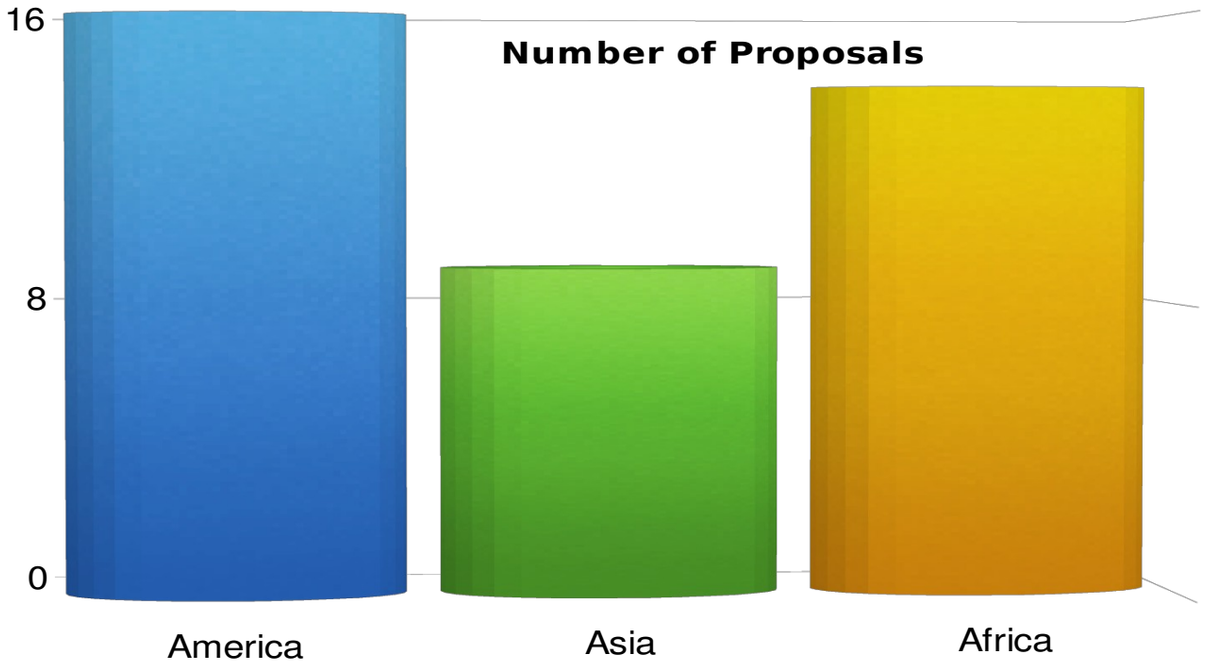
Expert Panel for Technical Appraisal of ITTO Project Proposals Report of Meeting 53
Yokohama, July 9 – 13, 2018

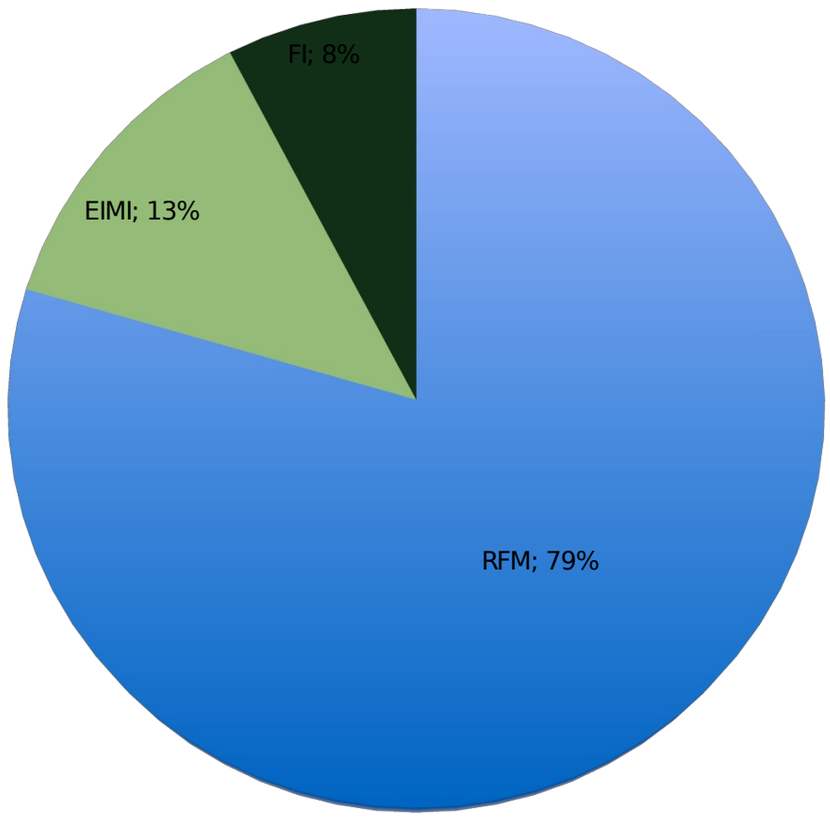
Joint Session of the Committees
Yokohama, Japan
5 - 9 November 2018

Jobst-Michael Schroeder

39 proposals assessed in 2018

- Meeting held in Yokohama, Japan, 9 – 13 July 2018
- 36 project and 3 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





ITTO International Tropical Timber Organization

Sustaining Tropical Forests

Expert panel members in 2018

- **Mr. Eang, Savet (Cambodia)**
- **Dr. Iddrisu, Mohammed Nurudeen (Ghana)**
- **Mr. Leigh, John (Peru)**
- **Mr. Lokossou, Achille Orphée (Benin)**
- **Dr. Sidabutar, Hiras (Indonesia)**
- **Dr. Velázquez Martinez, Alejandro (Mexico)**
- **Mr. Konishi, Rikiya (Japan)**
- **Dr. Korhonen, Kari Tapani (Finland)**
- **Dr. Schroeder, Jobst-Michael (Germany)**
- **Dr. Shim, Kug-Bo (Korea)**
- **Ms. Zamecnik, Alexandra (U.S.A.)**

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

The scoring system

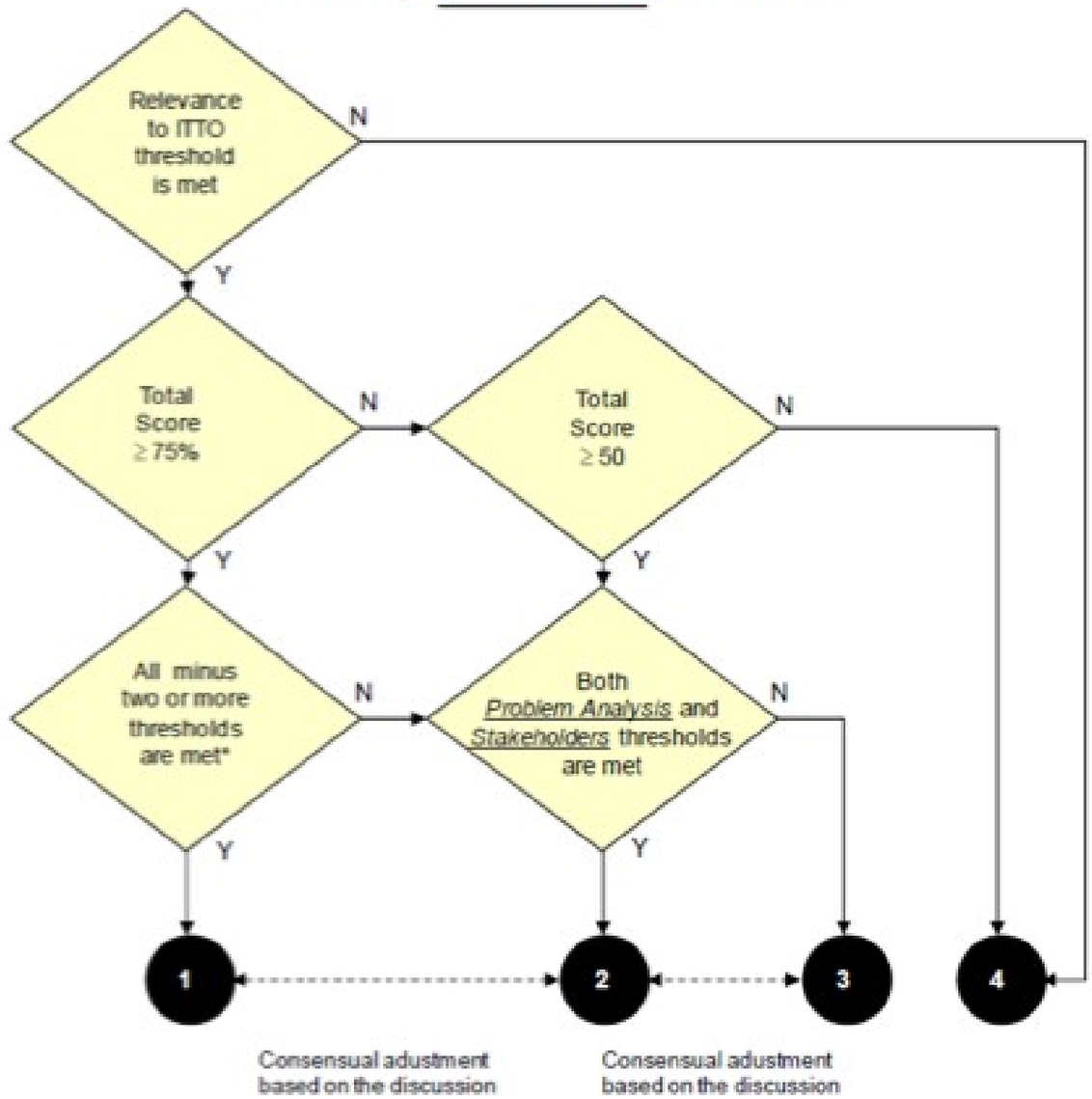
The scoring system promotes the objective and efficient work of the expert panel by:

- 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.

1.			**Project relevance, origin and expected outcomes (15)**
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)
2.			**Project identification process (25)**
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*
3.			**Project design (45)**
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)
4.			**Implementation arrangements (15)**
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)

The scoring system in practice



The final category

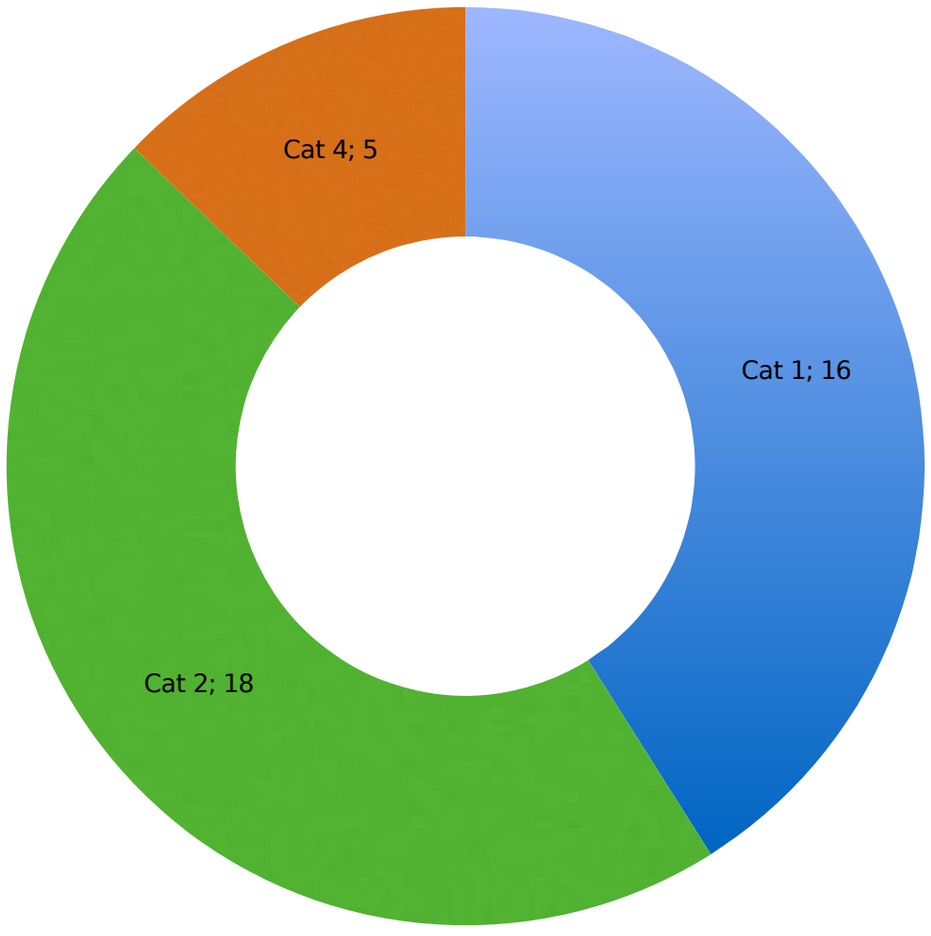
- **Category 1:** commended to the Committee

- **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 recommenda-tions made by the panel; insufficient information)*

Major findings of the EP in 2018



- 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
- Only 1 proposal covered transboundary topics
- Gender issues were seldomly incorporated (only 2)
- Focal points in some cases did not screen propsals before submission
- Process from first-time submission to project approval is slow
- *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 for 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.
- Provide an equitable balance between ITTO and counterpart funding
- Revised proposals: Pay attention to recommendations of the EP
- Make use of searchable data tool “Project Search”

Recommendations to Countries and Focal Points

- Focal points should carefully screen proposals before submission
- Focal points may encourage proponents to submit proposals for the Forest Industry Committee as well as for the Economics, Statistics and Market Committee
- Focal Points should disseminate ITTO manual and guidelines to potential proponents

Recommendations to ITTO

- 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
- Consider to develop a document on „*Frequently Made Mistakes*“ as support to potential proponents

Thank you for your attention!

Jobst Michael Schroeder
Thuenen Institute of International Forestry and Forest Economics
Leuschnerstr. 91
21031 Hamburg
Germany
jobst.schroeder@thuenen.de