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International Tropical  
Timber Organization

Sustaining Tropical Forests

# Expert Panel for Technical Appraisal of ITTO Project Proposals Report of Meeting 52 Yokohama, June 5 – 9, 2017

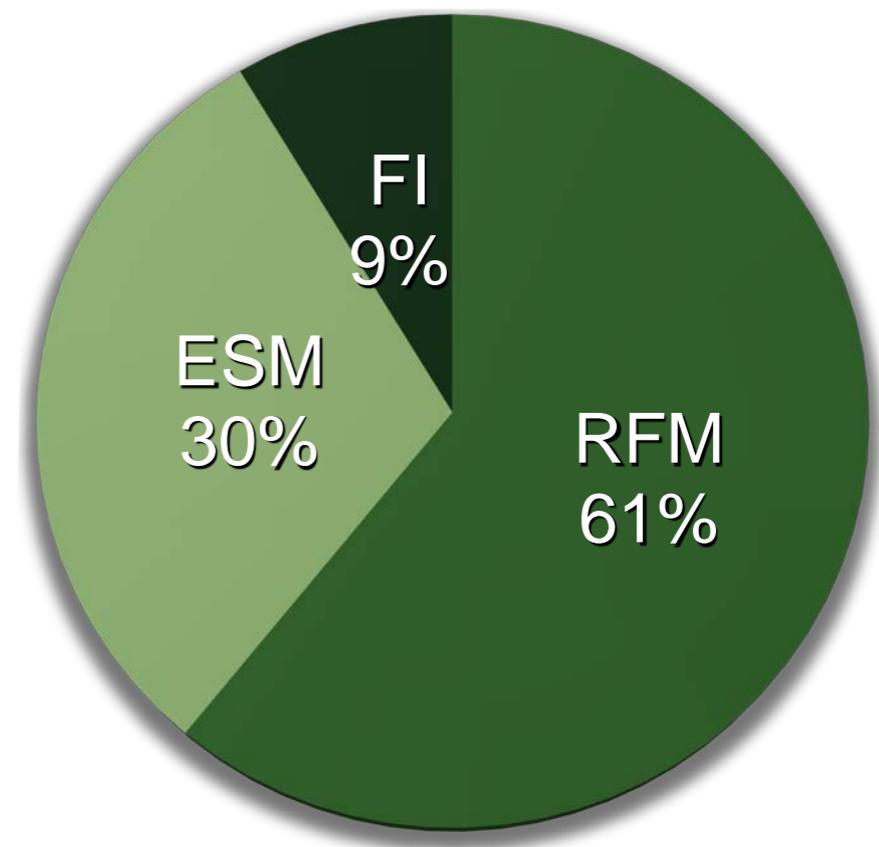
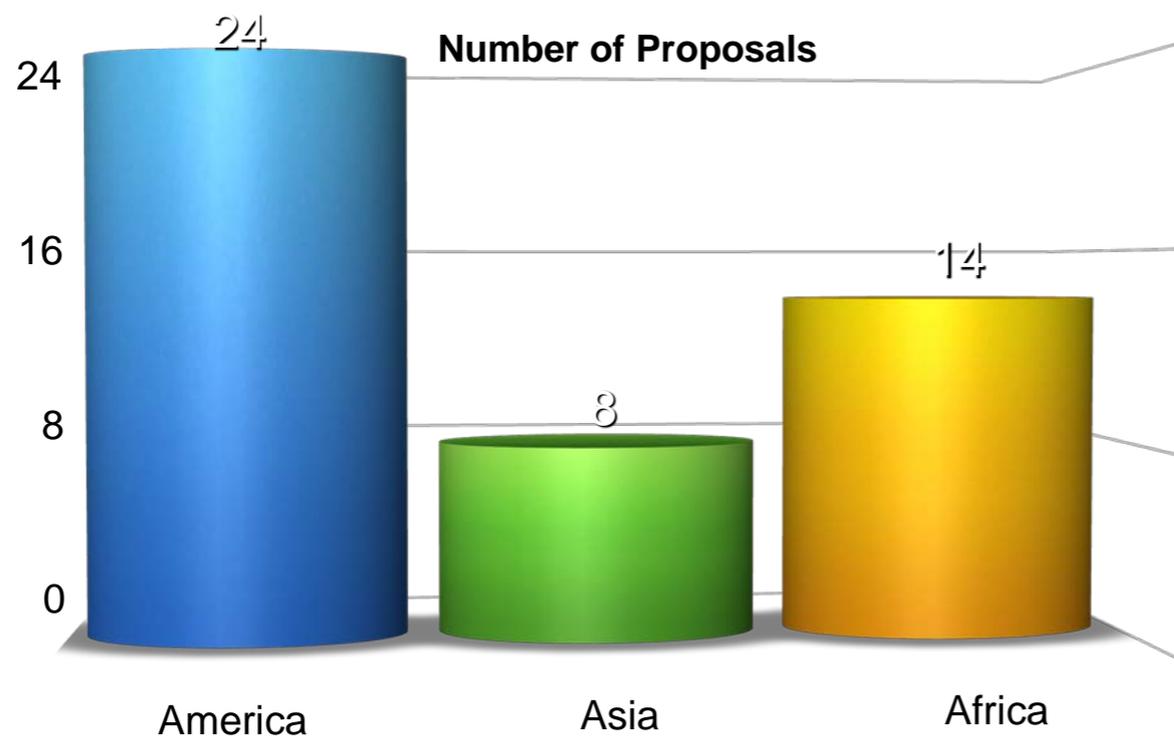
Joint Session of the Committees  
Yokohama, Japan  
27 November – 2 December 2017

Jobst-Michael Schroeder



# 46 proposals assessed in 2017

- Meeting held in Yokohama, Japan, 05 – 09 June 2017
- 42 project and 4 pre-project proposals evaluated
- Most of the proposals come from Latin America, Africa with rank 2 and Asia last, high percent of them dealing with RFM





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## Expert panel members in 2017

- **Mr. Eang, Savet (Cambodia)**
- **Mr. Kaffo Nzouwo, Eric (Cameroon)**
- **Mrs. Rigueira, Valéria Cristina (Brazil)**
- **Dr. Velázquez Martínez, Alejandro (Mexico)**
- **Dr. Korhonen, Kari Tapani (Finland)**
- **Mr. Lu, Wenming (China)**
- **Dr. Shim, Kug-Bo (Korea)**
- **Dr. Schroeder, Jobst-Michael (Germany)**
- **Mr. Takayanagi, Takeharu / Mr. Saito, Hiroyuki (Japan)**
- **Ms. Zamecnik, Alexandra (U.S.A.)**



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## Mandate for Expert Panel

- Assess pre-/project proposals in acc. with environmental, social and economic effects, cost effectiveness and need to avoid duplication of efforts
- Recommend amendments & if major, request resubmission
- Check relevance with ITTA Objectives and ITTO's decisions, work, plans, programs and guidelines
- Report on the results of the assessment
- Take into consideration previous reports of the EP



# The process

1. Presentation by 2 EP members (one consumer and one producer)
2. Additional background information from the Secretariat
3. Discussion by all members of the EP
4. Consensual conclusion on the category and the assessment
5. Drafting the report
6. Review of the report by all members



# Criteria for the assessment

- Based on the ITTO Manual for Project Formulation, 3rd edition
- And a comprehensive weighted scoring system to support the technical appraisal of each project proposal





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## The scoring system

The scoring system promotes the objective and efficient work of the expert panel by:

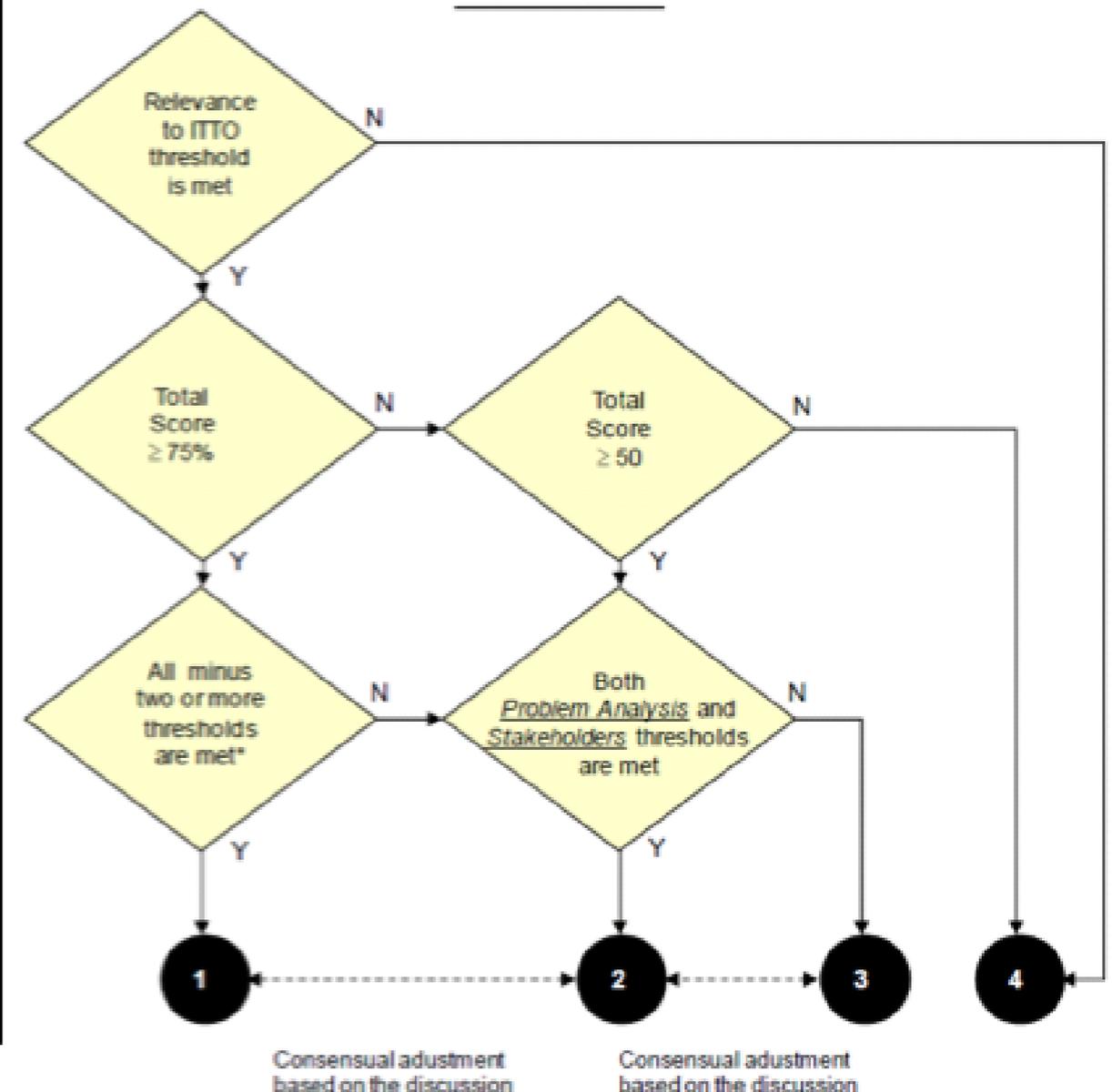
- Guiding the assessment
- Reducing the subjectivity
- Compelling to look close at all aspects
- Balancing the importance of the different aspects
- Promoting consistency
- Helping to issue recommendations
- Discussion by all members of the EP

The scoring system serves as a tool, but at the end the final decision depends on discussion



# The scoring system in practice

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





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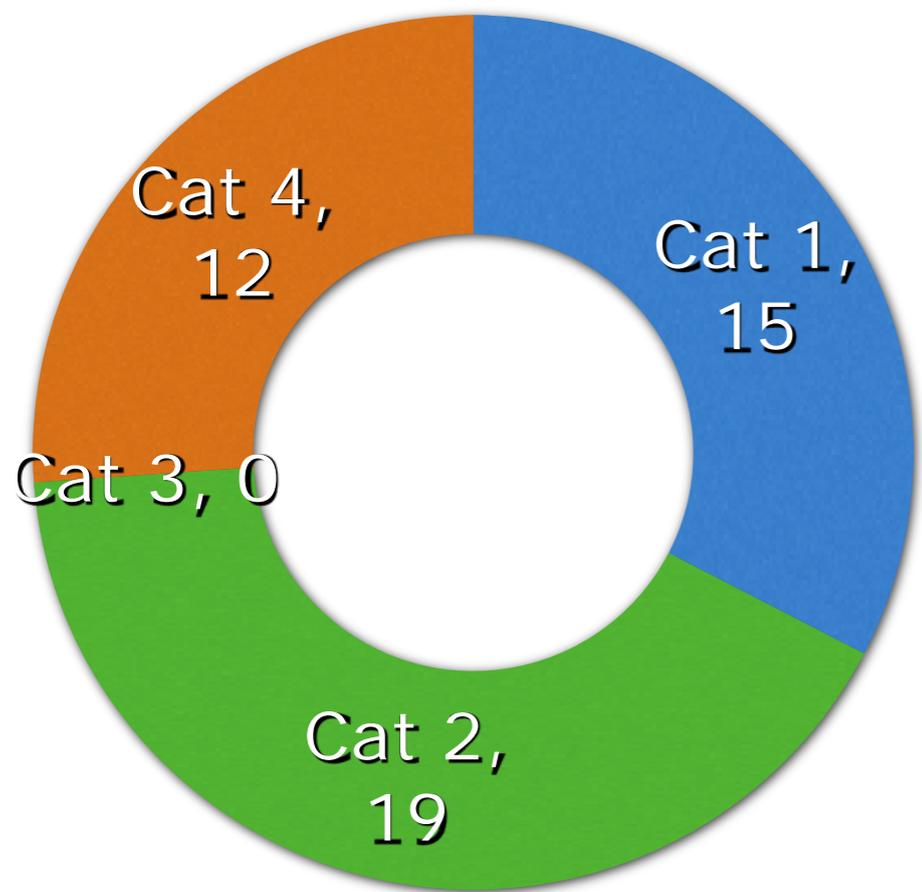
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## The final category

- **Category 1:** commended to the Committee
- **Category 2:** essential modifications > revision > resubmission to EP
- **Category 3:** Pre-project Proposal is required (either submitted to the EP for appraisal or directly submitted to the Committee)
- **Category 4:** not recommended and submitted to the Committee with recommendation not to approve the Project Proposal (e.g. *complete reformulation is necessary; or in case of the project rev.2 proposals, because they don't attend properly the recommendations made by the panel; insufficient information*)

## Major findings of the EP in 2017



- The proposals are submitted from government agencies, NGOs and local communities organizations addressing the various needs of the countries at national, regional and local levels
- Project sustainability after project completion was a frequent failure
- Proposals from new members often did not match with the criteria for project formulation
- Only 2 proposals covered transboundary topics
- Gender issues were seldomly incorporated
- Focal points in some cases did not screen proposals before submission
- *Guidelines for Environmental and Social Risks and Impact Assessments in ITTO Projects* were tested and found useful. But proposals must address the risks adequately (missing in Manual)



# Recommendations to proponents

- Seek guidance from the country's focal points
- Follow the Manual für project formulation, esp. for problem analysis, logical framework, stakeholders, budget and sustainability
- Carry out in depth analysis of all parties affected by the project, either positively and negatively.
- Consider gender issues that promote women's participation in the project and indigenous groups
- Revised proposals: Pay attention to recommendations of the EP
- Make use of searchable data tool „Project Search“



# Recommendations to Countries and Focal Points

- Strengthen ITTO's focal points
- Provide funding for training on project formulation
- Contribute to disseminate relevant ITTO guidelines and results of previous or ongoing projects
- Focal points should carefully screen proposals before submission
- Focal points may encourage Forest Industry proponents to submit proposals



# Recommendations to ITTO

- Provide training on project formulation
- Enhance the capacity of new members in project formulation
- Reinforce the role and involvement of ITTO's focal points
- Further promote the use of ITTO guidelines
- Seek to shorten the timeframe from proposal submission to implementation of the project
- Review the *Guidelines for Environmental and Social Risks and Impact Assessment* including the checklist and include it in the ITTO manual



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**Thank you for  
your attention!**



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