panel recognized that the project aimed at promoting the conservation and management of Cempaka tree species through community-based plantation development in North Sulawesi, Indonesia as a follow-up to the recommendations of a series of consultation meetings on Cempaka plantation development. It also noted that Cempaka wood has been used as an important raw material for traditional wooden housing.

However, the Panel questioned whether limited silviculture techniques of Cempaka tree species, which are one of the main constraints in the sustainability of Cempaka-related sector, have been adequately addressed in project activities. The Panel felt that this subject should be clearly presented in the proposal and the project should clearly explain how 100 ha of Cempaka plantations will be established.

The Panel further noted that the proposal presented several weaknesses. These include: insufficient elaboration on country's policies; unclear role of FORDA; incomprehensive stakeholder analysis by missing Manado Forestry Research Institute (MFRI) and tertiary stakeholders; inconsistency between the third element of the problem tree and the presentation of Output 3; unclear identification of the second indicator for Output 2; weak presentation of the implementation approach and methods and the work plan; and too optimistic sustainability of the project without sufficiently describing institutional arrangements to ensure any further development of the activities initiated by the project.

B) Specific Recommendations

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

1. Provide more background information on the country's policy (Minister Decree No.P. 70/Menhut-II/2009) in connection with the proposed project work;
2. Further improve the stakeholder analysis by refining the roles of Forestry Research and Development Agency (FORDA) in the involvement of the project. Include the Executing Agency in the stakeholder analysis table;
3. Refine the problem analysis by deleting a repetitive sentence from Para 3 on Page 19 (Forest plantations Cempaka,,,) until the end of Page 20;
4. Review the feasibility of increasing plantations of Cempaka outside forests;
5. Provide background information on the potential of utilizing Cempaka apart from the construction of wooden houses;
6. Improve the logical framework matrix by identifying an appropriate indicator to assess the achievement of Output 2 (Participatory planting in community increased). For instance, a number of communities and people who will participate in training programs on Cempaka plantations. It is suggested that the current indicator "Stakeholder forum established in North Sulawesi" for Output 2 be moved for Output 3 (Conducive policy on Cempaka conservation and utilization formulated);
7. Refine the presentation of Output 3 in connection with the third cause of the problem tree;
8. Further improve Section 3.2 (Implementation Approach and Methods) by elaborating how the institutional framework will be enhanced in connection with project activities;
9. Refine the work plan by reviewing the work load for Outputs 1 and 2 as none of their activities are allocated in Quarters 1 and 2 in Year 1;
10. Clarify the budget provision to carry out research work and to build 100 ha of a demonstration plot for Cempaka plantations;
11. Improve the risk assessment by identifying more effective mitigation measures;
12. Improve the sustainability of the project by specifying institutional arrangements to ensure the continuation and/or further development of the activities initiated by the project;

13. Improve Section 4.1.1 (Executing agency and partners) by describing the capabilities of the Executing Agency in connection with the proposed work and its relationship with target groups and partners;
14. Improve Section 4.1.4 (Stakeholder involvement mechanisms) by considering establishing a consultative committee to provide a platform for stakeholders to provide inputs into the project;
15. Improve Section 4.3.2 (Mainstreaming project learning) by describing how project results will be mainstreamed into national policies and plans; and
16. Include an annex that shows the recommendations of the 43rd 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 647/12 (F)

**Support to the Restructuring of the Forest Development Board (Office de Développement et d'Exploitation des Forêts – ODEF) in Togo**  
(Togo)

Assessment by the Forty-third Panel

A) Overall Assessment

The Panel acknowledged the importance of the project proposal, which was quite simple and straightforward: institutional restructuring process of the ODEF (office de développement et d'exploitation des forêts - ODEF) in Togo, while also developing a strategy or action plan for the new institution and adjusting the legal framework accordingly. However, the Panel noted that there was a need to improve the development objective while further elaborating the outputs which should deal with the following: legal framework, institutional set-up, and development strategy. There was a need to improve the outcomes expected after the project completion.

The Panel noted that the insertion of a logical framework could have provided a clear picture on the project implementation, as well as information on assumptions and risks such as those in relation to ODEF staff, even if the project proposal was small project for which the LFM was not required. There were no detailed information and data on the forestry sector in Togo. The problem analysis was not sufficiently developed in relation to the stakeholder analysis.

The Panel further noted that the Ministry of Environment and Forest resources was missing as primary stakeholder, while ITTO was included as secondary stakeholder without an appropriate justification, and there was no explanation on the main stakeholders will be involved at the various stages of the restructuring process (participation in workshops for the validation of the different steps). There was no flow chart showing how the process would be conducted for the participation of all levels of ODEF (national and sub-national), the participation of other stakeholders (other ministries and administrations, private sectors, etc.) and with the support of an international expert or company. The terms of reference of the sub-contractor was not enough detailed in the project proposal. It was questioned why there were no activities planned for the first month in the work plan.

The Panel furthermore noted that the duration of 12 months seemed too short for the completion of this project (18 months seems to be more realistic) and the establishment of a project steering committee was not mentioned.

B) Specific Recommendations

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

1. Further clarify the origin of the project in relation to the current situation of the forestry sector in Togo which should be detailed and added to the project proposal; explain what is the mission and role of ODEF today and why you think that an institutional reform is needed;
2. Improve the presentation of expected outcomes after project completion: positive impact on the sustainable management of the forest and on the whole forest sector in general; better medium and long term vision for the development of the forest sector based on a new Action plan;
3. Improve the problem analysis and problem tree in relation to the stakeholder analysis while ensuring the appropriate vertical logic;
4. Subsequently redefine the development objective, specific objective and outputs, in accordance with the abovementioned elements (legal framework, institutional set-up, and development strategy);
5. Emphasizes the coordination of stakeholders to be involved in the restructuring ODEF and also by adding the organizational chart showing how the process would be conducted to ensure the participation of all stakeholders; the Ministry of Forest should be a primary stakeholder as well. The role international consultancy company in conducting the process should be also briefly presented here;
6. Add a simple logical framework matrix, although it is a small project, in order to provide a clear picture of the project implementation; the specific objective could be: institutional reform process of ODEF has been achieved. The proposed expected outputs could be: (i) new institutional set up of

ODEF in place; (ii) draft decree for the new institution submitted to the government; and (iii) adopted 5 years Action Plan for the new institution;

7. Improve the stakeholder analysis by including the Ministry of Environment and Forest Resources while removing ITTO;
8. Adjust the work plan in relation to the second and fourth specific recommendations and increase the project duration to 18 months;
9. Add a special section regarding the assumptions, risks and sustainability in relation to the logical framework matrix;
10. Improve the terms of reference of the sub-contractor by elaborating a detailed one and including detailed costs;
11. Adjust the ITTO budget in line with the above overall assessment and specific recommendations and also in the following way:
  - a) Tables of budget by components and by source (ITTO & Executing Agency), deriving from the master budget, should be detailed at the level of sub-items under each budget item,
  - b) Adjust the budget Sub-component 81 to the standard rate of US\$10,000.00 per year for the monitoring and evaluation costs (US\$20,000 for a 2-year project),
  - 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 the sum budget items 10 to 82); and
12. Include an Annex that shows the overall assessment and specific recommendations of the 43<sup>rd</sup> 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 649/12 (F)**

**Rehabilitation and Restoration of Degraded Areas for the Sustainable Harvesting and Production of Natural Rubber (*Hevea Brasiliensis*) in the Department of Guaviare (Colombia)**

Assessment by the Forty-third Panel

A) Overall Assessment

The panel noted the importance of this proposal aimed at consolidating the core activities initiated and generated by project PD 32/99 Rev.1 (F): "Productive Forest Management in the Rural Reserve Area of Guaviare". It also observed that the proposed follow-up project focused on establishing 200 ha of natural rubber plantations in rural and indigenous community areas in the Municipality of Retorno, and providing guidance and technical assistance to rural and indigenous farmers producing natural rubber. However, the Panel considered this proposal should have been screened by the ITTO Secretariat and sent back to the submitting agency prior to being assessed by the Panel, as it was very poorly written and formulated and did not follow the format of the ITTO Manual on Project formulation. Overall, the proposal was very weak and difficult to assess, had many elements missing, and lacked both important background information and an implementation strategy. In particular, the economic business case for the activities suggested was not explained. Moreover, the problem analysis did not make much sense and the outputs were not clearly defined. The Panel also noted that the project did not provide sufficient counterpart personnel in order to ensure the long-term continuity of its activities after project completion.

Moreover, there is no clear connection between the results of the previous project and the proposed activities of this one. In addition, while the completion report of the previous project mentions the development of 27 forest management plans, with 6 focused on rubber cultivation, none of these could be used as a reference as these had not been archived at ITTO under the project file. Moreover, it is not clear if the previous project achieved its expected output of establishing 250 ha of forest plantations or not.

Given the above observations and recommendations and the importance of the intent of this project, the Panel was of the view that a completely new proposal should be formulated in a participatory manner among all stakeholders and submitted to ITTO according to the third edition of the ITTO Manual for Project Formulation 2009 (GI Series 13), and in particular to its Appendix A. In addition, the proponent should consider applying the ITTO Guidelines for the Restoration, Management and Rehabilitation of Degraded and Secondary Tropical Forests in such a project.

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 650/12 (F)**

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

Assessment by the Forty-third Panel

A) Overall Assessment

The Panel noted that the project proposal PD 650/12 (F) was identical to the previous project proposal PD 592/11 (F), which was ex-ante evaluated and ranked as Category 4 by the Forty-first Expert Panel. This forty-third Panel not surprisingly came up with a similar overall assessment and conclusion, see below.

The Panel acknowledged the importance of this project aimed at contributing towards the conservation of coastal forest ecosystems of South-western Côte d'Ivoire through an integrated development approach with the involvement of local communities. Nevertheless, the Panel noted that the project scope was too broad since it covers wildlife protection and ecotourism development.

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

In this light, the Panel was of the view that the intention of the project was poorly articulated in the proposal, as information and data were either missing or insufficient or inconsistent in most sections and sub-sections. The Panel, therefore, cannot recommend this proposal for consideration by the Committee.

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 651/12 (F)**

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

Assessment by the Forty-third Panel

A) Overall Assessment

The Panel noted that the project proposal PD 651/12 (F) was identical to the previous project proposal PD 593/11 (F), which was ex-ante evaluated and ranked as Category 4 by the Forty-first Expert Panel. This forty-third Panel not surprisingly came up with a similar overall assessment and conclusion, see below.

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

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

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.

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 652/12 (F)**

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

Assessment by the Forty-third Panel

A) Overall Assessment

The Panel noted that the project proposal PD 652/12 (F) was identical to the previous project proposal PD 591/11 (F), which was ex-ante evaluated and ranked as Category 4 by the Forty-first Expert Panel. This forty-third Panel not surprisingly came up with a similar overall assessment and conclusion, see below.

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

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

In this light, the Panel was of the view that all sections and sub-sections were not appropriately elaborated, and led the Panel to consider that it was not recommendable to the Committee.

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 653/12 (F)**

**Sustainable, Mixed and Pure Forest Plantation Development in the Transitional Zone of Ghana's Biakoye District Assembly, Employing Poverty Reduction Strategies (Ghana)**

Assessment by the Forty-third Panel

A) Overall Assessment

The Panel noted that the project proposal, which was well written and structured, complied with ITTO's objectives and priorities. The Panel also noted that the project proposal provided relevant elements in almost all sections and sub-sections of the project proposal document: a solid origin and clear development objective and specific objective leading to a description of the strategy that aims to combat poverty through the development of sustainable mixed forest plantations in the transitional zone of Ghana's Biakoye District Assembly. However, the Panel further noted that the project proposal could be further improved in some sections and sub-sections and suggested the specific recommendations mentioned below for that purpose. For instance, the expected outcomes after the project completion were insufficiently elaborated. The land issue was not clearly explained, and land will be part of the in-kind counterpart contribution. Regarding the budget, it was questioned if the vehicle purchasing costs was realistic and why the ITTO monitoring and review costs were very high for a 2-year project.

B) Specific Recommendations

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

1. Further elaborate the expected outcomes after project completion, in accordance with the guidance provided in the ITTO manual for project formulation;
2. Provide, under sub-section 1.3.2, a clear explanation on land issue, as land will be part of the in-kind counterpart contribution expected from Ghana through the executing agency;
3. Revise the ITTO budget in line with the above overall assessment and specific recommendations and also in the following way:
  - a) Tables of budget by components and by source (ITTO & Executing Agency), deriving from the master budget, should be detailed at the level of sub-items under each budget item,
  - b) Adjust the budget Sub-component 81 to the standard rate of US\$10,000.00 per year for the monitoring and evaluation costs (US\$20,000 for a 2-year project),
  - c) Adjust the budget item 82 to the standard rate of US\$15,000.00 for the mid-term, final and ex-post evaluation costs,
  - 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 the sum budget items 10 to 82); and
4. Include an Annex that shows the overall assessment and specific recommendations of the 43<sup>rd</sup> 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-third Panel

A) Overall Assessment

The Panel noted that efforts had been made to address its specific recommendations made by the Forty-second Expert Panel. However, the Panel still considered that some of these recommendations, particularly those critical to the successful implementation of the pre-project, had not been sufficiently addressed and incorporated into the revised proposal. In this light, the Panel noted the need for a further improvement of the proposal on the following sections and sub-sections: compliance with the ITTO objectives, preliminary problem identification, approaches and methods, work plan and budgets.

While recognizing 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 for that purpose, the Panel also noted the following weaknesses: the involvement of communities should be clearly described in the section regarding the approaches and methods, the lack of consistency between the table 3.2 (Activities, inputs and unit costs) and work plan due to the adding of the Output 1 and related Activities which should be considered as routine preparatory actions required for the inception of the implementation of any ITTO pre-project or project. The timing of the Activities 3.1 and 3.2 were not scheduled appropriately in the work plan. The Panel further noted that the budget by component was not enough detailed in order clearly distinguish the sources of funds (ITTO & Executing Agency). Finally, the Panel noted that the organizational chart regarding the implementation arrangement was still missing.

B) Specific Recommendations

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

1. Improve the explanation added under each ITTO objective considered as consistent with the development objective of the future project to be developed through the pre-project implementation, while ensuring the consistency with the effects mentioned in the problem tree;
2. Further improve the preliminary problem identification by describing only the communities, to be directly affected by the identified problem to be addressed by the future project, among those listed in the section 2.2;
3. The section on the approaches and methods should still be further improved with appropriate specific information on communities to be involved in the implementation of the future project;
4. Improve the work plan by rescheduling the Activity 3.1 during the fifth month after completing the Activity 3.2 dealing with the validation of the pre-project results to be used to develop a full project proposal;
5. Add the organizational chart in relation to the implementation arrangements;
6. Readjust the ITTO budget in accordance with the above overall assessment and specific recommendations and also in the following way:
  - a) Tables of budget by components and by source (ITTO & Executing Agency), deriving from the master budget, should be detailed at the level of sub-items under each budget item,
  - b) Delete the budget item 64 which is in duplication with the budget item 41,
  - c) Breakdown the budget sub-item 31.3 (Others),
  - d) Recalculate the ITTO Programme Support Costs (Sub-item 83) specified in the budget so as to conform with standard rate of 8% of the total ITTO pre-project costs; and
7. Include an Annex that shows the overall assessment and specific recommendations of the 43<sup>rd</sup> 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 156/12 (F)

**Development and Management of the Transboundary Forest Complex of Kom National Park – Mengine Gorilla Sanctuary (Cameroon)**

Assessment by the Forty-third Panel

A) Overall Assessment

The Panel noted that the goal of the pre-project was to finalize the full project proposal in line with the development of the Gabonese component of a transboundary initiative, within the TRIDOM (Tri-national network of transboundary protected areas in three countries: Cameroon, Congo-Brazzaville and Gabon) landscape. The project proposal, to be formulated, was supposed to deal with the development and management of the transboundary forest complex of Kom National Park – Mengine Gorilla Sanctuary, in Cameroon, in line with the Minkebe protected area in Gabon, as part of a transboundary initiative between Cameroon and Gabon.

The Panel also noted that it was unclear to the Panel the goals of this pre-project. Although it states that the aim of the PPD is to “finalize” PD 66/01, there was insufficient information within the document explaining what was left uncompleted by the project. The original project proposal was supposed to deal with the development and management of the Minkebe-Mengine transboundary gorilla sanctuary at the Cameroon-Gabon border. The project completion report of PD 66/01 showed that the original project suffered from many weaknesses and was continually delayed. It was completed in 100 months instead of 24, as originally scheduled. Important outputs were also not achieved during the implementation of the project, such as: management plan of the protected area was not approved at the project completion and transboundary-related conservation aspects were not achieved. However, the findings and results of PD 66/01 Rev.1(F) were not summarized in the pre-project proposal. It is insufficiently explained and justified how a second phase will deal with the lack of institutional and management capacity that affected the first project; therefore, it was highly questionable how formulating a second phase project proposal, through a PPD, will be successful or sustainable.

The Panel further noted that the project document itself suffers from poor design and insufficient input and engagement with stakeholders (which should occur even before the document is formulated). Furthermore the proponents should ensure the budget is formulated according to the new project manual guidelines, for example it is missing a unit measurement column. The contributions of IUCN and GoC should be separated out. Several of the costs are too high and/or should be shared by the Executing Agency. The current status of the gazetting process of the Kom National Park and the interaction with the GEF/TRIDOM project executed in the same landscape were also not well described. Given all these overlapping initiatives, before another pre-proposal/proposal is submitted to ITTO for consideration, some efforts should be made amongst all the stakeholders involved to gain clarity on how the processes will interact with one another before going forward. In particular, the proponents should explain why the operationalization of participatory management bodies did not “take off” in the previous project, as noted in the PPD document, and how the new approach will solve this critical issue.

The Panel furthermore noted that the emphasis of any future project should not simply be to undertake new developments in the area, but to understand how to prevent the same failures of past projects from happening by finding solutions to them. Finally, the Panel noted that there was a need to carry out the ex-post evaluation of the completed project PD 66/01 Rev.1 (F) prior to the formulation of any further project, in order to take advantage of lessons learned. The Panel stressed, in line with the recent recommendations of the meta-evaluation report of ex-post evaluated projects, that an ex-post evaluation of a previous phase is a pre-requisite for the formulation of the following phase.

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 proposal.

**PPD 160/12 (F)**

**Study for the Rehabilitation and Sustainable Management of the Mangrove Forests in the Coastal Area of Benin (Benin)**

Assessment by the Forty-third Panel

A) Overall Assessment

The Panel recognized that the very first proposal submitted by the Government of Benin, as a new ITTO Member since the ITTA of 2006 entered into force, was well formulated and structured, in accordance with the format stipulated in ITTO's Project formulation Manual. The Panel noted that pre-project aimed at addressing the very important issue of sustainably managing the mangrove forests of Benin by building the capacity of local communities in order to improve their living conditions, through the establishment of an integrated community-based and sustainable mangrove forest management system.

Moreover, the development objective, the specific objectives, expected outputs, the approaches and methods were all clear and well articulated in the proposal. However, there was a need for improvement regarding the following sections and sub-sections: specific objective not formulated in accordance with the guidance provided in the ITTO manual for project formulation, conformity with ITTO objectives making reference to the ITTA of 1994 instead of the ITTA of 2006, planned duration of the Activity 1.2 questionable as it seemed a bit short to conduct an inventory study on mangroves, master budget by activity missing although it is supposed to be the source of other budget tables, no costs in the budget accounting for the technology and data to develop the land use planning map, and the budget of the executing agency not inserted in its profile.

B) Specific Recommendations

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

1. Improve the section regarding the conformity with ITTO objectives of the ITTA of 2006 by quoting the relevant ones and briefly elaborate under each one how the project to be formulated through the pre-project will comply with it;
2. Reformulate the specific objective as follows: "To assess the status of mangrove forests in the coastal area of Benin, in order to formulate a project proposal for the rehabilitation and sustainable management of this ecosystem".
3. Add the master budget by activity which is useful to understand other budget tables;
4. Improve the work plan by adequately ensuring the appropriate time needed for Activity 1.2
5. Improve the profile of the Executing Agency by adding the overall budget for the previous three years;
6. Readjust the ITTO budget in the following way:
  - a) Add the costs for the technology and data needed to develop the land use planning map of the project area,
  - b) Add the budget item 81 with the standard rate of US\$3,000.00 per year for the monitoring and review costs of a pre-project,
  - c) Recalculate the ITTO Programme Support Costs (Sub-item 83) specified in the budget so as to conform with standard rate of 8% of the total ITTO pre-project costs; and
7. Include an annex that shows the recommendations of the 43<sup>rd</sup> 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 608/11 Rev.1 (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-third Panel

A) Overall Assessment

The Panel noted the proponent had improved the proposal to the extent that all recommendations were fully addressed.

B) Specific Recommendation

In the context of the sustainability of the project, the project's Completion Report should highlight the framework for replication of the developed methodology for LCA and CFP for other species and other tropical regions.

C) Conclusion

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

PD 612/11 Rev.1 (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-third Panel

A) Overall Assessment

The Panel reiterated the importance of the project in improving the efficiency in charcoal and briquette production and its contribution towards efficient utilization of forest resources and sustainable forest management.

The Panel also acknowledged that the proponent had improved the proposal based on its assessment and recommendations. However, the Panel felt that the project proposal could be improved further in some aspects as specified in the specific recommendations below.

B) Specific Recommendations

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

1. Describe current status of stakeholder involvement in the proposed project (2.1.2);
2. Add text to point 2.1.3 to explain the identified problem in accordance with the problem tree;
3. Improve the indicators of the Logical Framework into 'SMART' (Specific, Measurable, Appropriate, Realistic, and Time-bound) indicators;
4. Revisit the project's budget and revise it in accordance with the ITTO Project Formulation Manual. Recheck the budget calculation for its consistency;
5. In the Project Management Team (4.1.2) provide elaboration on how Sustainable Forest Management will be taken into account;
6. In the Project Steering Committee (4.1.3) consider to revise the PSC membership bringing in donor representative/s; and
7. Include an Annex that shows the overall assessment and specific recommendations of the 43rd Expert Panel and respective modifications in tabular form. Modifications should also be highlighted (**bold and underline**) in the text.

C) Conclusion

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



**PD 639/12 (I)**

**Reviving Forestry Education in Liberia II (Liberia)**

Assessment by the Forty-third Panel

A) Overall Assessment

The Panel recognized the importance and the relevance of reviving forestry education in Liberia through providing technical support and implementation of appropriate curriculum, as well as increasing absorption rate of experienced graduates on the job market. 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.

While deliberating on the Project Proposal, the ITTO Secretariat indicated that Phase I is still in progress and that the final report has not been completed/submitted to ITTO. Therefore, the Panel recommended the resubmission of a new project proposal after the completion of Phase I and suggested the following in that regard:

- The section “Conformity with ITTO objectives and priorities” fails to explain precisely how the proposal relates to the ITTO objectives as stated in ITTA 2006;
- The section “Social, cultural, economic and environmental aspects” should be revised and give more clarity as economic and environmental aspects do not provide sufficient information;
- The section “Expected outputs at project completion” should list tangible outputs rather than assumptions;
- 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;
- The section “Stakeholders’ analysis” fails to correctly categorize the stakeholders. The proposal does not consider properly the involvement of education institutions as the primary stakeholders;
- The key problem described in the “Problem tree” is wrongly formulated. Rather than identifying the key problem as lack of infrastructure and training equipment, the key problem should focus on the demand in the forestry sector job market and linking it with the training programme. Formulating only one specific Objective is recommended in the ITTO Manual for Project Formulation. Therefore, the Logical Framework needs to be revised accordingly to the problem tree;
- The Outputs and Activities need to be simplified and their respective items need to be grouped into bigger outputs/activities. Activities on how to prepare reading materials and designing training programmes must be emphasized rather than emphasizing on procuring training equipment/infrastructure;
- The section “Implementation approaches and methods” needs to be completely rewritten and rather than detailing the courses, the proponent should focus on how they are going to address the expectancy from the job market;
- Budget must be formulated in accordance with ITTO Manual for Project Formulation;
- The section “Sustainability” is incorrectly formulated;
- The “Management structure” does not explain the roles of each agency involved;
- The “Stakeholder involvement mechanism” fails to describe how stakeholders will be involved in project activities, and does not list any stakeholders; and
- Under “Curricula Vitae of the Key Staff” there are no explanation on tasks and responsibilities of the staff.

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 158/12 (I)**

**Promotion of Plant Species with High Economic Value and Multiple Uses through the Development of Fallow Land, Enrichment of Community Forests, to Combat Poverty in Cameroon (Cameroon)**

Assessment by the Forty-third Panel

A) Overall Assessment

The Panel acknowledged the relevance of the proposal to Cameroon and the clarity in the identification of the preliminary problem, which is the gradual removal of important plant species and thus the degradation of the forest resources.

B) Specific Recommendations

The proposal should be revised taking into account the following:

1. Under section 1.2.1 "Conformity with ITTO's objectives and priorities", highlight how the pre-project proposal contributes to the achievement of the ITTO's objectives that were listed;
2. As for section 3.2 "Activities, inputs and unit costs", provide an explanation of the activities to be carried-out by the pre-project and which have been used in the formulation of the budget. Also state the reasoning of why these activities were selected;
3. Regarding section 3.3 "Approaches and methods", further elaborate on how the stakeholders will be involved in the formulation of a project proposal;
4. For the work plan, it seems that activity 1.1 could start in the first month of the project;
5. Consider more time for the execution of activities under output 3;
6. Regarding the budget, the allocation for consultants seems quite high, and effort to reduce it should be made;
7. The section "implementation arrangements" need to better explain the meaning of "participants' approach";
8. Further elaborate the arrangements for ITTO Monitoring and Evaluation;
9. Provide the profile of the Executive Agency as an annex; and
10. Include an Annex that shows the overall assessment and specific recommendations of the 43<sup>rd</sup> 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 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.

PPD 159/12 (I)

**Project to Promote Further Timber Processing by Very Small Enterprises through the Creation of a Pilot Timber Village in Ebolowa in the Town of Ebolowa, Cameroon (Cameroon)**

Assessment by the Forty-third Panel

A) Overall Assessment

The Panel acknowledged the relevance of the proposal to Cameroon; however it felt that some clarity was needed regarding the specific objective of the pre-project.

B) Specific Recommendations

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

1. Under section 2.1 “Conformity with ITTO’s objectives and priorities”, highlight how the pre-project proposal contributes to the achievement of the ITTO’s objectives that were listed, as well as to the Cameroonian policies;
2. The Specific objective needs to clarify whether the focus of the proposal is to increase the rate of utilization of timber and timber species, or to increase the level of transformation of felled trees. The Panel noted that the pre-project proposal can work in either direction; however the scope of the related activities would differ depending on the focus of the specific objective;
3. The problem tree and the pre-project activities should be modified depending on the focus of the specific objective. The problem tree should be more specific and not too general;
4. As for the work plan is also necessary to further explain the logic and flaw of the selected activities to carry-out the pre-project;
5. The cost of activity 1.1 “to review the existing literature” is too high and should be reduced. Also budget tables should be revised for coherence among the work plan, the budget by activity and the consolidated budget as there are some errors in the calculations, such as, vehicle rental which does not appear in the consolidated budget;
6. Under the section “approaches and methods” is necessary to further elaborate on how the stakeholders will be involved in the pre-project and in the formulation of the project proposal; and
7. Include an Annex that shows the overall assessment and specific recommendations of the 43<sup>rd</sup> 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 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.

### Assessment by the Forty-third Panel

#### A) Overall Assessment

The Panel recognized that the aim of the project is to strengthen the capacity of forest SMEs to ensure on a sustainable basis that the timber traded is of legal origin and is sourced from forest concessions and native community forests under sustainable forest management. This project is based on the experience gained in three previous projects that were submitted and financed by ITTO.

The Panel considered the modifications contained in the revised project proposal in response to the comments and specific recommendations made by the Forty-second Expert Panel. Although some improvements were made in some sections by the proponent based on the recommendations of the Panel, the revised proposal still has some key weaknesses such as the stakeholder and problem analysis, the development and specific objectives, the logical framework and the project budget. The Panel was of the view that the proposal should be further reviewed so as to incorporate the recommendations detailed below.

#### B) Specific Recommendations

1. The targeted area of project was still unclear and the detailed map for geographic location should be presented with more information on project geographic location. The detailed map was almost the same as the previous one which needs to be modified giving details of the geographic location;
2. There were improvements in the revision in the economic, environmental, cultural and social aspects but some baseline information for the project targeted area were still missing and need to provide;
3. Explanation on stakeholder involvement for the preparation of the project should be clearly identified and the gender issues need to be fully addressed rather than simply mentioning Men and Women. Clarification is still needed on the role and function of AIDER in the implementation of the project;
4. There were not much changes and improvements in the new problem analysis and problem tree derived from the problem. From the problem tree, it is difficult to identify the sub-causes leading to cause/causes. The problem analysis needs to be further reformulated both in the problem tree and text analysis, particularly for the logics of sub-causes and causes. Moreover, proper problem analysis needs to be given rather than repeating the causes as in the text;
5. There were no improvement in development and specific objectives with a few minor changes in objectives and indicators. There was no any change either in the logical framework regarding development and specific objectives and adding quantifiable indicators at couple of places could not solve any purpose. Therefore, the development and specific objectives should be further reformulated clearly and precisely;
6. There was no reduction in other components such as item 20, 30, 40, 50, 60, 80 except a marginal reduction in the salary of project director and traceability specialist in the project personnel component of both ITTO and Executing Agency. The project budget for personnel and travel which still comprised large percentage of the total budget needs further reduction. Furthermore, many calculation mistakes existed in ITTO budget by component as well as in project brief should be reformulated. The table of budget by activity should use the format that ITTO required; and
7. Include an Annex that shows the overall assessment and specific recommendations of the 43<sup>rd</sup> 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 633/12 (M)

**Fruits of African Forests  
Group 6 within the PROTA Programme (Gabon)**

**Assessment by the Forty-third Panel**

A) Overall Assessment

The Panel noted that the proposal, submitted through the Government of Gabon and to be implemented by the Plant Resources of Tropical Africa (PROTA), an international not for profit foundation in The Netherlands, was about improving access to interdisciplinary data on some 600 fruit trees of tropical Africa as a basis for sustainable tropical forest management and to improve networking leading to better cooperation and information exchange between forest actors. The proposal fell under PROTA Group 6 – Fruits, one of the sixteen (16) commodity groups being developed under PROTA of which Parts 1 and 2 of PROTA Group 7 – Timbers had and was being implemented with ITTO funding respectively through PD 264/04 Rev.3 (M,I) ‘Timbers of Tropical Africa Part 1: Group 7(1) within the PROTA Programme’ (Ghana) which had been completed and ex-post evaluated and PD 479/07 Rev.2 (M) ‘Timbers of Tropical Africa Part 2: Group 7(2) within the PROTA Programme’ (Ghana) which was nearing completion.

In its assessment of Part 1: Project Context, the Panel noted that the title of the proposal as stated did not indicate what it wanted to do and achieve. The indication that the coverage of the proposal of some 600 fruit trees of which many were also timbers would require a clarification as to whether and to what extent this would overlap with Group PROTA 7 (1) and (2) – Timbers. The mere reference to relevant ITTO’s objectives and priorities should be substantiated with a clear explanation of the relevance of the proposal to these objectives and priorities. The write-up on the relevance of the proposal to Gabon’s policies was grossly inadequate and inaccurate as it actually dealt almost entirely with the policies of PROTA and other regional initiatives in Tropical Africa. While a map indicating the geographical location of the proposal was provided, there was hardly any description of the focus of the proposal, which was said to cover more than forty (40) countries and how the proposal would benefit these countries. The write-up on social, cultural, economic and environmental aspects could be presented separately and expanded by including some of the details provided on page 7 under problem analysis.

As for Part 2: Project Rationale and Objectives, the stakeholder analysis as presented was grossly inadequate particularly in respect of stakeholders representing the industry, trade and indigenous people and should be strengthened and presented in a comprehensive stakeholder analysis table. Problem analysis could also be strengthened by providing clearer explanation of the key problem and its linkage to the main causes and effects and by supplementing the problem tree with a solution (objective) tree to serve as the basis for the formulation of the development objective, specific objectives, outputs and logical framework matrix. As stated, the development objective appeared to be more like a specific objective while the specific objectives could be consolidated to not more than two. The impact and outcome indicators as presented were lacking in terms of time-line as well as quantitative and qualitative targets.

With regards to Part 3: Description of Project Interventions, the overall presentation was satisfactory. However, the disparity in the budget for project personnel and subcontract in Africa vis-à-vis in Europe was acute and would likely create dissatisfaction among personnel in Africa as was the case with PD 264/04 Rev.3 (M,I) and PD 479/07 Rev.2 (M). While it was indicated that counterpart funding of US\$343,511 was to be provided by PROTA and the Government of Gabon, their respective contributions were not clearly indicated in Table 4. On sustainability, some doubt was raised regarding the continued funding of PROTA Group 6 beyond its funding under the proposal and further convincing explanation would be required on how PROTA and its network would be able to maintain, update and further develop the data to be generated under the proposal beyond its duration and implementation.

Concerning Part 4: Implementation Arrangements, the Panel recognized the need for elaboration of the dissemination of project results and mainstreaming project learning with a view to ensuring its impact would go beyond the realm of the academia and research bodies to also cover practitioners particularly in trade, industry and the private sector as well as local groups and indigenous people. As the scope of the proposal would cover many countries in Tropical Africa, there would be a need for the proponent to provide evidence of support (letters of support) from these countries to ensure that the implementation of this regional and trans-continental (Africa-Europe) project could be facilitated.

B) Specific Recommendations

To further enhance the proposal, the Panel recommended that the proposal be revised in accordance with the overall assessment above and the following recommendations:

1. Refine the title of the proposal.
2. Determine whether and the extent to which PROTA Group 6 – Fruits would overlap with PROTA Group 7(1) and (2) and provide appropriate clarification and measure(s) to avoid or minimise the potential overlap.
3. Provide clearer explanation of the relevance of the proposal to ITTO's objectives and priorities.
4. Provide clear description and explanation of the relevance of the proposal to Gabon's policies.
5. Provide description of the focus of the proposal and how it will benefit more than forty (40) countries in Tropical Africa.
6. Expand and strengthen the sub-section on social, cultural, economic and environmental aspects separately under each of these specific aspects.
7. Strengthen and refine the stakeholder analysis and provide a comprehensive stakeholder analysis table.
8. Strengthen and refine the problem analysis and provide clear explanation of the key problem and its linkage to the main causes and effects.
9. Supplement the problem tree with a solution (objective) tree.
10. Refine the development objective.
11. Consolidate the specific objectives to not more than two (2).
12. Refine the Logical Framework Matrix accordingly.
13. Include appropriate time-line as well as quantitative and qualitative targets for the impact and outcome indicators in the matrix.
14. Mitigate and reduce the disparity in the budget for project personnel and sub-contract between those in Africa and Europe.
15. Provide measures to mitigate risks which could affect the sustainability of the proposal beyond its duration and implementation.
16. Expand and elaborate measures to optimize the dissemination of project results and mainstreaming project learning.
17. Furnish letters of support from governments of those countries which will be covered by the proposal.
18. Include an Annex that shows the overall assessment and specific recommendations of the 43rd 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 pre-project requires essential modifications and will be returned to the proponent. The Panel will need to assess the revised proposal before it can commend it to the Committee for final appraisal.

PD 636/12 (M)

**Promotion of Sino-African Collaboration to Improve Forest Governance (Gabon)**

**Assessment by the Forty-third Panel**

A) Overall Assessment

The Panel recognized that the aim of the project is to contribute to the harmonization of incentive and regulatory frameworks for sustainable forest resources management, trade and investment in forestry in the Congo Basin and between the Congo Basin and China to strengthen the FLEGT process, to improve the diversification of the inter-regional timber trade from sustainably managed forests while reducing poverty. However, many critical incoherencies and weaknesses were pointed out in the project proposal.

The Panel noted that the project is trying to bring Chinese operators and two selected countries (RC and Gabon) on the path of forest law enforcement and sustainable forest management, but as the title of the project is on Sino-African collaboration, other countries in the Congo Basin and relevant Chinese operators active in the forest sector should be also included in the project proposal, rather than being limited on only two countries (RC and Gabon). Moreover, as previous initiatives on the same topic have been already taken in the region, the project proposal failed to identify the main achievements obtained and to explain what would be the added value and how to avoid duplications for this new project.

The Panel also noted that the stakeholders and problem analysis in the project proposal were not clearly elaborated. The stakeholder analysis was quite exhaustive but there was no element showing that the stakeholders had been consulted and they were convinced by what the project wants to achieve. The problem analysis lacks consistency between the causes, problems and effects and the problem tree needs to be significantly improved (no clear causes/effects relationship).

The Panel also noted that the Logical Framework was not well formulated based on the weak problem and stakeholder analysis. The development objective appeared to be designed unclearly and too broadly while the specific objective was imprecise and incoherent. The indicators of the development objective and specific objective do not closely reflect the impact and outcome of the project and the indicators for the specific objective should be more precise. Moreover, outputs and activities seemed ill-formulated due to confusions between objectives, outcomes, outputs and activities.

The Panel also noted that the following implementation arrangements were weak and unclear: specific roles and responsibilities of all the governments and institutions involved (no MoU produced), collaboration with COMIFAC, project implementation approach, the relationship between the EA and other actors (especially the private operators which should have been identified and presented in the project proposal) and how to collaborate with governments and COMIFAC as well as other regional actors.

The Panel further noted that some other critical weaknesses existed in the following sections and sub-sections of the project proposal: origin and relevance to ITTO not sufficiently explained, target area not identified, socioeconomic aspects need to be further analyzed, expected outcomes need to be more realistic and clarify how they involve a wider number of operators, the project budget needs more streamlined particularly for the personnel and travel cost, some budget tables also do not use the appropriate format.

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.

### Assessment by the Forty-third Panel

#### A) Overall Assessment

The Panel considered the modifications contained in the revised pre-project proposal in response to the comments and specific recommendations made by the Forty-first Expert Panel. It was the opinion of the Panel that those comments and recommendations related to the origin of the project, conformity with ITTO's objectives and priorities, relevance to the submitting country's policies, implementation arrangements and terms of reference of personnel and consultants funded by ITTO had been adequately addressed in the revised proposal, save for its linkage to relevant on-going projects such as the Social Agreement Pilot Project.

It was, however, noted that the modifications made to the key components of Part 2 (Justification of the Pre-project) and Part 3 (Pre-project Interventions) of the proposal were clearly in need of further improvement. Preliminary problem identification had not been adequately presented, with the mere listing of too many key problems which, together with their main causes and effects, were not clearly described. There was, therefore, a need for these problems to be consolidated and preferably integrated into a single key problem with its main causes and effects as well as groups affected by it clearly presented. Due to the weak problem identification, the development objective of the proposal suffered from a lack of clarity of its actual intention and linkage to its specific objective and title. As a result, the proposal as a whole remained unclear of what it hoped to solve and achieve.

There was no modification made to Table 1 (Activities, inputs and unit costs) and Table 2 (Work Plan) as recommended by the Forty-first Expert Panel. Consequently, the proposal remained saddled with too many activities which could benefit from consolidation and reduction. Information on unit costs for some of these activities was also not included. An attempt was made to complement Table 3.51 which had erroneously been entitled 'Project Budget by Activity' whereas it appeared more like a budget by component, with Table 4 also erroneously entitled as 'Project Budget per Activity and Component' while it appeared more like a budget by activity. Even so, Table 4 as presented was incomplete, with the budget for some activities identified under Table 1 and Table 2 conspicuously missing. Accordingly, the budget by activity, component and source for the proposal needed to be drawn up again.

#### B) Specific Recommendations

The proposal should be further revised, taking into account the overall assessment above and the following recommendations:

1. Improve preliminary problem identification with a view to arriving at one key problem together with its causes and effects clearly described for example; lack of baseline data on affected stakeholders and potential sites.
2. Further refine the development objective of the proposal in a clear and concise manner consistent with the preliminary problem identified.
3. Consolidate and reduce the number of activities and provide complete information on inputs and unit costs.
4. Revise the work plan in accordance with (2) and (3) above.
5. Reformulate the budget by activity, component and source of the proposal, adhering to the guidance on the ITTO Manual for Project Formulation; and
6. Include an Annex that shows the overall assessment and specific recommendations of the 43rd 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 pre-project requires essential modifications and will be returned to the proponent. The Panel will need to assess the revised proposal before it can commend it to the Committee for final appraisal.