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Timber Organization

Sustaining Tropical Forests

Expert Panel for Technical Appraisal of ITTO Project Proposals Report of Meeting 54 Yokohama, June 24 – 28, 2019

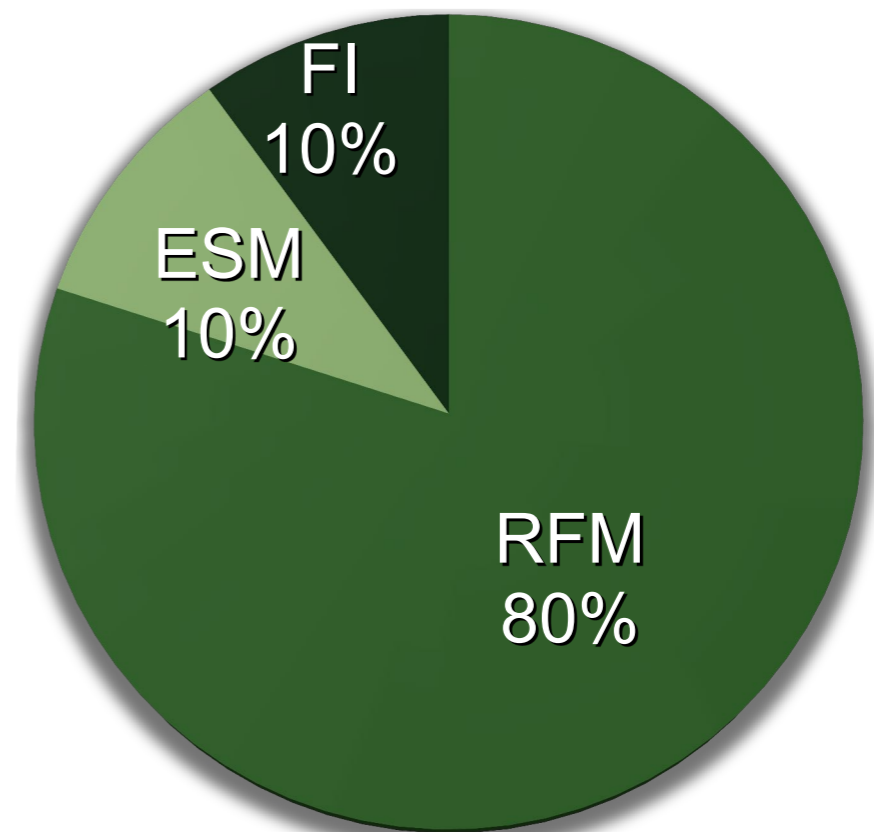
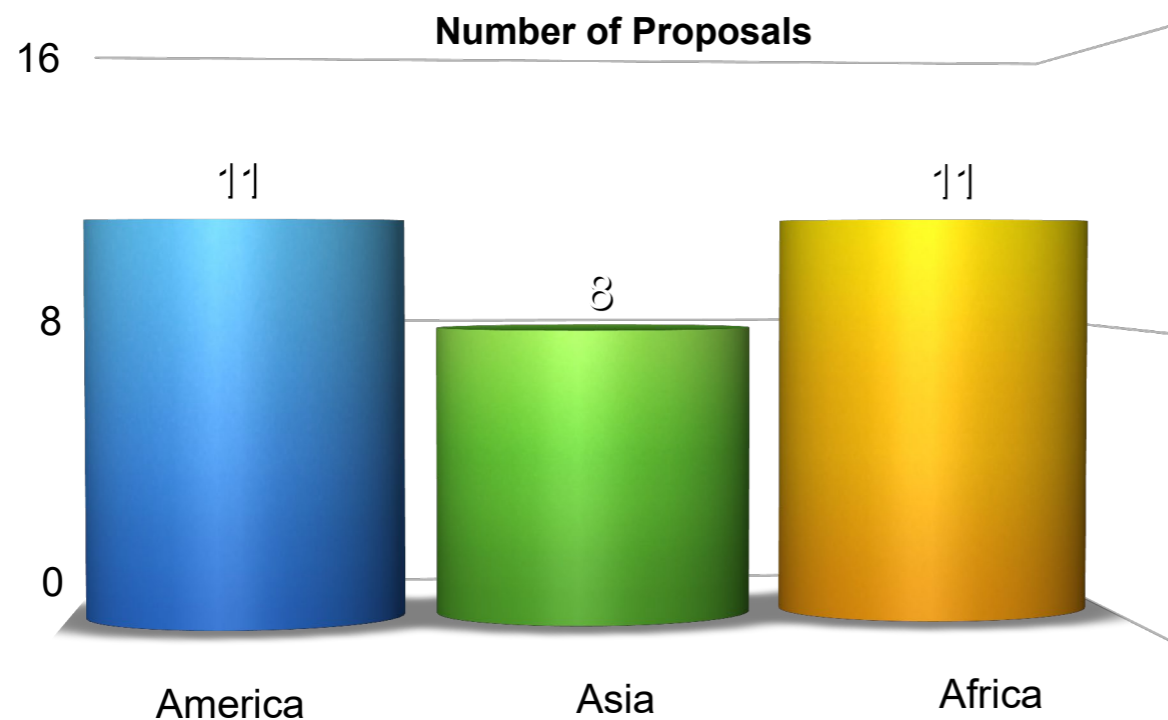
Joint Session of the Committees
Lomé, Togo
2 - 7 December 2019

Jobst-Michael Schroeder



30 proposals assessed in 2019

- Only one meeting held in Yokohama, Japan, 24 – 28 June 2019
- 25 project and 5 pre-project proposals evaluated
- 11 proposals each from Latin America and Africa, 8 from Asia; high percentage dealing with RFM





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Expert panel members in 2019

- Mr. Eang, Savet (Cambodia)
- Dr. Iddrisu, Mohammed Nurudeen (Ghana)
- Mr. Leigh, John (Peru)
- Mr. Lokossou, Achille Orphée (Benin)
- Dr. Sidabutar, Hiras (Indonesia)
- Dr. Velázquez Martínez, Alejandro (Mexico)
- Ms. Ghadiali, Aysha (U.S.A.)
- Mr. Konishi, Rikiya / Mr. Onoe, Yoshio (Japan)
- Dr. Korhonen, Kari Tapani (Finland)
- Dr. Lu, Wenming (China)
- Dr. Schroeder, Jobst Michael (Germany)



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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:

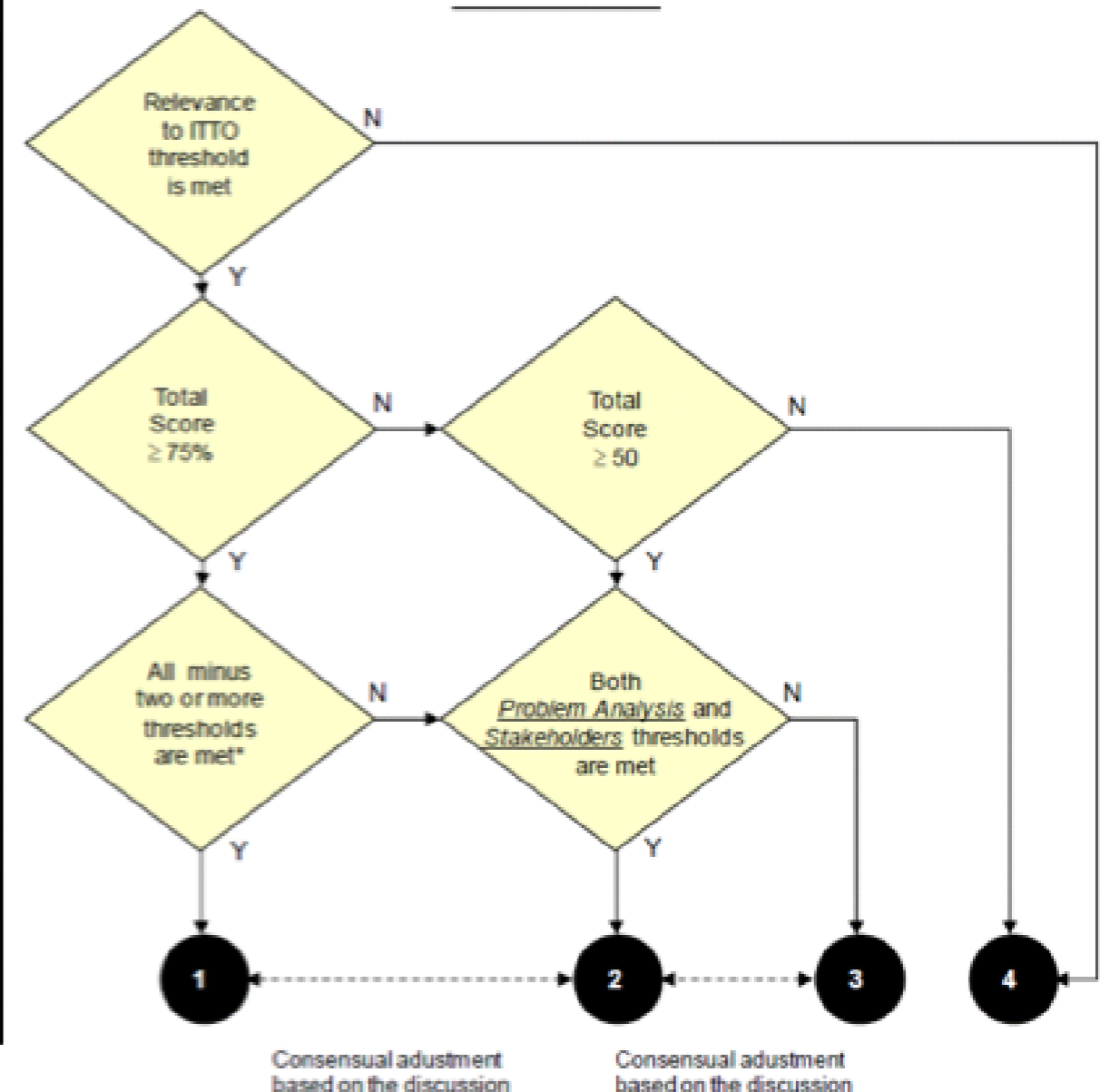
- Guiding the assessment
- Reducing the subjectivity
- Compelling to look close at all aspects
- Balancing the importance of the different aspects
- Promoting consistency
- Helping to issue recommendations
- Encouraging the discussion among all members of the EP

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



The scoring system in practice

1. Project relevance, origin and expected outcomes (15)		
1.	1.	Relevance
1.	1.	1. <i>Conformity with ITTO's objectives and priorities (1.2.1)</i>
1.	1.	2. <i>Relevance to the submitting country's policies (1.2.2)</i>
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. <i>Stakeholder analysis (2.1.2)</i>
2.	2.	2. <i>Stakeholders involved at inception (2.1.3.) & implementation (4.1.4.)</i>
2.	3.	Problem analysis (2.1.3)
2.	3.	1. <i>Problem identification</i>
2.	3.	2. <i>Problem tree</i>
3. Project design (45)		
3.	1.	Logical framework matrix (2.1.4)
3.	1.	1. <i>Objectives (2.2)</i>
3.	1.	2. <i>Outputs (3.1.1)</i>
3.	1.	3. <i>Indicators & means of verification (columns 2 and 3 of the LogFrame)</i>
3.	1.	4. <i>Assumptions and risks (3.5.1)</i>
3.	2.	Implementation
3.	2.	1. <i>Activities (3.1.2)</i>
3.	2.	2. <i>Strategy (approaches and methods, 3.2)</i>
3.	2.	3. <i>Work plan (3.3)</i>
3.	2.	4. <i>Budget (3.4)</i>
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)





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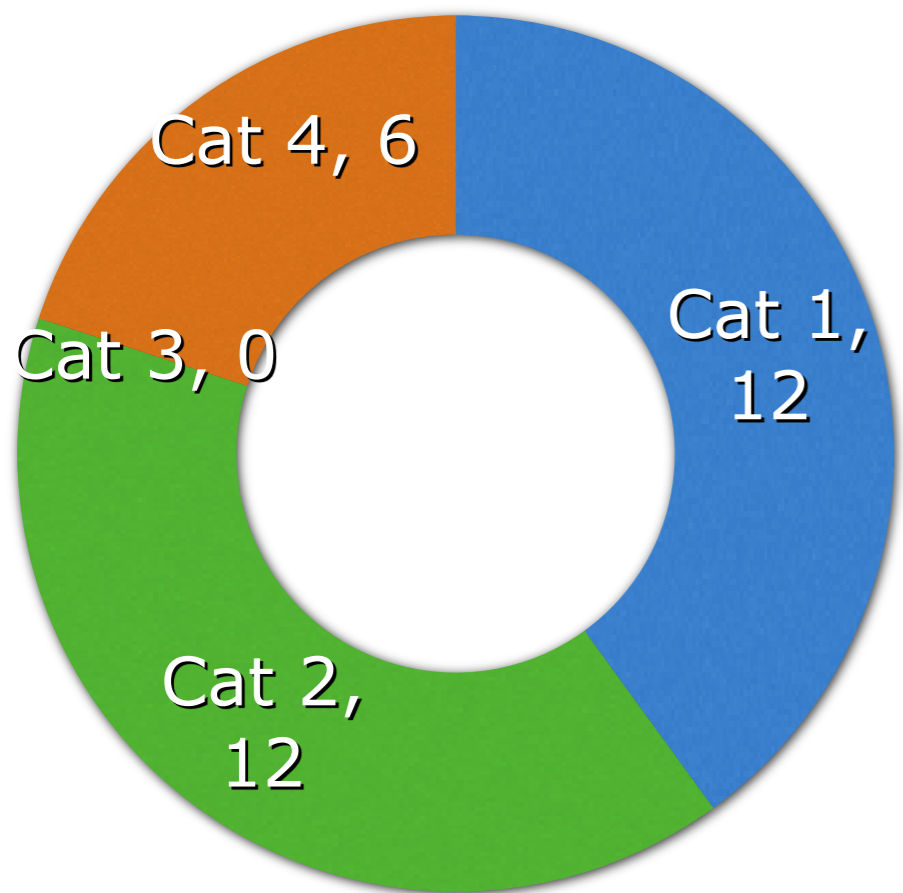
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The final category

- **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 2019



- Most proposals were submitted from research organizations and NGOs (10 each), followed by government agencies (8), and 2 from international organizations addressing the various needs of the countries at national, regional and local level
- Project sustainability after project completion was a frequent failure
- Only 2 proposal covered cross-country issues
- Gender issues were seldomly incorporated (2)
- The number of proposals has decreased during the last 3 years, the number of small projects has increased
- Process from first-time submission to project approval has become even slower
- Follow-up proposals were often lacking due consideration of previous project outcomes



Recommendations to proponents

- Seek guidance from the country's focal points, ITTO's Secretariat and website before formulating a project proposal
- Follow the Manual for project formulation, esp. for problem analysis, logical framework, stakeholders, budget and sustainability
- Provide an equitable balance between ITTO and counterpart funding
- Make use of searchable data tool "Project Search"
- Provide relevant references when proposals contain research components



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Recommendations to Countries and Focal Points

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

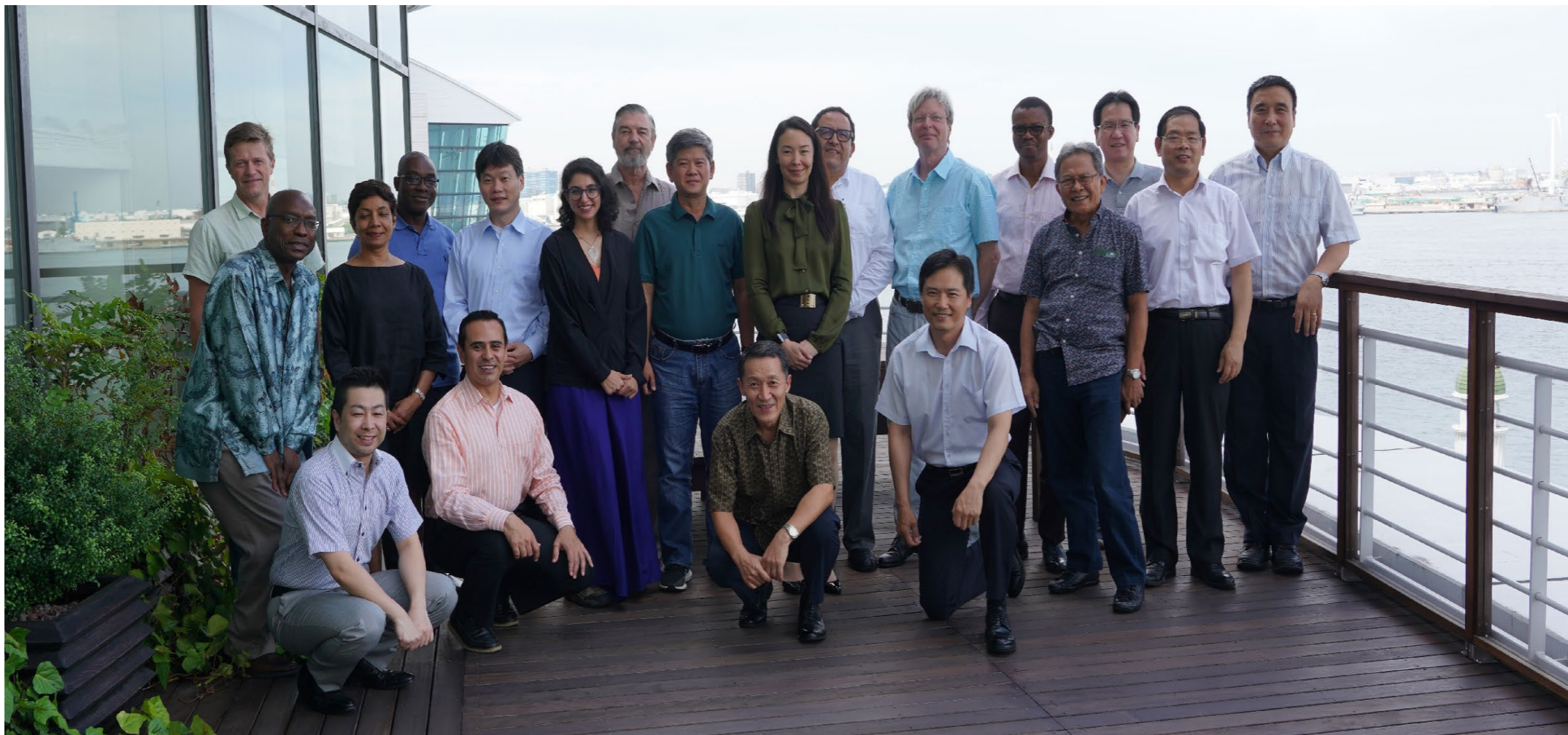


Recommendations to ITTO

- The ITTO Manual for Project Formulation (3rd ed., 2009) and the Scoring Sheet require an immediate update with consideration of *Guidelines on Gender Equality and Empowering Women* as well as the *Guidelines for Environmental and Social Risks and Impact Assessments in ITTO Projects*
- Consider new media for proposal improvements through e.g. webinars, instructional videos
- Seek for new ways for proposal evaluation if the Expert Panel can not meet twice a year
- Consider to develop a document on „*Frequently Made Mistakes*“ as support to potential proponents
- Please provide background information (i.e. reports, ex-post evaluations) for the Panel to properly assess follow-up proposals



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