INTERNATIONAL TROPICAL TIMBER COUNCIL

COMMITTEE ON REFORESTATION AND FOREST MANAGEMENT

Distr.
GENERAL

CRF(LV)/4
30 September 2021

ENGLISH ONLY

FIFTY-FIFTH SESSION
29 November – 3 December 2021
Virtual Session

Assessment of the ITTO-CBD Collaborative Initiative for Tropical Forest Biodiversity

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January 2021

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Executive Summary

This ex-post evaluation examined the results from 16 projects, 10 completed and six ongoing, under the "ITTO/CBD Collaborative Initiative for Tropical Forest Biodiversity", during the period 2010-2020. The Initiative was agreed between the Convention on Biological Diversity (CBD) and the International Tropical Timber Organization (ITTO) under a memorandum of understanding just prior to the CBD COP meeting in Nagoya, Japan, in 2010. This Initiative was designed to enhance biodiversity outcomes in forest management projects or in protected forest areas, including those in transboundary areas, and had the following objectives to: 1. enhance the local capacity for biodiversity conservation in production forests and for the rehabilitation of degraded and secondary forests; 2. improve the conservation and management of protected areas, especially in association with buffering protected areas, and transboundary conservation; 3. safeguard tropical forest biodiversity in forestry interventions, including in REDD+ related projects; and 4. improve the welfare of local communities and indigenous groups through biodiversity conservation and sustainable use of natural resources.

The 16 projects implemented through the ITTO/CBD initiative included four in Africa, six in Asia, five in Central/South America, and one in Oceana. In Africa, one small project in Benin was a pre-project assessment for a larger related project that followed. Among the 16 projects, eight dealt primarily with sustainable forest management (SFM), although seven of these were associated with designated reserves (protected area, Ramsar, or Biosphere); four involved transboundary protected areas; and two projects funded the improved education for foresters to included biodiversity concerns under projects in sub-Saharan Africa and South America.

Projects were more or less successful and, while the large majority of projects have proven to be effective, the success rate was dependent on completion of their funding. All completed projects achieved most of their objectives, but funding reductions at ITTO resulted in outputs not being fully achieved for five projects. Six projects are still ongoing, but the funding amounts are small and well below the initial budget planning amounts.

It is noteworthy that, although these projects were funded under the ITTO-CBD Initiative, less than half (7) of the projects clearly specified any of the four objectives of the Collaborative Initiative and only a few referred directly to the CBD Aichi Targets. Nevertheless, all projects actually did meet one or more of the Initiative's objectives, specifically for including a project component or output for the conservation of biodiversity.

The Initiative was highly relevant to the current global processes that have goals, objectives, and targets to improve forest management, increase forest cover across landscapes, and mitigate climate change. Specifically, these processes are the CBD Aichi Targets, the Sustainable Development Goals 2030 (SDGs), the Global Forest Goals, and the ITTO Strategic Action Plan objectives and the 16 ITTO-CBD projects contributed to each of these processes, by meeting several of the objectives. For example, the projects together contributed to six of the SDGs: all of the projects contributed to SDG 15, with particular emphasis on Targets 15.1, 15.2, 15.5, and 15.9, and most contributed to 12.2, all dealing with forest ecosystems. Many of the projects also worked to reduce poverty (Target 1.1), through development of alternative livelihoods or by

working towards longer-term forest improvements. All projects contributed to climate change mitigation through avoided deforestation, better forest management, or forest restoration (SDG 13). Four projects applied to SDG 5.5, with their strong emphasis for women in the development of alternative livelihoods. The four landscape level projects were all, in part, meant to improve water flows and water quality and so were a contribution to SDG 6.6. Overall, the Initiative resulted in an impact for six of the CBD Aichi Targets, nearly equally among Targets 1 (awareness-raising), 5 (reducing habitat loss), 7 (SFM), 11 (protected area management), 12 (endangered species), and 14 (habitat restoration).

This Initiative accomplished projects in 23 tropical forests countries that have a declining forest area, substantially reduced biodiversity, and large numbers of forest-dependent people. The 10 completed projects all achieved at least 50% of their objectives and all but two were successful in meeting 70% or more of their objectives. Six completed projects were highly successful by accomplishing 90% or more of the objectives, including: the transboundary project between Cambodia and Thailand, the transboundary project between Indonesia and Malaysia, the Malaysia buffer zone management project, the Biosphere Reserve Project in Peru, the Benin Ramsar Areas project, and a forester training programme implemented by RIFFEAC in sub-Saharan Africa.

Among the 10 completed projects, policy impact was high for six, and to a lesser extent for four others depending on extent of implementation. Among the most important policy impacts achieved were improved binational relationships in transboundary forest and biodiversity management between Thailand and Cambodia, and between Mexico and Guatemala. Less policy-level impact was seen between Indonesia and Malaysia, resulting from the Betung Kerihun Park project, although at least a letter of intent to collaborate now exists. A key policy impact from at least three projects was the recognition by government that resource management can be improved through a bottom-up rather than a top-down process, as seen for the projects in Benin, Peru, and Fiji.

Social impact was through enabling alternative livelihoods as a means to decrease dependencies on natural resources and conserve forests and the associated biodiversity, over the long term, was a main goal of 11 of the 16 projects. Most projects succeeded in providing livelihood training, which at a minimum started the process of changing forest dependency and enhancing local incomes, although effects on attitudes may not be visible in the short term. Most projects focussed on already engaged participants, while disinterested communities were excluded. Overall, while positive processes have been initiated, longer-term livelihood changes and actual social impacts are yet to be seen, and it would be instructive to monitor results over time, as well as to assess any reduced impacts on the forest.

Positive impacts for biodiversity on the project areas will only become clear over time, as forest area and species' populations increase. Many of the projects increased the local biodiversity inventory data, the knowledge of habitats used, and the understanding of movement patterns, which are all essential for improved management. Those latter data were especially illuminating in the transboundary areas, where large mammals regularly crossed borders, often requiring seasonal habitats in different countries. Six projects mainstreamed biodiversity concerns into forest management planning, two projects explicitly adopted the ITTO-IUCN Biodiversity

Guidelines (ACTO and RIFFEAC, in a total of 15 countries), 11 projects improved the community awareness of ecosystem services, while five projects developed improved biodiversity inventories. Four projects had no clear mention of biodiversity, although they did work at sustaining or restoring forest ecosystems.

The ten completed projects under this Initiative had significant effects that, in all cases, appear to have altered the way that communities and governments viewed their forests or protected areas, indicating a generally high level of sustainability. All projects succeeded in raising the awareness of government staff and/or community members of the importance of sustainable forest management and the role that biodiversity plays in providing ecosystem services. Factors enhancing sustainability included working directly with communities, government membership on project committees, and successful alternative livelihoods projects.

Several key lessons were learned that can be applied under a renewed Initiative. The main lessons were:

- Projects are most successful if there are pre-consultations to develop good relationships and understanding with communities.
- Benefits must be derived for local communities, and certain traditional land rights and practices need to be allowed to continue.
- Community forests work well but need to be properly located to improve their chances of success.
- Capacity building and awareness-raising for local communities and local government officials is essential for improving area management, but needs should be understood prior to implementation.
- Political support from high levels in the governments of all participating countries is essential to the success of a transboundary conservation project.
- Local government authorities at all levels (state, region, municipal) should be involved to the extent possible.
- Transboundary projects require regular meetings of the project steering committee with membership from all governments, based on a commitment for transboundary activities that is clearly stated in a formal agreement.
- Projects should provide measurable indicators for achievement and have the means to conduct the monitoring.
- For monitoring and research projects, a technical committee to assess outcomes, and review scientific data and reports will ensure high quality.
- Developing baseline biodiversity information or conducting local applied forest research can benefit substantially from local people's knowledge of the project area.

Greatest immediate impact on policy and conservation came from the transboundary projects, the buffer zones project, and working in reserves of different types (Ramsar, Biosphere, parks). Significant policy impacts occurred at the international level from two of the transboundary projects, with both projects affecting international, national, and local policies with respect to managing important transboundary landscapes. In large part, these impacts were the result of considerable respect for the work of ITTO within these countries, which has accumulated over

time as a result of past work. The two educational programmes that integrated biodiversity and forest use were also strongly influential projects, which will eventually result in excellent long-term benefits, especially in Africa, where more than 400 foresters were trained.

There is no doubt that this Initiative was remarkably successful and should be continued in a renewed form because of the global impact that it has had; an impact that was clearly disproportional to its small $13.4 million overall budget. Moving forward, the objectives could remain the same: 1. to enhance the national and local capacity for biodiversity conservation on production forest landscapes; 2. to improve the conservation and management of protected areas, especially in buffer zones and transboundary areas; 3. to restore and rehabilitate degraded and deforested landscapes to increase biodiversity and improve forest production; and 4. to improve the welfare of local communities and indigenous groups through biodiversity conservation and sustainable use of natural resources. Focussing, however, on more limited types of projects would improve impact, including: transboundary areas, buffer zones near protected areas, degraded second-growth forest landscapes that are, or could be important to local communities and indigenous people, and areas listed under global processes such as World Heritage Sites on landscapes that lack more formal protection.

A renewed Initiative could focus on new strategic opportunities for funding, for example, by aligning with the priorities of specific donor countries (e.g., Norway, the E.U., US, China, Korea and Japan) with respect to funding individual projects that fit within their current international development mandates. Greater impact would also be achieved by leveraging other funding sources, such as building onto existing UNEP, UNDP, GEF, development bank, GCF, or CITES projects. ITTO might consider becoming an executing agency under a larger GEF project, funding through UNDP or FAO, for example.

1.0 Introduction

Preceding the 2010 Convention on Biological Diversity (CBD) Conference of the Parties (COP) meeting in Nagoya, Japan, and in the framework of the International Year of Biodiversity 2010 and the International Year of Forests 2011, the International Tropical Timber Organization (ITTO) and the CBD signed a memorandum of understanding (Annex 1). The programme was titled: “ITTO/CBD Collaborative Initiative for Tropical Forest Biodiversity”, and was designed to strengthen collaboration in the pursuit of their common objectives of conserving and sustainably managing tropical forest resources, with a particular focus on protected areas and production forests. The Initiative was designed to provide support to ITTO member producer countries to reduce the loss of biodiversity, through the implementation of projects focusing on the common objectives of the ITTO Strategic Action Plan 2013-2018, the CBD Programme of Work on Forest Biodiversity (2002), and with a focus on the joint objectives of the CBD Strategic Plan for Biodiversity 2011–2020 and its Aichi Targets (specifically targets 5, 7, 11 and 15). In October and December 2010, respectively, the governing bodies of CBD and ITTC adopted decisions welcoming the ITTO/CBD collaboration (CBD COP Decision X/36 and ITTC Decision 6 (XLVI) (see Annexes 2 and 3).

1.1 Rationale for this Initiative

Biodiversity is lost through both deforestation and forest degradation, which are caused by various factors including expansion of commercial agriculture and livestock production, fuelwood gathering, illegal logging, over-grazing, unsustainable shifting cultivation, and uncontrolled forest fires. Further losses to biodiversity accrue through easy access to hunters following logging access roads; while some of this hunting is for sustenance, illegal wildlife trade in animal parts is a well-known factor for the decline of biodiversity, especially in tropical forests. Inadequate policies and weaknesses in governance have led to inappropriate legislation, perverse economic incentives, and institutional inefficiencies that can also result in deforestation and forest degradation. The loss of forest integrity can be influenced by unsustainable commercial timber harvesting that results from inappropriate policies, poor planning, unsuitable harvesting techniques, lack of enforcement, and scant attention to forest recovery. Further, these actions subsequently open areas to encroachment, for example by small-scale farmers but also for land speculation, with large-scale conversion of forests. Ultimately, persistent poverty among forest-dependent communities in many forest areas, coupled with a lack of alternative sources of livelihoods, leads to excessive opportunistic use of land and forest resources, causing gradual ecosystem degradation, very often leading to deforestation. Addressing the underlying and direct drivers of deforestation and degradation through supporting the development of an enabling policy, institutional and legal environment, and building country capacity for proper management at all levels is essential to reduce forest and biodiversity loss. Further, the lack of information on forest biodiversity translates into an inability to make informed conservation-oriented management decisions. These inter-related factors represent constraints for countries that must be overcome in order to implement proper sustainable forest management (SFM).

This collaborative ITTO and CBD Initiative was designed specifically to improve the management of forest landscapes, in large part by improving people's livelihoods, with the specific focus on improving conditions to support biodiversity. By promoting the implementation of the "ITTO/IUCN Guidelines for the Conservation and Sustainable Use of Biodiversity in Tropical Timber Production Forests", the Initiative was meant, in part, to improve the conservation of forest biodiversity outside protected areas. Likewise, promoting the implementation of the "ITTO Guidelines for the Restoration, Management and Rehabilitation of Degraded and Secondary Tropical Forests" (which were recently complemented with the ITTO "Guidelines for Forest Landscape Restoration in the Tropics" (2020)) was to address the very important issue of recuperating at least part of the >850 million ha (in 2010) of degraded and secondary forests in the tropics, to restore ecosystem services and conserve biodiversity. By, also in part, supporting development of transboundary conservation areas (TBCA) the Initiative was expected to enhance biodiversity conservation in broader zones, while assisting regional initiatives and organizations in their efforts to promote ecosystem conservation across borders with neighbouring countries.

1.2 Goal, objectives and expected outputs of the Initiative

The goal for the initiative was:

> "To enhance biodiversity conservation in tropical forests with the direct participation of local stakeholders, addressing the main drivers of biodiversity loss in tropical forests: deforestation and forest degradation."

The four objectives used to guide the selected projects were to:

1. Enhance the local capacity for biodiversity conservation in production forests and for the rehabilitation of degraded and secondary forests;

2. Improve the conservation and management of protected areas, especially in association with buffering protected areas, and transboundary conservation;

3. Safeguard tropical forest biodiversity in forestry interventions, including in REDD+ related projects; and

4. Improve the welfare of local communities and indigenous groups through biodiversity conservation and sustainable use of natural resources.

Funding for the initial phase of the initiative was largely provided by the Government of Japan, with contributions on an individual project basis from the USA, Belgium, Switzerland, and South Korea, and in-kind contributions from governments from countries where the projects were implemented. As of June 2020, the ITTO/CBD Collaborative Initiative had supported the implementation of 16 projects among 26 countries, with funding of about US$13.4 million.

1.3 Context

ITTO has long been involved as an international advocate for sustainable forest management (SFM) in developing member countries, assisting them to improve their forest practices through project delivery. In addition to SFM, ITTO has been working in various countries to assist the protection of transboundary protected areas. Two reviews of this earlier transboundary work are available, by Ali (2011) and Simula et al. (2011). Those reviews found that the earlier ITTO work provided many lessons on how to develop such projects in effective ways that have ensured success. Many of those lessons were built into the ITTO-CBD Initiative and provided an excellent basis for project formulation. Therefore, ITTO was (and continues to be) well-placed to form an initial alliance with the CBD in 2010 to improve the possibility of achieving the forest-related Aichi Targets, through the ITTO work on forest management. The Initiative was designed to pay close attention to ecosystem functions and biodiversity in production forests and to achieve better management of protected areas across national borders. The CBD Programme of Work on Forest Biodiversity (2002), while now long out of date and overdue for updating, was also able to provide some early guidance to the design this Initiative. Under the Initiative, 16 projects were implemented on three continents and Oceana (Table1).

The primary purpose of this assessment is to review the implementation of the "ITTO-CBD Collaborative Initiative for Tropical Forest Biodiversity", with a view to analyzing its achievements, challenges encountered, and ways forward in line with the Sustainable Development Goal (SDGs), the UN Decade for Ecosystem Restoration 2021-2030, The ITTO

Strategic Action Plan 2018-2020, and the CBD Post-2020 Global Biodiversity Framework. This thematic evaluation is not meant to be an individual evaluation of each of the 16 projects, but rather an overall assessment of the ITTO-CBD Initiative, in terms of its impact and legacy, including lessons learned and prospects and recommendations for possible continuation. A summary of each of the 16 projects (Table 2), however, is presented as a basis for the review.

2.0 Scope of the review

This assessment was provided with four main focal areas:

(i) To analyze the overall role and achievements of the 16 ITTO projects (Table 1) funded under the Collaborative Initiative towards achieving the overall objectives, taking into account the application of the ITTO/IUCN Guidelines for the Conservation and Sustainable Use of Biodiversity in Tropical Timber Production Forests (2009), and the potential application/linkage of the ITTO Guidelines for Forest Landscape Restoration in the Tropics (2020).

(ii) To assess the contributions of the Collaborative Initiative in relation to the ITTO Strategic Action Plan 2013-2018 (extended to 2020), the CBD's Strategic Plan for Biodiversity 2011–2020 and the Aichi Targets, the Global Forest Goals of the UN Strategic Plan for Forests 2030, and the Sustainable Development Goal (SDGs).

(iii) To identify a communication strategy with key communication messages for the consideration of policy makers, managers, practitioners, business, academia and civil society, based on the outcomes generated by the Collaborative Initiative

(iv) To provide recommendations for extending activities under the Collaborative Initiative to contribute to the SDGs, the UN Decade for Ecosystem Restoration 2021-2030, and the Post-2020 Global Biodiversity Framework. Recommendations should include fund-raising strategies for the implementation of the extended activities of the Collaborative Initiative in line with the ITTO New Programme Lines 2020-2022, as specified in the ITTC Decision 8(XV) "Implementing ITTO's New Financing Architecture – Phase I".

3.0 Methods

The review was conducted through work-sharing by two consultants, one hired by the CBD and the other by ITTO. Unfortunately, due to the global Covid-19 pandemic, travel was impossible to any of the project sites. Nevertheless, both consultants had been to several of the sites previously to observe the projects during their operational phases. Instead of site visits, interviews were conducted virtually with some project leads, and the others were contacted via email to assess the sustainability of the project and to collect other relevant information, in cases where the reports were unclear. Documents reviewed in for each project included: the pre-project document (project proposal), interim project reports, final project report, all available technical reports, and Tropical Forest Update articles. Clarifying questions were also asked of ITTO staff who oversaw implementing the programme.

All projects were reviewed with respect to the four objectives of the ITTO-CBD Joint Initiative in terms of the project objectives and planned outputs vs. their achievements, their policy implications, their impact on improving the welfare of local communities, improvements for conservation of biodiversity, and the likelihood of their long-term sustainability. In cases where projects could not meet their planned objectives, reasons for lack of these achievements were determined as far as possible from reports and dialogue with project leads.

Enrichment planting in a Benin natural forest, using *Ceiba pentendra*.

Table 1. Projects and pre-projects funded under the Joint ITTO/CBD Collaborative Initiative for Tropical Forest Biodiversity including status, budget and donors.

ITTO project number	Title	Country	Executing Agency	Budget (USD)	Donors	Status (Year of completion)
PD 456/07 Rev.4 (F)	Capacity Building for Sustainable Management of Tropical Rainforests and Biodiversity Conservation in the ITTO Congo Basin Countries	Cameroon, Central African Republic, Democratic Republic of the Congo, Gabon, and Republic of Congo	RIFFEAC (Network of Central African Forestry and Environmental Training Institutions/ Réseau Régional des Institutions de Formation Forestière et Environnementale d'Afrique Centrale)	3,852,910	Japan Switzerland Belgium	Completed (2019)
PD 577/10 Rev.1 (F)	Management of the Emerald Triangle Protected Forests Complex to Promote Cooperation for transboundary Biodiversity Conservation between Thailand, Cambodia and Lao People's Democratic Republic (Lao PDR)	Cambodia and Thailand (with Lao PDR observers)	The Forestry Administration of Cambodia and the Royal Forest Department of Thailand	2,051,039	Japan (JICA)	Completed (2016)
PD 601/11 Rev.3 (F)	Strengthening Mangrove Ecosystem Conservation in the Biosphere Reserve of Northwestern Peru	Peru	MDA	473,602	Japan USA	Completed (2019)
PD 617/11 Rev.4 (F)	Promoting Biodiversity Conservation in Betung Kerihun National Park (BKNP) as the Trans-boundary Ecosystem between Indonesia and State of Sarawak Malaysia - Phase III	Indonesia	Betung Kerihun National (BKNP), Directorate General of Forest Protection and Nature Conservation (PHKA), Ministry of Environment and Forestry	907,948:	Japan Switzerland USA	Completed (2018)
PD 635/12 Rev.2 (F)	Buffer Zone Management for Pulong Tau National Park with Involvement of Local Communities in Management, Sarawak, Malaysia	Malaysia	Forest Department of Sarawak (FDS)	496,247	Japan Switzerland JLIA	Completed (2018)

ITTO project number	Title	Country	Executing Agency	Budget (USD)	Donors	Status (Year of completion)
PD 668/12 Rev.1 (F)	Integrated Management of Natural Resources and Biodiversity in the Tacaná Volcano and its Range of Influence in Mexico and Guatemala	Guatemala and Mexico	HELVETAS SWISS INTERCOOPERATION (HSI)	611,132	Japan USA	Completed (2018)
PD 710/13 Rev.1 (F)	Promoting Conservation of Selected High-value Indigenous Species of Sumatra	Indonesia	Forest Research Institute, Forestry Research and Development Agency (FORDA)	447,936	Japan	Completed (2019)
PPD 165/12 Rev.1 (F)	Study for the Rehabilitation and Sustainable Management of Sacred Forests on Ramsar Sites 1017 and 1018 in Benin	Benin	Organisation Non-Gouvernementale Cercle pour la Sauvegarde des Ressources Naturelle (Ce.Sa.Re.N-NGO)	79,380	USA Japan Korea	Completed (2014)
PP-A/50-296-Phase I	Building the Capacity for Biodiversity Conservation in Trans-boundary Conservation Areas (TBCAs) in the Congo Basin Countries through Sustainable Forest Management (SFM) Practices and the Use of Satellite and Radar Imagery (Phase I)	Angola, Cameroon, Central African Republic (CAR), Chad, Democratic Republic of the Congo (DRC), Equatorial Guinea, Gabon, Republic of Congo & Rwanda	RAPAC (Network of Protected Areas in Central Africa/Réseau des Aires Protegées d'Afrique Centrale)	1,064,679	Japan	Completed (2017)
PP-A/47-266	Building Capacities of ACTO Member Countries in Ecologically Responsible Forest Management and Biodiversity Conservation in Managed Forests of the Amazon	Bolivia, Brazil, Colombia, Ecuador, Guyana, Peru, Suriname and Venezuela	Amazon Cooperation Treaty Organization (ACTO)	1,218,803	Japan	Completed (July 2013 – August 2019)

ITTO project number	Title	Country	Executing Agency	Budget (USD)	Donors	Status (Year of completion)
PD 723/13 Rev.2 (F) Stage 1 of Phase I	Capacity Building for Strengthening Transboundary Biodiversity Conservation of the Taninthayi Range in Myanmar	Myanmar	Forest Department	140,000	USA Korea	On-going
PD 696/13 Rev.2 (F)	Community Based Restoration and Sustainable Management of Vulnerable Forests of the Rewa Delta, Viti Levu	Fiji	Department of Forest, Ministry of Fisheries and Forest, Republic of Fiji	294,444	Japan	On-going
PD 741/14 Rev.3 (F)	Capacity Building for the Sustainable Management of Tropical Dry Forests on the North Coast of Peru	Peru	AIDER	437,478	Japan	On-going
PD 754/14 Rev.3 (F)	Restoration and Sustainable Management of Sacred Forests on Ramsar Sites 1017 and 1018 in Benin	Benin	Organisation Non-Gouvernementale Cercle pour la Sauvegarde des Ressources Naturelles	541,031	Japan	On-going (To be completed in 2020/2021)
PD 765/14 Rev.2 (F)- Phase I	Development of a Forest Landscape Restoration Program for Guatemala Based on ITTO Guidelines	Guatemala	Foundation for the Conservation of Natural Resources and the Environment in Guatemala in collaboration with National Forest Institute (INAB)	250,000	USA CBD	On-going
PD 777/15 Rev.2 (F)	Accelerating the Restoration of Cibodas Biosphere Reserve (CBR) Functions through Proper Management of Landscapes Involving Local Stakeholders"	Indonesia	Gunung Gede Pangrango National Park Authority (GGPNP), Directorate General of Natural Resources and Ecosystem Conservation (KSDAE), Ministry of Environment and Forestry (MOEF)	515,590	Japan	On-going

4.0 The 16 projects funded under the ITTO-CBD Initiative

The 16 projects implemented through the ITTO/CBD initiative included four in Africa, six in Asia, five in Central/South America, and one in Oceana. In Africa, one small project in Benin was a pre-project assessment for a larger related project that followed. Among the 16 projects, eight dealt primarily with sustainable forest management (SFM), although seven of these were associated with designated reserves (protected area (PA), Ramsar Site, Biosphere Reserve); four involved transboundary protected areas; and two projects funded improved education for foresters to include biodiversity issues, in sub-Saharan Africa and Amazonian South America (Table 1).

Projects were more or less successful but, while the large majority of projects have proven to be effective, the success rate was very much dependent on completion of their funding (Table 2). In 2015, ITTO lost the majority of its project funding owing to some unfortunate internal accounting issues, and many projects funded under the framework of the ITTO/CBD Initiative suffered as a direct consequence. All completed projects achieved most of their objectives, but funding reductions resulted in outputs not being fully achieved for five projects. Six projects were started after 2015 and are still ongoing, but the funding amounts are small and well below the initial budget planning. Some projects, however, were completed before the funding issue arose, or were completed later but still managed to meet most of their objectives, sometimes with local funding. Those six projects that provide the best examples of the possibilities for future prospects, should funding for a renewed initiative be located, are the following (see also high-lighted in shaded rows in the project summary Table 2):

(1) Institutional strengthening for ecologically responsible forest governance and biodiversity conservation in managed forests of the Amazon
(2) Integrated management of natural resources and biodiversity in the Tacaná Volcano and its range of influence in Mexico and Guatemala
(3) Promoting Biodiversity Conservation in Betung Kerihun National Park (BKNP) as the Trans-boundary Ecosystem Between Indonesia and Sarawak State of Malaysia
(4) Buffer Zone Management for Pulong Tau (PT) National Park with Communities involvement
(5) Management of the Emerald Triangle Protected Forests Complex to Promote Cooperation for transboundary Biodiversity Conservation between Thailand, Cambodia and Lao People's Democratic Republic (Lao PDR)
(6) Capacity Building for Sustainable Management of Tropical Rainforests and Biodiversity Conservation in the ITTO Congo Basin Countries

Table 2. Summary of project objectives vs. CBD/ITTO objectives, outputs achieved and not achieved, and policy effects. Shaded project rows are projects that were completed or mostly completed and so are most instructive in terms of the Initiative successes. (SFM = sustainable forest management, PA = protected area, TBPA = transboundary protected area)

Project	Planned outputs/objectives	Corresponding CBD/ITTO Initiative objectives*	Outputs achieved and not achieved; Policy effects; Social outcomes; Sustainability (H, M, L, and U = uncertain); and global process impacts**
Amazonas Cooperation Treaty (ACTO) Bolivia, Brazil, Colombia, Ecuador, Guyana, Peru, Suriname, and Venezuela **PP-A/47-266** Institutional strengthening for ecologically responsible forest governance and biodiversity conservation in managed forests of the Amazon 2013-2019 **Focus: SFM**	**Objectives**: Improve the conservation and biodiversity through the ecologically responsible forest management and of the strengthening of good management practices and models in the 8 countries of the Amazon Basin **Outputs:** 1. Implementation of the ITTO/IUCN biodiversity guidelines in ACTO countries 2. Evaluation of the measures implemented in ACTO countries to conserve and sustainably use biodiversity in their managed forests	1, 3	**Achieved** Qualitative and quantitative analysis focused on examining to what extent ACTO countries have incorporated these ITTO/IUCN guidelines into the forest management policies and instruments, as well as to know how this incorporation is reflected in the practice. The report reveals that, at a broader national level, forest management principles are generally well aligned with international commitments to protect tropical forest biodiversity but that more efforts are still needed for an effective compliance in the field. Biodiversity mainstreaming was accomplished. **Not achieved** While the project has helped to develop monitoring plans, there have not been any major policy dialogues undertaken on the analysis at a country level. **CBD objectives and Aichi Targets were clearly noted.** **Policy effects** Problems in managing timber production forests remain, with few exceptions in the 8 countries of ACTO for various reasons, including lack a clear knowledge by landowners, managers and other stakeholders on how to integrate biodiversity conservation in forest management practices and codes; unsustainable forest management practices and lack of applying reduced-impact logging. There is a risk that adverse effects on forest ecosystems and biodiversity will worsen, threatening the economic sustainability and the livelihoods of dependent communities, and also accelerating fragmentation and loss of forest habitats and species that are important to maintain forest resilience and the ecosystem services. A main policy recommendation is to work with a bottom-up approach, taking the forest legislation to the field to make forest management more ecologically responsible.

			Collective efforts are needed, including governments, private sector, and academic and research institutions, to develop institutional and local capacities to effectively protect in the field several habitats and maintain ecosystem functions. **Social outcomes** The project did not involve local communities or indigenous peoples. **Sustainability (H)** The project created a 'Regional Platform of Knowledge and Information Exchange', and the directors of the training institutes involved signed an agreement for inter-institutional cooperation to support the development of a long-term technical capacity building process in the region. **Outcomes for Global Processes (numbers correspond to Table 3):** Aichi Targets: 1, 7 CBD Post 2020 Goals: A ITTO Strategic Plan: 1, 3, 5. GFGs: 3, 4, 6 SDGs: 6.6, 12.2, 15.1, 15.2, 15.5, 15.9
Guatemala and Mexico **PD 668/12 Rev.1 (F):** Integrated management of natural resources and biodiversity in the Tacaná Volcano and its range of influence in Mexico and Guatemala 2014-2018 **Focus: PA and SFM**	**Objectives** Project was planned with a long-term vision: Phase I. Enhancement of trust among stakeholders and validation of forest management pilot activities and environmentally friendly livelihoods in a Guatemala - Mexico cooperation framework. Phase II. Implementation of consensus-based mechanisms and regulations for Integrated Management in the Tacaná Volcano and its range of influence and Phase III. Local capacity building and long-term strategy formulation. Only phase 1 has been implemented so far. Phase one has 4 outputs: 1. Pilot forest restoration or conservation initiatives established participatory	1, 2, 4	**Achieved** Phase 1 with pilot activities but dealing with a significant part of the Mesoamerican Biodiversity Corridor and binational issues. Outputs proposed achieved, including in output 1 use of native species for restoration; output 2: trout farming introduced, flower production, ecotourism promotion; output 3: multi-stakeholder collaboration and transboundary exchanges and output 4: regular meetings between municipalities and local actors **Not achieved** The project was suspended during several months but then reactivated by a very dynamic implementing agency. Thus, on policy level and long-term planning, the project could not advance as far as expected. This project was planned for several phases, but due to lack of financing some objectives cannot be fulfilled. Phase 1 did lay out the foundations for a sustainable development model (axes: social, economic and environmental) of the Tacaná volcano area. A core problem to reach long-term results was the lack of strengthening the role of the local actors for the management and conservation of the PA, since objectives, products and actions were proposed that corresponded more to paying attention to the object (natural resources) than the subject

	2. Pilot projects identified and established with the community, to enhance local livelihoods, ecotourism, agroforestry/silvo-pastoral 3. The technical and legal framework for integrated management in Tacaná Volcano has been updated. 4. **L**ocal communities: Municipal Councils and public agencies actively involved in binational Cooperation.		(population). The territorial scale should have been more included in the process of creating or defining the problem. **ITTO-CBD objectives were NOT referred to in this project.** **Policy effects** The core idea of this project is the application of a bottom-up approach, including consultation of, and with the consensus of community/local organization, local council/municipality and other government bodies of Guatemala and Mexico (CONAP, CONANP, CONAFOR and INAB); support active contribution to CONAP's Strategic Plan and Guatemala's forest policy, as well as the institutional plan of the National Commission of Natural Protected Areas (CONANP) and the General Law of Ecological Balance and Environmental Protection of Mexico. The institutional results, at local level, however, were only initial thus far. In 2019, at the end of the project (phase 1) the binational relations Guatemala-Mexico from the Foreign Ministries and from the Sub-commission of Protected Areas continue to exist and the volcano remains a strategic issue in their portfolio. **Social outcomes** The project had a strong emphasis on developing alternative livelihoods for local communities and supported 14 rainbow trout ponds, 21 greenhouses for rose production, medicinal plant products and ecotourism activities. With a focus on women empowerment, women-led income generation and business skills were fostered. The project reports increased income and jobs particularly from rainbow trout and roses. **Sustainability** The project has consolidated to some extent the participatory management for better conservation and sustainable use of natural resources and biodiversity on the project area, based on inclusive social and institutional involvement. The main legacy of this first phase of the project is greater awareness among local people and institutions about the importance of conservation for local economic development. When the project was suspended due to financial constraints, the implementing agency continued in Guatemala the validation and upscaling of the ecotourism activities, together with partners of the private sector, as a mean of conserving biodiversity through local economic enterprises. As of 2021, these activities are continuing, with additional

			mobilisation of funds from the governmental programme for environmental restoration. **Outcomes for Global Processes (numbers correspond to Table 3):** Aichi Targets: 1, 5, 14 CBD Post 2020 Goals: A, D ITTO Strategic Plan: 1, 2, 3, 4, 5 GFGs: 1, 2, 3, 5, SDGs: 1.1, 5.5, 12.2, 15.1, 15.2, 15.5, 15.9
Guatemala **PD 765/14 Rev.4 (F):** Forest Landscape Restoration Program based on ITTO Guidelines, Phase 1 2018-2020 ongoing **Focus: SFM**	**Objectives and Outputs:** Improve forest landscape restoration actions through the implementation of a forest restoration mechanism based on ITTO guidelines with the broad participation of key stakeholders in prioritized strategic ecosystems. 4 outputs: 1. Restoration modalities have been implemented in pilot areas in prioritized strategic ecosystems 2. Institutional mechanism for forest landscape restoration practices under implementation 3. A priority research agenda on forest landscape restoration initiated 4. Dissemination plan implemented to promote FLR	1	**Achieved** Progress reported based on the outputs particularly in respect to pilot areas that have been installed with local communities. Overall, capacity building in FLR combined with a considerable number of small restoration plots were established in two regions: Municipio de Ixchiguán and Santa Cruz Naranjo **Not achieved** Project document refers to all 4 outcomes of the ITTO/CBD CI-TFB but relates particularly only to outcome 1. Project was designed to be implemented in two phases but still in first phase. It seems that the project is well behind schedule. **ITTO-CBD objectives clear in this project (and this is the only project co-funded under an existing CBD programme).** **Policy effects** There was no particular focus on policy elements, but on capacity building and demonstration areas. Inclusion of smallholder forest owners as primary stakeholders. Meanwhile there are new FLR Guidelines prepared by ITTO that might serve better the purpose of FLR in the context of Guatemala. **Social outcomes** Some smallholder forest owners were included as primary stakeholders receiving training for piloting FLR. However, no involvement of wider community groups is foreseen. **Sustainability (U)** Still in progress **Outcomes for Global Processes (numbers correspond to Table 3):** Aichi Targets: 1, 7, 14

			CBD Post-2020 Goals: A ITTO Strategic Plan: 2, 3, 4, 5, 6 GFGs: 1, 2, 5 SDGs: 1.1, 6.6, 12.2, 15.1, 15.2, 15.5, 15.9
Indonesia and Malaysia **PD 617-11 REV 4 (F):** Promoting Biodiversity Conservation in Betung Kerihun National Park (BKNP) as the Trans-boundary Ecosystem Between Indonesia and Sarawak State of Malaysia (Phase III) 2013-2018 **Focus: TBPA**	**Objective:** Sustainable conservation and management of Betung Kerihun National Park (BKNP) as a transboundary area between West Kalimantan and Sarawak. **Outputs:** (1) Policy cooperation between the authorities managing the BN NP and adjacent Lanjak Entimau Wildlife Sanctuary and Bantang Ai National Park in Sarawak, Malaysia established; (2) Management plan of the BKNP revised and implemented (3) Sustainable livelihoods of local communities living within and adjacent to BKNP promoted (4) Community-based carbon and conservation monitoring systems developed.	1, 2, 3, 4	**Achieved** All outputs have been addressed and despite of an interruption of the project and a reduction in project funding in 2015. The majority of the planned activities have been completed, in particular those relating to research and capacity-building. Biodiversity data have been updated (but only in 25% of the total area) and the database has been improved. Interesting new pilot projects have been introduced and tested for local livelihood improvement, e.g., in the area of NTFP valuation, ecotourism, and biogas production. Among the most tangible direct outcomes of the project, the following can be highlighted: • BKNP is well established and well known, attracting ecotourism and professional interest for TBCA management • Considerable research outcomes, e.g. on Orangutan at BKNP and BANP • NTFP management promoted, e.g. inoculated gaharu trees for resin management • Mid-term action plans for livelihood improvements, including e.g. ecotourism • Better cooperation between the transboundary areas has been established • Pilot experience on community-based forest monitoring operations. **Not achieved** A main output, the revision and implementation of the Management Plan for the BKNP has not been revised despite the considerable effort of having collected additional data on social issues and biodiversity. Also, considerable work has been done on community action programmes supporting local livelihoods, but many of these plans suffer from lack of funding and investment opportunities. **CBD initiative mentioned but with no clear relationship to objectives.** **Policy effects**

			A formal transboundary conservation area (TBCA) management concept exists through the signing and implementation of a Letter of Intent (LoI) between the authorities of both States, which *per se* expresses the intent to collaborate in TBCA. However, no further formal or legal engagements have been signed. A more formal arrangement to coordinate between the transboundary areas might be needed, in particular if further international funding is requested to consolidate achievements. In general terms, assuring the integrity of the BKNP after end of the project is an important aspect, considering that the BKNP alone covers >800,000 ha. Follow-up funding after end of the projects, in particular in issues relating the support of local livelihoods initiatives, seem to be a problem, as national park authorities do not have the necessary funding available. More efforts need to be done at policy level for financing and attracting investments that go beyond biodiversity conservation purposes in order to assure the integrity of the BKNP and transboundary protection. Community based conservation monitoring has been tested in the project, including training of local community members and conducting community patrolling in pilot areas. There is no information available on how this interesting approach to assure integrity of a NP's management has been perceived at wider policy level, or if such an experience can be upscaled and adapted for wider conservation area management in Indonesia. **Social outcomes** Local practices, customs and values (for 8 relevant ethnic groups) seem to be well understood and were taken into account in the project formulation. The project has a strong focus on livelihood support such as community-based ecotourism, fisheries or non-wood forest product domestication and marketing. In contrast to other projects, these interventions are based on thorough feasibility studies (including market analysis) and were also supported additionally through dialogues with the government and private sector. This points towards good sustainability of these activities, however, it is too early to tell, as the project only initiated such interventions und a lack of financial means in the future may hamper these efforts. **Sustainability (M)** Lack of resources and uncertainty over the cooperation between countries suggests that the some of the effects of this project will not be long-term in the absence of future funding. What does appear to be sustainable, however, is the alternative livelihood projects that were instituted under the project. This

			is an excellent project that requires follow-up to ensure broad sustainability in terms of transboundary cooperation and conservation. **Outcomes for Global Processes (numbers correspond to Table 3):** Aichi Targets: 1, 11, 12, 14 CBD Post-2020 Goals: A, D ITTO Strategic Plan: 2, 3 GFGs: 2, 5, 6 SDGs: 1.1, 5.5, 15.1
Indonesia **PD 777-15 Rev 3** Accelerating the restoration of Cibodas Biosphere reserve (CBR) functions through proper management of landscapes involving local stakeholders 2018-2020 ongoing **Focus: SFM and PA.**	**Objective:** To improve conservation and sustainable management of biodiversity and ecosystems in CBR through implementation of the Integrated Strategic Management Plan Outputs: 1. The threats on biodiversity in the core area significantly reduced 2. Land use best practices in CBR buffer and transition zones demonstrated and promoted 3. Institutional arrangements for CBR management enhanced	1, 4	The Cibodas Biosphere Reserve (CBR, 115,000 ha) is situated in West Java in the south of Jakarta and a well-known weekend destination for ecotourists from Jakarta. CBR is an example of an ecosystem in the humid tropics under strong human pressure. The reserve is visited by more than 80,000 (mostly Indonesian) tourists per year. The core area of the biosphere reserve with an area 21,975 ha is the Gunung Gede-Pangrango National Park and encompasses twin volcanoes and mountainous rainforests, including many species endemic to Java. **Achieved** The project was launched in late 2018 and in September 2020 the project is entering in its second year of implementation. The project works according the work plan established and progresses on all three outputs (Progress Report Feb. 2020), including: • A survey/assessment conducted on economic and social development of local communities living in and in the vicinity of the CBR • Review of existing land use plans in the Cibodas Biosphere Reserve • Establishing Coordination and Communication Forum of CBR • CBR information system in place, including website and Facebook links. It is too early to make an assessment of the results of the project but based on the progress report and website the project advances well. However, the aspects pertaining to biodiversity appear to be not well implemented to date. It will be an interesting case for a Biosphere reserve in a heavily used landscape with high population density and that is heavily visited by a high number of ecotourists. As such the project will generate interesting results that eventually can be used for upscaling to other regions in Asia.

			ITTO-CBD Objectives are clear. **Policy effects** Too early to have an impact. **Social outcomes** The project has several planned activities for communities in the core area and the buffer zone to raise awareness, enhance livelihoods and include them in monitoring and patrolling. But the outcomes are yet unclear. **Sustainability (U)** Uncertain as the project is still ongoing. **Outcomes for Global Processes (numbers correspond to Table 3):** Aichi Targets: 5, 11 CBD Post-2020 Goals: A, D ITTO Strategic Plan: 2, 3, 4, GFGs: 1, 2 SDGs: 6.6, 15.1, 15.5, 15.9
Malaysia **PD 635/12 Rev.2 (F)** Buffer Zone Management for Pulong Tau (PT) National Park with Communities involvement 2014-2017 **Focus: SFM and PA**	**Objective:** Promoting biodiversity conservation and community development to secure the buffer zone forest for use by indigenous communities and to strengthen protection of PTNP Outputs: 1. Buffer zone for integrated management established with the support of all key stakeholders; 2. Baseline surveys of buffer zone resources and impacts of logging carried out and results published; 3. Training to develop livelihood improvement skills conducted	2, 4	**Achieved** This project followed from an earlier transboundary project for the protected area funded by ITTO, ending in 2012. It was designed to work in the buffer zones to the park. Vastly improved information on the biodiversity in the project area was achieved and used for management planning. Guidelines for buffer zone management were developed. Three years after the end of current project the buffer zone to the PT national park is still secured, and the three areas have been zoned out for local use. The timber licensee in the buffer zones have pulled out in 2019 and logging has stopped in the buffer zone. Through better infrastructure (hanging bridges, trails etc.) more exchange between stakeholders has been achieved. Biodiversity mainstreaming was accomplished. **ITTO-CBD objectives were not mentioned in this proposal.** **Policy outcomes** TPAs are now under Sarawak Forestry Corporation (SFC), the consequences of such shift of responsibility is yet not known. The SFC will definitely continue to be involved in community development and BZ management. Financial

			allocation to continue the work of ITTO in 2018 has already been approved by the government, however the situation in 2020 is unclear. **Social outcomes** Local communities of Kelabit, Lun Bawang and Penan peoples with Penan communities living in semi-nomadic lifestyle. Under the Sarawakian law, they were not granted user rights to the forest because of their nomadic lifestyle. Penan and other communities have also let to emigration of young Penan to the nearby village of Bario to seek employment. O have left to seek employment in Bario and elsewhere. Otherwise conditions have remained unchanged. The project aimed to establish buffer zone areas as permanent resource base for the Penan. At the end of the project, 3 community forests were established, but they seem to be of low quality and are located in logging concession areas, so the sustainability depends on the logging companies. While both Penan and the two farming communities (Kelabit, Lun Bawang) were trained in farming practices and ecotourism, the outcome in terms of improved income and job opportunities is unclear. Furthermore, it seems that the project somewhat favoured the farming communities over the Penan, which may have led to tensions. This is however not mentioned in any reports. **Sustainability (H)** This project provides important lessons on the value of working in buffer zones of protected areas that go beyond the project area by having global relevance. This project demonstrated the roles that buffer zones can play in conservation and livelihood enhancement. Guidelines for developing in buffer zones was published in 2014 (https://www.itto.int/top_story/id=5567). In particular, the guidelines state that buffer zones for TBPAs should be recognized as an essential element to strengthen protection, biodiversity conservation and support to local livelihoods. Given the new understanding of local people, and the effort invested, this project appears to have produced highly sustainable results. **Outcomes for Global Processes (numbers correspond to Table 4):** Aichi Targets: 5 CBD Post-2020 Goals: A, D ITTO Strategic Plan: 2, 3, 4, GFGs: 1, 2, 6 SDGs: 15.1, 15.5, 15.9

Peru **PD 601/11 Rev.3:** Strengthening the conservation of mangrove ecosystems in of the North-West Biosphere reserve of Peru. 2014-2019 **Focus: PA and SFM**	**Objective:** Increase the number of participatory mechanisms for mangrove ecosystem protection and conservation in the regions of Tumbes and Piura. **Outputs:** 1. Adequate use of legal powers by regional and local governments for the conservation of mangrove forests 2. Improved level of forest administration and management so as to preserve mangrove ecosystems. 3. Financial sustainability strategies for mangrove forests developed and under implementation	1, 4	**Achieved** All main objectives were met; an overall concept of a mangrove corridor that is adequately conserved, sustainable and supported by a financial strategy was developed. The enlargement of the Northwest Biosphere Reserve (from 231,402 hectares to 961,414 hectares) in 2016 to include the Tumbes National Mangrove Sanctuary was completed. Three new mangrove protected areas have been created in collaboration with local governments and civil society, with a total area of 3804 ha. Local environmental policies have been updated in five municipalities, in which mangrove conservation has been prioritized. **Unclear elements or not achieved:** A link was expected to the broader Northwest Biosphere Reserve and the transboundary dimension with Ecuador **ITTO-CBD objectives were not included in the project documents.** **Policy effects** Agree on a concept to use the resource while protecting it (a production–protection approach). Encourage local enterprises that harvest and process molluscs and crustaceans or tap the area's tourism potential. Policy recommendations related to promote business plans for mangrove value chains (in particular ecotourism) **Social outcomes** The project mainly addressed the communities living in the biosphere reserve through awareness-raising campaigns and training (50 families) in sustainable mangrove utilization and business plans, particularly ecotourism. However, there seem to be limited tangible outcomes to support livelihoods of these communities and engage them directly in conservation and mangrove management. **Sustainability** It is too early to conclude on sustainability, but it is expected that the involved communities will continue with the proposed development activities and be able to increase their incomes in the long term. The lack of on technical and economic advice and the lack of seed investments after end of the project however, make it difficult to assess sustainability at this stage.

			Outcomes for Global Processes (numbers correspond to Table 3): Aichi Targets: 11 CBD Post-2020 Goals: A, D ITTO Strategic Plan: 2, 4, GFGs: 1, 2, 3, 5, 6 SDGs: 1.1, 12.2, 15.1, 15.5, 15.9
Peru **PD 741/14 Rev.3 (F):** Capacity Building for the Sustainable Management of the Tropical Dry Forest of the North Coast of Peru 2017-ongoing **Focus: SFM**	**Objective:** Strengthening the capacities of key stakeholders to establish sustainable forest management of the degraded dry tropical forest of the north coast of Peru. **Outputs:** 1. Improved knowledge base for the regional forest authority to manage degraded dry tropical forest of Tumbes, Piura and Lambayeque 2. Public sector and civil society actively participate in decision-making for sustainable forest management at the regional level 3. Technical and operational capacities developed for SFM of community forests in northern Peru	1, 4	**Achieved** Basic/mapping of information on dry forests was generated and made available to stakeholders (including as a specific tool 2 comics). Awareness-raising about the importance of dry forests provided to reach those actors that influence conservation but are unaware of the role of forests in their environment (including as a specific tool 2 comics). There was improved dialogue between officials at the sub-national and national levels and between government actors and the private sector and civil society, to strengthen ties and promote learning of new approaches to forest management. Guidelines for best practices was produced for practitioners. **Unclear elements or not achieved:** Linking broader national approaches led by the national forest authority (SERFOR) to the outcome of the project and developing synergies. **CBD objectives were NOT used in this project and no biodiversity objectives were established.** **Policy effects** At regional level the project reached considerable results, including improved management capacities at the regional forest administration level; promotion of active public sector and civil society dialogue and consensus-building with a view to improving decision making on regional forest management; and strengthening of technical and operational capacities for community forest management. What remains open is how these outputs can be linked to broader national forest policy level remains unclear. **Social outcomes**

			The project supports multi-stakeholder dialogues and capacity-building on sustainable forest management with strong participation of local community associations. But as the project is ongoing, no clear outcomes can be seen yet. **Sustainability (U)** This project is still ongoing, but the guideline document is a highly sustainable outcome for the management of dry forests. The level of awareness raised also indicates long term benefits from this project. **Outcomes for Global Processes (numbers correspond to Table 3):** Aichi Targets: 5, 7, 14 CBD Post-2020 Goals: A, D ITTO Strategic Plan: 1, 2, 4, 6 GFGs: 1, 2, 4, 5 SDGs: 1.1, 12.2, 15.1, 15.2, 15.5, 15.9
Thailand and Cambodia (Lao PDR) **PD 577/10 Rev. 1 (F)** Management of the Emerald Triangle Protected Forests Complex to Promote Cooperation for transboundary Biodiversity Conservation between Thailand, Cambodia and Lao People's Democratic Republic (Lao PDR) 2010-2014 **Focus: TBPA**	**Objectives**: 1. Conservation of transboundary biodiversity in the Emerald Triangle Protected Forests Complex between Cambodia and Thailand, including Lao PDR. 2. Strengthen the protection of trans-boundary habitats of protected wide-ranging wildlife species. 3. To strengthen the involvement of local communities and stakeholders to ensure the sustainable use and management of natural resources in both enclave communities and buffer zones **Outputs:** 1. Management plans incorporating research results on wide-ranging species and ecological processes, which are compatible between countries, are established and implemented. 2. Capacity of multi-stakeholders in biodiversity conservation and monitoring is strengthened. 3. Local communities are empowered to implement activities linking livelihoods	2, 4	**Achieved** Protected-area management plans for the Pha Taem Protected Forest (Thailand) and the Preah Vihear Protected Forest (Cambodia), a consolidation of species lists, the mapping of forest types, improved capacity for management and enforcement. Improved knowledge of key wildlife species and movement patterns was completed. Enforcement courses were provided. These is a formal mechanism to enable coordination across agencies, universities and others to manage the area and discuss development and to share data and exchange information. A suite of alternative livelihood projects was initiated in Cambodia and Thailand; most have been successful and were self-sustaining after just 3 years. The project contributed to capacity building in governmental management agencies and in raising awareness at local communities of the importance of conservation. Critical enforcement tools and training provided along with a building to house staff on the Cambodian side. High quality technical reports published in the ITTO Technical Series. **CBD objectives were very clear, including indicators.** **Not achieved** There is no formal transboundary management plan to cover the entire area.

	improvement to reduce dependence on resources of protected areas.		Lao never officially entered the project, despite a key area for the Emerald Triangle is on the Lao side. Lack of that Lao area as fully protected at the national level greatly reduces the value of the overall landscape, if it becomes developed. There is an unknown result in terms of improved species conservation – no indicators were provided to indicate success (e.g., species counts, etc.). **Policy effects (SFM and Biodiversity):** High level policy outcomes were achieved, with much greater cooperation between Thailand and Cambodia for the conservation of transboundary wildlife populations in these PAs. Information through university (Champasack University) involvement from Lao could translate into policy impact in that country. There remains uncertain long-term conservation for the biodiversity in the area owing to multiple pressures. **Social outcomes** The project supported the livelihoods of rural communities in Thailand and Cambodia with about 3% from ethnic minorities (Cambodia). Integrated conservation and development programs included revolving funds for pilot livelihood activities such as homestays, home-gardens, tree nurseries or tissue-culture labs, and some initiatives have become self-sufficient. While overall results were quite positive in terms of community participation and improved management structures, the project's impact on welfare (income, expenses reduction, knowledge) remained limited. Most of the livelihood projects developed implicated women in terms of design and labour. **Sustainability (H)** The ongoing dialogue pertaining to transboundary management suggests that the project has fostered a lasting legacy. Lao PDR has continued to express interest and Forestry Officials of Lao PDR and Cambodia met Thailand's National Parks Officials to discuss further development of transboundary biodiversity conservation in late 2019. The three countries have signed an MOU to promote TBCA. There is a current proposal under review to continue work in the area. **Outcomes for Global Processes (numbers correspond to Table 3):** Aichi Targets: 11, 12 CBD Post-2020 Goals: A, D ITTO Strategic Plan: 2, 3, 4,

			GFGs: 2, 3, 4, 6 SDGs: 1.1, 5.5, 12.2, 15.1, 15.5, 15.7, 15.9
Myanmar (and Thailand) **PD 723/13 Rev.2 (F) Phase I** Capacity Building for Strengthening Trans-boundary Biodiversity Conservation of the Taninthayi Range in Myanmar 2018-20 ongoing **Focus: SFM and TBPA**	**Objectives** 1. To decide development of unclassified and protected public forest areas strategically located in the country to extend existing areas under forest reserves and the protected areas system to ensure sustainable forest management with the object of maximizing social and environmental benefits for the country and its population; restoration of ecological balance and biodiversity conservation. 2. To initiative the development planning for the forestry sector to achieve sustainable development in resource production, processing and marketing, biodiversity conservation and restoration of ecological balance. 3. To ensure that the basic goals of forestry, environmental protection and increased economic benefits to be achieved from forests and forestry are reflected in the institutional structure. 4. To enlist people's participation in forest sector development activities in order to provide "people-based-development" as also create public awareness and mass motivation for protection and conservation of forests. **Outputs**: 1. Capacity building of national institutions to design and implement the sustainable biodiversity conservation, monitoring and research in the Taninthayi Range in Myanmar. 2. Establishment of initial institutional mechanisms for transboundary biodiversity conservation in protected areas in the Taninthayi Range.	2., 4.	**Achieved:** Training was provided for local communities on SMART patrolling, PA management/biodiversity, agro-forestry, income generation (handicrafts, ecotourism). There was a clear measure of increased public awareness of biodiversity. Good quality technical reports from the Myanmar Forest Research Department were published on forest change (2005-15), forest structure survey, NTFPs, carbon storage, and a literature and field survey of fauna. Biodiversity mainstreaming was accomplished. **Not Achieved:** It is unclear if there are better relations between government and the Karen community in the area. No formal arrangements were accomplished with Thailand for transboundary conservation, other than some early discussions. **CBD objectives very clear in project formulation.** **Policy effects (SFM and Biodiversity):** Intended but not yet achieved. Effects at the transboundary level will come in phase 2, assuming it is funded. **Social outcomes** Except for increased awareness on biodiversity and opportunities of community forestry in some villages, the project had limited impact on local communities and indigenous peoples. Trainings given on ecotourism, agroforestry or non-timber forest product promotion were short, centralized and there was no follow-up in the villages. Furthermore, the selection of participating villages seems arbitrary and does not reflect the entire population that would be impacted by the proposed Tanintharyi National Park. Instead of actively involving the most forest-dependent communities, the project intended to increase patrolling and law enforcement. **Note** – 1st phase only of a longer project, but funding constraints at ITTO resulted in only $140K over 2 years (vs. >$2M planned) **Sustainability (U)**

	3. Strengthening of local stakeholder participation and livelihoods of forest-dependent local communities in the Taninthayi National Park and its surrounding areas.		This project is ongoing and if funding can be obtained the transboundary components would begin in 2021. Nevertheless, the technical and training reports indicate a much better awareness of the importance of forest and biodiversity among the communities. **Outcomes for Global Processes (numbers correspond to Table 3):** Aichi Targets: 5, 7, 12 CBD Post-2020 Goals: A, D ITTO Strategic Plan: 1, 2, 3, 4, 5, 6 GFGs: 1, 2, 3, 5, 6 SDGs: 1.1, 12.2, 15.1, 15.2, 15.5, 15.9
Fiji **PD 696/13 Rev.2 (F)** Community Based Restoration and Sustainable Management of Vulnerable Forests of the Rewa Delta, Viti Levu 2016-19 ongoing **Focus: SFM**	**Objective:** To introduce an effective mangrove regulatory and management framework for coastal and mangrove wetlands in Fiji. <u>Outputs:</u> 1. Local communities trained and empowered to implement activities linking livelihoods improvement to reduce over-dependence on coastal and mangrove wetland resources. 2. Degraded coastal and mangrove wetland rehabilitated and guidelines for restoring degraded coastal and mangrove wetlands developed. 3. Maintain and enhance traditional knowledge and skills that will enable communities to value and sustain resource utilization. 4. Strengthen coordination of policy guidelines through improving implementation of coastal and wetland mangrove regulations.	1, 3, 4	This an ongoing project with Covid delays and that has suffered funding cuts to the project. **Achieved:** Mangrove planting was done based on photos, but it is unclear if the area target was met. Nurseries were established. Guideline development is delayed but soon completed. The alternative livelihood work has been successful in establishing viable businesses. Overall, the project appears successful with alternative livelihoods established, awareness-raising about mangroves accomplished, and a functioning nursery completed and will support national plantations over the next many years. Local level impact at 6 villages, 100 ha planted, area affected is not reported. **Not achieved:** Effects on traditional skills to sustain the use of the mangrove resources is uncertain. No policy guidelines were reported as yet. **CBD objectives NOT mentioned in project document or reports.** **Policy** Unclear from the final report, but information via email correspondence indicated there has been national-level influence for the improved protection and management of mangroves on the entire Island. **Social outcomes** The establishment of community nurseries that sell seedlings both to ITTO project sites and the government over the next 15 years seems to bring good

			results and sustainable income sources for communities. Furthermore, the project supported local governance networks and the development of alternative livelihoods such as pig farms (1 village), apiculture (1 village) and shrimp ponds (3 villages). But the project did not address whether the shrimp ponds would not be extended and thus negatively affect remaining mangroves. While the project aimed to gather and maintain traditional knowledge, actual project implementation rather emphasized on changing awareness and attitudes. Women are especially implicated and heavily involved in this project. **Sustainability (H)** Ongoing, but the communities involved have embraced the project and have a better understanding of the value of mangroves ecosystems, and the nurseries are well-established and earning income and the alternative livelihoods are successfully implemented, all indicating that this small project will have a long-lasting effect in the management of mangroves in Fiji. Alternative sources of fuelwood and food will have a lasting effect by reducing the local impact that would otherwise occur in the mangroves. These 6 communities are now sustainably managing their mangrove areas. At the national level, the project has provided a mangrove guideline and the government and NGOs are undertaking a broad plan to reforest mangroves along the Island. **Outcomes for Global Processes (numbers correspond to Table 3):** Aichi Targets: 1, 5, 7, 14 CBD Post-2020 Goals: A, D ITTO Strategic Plan: 1, 2, 3, 4, 5, 6 GFGs: 1, 2, 3, 5, 6 SDGs: 1.1, 5.5, 12.2, 13.1, 15.1, 15.2, 15.5, 15.9,
Benin **PPD 165/12 Rev.1 (F) (pre-project)** Restoration and sustainable management of the Ramsar Site sacred forests 1017 and 1018. 2013-14	**Objective:** 1. Contribute to conservation of biodiversity. 2. Evaluate 2 scared forest Ramsar sites for recovery potential. **Outputs:** 1. Provide basic information on the sacred sites and determine feasibility for better management. 2. Inform communities about the sites and indicate that a project for management plan could be developed.	3, 4	**Achieved:** This was a pre-project to conduct inventory and mapping over 8 months only, at 2 small Ramsar sites at with 40 stands, 20,000 ha of forest + 16,000 in plantation forest (teak, acacia); dense forest <6000 ha.; fragmented scattered forests that total only 1500 ha, which were completed. A biodiversity questionnaire survey was completed and reported. Stakeholders were identified and awareness raised about the value of the Ramsar sites. **CBD objectives NOT mentioned in project document or reports.**

Focus: SFM			**Policy effects (SFM and Biodiversity):** None expected as this was a pre-project (see PD 754/14 below). **Social outcomes:** While this pre-project included a good stakeholder analysis and identified potential interventions, it did not have actual impacts on local communities. **Sustainability:** A pre-project only that led to a follow-up project.
Benin **PD 754/14 Rev.3 (F)** Restoration and sustainable management of the Ramsar Site sacred forests 1017 and 1018. 2017-20 ongoing **Focus: SFM and PA**	**Follow up project to 165/12** **Objective:** 1. To ensure the sustainable management of sacred forests at Ramsar sites (1017 and 1018) by building the capacities of stakeholders to improve the living conditions of local populations. 2. To contribute more broadly to FM of humid tropical forests in south Benin. 3. To achieve better revenues from the forest resources. 4. To integrate the sacred forests into the community PA system.	3.	**Achieved:** A management plan in place for the Ramsar sites and a local management committee was established and about 160 Ha was re-forested. Revenues from the forest have increased revenues by 25% as a result of the project. Further, Local Community Protected Area status was applied for but not yet achieved, but this will help to meet the Benin NBSAP objective for PAs and contributing to the Aichi Target for area protected. There is now much better cooperation among the communities for management of these forests. **Not achieved:** PA status is not yet assured, owing to the long process. Only about 50% of the reforestation was accomplished because of budget reductions. This result means that there is also less intactness among the forest stands than was planned. **CBD objectives NOT mentioned in project document or reports.** **Policy effects (SFM and Biodiversity):** Many local policy effects were achieved for community engagement and empowerment. At the national level, there were clear policy effects for protected areas management in Benin with respect to the lessons learned of importance of involving local communities in decisions and the strategies employed during the project. **Social outcomes** The project was implemented in a highly participatory way including mainly traditional authorities (village chiefs, communal heads, priests). The project achieved the joint development and implementation of Management Plans for

			40 sacred forests, although the timeline and sustainability are not clear. In addition, 129 individuals were given revolving funds for sustainable forest management, improved agricultural practices and other income-generating activities. As the credit cycle is not yet finished, the actual impact on incomes is not clear yet. **Sustainability (M)** There is still uncertainty over the long-term PA status of these forests. Nevertheless, better management of the forests appears sustainable owing to formation of community-based management committees, the application of good practices, and the good results for the alternative livelihoods aspects of the project. Further, government has taken up the results with respect to providing information to management of the same forest types elsewhere in the country. The results could easily be more sustainable with a phase 2 project **Outcomes for Global Processes (numbers correspond to Table 3):** Aichi Targets: 5, 11, 14 CBD Post-2020 Goals: A, D ITTO Strategic Plan: 1, 2, 4, 6 GFGs: 1, 2, 3, 5 SDGs: 1.1, 6.6, 15.1, 15.2, 15.5, 15.9
Congo, Cameroun, DRC, Gabon (and Angola, Chad, Rwanda, Equatorial Guinea – non-ITTO countries) **(RAPAC)** **PP-A/50-296 Rev.1 Phase 1** (mostly in DRC) Building the Capacity for Biodiversity Conservation in Trans-boundary Conservation Areas	**Objective:** build capacity and expertise in the use of satellite imagery data for the management of TBPAs in the Congo Basin countries. **Outputs:** 1. To reduce effects of illegal activities in TBPAs (eventually) 2. To strengthen capacity and expertise in the use of satellite imagery data for management of these TBPAs 3. Transfer RS tools to PA staff to use to counter illegal uses of the PAs. 4. To develop better maps. -organize TB management committees	2.	**Achieved:** A large amount of work done on using various types of imagery to map and plan resources management. Meetings were held to exchange information among countries and there was training provided to improve capacity among managers in the use of advanced technologies as a result or several workshops. Objective 4 for better mapping was accomplished. **Not achieved:** Phase 1 has put the organization and systems in place to eventually achieve the project objectives, but few of the main overall objectives were achieved, other than the mapping. In large part, this was due to the impact of budget reductions near the final period. Many deliverables were marked as “expected in 2016” but there are no reports. No information was provided on actual technology transfer to enforcement agencies was indicated in the documents. As a direct consequence of the ITTO financial impairment, the second phase was not funded. The intent was to consolidate the achievements of the first

(TBCAs) in the Congo Basin Countries through Sustainable Forest Management (SFM) Practices and the Use of Satellite and Radar Imagery 2015-2017 **Focus: TBPA**	Project area = 8.5 million ha., but not all one landscape; areas separated by 100s of kms.		phase with the continuation of the implementation of appropriate/relevant activities. This was a very expensive project that in the end accomplished far less than it should. **CBD objectives clearly noted for TBPAs**. **Policy effects (SFM and Biodiversity):** Lack of achievement of the main objective to improve enforcement suggests little policy impact, although PA managers were given considerable information on satellite imagery and mapping. **Social outcomes** The project did not involve local communities. **Sustainability (M)** Training was provided to managers and to the extent they are able to assimilate the training and the provided maps, the project will be sustainable. The value of the training in terms of its application was not measured. The application of the information to enforcement, however, was unfortunately lacking. **Outcomes for Global Processes (numbers correspond to Table 3):** Aichi Targets: 11 CBD Post-2020 Goals: A ITTO Strategic Plan: 3 GFGs: 4 SDGs: 15.1, 15.5, 15.7
Gabon, Cameroon, Rep. of Congo, Democratic Rep. of Congo, Central African Republic (RIFFEAC) **PD 465/07 Rev.4 (F)** Capacity Building for Sustainable	**Objective:** To build the capacities of environmental and forestry training institutions in Central Africa to ensure they are capable to train personnel qualified to implement sustainable forest management, while ensuring the biodiversity conservation. **Outputs:** • By 2016, each RIFFEAC training institution provides training in SFM and biodiversity	1.	The project followed from an earlier start in 2008 **Achieved:** Six training modules were developed and implemented; one module was specifically based on the IUCN/ITTO guidelines for biodiversity conservation. A considerable amount of equipment, including vehicles was provided to 7 training centres, as well as 6 buildings constructed As a result, more than 460 students graduated in 2017-18, including many at a master's degree level. There are now standardized education modules for all countries and biodiversity is mainstreamed into the curriculum.

Management of Tropical Rain-forests and Biodiversity Conservation in the ITTO Congo Basin Countries 2010-19 (planned as 2010-2015) **Focus: SFM education**	conservation according to revised, harmonized and validated modules /programmes and related methodologies • By 2016, each training institution has appropriate training equipment and materials available to respond to the requirements of modern teaching/training modules and related methodologies and the need to improve professional competencies in SFM and biodiversity conservation. • By 2016, at lead 120 trainers and other personnel trained or re-trained in SFM and biodiversity conservation. **Note: The project** applied for a phase 2 to the Japanese International Cooperation Agency		**Not achieved:** They did not meet the target for number of trainers trained, and the manuals were very slow to be completed (it took 8 years) partly owing to the budget reduction in 2015. **CBD objectives were clear in this project.** **Policy effects (SFM and Biodiversity):** The report suggested no real impact on sub-regional (country) training policy, in part because of the many ministries involved and COMIFAC have not achieved full coordination. Nevertheless, biodiversity is now implicated in all training curricula for the 7 countries and foresters are much better trained. All new forestry technicians and foresters will have training on SDFM and biodiversity conservation indicating considerable impact on-the-ground in relation to forest planning. This will undoubtedly translate into policy changes in the near future. **Social outcomes** The project did not involve local communities. **Sustainability (H)** The results from this project will be highly sustainable because both infrastructure and training modules were provided to forester training centres to improve capacity among the graduate. Increased management and conservation knowledge will continue to build over time in all countries involved. **Outcomes for Global Processes (numbers correspond to Table 3):** Aichi Targets: 1, 7 CBD Post-2020 Goals: ITTO Strategic Plan: 1, 3, 5, 6 GFGs: 3, 6 SDGs: 15.5, 15.7
Indonesia **PD 710/13 Rev.1 (F)** Promoting Conservation of Selected High-value	**Objectives:** 1. To contribute to the sustainable management, conservation and utilization of 8 high-value Sumatran indigenous tree species.	1.	**Achieved:** All the activities but one was completed and nurseries for the key species were established. Considerable new information was generated for the key tree species selected for study. Some community outreach was completed.

Indigenous Species of Sumatra 2015-2018 (planned 2015-2017) **Focus: SFM and PA**	2. To improve the achievement of conservation goal through revitalization of the existing conservation and regeneration program, and harvest control of the 8 high-value Sumatran tropical indigenous tree species. **Outputs:** 1. Conservation of selected high-value indigenous species accelerated 2. Harvest control on the 8 species promoted 3. Regeneration capacity of the 8 species improved		**Not Achieved:** No harvest management plan was developed as a result of a budget reduction. There appears no certainty with respect to successfully achieving better conservation of the species, although there are now conservation plans for 5 of the 8 species. Land encroachment in national parks, for example in Kerinci Seblat National Park, which was one of the survey areas, poses an ongoing threat to the target species. **Note:** The technical reports are not available in English (only in Indonesian). **CBD objectives NOT mentioned in project document or reports, but the report does mention that the project applies to CBD main goal.** **Policy effects (SFM and Biodiversity):** None observed in the reports, but the project principal indicated in an email communication that the conservation strategies for five species are being adopted as policy. **Social outcomes** Although the project hired local communities and forest-dependent tribes of Malay origin as laborers and provided awareness-raising and trainings in 20 – 30 communities, it did not have a lasting positive impact on the local people. **Sustainability (M)** Sustainability of the target species is likely to occur in the customary forests that are still protected under traditional laws of the local community. In the national parks such as Kerinci Seblat National Park, however, land encroachment is happening at an alarming rate and that, in turn, poses a threat to all the target species. Overall, much better information on the ecology of the species was collected for the threatened species and to that extent, the project does provide some long-term sustainability, if management is able to control harvests. **Outcomes for Global Processes (numbers correspond to Table 3):** Aichi Targets: 1, 12, 14 CBD Post-2020 Goals: B, C ITTO Strategic Plan: 3 GFGs: 1

			SDGs: 15.5

*ITTO/CBD Initiative objectives:
1. Enhanced local capacity for biodiversity conservation in production forests and for the rehabilitation of degraded and secondary forests;
2. Improved conservation and management of protected areas, especially in association with buffering protected areas, and transboundary conservation;
3. Safeguarding tropical forest biodiversity in forestry interventions, including in REDD+ related projects;
4. Improved welfare of local communities and indigenous groups through biodiversity conservation and sustainable use of natural resources.

** Global Processes (see Annex 4 for targets or objectives):
Aichi Targets: under the CBD Strategic Plan for Biodiversity 2010-2020
CBD Post-2020 Goals (still being negotiated along with new targets)
ITTO Strategic Action Plan Objectives
GFGs – Global Forest Goals
SDGs – Sustainable Development Goals

A stand of mangroves successfully planted under Project PD696/13 in Fiji.

A successful tree nursery established under Project PD577/10 in Thailand.

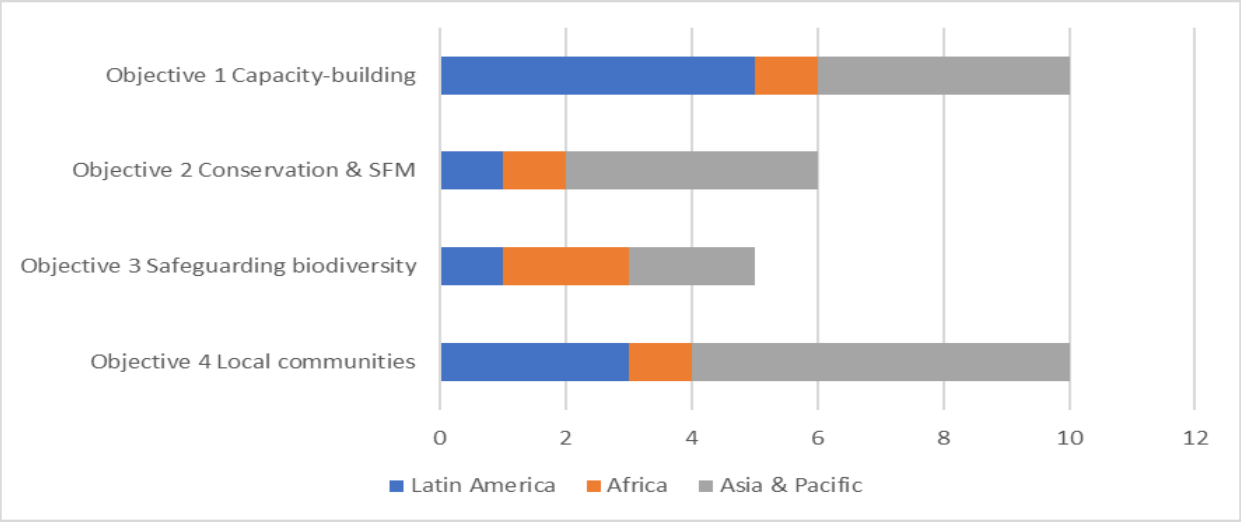
Commercial Fishponds constructed in Guatemala, under Project PD668/12

4.1 Relationship of projects to the ITTO-CBD Initiative objectives

It is remarkable that, although these projects were funded under the ITTO-CBD Initiative, less than half (7) of the projects clearly noted any of the four objectives of the Collaborative Initiative and only a few referred directly to the CBD Aichi Targets. All projects did, however, meet one or more of the Initiative's objectives specifically for including a project component or output with respect to conservation of biodiversity. For example, the project in Malaysia on buffer zone management for Pulong Tau (PT) National Park did not refer to the ITTO-CBD Initiative objectives, but the project developed an extensive inventory of biodiversity in the area and used that information in the development of their management plan (Table 2). Hence, it is surprising that the requirement for adherence to the objectives of the Initiative was not made clear by all proponents.

With respect to the specific objectives of the Initiative, objective 1 (enhanced local capacity for biodiversity conservation in production forests and for the rehabilitation of degraded and secondary forests) and objective 4 (improved welfare of local communities and indigenous groups through biodiversity conservation and sustainable use of natural resources) were the two objectives that the majority of projects have addressed (10 projects). Objective 2 (improved conservation and management of protected areas, especially in association with buffering protected areas, and transboundary conservation) was the focus of seven projects, while Objective 3 (safeguarding tropical forest biodiversity in forestry interventions, including in REDD+ related projects) was addressed by five of the 16 projects (Figure 1).

Figure 1. Number of projects on each continent contributing to the four ITTO-CBD Initiative Objectives.



4.2 Contributions of the ITTO-CBD Initiative to global processes

There are several sets of global goals, objectives, and targets established through various global processes most of which overlap to some degree, to which these ITTO-CBD projects have contributed. Specifically, these are the CBD Aichi Targets, the Sustainable Development Goals (SDGs), the Global Forest Goals[1], and the ITTO Strategic Action Plan objectives (Annex 4). The relevance of each of the projects to these processes is noted in Table 2 and summarized in Figures 2-5.

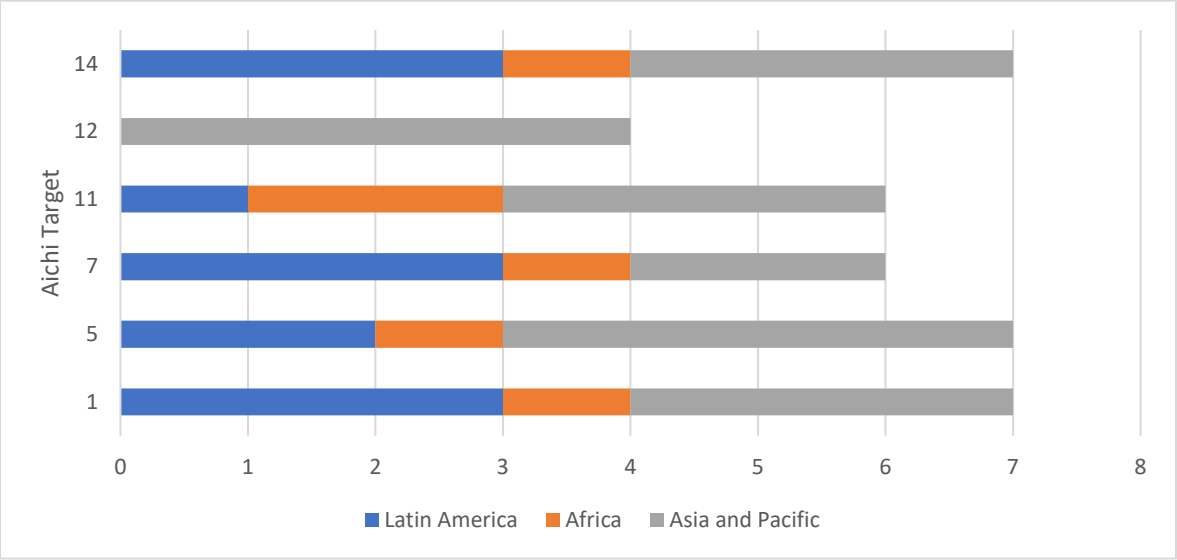
4.2.1 Aichi Biodiversity Targets:

The Aichi Biodiversity Targets are a part of the CBD Strategic Plan for Biodiversity 2011-2020, adopted in 2010, at COP 10 in Nagoya. Negotiations are currently underway to replace these targets with the Post-2020 global biodiversity framework. Overall, the Initiative has resulted in an impact for six of the Aichi Targets, nearly equally among Targets 1 (awareness-raising), 5 (reducing habitat loss), 7 (SFM), 11 (protected areas and management), 12 (endangered species), and 15 (habitat restoration) (Figure 2). For Target 1, seven projects worked collectively with both upgrading the skills of foresters and other government staff, especially with respect to biodiversity, while eleven projects dealt particularly with increasing the awareness of forest-dependent people and communities, often living adjacent to conservation areas, on the value of biodiversity for ecosystem service provision. In the case of the African project organized by RIFFEAC (an association of forest education institutions among: Gabon, Cameroon, Rep. of Congo, Democratic Rep. of Congo, and the Central African Republic, with two other non-ITTO countries), the project had trained more than 460 forestry students at seven newly constructed centres in 2018 alone. That training included an in-depth module on biodiversity values and conservation. For Target 5, seven of the projects worked to reduce habitat loss in areas important to local communities, and among those, six projects included planting trees to restore forests, therefore also contributing to Aichi Target 15. In Fiji, mangrove nurseries were established in nearby villages, contributing to restoration with strong community involvement. Most of the projects contributed in some way to improving forest management (Target 7) to make it more sustainable, through education, restoration, or alternative livelihoods where the objective was to reduce the need for extractive forest use. Six projects worked directly at improving sustainable forest management through the development of best practice guidelines, or by implementing the IUCN/ITTO Landscape guidelines. Among the projects working with protected areas (Target 11), there were important gains in forest area preserved in Peru, while for two of the transboundary protected area projects that were completed (Malaysia-Indonesia, and Thailand-Cambodia), significant improvements were made in the joint management of these areas and for conservation of a suite of globally endangered species. Four projects were designed, in part, to conserve endangered species (Target 12), including the latter transboundary projects. The as yet incomplete project between Myanmar and Thailand is working in an

[1] It should be noted that 10 years ago, when some of the projects were initiated there was no SDG framework in place and the Global Forest Goals and Targets were different. The authors are aware that, at that time, a direct link to some of the broader development goals could not be made. Nonetheless, and also for the benefit of a continuation of the ITTO/CBD initiatives, it is worthwhile to link the projects to the broader global development goals, as defined by major international processes.

extraordinary area in terms of the globally endangered biodiversity; this project needs to be completed to try to manage this area sustainably and should be an important consideration for future work, ideally with increased involvement of local communities and forest-dependent indigenous groups to increase ownership. Similarly, the project dealing with the Mesoamerican corridor between Guatemala and Mexico has been concluded with some of the main objectives not fully addressed, and so would be worth reconsidering for completion through a second phase. For the CBD Post-2020 Agenda for Biodiversity, which is still under negotiation (as of early 2021), all projects were relevant to Goal A, including the ongoing projects. The new Post-2020 CBD targets, yet to be negotiated, have an ecosystem and landscape theme. Among the ongoing projects, all have an ecosystem theme, while 5 projects are also at a landscape scale, making them all relevant to the new CBD Agenda.

Figure 2. Number of projects for each continent contributing to the Aichi Targets.

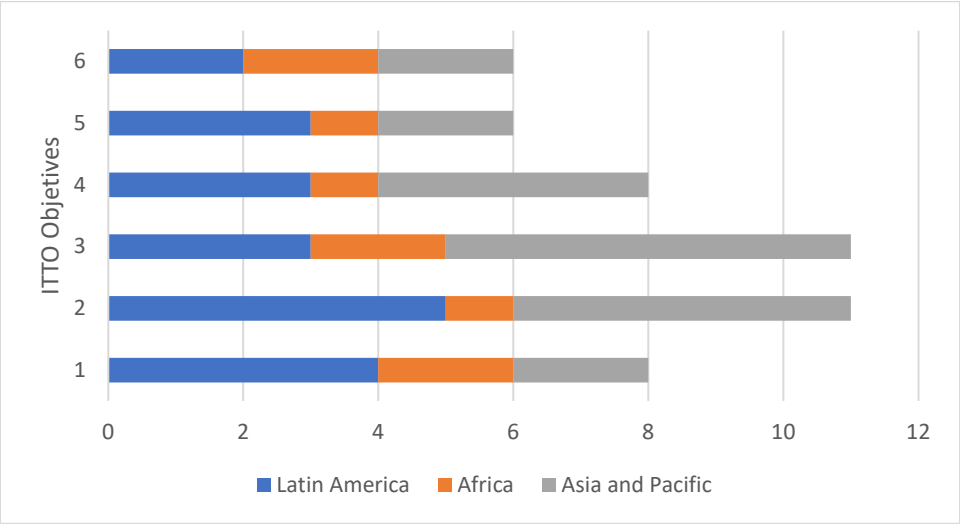


4.2.2 ITTO Strategic Plan Objectives:

The ITTO Strategic Action Plan was originally scheduled from 2013-2018, but was extended until 2019 and will soon be re-written. All projects conformed directly to at least two of the ITTO Strategic Plan objectives[2], and most were directly relevant to four or more of these (Figure 3). In particular, objectives 2 (benefit to economies) and 3 (biodiversity conservation) were most often reflected by the projects. As an example, the project among several Amazon forest countries implemented by ACTO was able to mainstream biodiversity considerations, as well as the ITTO-IUCN Landscape Guidelines, into policies and practices for the region, while relating directly to several ITTO objectives, including the objective 3 on biodiversity.

[2] ITTO Strategic Plan Objectives, see https://www.itto.int/files/user/pdf/publications/ENGLISH_ACTION_PLAN_2013_2018.pdf

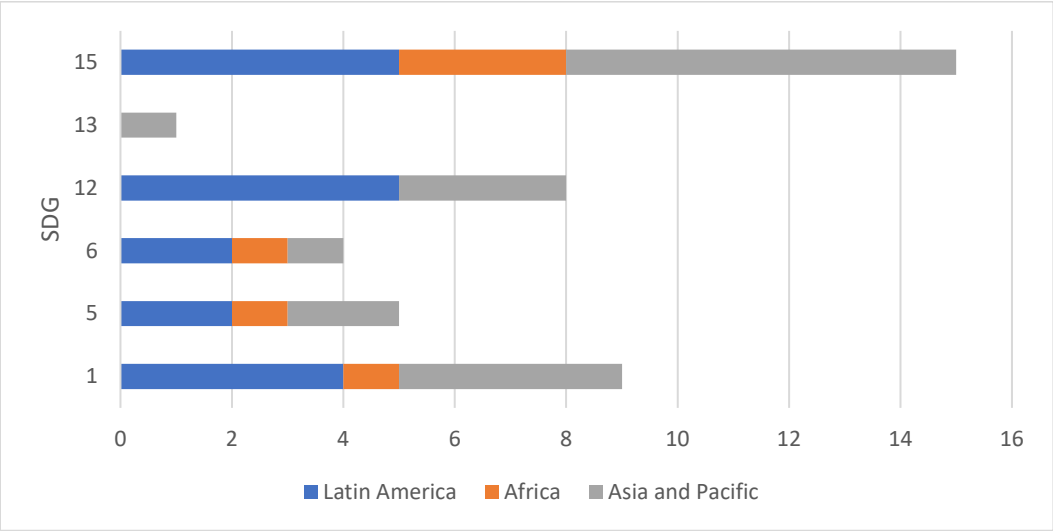
Figure 3. Projects contributing to the ITTO Strategic Plan objectives.



4.2.3 Sustainable Development Goals (SDGs):

The SDGs were adopted by UN member states in 2015 as a part of the "2030 Agenda for Sustainable Development", with the intention of improving global approaches to sustainable development. The projects together contributed to six of the SDGs (Figure 4.) By definition, all of the projects contributed to SDG 15, with particular emphasis on Targets 15.1, 15.2, 15.5, and 15.9, and most contributed to 12.2, all dealing with forest ecosystems. Many of the projects also worked to reduce poverty (Target 1.1), through development of alternative livelihoods or by working towards longer-term forest improvements. For example, the Fiji mangrove project achieved both, by fostering an interest in replanting mangroves and future income-generating tree species such as sandalwood, but also by developing alternative livelihoods to reduce dependency on the mangrove forest areas. Recovering mangroves should also be viewed as an adaptation to climate changes (SDG 13), in terms of the shoreline protection that they provide against erosion from increased number and intensity of storms. While not specified, all of the 16 projects contribute to climate change mitigation through avoided deforestation, better forest management, or forest restoration (SDG 13). Four projects (PD688 – Guatemala/Mexico, PD617 – Malaysia/Indonesia, PD696 – Fiji, and PD577 Thailand/Cambodia) apply to SDG 5.5, with their strong emphasis on women in the development of alternative livelihoods. These four landscape level projects were all also meant to improve water flows and water quality and so were a contribution to SDG 6.6.

Figure 4. Number of projects on each continent contributing to the SDGs*.

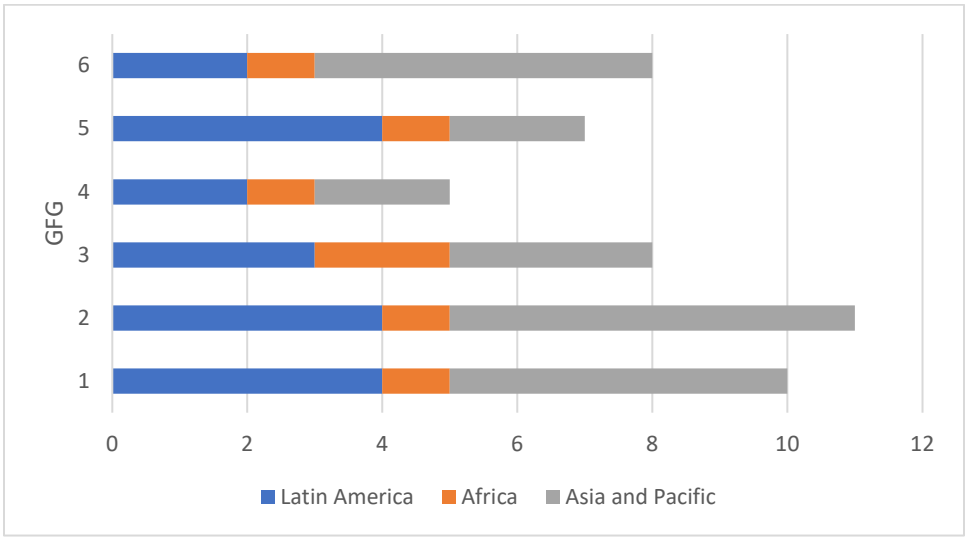


***** Projects contributed specifically to targets 1.1, 6.6, 5.5, 12.2, 13.1, 15.1, 15.2, 15.5, 15.7 and 15.9

4.2.4 Global Forest Goals:

The GFGs were established under the UN Strategic Plan for Forests 2030, with six goals and 26 targets most of which mirror the SDGs. As was the case for the other global processes, the 16 projects contributed to achieving all of the Global Forest Goals (GFG) (Figure 5), even though the GFGs did not exist when some of these projects began. The closest links were to GFGs 1 and 2, to which the majority of the projects worked to reverse the loss of forest cover, and enhance forest based economic, social, and environmental benefits.

Figure 5. Number of projects on each continent contributing to the GFGs.



5.0 Overall review of the ITTO-CBD Initiative

5.1 Process and design

ITTO maintains a rigourous process of project selection, requiring submission of projects in a particular format and illustrating how the projects will meet the ITTO Strategic Action Plan. The projects were vetted by a panel of experts who recommended projects to be selected, while rejecting others. While this process was formal, the apparent lack of the requirement to meet the objectives for the ITTO-CBD Initiative should have been made clear to the proponents and to the review panel. Despite this oversight and, as indicated above, all projects met the stated objectives for the Initiative, regardless, even if not explicitly expressed in the proposal. The CBD had little input into project selection, except for reviewing four of the early project proposals, when Mr. T. Christophersen was the Forest Officer and had requested formal CBD input.

5.2 Relevance

The ITTO-CBD Initiative was founded on the principles of conservation of biodiversity, following the CBD COP 10 in Nagoya, as a mechanism to build better consideration of biodiversity into ITTO projects in tropical forest countries. A focus in this regard was on projects that particularly promoted biodiversity conservation in the permanent forest estate, including both protection forests and managed production forests. The Initiative was also meant to continue the work for which ITTO had already developed a comparative advantage since the early 2000s, i.e., working for conservation in significant transboundary areas that cover large landscapes, often with primary forests. At that time, ITTO took advantage of its excellent reputation with forest administrations and senior government officials, to facilitate several transboundary projects. As already noted in section 4.2, the Initiative was designed to be highly relevant to the Aichi Targets, as well as the ITTO Strategic Action Plan, as it also is to all other relevant global processes, including the Millennium Development Goals (at the time) and the Sustainable Development Goals today.

ITTO has developed several sets of guidelines to improve forest practices. Among those especially relevant to this Initiative are the ITTO/IUCN Guidelines for the Conservation and Sustainable Use of Biodiversity in Tropical Timber Production Forests (2009), the Voluntary Guidelines for the Sustainable Management of Natural Tropical Forests (2015), and the potential application/linkage of the ITTO Guidelines for Forest Landscape Restoration in the Tropics (2020). The latter is an update of the earlier landscape guidelines entitled “ITTO Guidelines for the Restoration, Management and Rehabilitation of Degraded and Secondary Tropical Forests” from 2002. Use of the ITTO/IUCN Biodiversity Guidelines was the specific focus of two projects (ACTO, RIFFEAC). In those two projects, both involving multiple countries, manuals and technical documents were prepared using the guidelines for dissemination to management foresters and agencies. Forest landscape restoration aims to restore ecological integrity and improve the productivity and economic value of degraded forest landscapes, and this was the main objective under four projects, linking directly to the 2020 ITTO Landscape Restoration Guidelines. While the landscape guidelines came after this Initiative had begun, the main principles from those

guidelines were, in fact, the delivery mechanism of all of the landscape-level projects, including: working and planning at a landscape scale, engaging stakeholders for participatory project governance, attempting to restore multiple forest-related benefits, recovery of native forest types, and working for long-term forest resilience[3]. These principles will continue to be important to guide any future projects, especially the transboundary and buffer zone management projects that must consider management at the large landscape scale.

5.3 Achievements

This Initiative accomplished 16 projects in 23 tropical forests countries that all have declining forest area, substantially reduced biodiversity, and large numbers of forest-dependent people. The 10 completed projects all achieved at least 50% of their objectives and all but two were successful in meeting 70% or more of their objectives. Six completed projects were highly successful by accomplishing 90% or more of the objectives, including: the transboundary project between Cambodia and Thailand, the transboundary project between Indonesia and Malaysia, the Malaysia buffer zone management project, the Biosphere Reserve Project in Peru, the Benin Ramsar Areas project, and a forester training project implemented by RIFFEAC in sub-Saharan Africa. It was clear from the project reports that funding reduction was the major cause for not meeting all objectives. Had it not been for these funding cuts, it is likely that most (or indeed all) projects would have been fully competed. While many projects suffered from funding reductions to some extent, the project PP-A/50-296, conducted among several African countries on capacity-building in transboundary protected areas, seems to have been affected the most, resulting in meeting only about half of the planned objectives, and reducing its effectiveness substantially. Unfortunately, this was the second most expensive project, and was directly aimed at improving the management efficacy for globally important protected areas.

There were many notable achievements across the projects, but among the most important from a biodiversity perspective were: the expansion of the Peruvian mangrove protected area by more than 700,000 ha, the understanding of animal movements between Cambodia and Thailand that has led to better transboundary protected area management protocols, the vastly improved management in the Pulong Tau Park buffer zone in Malaysia, and much improved knowledge of biodiversity, including endangered species, at Betung Kerihun National Park between Indonesia and Malaysia. A significant achievement has been the large number of people affected by successful alternative livelihoods projects as a result of many projects under this Initiative. While there are no actual data on reduced impact on forests, it is suspected that, where alternative livelihoods are viable and benefit local communities financially, there is less illegal harvesting

[3] The new FLR guidelines 2020 are structured under the 6 global principles, namely (1) Focus on landscapes; (2) Engage stakeholders and support participatory governance; (3) Restore multiple functions for multiple benefits; (4) Maintain and enhance natural forest ecosystems within landscapes; (5) Tailor to the local context using a variety of approaches; and (6) Manage adaptively for long-term resilience.

from the forests and a reduced loss of biodiversity. (We deal further with this hypothesis later under recommendations.)

Increased capacity-building was a part of all projects, with regards to both local communities and government staff. For local communities, awareness raising on sustainable forest management and ecosystem services was accompanied by alternative livelihood and business development training. With respect to government staff, the African project among several countries and overseen by RIFFEAC to build capacity at forestry training centres was highly successful. Through this project, seven training centres were built and equipped and eight forest modules were delivered as standard training materials, including a full module on biodiversity. As a second example, in Myanmar, 30 park staff were trained on biodiversity monitoring and provided with updated skills in national protected areas management.

While all of the transboundary projects had notable accomplishments, two were very successful in terms of improving international relations (Guatemala-Mexico and Cambodia-Thailand). An especially important achievement for both was the creation of formal mechanisms for dialogue between countries, where it was previously absent. The transboundary management committee established between Cambodia and Thailand is particularly significant in this regard and has been continued after the project was completed. Less success was achieved between Malaysia and Indonesia at Betung Kerihun National Park and, in the absence of further funding, there is some concern expressed by local officials about long-term sustainability for the Park in the absence of a revised management plan and a formal legal agreement between the countries.

Among the six ongoing projects, five have made strong progress and only the project (PD765 in Guatemala) seems to be far behind schedule for achieving its outcomes. That project had originally initially advanced well by establishing restoration plots, but has not achieved other planned outcomes under its phase 1.

5.4 Efficiency and monitoring

For this aspect of the review, it should be mentioned that the ITTO-CBD Initiative had a small amount of funding, relative to some other global programmes, with a total allocation of just over US$13 million over a decade. This meant that there was a resultant median project allocation of less than US$516,000. By comparison, a single full-sized GEF forest project is funded a minimum of US$2 million over 4 or 5 years, and with co-funding, these types of projects often have more than US$30 million. For restoration of tropical forests, usual cost estimates are between $1000 to $2500/ha[4], as an indication of the high costs for forestry work. Therefore, by comparison, given the funding levels with which these 16 projects worked, the high degree of success in completing projects and the impacts that they achieved are extraordinary. The results from this Initiative indicate that local communities are willing to work, even with small amounts of funding, to improve their livelihoods, build capacity and sustain biodiversity when possible.

Most of the projects were highly efficient based on limited funding with, in most cases, substantial achievement. The key reasons for this success were: a careful project selection

[4] https://www.carbonbrief.org/tree-planting-can-help-tropical-forests-recover-50-percent-faster-from-logging
https://www.frontiermyanmar.net/en/acacia-becomes-myanmars-plantation-tree-of-choice/ (this is an example only)

process, working with willing and dedicated partners, proper project design, strong on-site project management by the implementing agencies, and effective annual monitoring by ITTO. For example, the project in Fiji contributed considerably to improved mangrove forest management and conservation, built nurseries, contributed to increased village income for six villages, had national policy impact, and yet spent only $200/ha to plant 126 ha with >421,000 seedlings. Nevertheless, the inability to complete projects once ITTO funds were largely withdrawn in 2015 has affected overall outcomes of the Initiative. Decisions made by donors are of course their choices, but the unfortunate effects were far-reaching with respect to some expected project outcomes for countries that do need assistance. The transboundary protected areas project among Gabon, Republic of Congo, Democratic Republic of Congo, and Cameroun provided possibly the most unfortunate of all results that remained incomplete. This project, implemented by RAPAC, was one of only two projects funded at >$1 million in its first phase, and yet met very few of its objectives because the funding was curtailed just as results were being compiled and transferred. As a result, little was accomplished and these countries are not much farther ahead, in terms of management of their protected areas, than they were prior to the project. A small amount of additional funding could easily have produced much better results in this case. A second example of this funding problem is evident from the Myanmar project, where phase 2 is planned to begin the transboundary portion of the project. The area for this expected Myanmar-Thailand project sustains globally significant biodiversity, where some of the species are endangered, and including a rare intact large mammal fauna. The entire area, including the protected areas, is under threat from a myriad of developments including road access, logging (legal and Illegal), oil palm concessions, mining, hydroelectric dams, and wildlife poaching. Phase 1 funding was only US$140,000, and although ITTO is planning to continue the project, the low funding available is unlikely to guarantee success. In the absence of any continued funding, the intactness of the area and its biodiversity will almost certainly be irretrievably lost.

Monitoring of all projects was undertaken through the ITTO requirement for a detailed annual progress report, which included a complete accounting for the years' funding. All projects complied and this obligatory monitoring component also enabled the local and ITTO project managers an opportunity to indicate where problems had occurred, to suggest corrective actions, and to indicate if any changes would be required. ITTO project management staff visited all project sites several times over the course of each project to ensure that they were performing as required and to assess outcomes. Overall, the monitoring protocol was effective and efficient. Monitoring would be a much easier task, however, if clear numerical targets were pre-established where possible. Most of these projects had not specified the size of the area on which their activities were applied; for example, no project has reported how many hectares of forest was planted, the area on which there is better management, or the number of square kilometres that were surveyed for biodiversity. Lack of clear numerical targets makes assessment difficult in these cases. On the other hand, a good example of target-setting was found for the RIFFEAC forester education project, where the targets were very clear and easily measurable.

5.5 Effectiveness

The Initiative was highly effective based on technical achievements of many projects, including capacity building, forest restoration, training manuals, completed technical reports, planting methodologies, and inventories of biodiversity. Some projects included significant research components, including all the transboundary projects and the Indonesian project (PD710) on endangered tree species. All of these projects successfully produced technical reports that provide significant contributions to understanding local forests and their biodiversity.

Across all projects, the Initiative resulted in the production of 15 technical publications, most of international interest on inventories of biodiversity, alternative livelihoods, and technical forestry manuals. These publications, while largely aimed at a national or bi-national audiences, have considerable merit in terms of lessons learned for similar projects, and as a contribution to the wider global understanding of biodiversity in the project countries. The technical publications will also serve as baseline information for future projects in the same or nearby areas, or for project extensions. For example, in Myanmar the project technical publication provides information on forest condition and change, biodiversity species inventory, socio-economics of the area, and phyto-ecological relationships that will be of future benefit, and that can be used by a planned UNDP-WWF project in the same area. At Betung Kerihun National Park (Indonesia-Malaysia), the reports on plants and endangered species provided the first reliable information about many of these species and will enable managers to improve management for the species both inside and outside of the park. In Indonesia, the technical reports on endangered tree species (only in Indonesian) provide basic information on cultivating the eight species that are all of commercial importance. As a final example, the 5th progress report from Fiji provided technical details on tree planting that could be adopted anywhere in south Asia and Oceana.

5.6 Impact and effects

We address impacts of the Initiative with respect to four factors: policy, social, forest management, and biodiversity knowledge and management. For many projects, especially those that are ongoing, it is too early to assess possible longer-term impacts. Nevertheless, there were clear impacts from all of the completed projects, many with respect to policy changes.

5.6.1 Policy Impacts:

Policy impacts are perhaps the most important outcomes from a project, assuming they are taken up more widely than just the immediate project area, or in the case of transboundary work, regular communication becomes a policy between or among the countries. Not all projects eventually have an impact on policy, and many projects instead implement little used existing policies pertaining to improving sustainability as demonstrations or pilots. To trigger a policy change, a project requires a significant outcome that is recognized by policy makers and senior managers as a better way of doing something, and then to have on-the-ground managers and communities be receptive to such changes. Hence, implicating higher levels of government in project formulation and site visits during implementation can be an important avenue to improve resource management policies.

Among the 10 completed projects, policy impact was high for six, and to a lesser extent for two others depending on extent of implementation. Among the most important impacts achieved were improved binational relationships in transboundary forest and biodiversity management between Thailand and Cambodia (and likely, in time, trinational with Lao PDR as well), and between Mexico and Guatemala. Less policy-level impact was seen between Indonesia and Malaysia, resulting from the Betung Kerihun Park project, although the intention to collaborate now exists. For the Amazonian transboundary project, there was already an international working committee in existence, based on a treaty among Amazon Basin countries referred to as ACTO. A key policy impact from at least three projects was the recognition by government that resource management can be improved through a bottom-up rather than a top-down process, seen for the projects in Benin, Peru, and Fiji. Community involvement in developing livelihoods, planning resource use, while training was provided to enable a better understanding of ecosystem services was a successful approach used in all three cases. For Fiji, the establishment of guidelines for mangrove forests appears to be an important policy outcome as well, with country-wide adoption. Partial policy success was achieved in the RIFFEAC project for educating foresters, as was the case in the Amazon Basin project under ACTO, where the importance of biodiversity was mainstreamed into in forest planning, although where implementation remains to be seen. Only the ongoing projects have yet to provide information on policy impacts, except as noted in Fiji.

5.6.2 Social impacts:

For forest dependent people, providing impact by reducing the necessity to use the forest as a source of income is an important outcome for positive biodiversity impacts. Therefore, enabling alternative livelihoods to decrease dependencies on natural resources and conserve forests and the associated biodiversity over the long term was a main goal of 11 out of the 16 projects. Most succeeded in providing livelihood training, which at the minimum started the process of changing forest dependency and enhancing local incomes. In Indonesia, Benin, Peru (mangrove project), and Fiji, livelihood interventions were based on thorough participatory appraisals and feasibility studies. Thus, it can be expected that the involved communities will continue these activities and be able to increase their incomes into the future. In Guatemala/Mexico, several families were provided with greenhouses and fishponds to develop a business, and these appear successful. The chosen types of financing (e.g., revolving funds in Benin, Cambodia/Thailand or business proposal competitions in Guatemala/Mexico) have had particularly high impacts on community development, as they require a vision and so will very likely become self-reliant in the long term. Some projects, for example those in Malaysia and Indonesia, actively promoted dialogue with the private sector, developed value chains, facilitated licensing, and improved relationships and opportunities for both. At the end of projects, only one project had reported actual gains in income for the local communities (Guatemala/Mexico), but early successes in the other projects suggests that incomes should also rise over time. In terms of community management of forest resources, the impact was limited, as no formal arrangements were achieved and no monitoring was done. While awareness-raising campaigns formed part of 11 projects, effects on attitudes may not be visible in the short term. In addition, most projects focussed on already engaged participants, while disinterested communities were excluded. Overall, while positive processes

have been initiated, longer-term livelihood changes and actual social impacts are yet to be seen, and it would be instructive to monitor results over time to determine any reduced impact on forest resources and biodiversity.

It should also be noted that there are potential adverse impacts on forest conservation in cases where alternative livelihood interventions focus on land uses that compete with forests. Examples are the support for cattle rearing (Cambodia/Thailand) and shrimp ponds in mangrove areas (Fiji). However, no such effects have been reported in any of the projects and in the case of Fiji, area of forest planted more than offset the area used for ponds.

5.6.3 Forest management impacts:

One of the major strategic objectives of ITTO itself is the improvement of commercial forestry practices in tropical countries to follow sustainable forest management practices. Two of the 16 projects were very specifically oriented to this objective. First, the Amazon Cooperation Treaty Organization (ACTO) project worked to create capacities for SFM among government and communities, and to implement the ITTO/IUCN Biodiversity Guidelines. The project provided a good analysis of forest management policies and instruments, and how they are reflected in the practice. At a broader national level, forest management principles are generally well aligned with international commitments to protect tropical forest biodiversity; however, more efforts are needed for effective compliance aspects in implementation, which is still lacking throughout the region.

The second broad SFM project was the RIFFEAC project among Gabon, Cameroun, Republic of Congo, Democratic Republic of Congo, and Central African Republic to develop a training protocol and establish seven training centres to teach sustainable forest management. This project marginally missed their training target for number of trainers, but these centres have now produced hundreds (>400 in 2018) of well-trained foresters and technicians, with 8 training modules, one that deals specifically with biodiversity and uses the ITTO/IUCN Guidelines and another that is based on the ITTO Landscape Guidelines. Over time, these techniques learned will become firmly entrenched in forest policies of all of these countries, as some of the trained professionals move into the management/policy staff categories. Other projects with SFM components focussed on a combination of sustainable use and protection for mangroves (Peru and Fiji), dryland forests in Guatemala, and at Ramsar sites in Benin. These projects all involved training of local communities on the benefits of SFM and the protection of biodiversity.

5.6.4 Biodiversity impacts:

Positive impacts for biodiversity on the project areas will only become clear over time, as forest area and populations of target species increase. Many of the projects increased the local biodiversity inventory, the awareness of habitats used, and the understanding of movement patterns, which are essential for improved management. Those latter data were especially illuminating in the transboundary areas, where large mammals regularly crossed borders, often requiring seasonal habitats in different countries. This was the case for several species of ungulates that moved among Lao PDR, Thailand and Cambodia. Such international movement is also undoubtedly the case between Myanmar and Thailand for that large mammal fauna as well, which includes wide-ranging landscape species such as Asian elephant, tiger, and sun bear. Six

projects mainstreamed biodiversity concerns into forest management planning, two projects explicitly adopted the ITTO-IUCN Biodiversity Guidelines (ACTO and RIFFEAC, in a total of 15 countries), 11 projects improved the community awareness of ecosystem services, while five projects developed improved biodiversity inventories. Four projects had no clear mention of biodiversity, although they did work at sustaining or restoring forest ecosystems.

5.7 Sustainability

Sustainability occurs at several levels, but importantly with respect to policies and to the communities where the projects are implemented. Overall, the ten completed projects under this Initiative had significant effects that, in all cases, appear to have altered the way that communities and governments viewed their forests or protected areas, indicating a generally high level of sustainability. All projects succeeded in raising the awareness of government staff and/or community members of the importance of sustainable forest management and the role that biodiversity plays in providing ecosystem services.

Common factors enhancing the sustainability of the projects included:

- pre-implementation consultation with communities
- high level of community involvement in decisions
- improved community awareness/understanding of ecosystem functions through training and involvement in monitoring
- earlier work at the site that could be built upon
- successful alternative livelihoods projects as a result of appropriate feasibility assessments and planning
- initiation of partnerships between rural communities and the private sector
- involvement and active participation by senior-level (i.e., national or regional) and local government officials
- clear (potential) beneficial outputs for local communities.

On the other hand, more specifically to a number of ongoing projects and those where the outputs were affected by budget cuts, risks to sustainability include:

- limited financial engagement after the end of a project, including abrupt ending of funding for SFM activities (this effect was mitigated, e.g., in Fiji where community nurseries will sell their seedlings to both ITTO project sites and the government for the coming 15 years)
- under-estimation of the time needed to formulate, consult and implement management and development plans, including forest/conservation area management plans
- frequent government staff turnover that may limit the impact of training
- no follow-up of alternative livelihood interventions, in particular ecotourism development, including the difficulties to provide, e.g., seed fund (e.g., rural credits), for development activities
- lack of incentives for long-term inclusion of local communities and indigenous groups in forest monitoring and patrolling activities

- insufficient inclusion of specific key stakeholders, such as poachers and bushmeat hunters with commercial interests, small-scale miners, illegal loggers, and plant hunters (orchids, ornamental plants) in project planning

Many of these issues are common to all time-limited projects, regardless of who runs them. The solutions include mentoring livelihood alternatives to the point that they are sustainable, actively implemented policy changes, and new phases of projects for sufficient periods of time to result in lasting changes.

6.0 Lessons learned

While each project contributed in some particular measure to lessons learned (Table 3), many of the lessons were common to multiple projects and have been summarized as lessons from this Initiative. Some of these same lessons have already been enumerated by Ali (2011) and Simula et al. (2011).

6.1 Common and/or important lessons learned, as reported by projects under the ITTO-CBD Initiative

1. All projects that deal with conservation, protected areas, improved forest management, and research need to consult with and enable involvement of the local communities on the project area. Projects should pre-consult and develop good relationships with communities, including through regular and ongoing communications. This can be accomplished partly through local community membership on project committees.
2. Protected area projects can often be viewed by local communities as government land-grabs and so, especially in these projects, community involvement is essential. For these projects, benefits must be derived for local communities and certain past land rights and practices need to be allowed to continue, even if only by zonation.
3. Improved or alternative livelihood projects, if well-planned in consultation with communities, can be successful in increasing local incomes. No studies, however, have examined to question of additionality of alternative income vs. replacement, with respect to levels of forest use.
4. Developing baseline biodiversity information or conducting local applied forest research can benefit substantially from local knowledge of the project area. Local knowledge is also essential to develop and conduct appropriate monitoring plans.
5. Capacity building and awareness-raising for local communities and local government officials is essential for improving area management, regardless of whether the area is protected or production. However, the capacities and capabilities of stakeholders, especially government authorities and local communities, should be well-understood prior to developing training programs and organizing workshops.
6. Local government authorities at all levels (state, region, municipal) should be involved to the extent possible and regular and continuous communications should be established. This can be accomplished partly through local governmental membership on project committees.

7. For research and biodiversity monitoring projects, it is important to have a technical committee to review scientific data and reports to ensure high quality.
8. Project developers need to be careful not to over-commit to a project design that exceeds budgets, local capacity to do the work, travel capacity, or the reality that some potential alternative livelihoods that may not work in a given location.
9. The political support from higher levels of governments of all participating countries is essential to the success of a trans-boundary conservation project, and to sustaining the conservation activities over time.
10. Transboundary projects require regular meetings of the project management committee with membership from all governments. The type of commitment for transboundary activities need to be clear as it seems that, in some cases, transboundary engagement remains on a relatively low level of commitment (e.g., a letter of intent, or commonly defined activities in a project document).
11. CFs need to be properly located to improve their chance of success; placing them in already logged and degraded forests reduces financial opportunity and leads to disinterest.

6.2 Lessons drawn from this Initiative for a renewed Initiative, based on overall programme delivery

Given that this collaborative Initiative has strong merit and provided some excellent results, in the view of the consultants it should be renewed. Below is a summary of lessons that would improve the overall outcomes of a renewed ITTO-CBD Initiative.

1. Biodiversity objectives and contributions to the Post-2020 Strategic Plan for Biodiversity need to be clearly formulated for all projects, including the projected outcomes using biodiversity indicators.
2. Pre-project consultations with communities in a proposed project area, with possible resulting modifications of the project plan, are an essential element of overall project design.
3. Involvement of local communities on committees for implementation and design features is essential.
4. The most successful and sustainable projects were those involving transboundary protected and managed areas. The international nature of both ITTO and CBD positions them favourably to foster transboundary conservation and management. If such projects are further pursued, formal engagement between countries should be obtained in order to sustain the outcomes beyond project duration. To that end, clear integration of high-level government (i.e., senior director or director general) personnel on transboundary project committees is essential to achieve long-term results and to have any possible effect on policy.
5. Alternative and improved livelihood projects can provide beneficial local impacts in terms of people's income and forest conservation, but indicators should be in place to determine their effectiveness for conservation.
6. Livelihood projects, including ecotourism, should be based on in-depth feasibility studies and under close consultation with the local communities in order to enhance sustainability of the

interventions. Further, mentoring beyond the end of a project is often essential to ensure viability of the businesses.

7. Community-based monitoring and patrolling can support conservation efforts and give a sense of ownership to the communities, but only if their role is clearly stipulated and remunerated.

8. CBD should take an active role in project selection and as a presence on at least some steering committees to proactively encourage the conservation of biodiversity and to elevate the recognition of the project.

9. Projects should provide measurable indicators for achievement, such as: ha of forest sustainably managed, ha of forest restored or rehabilitated, ha of forests planted or enriched, number of km^2 surveyed/monitored, number of livelihood projects successful, etc. Numbers provide a meaningful way to measure results compared to the planned outputs.

Meeting with a local community near Betung Kerihun
National Park Indonesia/Malaysia

Table 3. Summary of lessons learned from each of the 16 projects.

Project	Title of project	Lessons	Lesson value assessment
PD 456/07 Rev.4 (F) **Congo Basin**	Capacity Building for Sustainable Management of Tropical Rainforests and Biodiversity Conservation in the ITTO Congo Basin Countries	• Thematic Working Groups (TWGs) had a crucial role for the operationalization/implementation and ownership of the training modules and programme, and for the associated teaching methods in all RIFFEAC training institutions.	**
PD 577/10 Rev.1 (F) **Cambodia, Thailand**	Management of the Emerald Triangle Protected Forests Complex to Promote Cooperation for Transboundary Biodiversity Conservation between Thailand, Cambodia and Lao People's Democratic Republic (Lao PDR)	• The political support from higher levels of governments of all participating countries is essential to the success of trans-boundary conservation. • Technical cooperation, particularly in the early stages of activities, was important for outcomes through collective efforts of the participating countries. • Regular meetings of the Project Steering Committee and joint technical meetings contributed to the efficient planning and monitoring of the project. • The effective participation of stakeholders, in particular, local communities, is a necessary component for ensuring the longevity of on-going activities. • The capacities and capabilities of stakeholders, especially government authorities and local communities, should be well-understood prior to developing training programs and organizing workshops. Efforts to raise their awareness of the importance of conservation in trans-boundary conservation initiatives should be an on-going process, including after the project's completion. • The engagement of the CBD Secretariat in steering committee meetings and the regional workshop under the ITTO/CBD Joint Initiative on Tropical Forest Biodiversity substantially contributed to the visibility of the project for international conservation communities.	***

PD 601/11 Rev.3 (F) **Peru**	Strengthening Mangrove Ecosystem Conservation in the Biosphere Reserve of Northwestern Peru	• Working closely with local communities is important to sustainably manage and conserve forest ecosystems. • Government, land-users and stakeholders must be involved in planning forest conservation and management to ensure project success.	**
PD 617/11 Rev.4 (f) **Indonesia, Malaysia**	Promoting Biodiversity Conservation in Betung Kerihun National Park (BKNP) as the Trans-boundary Ecosystem between Indonesia and State of Sarawak Malaysia - Phase III	• It is important to understand the key problem to be addressed by the project, by using results of previous projects, where these exist, to facilitate construction of a relevant and sound project design. • The clearly defined tasks and responsibilities of each of the project management team member avoided confusion in institutional relationships among stakeholders. • Engagement of experienced professionals in the designing of field surveys for biodiversity is crucial to ensure sound methods, reliability of data produced, and cost-effectiveness of surveys. • Building partnerships between local communities and local NGOs was productive in improving technical skills of community leaders for livelihood management planning. • For livelihood projects to be successful, at least 2 full years of mentoring and assistance is required, and projects selected must be something familiar in the community (e.g., not fabric embroidery in a fishing village). • Continuous communication and coordination with the local government officials resulted in avoiding unnecessary operational problems. • Project indicators were weakly defined in the project planning phase and so it was important to update these during the operational phase to ensure their measurability and use in the final assessment of project achievements.	***
PD 635/12 Rev.2 (F) **Malaysia**	Buffer Zone Management for Pulong Tau National Park with Involvement of Local Communities in Management, Sarawak, Malaysia	• The buffer zone concept is an effective tool to enhance conservation and assist in rural transformation next to national parks. The model is applicable to secure native customary rights	***

		from logging and other commercial activities. It is also a way to avoid or resolve conflicts arising from land disputes. • For buffer zone management to be effective, the government must collaborate with local communities and the private sector. The roles of the local communities are to provide information on issues related to resource management, sustainability, and for law enforcement, while the private sector (timber operators) have an obligation to reduce environmental damage by adhering to SFM practices. • Local knowledge on the forest and uses of plant and animal species was critical to design and accomplish field surveys. • CFs need to be properly located to have an opportunity for success; placing them in already logged forests reduces any financial opportunity. • In order to be effective, the buffer zone management committee must include local communities as members.	
PD 668/12 Rev.1 (F) **Mexico, Guatemala**	Integrated Management of Natural Resources and Biodiversity in the Tacaná Volcano and its Range of Influence in Mexico and Guatemala	• The implementation strategy based on inclusive social and institutional involvement was an essential component for success, by gaining the trust among all stakeholders • The establishment of financial mechanisms put in place by CONAFOR (in Mexico) and INAB (in Guatemala) has the potential to ensure the sustainability (over a 10-year period) of project-stimulated actions in forest conservation, reforestation, and restoration. • Full engagement of the executive agency helped to bridge the funding gap that occurred in the project and guaranteed continues work after end of the project.	***
PD 710/13 Rev.1 (F) **Indonesia**	Promoting Conservation of Selected High-value Indigenous Species of Sumatra	• Conservation measures must include sustainable use so that people can receive benefits from the species while preserving and protecting them and the forest.	*

		• The project found very low levels of knowledge among younger people about the need for conservation, indicating a need for better biodiversity education in schools. • Apportioning resources among too many project species results in reduced knowledge for all. • Establishing a network of stakeholders and early communication are essential project elements.	
PPD 165/12 Rev.1 (F) **Benin**	Study for the Rehabilitation and Sustainable Management of Sacred Forests on Ramsar Sites 1017 and 1018 in Benin	- see Project 754/14 below	*
PD 754/14 Rev.3 (F) **Benin**	Restoration and Sustainable Management of Sacred Forests on Ramsar Sites 1017 and 1018 in Benin	• The project's 36-month duration proved too short to implement the simplified management plans in many of the targeted sacred forests. • Because there was a long gap between the two project phases (pre-project and project) it was necessary, in the second phase, to remind beneficiaries of previous benefits; therefore, if there is a pre-project, the actual project must start soon after to save time and resources. • The establishment of a green credit scheme to support local communities with income-generating activities was important to success. • The establishment of community committees comprising members from various elements of communities helped in building mutual trust, and the establishment of committees at the level of municipalities enabled the strong involvement of local government.	**
PP-A/50-296-Phase I Congo **Basin**	Building the Capacity for Biodiversity Conservation in Trans-boundary Conservation Areas (TBCAs) in the Congo Basin Countries through Sustainable Forest Management (SFM) Practices and the Use of Satellite and Radar Imagery (Phase I)	• It is important to have a technical committee to review scientific data and reports to ensure high quality.	*

PP-A/47-266 **Amazon Basin**	Building Capacities of ACTO Member Countries in Ecologically Responsible Forest Management and Biodiversity Conservation in Managed Forests of the Amazon	• Capacity building at country level to monitor deforestation, land tenure, changes in land use in the Amazon region is an essential tool for forest governance in the Amazon. • Knowledge sharing between technical staff at the project level and governments in regional government officials at meetings was important to success and to the design of the training modules. • Coordinated activities among governments are necessary to assure sustainability of the project results.	***
PD 723/13 Rev.2 (F) Stage 1 of Phase I **Myanmar**	Capacity Building for Strengthening Transboundary Biodiversity Conservation of the Taninthayi Range in Myanmar	• Local community involvement, training and awareness-raising is essential to project success. • Communities require training for alternative livelihoods possibilities. • Transboundary conservation initiatives should actively involve relevant stakeholders at every level and take into account the nature of power relations between stakeholders. It is therefore important to establish transparency and accountability among the different levels of relevant organizations. • Transboundary initiatives should offer genuine opportunities for the equitable distribution of tangible benefits for stakeholders at all levels of political organization. • Capacity building programmes for various stakeholders for different levels are very crucial for transboundary initiatives involve various stakeholders including managers, communities and private sector. • The extent of political commitment and support are crucial for the successful implementation of biodiversity conservation, including across borders.	**
PD 696/13 Rev.2 (F) **Fiji**	Community Based Restoration and Sustainable Management of Vulnerable Forests of the Rewa Delta, Viti Levu	Project is ongoing. Establishing good working relationships with the village headman of the 6 communities and the project staff was essential for project delivery and success, as was obtaining the broad support of women community members.	*

PD 741/14 Rev.3 (F) **Peru**	Capacity Building for the Sustainable Management of Tropical Dry Forests on the North Coast of Peru	Dry forests are not very high on the national forest policy agenda in Peru, but for communities and local stakeholders living in and adjacent to them they have great value. Strengthening of technical and operational capacities for community forest management in such forests is essential to maintain and restore such resources.	*
PD 765/14 Rev.2 (F)- Phase I **Guatemala**	Development of a Forest Landscape Restoration Program for Guatemala Based on ITTO Guidelines	Project still in implementation. Top-down approach to FLR with the intention to include local stakeholders.	*
PD 777/15 Rev.2 (F) **Indonesia**	Accelerating the Restoration of Cibodas Biosphere Reserve (CBR) Functions through Proper Management of Landscapes Involving Local Stakeholders	Project is still in implementation. However, lessons of this project can be useful more broadly, as it deals with a Biosphere reserve that is under heavy population pressure from local inhabitants and daily tourists from the capital. How to bring social needs and biodiversity conservation objectives together will be interesting to follow.	*

Forest inventory, for Project PD710/13
Indonesia

Planting trees in Scared Forest, Benin
For Project PD754/14

7.0 Conclusions and recommendations

Programmes, such as this Initiative, make individual but additional contributions towards improving forest management, conserving biodiversity, and reducing rural poverty, as part of the larger global effort. Summing across the projects, it can be concluded that the ITTO/CBD Initiative has had a measurable impact on all of the global forest and biodiversity process targets, including for the Sustainable Development Goals and the CBD Strategic Plan for Biodiversity 2010-2020, with its Aichi Targets.

This Initiative funded a broad array of projects that included work on protected areas management, restoring tropical forests including humid and dry forests, special forest ecosystems (mangroves, Scared Forests), education for managing forests, species-level conservation, sustainable forest management, and buffer zone management. Given the high value for the small amount of funding spent, the Initiative has provided an efficient and effective series of projects overall. It is unfortunate, however, that some of the work was curtailed owing to the funding constraints at ITTO, which resulted in several incomplete projects and reduced funding available for the remaining ongoing projects. Despite the setback, many projects had substantive achievements, most of which should be sustainable, all of which will benefit biodiversity, and many of which are expected to benefit local communities over the long term.

While a substantive overall impact of the Initiative was clear, there may have been even greater impact if it had focused on some signature project types, as opposed to applying multiple themes. Greatest immediate impact on policy and conservation came from transboundary projects, the buffer zones project near the Pulong Tau protected area in Sarawak/Malaysia, and working in reserves of different types (Ramsar, Biosphere, parks). It is also arguable that transversal projects, such as educational programmes that integrated biodiversity and forest use, would also be strong signature projects, for example, the RIFFEAC educational project that will eventually result in excellent long-term benefits.

At the policy level, not all projects had equal levels of impact. The most significant policy impacts occurred at the international level from two of the transboundary projects, with both projects affecting international, national, and local policies for managing important transboundary landscapes. In large part, these impacts were the result of considerable respect for the work of ITTO within these countries, which has accumulated over time as a result of past work. The well-designed project with the Amazon Cooperation Treaty (ACTO) comprised very laudable policy goals, but they could not be completed in the time-frame available and with the limited inputs available. The ACTO project showed, however, that at a broader national levels, forest management principles are generally well aligned with international commitments to protect tropical forest biodiversity but that more efforts are still needed for an effective compliance in the field. Still other projects produced guidelines and best practices manuals that were taken up by governments at different levels (local, regional, national) for future forest planning and management.

Several projects had significant social impacts and involved special attention to the welfare of local communities, along with providing training on landscape restoration, sustainable forest management and ecosystem services. In the long term, it is reasonable to assume that increased awareness and sustainable alternative livelihood capacities will reduce local communities' dependence on forest resources, and strongly enhance their willingness to contribute to conservation and sustainable management of forests, with positive outcomes for biodiversity.

In conclusion, The CBD-ITTO Initiative funded a wide array of projects that contributed well to the major global forest-related processes and fulfilling its objectives by providing significant results for biodiversity conservation, engaging and assisting local communities, and improving forest management. Programmes such as this are urgently required for all tropical forest areas to reduce the degradation and loss of forests (in some cases at deforestation rates exceeding 2%/year[5]), the loss of biodiversity that they support, and the loss of essential ecosystem services that they provide to communities.

7.1 Recommendations for extended activities of the ITTO-CBD Collaborative Initiative

There is no doubt that this Initiative should be continued in a renewed form because of the global impact that it has already successfully developed. On the other hand, the results suggested that a new Initiative might be very effective by concentrating on some limited number of key themes and by ensuring that all projects have clear Initiative-oriented objectives and planned outcomes. From recent ITTC meetings and decisions, the two key areas for extending this Initiative occur under ITTC Decision 8 (XV), section 2., which describes the four programme lines for the period of 2020-2022. These two areas are as follows:

b) Conservation of Biodiversity and Ecosystem Services, and

c) Forest Landscape Restoration and Resilient Livelihoods.

These two project lines are strongly linked to current programmes of the global development community, including a mechanism widely perceived under REDD+ as a means to achieve NDCs in tropical countries, with the potential to develop a carbon credits schemes under Art. 6 of the Paris Agreement. Further, the scientific community has been advocating for many years the importance of considering the emergent properties of forest ecosystems at landscape scales, in terms of their long-term resilience and sustaining of biodiversity and ecosystem services, including carbon storage[6]. A renewed Initiative can build on this body of knowledge, by linking to globally important themes, such as restoring forest landscapes to mitigate climate change and mainstreaming biodiversity concerns into national policies.

The following objectives should be considered for the Initiative:

1. To enhance the national and local capacity for biodiversity conservation on production forest landscapes;
2. To improve the conservation and management of protected areas, especially in buffer zones and transboundary areas;
3. To restore and rehabilitate degraded and deforested landscapes to increase biodiversity and improve forest production; and
4. To improve the welfare of local communities and indigenous groups through biodiversity conservation and sustainable use of natural resources.

An extended Initiative may also wish to consider focussing on the most successful 'signature themes' from this first iteration. In all areas, particular focus should be on the types of projects that are able

[5] FAO. 2020. Global forest resources assessment. Rome, Italy.

[6] e.g., Watson, J.E., Evans, T., Venter, O., Williams, B., Tulloch, A., Stewart, C., Thompson, I., Ray, J.C., Murray, K., Salazar, A. and McAlpine, C., 2018. The exceptional value of intact forest ecosystems. Nature Ecology & Evolution, 2: 599-610.
Potapov, P., Hansen, M.C., Laestadius, L., Turubanova, S., Yaroshenko, A., Thies, C., Smith, W., Zhuravleva, I., Komarova, A., Minnemeyer, S. and Esipova, E., 2017. The last frontiers of wilderness: Tracking loss of intact forest landscapes from 2000 to 2013. Science advances, 3(1), p.e1600821
Thompson, I., Mackey, B., McNulty, S. and Mosseler, A., 2009. Forest resilience, biodiversity, and climate change. Secretariat of the Convention on Biological Diversity, Montreal. Technical Series no. 43.

to combine conservation and sustainable use, protection and production, and clearly link these to the underlying social issues, while mainstreaming biodiversity. Suggested signature themes include:

1. Transboundary area management in production or protection forests
    - Continued focus on improving management of important transboundary areas, including where protected areas occur as a part of a broader production landscape, is a highly effective strategy for ITTO/CBD because of the importance of fostering landscape-scale management and protecting endangered species across borders.
    - This type of project has a high potential to use past lessons learned that can be applied, and to build on past successes owing to ITTO's long history in this focal area.
2. Buffer zone management (adjacent to protected areas)
    - A particular focus on buffer zone management, with a mosaic of multiple land uses including natural forest management, tree plantations, and agroforestry, adjacent to protected areas can provide improved protection of the core zone, while helping to build economic resources for communities living in or near protected areas.
    - This type of project leverages ITTO expertise in SFM along with the CBD Post-2020 Agenda advice for enhanced management of protected areas.
    - Such projects could also involve agricultural or logging companies where concessions are next to, or within buffer zones, to facilitate and streamline the management of diverse land uses, while reducing conflicts.
    - Enabling local community rights to manage natural resources in buffer zones provides a high potential for improving cooperative SFM and conservation practices, owing to ownership and long-term vision for resource use.
3. Degraded second-growth forest landscapes that are, or could be important to local communities and indigenous people
    - There is more than more 850 million ha of degraded second-growth forest landscapes in the tropics that need restoration to recover their values to humans and as habitats for biodiversity.
    - Such areas are also a focus under climate change initiatives that seek to restore carbon reservoirs in tropical forests as a climate mitigation action.
    - A restoration project can be based on protective measures and natural regeneration, as well as silvicultural treatments favouring at the same time sustainable use and biodiversity conservation.
    - Forest restoration can be readily built into the buffer areas theme (above), with a view to increasing intact forest area.
4. Other types of protected or partially protected areas, such as Ramsar designated areas and Biosphere Reserves
    - Many of these sites are 'designated' and not protected in a formal sense, and so require investment and careful management.
    - Capacity-building and the development and implementation of management plans should be a focus in these areas, using the experience and lessons learned from other protection and production forests.
    - These areas are often characterized by high traditional values and thus likely to have strong local acceptance of conservation and restoration measures, which can be used as an advantage in project implementation.
    - Designated sites, especially with functioning ecosystems at landscape scales, are especially key areas to the GEF (under GEF 7) and therefore of global relevance.

The completion of ongoing projects begun under the current CBD/ITTO Initiative should be assigned some priority. Impacts could be further improved through upscaling (e.g., PD754/14 – Benin, PD635/12 – Malaysia, PD601/11 - Peru), or out-scaling (e.g., PD456/07 – RIFFEAC, PD577/10 – Cambodia/Thailand, PD617/11 – Indonesia/Malaysia), which were all successful projects. Extended support is needed and will be beneficial to achieving overall objectives in particular for the two ongoing transboundary projects in Myanmar/Thailand and Guatemala/Mexico.

Overall, expectations must be realistic on what can be done in the timeframe and the limited budget of an ITTO stand-alone project, particularly regarding wider forest development policies and changes in community behaviour. In this regard, a renewed ITTO/CBD Initiative could be more aligned with larger development programmes that potentially benefit from the experience gained and allow upscaling at a broader level to achieve sustainable outcomes.

A very few projects provided numerical indicators in their final reports but most did not quantify success. Funding agencies and donors need to see progress in definitive terms, such as number of hectares planted or restored, area surveyed for biodiversity, the data results from monitoring, and number of people involved in new livelihood businesses, among others. Mapping of information, for example, is highly illustrative and provides readily interpretable information in a report. Determining if establishing alternative livelihoods reduces forest dependency is a hypothesis in need of testing, rather than simply assuming results. Any future projects should consider measurable indicators of some kind for all proposed outcomes.

Finally, projects focusing on biodiversity conservation need achievable exit strategies to ensure that project activities can be sustained, either through broader types of financing tools (such as carbon credits, ecosystem service payments, debt-for-nature swaps, private sector grants) or other ‘green financing mechanisms. It is difficult to achieve sustainability at large scales with the type of projects that ITTO can implement within its means. However, the potential of delivering seed funding and the technical and social basis that allow mobilizing mainstream funding from new sources, and enhancing cooperation with local and international private sector companies and foundations, should not be underestimated.

7.1.2 Future funding

While the current form of the Initiative is highly relevant to current and imminent processes including the SDGs, and UN Decade for Ecosystem Restoration 2021-2030, and the Post-2020 Biodiversity Framework, the suggested modifications above would make it more attractive to donor agencies. The renewed Initiative could focus on new strategic opportunities for funding, for example, by aligning with the specific priorities of specific donor countries (e.g., Norway, the E.U., US, China, Korea, and Japan) with respect to funding individual projects that fit within their current international development mandates. Greater impact would also be achieved by leveraging other funding sources, such as building onto existing UNEP, UNDP, GEF, development bank, GCF, or CITES projects. A good example might be working with the UNDP proposed “Ridge to Reef” GEF-funded project in Myanmar (currently in hiatus), in the Tanintharyi area. That UNDP-GEF project currently has no transboundary focus, while the ongoing ITTO project in the same area is designed to be transboundary. It is noteworthy that some projects have developed individual approaches to continue efforts begun under the ITTO-CBD Initiative to reach sustainability. For example, the project on integrated management of natural resources and biodiversity in the Tacaná Volcano (Mexico and Guatemala) is currently in negotiation to mobilize funds through UNDP to continue support to local communities to enhance their livelihoods through the local production and marketing of non-timber forest products and thus sustain biodiversity in adjacent forests.

An interesting concept to pursue might be that the ITTO-CBD Initiative would fit very well directly into a GEF proposal, that engages ITTO as an 'executing agency' to implement forest and biodiversity-related aspects through one of the main forest project implementing agencies, such as UNDP or FAO. For example, current GEF-7 priorities include large forest landscape restoration and biodiversity projects that would fit suitably with implementing the new ITTO "Guidelines of Forest Landscape Restoration in the Tropics" and with the above ITTC direction.

8.0 Suggested communication plan

It is, of course, important to communicate successes where these have occurred as a means to improve uptake, inform the global community about results, and to attract future funding. For the ITTO-CBD Initiative, there are many positive messages to convey to ITTO member countries, Parties to CBD, the larger conservation community, as well as to potential future donors. All communication materials should be built around the following key messages:

- The CBD/ITTO Initiative has achieved remarkable results in terms of enhancing biodiversity through forest conservation, sustainable forest management, forest and habitat restoration, and compiling new biodiversity data from monitoring.
- The Initiative is highly relevant and contributes to several global processes, such as the Aichi Targets, the Post-2020 Biodiversity Agenda, UN Forest Goals, and Sustainable Development Goals.
- The ITTO is well placed to deliver forest biodiversity outcomes, as it deals with large forest landscapes, many of them classified as permanent forest estate, either as protection or production forests. As such, ITTO can leverage biodiversity on broader forest landscape level, for example in buffer zones. In this sense, forests outside protected areas have a crucial role to provide connectivity, intactness, and also for sustaining the ecosystem health inside protected areas.
- In terms of policy impact, the Initiative offers a unique chance to link sustainable/wise use of forest resources and protection of biodiversity, in large part because the main clientele for ITTO has been forest departments, while for CBD it is most often the environment departments of national governments. The Initiative links the two national agencies in project countries through its projects.
- There is a need for continued action to upscale these achievements and use the lessons learned.
- Focal areas with high potential for interventions are transboundary areas, in particular where they include forest protected areas, buffer zones, with strong inclusion of local stakeholders including communities and indigenous peoples, for sustainable management, and other protected or partially protected areas such as Ramsar Sites or Biosphere Reserves.

The strategy to communicate the outcomes to potential donors could include, inter alia:

- Send this review report to all donor countries to this Initiative, as well as to other potential donors.
- Develop a PowerPoint presentation file that can be presented by any ITTO or CBD staff as a side event or at other functions.
- Promote the Initiative at side events at CBD and ITTC in particular, but also in broader forest arenas such as FAO/World Forestry Congress 2021, UNFF, CITES, CPF, IUFRO, and the UNFCCC.
- Highlight results of the review and the projects in TFU and on ITTO and CBD websites

- Promote short communications in social media (including LinkedIn, Twitter, Facebook, etc.) to highlight major achievements, e.g., through blogs on some of the flagship projects and their contribution to biodiversity
- If funding can be found, arrange a 1-day meeting at one of the larger global meetings, such as CITES COP or the Global Landscape Forum, for example, to present seminars on several of the projects.
- Provide a colourful informative poster to all ITTO member country forest and environment offices.

ANNEXES

Annex 1. Memorandum of understanding between ITTO and CBD for the "ITTO-CBD Initiative Collaborative Initiative for Tropical Forest Biodiversity"

Annex 2. CBD Decision X/36

Annex 3. ITTC Decision 6 (XLVI)

Annex 4. Global process goals and objectives referred to by numbers in Table 2 for each project.

Annex 1. Memorandum of understanding between ITTO and CBD.

Convention on Biological Diversity

ITTO

Memorandum of Understanding
between
the Secretariat of the International Tropical Timber Organization (ITTO)
and
the Secretariat of the Convention on Biological Diversity (CBD)
(Extension for the period 2015-2020)

The Secretariat of the International Tropical Timber Organization (ITTO) and the Secretariat of the Convention on Biological Diversity (CBD), (hereafter called "the secretariats");

Recalling the adoption of the CBD expanded programme of work on forest biological diversity adopted at the sixth meeting of the Conference of the Parties (COP) in 2002 as decision IV/22, and also recalling COP decision IX/5 of May 2008 in which Parties were urged to strengthen implementation of the programme of work;

Welcoming the adoption of the resolution by the United Nations Economic and Social Council establishing the United Nations Forum on Forests (UNFF), and recommending the formation of the Collaborative Partnership on Forests (CPF);

Recalling the Non-Legally Binding Instrument on All Types of Forests (Forest Instrument) adopted by the United Nations General Assembly, Resolution 62/98 on 17 December 2007, which offers an integrated framework for national action and international cooperation to implement sustainable forest management (SFM);

Recalling the Strategic Plan for Biodiversity 2011-2020, including its forest-related Aichi Biodiversity Targets, welcomed by the 65th session of the UN General Assembly;

Recalling the ITTO Strategic Action Plan 2013-2018, as well as the ITTO/IUCN Guidelines for the Conservation and Sustainable Use of Biodiversity in Tropical Timber Production Forests (2009) and the ITTO Guidelines for the Restoration, Management and Rehabilitation of degraded and Secondary Tropical Forests (2002);

Recalling the critical inter-relationship between the condition of tropical forests and the environmental threats such as climate change, biodiversity loss, land degradation and desertification;

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Recalling ITTC decisions 13(XXIX) and 7(XXX) in which the International Tropical Timber Council requested the Executive Director of the ITTO to explore options for a work plan with targeted joint activities with international organizations, including the CBD Secretariat;

Further recalling the direct relevance to the ITTO of activities of forest-related international organizations and processes to address conservation and sustainable use of tropical forests;

Recalling CBD decision IX/5, at which the Conference of the Parties requested the Executive Secretary to carry out thematic and/or regional workshops to support Parties' efforts in implementing the programme of work on forest biodiversity, based on the findings of the in-depth review of the programme of work (UNEP/CBD/SBSTTA/13/3) and that such workshops should be carried out, among others, in close cooperation with ITTO and other members of the CPF;

Welcoming the efforts of the secretariats through the ITTO/CBD Collaborative Initiative for Tropical Forest Biodiversity, as their joint framework for cooperation in supporting governments in the implementation of sustainable tropical forest management and the CBD programme of work on forest biodiversity in tropical forests

Bearing in mind that the successful implementation of this Memorandum of Understanding (MoU) is subject to the availability of appropriate resources;

Extend the MoU signed on 2 March 2010 between the secretariats for an additional period of five years, from 2015-2020, with the following understanding:

1. Objective

This MoU is aimed at facilitating the implementation of activities linked to the conservation and sustainable use of tropical forest biodiversity within the ITTO Biennial Work Programme 2015-2016 and subsequent Work Programmes, the ITTO Thematic Programmes, the ITTO Strategic Action Plan 2013–2018 and any successor Strategic Action Plan; and the CBD programme of work on forest biodiversity in the context of the Strategic Plan on Biodiversity 2011-2020 and its forest-related Aichi Biodiversity Targets.

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2. Purpose

The key purpose of this MOU over the next five years is to:

a. Continue to identify, develop and implement targeted joint activities on forests and biodiversity between the secretariats, with the involvement of other relevant organizations;
b. Carry out the targeted joint activities referred above through, among other things, the implementation of the CBD/ITTO Joint Collaborative Initiative on Tropical Forest Biodiversity in ITTO producer member countries and Parties to the CBD; and
c. Assist countries to achieve sustainable forest management, reduce deforestation, recover degraded forest lands, and enhance forest protected areas.
d. Facilitate information exchange between the secretariats

4. Focus of the work on tropical forests and biodiversity

Over the long term, areas of focus related to biodiversity conservation and tropical forests could include the following:

a. Continue to organize joint activities under several different modalities;
b. Promoting cooperation with other sectors;
c. Supporting regional collaboration and South-South cooperation;
d. Examining opportunities for harmonized reporting on sustainable use and conservation of tropical forests.

5. Resource mobilization

The secretariats should regularly consult with each other to determine the availability of resources required for implementing the activities under this MoU and the most equitable way of meeting such expenditures, if any. If resources are not available, the secretariats will consult on the most appropriate ways to obtain the necessary resources, including opportunities for joint fundraising.

6. Duration and timeline

This extension of the MoU will commence to be effective on 1 Januray 2015 and ends on 31 December 2020, with possible further extension if mutually agreed, subject to availability of funds.

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ITTO

Reports will be periodically presented to the appropriate meetings of the ITTC and CBD COP.

The secretariats will review the effectiveness of this arrangement on an annual basis and decide on necessary steps to keep it dynamic and effective.

Signature:

Braulio de Souza Dias
Executive Secretary, CBD
Date:

Emmanuel Ze Meka
Executive Director, ITTO
Date:

Annex 2. CBD Decision COP X/36

UNEP

CBD

Convention on Biological Diversity

Distr.
GENERAL

UNEP/CBD/COP/DEC/X/36
29 October 2010

ORIGINAL: ENGLISH

CONFERENCE OF THE PARTIES TO THE
CONVENTION ON BIOLOGICAL DIVERSITY
Tenth meeting
Nagoya, Japan, 18-29 October 2010
Agenda item 6.3 **DECISION ADOPTED BY THE CONFERENCE OF THE PARTIES TO THE CONVENTION ON BIOLOGICAL DIVERSITY AT ITS TENTH MEETING**

X/36. Forest biodiversity

The Conference of the Parties,

Cooperation with the United Nations Forum on Forests (UNFF) and the International Tropical Timber Organization (ITTO) and the Low Forest Cover Countries (LFCC) Secretariat

Recalling the in-depth review of the expanded programme of work on forest biodiversity and decision IX/5 of the Conference of the Parties,

1. *Welcomes* resolution 8/1 of the United Nations Forum on Forests on forests in a changing environment, enhanced cooperation and cross-sectoral policy and programme coordination, regional and subregional inputs; and *also welcomes* opportunities for collaboration in celebrating the International Year of Forests in 2011;

2. *Welcomes and supports* the Memorandum of Understanding between the secretariats of the Convention on Biological Diversity and the United Nations Forum on Forests signed on 15 December 2009, which, *inter alia*, aims to identify, develop and implement targeted joint activities; *invites* Parties, other Governments, and relevant organizations to support joint activities under the Memorandum of Understanding as outlined in this decision, and *invites* Parties to provide funding for a joint staff position and activity funds through the appropriate voluntary trust fund of the Convention. Subject to available funds, this joint staff will be tasked with implementing activities under the Memorandum of Understanding;

3. *Welcomes and supports* the Memorandum of Understanding between the Secretariat of the Convention on Biological Diversity and the Secretariat of the International Tropical Timber Organization (ITTO) as signed on 2 March 2010, which aims to strengthen implementation of the expanded programme of work on forest biodiversity of the Convention on Biological Diversity in tropical forests, and *invites* Parties, other Governments, and relevant organizations to support joint activities under the Memorandum of Understanding;

4. *Takes note* of the importance of collaboration with all relevant regional and international bodies mandated to promote conservation and sustainable use of all types of forests, including those in countries with low forest cover;

Targeted joint activities between the secretariats of the Convention on Biological Diversity and the United Nations Forum on Forests (UNFF)

5. *Requests* the Executive Secretary based on priorities identified in its decision IX/5 and taking into account recent developments, in particular resolution 8/1 of the United Nations Forum on Forests, to identify and implement, in consultation with the Director of the United Nations Forum on Forests, targeted joint activities between the secretariats of the Convention on Biological Diversity and the United Nations Forum on Forests to support Parties, in particular developing countries, in the implementation of the expanded programme of work on forest biological diversity and the non-legally binding instrument on all types of forests, including through:

(i) Further capacity-building on how forest biodiversity and climate change could be better addressed in national biodiversity and forest policies, such as national biodiversity strategies and action plans and national forest programmes, and in sustainable forest management practices, building on the UNFF/CBD subregional capacity-building workshop on forest biodiversity and climate change[7] held in Singapore, from 2 to 5 September 2009, taking into account current discussions, without pre-empting any future decisions taken under the United Nations Framework Convention on Climate Change;

(ii) Further collaboration with the Global Partnership on Forest Landscape Restoration and other cooperation mechanisms on restoring forest ecosystems, paying particular attention to genetic diversity;

(iii) Streamlining forest-related reporting, based on the Collaborative Partnership on Forests (CPF) Task Force on Streamlining Forest-related Reporting, including by organizing, in collaboration with the Food and Agriculture Organization of the United Nations, a meeting of the Task Force, prior to the eleventh meeting of the Conference of the Parties, to investigate whether there are inadequacies in forest biodiversity reporting and monitoring, aware of the need to follow up decision IX/5, paragraph 3(g), with the objective of further improving the biodiversity component of the Global Forest Resources Assessment and other relevant processes and initiatives;

and report on progress to the Subsidiary Body on Scientific, Technical and Technological Advice at a meeting prior to the eleventh meeting of the Conference of the Parties;

Cooperation with the Food and Agriculture Organization of the United Nations and relevant organizations

6. *Welcomes* the work of the Food and Agriculture Organization of the United Nations in compiling the Global Forest Resources Assessment 2010, which will provide updated and expanded information on forest biodiversity;

7. *Takes note* of the findings of the *Global Forest Resources Assessment 2010*, and *encourages* the Food and Agriculture Organization of the United Nations to continue its work towards improved monitoring of forest biodiversity;

8. *Recognizes* the importance of forest genetic diversity for the conservation and sustainable use of forest biodiversity, including in the context of addressing climate change and maintaining the

resilience of forest ecosystems; and in this context *welcomes* the preparation by the Food and Agriculture Organization of the United Nations of the country-driven report *The State of the World's Forest Genetic Resources*;

9. *Invites* Parties, other Governments, and relevant organizations to support the preparation of the country-driven first *The State of the World's Forest Genetic Resources* report, including with the aim of

[7] The report of the meeting is available as document UNEP/CBD/WS-CB-FBD&CC/1/2 at http://www.cbd.int/doc/meetings/for/wscb-fbdcc-01/official/wscb-fbdcc-01-02-en.doc.

ensuring the quality of national reports; this may include preparation of country reports and reports from international organizations, noting that capacity-building and technical and financial assistance should be provided to developing country Parties, in particular the least developed countries and small island developing States, as well as countries with economies in transition, where and when appropriate;

10. *Requests* the Executive Secretary to collaborate with the Food and Agriculture Organization of the United Nations in the preparation of *The State of the World's Forest Genetic Resources*, including by participating in relevant sessions of the Commission on Genetic Resources for Food and Agriculture and its Intergovernmental Technical Working Group on Forest Genetic Resources;

11. *Requests* the Executive Secretary to explore, together with the Low Forest Cover Countries (LFCC) Secretariat, the possibility for developing a workplan, including identification, development and implementation of targeted joint activities to support Parties, in particular developing countries with low forest cover, in the implementation of the expanded programme of work on forest biodiversity;

Cooperation with Collaborative Partnership on Forests

12. *Requests* the Executive Secretary to develop a module of the TEMATEA tool on international commitments related to forest biodiversity;

13. *Invites* Parties, other Governments, and relevant organizations to further improve coordination and collaboration, based on identified needs, at national and regional levels between national focal points of the Convention on Biological Diversity, the United Nations Forum on Forests, the United Nations Convention to Combat Desertification, and the United Nations Framework Convention on Climate Change and involve relevant sectors and stakeholders to implement all relevant decisions, including the expanded programme of work on forest biological diversity (decisions VI/22 and IX/5, and other relevant decisions);

14. *Invites* Parties, other Governments, the members of the Collaborative Partnership on Forests, and other relevant organizations and processes to closely collaborate in implementing the expanded programme of work on forest biological diversity and the targets concerning forest biodiversity agreed upon in the Strategic Plan for Biodiversity 2011-2020;

15. *Invites* Parties, other Governments, the members of the Collaborative Partnership on Forests and other relevant organizations and processes to exchange information on measures that promote forest law enforcement and address related trade to increase mutually supportive application of such measures and contribute to the implementation of the expanded programme of work on forest biodiversity.

Annex 3. ITTC Decision 6 (XLVI)

INTERNATIONAL TROPICAL TIMBER COUNCIL

Distr.
GENERAL

ITTC(XLVI)/21
18 December 2010

Original: ENGLISH

FORTY-SIXTH SESSION
13-18 December 2010
Yokohama, Japan

DECISION 6(XLVI)

ITTO/CBD COLLABORATIVE INITIATIVE TO CONSERVE TROPICAL FOREST BIODIVERSITY

The International Tropical Timber Council,

Taking note of the achievements of the International Year of Biodiversity 2010 in raising public awareness for the conservation and sustainable use of biodiversity for present and future generations;

Noting with concern the increasing loss of biodiversity in tropical forests;

Recalling the ITTO Action Plan 2008-2011, which calls for ITTO to identify opportunities for the development of schemes to promote environmental services that complement tropical timber production, to monitor the impacts of conservation, protection and transboundary areas and their relationships to achieving SFM, and to establish, in close collaboration with other relevant organizations and bodies, areas dedicated to biodiversity conservation;

Also recognizing the importance of the application in ITTO member countries of the ITTO/IUCN Guidelines for the conservation and sustainable use of biodiversity in tropical timber production forests (ITTO Policy Series 17);

Underscoring the need to further strengthen ITTO's support to members in their efforts to conserve, manage and monitor the biodiversity in their tropical forests;

Further noting the Convention on Biological Diversity (CBD) Decision X/2 on the new Strategic Plan of the CBD for the period 2011-2020, in the framework of the International Decade of Biodiversity;

Welcoming CBD Decision X/36 on Forest Biodiversity, that recommends the development of collaborative actions between the CBD and ITTO Secretariats to strengthen the implementation of the CBD Programme of Work on Forest Biodiversity;

Recognizing the common issues addressed by the CBD Programme of Work on Forest Biodiversity and the objectives of the International Tropical Timber Agreements, 1994 and 2006, to promote the conservation and sustainable use of forest biodiversity and sustainable forest management (SFM) in support of poverty alleviation and overall sustainable development;

Reaffirming the Memorandum of Understanding (MoU) between the Secretariats of CBD and ITTO that aims to strengthen implementation of the CBD Programme of Work on Forest Biodiversity in ITTO producer member countries;

Decides to:

1. Further develop the collaborative initiative between CBD and ITTO with a focus on the following work areas:

    a. Enhanced biodiversity conservation in production forests and rehabilitation of secondary forests, including the promotion and application of the ITTO/IUCN Guidelines for the conservation and sustainable use of biodiversity in tropical timber production forests;
    b. Improved conservation and management of protected areas in relation to SFM, including transboundary conservation areas;

/ . . .

c. Enhanced provision of environmental services from tropical forests through SFM, thereby promoting synergies with biodiversity conservation and other associated ecosystem services; and
d. Improved welfare of indigenous and local communities, based on the sustainable management and conservation of tropical forests and the sustainable use of their biodiversity.

2. Request the Executive Director to promote the collaborative initiative for the benefit of ITTO members, including the development of a programme document to provide guidance for possible joint activities and request members to approve the programme document subject to a time-bound, electronic no-objection procedure with an approval period of not less than thirty(30) days;

3. Invite ITTO members, Parties to the CBD, and relevant organizations to support joint activities under the framework of this Decision; and

4. Regularly review progress in promoting tropical forest biodiversity conservation in ITTO member countries under this collaborative initiative.

* * *

Annex 4. Global process goals and objectives referred to by numbers in Table 2 for each project.

Process	Relevant goals or targets
Aichi Targets	1. Raise awareness of biodiversity: By 2020, at the latest, people are aware of the values of biodiversity and the steps they can take to conserve and use it sustainably 5. Rate of habitat loss and degradation reduced: By 2020, the rate of loss of all-natural habitats, including forests, is at least halved and where feasible brought close to zero, and degradation and fragmentation is significantly reduced. 7. Sustainable forest management: By 2020 areas under agriculture, aquaculture and forestry are managed sustainably, ensuring conservation of biodiversity. 11. Protected areas management and area increase: By 2020, at least 17 per cent of terrestrial and inland water, and 10 per cent of coastal and marine areas, especially areas of particular importance for biodiversity and ecosystem services, are conserved through effectively and equitably managed, ecologically representative and well-connected systems of protected areas and other effective area-based conservation measures, and integrated into the wider landscape and seascapes. 12. Conservation status of threatened species improved: By 2020 the extinction of known threatened species has been prevented and their conservation status, particularly of those most in decline, has been improved and sustained. 14. Ecosystem restoration for services to people: By 2020, ecosystems that provide essential services, including services related to water, and contribute to health, livelihoods and wellbeing, are restored and safeguarded, taking into account the needs of women, indigenous and local communities, and the poor and vulnerable
CBD Post-2020 Goals	A. No net loss by 2030 in both the area and integrity of all “natural” ecosystems compared to 2020 and increases of at least 20% in the area and integrity of “natural” ecosystems by 2050. No net loss of integrity of “managed” ecosystems by 2030, and net gain by 2050. B. Species extinction rate and extinction risk are reduced progressively by 2030 and 2050, across the whole Tree of Life, and the local abundance and distributional extent of key functional species and threatened species is stabilized by 2030 and recovered by 2050.

	C. By 2030, genetic erosion of all wild and domesticated species is halted and, by 2050, the genetic diversity of populations is restored [to XX%] and their adaptive capacity is safeguarded. D. Nature's contributions to people that are critical for a good quality of life are enhanced and secured by X [timeframe] by XXX.
ITTO Strategic Plan	1: Promote good governance and enabling policy frameworks for strengthening SFM and related trade and enhancing SFM financing and investment. 2: Increase the contribution of tropical forests to national and local economies, including through international trade. 3: Enhance the conservation and sustainable use of biodiversity in tropical timber producing forests. 4: Reduce tropical deforestation and forest degradation and enhance the provision of environmental services. 5: Improve the quality and availability of information on tropical forests, forest product markets and trade 6: Build and develop human resource capacity to implement SFM and increase trade in forest goods and services from sustainably managed forests.
Global Forest Goals	1. Reverse the loss of forest cover through SFM, including protection, restoration, afforestation and reforestation, and prevent forest degradation. 2. Enhance forest based economic, social and environmental benefits. 3. Increase significantly the area of protected forests and other areas of SFM, and products from sustainably managed forests. 4. Mobilize increased financial resources from all sources for SFM and strengthen scientific and technical cooperation and partnerships. 5. Promote governance frameworks to implement SFM 6. Enhance cooperation, coordination, coherence, and synergies on forest-related issues.
SDGs	SDG 15: Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, and halt and reverse land degradation and halt biodiversity loss. 15.1. By 2020, ensure the conservation, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services, in particular forests. 15.2 By 2020, promote the implementation of SFM, halt deforestation, restore degraded forests and substantially increase afforestation and reforestation. 15.5 Reduce the degradation of natural habitats, halt the loss of biodiversity and protect threatened species. 15.7 Take urgent action to end poaching and trafficking of protected species of flora and fauna and address both demand and supply of illegal wildlife products.

	15.9 By 2020, integrate ecosystem and biodiversity values into national and local planning, development processes, poverty reduction strategies and accounts Other SDGs: 1.1 By 2030, eradicate extreme poverty for all people everywhere. 6.6 By 2020, protect and restore water-related ecosystems, including mountains, forests, wetlands, rivers, aquifers and lakes 5.5 Ensure women's full and effective participation and equal opportunities for leadership and decision-making. 8.5 By 2030, achieve full and productive employment and decent work for all women and men. 12.2 By 2030, achieve the sustainable management and efficient use of natural resources. 13.1 Strengthen resilience and adaptive capacity to climate-related hazards and natural disasters in all countries. 17.9 Enhance international support for implementing effective and targeted capacity-building in developing countries to support national plans to implement all the sustainable development goals. 17.14 Enhance policy coherence for sustainable development.