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

**Fifty-first Meeting**

**1 – 5 February 2016, Yokohama, Japan**

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

**1. TERMS OF REFERENCE**

- 1.1 The Expert Panel (ITTC/EP-51) 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 Fifty-first Panel appraised the proposals and classified them according to categories listed in **Appendix II** applying the current consolidated version of the scoring system summarized in **Appendix V** and **Appendix VI**.

**2. PANEL MEMBERSHIP**

- 2.1 The Fifty-first Expert Panel was attended by members listed in **Appendix IV**. Mr. Eric Kaffo Nzouwo (Cameroon) chaired the meeting.

**3. APPRAISAL PROCEDURES AND CRITERIA**

- 3.1 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**).
- 3.2 In accordance with past practice, each Project or Pre-project Proposal was introduced by two Panel members (one from a Consumer country and one from a Producer 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.
- 3.3 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.

**4. APPRAISAL AND ASSESSMENT CARRIED OUT**

- 4.1 Forty (40) projects and three (3) pre-projects (total of 43) proposals were received for appraisal by the Fifty-first Expert Panel. The overall list of 43 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 (RFM) (26) then with those related to Economics, Statistics and Markets (ESM) (11) and finally with those related to Forest Industry (I) (6). This arrangement facilitated the appraisal as well as the formulation of the overall assessment and specific recommendations for each proposal listed in the **Annex** of this report.
- 4.3 The assistance provided by the ITTO Secretariat in addressing previous deliberations and necessary background information 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 meeting's results, the Panel requested the Secretariat to provide the following information and documents to all countries who have submitted proposals:
- The Overall Assessment and Specific Recommendations on each proposal submitted by the country (**Annex**);

- General findings and final categories commended by this Panel (section 5 and **Appendix III** of this report).
- 4.5 General findings and recommendations of the Fifty-first Expert Panel, as derived from the appraisal of 43 proposals, are listed in section 5.
- 4.6 The Panel heartily appreciated the willingness of the Secretariat to work effectively for very long hours whereby full deliberation of the 43 proposals and the success of this Fifty-first Panel were made possible.

## 5. GENERAL FINDINGS AND RECOMMENDATIONS

Finding n°1: The Panel noted that the **quality** of the proposals was **variable**, which is reflected by the fact that:

- twelve (12) Proposals (28 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: 1 pre-project and 19 Project Proposals (46 percent of the total) will be sent back to proponents for essential revisions, rated as category 2;
- eleven (11) Proposals: 2 pre-project and 9 Project Proposals (26 percent of the total) were commended to the Committee for final appraisal with minor modifications required (category 1), three (3) were new projects and eight (8) were revised submissions .

See paragraph 7, pie chart "*proposals by category*".

Besides, the Panel also noted the high share of projects dealing with reforestation and forest management (RFM), namely 60%, see pie chart "*proposals by Committee area*".

Finding n°2: The Panel noted that proposals were mainly foreseen to be executed by government agencies, but also to a lesser extent by NGOs, timber associations and local community organizations addressing the various needs of the countries at the national, regional, and local levels.

Finding n°3: Most Project Proposals dealt with rather conventional themes for ITTO. The panel noted the submission of few transnational proposals.

Findings n°4: A large number of Project Proposals charged a high share of personnel costs to ITTO. Indeed costs for consultants, subcontracts, and especially capital items (e.g. vehicles) often appeared to be unjustified.

Finding n°5: The Panel noticed that gender issues are mostly not being incorporated in Project Proposals.

Finding n°6: The Panel noted that a high number of proposals failed.

Finding n°7: A failure to address project sustainability after completion was a common problem, and the knowledge management component of the projects was not properly addressed.

Finding n°8: The Panel noted that numerous proposals didn't fully utilize the ITTO Manual for project formulation (inconsistency of headers, length and contents of chapters, maximum total length of the proposal), as well as often did not follow the relevant guidelines.

Finding n°9: The Panel noted that numerous proposals did not adequately state clear roles and responsibilities of the government agencies, NGOs and timber associations collaborating on the implementation.

Finding n°10: The Panel noted the proponents are having difficulties in using the tools that ITTO provides for project formulation specifically Protool as related to the construction of the budget.

Finding n°11: The Panel noted that in most cases the focal point did not give due attention in screening the proposals before the submission.

Finding n°12: The Panel noted that some new member countries had difficulties to elaborate project proposals according to ITTO standards.

Finding n°13: The Panel noted that there were only proposals of a few member countries. The Panel also noted that some countries submitted a high number of proposals.

**Recommendations:**

*For the Secretariat:*

1. The Panel recognizes that formulating proposals in accordance with the ITTO Manual for project formulation may be a complex process. The Secretariat should encourage the countries to seek guidance from their ITTO country focal points. The Panel also recommends that the Secretariat translates Protocol into French and Spanish at the soonest.
2. The Panel encourages the Secretariat to harmonize the Protocol and the 3<sup>rd</sup> edition of the manual. Furthermore, the manual needs some revision, with special attention to Item 83 of the budget component "ITTO Programme Support Costs" (now 12%).
3. The Secretariat should encourage member countries, especially new ones, to request training on Project formulation with special attention to Protocol.

*For the Expert Panel:*

1. At the beginning of each Expert Panel (EP) session, the Panel should recall the Terms of Reference, and specific recommendations and findings from the previous EP report. The chairperson is encouraged to follow up on recommendations to the Secretariat and to the Panel.
2. Reviewers should pay special attention to the need of signing-off final recommendation sheets after consulting between themselves.

*For Country Focal Points:*

1. Technical support to the potential proponents is essential for the good formulation of project propositions.
2. It is important that focal points disseminate the ITTO manual and guidelines, the Panel recommendations, and several previous Expert Panel reports to every potential proponent.
3. It is also important that focal points fully and carefully screen the proposals, especially the revised ones, according to the ITTO Manual, before submitting them to ITTO.
4. It appears necessary to disseminate information to relevant institutions regarding ITTO Project funding possibilities.

*For the Project Proponents:*

1. Always seek the guidance of the country focal point before formulating a project proposal.
2. Carefully review and follow the Manual for project formulation (Third Edition 2009) in English, French, and Spanish, and use Protocol., with special attention to: problem analysis, logic framework matrix, budget plan. To the extent possible, indicators should be SMART (Specific, Measurable, Appropriate, Realistic, and Time-bound).
3. Where applicable, relevant ITTO guidelines should be explicitly referenced in the Project Proposals.
4. Pay special attention to Item 83 of the budget component "ITTO Programme Support Costs" (now 12%).
5. Where previously approved Project Proposals are directly relevant to the proposal in question (the searchable data tool "Project Search" [[www.itto.int/project\\_search](http://www.itto.int/project_search)] could be consulted), they should be explicitly referenced in the proposal.

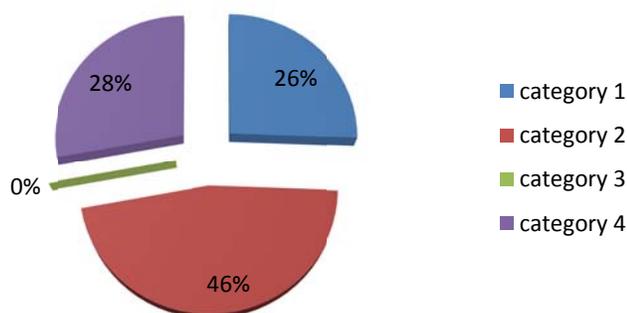
6. Always take into consideration to the extent possible gender issues that promote womens' participation in the project.

## 6. EXPERIENCE FROM APPLICATION OF THE APPRAISAL SYSTEM

As already pointed out by the report of the 39th session of the Expert Panel (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 charts:



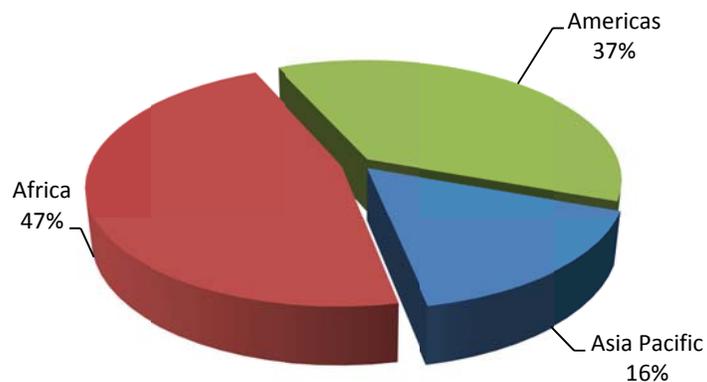
### Summary of Project and Pre-project Proposals submitted to the Fifty-first Expert Panel by Region

Region	Project Proposals				Pre-project Proposals				Total
	RFM	FI	ESM	Total	RFM	FI	ESM	Total	
<i>Americas</i>	9	1	5	15	1	-	-	1	16
<i>Asia Pacific</i>	2	4	-	6	1	-	-	1	7
<i>Africa</i>	12	1	6	19	1	-	-	1	20
<b>Total</b>	<b>23</b>	<b>6</b>	<b>11</b>	<b>40</b>	<b>3</b>	<b>-</b>	<b>-</b>	<b>3</b>	<b>43</b>

RFM = Reforestation and Forest Management

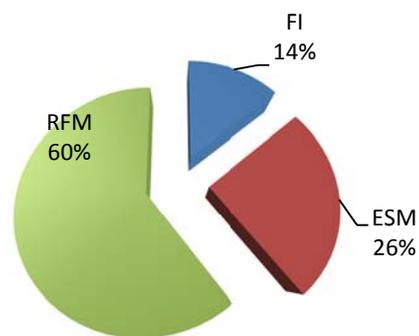
FI = Forest Industry

ESM = Economics, Statistics and Markets



**Decisions of the 51<sup>st</sup> Expert Panel on Project and Pre-project Proposals by Committee Area**

Category	Committee			Total
	RFM	FI	ESM	
<i>Projects</i>				
1	6	2	1	<b>9</b>
2	10	3	6	<b>19</b>
3	-	-	-	-
4	7	1	4	<b>12</b>
<b>Total</b>	<b>23</b>	<b>6</b>	<b>11</b>	<b>40</b>
<i>Pre-projects</i>				
1	2	-	-	<b>2</b>
2	1	-	-	<b>1</b>
4	-	-	-	-
<b>Total</b>	<b>3</b>	-	-	<b>3</b>



**Decisions of the 51<sup>st</sup> Expert Panel on Project and Pre-project Proposals by Submitting Country**

Country	Category				Total
	1	2	3	4	
Benin	2	1	-	1	4
Cameroon	1	-	-	3	4
Costa Rica	-	1	-	-	1
Costa Rica / Panama	-	-	-	1	1
Cote d'Ivoire	-	2	-	-	2
Ecuador	-	6	-	1	7
Ghana	(1)+1	3	-	3	8
Guatemala	-	(1)+1	-	-	2
Honduras	1	-	-	1	2
India	(1)	-	-	-	1
Indonesia	3	1	-	-	4
Mali	1	-	-	1	2
Peru	-	2	-	1	3
Viet Nam	-	2	-	-	2
<b>Total</b>	<b>(2)+9</b>	<b>(1)+19</b>	<b>-</b>	<b>12</b>	<b>43</b>

Note: Parenthesis indicates pre-project.

## APPENDIX I

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

The Panel shall:

- (i) Assess new Project and Pre-project Proposals submitted to the organization. The recommendations for amendments to these proposals shall be made by the Expert Panel exclusively for the purpose of ensuring their technical soundness;
- (ii) Screen the Project Proposals for their relevance to ITTO's Action Plan and Work Programs (in the areas of Economic Information and Market Intelligence, Reforestation and Forest Management, and Forest Industry), and consistency with ITTO decisions and policy guidelines, but not otherwise prioritize them;
- (iii) Where reformulation involving major amendments is recommended, request to carry out a final appraisal of the revised versions of Project and Pre-project Proposals, prior to their presentation to the relevant ITTO Committees;
- (iv) Report on the results of the technical assessment of Project and Pre-project Proposals to the 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 2013-2018 including:
  - Guidelines for the Establishment and Sustainable Management of Planted 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;
  - ITTO/IUCN Guidelines for the Conservation and Sustainable Use of Biodiversity in Tropical Timber Production Forests, 2009; and
  - Voluntary Guidelines for the Sustainable Management of Natural Tropical Forests, 2015.

## 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**  
**Fifty-first Expert Panel**

<b>Project No.</b>	<b>Title</b>	<b>Country</b>	<b>Category</b>
PPD 184/15 Rev.1 (F)	Development of Payment for Environmental Services Scheme for Local Community Groups and Private Developer Forest Plantations in Degraded Lands, Ghana	Ghana	1
PPD 185/16 (F)	Saving Timber Yielding RET Species of Western Ghats, India by Promoting Agro-forestry and Reforestation of Degraded Lands	India	1
PPD 186/16 (F)	Establishment of Enabling Conditions for the Restoration and Sustainable Development of Forests in the Southern Area of the Sierra de Lacandon National Park, Maya Biosphere Reserve, Guatemala	Guatemala	2
PD 769/15 Rev.2 (F)	Governance and Local Community Participation in Mangrove Forest Management and Restoration in the Gulf of Fonseca, Honduras	Honduras	4
PD 776/15 Rev.1 (F)	Enhancement of the Wildland Fire Prevention and Control System for the Sustainable Management of ONAB's Plantations	Benin	1
PD 780/15 Rev.2 (F)	Sustainable Indigenous Mixed Species Reforestation, Plus Climate-Resilient Women Livelihoods in Six Rural Communities in Ghana's Akwapim and Upper Krobo Districts	Ghana	1
PD 787/15 Rev.1 (F)	Community Forest Management in the Forest Regions of Olancho, Gualaco, Atlantida and Yoro, Honduras	Honduras	1
PD 797/15 Rev.1 (F)	Participatory Development, Conservation and Rehabilitation of Degraded Forest Landscapes in the Bamboutos Highlands, West Cameroon	Cameroon	4
PD 799/15 Rev.1 (F)	Gender Mainstreaming in the Development of Actions to Control Deforestation and Forest Degradation in Central Africa	Cameroon	4
PD 802/15 Rev.1 (F)	Building the Capacity of Local Village Communities for the Restoration, Management and Governance of the Founou and Wani Forest Reserves in the Macina District, Segou Region, Mali	Mali	1
PD 807/16 (F)	Support to the Rural Communities through Agroforestry Reforestation on 900 HA in the Yamoussoukro District, Regions of Tchologo and Belier	Cote d'Ivoire	2
PD 808/16 (F)	Conservation of African Barwood ( <i>Pterocarpus Erinaceus Poir</i> ) in the Forest Reserves of la Palee and Boundiali in Northern Cote D'Ivoire with the Participation of Local Communities	Cote d'Ivoire	2
PD 810/16 (F)	Making Forest Relevant for People: Empowering Local Communities to Contribute to Forest Law Compliance in Ghana	Ghana	2
PD 811/16 (F)	Susa Range Forest Restoration Project	Ghana	4

PD 812/16 (F)	Promoting Community-level Forest Landscape Planning, Diversification, Restoration and Protection to Reduce Forest Degradation and Improve Biodiversity and Local Livelihoods	Ghana	2
PD 814/16 (F)	Promoting the Sustainable Production and Utilization of Mahoganies for Timber and Non-Timber Products by Industrial and Community Stakeholders in the West African Region	Ghana	4
PD 816/16 (F)	Transboundary Rural Landscape Restoration in Costa Rica and Panama for Biodiversity Conservation and Ecosystem Goods and Services Production	Costa Rica Panama	4
PD 818/16 (F)	"Boss - Cushabatay" Project – Forest Management and Restoration in the Cushabatay Basin on the Eastern Slope of the Cordillera Azul National Park (PNCAZ), Peru	Peru	2
PD 822/16 (F)	Production, Conservation and Sustainable Management of Forest Seeds in Benin	Benin	1
PD 824/16 (F)	Promoting Sustainable Development and Utilization of Kemenyan ( <i>Styrax</i> spp.) Resource Involving Local Stakeholders in Toba Region of North Sumatra Province, Indonesia	Indonesia	1
PD 825/16 (F)	Safeguarding Ecosystem, Species and Genetic Diversity of Selected Conservation Areas through the Development of Cost-effective Method for Data Collection and Monitoring System	Indonesia	2
PD 826/16 (F)	Sustainable Forest Management in the Condor Range, Morona Santiago, Ecuador	Ecuador	2
PD 827/16 (F)	Establishing a Local Economy Based on Sustainable Forest Management, Promoting Economic Development and Offering an Effective Alternative to Deforestation in Amazon Communities	Ecuador	2
PD 828/16 (F)	Land Management, Sustainable Forest Management and Commercial Production in Kichwa and Siekopai Communities of the Ecuadorian Amazon Region	Ecuador	2
PD 829/16 (F)	Reducing Biodiversity Loss Caused by Deforestation and Tropical Forest Degradation	Ecuador	4
PD 831/16 (F)	Participatory Forest Management Research and Practical Training Scenarios for Foresters in the Tropical Moist Forest of Nangaritza - Ecuador	Ecuador	2
PD 761/14 Rev.1 (I, M)	Promoting Partnership Between Farmer Group and Forest Industry	Indonesia	1
PD 784/15 Rev.1 (I)	Sustainable Development of Vietnam Wood Processing Industry by Codifying the Database	Viet Nam	2
PD 788/15 Rev.1 (I)	Achieving Sustainable Forest Management through Enhanced Competitiveness of Small & Medium Wood Industries (SMWIs) in Ciamis District of West Java Province, Indonesia	Indonesia	1
PD 815/16 (I)	Strengthening Efficiency in Acacia Processing in Viet Nam	Viet Nam	2

PD 820/16 (I)	Strengthening of the Timber Production–Marketing System to Improve Business Competitiveness on a Sustainable Basis in Southern Peru	Peru	4
PD 823/16 (I)	To Promote the Processing and Marketing of Gmelina Arborea Timber in Benin	Benin	2
PD 791/15 Rev.1 (M)	Community Forest Landscapes and Small Enterprises Contributing to Legal Timber Trade in Ghana	Ghana	2
PD 795/15 Rev.1 (M)	National Participatory Inventory of Forest Species to Support the Development of Public Forest Management Policies in Ecuador: A Case-Study on <i>Swietenia Macrophylla</i>	Ecuador	2
PD 796/15 Rev.1 (M)	Establishing a System for the Collection, Storage, Processing and Dissemination of Forest and Wildlife Statistics in Cameroon	Cameroon	1
PD 800/15 Rev.1 (M)	Enhancing the Dissemination of Forest Information and Building Institutional Capacities	Cameroon	4
PD 809/16 (M)	Building the Capacity for Forest Law Enforcement and Local Governance in the Industrial and Commercial Use of Wood and Timber in the Segou Region, Mali	Mali	4
PD 813/16 (M)	Improving the Co-functioning of Voluntary Forest Certification and FLEGT-VPA Initiatives for Sustainable Forest Management in Ghana	Ghana	4
PD 817/16 (M)	Strengthening of the Timber Value Chain by Small and Medium Producers in the Caribbean Region of Costa Rica	Costa Rica	2
PD 819/16 (M)	Market Survey for Forest Products and Services in Peru	Peru	2
PD 821/16 (M)	Certification of Forest Plantations Managed by the Office National du Bois (ONAB)	Benin	4
PD 830/16 (M)	Pilot Project for Forest Chain Traceability in Northern Esmeraldas, Ecuador	Ecuador	2
PD 832/16 (M)	Implementing Mechanisms to Improve Traceability in the Forest Production Chain in Guatemala	Guatemala	2

APPENDIX IV

MEMBERSHIP OF THE FIFTY-FIRST MEETING OF THE EXPERT PANEL  
FOR TECHNICAL APPRAISAL OF PROJECT PROPOSALS  
Yokohama, 1 – 5 February 2016

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

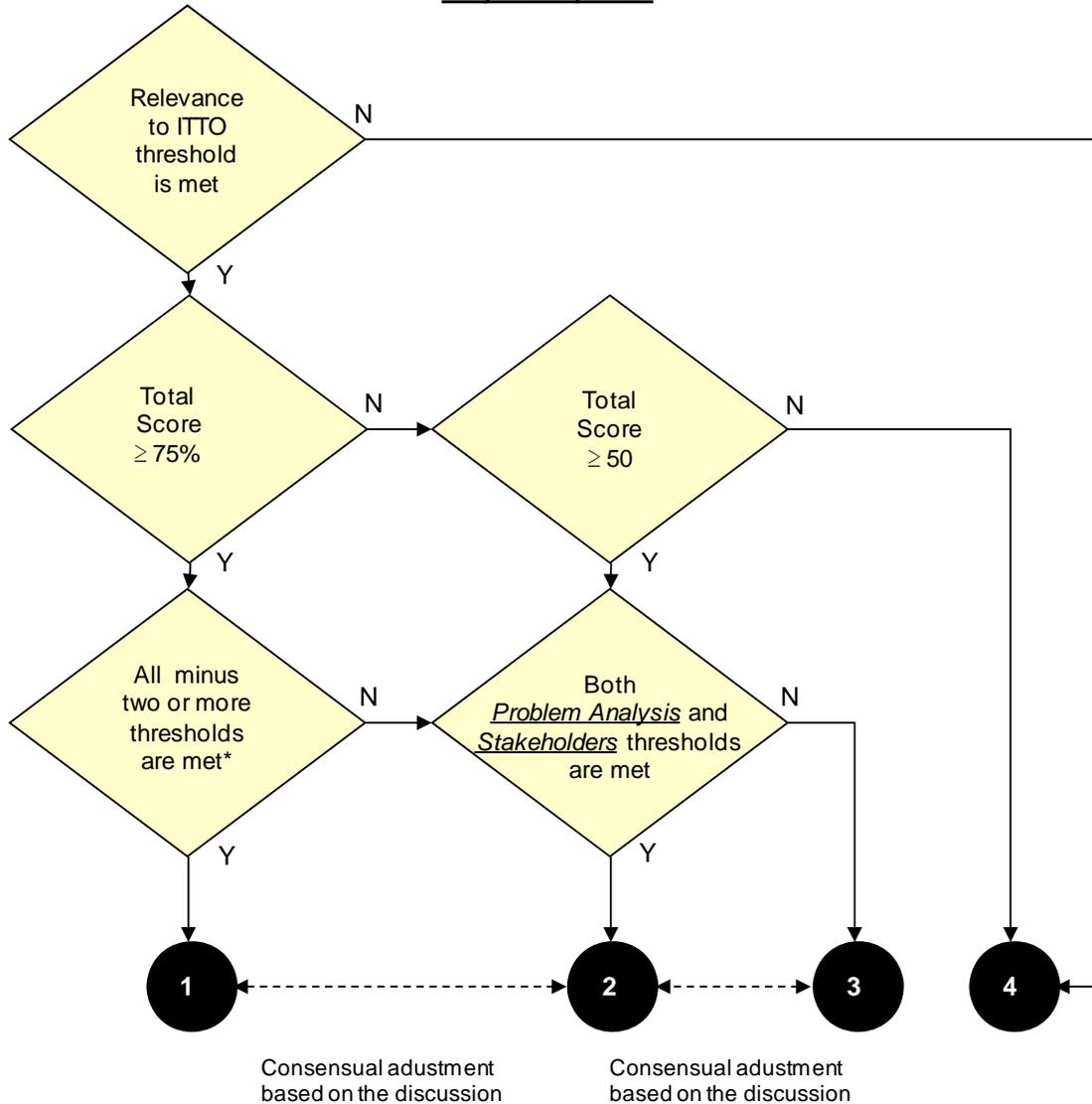
- Marks indicate:
- 0 - Information is completely missing
  - 1 - Very poor: some elements are there but the essential ones are missing
  - 2 - Poor: essential elements are incomplete, insufficient, wrong or misunderstood
  - 3 - Moderate: essential elements are available but unclear or inaccurate
  - 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 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

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

**Project Proposals**

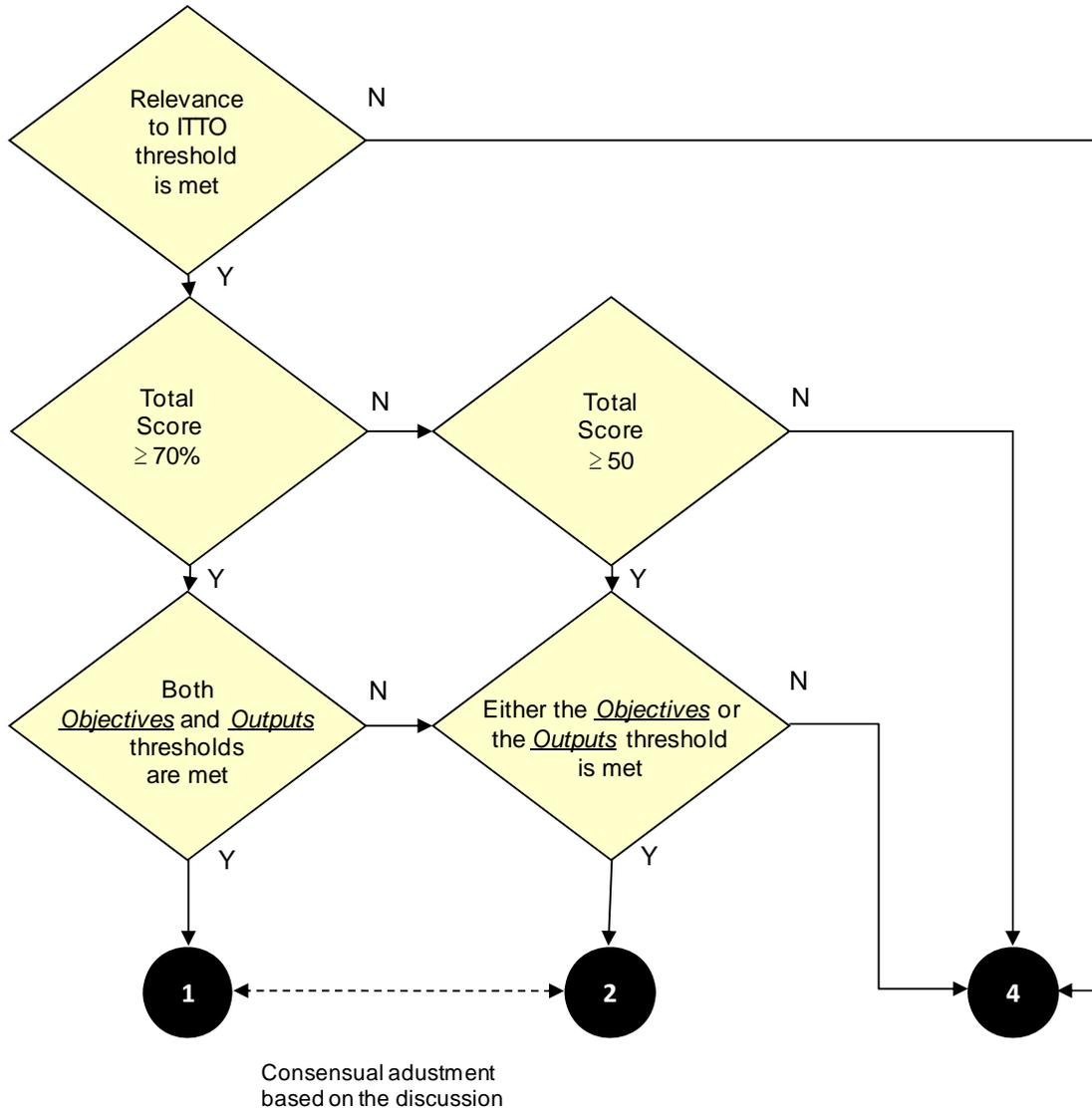


\*Thresholds failed cannot be any two among the following three:

- 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 Fifty-first Expert Panel on each Project and Pre-project Proposal**

Assessment by the Fifty-first Panel

A) Overall Assessment

While the Panel recognized the efforts of the proponents, a fundamental problem is still prominent in the project proposal, particularly in the logical sequence starting from the problem analysis to the identification of objectives, outputs and activities. Because the ITTO budget has been significantly reduced to lower US\$ 150,000, the proposed project has fallen into the category of small project; therefore, the recommendation made by the Panel at its 50<sup>th</sup> meeting on the problem tree and the objectives trees does not apply to this project proposal any more. However, a systematic analysis of the problems and careful identification of project objectives and interventions, which is the key to the successful implementation and sustainability of the project, is not well demonstrated yet in this project proposal.

The Panel also recognized that the proposal has not properly addressed some of other recommendations forwarded by the Panel. These include: development of adequate impact indicator; correction of quarter numbers in the work plan; maintenance of consistency between budget tables, proper calculation of ITTO programme support costs; and attachment of an Annex on the recommendations and modifications, as well as the indication of modifications in the text.

Moreover, the Panel noted the need for further amendments in the proposal, including: removal of Activity 3.4 from the work plan; change in the section number from 3.4 to 3.5; and shift of project personnel costs from sub-contractor category to project personnel category.

Given the above mentioned points, the Panel was of the view that the project proposal should be reformulated in accordance with the guidance of the ITTO Manual for Project Formulation (Third Edition), particularly due to the fundamental weaknesses of the project proposal.

B) Conclusion

Category 4: The Panel concluded that a reformulation of the Project Proposal is essential and the Panel will need to assess the reformulated proposal before it can commend it to the Committee for appraisal.

Assessment by the Fifty-first Panel

A) Overall Assessment

The Panel recognized the significant improvement made in revising the project proposal in accordance with the overall assessment and specific recommendations of the 47<sup>th</sup> Expert Panel meeting. Almost all specific recommendations have been addressed and have improved the following proposal sections and sub-sections: correlation with ITTO Strategic Action Plan, stakeholder analysis problem analysis/tree, description of outcomes, development and specific objectives, new LFM, assumptions, risks and sustainability, budget. It reiterated the relevance of the proposal, dealing with the wildland fire prevention and control system in Benin, as wildland fire could be considered as one of the main causes of forest degradation in Benin.

The Panel noted that the problem analysis was improved but there was still a need to explain how to address issues linked to the following statements: "lack of motivation of fire brigades" and "poor governance issues do promote fire occurrences". The Panel also noted that the elaboration of strategic implementation approaches and methods (Section 3.2) was still very broad and unspecific and did not provide appropriate information regarding the accompanying measures for maintenance of fire break strips around and within the forest plantations. There was a need to provide a detailed list of equipment and materials (item and related price) to be purchased, as an annex, in order to facilitate the assessment of the ITTO budget. The listed equipments and materials should be justified in the strategic implementation approach and methods. Beyond the intended measures to control and prevent forest fires, it could be essential to sensitize the young generation in fringe communities towards the harmfulness of wildland fires, as fire-related practices were rooted in the habits of communities in Benin.

In addition, the Panel expressed its concern about the the maintenance of the water tank trucks which would be a key tool for the project implementation. It could be assumed that the truck and some equipment could already need maintenance during the project implementation, but there was no budget line for that purpose in both contributions (ITTO and Executing Agency). Finally, the Panel was wondering whether it could be efficient to purchase a water tank truck or a 4-wheel drive pick-up with a water tank and a pump on the loading platform in relation to difficulties to access the project sites.

B) Specific Recommendations

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

1. Improve the problem analysis by providing clear explanation on the issues linked to the following statements: "lack of motivation of fire brigades" and "poor governance issues do promote fire occurrences";
2. Subsequent to the first specific recommendation, improve the key assumptions of the Logical Framework Matrix for the Output 1 and Output 3;
3. Further elaborate the Section 3.2 (strategic approaches and methods) by taking into account the comments made in the above overall assessment;
4. Subsequent to the above second specific recommendation, further improve the Section 3.5 (assumptions, risks and sustainability) in correlation with the improvement of key assumptions made in the Logical Framework Matrix for the Output 1 and Output 3;
5. Revise the ITTO budget in line with the above overall assessment and specific recommendations and also in the following way:
  - a) Remove the budget item 11.1 (Project Coordinator) from the ITTO budget as it should be covered by the counterpart contribution,
  - b) Adjust the budget items regarding capital goods in relation the list of equipment and materials,
6. Include an Annex that shows the overall assessment and specific recommendations of the 51<sup>st</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.

PD 780/15 Rev.2 (F)

**Sustainable Indigenous Mixed Species Reforestation, Plus Climate-Resilient Women Livelihoods in Six Rural Communities in Ghana's Akwapim and Upper Krobo Districts**

Assessment by the Fifty-first Panel

A) Overall Assessment

The Panel recognized the proponent's effort to address the comments in the overall assessment and most specific recommendations made by the Fiftieth Expert Panel. However, the Panel noted that there were still a need to improve and amend some sections and sub-sections of this gender-oriented project, which could be dealing with the reforestation using indigenous species and involving women groups in six rural communities in Ghana's Akwapim and Upper Krobo Districts.

The Panel also noted that the project proposal contained a number of weaknesses in the following sections and sub-sections: (1) expected outcomes at project completion still not elaborated in correlation with the outcome indicators of the specific objective as recommended by the ITTO manual for project formulation and also presenting a table with figures not well explained; (2) further explanation still needed in the stakeholder analysis on how the six rural women groups were selected in view of their involvement in the project implementation and particularly in relation to the gender-based differences in forest resource access; (3) ITTO budget with the highest proportion assigned to the remuneration of personnel; (4) need to further explain how to sustain forest plantations established by women groups, as well as how to sustain their livelihood, after the project completion, while taking into account the key assumptions mentioned in the logical framework matrix.

B) Specific Recommendations

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

1. Further improve the stakeholders' analysis and related table of stakeholders by providing information in relation to the gender-based differences in forest resource access;
2. Furthermore improve the description of the outcomes at project completion in the section 1.4, mainly in consistency with the outcomes indicators of the specific objective, while avoiding to describe expected outputs and activities;
3. Improve the Sub-section 3.5.2 (sustainability) by further explaining how to sustain forest plantations to be established by women groups, as well as how to sustain their livelihood, after the project completion, in accordance with the key assumptions made in the logical framework matrix;
4. Prepare the ITTO budget in line with the above overall assessment **and** specific recommendations and also in the following way:
  - a) Reduce the ITTO budget by transferring some budget costs from ITTO contribution to the counterpart contribution [project coordinator (budget item 11), electricity and water (budget item 53.1) and simple field office furniture (budget item 54.2)] and also by reducing by half the remuneration of the remaining personnel (budget items 12, 13, 14, 15, 16, 17 & 18),
  - b) Adjust the budget item 81 to the standard rate of US\$10,000.00 instead of US\$12,000.00 per year for the monitoring and review costs (US\$30,000 for 3 years),
  - c) Recalculate the ITTO Programme Support Costs (sub-item 85) so as to conform with standard rate of 12% of the total ITTO project costs (on budget items 10 to 82); and
5. Include an Annex that shows the overall assessment and specific recommendations of the 51<sup>st</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 Fifty-first Panel

A) Overall Assessment

The Panel recalled the importance of the project for promoting the community forest management in the Forest Regions of Olancho, Gualaco, Atlantida and Yoro, Honduras. The Panel noted that most of the recommendations of the Fiftieth Expert Panel have been adequately addressed in the revised proposal. However, the Panel felt that further improvement is needed to enhance the proposal. The indicators in the logical matrix framework were still not well identified to allow the effective monitoring and evaluation of implementation. The risk assessment should be further improved by identifying potential risks and mitigation measures. With regard to the stakeholder involvement mechanism, the Panel felt that there is a need to further elaborate the mechanism to promote the effective engagement of key stakeholders who will strengthen the 22 targeted beneficiary community organizations.

B) Specific Recommendations

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

1. Further improve the logical framework matrix by refining the indicators in a more SMART (specific, measurable, appropriate, realistic and time-bound) way;
2. Delete the description related to the use of “learning–by–doing” techniques in the specific objective as community-based forest management systems have already been recognized as a vital strategy with many lessons;
3. In the work plan, numbering should be provided to each activity in line with Section 3.1.2 (Activities and inputs);
7. Re-arrange the costs for transport–fuel (budget line 610) and vehicle maintenance (budget line 611) by putting them all in the budget by the Executing Agency, instead of shared by ITTO and the Executing Agency. Make sure the inclusion of costs for the preparation and submission of audited financial statements in accordance with the relevant ITTO guidelines;
5. Review the potential project risk in line with the key assumptions in the logical framework matrix;
6. Specify the funding source for the project coordinator in Section 4.1.2 (Project management team) in accordance with the proposed budget;
7. Further elaborate the stakeholder involvement mechanism to ensure the effective engagement of key stakeholders who will strengthen the targeted beneficiary community organizations; and
8. Include an annex that shows the recommendations of the 51st 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 797/15 Rev.1 (F)

**Participatory Development, Conservation and Rehabilitation of Degraded Forest Landscapes in the Bamboutos Highlands, West Cameroon**

Assessment by the Fifty-first Panel

A) Overall Assessment

The Panel acknowledged the relevance of the project intending to contribute to the conservation and rehabilitation of degraded forest landscapes in the Bamboutos highlands in Western Cameroon. However, the Panel noted weaknesses in the most critical project sections and sub-sections: (1) stakeholder analysis not appropriately elaborated and not taking into account the gender balance as women are just mentioned without explaining what could be their roles and responsibilities in the project implementation; (2) logical framework matrix with most of the indicators not SMART (specific, measurable, appropriate, realistic and time-bound); (3) superficial problem analysis not clearly linked to the problem tree and associated objective tree as it could be expected because of the implementation of a pre-project leading to the preparation of this project proposal; (4) implementation approach and methods not adequately elaborated although the availability of the technical reports prepared during the pre-project implementation; (5) ITTO budget not easy to assess due to the lack of consistency between the sub-causes of the problem tree (turned into activities in the objective tree) and activities listed in the work plan.

This project proposal was supposed to be prepared with the result and findings of the implementation of the completed pre-project RED-PPD 050/11 Rev.1 (F) under the ITTO REDDES Thematic Programme. Therefore, it was questioned by the Panel why some relevant and appropriate findings and results of this completed pre-project were not taken into account during the formulation of this project proposal, in order to avoid the abovementioned critical weaknesses.

B) Conclusion

Category 4: The Panel concluded that it could not commend the proposal to the Committee, and it was of the view that the project proposal should be sent back to the proponent and strongly encouraged the proponent to use the results and findings of the completed pre-project RED-PPD 050/11 Rev.1 (F) which was funded for the purpose of facilitating the formulation of this project proposal.

Assessment by the Fifty-first Panel

A) Overall Assessment

The Panel recognized the importance of this sub-regional project aimed at gender mainstreaming in the development of actions to control deforestation and forest degradation in Central Africa. However, it was noted by the Panel strong weaknesses in the most critical project sections and sub-sections: (1) change of one target country (Republic of Congo replaced by Central African Republic) during the period of the revision of the project proposal without providing information on the identification process leading to the selection of project sites and stakeholders in that new country; (2) problem tree and associated objective tree still confusing in its upper part (above the key problem) and not following the ITTO format; (3) logical framework matrix questionable due the weaknesses of the problem analysis, problem tree and objective tree; (4) lack of consistency between the sub-causes of the problem tree (turned into activities in the objective tree) and activities listed under each output in the work plan; (4) ITTO budget too high and not easy to be assess due to the lack of a master budget table following the ITTO format, while all consultancy works were not justified by terms of reference.

In addition, the Panel was informed that the same executing agency had implemented the REDDES Thematic Programme pre-project RED-PPD 074/12 Rev.1 (F) which contributed to collect and analyze information and data required for the preparation of this project project proposal. Therefore, it was questioned by the Panel why some relevant and appropriate findings and results of this completed pre-project were not taken into account during the formulation of this project proposal, in order to avoid the abovementioned critical weaknesses.

B) Conclusion

Category 4: The Panel concluded that it could not commend the proposal to the Committee, and it was of the view that the project proposal should be sent back to the proponent and strongly encouraged the proponent to use the results and findings of the completed pre-project RED-PPD 074/12 Rev.1 (F) which was funded for the purpose of facilitating the formulation of this project proposal.

PD 802/15 Rev.1 (F)

**Building the Capacity of Local Village Communities for the Restoration, Management and Governance of the Founou and Wani Forest Reserves in the Macina District, Segou Region, Mali**

Assessment by the Fifty-first Panel

A) Overall Assessment

The Panel recognized the relevance of the project and acknowledged that efforts had been made to address the comments in the overall assessment and most specific recommendations made by the Fiftieth Expert Panel. However, the Panel noted that there were still a need for improvement and amendment in some sections and sub-sections of the project proposal intending to build capacity of local village communities for the restoration, management and governance of the Founou and Wani Forest Reserves in the Macina, Segou Region, Mali.

Those improvement and amendment are still needed for the following project sections and sub-sections: (1) lack of consistency between the number sub-causes of Output 1 in the problem tree (which were turned into activities in the objective tree) and the number activities listed under Output 1 in Section 3.1 and also in the work plan (Section 3.3); (2) work plan with sub-activities listed under each activity although not required during the formulation of a project proposal, (3) titles of budget tables were reversed for the budget tables 3.4.1 and 3.4.2; (4) no terms of reference provided for the sub-contractor dealing with the implementation of the development plan and simplified management plan provided in order to justify the amount budgeted in ITTO. In addition, it was noted that page numbers in the table of content were not matching with the location of sections and sub-sections in the document.

B) Specific Recommendations

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

1. Add a map with appropriate scale and indicating clearly the project target sites and municipalities;
2. Adjust the problem tree and associated objective tree by reducing the number of sub-causes under Cause 1 in the problem tree (turned into activities under Output 1 in the objective tree) from 4 to 3 in order to be consistent with the work plan and master budget table;
3. Improve the work plan by deleting all sub-activities listed under each activity, as sub-activities are required only for the preparation of a yearly plan of operation for the project implementation;
4. Add the terms of reference for the sub-contractor dealing with the implementation of the development plan and simplified management plan;
5. Adjust the ITTO budget in line with the above overall assessment **and** specific recommendations and also in the following way:
  - a) Put the right title to the right budget table concerning budget tables 3.4.1 and 3.4.2,
  - b) Remove from the ITTO budget and transfer to the counterpart contribution some project costs [project coordinator (budget item 11), telephone/fax (budget item 44), meeting (budget item 64), and evaluation (budget item 65)] and also delete from ITTO budget the travel costs by vehicle (budget item 32.1) and by motorcycle (budget item 32.2) as a vehicle should be purchased for the project implementation,
  - c) Put in the row 81 instead of row 80 the standard rate of US\$10,000.00 per year for the ITTO monitoring and review costs (US\$30,000 for 3 years),
  - d) Recalculate the ITTO Programme Support Costs (sub-item 83) so as to conform with standard rate of 12% of the total ITTO project costs (on budget items 10 to 82); and
6. Include an Annex that shows the overall assessment and specific recommendations of the 51<sup>st</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 Fifty-first Panel

A) Overall Assessment

The Panel acknowledged the relevance of the project intending to contribute to the rehabilitation of the forest cover and the improvement of the living conditions of communities in the central and northern areas of Cote d'Ivoire. However, the Panel noted weaknesses in the following sections and sub-sections: (1) expected outcomes at project completion not complying with the requirements of the manual of project formulation; (2) indicators of outputs not specific, not measurable, not appropriate, not realistic and not time-bound (not SMART) in the logical framework matrix; (3) development objective with its impact indicators not elaborated as required in the manual for project formulation; (4) lack of information in the implementation approach and methods on how the project will contribute to build capacity of local communities and also how the rehabilitation activities will contribute to their livelihood, as well as lack of technical information on species to be used for the rehabilitation activities; (5) ITTO budget too high and not easy to be assessed due to the lack of detailed explanation in the implementation approach and methods; (6) sustainability not appropriately elaborated in relation to the assumptions and risks mentioned in the logical framework matrix.

B) Specific Recommendations

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

1. Elaborate the expected outcomes at project completion, while avoiding to describe the project outputs, as required in the manual for project formulation;
2. Improve the logical framework matrix by adding SMART (specific, measurable, appropriate, realistic and time-bound) indicators for outputs;
3. Improve the impact indicators of the development objective as required in the manual for project formulation;
4. Revise the Section 3.2 (implementation approach and methods) by providing information on the ways and means to build capacity of local communities to be involved in the project implementation and ensure their livelihood through the reforestation activities, as well as technical information on species to be used for reforestation activities;
5. Improve the Sub-section 3.5.2 (sustainability) in accordance with the assumptions and risks mentioned in the logical framework matrix;
6. Prepare the ITTO budget in line with the above overall assessment **and** specific recommendations and also in the following way:
  - a) Significantly scale down the ITTO budget by transferring some budget costs from ITTO contribution to the counterpart contribution [project inception workshop (budget item 71.1) and project outcome reporting workshop (budget item 71.2)] and also by reducing budget costs not appropriately justified in the problem analysis and implementation approaches [nursery establishment (budget item 24), plantation establishment (budget item 25), maintenance of reforested plots (budget item 25), seedlings replacement and plantation replenishment (budget item 26), protection of reforested parcels (budget item 27), vehicle (budget item 43.1) not more than US\$40,000, 2 motorcycles (budget item 43.2) instead of 4],
  - b) Adjust the budget item 81 to the standard rate of US\$10,000.00 per year (instead of US\$20,000.00 per year) for the monitoring and review costs (US\$30,000 for 3 years),
  - c) Recalculate the ITTO Programme Support Costs (sub-item 83) so as to conform with standard rate of **12%** of the total ITTO project costs (on budget items 10 to 82); and
7. Include an Annex that shows the overall assessment and specific recommendations of the 51<sup>st</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 808/16 (F)

**Conservation of African Barwood (*Pterocarpus Erinaceus* Poir) in the Forest Reserves of la Palee and Boundiali in Northern Côte d'Ivoire with the Participation of Local Communities**

Assessment by the Fifty-first Panel

A) Overall Assessment

The Panel recognized the importance of the project intending to contribute to the sustainable management of barwood ecosystems in Cote d'Ivoire through the conservation of the African barwood within the Palee and Boundiali Forest Reserves, in the Bagoue Region, Northern Cote d'Ivoire. However, it was noted by Panel some weaknesses in the following sections and sub-sections: (1) origin of the project not clearly explained in relation to key stakeholders including local communities; (2) target sites of the project not adequately indicated on three different maps; (3) institutional set-up and organizational issues not elaborated in a comprehensive manner because local communities are not mentioned; (4) no key assumptions for the specific development, Output 1 and Output 2 provided in the logical framework matrix; (5) lack of consistency between the sub-causes of the Cause 3 in the problem tree (to be turned into activities in the objective tree) and activities listed under Output 3 in Section 3.1.2 and also in the work plan; (6) sub-activities listed under each activity in the section 3.1.2 and in the work plan, although it is not required in the the manual for project formulation; (7) assumptions and risks not enough elaborated in relation to the logical framework matrix elements; (8) no terms of reference added in the annex for consultancy and sub-contracting items; (11) ITTO budget too high and not easy to be assessed due to the lack of the master budget table following the ITTO format.

B) Specific Recommendations

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

1. Improve the the origin of the project by adding information related to local communities to be considered as part of key stakeholders;
2. In addition to map of Cote d'Ivoire, provide a map of the project target area with appropriate scale and clearly indicate the project sites on it;
3. Improve the institutional set-up and organizational issues by including local communities as they are among primary stakeholders;
4. Revise the problem problem tree and associated objective tree while making sure to get consistency between the sub-causes of Cause 3 (bush fire control) with activities to be listed under the Output 3 in the Section 3.1.2 and in the work plan;
4. Improve the logical framework matrix by amending the indicators of the development objective and adding the appropriate key assumptions for the specific objective, Ouput 1 and Output 2;
5. Amend the Section 3.1.2 and the work plan by deleting sub-activities, listed under each activity, as they are not required for the formulation of a project proposal but only for the preparation of a yearly plan of operation for the project implementation;
6. Further elaborate the assumptions, risks and sustainability in accordance with the improved logical framework matrix;
7. Add the terms of reference of all relevant consultancy and sub-contracting items as annexes;
8. Amend the ITTO budget in line with the above overall assessment **and** specific recommendations and also in the following way:
  - a) Add the master budget table following the ITTO format, in order to facilitate the assessment of budget tables (ITTO and executing agency),
  - b) Significantly scale down the ITTO budget by transferring some budget costs from ITTO contribution to the counterpart contribution [training of SODEFOR Staff and researcher workers (budget item 16) and maintenance of 7,000 ha plantation (under budget component 20)] and also by reducing the budget costs and while making sure to provide appropriate justification in the implementation approach [seedling production (under budget component 20), 1 vehicle (budget item 43) instead of 2, monitoring committee (under budget component 60, some budget items under budget component 20, some budget items under budget component 30, and some budget items under budget component 50),
  - c) Adjust the budget item 81 to the standard rate of US\$10,000.00 per year (instead of US\$20,000.00 per year) for the monitoring and review costs (US\$30,000 for 3 years),

- d) Recalculate the ITTO Programme Support Costs (sub-item 83) so as to conform with standard rate of 12% of the total ITTO project costs (on budget items 10 to 82); and
- 9. Include an Annex that shows the overall assessment and specific recommendations of the 51<sup>st</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 810/16 (F)

**Making forest relevant for people: empowering local communities to contribute to forest law compliance in Ghana**

Assessment by the Fifty-first Panel

A) Overall Assessment

The Panel acknowledged the importance of the project that could contribute to strengthen good governance and the achievement of sustainable development goal in Ghana thanks to the effective forest enforcement in 60 communities around four forest reserves through community empowerment and innovative evidence gathering and monitoring systems.

However, the Panel noted the project proposal contained a number of weaknesses in the following sections and sub-sections: (1) project brief not elaborated as required in the manual for project formulation; (2) target project area too wide (around 80,000 km<sup>2</sup>) not clearly shown in the map with non-appropriate scale; (3) social, cultural, economic and environmental aspects of the project target area not detailed as required by the manual for project formulation; (4) expected outcomes at project completion not elaborated in correlation with the outcome indicators of the specific objective as recommended in the manual for project formulation; (5) no explanation in the set-up organizational issues on how to formalize the collaboration between the executing agency and Ghana Forestry Commission; (6) no table of stakeholder analysis provided in order to explain how to select 60 communities and how to involve them in the project implementation, as well as other key stakeholders; (7) logical framework matrix presenting activities although not required by the manual for project formulation, while indicators of the development objective and specific objective were not consistent with those listed under each section where both are defined; (8) lack of consistency regarding the number of activities in the objective tree and the list of activities listed under each output; (9) implementation approach not enough elaborated on the ways and means to involve sixty selected local communities for their effective empowerment regarding forest law compliance in Ghana; (10) budget tables put as annex instead of being in the core document and a high proportion of ITTO budget assigned to the remuneration of project personnel and to numerous workshops; (11) profile of the executing agency missing important information recommended by the manual for project formulation for the assessment of its capability; (12) curricula vitae (CV) of key project personnel not provided.

B) Specific Recommendations

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

1. Elaborate the project brief as required in the manual for project formulation;
2. Provide a map with appropriate scale showing the project sites in relation to the four forest reserves and 60 fringe local communities;
3. Improve the social, cultural, economic and environmental aspects of the project target area;
4. Improve the institutional set-up, as well as the stakeholders' analysis, and add the related table of stakeholders as required in the manual for project formulation, with particular focus on the ways and means to empower 60 local communities living around four forest reserves;
5. Improve the description of the outcomes at project completion, mainly in consistency with the outcomes indicators of the specific objective, as required in the manual for project formulation;
6. Improve the logical framework matrix by amending the indicators of the development objective and specific objective and also by deleting activities, as required in the manual for project formulation;
7. Adjust the problem tree and related objective tree in order to ensure the consistency of activities with those listed in the section 3.1.2;
8. Further elaborate the implementation approach and methods by adding information on the ways and means to effectively empower 60 local communities regarding the forest law compliance in Ghana;
9. Improve the profile of the executing agency as required in the manual for project formulation;
10. Add a 1-page CV for each key project personnel as annex;
11. Amend the ITTO budget in line with the above overall assessment **and** specific recommendations and also in the following way:
  - a) Remove the budget tables from the annex and insert them the core document, as required in the manual for project formulation,

- b) Significantly scale down the ITTO budget by transferring some budget costs from ITTO contribution to the counterpart contribution [project director (budget item 10.2), project coordinator (budget item 10.3), project driver (budget item 10.5) and office rent (budget item 50.2)],
  - c) Adjust the budget item 81 to the standard rate of US\$10,000.00 per year (instead of US\$20,000.00 per year) for the monitoring and review costs (US\$30,000 for 3 years),
  - d) Recalculate the ITTO Programme Support Costs (sub-item 83) so as to conform with standard rate of **12%** of the total ITTO project costs (on budget items 10 to 82); and
12. Include an Annex that shows the overall assessment and specific recommendations of the 51<sup>st</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 811/16 (F)**

**Susa Range Forest Restoration Project (Ghana)**

Assessment by the Fifty-first Panel

A) Overall Assessment

The Panel noted that this project proposal was similar to the project proposal PD 782/15 (F) which was considered as category 4 by the 50<sup>th</sup> Expert Panel. This project was submitted without improving all critical sections and sub-sections which were subject to strong weaknesses in the project proposal PD 782/15 (F): conformity with the objectives outlined in Article 1 of the ITTA 2006 and to the strategic priorities outlined in the ITTO Strategic Action Plan 2013-2018 not explained; stakeholder analysis, problem analysis, problem tree, objective tree, logical framework matrix, budget, assumptions, risks and sustainability.

Given the above mentioned comments, the Panel was of the view that all critical components of an ITTO project were not appropriately elaborated by the proponent, making it impossible to consider this proposal as acceptable to continue in the ITTO project cycle. Therefore, the Panel decided to send back the proposal to the proponent and strongly encouraged the proponent formulate a completely new project proposal while making efforts to follow the requirements of the ITTO Manual for project formulation.

B) Conclusion

Category 4: The Panel concluded that a reformulation of the project proposal is essential and the Panel will need to assess the reformulated proposal before it can commend it to the Committee.

Assessment by the Fifty-first Panel

A) Overall Assessment

The Panel acknowledged the relevance of the project intending to promote community-level forest landscape planning, restoration and protection through the reduction of rapid destruction of community forests and plantations resulting from wildfires and destructive forest-based livelihood activities, in Ghana. However, it was noted by the Panel some weaknesses in the following sections and sub-sections: (1) institutional set-up and organizational issues not appropriately elaborated as local communities and other fire-related key stakeholders were not taken into account; (2) need to change the Cause 1 (landscape-level plan for forest restoration not available) and related sub-causes, as it could be considered as a sub-cause of Cause 2 (lack of programs promoting landscape-level forest restoration together with protection measures); (3) indicators of outputs not SMART (specific, measurable, appropriate, realistic and time-bound) in the logical framework matrix; (4) no reference to the findings and results of PD 284/04 Rev.2 (F) in the implementation approach and methods; (5) assumptions and risks not enough elaborated in relation to the logical framework matrix elements; (6) no terms of reference added in the annex for consultancy (national and international) work; (11) ITTO budget not easy to be assessed due to the lack of the master budget table following the ITTO format. In addition, the Panel was informed that the same executing agency had implemented the fire-related project 284/04 Rev.2 (F) which contributed to sensitize key stakeholders, including local communities, on the consequences of wildfires as one of the main causes of forest degradation in Ghana. Therefore, some relevant results and findings of this project could be used to improve this proposal.

B) Specific Recommendations

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

1. Improve the institutional set-up and organizational issues by including local communities and other relevant primary stakeholders;
2. Rework the problem analysis, the problem problem tree and associated objective tree in order to replace or improve the Cause 1 (landscape-level plan for forest restoration not available);
3. Revise the logical framework matrix by amending the Output 1 derived from Cause 1 of the reworked objective tree associated to the reworked problem analysis and problem tree;
4. Amend the Section 3.1.2 and the work plan by including the new Output 1 and associated activities derived from the reworked objective tree;
5. Revise the implementation approach and methods by taking into account the amended logical framework matrix, as well as the main and relevant results and findings of the project PD 284/04 Rev.2 (F);
6. Further elaborate the assumptions, risks and sustainability in accordance with the amended logical framework matrix;
7. Add the terms of reference of all relevant consultancy (national and international) works, as annexes;
8. Amend the ITTO budget in line with the above overall assessment **and** specific recommendations and also in the following way:
  - a) Add the master budget table following the ITTO format, in order to facilitate the assessment of budget tables (ITTO and executing agency),
  - b) Significantly scale down the ITTO budget by deleting some budget costs from ITTO contribution [Training 1 (budget item 15.1) as many ITTO projects implemented by FORIG had undertaken training sessions on agroforestry establishment in Ghana] and also by reducing some budget costs [daily subsistence allowance (budget item 31), utilities (budget item 53), and sundry (budget item 61)],
  - c) Adjust the budget item 81 to the standard rate of US\$10,000.00 per year (instead of US\$20,000.00 per year) for the monitoring and review costs (US\$30,000 for 3 years),
  - d) Recalculate the ITTO Programme Support Costs (sub-item 83) so as to conform with standard rate of **12%** of the total ITTO project costs (on budget items 10 to 82); and

9. Include an Annex that shows the overall assessment and specific recommendations of the 51<sup>st</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 Fifty-first Panel

A) Overall Assessment

The Panel recognized the relevance of the project intending to promote the sustainability of indigenous Mahogany in the West African region by developing the genetically improved Mahogany planting stocks that are ecologically adapted and insect tolerant for reforestation activities. This project proposal was supposed to be the continuation of the project PD 528/08 Rev.1 (F) which is still operational, but nearing completion, under the ITTO regular project cycle. It was questioned by the Panel how this project proposal could have been submitted in November 2015 while the results and findings of PD 528/08 Rev.1 (F) were not made available yet, in order to use them for the formulation of this project proposal. The submission of this project proposal should have been postponed, as PD 528/08 Rev.1 (F) was not completed at that time.

Given the abovementioned comments, the Panel was of the view that this proposal could not be considered as acceptable to continue in the ITTO regular project cycle. Therefore, the proponent should prepare a new project proposal with the results and findings of the PD 528/08 Rev.1 (F) when considered as completed by the ITTO Secretariat.

B) Conclusion

Category 4: It was the view of the Panel that the project proposal PD 814/16 (F) should be sent back to the proponent in application of the ITTO rules and procedures of referring/using to the results and findings of a previous project for the preparation a next phase project proposal. Therefore, the Panel concluded that a reformulation of the project proposal, based on the results and findings of PD 528/08 Rev.1 (F), is essential and the Panel will need to assess the reformulated proposal before it can commend it to the Committee for appraisal.

PD 816/16 (F)

**Transboundary Rural landscape Restoration in Costa Rica and Panama for Biodiversity Conservation and Ecosystem Goods and Services Production**

Assessment by the Fifty-first Panel

A) Overall Assessment

The Panel recognized the international and national relevance of this project proposal, including its potential contribute to the ITTO-CBD Collaborative Initiative for Tropical Forest biodiversity and UNESCO Biosphere Programme, as well as the ITTA objectives and ITTO Strategic Action Plan.

However, the Panel also recognized serious problems in the structure of this project proposal. These problems include: 1) over ambitious scope of the project with two discrete specific objectives, one for the development of Transboundary Restoration Strategy and the other for the implementation of pilot actions; and 2) lack of logical sequence between the key components of the proposal, namely problem analysis, development and specific objectives, outputs and associated activities. In addition, the Panel had serious concern about the poorly formulated budget, as well as the exceptionally large number of planned workshops and the resulted large size of budget with a high percentage of personnel related costs and miscellaneous costs.

With the observations above, it was a common understanding among the Panel members that reformulation of the project proposal is essential before it is commended to the Committee for approval.

It was also a view of the Panel that such problems had largely resulted from the process this project proposal was formulated. This project proposal is apparently a portion of a larger scope of action, which include the development and implementation of Transboundary Restoration Strategy based on the knowledge to be acquired through the implementation of pilot actions with the participation of indigenous communities. Given this observation, the Panel felt that the proponent may wish to submit a proposal for a pre-project with the aim of formulating a feasible full project proposal.

B) Conclusion

Category 4: The Panel concluded that it could not commend the proposal to the Committee because a complete reformulation of the project proposal is necessary.

Assessment by the Fifty-first Panel

A) Overall Assessment

The Panel recognized the international and national relevance of this project proposal, including its potential contribution to the achievement of the forest-related Aichi Biodiversity Targets and ITTO-CBD Joint Initiative for Tropical Forest Biodiversity. However, the Panel recognized some fundamental problems in the proposal, in particular in the logical sequence between problem analysis, development and specific objectives, outputs and activities. Problems were also found in the budget formulation.

B) Specific Recommendations

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

1. Briefly describe the activities having been carried out with support of The Field Museum, USAID, the MacArthur Foundation and the Moor Foundation for the implementation of the land management strategy for the PNCAZ, as well as their achievements and the relation with this project proposal (Section 1.1). Also provide more information on the REDD+ project being implemented by the executing agency, including its relationship with this project proposal.
2. Correct the paragraph number of the objective of the ITTA, 2006 from m) to n) (Sub-section 1.2.1).
3. Describe the social, cultural and economic background of the local and native communities being engaged in itinerant farming, encroachment and other agricultural operations as well as unsustainable logging practices in and around the proposed project site. Also provide information on the socio-economic circumstances in the surrounding area, including demographic and other basic data (Sub-section 1.3.2).
4. Rewrite the whole section of the expected outcomes (Section 1.4). Expected outcomes are not project outputs; but the situation to be expected from the achievement of specific objective. Therefore, expected outcomes should be specific and include changes that will take place in the target groups of people, as well as forests in the area as a result of this project.
5. Improve stakeholder analysis by elaborating the current social and economic circumstances of the local and native communities and other stakeholders, including the federation of native communities in the proposed project area (Sub-section 2.1.1). The sub-national governments responsible for the forest management and land use may possibly be categorized as secondary stakeholders. Include gender analysis, as necessary.
6. Improve problem analysis and refine problem tree (Sub-section 2.1.3 and Table 3). The identified “change of land use in primary forests” is just a short statement of the problem rather than one of the major causes. The third sub-cause is clearly a part of the second cause, namely “weak forest management institutions”. The second and the fourth sub-causes, both of which are related to land use rights, could be considered a part of the institutional issue as well. The first sub-cause, on the other hand, does not seem to be directly addressed in the latter half of this project proposal. In light of the above, the first cause could be either independent focusing solely on land use rights or merged into the second cause.
7. Reformulate development objective and specific objective and refine logical framework matrix and objectives tree accordingly (Sub-section 2.1.4 and Section 2.2). The current specific objective does not concretely state the outcomes to be expected at the completion of this project even compared to the development objective.
8. Refine indicators for Output 3 to make them SMART (specific, measurable, appropriate, realistic and time-bound) as much as possible (Sub-section 2.1.4).
9. Refine/revise the following parts in accordance with the points made in paragraphs 6 and 7 above:
  - logical framework matrix (Table 4);
  - objectives tree (Table 5); and
  - outputs and activities (Section 3.1);
  - work plan (Section 3.3); and

- budget (Section 3.4).
10. Further elaborate listed activities by specifying stakeholders the respective actions are to be addressed (Sub-section 3.1.2). Consider including approaches, in this connection, for the involvement of the private sector impacting the key stakeholders.
  11. Allocate activities to the first quarter of Year 1 and the fourth quarter of Year 3 in the work plan (Section 3.3 and Table 6).
  12. Follow the standardized numbering of budget components as indicated in the ITTO Manual for Project Formulation (Third Edition) (General Information Series #13) by using Pro Tool (Section 3.4).
  13. Reduce (or if not possible, justify) the following items listed in ITTO budget (Sub-section 3.4.3):
    - Personnel costs associated with the experts to be hired by the project, including their travel costs; and
    - Large quantity of satellite images and computers in particular relation with the on-going REDD+ project.
  14. Eliminate the duplication in the listing of personnel costs between ITTO budget and executing agency budget for Officer in charge of Extension Area, Environmental communicator-educator, Regional coordinator and support professional (Sub-sections 3.4.3 and 3.4.4, Table 9 and Table 10). In this connection, shift the personnel costs associated with other experts provided by the executing agency from ITTO budget to executing agency budget.
  15. Take out the names in brackets from the listed project personnel who will to be hired with the use of ITTO budget (Sub-sections 3.4.3 and 3.4.4, Table 9 and Table 10). Appointment of those project personnel requires no objection from the ITTO Secretariat after the project proposal is approved and funded.
  16. Calculate ITTO programme support costs (12% of the total project funds requested from ITTO) and include it in the consolidated budget and ITTO budget (Sub-sections 3.4.2 and 3.4.3, Table 9 and Table 10).
  17. Take out national management costs from ITTO budget and include it in the executing agency budget (Sub-sections 3.4.3 and 3.4.4, Table 10 and Table 11).
  18. Take out ITTO mid-term evaluation costs and final evaluation costs from the ITTO budget, and reduce ITTO ex-post evaluation costs to an adequate level (Sub-sections 3.4.3 and 3.4.4, Table 9 and Table 10). The normal allocation for ITTO ex-post evaluation is US\$ 15,000-20,000.
  19. Further elaborate how the living standard of the local and native communities involved in the unsustainable activities will be improved as a result of the implementation of this project (Sub-section 3.5.2). Improvement of living standard is one of the keys to the success of this project.
  20. Provide project organizational structure chart (Sub-section 4.1).
  21. Clearly indicate the members of project management team, including Project Coordinator, Secretary and other supporting staff members, as necessary (Sub-section 4.1.2). The members of the project management team are normally separated from the Executing Agency and hired by project. The budget tables need to be adjusted accordingly.
  22. Attach an Annex on tasks and responsibilities of key experts provided by the executing agency (Annex 2).
  23. Include an Annex that shows the responses to the above overall assessment and specific recommendations of the 51<sup>st</sup> panel and respective modifications in tabular form. Modifications should also be highlighted (**bold and underlined**) in the text.

C) Conclusion

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

Assessment by the Fifty-first Panel

A) Overall Assessment

The Panel was informed that this project proposal derived from the project PD 715/13 Rev.1 (F) which was pending finance and became sunset due to the lack of funding in November 2015. That's why the proponent resubmitted it as new proposal in order to be reintroduced in the ITTO regular project cycle, after amending some sections and sub-sections. The Panel recognized the importance of the project proposal aiming to ensure the supply of high quality seeds and seedlings for the forest rehabilitation and management in Benin.

The Panel noted that there was still a need to improve the following sections and sub-sections of the project proposal: (1) cultural and gender aspects missing in the socio-economic and cultural aspects of the project target areas; (2) some indicators of the development objective, specific objective and output 2 were not specific, measurable, appropriate, realistic and time-bound (SMART) in the logical framework matrix. Finally, the Panel noted that the sustainability of the project was still questionable due to the way the ITTO budget was presented by the proponent and also due to the lack of appropriate explanation in the strategic implementation approach and methods.

B) Specific Recommendations

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

1. Furthermore elaborate on the socio-economic and cultural aspects by providing cultural information and data as well as information and data on gender issues, for the project target areas;
2. Further improve the logical framework matrix by including SMART indicators for the second output;
3. Revise the ITTO budget in accordance with the above overall assessment and specific recommendations and also in the following way:
  - a) Remove the budget item 11.1 (Project Coordinator) from the ITTO budget as it should be covered by the counterpart contribution,
  - b) Delete the budget item 25 (Maintenance and evaluation of 100 ha of seed parcels for US\$30,000), as well as the budget item 25 (Demarcating and establishing 100 ha of seed parcels for US\$3,000), as both are already covered by the budget item 25 (Labour for field work for US\$60,000), as explained in the strategic implementation approach and methods,
  - c) Adjust the budget item 81 to the standard rate of US\$10,000.00 per year for the monitoring and review costs (US\$30,000 for 3 years),
  - d) Recalculate the ITTO Programme Support Costs (Sub-component 83) specified in the budget so as to conform with standard rate of 12% of the total ITTO project costs (on budget items 10 to 82); and
4. Include an Annex that shows the overall assessment and specific recommendations of the 51<sup>st</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.

PD 824/16 (F)

**Promoting Sustainable Development and Utilization of Kemenyan (*styrax spp.*) Resource Involving Local Stakeholders in Toba Region of North Sumatra Province, Indonesia**

Assessment by the Fifty-first Panel

A) Overall Assessment

The Panel recognized the importance of the project aiming at the development and implementation of Kemenyan (*styrax spp.*) resource strategies and action plans through improved livelihoods of local communities in the Toba region, North Sumatra Province, Indonesia. The Panel felt that the proposal closely followed the guidance of the ITTO Manual for Project Formulation (2009). However, the Panel noted that further improvement is needed to enhance the design and formulation of the proposal. These include: more elaboration of the project brief; more information on relevant work in the origin of the proposal; more description of the project's relevance to the national policy; clear information on the tenure rights; and refinements to some project activities. With regard to the project budget, the Panel felt that the ITTO budget should be scaled down while increasing the contribution of the Executing Agency. Furthermore, the Panel felt that the sustainability of the project should be improved to ensure its long-term sustainability.

B) Specific Recommendations

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

1. Further elaborate the project brief by describing the beneficiaries and expected outcomes as well as the participation of multi-stakeholders;
2. Improve Section 1 (Origin) by identifying the organizations or earlier activities that supported the development of Kemenyan (*styrax spp.*) resource that has led to the current proposal. Provide more information on relevant findings to promote Kemenyan (*styrax spp.*) resource in the region;
3. Further describe how the project conforms to the national forest policies in Section 1.2.2 (Relevance to Indonesia's policies);
4. Provide more information on the tenure rights of the local communities to ensure the effective promotion of Kemenyan resource in Section 1.3.2 (Social, cultural, economic and environmental aspects);
5. Refine the project activities to fully achieve the expected outputs. Some activities under Output 2 and Output 3 can be merged. For instance, Activities 2.2 and 2.3 as well as Activities 3.1 and 3.4 relating to training can be refined in a concise way. Marketing-related activities can be further strengthened to ensure the income generation of local communities by the project;
6. Scale down and revise the budget in the following way:
  - Reduce costs for sub-contracts, DSA for national experts and materials under the budget item 60 (Miscellaneous) while increasing the contribution of the Executing Agency;
  - Provide a separate budget table for Executing Agency and Collaborating Agency in Table 3.4.4 (GoI yearly budget by component); and
  - Recalculate the ITTO programme support based on the revision
7. Further improve the sustainability of the project by specifying the extended work to be implemented by key stakeholders besides the Executing Agency; and
8. Include an annex that shows the recommendations of the 51st 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 Fifty-first Panel

A) Overall Assessment

The Panel acknowledged the importance of the project for safeguarding the biodiversity and ecosystems of the selected conservation areas in Java and Sumatra, Indonesia in the context of achieving the CBD's Strategic Plan for Biodiversity 2011-2020. The Panel further recognized that the project has been focused on the development of cost-effective methods for data collection and monitoring.

However, the Panel noted that the problem analysis appears to be too general without highlighting a key problem to be addressed by the project. The Panel further noted a number of weaknesses in the design and formulation of the proposal. These include insufficient information on how the project had been built from the findings or recommendations of relevant initiatives in the region; too general information on the social-cultural, economic, and environmental aspects; weak assessment of the problem analysis with regard to the key problem; weak assessment of stakeholders' analysis with regard to the primary stakeholders; unclear indicators in the logical framework matrix; too general description of the role of the Executing Agency and unclear stakeholders involvement mechanisms in the region; and weak assessment of the sustainability of the project without ensuring further development of activities initiated by the project. With regard to the project budget, the Panel noted that several other items were not specified although a substantial amount has been allocated and felt that such unspecified items should be borne by the Executing Agency to ensure its ownership and the long-term sustainability of the project.

B) Specific Recommendations

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

1. Provide a better map clearly showing the location of the selected national parks besides a general map of the country;
2. Improve Section 1.1 (Origin) by describing how the proposal has been formulated taking into account relevant recommendations or findings to strongly support the proposed project intervention. Delete the elaboration related to the selection of the four national parks as it is a project activity;
3. Improve Section 1.2.4 (Social-cultural, economic, and environmental aspects) by focusing on the four selected national parks as much as possible at the time of project identification. The targeted ecosystems, species and genetic diversity should be described in sufficient detail;
4. Improve Section 1.3 (Expected outcomes at project completion) by focusing on the effect that will be gained by the specific objective aiming at improving the data collection and monitoring system;
5. Further elaborate the organizational issues to ensure the implementation of project activities with the four national parks;
6. Improve the stakeholder analysis by refining the primary stakeholders who will benefit from the project given the intended specific objective;
7. Improve the key problem to be addressed by the project. Review the lack of feasible methods and applicable technology for data collection and monitoring as a key problem. Revise the problem tree and the objective tree based on the review;
8. Refine the logical framework matrix based on the refinement of the problem analysis. Refine the indicators for the main project elements in a SMART (specific, measurable, appropriate, realistic and time-bound) way. Avoid simply listing of some project activities as an indicator;
9. Refine the project activities based the refined project outputs. The current activity 1.4 (explore funding possibility...) seems to be beyond the specific objective. It was suggested that the current activity 2.1 (review the existing programs and methods for biodiversity monitoring) should be done during project identification to support the proposed project intervention;

10. Rework the project budget by specifying the others allocated under the budget items 31.2, 32.2 and 33.2. Consider increasing the in-kind contribution of the Executing Agency to cover these budget items;
11. Further improve the assumptions and risks in line with the refined logical framework matrix;
12. Further improve the sustainability of the project by specifying the expected contribution of FORDA and DG FPNC to support the further development of activities initiated by the project;
13. Further improve the organization structure and stakeholders involvement mechanism by specifying role of the Executing Agency, collaborating agencies, and mechanisms for stakeholders' participation; and
14. Include an annex that shows the recommendations of the 51st 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 Fifty-first Panel

A) Overall Assessment

The Panel recognized the importance of this project for the implementation of new sustainable forest management regulations by the Ministry of the Environment of Ecuador as well as the quality of the proposal. The Panel also noted the valuable contribution from the collaborating agencies, which will certainly enhance their engagement in the project implementation and thereby contribute to the success and sustainability of this project.

It was Panel's understanding that the new forest regulations, including National Timber Product Traceability System, to which this project is intended to contribute, will be introduced by the first quarter of 2016; however, another project proposal submitted by the Government of Ecuador, namely PD 827/16 (F), indicates in its document on page 4 that the Traceability System would be operationalized in 2017. The Panel wishes to request the proponent, in this respect, to clarify the timing of operationalizing the Traceability System, which the Panel considered one of the prerequisites for the implementation of this project.

B) Specific Recommendations

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

1. Clearly indicate the location of project site(s) in the map and provide the reason for selecting the target area and the target group of indigenous people (Page 6 and Sub-sections 1.3.1 and Section 2.1).
2. Describe the achievements made through the implementation of ITTO projects in this area, as referred to in the Project Brief. Also provide information on the on-going activities being carried out by FAO and GIZ which this project is expected to contribute to (Section 1.1). Provide the full identification numbers of these ITTO projects.
3. Quote the objectives of ITTA, 2006 which the project proposal is relevant to (Sub-section 1.2.1).
4. Briefly describe the Forest Governance Model developed by the Ministry of the Environment and the new forest regulations and the National Forest Timber Product Traceability System to be introduced (Sub-section 1.2.2).
5. Refine the impact indicators and outcome indicators (Sub-sections 2.1.4 and 2.2.1). The first impact indicator is too general to be measured. The second outcome indicator identified for the specific objective may possibly be an appropriate impact indicator. In exchange, the second impact indicator listed for the development objective may possibly be placed as an outcome indicator.
6. Consider reducing outputs by combining closely related outputs in order to simplify the structure of this project (Sub sections 2.1.4 and 3.1.1). Output 1 and Output 5 may possibly be combined, and Output 2 and Output 4 may also be merged.
7. Provide following information on activities (Sub-section 3.1.2):
  - Reason for the inclusion of reduced impact logging in Activity 1.4;
  - Feasibility of designing and implementing "school to train local foresters" proposed as Activity 4.3; and
  - Contents of "a social marketing plan for sustainable forest management" proposed in Activity 5.5;
8. Allocate Activities in the first month of the first year in the work plan (Section 3.3). Colour the bars in the work plan in black.
9. Streamline the sequence of the activities related to traceability and certification, namely Activity 2.1, Activity 2.3, Activity 3.1 and Activity 3.2, in the work plan in consideration of the mutual linkages (Section 3.3).
10. Provide information on the following items, including justification on their needs, listed in the ITTO budget (Annex 4):
  - Materials and equipment for reduced impact logging listed under Activity 1.4;

- Materials, equipment and a truck for timber transport for community forest centre listed under Activity 1.5;
  - Materials to mark trees listed under Activity 2.1; and
  - Materials to implement agreed labeling listed under Activity 2.3.
11. Reduce personnel costs in ITTO budget by moving the costs associated with the experts provided by the executing agency to the executing agency budget (Sub-sections 3.4.2 and 3.4.3).
  12. Correct ITTO programme support costs, which is 12% of the total of other ITTO budget components (Sub-sections 3.4.2 and 3.4.3).
  13. Strengthen the justification for the support of the Shuar Arutam People to this project (Sub-section 3.5.1). The conservation history of the Shuar People may not ensure their commitment to this project the focus of which is more on the use of forest resources.
  14. Include budget of sub-component in ITTO budget by component (Sub-section 3.4.3), Implementing Agency budget by component (Sub-section 3.4.4) such as Ecopar contribution and Ministry of the Environment contribution.
  15. Include executing agency and collaborative agencies in the organizational chart so as to illustrate the functional and hierarchical relationships in the project management structure (Sub-section 4.4.1 and Annex 6). Also include all project personnel listed in the budget table, namely botanists, assistant for Macas office, field guides and community leaders, in the organizational chart.
  16. Include ITTO representative, representative from donor countries and the Project Coordinator in the Project Steering Committee (Sub-section 4.1.3).
  17. Include an Annex that shows the responses to the above overall assessment and specific recommendations of the 51st panel and respective modifications in tabular form. Modifications should also be highlighted (bold and underlined) in the text.

C) Conclusion

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

**Establishing a Local Economy Based on Sustainable Forest Management, Promoting Economic Development and Offering an Effective Alternative to Deforestation in Amazon Communities, Ecuador**

Assessment by the Fifty-first Panel

A) Overall Assessment

The Panel recognized the importance of this project, which aims to avoid the conversion of natural forests owned by the indigenous communities in the Ecuadorian Amazon through the sustainable use of forest resources by developing and implementing a multi-incentive forest management model and enhancing the capacity of indigenous communities. The Panel, however, noticed considerable weakness in this project proposal. Such weakness includes: insufficient problem analysis and systematic development of outputs and the associated activities; and budget. The Panel strongly advised the proponent, in this respect, to study and digest the ITTO Manual for Project Formulation (Third edition, 2009) in revising the project proposal.

B) Specific Recommendations

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

1. Reconsider the title of the project proposal by specifying target population and/or target area. The expression of "Amazon communities" is too broad.
2. Provide a larger map and clearly indicate the target area(s) (Project Brief and Sub-section 1.3.1).
3. Briefly describe the achievements and the lessons learned from the ITTO projects, namely PPD 007/00, PD 5/00 and RED SPD 055/11, and the on-going project to which this project is expected to contribute (Section 1.1). Also provide complete identification numbers of the ITTO projects.
4. Replace "ITTO 2006" with ITTA, 2006 (Sub-section 1.2.1).
5. Clearly describe how this project is relevant to the national policy, such as National Wellbeing Plan and National Policy for Natural Heritage Governance (Sub-section 1.2.2).
6. Add description on the physical and ecological features of the area (sub-section 1.3.1).
7. Rewrite expected outcomes based on the specific objectives and outcome indicators (Section 1.4).
8. Provide reasons for the selection of project area (Section 2.1).
9. Reflect the women's group identified in the stakeholder analysis into the rest of the proposal, including activities (Sub-section 2.1.2).
10. Provide an objectives tree based on the problem analysis (Sub-section 2.1.4). There must be a logical sequence between problem tree, objectives tree, logical framework matrix and project interventions. Current outputs and activities do not reflect the causes and sub-causes identified in the problem analysis.
11. Reconsider the second indicator for Output 3, which seems to be over ambitious (Sub-section 2.1.4).
12. Use size 10 points for logical framework matrix and budget tables as well, as specified by the ITTO Manual for Project Formulation (Third Edition, 2009) on its page 14 (Sub-section 2.1.4 and Section 3.4).
13. Remove the reference to "land management" and related notions, such as land zoning, which is out of the scope of this project proposal, from the specific objective and Output 4 respectively (Sub-sections 2.1.4, 3.3.1 and 3.4).
14. Keep consistency in the description of specific objective throughout the document (Sub-sections 2.1.4 and 2.2.2 and Section 3.3).
15. Identify an outcome indicator to measure progress in the implementation of timber traceability system, if the timber traceability is an important element of the specific objective (Sub-section 2.2.2).

16. Further elaborate or reconsider the following activities to make them more specific and/or feasible (Sub-section 3.1.2):
  - Inclusion of training elements in the workshops (Activity 2.1, Activity 3.1 and Activity 4.1);
  - Relation between reduced impact logging and portable sawmills (Activity 5.2); and
  - Possibility of developing products and NTFPs for international markets in 36 months (activity 5.4 and activity 5.5).
17. Use black colour for the bars in the work plan (Section 3.3.).
18. Use standard numbering of budget components (Sub-section 3.4.1).
19. Provide separate tables for ITTO budget and executing agency budget (current Sub-section 3.4.1).
20. Shift all the amount of office costs, telephone and utilities costs and management commission from the ITTO budget to the executing agency budget (current Sub-section 3.4.1).
21. Include monitoring and evaluation costs, ex-post evaluation costs and ITTO programme support costs in the consolidated budget table (current Sub-section 3.4.1).
22. Add the whole Sub-section on sustainability (Sub-section 3.5.2).
23. Provide organizational structure chart to illustrate the functional and hierarchical relations between related institutions and the project management team (Sub-sections 4.1.1 and 4.1.2). Include consultants in the project management team.
24. Elaborate text to explain stakeholder involvement mechanism (Sub-section 4.1.4). Currently, no text is provided.
25. Include an Annex that shows the responses to the above overall assessment and specific recommendations of the 51st panel and respective modifications in tabular form. Modifications should also be highlighted (bold and underlined) in the text.

C) Conclusion

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

Assessment by the Fifty-first Panel

A) Overall Assessment

The Panel acknowledged the importance of the project for enhancing the community land management and integrated forest management in the buffer zones of the Yasuni National Park and the Cuyabeno Fauna Production Reserve of the Ecuadorian Amazon Region. The Panel also felt that the proposal has been well written with a lot of information and good intention to promote community forestry.

However, the Panel noted that in general, the proposal appears to be too ambitious with many outputs given a two-year time framework. The Panel further noted a number of weaknesses in the design and formulation of the proposal as well as its failure to closely follow the ITTO Manual for Project Formulation (2009). These include weak problem analysis without clearly describing its key problem and its causes; weak presentation of the logical framework matrix with regard to the outputs and measurable indicators; and weak assessment of the sustainability of the project without ensuring further development of activities initiated by the project. The Panel concerned about the expertise of the Executing Agency in handling the technical issues of sustainable forest management. With regard to the project budget, the Panel noted that there is a need to reduce the costs for the project personnel and sub-contract from the ITTO contribution while increasing the contribution from the counter partners to enhance the project's ownership and long-term sustainability.

B) Specific Recommendations

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

1. Refine the project brief in a concise way by highlighting key components of the project;
2. Elaborate in details the social, cultural, economic and environmental aspects of the project area at the time of project identification in Section 1.3.2;
3. Insert the stakeholder analysis table into Section 2.1.2 (Stakeholder analysis) rather than presenting it as an annex;
4. Improve the problem analysis by describing the key problem identified and its causes and effects besides the problem tree. Refine the causes identified in the problem tree in a solid way. For instance, it might be better to merge two causes related to "no consolidation and/or extension of land management and SFM area" and "poor organizational and technical development for management of SFM area" into one. Refine the sub-causes in a concise way. Improve the consistency between the causes of the problem tree and outputs of the objective tree. Insert the objective tree into Section 2.1.3 (Problem analysis);
5. Improve the logical framework matrix by refining the outputs in accordance with the refined problem analysis. Output 1 and Output 3 might be merged into one given the similar task of these outputs;
6. Refine the description of the specific objective in a concise way and present only key measurable indicators for the outcome indicators. With regard to the Integrated Forest Management Plan in the RPF buffer zone, it is unclear whether it will be developed under Output 1. In view of the importance of having a good management plan at the early stage of project implementation, it should be clarified;
7. Review the work plan in a more realistic way given a long consultation process of adapting a forest management plan. Insert the work plan sheet into Section 3.3;
8. Scale down the project budget in the following way:
  - Consider reducing the costs for the project personnel and sub-contract from the ITTO contribution while increasing the contribution from the counter partners;
  - Delete the project administration costs as they should be borne by the Executing Agency;
  - Insert Annex 4 (Budget by component) into the relevant parts in Section 3.4; and
  - Make sure the inclusion of costs for annual auditing;
9. Improve the sustainability of the project by specifying the extended work to be implemented by key stakeholders besides the Executing Agency;

10. Insert Annex 4 and Annex 5 into the relevant main parts;
11. Further elaborate the expertise of the Executing Agency relating to the promotion of sustainable forest management to ensure the effective implementation of the project; and
12. Include an annex that shows the recommendations of the 51st 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 Fifty-first Panel

A) Overall Assessment

The Panel acknowledged the importance of reducing biodiversity loss caused by deforestation and tropical forest degradation in Ecuador to support the achievement of the National Biodiversity Strategy and Action Plan 2015-2020. The Panel also recognized that the Ministry of the Environment of Ecuador has implemented the Competitive Funds Mechanism for the conservation and sustainable management of natural heritage and ecosystems.

However, the Panel was unable to assess the proposal adequately due to too general information on many key elements of the proposal. The Panel noted that more detailed information on the targeted 15 sites would be made available only after the design and operation of the second call for proposals of the Competitive Funds Mechanism. With regard to ITTO's potential support to the Competitive Funds Mechanism, the Panel expressed particular concern about the desirability of the project's strategy to seek ITTO's support through the provision of operating capital amounting to USD750,000 in the project budget. The Panel questioned whether such capital could be financed through a project, given the current mainstream of ITTO project financing focused mostly on its direct contribution to capacity building and demonstration activities among government agencies, forest community-based organizations and other stakeholders for sustainable forest management. In this regard, the Panel viewed that this strategy is not a mainstream to the current ITTO priorities. Another concern of the Panel was related to the engagement of UNDP as Implementing Agency because project implementation will be based on UNDP's National Implementation Modality and Procedures. Furthermore, the Panel observed a number of weaknesses of the design and formulation of the proposal. These include weak assessment of the problem analysis showing disparities between the causes and the proposed outputs; unclear impact and output indicators in the logical framework matrix; and weak risk and sustainability assessment. With regard to the ITTO project budget, the Panel noted that a substantial amount has been allocated to the capital items while there is no information on the counter partner's contribution. In this regard, the Panel expressed concern over the long-term sustainability of project work after project completion. The Panel also pointed out that including project administration costs (10%) is not a standard of the ITTO budget presentation.

In light of this, the Panel was of the view that the key strategy of the project should be thoroughly reviewed and revised for ITTO intervention. The Panel was therefore of the opinion that the proposal needed complete reformulation based on a new strategy in accordance with the ITTO priorities and guidance of the ITTO Manual for Project Formulation (2009).

B) Conclusion

Category 4: The Panel concluded that it could not commend the proposal to the Committee, and submits it to the Committee with the recommendation not to approve the Project proposal.

PD 831/16 (F)

**Participatory Forest Management Research and Practical Training  
Scenarios for Foresters in the Tropical Moist Forest of Nangaritza -  
Ecuador**

Assessment by the Fifty-first Panel

A) Overall Assessment

The Panel recognized the importance of the project for promoting tropical moist forest research and practical training in forest management in Nangaritza Province by the National University of Loja. The Panel further recognized that the project seeks conducting monitoring of flora composition, growth dynamics, logging costs and environmental impacts through the establishment of permanent plots.

However, the Panel felt that a strategy of the project seems to be set too ambitious goals in respect to scientific research outputs. As tropical moist forest research results require a longer time framework, the Panel noted that there is the need to revise some of the project aims. The Panel further noted a number of weaknesses in the design and formulation of the proposal. These include: insufficient information on the existing research network for sustainable management of tropical moist forests in the country; weak presentation of the social, cultural, economic and environmental aspects of the project site; weak assessment of the stakeholder analysis with regard to key stakeholders; weak assessment of the problem analysis without closely linking to each key stakeholder's problem; too general impact and outcome indicators in the logical framework matrix; and unclear sustainability of the further development of the research and training initiated by the project. With regard to the implementation arrangements, the Panel noted that the effective engagement of the National University of Loja as the Executing Agency is crucial to the successful implementation of the project. Furthermore, the Panel felt that the counterpart's contributions should be increased so as to cover some costs of the sub-contacts and others to enhance the project's ownership and long-term sustainability.

B) Specific Recommendations

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

1. Provide a better map showing the location of the project site;
2. Provide more background information on research network for sustainable management of tropical moist forests in the country in Section 1.1 (Origin);
3. Describe the project's conformity with the ITTA, 2006 and the national forest policies in Section 1.2 (Relevance);
4. Further elaborate the social, cultural, economic and environmental aspects of the project site in Section 1.3.2;
5. Improve the stakeholder analysis by refining the identification of the primary stakeholders who will benefit from the project. Specify clearly the key stakeholders/target groups (foresters in the Shire of Nangaritza Province, students at the national university of Loja,,). Describe clearly the expected involvement of the project by various stakeholders during project implementation;
6. Improve the problem analysis by describing the key problem to be addressed by the project and its causes. Explain how the needs of the target groups are a direct consequence of the key problem. The need for research and training should be well elaborated as the project intends to conduct both. Refine the problem tree in a concise way and provide an objective tree;
7. Improve the logical framework matrix based on the refined problem analysis. Refine the indicators for the impact and outcome indicators to closely link to the intended development and specific objectives. Make sure the inclusion of all activities in the logical framework matrix as some activities were missing;
8. Review the two-year time plan in the work plan as tropical moist forest research results often require a longer-time frame. With a two-year project it is possible to establish the plots, do the treatments (cuttings of two intensity), and re-measure the plots after the treatments. Re-measurement is missing from the work plan;
9. Review the project budget taking into account the following:

- Justify the engagement of an international IT consultant. If justified, a detailed TOR should be provided in Annex.
  - Reduce the sub-contacts while increasing the counterpart's contribution in particular with regard to the student meals and accommodation
  - Specify the expected contribution from others
  - Make sure the inclusion of annual auditing costs
  - Re-calculate the ITTO Programme Support Cost to the new standard of 12% of total cost
  - Check that all the requirements specified in the ITTO Manual for Project Formulation (2009) are fulfilled
10. Further improve the sustainability of the project by ensuring the further development of the research and training initiated by the project;
11. In view of the importance of promoting tropical moist forest research, the effective engagement of the National University of Loja as the Executing Agency is crucial in project implementation with support of collaborating agencies including the Ministry of the Environment. Review the project implementation arrangements; and
12. Include an annex that shows the recommendations of the 51st 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 Fifty-first Panel

A) Overall Assessment

The Panel noted the efforts made by the proponent to address the comments in the overall assessment and specific recommendations of the Panel in the revised proposal dealing with the development of payment for environment services schemes for local community groups and private developer forest plantations in degraded lands, in Ghana. However, it was noticed that there was a need for further improvement in the revised proposal for some sections and sub-sections. Those improved were still needed in the following issues: (1) although the correlation between the payment for environment services and rehabilitation of degraded forest lands was described in the preliminary problem identification, as well as the benefit tree ownership schemes, there was no information on the area to be targeted by the future project to be derived from the implementation of this pre-project; (2) ITTO budget still too high while the counterpart contribution was still too low (around 4%).

B) Specific Recommendations

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

1. Further improve the preliminary problem identification by providing information on the area to be targeted by the future project, and for which an appropriate PES scheme could be developed and implemented in the future;
2. Prepare the ITTO budget in line with the above overall assessment **and** specific recommendations and also in the following way:
  - a) Further reduce the ITTO budget by:
    - deleting budget costs not justified in the preliminary problem identification, implementation approaches and work plan [driver (budget item 12.3), workshops participants (budget item 15.1), venue hiring (budget item 15.2)],
    - further reducing some budget costs and provide correlated explanation in the implementation approaches (fuel, office supplies),
  - b) Recalculate the ITTO Programme Support Costs (sub-item 85) so as to conform with standard rate of 12% of the total ITTO project costs (on budget items 10 to 82), and;
3. Include an Annex that shows the overall assessment and specific recommendations of the 51<sup>st</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 Fifty-first Panel

A) Overall Assessment

The Panel acknowledged the importance of the pre-project for conducting a survey and organizing a multi-stakeholder forum for promoting agroforestry and restoration of degraded lands in the Kerala state, India. It also noted that at the end of the pre-project, a full project proposal will be formulated to address the effective conservation and sustainable use of the selected rare, endemic and threatened timber species. However, the Panel considered the proposal should provide further details on some aspects relating to tenure rights and agroforestry system. With regard to the pre-project budget, the Panel pointed out that the budget presentation should follow the standard guidance of the ITTO Manual for Project Formulation (2009).

B) Specific Recommendations

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

1. Avoid the use of an abbreviation in the pre-project title. In light of this, "RET" should be spelled out if needed;
2. Improve Section 2.2. (Preliminary problem identification) by providing more information on the tenure rights of the local communities in the proposed core project site. Elaborate the intended agroforestry system to support the effective conservation, restoration and sustainable management of the targeted timber species;
3. In view of the importance of increasing collaboration between the Executing Agency and Collaborating Agencies, provide more information on the expected cooperation with the Department of Forests and Wildlife, Kerala State and the International Partnership for Satoyama Initiative during pre-project implementation;
4. Improve the budget presentation in accordance with the guidance of the ITTO Manual for Project Formulation. The Executing Agency's contribution such as in-kind contribution should be specified as a counterpart contribution to the pre-project;
5. Correct the pre-project duration between 12 months stated on the cover page of the proposal and 18 months specified in the works plan;
6. Review the pre-project's approach given the main scope of a pre-project. Influencing policies might not be highly relevant for this specific pre-project;
7. Improve Section 4.2 (Project management) by describing any arrangements for the implementation of the pre-project and responsibility among the pre-project management team members; and
8. Include an annex that shows the recommendations of the 51st Expert Panel and the respective modifications in tabular form. Modifications should also be highlighted (bold and underline) in the text.

C) Conclusion

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

PPD 186/16 (F)

**Establishment of Enabling Conditions for the Restoration and Sustainable Development of Forests in the Southern Area of the Sierra de Lacandon National Park, Maya Biosphere Reserve, Guatemala**

Assessment by the Fifty-first Panel

A) Overall Assessment

The Panel acknowledged the importance of the pre-project for the formulation of a full project proposal to promote the sustainable management of the buffer zone in the Southern Area of the Sierra de Lacandon National Park, Maya Biosphere Reserve, Guatemala. The Panel also felt that the proposal was well written in accordance with the ITTO Manual for Project Formulation (2009).

However, the Panel concerned about the effective engagement of the Sierra de Lacandon National Park Authority and concerned national/local governments in the pre-project identification. In view of the importance of developing buffer zone management plans in line with the existing management plan of the Sierra de Lacandon National Park, the Panel felt that the design and formulation of the proposal should be further improved. With regard to the pre-project budget, the Panel noted that a substantial amount has been allocated to the project personnel and questioned how the Sierra de Lacandon National Park Authority and concerned national/local governments could contribute to the pre-project to ensure its sustainability.

B) Specific Recommendations

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

1. Further elaborate the interest expressed by the local communities and how the proposal has been built from such interest in Section 1.1 (Origin);
2. Review the formulation of Output 1 and Output 2. The description of Output 1 appears to be a pre-project activity rather than an output. Output 2 (MOU with local communities) might not be necessary to include in the formation of the pre-project given the general scope of a pre-project. Due attention is invited to the collection of baseline data and information to support the development of community-based buffer zone management plans in line with the existing management plan of the Sierra del Lacandon National Park;
3. Improve the pre-project organizational structure by specifying the expected engagement and contribution of the Sierra del Lacandon National Park and concerned national/local government organizations;
4. Reduce the project budget for project personnel while consider increasing the contribution of the Sierra del Lacandon National Park and concerned national/local government organizations; and
5. Include an annex that shows the recommendations of the 51st Expert Panel and the respective modifications in tabular form. Modifications should also be highlighted (bold and underline) in the text.

C) Conclusion

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

**Assessment by the Fifty-first Panel**

A) Overall Assessment

The Panel noted that the revised project proposal was significantly improved and most issues were addressed in accordance with the assessment and specific recommendations of the previous EP meeting.

B) Specific Recommendations

1. Revise the budget for ITTO ex-post evaluation to USD 10,000. Increase the budget contribution of Indonesian Government to at least 10%;
2. Add TORs for all Sub-contracts;
3. Include an Annex that shows the overall assessment and specific recommendations of the 51st 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 Fifty-first Panel**

A) Overall Assessment

The Panel acknowledged the revision made by the proponent. The Panel noted that the project proposal is not in full conformity with the ITTO manual for project formulation. Therefore, the Panel considered that careful revision of the project proposal, in accordance with the ITTO manual, is deemed necessary.

The Panel was of the view that many of the 50th Panel's recommendations were not sufficiently addressed.

The whole project proposal should be modified and further reviewed so as to incorporate the recommendations detailed as below.

B) Specific Recommendations

1. Shorten the Project Brief in accordance with the ITTO Manual for project formulation;
2. In Section 1.2.1, rearrange this section with respective sub-titles; In Section 1.3, include Sub-section of Social, cultural, economic and environmental aspects;
3. In Section 2.1, improve the stakeholder analysis. Remove duplication stakeholders presented in the Table (planting, logging households);
4. In Section 2.2, revise the title of the problem tree in accordance with the ITTO manual;
5. Reformulate the problem tree and the objective tree in accordance with the ITTO manual. Reformulate the project's outputs and activities accordingly to the changes of the problem tree and the objective tree;
6. Rewrite (improve the wording) the development objective and the specific objective in accordance with the ITTO manual;
7. Reformulate the budget arrangement in full conformity with the ITTO manual. Move the budget tables to the main body text (not as the annexes);
8. In 4.2, clarify that the established project steering committee is for the internal purpose of the Executing Agency. Please refer to the eligibility of establishment of the project technical committee for a small project; and
9. Include an Annex which shows the recommendations of the 51st 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 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 Fifty-first Panel**

A) Overall Assessment

The Panel acknowledged the efforts made by the proponent to improve the project proposal.

The Panel opined that a discussion on efficient use of raw materials for wood-based industry in Ciamis District needs to be presented in the project proposal. A specific training for improving efficient utilisation of raw materials also needs to be added to the project's activities.

B) Specific Recommendations

1. In Section 1.1, refine more the Origin to appropriately justify the importance to implement the project;
2. In Section 1.4, refine the expected outcomes to concisely figure out attainable project's achievement and their possible positive impacts;
3. In Section 3.1.2, clarify further Activity 2.2 (why the system need to be installed in the SMWIs?) and Activity 2.5. (why this activity is needed since the logs from the district will be used in the place);
4. Include an Annex which shows the recommendations of the 51st 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 815/16 (I)

**Strengthening Efficiency in Acacia Processing in Viet Nam  
(Vietnam)**

**Assessment by the Fifty-first Panel**

A) Overall Assessment

The Panel recognized the efforts by the Government of Vietnam as the new member of ITTO to submit the proposal to ITTO. The Panel acknowledged the importance of the project idea for contributing to the strengthening efficiency in Acacia processing. However, the Panel opined that the project targets are too ambitious in contrary with its small proposed budget.

The Panel noted that the project proposal is not in full conformity with the ITTO manual for project formulation. Some sections of the proposal are missing. Therefore, the Panel considered that careful revision of the project proposal, in accordance with the ITTO manual, is deemed necessary.

The Panel was of the view that, in order to increase the chance of a successful project, the proponent needs to liaise with the WWF Vietnam who had made an attempt to develop and implement a similar project's objectives (the project had been suspended) in collaboration with the Thunen Institute of International Forestry and Forest Economics and with the support of the Germany Government.

B) Specific Recommendations

1. Add a project brief of 2-3 pages;
2. In Section 1.1, improve the Origin to clearly justify the importance of the project;
3. In Section 1.3, improve the presentation of the map. Enhance the presentation of the project sites. In Sub-section 1.3.2, add explanations on environmental aspects;
4. In Section 1.4, rephrase the paragraphs to elaborate less ambitious expected outcomes;
5. In Section 2.1, improve the stakeholder analysis. Remove duplication stakeholders presented in the Table (planting, logging households);
6. In Section 2.2, revise the problem analysis, problem tree and objective tree in fully conformity with the ITTO manual;
7. Reformulate Section 3.1 and 3.2 in fully conformity with the ITTO manual. Use a passive language to formulate the outputs and properly rewrite the language of the activities;
8. Reformulate the budget arrangement in full conformity with the ITTO manual. The budget allocation for experts is not realistic (too small). Allocate USD15,000 for ITTO monitoring and evaluation, USD10,000 for ex-post evaluation and recalculate the ITTO program support cost at 12%;
9. Improve the contents of Part IV in accordance with the ITTO manual;
10. Include an Annex which shows the recommendations of the 51st 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 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 Fifty-first Panel**

A) Overall Assessment

The Panel recognized that the aim of this project is to strengthen the timber production and marketing system along the supply chain in Southern Peru.

However, the Panel noted the weaknesses in the overall formulation of the proposal, especially in the sections of project origin and location, conformity with ITTO's objectives and priorities, expected outcomes, the stakeholders and problem analysis, development and specific objective and their indicators, outputs and activities, the project budget, and implementation arrangements.

The Panel especially noted that this project is duplicated in many aspects with another ITTO project PD 540/09 Rev.2 (I) "Support to Improve the Productivity of the Peruvian Timber Industry for the Production of Higher Value-Added Products" which was implemented between 2012 and April 2015.

Nevertheless, the Panel appreciates the potential of this project and encourages the proponent to reformulate the proposal by taking into account the above comments.

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 823/16 (I)

**To Promote the Processing and Marketing of *Gmelina Arborea*  
Timber in Benin (Benin)**

**Assessment by the Fifty-first Panel**

A) Overall Assessment

The Panel recognized that the aim of this project is to promote the processing and marketing of *Gmelina Arborea* timber in Benin. The Panel confirmed that the project proposal is in conformity with the ITTO objectives and priorities as its aim is to promote the use of *Gmelina Arborea* in local markets. It also positively acknowledges that it promotes gender balance.

However, the Panel noted a number of weaknesses in the activities and budget sections of the project proposal. As a global conclusion, the project might be seen too ambitious for its implementation at a national level and one implementation in two or three pilot sites would be more achievable. It is also highly recommended than before implementing the project, an assessment on the quality of *Gmelina Arborea* timber in Benin should be addressed as well as a study of what is feasible industrially wise (including the industrial requirements and processes) with the *Gmelina Arborea* timber.

B) Specific Recommendations

1. Provide more information on the *Gmelina Arborea* timber plantations especially on their current capacities and on their current allowable cuts in the Project Context section 1.1.1 Origin.
2. Indicate the number of carpenters to be trained in Activity 1.2.
3. Move Activity 1.3 before Activity 1.2 as the equipment has to be provided before the training starts.
4. It is stated in section 1.2.1 that the project proposal complies with ITTO objectives paragraphs k and p of the ITTA, 2006 but they are not listed in this section.
5. The maps used in figure 1.b appear to be the same as the maps used in PD 822/16. These maps are not specific to the plantations of *Gmelina Arborea* timber but they show all the plantations in Benin. Please provide a detailed map of the plantations of *Gmelina Arborea* only.
6. Activity 2.1 should be rephrased from “identify a marketing strategy” to “develop a marketing strategy.”
7. Activity 2.2 and 2.3 in the Work Plan differs with Activity 2.2 and 2.3 in section 3.2.
8. Activity 2.4 has been added in the Work Plan (section 3.4) and budget matrix (section 3.5.1) while it is not stated in section 3.2. The Work Plan should be consistent with section 3.2.
9. The Activities listed in the Budget should match with section 3.2 and the Work Plan.
10. The ITTO program support cost should be added in the budget matrix.
11. The DSA of the training workshop could be decreased from \$80 (which seems very high) to \$40 in Activity 1.2.
12. The specifications of the wood seasoning kiln in Activity 1.3 should be clearly stated.
13. The Budget component 49 (\$72,400) in the Consolidated Budget does not match with activity 1.3 in the budget matrix (\$70,000). The breakdown of \$2,400 stated in component 49 for month 2 in the Consolidated Budget is not included.
14. The project coordinator and project management and monitoring costs are missing in the Consolidated Budget (section 3.5.2).
15. The budget component 11.1 of project coordinator (\$ 14,400) is missing in the budget of executing agency contribution.
16. Recalculation the total budget of project proposal of table budget matrix (section 3.5.1), consolidated budget (section 3.5.2), ITTO budget contribution (section 3.5.3) and budget of executing agency contribution (section 3.5.4)
17. All expenses related to consultants (as Budget component 212 “trainer consultant to timber processing” for example) and staff should be moved to the Budget component 10 “personnel.”
18. In component 49 of Section 3.5.1, provide a breakdown of \$1,200 for month 2. For component 612 (*workshop*), the workshop should be 5 days instead of 10 as stated in the Consolidated Budget.
19. The national implementation of this project seems too ambitious and a proposal of an implementation on two or three pilot sites would be more feasible and achievable.
20. Please provide a study of what is feasible industrially wise with *Gmelina Arborea* timber. Please also provide an analysis of the quality of *Gmelina Arborea* timber in Benin.
21. The Panel noted that some sentences page 1 and page 7 were not translated in the English version of the Project Proposal.
22. Include an Annex that shows the overall assessment and specific recommendations of the 51st Expert Panel and respective modifications in tabular form, while making sure to add the pages indicating where to find elements addressing the overall assessment and specific recommendations in the

revised version of the project proposal document. 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 Fifty-first Panel**

A) Overall Assessment

The Panel acknowledged the efforts made by the proponent to improve the project proposal in accordance with the overall assessment and recommendations provided by the 50th Expert Panel. However, the Panel is in the position to request further improvement of the project proposal in full conformity with the ITTO manual for project formulation.

The Panel recognized a risky environment for project implementation due to the process of reforming the legal status of tree ownership is still going on. Explanations to ensure smooth project implementation are required.

The Panel also noticed that the budget arrangement was not properly revised.

B) Specific Recommendations

1. In Section 2.1.2, reformulate in accordance with the ITTO manual, including improving the columns' titles of the table;
2. In Section 2.1.4, reformulate in accordance with the ITTO manual, including improving the columns' titles of the matrix. List of the activities must be taken out from the matrix;
3. In Section 3.1.1, consolidate the outputs with the outputs presented in the LFM;
4. In Section 3.1.2, revisit the activities. Remove irrelevant activities' indicators, such as indicator 1 of the Activity 2.2. Remove Activity 4;
5. In Section 3.3, improve the Work Plan in accordance with the ITTO manual;
6. In Section 3.4, reformulate the project budget in accordance with the ITTO manual. Clarify the project personnel status in relation to their salary and benefits received from the Association. Scale down the portion of the project budget for personnel. Avoid miscalculation in the budget tables. Include the budget allocation for ITTO project monitoring and administration (USD25,000 for monitoring, USD10,000 for ex-post evaluation and calculate the program support costs at 12%);
7. In Annex 2, clarify the listed personnel position in the Association and in the Project Management Team;
8. Include an Annex which shows the recommendations of the 51st 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 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 Fifty-first Panel**

A) Overall Assessment

The Panel acknowledged the efforts made by the proponent in revision of the project proposal and noted that the revised proposal has been improved in some sections according to the recommendations from last Expert Panel.

However, the Panel also noted that a number of remaining weaknesses in relevant sections and sub-sections, especially the project origin, problem analysis, development and specific objective and indicators, and the project budget.

The Panel was of the view that, in order to increase the chance of a successful project, the proposal should be further modified so as to incorporate the recommendations detailed as below.

B) Specific Recommendations

1. Delete the last paragraph in the Origin section of page 6 and add information relating to the relevant completed and ongoing ITTO projects;
2. Restructure the problem analysis with clearer logical links between the key problem and its causes and effects, using the correct problem tree format from the Manual; the key problem and causes turn to be specific objective and outputs respectively in objectives tree. .
3. The indicators for development objective and specific objectives were still not quantitative and time-bound. There's a need for further modification;
4. ITTO and counterpart budget by component need to be refined with specific and detailed items and sub-items as a master budget plan under the sub-section 3.4.1, referring the format page 49 the manual ; annex 5 attached to the proposal can be used with small modification
5. Move the budget table by activity from the Annex to main text and combine with the table of 3.4.4;
6. Continue to significantly reduce the budget for personnel by reviewing the actual need for the employment of those experts, consultants, assistants and other personnel;
7. Include an Annex that shows the overall assessment and specific recommendations of the 51st Expert Panel and respective modifications in tabular form, while making sure to add the pages indicating where to find elements addressing the overall assessment and specific recommendations in the revised version of the project proposal document. 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 796/15 Rev.1 (M)

**Establishing a System for the Collection, Storage, Processing and Dissemination of Forest and Wildlife Statistics in Cameroon (Cameroon)**

**Assessment by the Fifty-first Panel**

A) Overall Assessment

The Panel recognized that the aim of this project is to establish a system for the collection, storage, processing and dissemination of forest and wildlife statistics in Cameroon. The Panel recognized that most of the recommendations of the previous Expert Panel were taken into account in this revised version of the project proposal.

However, some minor changes are requested to be implemented in this revised project proposal especially on the activities and the budget.

B) Specific Recommendations

1. Following the previous Expert Panel recommendations, Activity 3.1 (*order and acquire new equipment*) is not an Activity and should be removed from Section 3.1 and from the Work Plan.
2. The listing of the Activities titles in the Work Plan has to be consistent with the titles of the Activities listed in Section 3.1.
3. Output 3 should be rearranged as it can be confusing and difficult to achieve.
4. New strategic activities have been added to the project leading to an increase of the ITTO budget share but to a decrease of the Executing Agency budget. The increase of the budget needed for the inclusion of new strategic activities has to be rebalanced between the ITTO budget and the Executive Agency budget.
5. The ITTO budget per components (Section 3.4.1) should be more detailed and consequently needs to be reformatted to include more detailed components and follow the ITTO manual formulation.
6. Provide the funding share between ITTO and the Executing Agency by Activities.

C) Conclusion

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

**Assessment by the Fifty-first Panel**

A) Overall Assessment

The Panel recognized that the aim of this project is to enhance the dissemination of forest information and building institutional capacities. The Panel recognized that some of the recommendations of the previous Expert Panel were taken into account in this revised version of the project.

However, the Panel noted two major weaknesses in the project proposal: the budget and the statement of the key problem to be tackled by the implementation of the project. The budget allocated for such project is too high as personnel/travel expenses represent roughly 50% of the project cost. Moreover, the key problem of this project was not exactly specified and modified in this revised project submission.

B) Specific Recommendations

1. Controlling deforestation and forest degradation is not the key issue of the project as the title of the project is the enhancement of the dissemination of forest information. Improving the access of forest information should be the main objective of this project.
2. The Panel noted that the personnel expenses were quite high (roughly 1 million dollars) as well as the travels (roughly 500,000 dollars) requested for the project implementation. Moreover, the software and the website maintenance also present high costs. The Panel was also seeking clarifications and description of the FTI (*initiative pour la transparence forestière*) and PIAT (plateforme intégrée d'affectations des terres) systems and how their updating and development could be undertaken.
3. The Panel questioned on the feasibility to coordinate a project in three African countries from the US.
4. The Panel noted that the category 60 of the Budget (*miscellaneous*) was above \$1,000,000 and such high expense component should be considered as an activity instead of a miscellaneous category.
5. Finally, the Panel suggested that such a project could be implemented in one country only (as the collaboration between the three suggested countries is not clear in terms of agreement and efficiency on the outputs of the project) and that a large share of the personnel and travel expenses could be financed by the Executing Agency of the implementing country.

C) Conclusion

Category 4: The Panel concluded that it could not commend the proposals to the Committee, and submits them to the Committee with the recommendation not to approve the project proposal.

PD 809/16 (M)

**Building the Capacity for Forest Law Enforcement and Local Governance in the Industrial and Commercial Use of Wood and Timber in the Segou Region, Mali (Mali)**

**Assessment by the Fifty-first Panel**

A) Overall Assessment

The Panel recognized that the aim of this project is to build the capacity for forest law enforcement and local governance in the Segou region in Mali. The Panel confirmed that the project proposal is in conformity with the ITTO objectives and priorities.

However, the Panel noted that this new project proposal was actually a project assessed category 4 in the last Expert Panel where some modifications were added. Nevertheless, these additional modifications could not offset the weaknesses of the original category 4 project and the Panel strongly advises that the Executing Agency submits a new, completely reformulated project which would follow the Manual for Project Formulation. Overall, the Panel noted that this project proposal was very difficult to follow on the outcomes and goals. Finally, the Panel positively noted that the Executive Agency was willing to use a vehicle which was already owned which allowed a lower budget.

B) Specific Recommendations

1. Precise the outcomes as they seem vague and not very well described.
2. The stakeholders' analysis and the logical framework matrix don't match with the Project Manual for Formulation.
3. The project proposes two objectives while the manual refers to one objective only.
4. Risks and sustainability are not mentioned in the project proposal.
5. The Panel noted that an NGO cannot do the government's work as it cannot enforce forest laws and cannot replace the government in the local governance.

C) Conclusion

Category 4: The Panel concluded that it could not commend the proposals to the Committee, and submits them to the Committee with the recommendation not to approve the project proposal.

**Assessment by the Fifty-first Panel**

A) Overall Assessment

The panel recognized the importance of the topic of the project proposal to promote sustainable forest management in Ghana. However, the project proposal encountered with significant weaknesses in explaining the co-functioning of certification and FLEGT-VPA initiatives in relationship with the concept of sustainable forest management. The Panel also noticed that the project proposal failed to comply with the ITTO manual for project formulation.

B) Conclusion

Category 4: The Panel concluded that it could not commend the proposals to the Committee, and submits them to the Committee with the recommendation not to approve the project proposal.

PD 817/16 (M)

**Strengthening of the Timber Value Chain by Small and Medium Producers in the Caribbean Region of Costa Rica (Costa Rica)**

**Assessment by the Fifty-first Panel**

A) Overall Assessment

The Panel recognized that the aim of this small project is to strengthen the economy and generate environmental benefits for community families in the Caribbean region of Costa Rica by marketing higher value added timber products through marketing chains.

However, the Panel noted a number of weaknesses in relevant sections and sub-sections, especially the project relevance, target area, institutional set-up, the stakeholders and problem analysis, development and specific objective and indicators, outputs and activities, the project budget, and implementation arrangements.

The Panel further noted that in many sections ITTO format were not correctly used and proponent needs to closely check the manual for project formulation in revising the project proposal.

The Panel was of the view that, in order to increase the chance of a successful project, the proposal should be modified and further reviewed so as to incorporate the recommendations detailed as below.

B) Specific Recommendations

1. Add more key information of the project in the cover page, such as development and specific objective and main outputs;
2. Add the table of contents and acronyms;
3. List related ITTO objectives with their numbers in ITTA 2006 and describe how the implementation of this project will contribute to the realization of those objectives; and consider to add objective (n) of article 1 of ITTA 2006 based on the nature of the proposed project.
4. Elaborate more information of the project regions and the targeted area should be clearly identified in the map;
5. Restructure the problem analysis with a clear key problem and its logical links with causes and effects;
6. Delete the table in 2.3 Objective section and refine the specific objectives with a clear target that the project will aim at. The key problem turns to be the specific objective;
7. Modify the indicators for development objective and specific objectives with quantitative and time-bound elements;
8. Outputs and activities are not logically elaborated and need to be reformulated in line with the objectives. Causes and sub causes identified will turn to be outputs and activities respectively;
9. Be aware of consistency of outputs in different sections such as activity, workplan, budget lines;
10. Restructure project activities by deleting those non-activity elements such as planning, evaluation, management, and control etc. Add numbers to the activities;
11. Budget tables should follow the manual;
12. Add ITTO budget by component and the counterpart budget by component;
13. Clarify why the project coordinator only work for year1;
14. Explain the necessity for purchasing the vehicle for such a small project;
15. Add ITTO monitoring cost and modify ITTO programme support cost with 12%;
16. Budget from the government and ITCR were not mentioned in the budget section;
17. Clarify what is "ITTO resources" in the last line of table budget by activity;
18. Improve the implementation arrangements with a clear relationship between the executing agency and the government;
19. Clarify the who will involve in the project management team and what's the composition of the project technical committee;
20. In 4.3, the representative of ITTO will be from ITTO Secretariat;
21. Provide the cooperation evidence with the implementing partners such as ITCR and CATIE;
22. Add the terms of reference of personnel and consultants funded by ITTO;
23. Include an Annex that shows the overall assessment and specific recommendations of the 51st Expert Panel and respective modifications in tabular form, while making sure to add the pages indicating where to find elements addressing the overall assessment and specific recommendations in the revised version of the project proposal document. 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 Fifty-first Panel

#### A) Overall Assessment

The Panel recognized that the aim of this small project is to collect and disseminate updated information on national and international forest markets so as to promote forest conservation, the marketing of forest products and services, and forest governance in Peru.

However, the Panel noted a number of weaknesses in relevant sections and sub-sections, especially target area and map, institutional set-up, the stakeholders and problem analysis, development and specific objective and indicators, outputs and activities, the project budget, sustainability and implementation arrangements.

The Panel suggested the project concentrating on forest products and excluding forest service due to the implementation complexity of the project.

The Panel was of the view that, in order to increase the chance of a successful project, the proposal should be modified and further reviewed so as to incorporate the recommendations detailed as below.

#### B) Specific Recommendations

1. Clarify the target area of the project and provide more information about the geographic location;
2. List the related ITTA objectives and ITTO priorities;
3. Refine the stakeholder analysis by including government stakeholders and elaborate how they will be involved in the project. Identify the links between the primary stakeholders;
4. The indicators for development objective and specific objective need more baseline information to support which may be presented in section 1.3.2;
5. Improve the logical links between the objectives, outputs, and activities of the project, particularly the links of Output 3 with other outputs;
6. Clarify how webpage in Activity 1.3 will update sustainably;
7. Revise budget structure by using the correct ITTO format;
8. Move the budget table by activity from the Annex to main text;
9. Delete budget tables of 3.4.3 and 3.4.4;
10. Reduce the budget for personnel by reviewing the actual need for the employment of those experts, consultants, and assistants;
11. Clarify the high rate of budget item 61. Sundry;
12. Increase ITTO programme support cost with 12%;
13. Also elaborate in Section 3.5.2 Sustainability how to continue the website after the project completed;
14. Include an Annex that shows the overall assessment and specific recommendations of the 51st Expert Panel and respective modifications in tabular form, while making sure to add the pages indicating where to find elements addressing the overall assessment and specific recommendations in the revised version of the project proposal document. 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 Fifty-first Panel**

A) Overall Assessment

The Panel recognized that the aim of this project is to establish the certification of forest plantations managed by the Office National du Bois (ONAB). The Panel confirmed that the project proposal is in conformity with the ITTO objectives and priorities.

However, the Panel noted a number of important weaknesses in Activities, Objectives, Work Plan, Methods, Budget and Risks Assessment which would make the outputs of the project very difficult to attain. Overall, the Panel noted a certain confusion of the definition of PCI, whether these PCI will be nationally adopted for ITTO Sustainable Forest Management (SFM) or will these PCI used for a forest certification under international bodies such as FSC. This lack of clarity undermined the submission of the project proposal. The project proposal does not explain what SFM policy has been applied in the plantations and there is no visibility on how certification should be implemented and which certification the stakeholders would use. Moreover, the project's goal of full certification of all plantations seems very ambitious and somehow unrealistic as the Risks assessment seems to have been underestimated.

B) Specific Recommendations

1. Providing a detailed outcome of the PPD 167/13 Rev. 1 (M) would help to clarify the PCI which have been undertaken in Benin and would also clarify what type of training for certification would be undertaken in Activity 1.4.
2. The improvement of the social aspects should be a pre-requisite and not an outcome of the project.
3. Define what would be the role of the communities in the plantations.
4. Update the maps as they coincide with PD 823/16 proposal which mixes all plantations. A map of the specific plantations of teak should be provided.
5. Please provide an historical update of the plantations, as it seems that all plantations have been established up to 1992 and that there is no statement what happened since 1992.
6. The Forestry Administration and the National Timber Board (ONAB) seem to compete against each other and a clarification of the role of these two agencies should be provided.
7. Several risks have not been reported in the Risks Assessment such as illegal logging, conflict of interest between the owners of the plantations and the farmers and the explicit role of the government bodies.
8. Activities under 4 in Work Plan can be deleted as they are not Activities.
9. ITTO monitoring and costs have not been included in the Budget.
10. The title of the project is confusing as a project cannot certify forest plantations and as the certification scheme has not been clarified.

C) Conclusion

Category 4: The Panel concluded that it could not commend the proposals to the Committee, and submits them to the Committee with the recommendation not to approve the project proposal.

PD 830/16 (M)

**Pilot Project for Forest Chain Traceability in Northern Esmeraldas,  
Ecuador (Ecuador)**

**Assessment by the Fifty-first Panel**

A) Overall Assessment

The Panel recognized that the aim of this small project is to establish a traceability system to reduce illegal logging in Northern Esmeraldas, Ecuador.

However, the Panel noted a number of weaknesses in relevant sections and sub-sections, especially relevance with ITTO, target area and aspects, expected outcomes, the stakeholders and problem analysis, development and specific objective and indicators, outputs and activities, the project budget, and implementation arrangements.

The Panel was of the view that, in order to increase the chance of a successful project, the proposal should be modified and further reviewed so as to incorporate the recommendations detailed as below.

B) Specific Recommendations

1. Add the Project Brief and the List of Acronyms and Abbreviations;
2. List related ITTO objectives with their numbers in ITTA 2006 and describe how the implementation of this project will contribute to the realization of those objectives;
3. Provide information of illegal logging of the project targeted area in Sub-section 1.3.2;
4. Use the table for the stakeholder analysis with more information of the stakeholders with the interests, needs, characters, and involvement in project implementation;
5. Improve the problem analysis with a clear key problem and its logical links with causes and effects;
6. Modify the indicators for development objective and specific objectives with quantitative and time-bound elements;
7. Outputs and activities are not logically elaborated and need to be reformulated in line with the objectives;
8. Provide baseline information for the impact indicator;
9. Restructure project outputs by integrating Output 3 into Output 2;
10. Budget tables should follow ITTO format in the manual;
11. Add ITTO budget by component and the counterpart budget by component;
12. Add ITTO monitoring cost and modify ITTO programme support cost with 12%;
13. Significantly improve the implementation arrangements with a clear management and monitoring mechanisms and arrangements;
14. Add information on who will involve in the project management team and what's the composition of the project technical committee;
15. Include an Annex that shows the overall assessment and specific recommendations of the 51st Expert Panel and respective modifications in tabular form, while making sure to add the pages indicating where to find elements addressing the overall assessment and specific recommendations in the revised version of the project proposal document. 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 Fifty-first Panel**

A) Overall Assessment

The Panel recognized that the aim of this project is to increase institutional and local capacities in the monitoring and control of forest products by strengthening the legal forest production chain in Guatemala.

However, the Panel noted a number of weaknesses in relevant sections and sub-sections, especially the project target area, expected outcomes, the problem analysis, development and specific objective and indicators, outputs and activities, the project budget, and implementation arrangements.

The Panel was of the view that, in order to increase the chance of a successful project, the proposal should be modified and further reviewed so as to incorporate the recommendations detailed as below.

B) Specific Recommendations

1. Elaborate more information of the project regions and the targeted area should be clearly identified in the map;
2. Expect outcomes should be the results and impacts of project implementation rather than listing indicators of objective and outputs;
3. Restructure the problem analysis with a clear key problem and its logical links with causes and effects; the key problem and causes turn to be specific objective and outputs respectively in Objective tree.
4. Refine the development objective with a clear target that the project will aim at;
5. Modify the indicators for development objective and specific objectives with baseline information in support of the quantitative and time-bound elements;
6. Outputs and activities need to be more logically elaborated in line with the objectives;
7. Refined the indicators of outputs, some proposed indicators cannot be achieved according to Master budget plan.
8. Based on modifications above, refine Logical Framework Matrix in line with revised problem tree and objective tree.
9. Restructure the implementation approaches and methods and design related activities and budget items in response to the participatory approach, as well as business model and financial mechanisms for small enterprises;
10. Refine budget items in line with relevant project outputs and activities;
11. Reduce the budget for personnel by reviewing the actual need for the employment of those experts, consultants, and assistants;
12. Explain the necessity for purchasing the vehicle for such a project;
13. Include an Annex that shows the overall assessment and specific recommendations of the 51st Expert Panel and respective modifications in tabular form, while making sure to add the pages indicating where to find elements addressing the overall assessment and specific recommendations in the revised version of the project proposal document. 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.