

# INTERNATIONAL TROPICAL TIMBER ORGANIZATION

## ITTO

### STRATEGIC POLICY ACTIVITY

#### ITTO/CBD Collaborative Initiative to Conserve Tropical Forests

#### [Decision 6(XLVI)]

TITLE	INSTITUTIONAL STRENGTHENING IN ACTO MEMBER COUNTRIES FOR ECOLOGICALLY RESPONSIBLE FOREST GOVERNANCE AND BIODIVERSITY CONSERVATION IN MANAGED FORESTS OF THE AMAZON
SERIAL NUMBER	PP-A/47-266 Rev.1
COMMITTEE	REFORESTATION AND FOREST MANAGEMENT
SUBMITTED BY	ITTO
ORIGINAL LANGUAGE	ENGLISH

EXECUTING AGENCY                      AMAZON COOPERATION TREATY ORGANIZATION (ACTO)

COLLABORATING AGENCIES            BOLIVIA, BRAZIL, COLOMBIA, ECUADOR, GUYANA, PERU, SURINAME, and VENEZUELA

DURATION                                36 MONTHS

APPROXIMATE  
STARTING DATE                        UPON APPROVAL

BUDGET AND PROPOSED SOURCE OF FINANCE	Source	Contribution in US\$	Equivalent in national currency
	<b>ITTO</b>	<b>1,320,224</b>	
	PS/ACTO	277.800	
	ACTO Member Countries:	691.200	
	<b>TOTAL</b>	<b>2,289,224</b>	

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## ABBREVIATIONS

ACTO	Amazon Cooperation Treaty Organization
CBD	Convention on Biological Diversity
CMT	Country Management Team
FAO	United Nations Food and Agriculture Organization
ITTO	International Tropical Timber Organization
IUCN	International Union for Conservation of Nature
IYB	International Year of Biodiversity
IYF	International Year of Forests
MoU	Memorandum of Understanding
NC	National Coordinator
NPAS	National Protected Area Systems
PANAMAZON II	Monitoring Deforestation, Land Use and Land Use Change in the Pan-Amazonian Forest
PMT	Project Management Team
PS/ACTO	Permanent Secretariat of the Amazon Cooperation Treaty Organization
PSC	Project Steering Committee
<b>RCU</b>	<b>Regional Coordination Unit</b>
RKEP	Regional Knowledge Exchange Platform
RPC	Regional Project Coordinator
SCBD	Secretariat of the Convention on Biological Diversity

## PROJECT SUMMARY

### Context and core problem

Under the umbrella of the International Year of Biodiversity (IYB 2010) and of the International Year of Forests (IYB 2011), on 2 March 2010 the Secretariat of the Convention on Biological Diversity (SCBD) and the Secretariat of the International Tropical Timber Organization (ITTO) signed a Memorandum of Understanding (MoU) to strengthen collaboration towards the shared objective of conserving and sustainably managing tropical forest resources and biodiversity. The CBD and ITTO governing bodies formally approved this collaborative initiative in October and December 2010, respectively. It was further supported by the Decision on Forest Biodiversity adopted by the 10th Conference of the Parties to the CBD held on 18-29 October 2010 in Nagoya, Japan, which recommends the development of collaborative actions between the two Secretariats to strengthen the implementation of the CBD Programme of Work on Forest Biodiversity in ITTO Producing Member Countries. Like the Aichi Targets of Nagoya, the main concerns that motivated the ITTO-CBD initiative are the same ones that underpin the Regional Biodiversity Plan of the ACTO Strategic Agenda.

The Amazon Cooperation Treaty Organization expressed its interest in participating in the ITTO/CBD collaborative initiative in order to help the Member Countries in their efforts to promote conservation through ecologically responsible governance of the Amazon forests.

ACTO's mission is to support regional cooperation to achieve sustainable development in the Amazon region by:

- (a) strengthening or creating technical and financial mechanisms and the instruments to accomplish its mission;
- (b) promoting active participation of its members as regional and local stakeholders involved in implementing solutions;
- (c) fighting for equitable benefit sharing;
- (d) improving its member countries' negotiation capacity on matters of regional interest.

The proposed project will help to address each of these demands through activities in the environment sector. Specifically, it will help to advance subtopic A1 of the Strategic Agenda, which aims to promote forest conservation, rehabilitation and reforestation, as well as to maintain forest management activities in degraded areas across the Amazon region. In addition, the project will build directly upon other ACTO projects and initiatives like the PANAMAZON II project (also supported by ITTO), the Integrated and Sustainable Management of Transboundary Water Resources project, and the work done so far to develop the Amazonian Regional Cooperation Platform in the area of environment.

### Project objectives and compliance indicators

#### Development objective and impact indicators

*Improve forest and biodiversity conservation through ecologically responsible forest governance and reinforce governance models and good practices in managed forests of the Amazon, including protected areas, with emphasis on community-based forest management.*

The project's main long term impact indicator is:

A 25% increase over current levels in technical and institutional capacity for biodiversity and forest conservation at the local, national and regional levels achieved by the end of a 5-year project implementation period through sustainable forest governance, focusing on land-use planning and environmentally responsible methods and best practices in the tropical forests of ACTO Member Countries.

#### Specific objective

Establish a process, among ACTO Member Countries, to build and develop the technical capacity needed to strengthen and implement ecologically responsible forest governance models and good practices under a land-use planning approach that favors the conservation of forests and forest biodiversity.

## Expected results

The project will fulfill its specific objective through the **three main results** below:

1. **RESULT #1** Detailed national assessments about sustainable forest governance and biodiversity conservation in the Amazon, taking into account national and regional forest laws, and possibly the ITTO/IUCN Guidelines for the Conservation and Sustainable Use of Biodiversity in Tropical Timber Production Forests, among others, to report on: (a) the degree to which production forests of ACTO Member Countries are currently taking into account and putting in practice forest management and biodiversity conservation matters and guidelines; (b) national capacity to provide training and share knowledge about ecologically responsible forest governance.
2. **RESULT #2** Capacity-building modules developed by the project in the four languages of ACTO (Spanish, Portuguese, English and Dutch) <sup>1</sup> are implemented in coordination with at least three Centers of Excellence in Forest Management with the purpose of improving sustainable forest governance and biodiversity conservation in the Amazon region.
3. **RESULT #3** A Regional Knowledge Exchange Platform (RKEP) is established under ACTO's coordination to share experience and information about opportunities and challenges in sustainable forest governance and biodiversity conservation in the Amazon region.

These results can also be expressed in three successive project development phases, namely: Evaluation Phase (Result 1), Development Phase (Result 2) and Consolidation Phase (Result 3). The work done in the first two phases will provide the basic components for the last phase.

## PART 1. PROJECT CONTEXT

### 1.1 Origin

While helping to reconcile the joint objectives of economic development and environmental conservation, sustainable use of forests also plays an important role in combating forest degradation and deforestation. In addition to playing a social and economic role, sustainable forest use must also be ecologically responsible. Ecologically responsible forest governance aims to develop forest use and production by meeting the needs of the local populations without affecting forest processes, ecological balances and the ability to regenerate of forest life systems. It also aims to ensure that the forests continue being able to fulfill their multiple environmental functions while minimizing the impact of human activity on forest biodiversity and the ecological processes associated to forests, thereby maintaining their ecological integrity in the long term. This involves the development of planning, governance and surveillance strategies for forests that take into account both economic and socioenvironmental objectives.

The diversity of forest governance experiences across the Amazon and other tropical areas shows that ecologically responsible governance is feasible and can be competitive in a variety of contexts. Even so, although tremendous progress has been made in reinforcing commitment to ecologically responsible forest governance practices in the nations that form the Amazon, improvements have been very unequal and concerns about biodiversity are rarely reflected in forest management operations.

This regional project represents the third initiative proposed under the ITTO-CBD Collaborative Initiative, with the first two focusing on Southeast Asia (Cambodia, Thailand and Laos) and the Congo Basin (D.R.C., Congo, Gabon, C.A.R. and Cameroon). The project's overall objective is to respond to the priorities established by the Collaborative Initiative and the Regional Biodiversity Plan of the ACTO Strategic Agenda in order to assist Member Countries in their efforts to promote ecologically responsible forest governance and biodiversity conservation. It will also consolidate and improve local, national and regional capacity to exchange information about biodiversity conservation, best practices, and local knowledge and wisdom about

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<sup>1</sup>It concerns all the institutions currently offering capacity-building programs in sustainable forest governance and biodiversity conservation in the Amazon countries that abide by high standards and are recognized internationally.

the Amazon forest. The project is also motivated by the need to maintain and improve commitment among forest managers, capacity-building centers and instructors, providing capacity-building opportunities and technical assistance that also help to tackle the practical challenges involved in implementing best practices, sustainable forest governance and conservation of forests and biodiversity. There is therefore an urgent need to establish a Regional Knowledge Platform shared by forest managers<sup>2</sup>, governmental regulators, the academia and local communities, taking advantage of each sector's strong points to build an increasingly sound and sustainable system that favors the conservation of forests and forest biodiversity.

## 1.2 Relevance

This project will contribute to implementing both ITTO Council Decision 6 (54th Session) that adopted the *"ITTO-IUCN Guidelines for the Conservation and Sustainable Use of Biodiversity in Tropical Timber Production Forests"* and Decision 6 (56th Session) of the *"ITTO-CBD Collaborative Initiative to Conserve Tropical Forests"* by delivering a tiered instruction and capacity-strengthening program focused on environmentally responsible forest governance. It will be supported by broad stakeholder engagement and a commitment to clarify and consolidate a concerted framework for forest governance, biodiversity conservation and surveillance. The project will invest in establishing strong connections and communication channels between people and institutions across the Amazon, with emphasis on community organizations. It will also produce an online knowledge sharing mechanism to ensure that the project continues to produce results after its end.

Specifically, the project will contribute to promoting ecologically responsible good practices in relation to sustainable forest governance, biodiversity conservation and livelihood means in the Amazon countries of ITTO and ACTO, pursuant to the 2006 ITTO Objectives (Article 1) and to the goal of strengthening forest organization processes and self-monitoring in local community organizations.

In addition to other resources, the proposed project will recover and build directly upon the practices of Amazonian forest users. It will also be based on national forest-related guidelines and policies, effectively engaging the competent forest authorities in each ACTO country. A great number of prior initiatives will support it, including the guidelines of ITTO, CBD, FAO and other organizations. These guidelines will provide an appropriate framework for instruction and capacity strengthening. Work will focus mainly on producing a subset of principles directly related to forest governance and capacity development, while at the same time generating important information that is relevant to formulate policy, legal and socioeconomic guidelines.

The project also supports the goals and mission of the Strategic Plan for Biodiversity 2011-2020 agreed during the Tenth Conference of the Parties to the CBD held in 2010 in Nagoya, Japan, as well as the achievement of some of the Aichi biodiversity targets.

Target 5, in particular, establishes that 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. Target 7 indicates that by 2020 areas under agriculture, aquaculture and forestry are managed sustainably, ensuring conservation of biodiversity. Target 14 indicates that by 2020, ecosystems that provide essential services<sup>3</sup>, including services related to water, and contribute to health, livelihoods and well-being, are restored and safeguarded, taking into account the needs of women, indigenous and local communities, and the poor and vulnerable. Target 15 states that by 2020, ecosystem resilience and the contribution of biodiversity to carbon stocks has been enhanced, through conservation and restoration, including restoration of at least 15 per cent of degraded ecosystems, thereby contributing to climate change mitigation and adaptation and to combating desertification

The proposed project will involve the eight Member Countries of the Amazon Cooperation Treaty Organization (ACTO). ACTO's new Strategic Plan, approved by the Ministers of Foreign Affairs in their November 2010 meeting in Lima, Peru, underscores the project's importance for the countries. The Strategic Plan has an 8-year implementation horizon and addresses all the programs, projects and activities identified by the Member

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<sup>2</sup> *Forest managers*: Forest owners and administrators. They will attend the courses and will be in charge of arranging the changes needed to implement sustainable forest management and biodiversity conservation in their forests, supported by each country's government agencies.

<sup>3</sup> This refers to the reservations of the Plurinational State of Bolivia and of the Bolivarian Republic of Venezuela and to the concept of environmental services and carbon mechanisms of the CBD.

Countries with a crosscutting and multisectoral approach based on two crosscutting axes: (a) Conservation and Sustainable Use of Renewable Natural Resources and (b) Sustainable Development. Its first subtopic - A.1 Forests - aims to promote forest conservation, rehabilitation and reforestation, as well as to maintain management activities in forests and degraded areas across the Amazon region. In addition, it is expected to reinforce institutional planning and managerial capacity in national protected area systems (NPAS) and sustainable use of biodiversity by promoting and strengthening national capacity for biological conservation. It is this last objective that provides the purpose of the current project.

The proposed project is directly based on the experiences, networks and resources already developed through past or present regional and subregional projects of ITTO, CBD and ACTO (see Section 3.2.1 of this proposal about Regional Approach to Project Implementation). Identifying and building upon existing developments is essential for the project's success and long term effectiveness.

Much of the work proposed or developed under other ACTO projects may provide explicit benefits to the proposed project, including: a review of regional information that is relevant for the environment sector; identification of key project stakeholders; development of significantly complementary products and tools (e.g., forest cover monitoring under the PANAMAZON II) that offer significant cost-sharing opportunities (e.g., the Integrated Information System proposed under the water resources project and the essential ACTO-based Integrated Information System). To this end, before the project starts prior experiences in ACTO countries that are relevant to the project will be systematized with the active participation of the competent national forest authorities.

As is the case in the above-listed projects, this project will be strengthened by incorporating the combined experiences and knowledge acquired by ACTO Member Countries in the area of forest governance. The project also explicitly recognizes the fact that the nations have different priorities, regulations and incentives for forest governance, and will strive to increase the offer of appropriate capacity-building opportunities for a wide range of circumstances and approaches.

### **1.3 Expected impacts upon project conclusion**

The project expects to achieve impact in the following project indicators:

- *ACTO Member Countries have improved sustainable forest governance and biodiversity conservation capacity in the Amazon.*
- *A network of Amazonian Centers of Excellence offers training modules to improve capacity for ecologically responsible and sustainable forest governance in the Amazon.*
- *ACTO Member Countries have more and better information available about sustainable forest governance and biodiversity conservation in the Amazon.*
- *A Regional Knowledge Platform is operating under ACTO's coordination to facilitate exchange of experience and information about opportunities and challenges in sustainable forest governance and biodiversity conservation.*

These impact indicators are mutually reinforcing and are expected to come from an improved and regional support system that is strengthened to provide training and implement techniques, approaches and knowledge-sharing capacities in favor of ecologically responsible forest governance in the Amazon region. Finally, this combination of increased capacity, knowledge and communication networks is expected to translate into a substantial improvement in the ability of stakeholders to safeguard biodiversity in the Amazon ecosystem.

## **PART 2. PROJECT RATIONALE**

### **2.1 Rationale**

#### **2.1.1 Institutional structure and organizational matters**

ACTO is the project's executing agency. Its Regional Coordination Unit (RCU) operates within the PS/ACTO, where the Executive Office directs, supervises and coordinates technical aspects. The RCU is also closely supervised by the Coordinating Office of Environment.

The project's highest authority will be the Project Steering Committee (PSC), which will meet at least once a year or when necessary. It will be formed by the Regional Project Coordinator (RPC) (who will function as the PSC secretary), representatives of the PS/ACTO, CBD and ITTO, and National Coordinators (NCs) representing each participating Member Country.

Each Member Country will appoint a NC at the start of the project. The NC is expected to be a current official of any of the agencies responsible for forestry, forest management or biodiversity in each country. The NC will help to coordinate project activities at the national level throughout the entire project cycle and will work in close cooperation with the RPC. Each country will have a Country Management Team (CMT) represented by the NC. These will be set-up sovereignly and will ideally consist of stakeholder representatives, government agencies (including forest and biodiversity authorities), organizations involved in forest management activities (including forest management companies, local communities and indigenous groups), independent forest management and biodiversity conservation experts, the academic research community, forest certification bodies, ITTO at the regional level and CBD representatives.

Coordinated by the ACTO Permanent Secretariat, the PSC will continuously control project execution and progress in activities, providing counsel about cost-saving opportunities and ways to improve the dissemination of results.

### **2.1.2 Problem assessment**

The constant loss of forest cover in the Amazon together with the degradation of a sizable area of forest remnants (through unsustainable logging, fire and other forms of resource extraction) is the main driver of biodiversity loss and land degradation and an important challenge for regional governance (Figure 1).

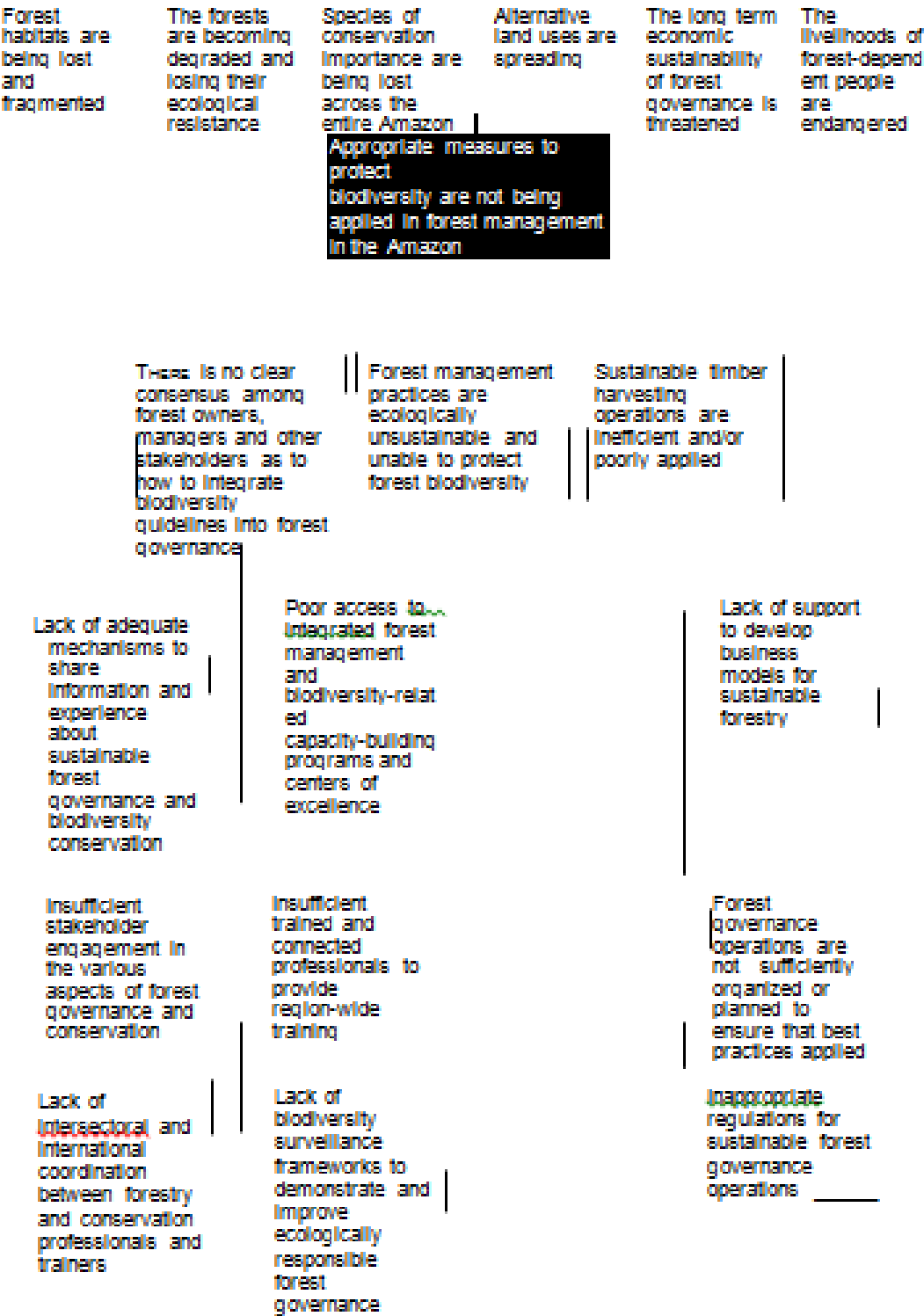
Forest loss and degradation are partly driven by deficiencies and limitations in defining and applying national laws to guide forest use and planning, the frailty of the institutions involved in delivering such laws, and the lack of financial resources and incentives (Figure 1).

In addition to the above-referred political and socioeconomic constraints, there are three sets of critical underlying conditions that require urgent attention to facilitate the incorporation of forest and biodiversity conservation into forest management, and responsible use of forest resources in the Amazon region:

1. Recovering management models, good practices, local knowledge and wisdom about forest management, with emphasis on the community sector.
2. Creating and strengthening national and regional capacities to integrate management models, goods practices and local knowledge into national technical and legal aspects of forest management.
3. Providing and developing appropriate tools and incentives to disseminate and share information and experience about past and current sustainable forest management, biodiversity conservation and surveillance practices in the Amazon region.

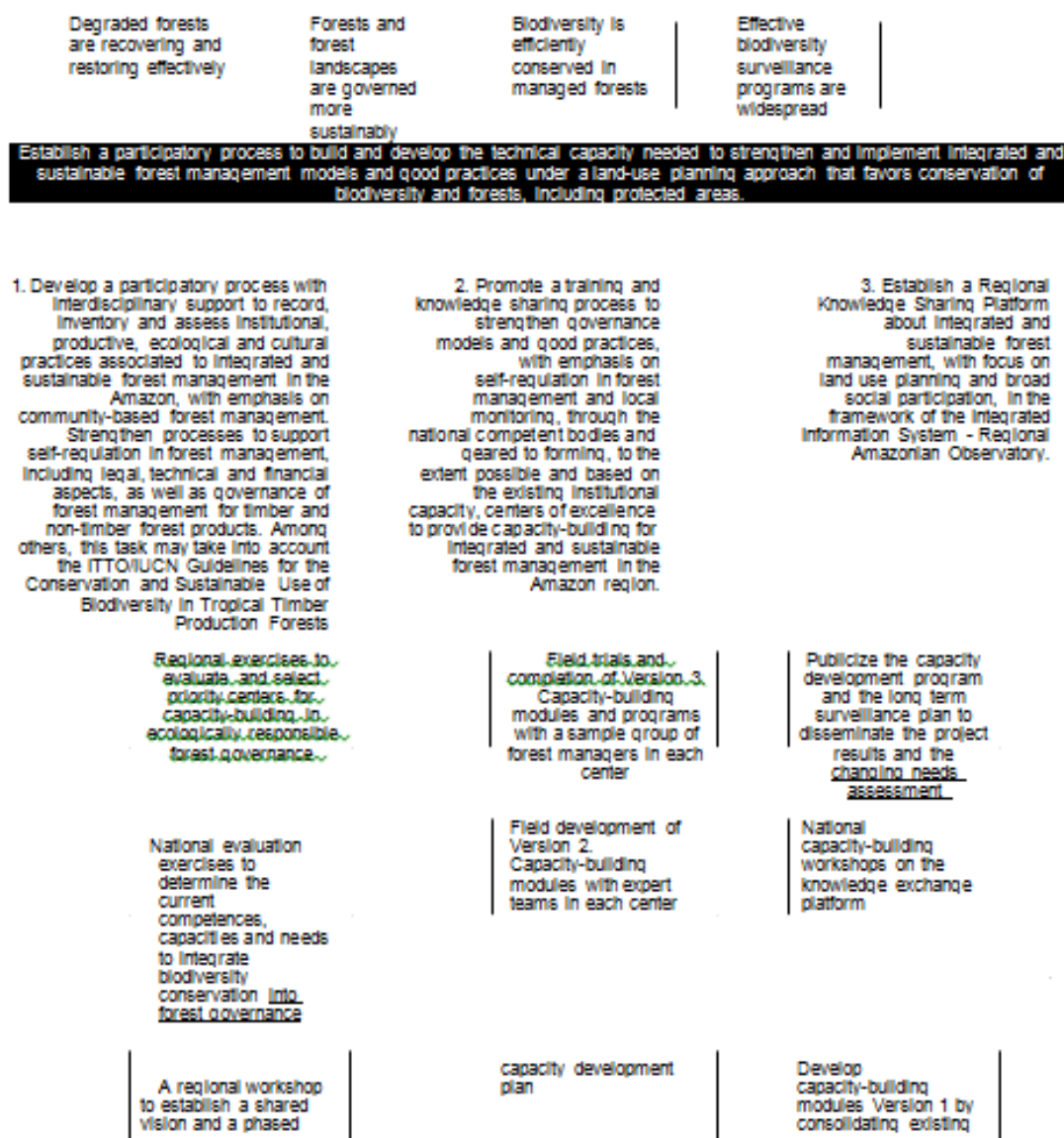
The purpose of this project is to help meet these demands. Based on this assessment, Figure 1 presents the general problem tree, highlighting the core management problem (forest governance in the Amazon is failing to apply adequate guidelines to protect biodiversity), together with its effects and underlying causes. This assessment will in turn help to identify some of the possible solutions to the problem (see Logical Framework).

Figure 1. Project problem tree <sup>4</sup>



<sup>4</sup>Not all ACTO Member Countries agree with the content and/or terms of the problem tree.

Figure 2. Project objectives tree



### 2.1.3 Logical Framework

Intervention Strategy	Indicators	Means of Verification	Underlying Assumptions
<p><i>Development Objective</i></p> <p><i>Improve forest and biodiversity conservation through ecologically responsible forest governance and reinforce management models and good practices in managed forests of the Amazon, including protected areas, with emphasis on community-based forest management.</i></p>	<p>National institutional and technical capacities to incorporate the recommended governance models, good practices and national technical and local knowledge about integrated forest management and biodiversity conservation have improved.</p> <p>There is evidence that sustainable forest governance is improving the ecological situation and is valuable to conserve biodiversity in active production forests and to restore forests degraded by past logging activities.</p>	<p>Reports that the MC already send periodically through Multilateral Environment Agreements, which will reflect this project's results.</p>	<p>National governments provide adequate support and motivate local, national and regional institutional and technical capacities to participate in new capacity-building and information sharing opportunities, putting in practice their new concepts and skills in ecologically responsible forest governance and biodiversity conservation in the Amazon.</p> <p>Forest managers, governmental regulators, the academia and local communities are strongly committed to sustainable forest governance.</p>
<p><i>Specific objective:</i></p> <p>Build and develop technical capacity in ACTO Member Countries to strengthen and implement ecologically responsible forest governance models and good practices under a land-use planning approach that favors the conservation of forests and forest biodiversity.</p>	<p>Sustainable forest governance and biodiversity conservation have been found to improve the condition of forests.</p> <p>ACTO Member Countries have documents available to help them understand the governance models and good practices that will allow them to implement sustainable forest management in their production forests, and the degree to which biodiversity guidelines are being taken into account and applied.</p>	<p>A set of capacity-building modules about forest governance and biodiversity conservation prepared by the PS/ACTO.</p> <p>At least three Regional Centers of Excellence coordinate the implementation of these modules to train 60 forest managers of ACTO Member Countries.</p> <p>A functional online platform to share knowledge containing field examples and possibilities for testing.</p>	<p>The main stakeholders of each participating country have guaranteed access to institutional support.</p> <p>Participating countries receive support to ensure that national coordinators can provide strong leadership.</p>

Intervention Strategy	Indicators	Means of Verification	Underlying Assumptions
	<p>ACTO Member Countries have access to clear information about the national capacity they have to integrate sustainable forest governance and biodiversity conservation.</p> <p>A regional network of Centers of Excellence is in place, formed by national competent entities and capacity-building courses are offered to increase the countries' ability to strengthen forest governance in the Amazon region through integrated and sustainable forest management.</p> <p>Access to information about the opportunities and challenges posed by integrated and sustainable ecologically responsible forest governance and horizontal exchange of experience are increasing within and outside ACTO nations.</p>	<p>Public and private forest management institutions and organizations of ACTO countries are aware of the new capacity-building opportunities and participate in them.</p>	
<p><b>Result 1</b></p> <p>Detailed national evaluations of sustainable forest governance and biodiversity conservation in the Amazon, taking into account national and regional forest laws, and possibly the ITTO/IUCN Guidelines for the Conservation and Sustainable Use of Biodiversity in Tropical</p>	<p>At the end of the first year, summarized information is available about the current state of production forests in each ACTO country, including whether biodiversity guidelines are being considered and applied in forest governance. These reports could also help to improve the information that each ACTO member country</p>	<p>National reports about the state of governance and about the national evaluation exercises, taking into account, among others, the ITTO/IUCN Guidelines for the Conservation and Sustainable Use of Biodiversity in Tropical Timber Production Forests.</p> <p>A document that systematizes the</p>	<p>The main stakeholders of each participating country have guaranteed access to institutional support. Participating countries receive support so that national coordinators can provide strong leadership.</p> <p>A representative number of public and private forest management companies provide precise information about their</p>

Intervention Strategy	Indicators	Means of Verification	Underlying Assumptions
Timber Production Forests, among others, to report on: (a) the degree to which production forests of ACTO Member Countries are currently taking into account and putting forest management and biodiversity conservation matters and guidelines into practice; (b) national capacity to provide training and share knowledge about ecologically responsible forest governance.	<p>will provide in the National Biodiversity Strategies and Action Plans (NBSAP) and the FAO/ITTO Joint Forest Sector Questionnaire.</p> <p>At end of the first year, summarized information is available about national capacity in ACTO countries to train forest managers in applying an integrated approach to forest governance and biodiversity conservation.</p>	<p>information reported by each MC about sustainable forest governance and biodiversity conservation in the Amazon, based on a template prepared by the PS/ACTO that takes into account, among others, the ITTO/IUCN Guidelines for Biodiversity Conservation in Tropical Timber Production Forests.</p> <p>Documentary evidence that a broad and representative range of public and private forest management institutions, as well as people and institutions that specialize in biodiversity conservation and forest management, have been consulted.</p>	activities and take the biodiversity guidelines into consideration.
<p><b>Result 2</b></p> <p>Capacity-building modules developed by the project in the four languages of ACTO (Spanish, Portuguese, English and Dutch) are implemented in coordination with at least three Centers of Excellence in Forest Management with the purpose of improving sustainable forest governance and biodiversity conservation in the Amazon region.</p>	<p>At least three new Centers of Excellence are identified and selected to provide a representative coverage of capacity-building for sustainable forest governance, reduced impact logging and biodiversity conservation in production forests across the entire Amazon region.</p> <p>At least three Centers of Excellence are supported by a new regional network of up to ten specialized instructors to implement the</p>	<p>A report describing the process of identifying and selecting the Centers of Excellence and capacity-building modules.</p> <p>Validated capacity-building materials (separated by module and execution phase), together with detailed case studies developed by each Regional Center of Excellence, are available free of charge in the PS/ACTO website and/or information platform.</p>	<p>Forest administrators and Centers of Excellence are committed to the project and its role in delivering a new type of capacity-building for sustainable forest governance.</p> <p>A sufficient number of instructors can be found to teach integrated and sustainable forest management courses in the Regional Centers of Excellence.</p>

Intervention Strategy	Indicators	Means of Verification	Underlying Assumptions
	<p>capacity-building modules in ecologically responsible forest governance methods.</p> <p>Regional Centers of Excellence have new validated training materials at their disposal, providing modular and gradual guidance as to how to apply the biodiversity guidelines in all stages of planning, executing and monitoring forest management processes.</p> <p>Based on a representative sample, at least 20 forest managers received intensive training in ecologically responsible forest governance methods in each Center of Excellence (60 managers in total).</p>	<p>Progress reports of the first round of capacity-building courses offered in the three Centers of Excellence.</p> <p>Survey of instructors of Centers of Excellence and participants of the first round of courses to adjust and validate the capacity-building modules.</p>	<p>A representative mixture of public and private forest management companies commit actively to the process of creating capacities throughout the project.</p>
<p><b>Result 3</b></p> <p>A Regional Knowledge Exchange Platform (RKEP) is established under ACTO's coordination to facilitate exchange of experience and information about opportunities and challenges posed by sustainable forest governance and biodiversity conservation in</p>	<p>At the end of the project, the RKEP offers easy access to training materials in different modules and execution phases for ecologically sustainable forest governance.</p> <p>At the end of the project, the RKEP offers easy access to the existing network of professional instructors and capacity-building resources for</p>	<p>Verification of the tools and information that the RKEP provides free online access to.</p> <p>Reports presented by the National Coordinators about sensitization and understanding of the RKEP.</p> <p>A questionnaire based on surveys of a representative sample of forest management institutions/organizations</p>	<p>The main stakeholders, instructors and Regional Centers of Excellence do not oppose to sharing the information and lessons learned during the project fully and transparently.</p> <p>The RKEP receives enough high profile support and ACTO's regional cooperation platform is publicized.</p>

Intervention Strategy	Indicators	Means of Verification	Underlying Assumptions
the Amazon region.	<p>biodiversity conservation in production forests of the Amazon.</p> <p>At the end of the project, the RKEP provides access to a database of experiences and lessons learned about the different tested approaches to ecologically responsible forest governance in the Amazon region.</p>	regarding the usefulness and adoption of the RKEP.	

## PART 3. DESCRIPTION OF PROJECT INTERVENTIONS

### 3.1 Results and activities

#### 3.1.1 Results

The project will achieve its specific objective through the **three main results** below:

1. Detailed national evaluations of sustainable forest governance and biodiversity conservation in the Amazon, taking into account national and regional forest laws, and possibly the ITTO/IUCN Guidelines for the Conservation and Sustainable Use of Biodiversity in Tropical Timber Production Forests, among others, to report on: (a) the degree to which production forests of ACTO Member Countries are currently taking into account and putting into practice forest management and biodiversity conservation matters and guidelines; (b) national capacity to provide training and share knowledge about ecologically responsible forest governance.
2. Capacity-building modules developed by the project in the four languages of ACTO (Spanish, Portuguese, English and Dutch) are implemented in coordination with at least three Centers of Excellence in Forest Management with the purpose of improving sustainable forest governance and biodiversity conservation in the Amazon region.
3. A Regional Knowledge Exchange Platform is established under ACTO's coordination to facilitate exchange of experience and information about opportunities and challenges posed by sustainable forest governance and biodiversity conservation in the Amazon region.

#### 3.1.2 Activities

##### Project Design

- |                                  |   |
|----------------------------------|---|
| <b>Activity 0.1</b> <sup>5</sup> | Prepare the concept note and capacity development plan.   |
| <b>Activity 0.2</b>              | First Steering Committee Meeting and regional consultation to begin the project, establish a shared vision and capacity development framework, and design the structure of the national evaluation exercises. |

##### Result 1

- |              |   |
|--------------|---|
| Activity 1.1 | Manage performance and perform an assessment to determine each country's competences and needs to implement sustainable forest governance and biodiversity conservation in the Amazon forest.                                       |
| Activity 1.2 | Evaluate all the training centers of the region that are considered <b>Centers of Excellence</b> and aspire to provide capacity-building in ecologically responsible forest governance and biodiversity conservation in the Amazon. |

##### Result 2

- |              |  |
|--------------|--|
| Activity 2.1 | Prepare <b>Version 1 (v.1) of the training modules</b> based on existing capacity-building materials, guidance and regional experience.  |
| Activity 2.2 | Select training centers that are considered <b>Centers of Excellence</b> to provide capacity-building in ecologically responsible forest governance and biodiversity conservation in the Amazon. |
| Activity 2.3 | Select up to ten (10) regional expert trainers to assist in developing the modules, offering the courses and strengthening the Centers of Excellence.  |
| Activity 2.4 | Prepare and develop the capacity-building modules on site based on the <b>Version 1 (v.1) training modules</b> ; and consolidate the <b>Version 2 (v.2) capacity-building</b>                    |

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<sup>5</sup> **Activities 0.1 and 0.2** are necessary to initiate the project and need to be concluded before starting to develop the project's expected results. **Activity 0.3** will start after the end of the activities related to project results.

- modules** and the **case studies of the Centers of Excellence**. This activity will take up to two weeks in each center, sequentially, with the participation of the center staff and at least two regional expert trainers per center.
- Activity 2.5 Second Project Steering Committee Meeting and regional consultation, and follow-up work to present the information of **Versions 1 (v.1) and 2 (v.2)** and consolidate **Version 3 (v.3)** of the training and capacity-building modules according to the centers' field performance.
- Activity 2.6 Select at least twenty (20) forest managers per Center of Excellence to participate in the first **capacity-building and training modules consolidated in Version 3 (v.3)**, totaling 60 participating forest managers.
- Activity 2.7 Offer the training and capacity-building courses to the forest managers selected by the ACTO Member Countries to be trained in the Centers of Excellence.
- Activity 2.8 Publish **Version 3 (v.3) of the capacity-building and training modules** in English, Spanish, Portuguese<sup>6</sup> and Dutch and disseminate it to primary and secondary stakeholders across the Amazon region.

### Result 3

- Activity 3.1 Develop a Regional Knowledge Exchange Platform for sustainable forest governance in the Amazon region.
- Activity 3.2 Third Project Steering Committee Meeting, regional consultation and capacity-building course to apply and develop the RKEP.

## PROJECT SUMMARY

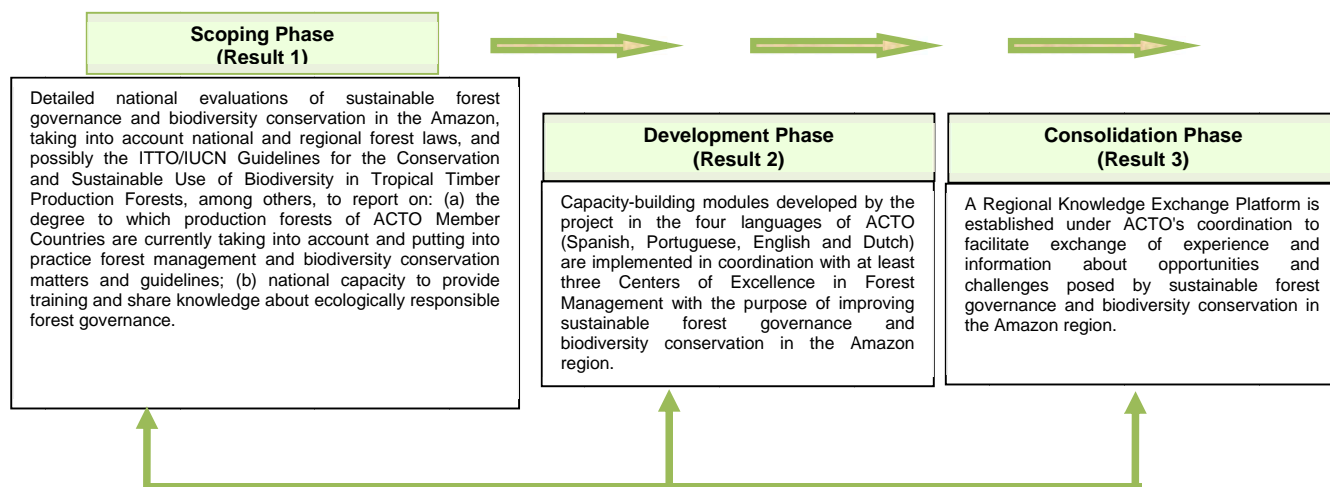
**Activity 0.3** Final project report to identify the lessons learned.

### **3.2 Implementation approaches and methods**

Below is a description of the methodology proposed to implement this project in such a way as to fulfill the objectives and achieve the expected results.

The three project results coincide with the three successive project development phases: Evaluation Phase (Result 1), Development Phase (Result 2) and Consolidation Phase (Result 3). The work done in the first phases will provide the basic components for the work done in the last phase (Figure 3).

**Figure 3. The project's three main development phases are linked to the three main project results**



<sup>6</sup>A summary of the published documents will be made in Dutch.

The project will be implemented through the following main activities:

*Regional Evaluation Exercise (Activity 1.1):* This assessment will provide an idea of the state of sustainable forest governance and biodiversity conservation in the forests of each ACTO Member Country. Its results will be used to determine the capacity-building needs that will be addressed at the regional level during the next phases of the project.

In each country, the Regional Evaluation Exercise will be coordinated by the Country Management Team (CMT), represented by a National Coordinator and technically supported by national project evaluation collaborators. Additional coordination oversight will be provided by the Regional Coordinator and by the PSC, which are responsible for ensuring the compatibility and integrity of each of the region's national evaluations. Activities will follow a detailed SWOT analysis of the extent to which public and private forests in ACTO Member Countries are currently taking into account and implementing biodiversity criteria in governance. National capacity-building and knowledge-sharing capacities in this area will also be assessed. This evaluation will require a variety of approaches, including a national workshop with the primary stakeholders, field visits and interviews with forest sector and biodiversity professionals, as well as desk research.

*Select the Regional Centers of Excellence to develop ecologically responsible forest governance (Activity 1.2):* This will be part of the regional evaluation exercises done in each participating country and will focus on identifying existing capacity-building centers that can be made even stronger and turned into Regional Centers of Excellence in capacity-building for ecologically responsible forest governance. Among the Regional Centers of Excellence that may apply to be selected are universities or centers that currently focus on sustainable forest management or biodiversity conservation and planning. During Phase 2, the project will focus on strengthening these centers by developing new materials and connecting them with expert trainers. Aspiring centers that have already been consulted in the project formulation phase include *Instituto Floresta Tropical (IFT)* in the state of Pará, Brazil, FUNAC and *Antimary* center in the state of Acre, Brazil, and Iwokrama International Centre for Rainforest Conservation and Development (IIC) in Guyana.

Regional Centers of Excellence will be selected taking into account their long term sustainability and feasibility. These centers will also have to dedicate time, personnel and facilities during the project's execution. Regional Centers of Excellence have the objective of offering the same level of training and on the whole have to cater to a variety of audiences from different geographic locations.

We suggest for the long term sustainability of the Regional Centers of Excellence to be taken into account, which might be reinforced through existing member country universities that already have the necessary infrastructure and installed capacity. It will also be necessary to assess the financial sustainability of the Forest Capacity-building Centers that are currently in operation, since financial factors might affect the continuity of their processes. To complement the proposal, instructors and expert trainers will also need to be hired to develop "demand-based courses" in topics required by the Member Countries.

*Develop capacity-building modules for ecologically responsible forest governance (Activities 2.1 to 2.5):* These modules will be developed through an iterative method that consists of using existing information and guidance effectively, while at the same time applying the practical knowledge and experience in sustainable forest governance and biodiversity conservation contributed by the main regional trainers. **Version 1** of the capacity-building modules will be developed by the project's senior instructor in collaboration with the RPC and the CMTs, based, among others, on the ITTO/IUCN guidelines and other relevant materials (including the last reports of ITTO projects and all significant criteria and indicators processes related to sustainable forest governance) (Activity 2.1). Defining the capacity-building modules will be a key element during Phase 1 and Activity 2.1, and should as a minimum include ways to integrate biodiversity in the various stages of forest management, such as: spatial planning of forest governance and biodiversity activities, forest management activities per se, and biodiversity monitoring (inter alia defining targets, objectives, indicators, data analysis and interpretation, and application).

Capacity-building modules should be developed using a *phased approach*<sup>7</sup> in which different ways of incorporating biodiversity to forest governance are proposed in such a way that starting is easy and continued improvement is fostered. A three-tiered approach may be more effective, starting with an easy data requirement step and a low level commitment approach (e.g., coarse-scale conservation planning based on secondary data to identify high value conservation forests in governed areas), and moving to more difficult, data intense and high commitment approaches (e.g. specific control and surveillance strategies geared to protecting species of high conservation value). The various phases may also be connected to the different levels of biodiversity surveillance by monitoring their implementation in governance activities, supervising the efficacy of minimum yield standards (e.g., protection of important habitats and maintenance of key structural forest attributes), and conducting validation inspections to assess the adequacy of the regulations in force and identify possible improvements.

This tiered approach is essential to reduce the initial obstacles faced by many forest operations upon implementing sustainable forest management in the Amazon, where fully applying the ITTO/IUCN guidelines (or similar ones) is currently unfeasible.

**Under Version 1**, this orientation project will be further developed and analyzed together with the project instructors and trainers (regional experts selected in Activity 2.3), and the Regional Centers of Excellence staff in three field workshops, one in each center (Activity 2.4, with two trainers and one senior instructor in each workshop). It will also take into account the capacity-building needs reported by each country. This process will produce the training and capacity-building modules of **Version 2**. Regional expert trainers will be selected to cover the following thematic areas: 1) conservation planning, 2) forest management, and 3) biodiversity monitoring. In each field workshop, the orientation project will be tested under the local and regional conditions of each center, taking advantage of the experience brought by each group of experts. Case studies for each Regional Center of Excellence will also need to be developed. The Second Steering Committee Meeting (Activity 2.5) will synthesize the findings of the three workshops and provide the basis for **Version 3** of the capacity-building materials (coordinated by the main consultant and RPC).

**Version 3** (v.3), the final version of the capacity-building modules, will be form the backbone of the *three capacity-building and training courses* (Activity 2.7) that will be implemented, one in each of the three Regional Centers of Excellence, in collaboration with instructors, expert trainers and center staff. These modules will include not just capacity-building manuals, but also teaching materials and presentations. Each Center of Excellence will also provide case studies as practical examples. Each capacity-building period in the field will last 10 days and include 20 forest managers selected by the Member Countries of ACTO.

*Select forest managers for training (Activity 2.6):* Selecting the forest managers that will be trained is the joint responsibility of the CMT, coordinated by the RPC and NCs. Each Center can only accommodate a limited number of participants (approximately 20 each, 60 in total) that will be selected according to the different types of forest management activities in each country and their priority needs. To be offered by the Center, each course tested must ensure an adequate balance in terms of addressing the topic of large scale forest management and ensuring regional community/indigenous participation.

*The capacity-building and training modules will be published in three languages (Activity 2.8):* Spanish, English and Portuguese. This publication will be based on the capacity-building and training documents developed for the modules, in addition to describing important sustainable forest management and biodiversity conservation experiences developed in the Amazon Region by the Regional Centers of Excellence and Member Countries.

*Develop a Regional Knowledge Exchange Platform (Activities 3.1 and 3.2):* The Regional Knowledge Exchange Platform (RKEP) will serve as a forum and mechanism to share ecologically responsible forest governance information and experience. It will be fed with information and experience acquired during project phases 1 and 2, including the capacity-building and training modules. Its structure and

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<sup>7</sup> *Phased approach:* Refers to a gradual system that allows forest managers and users in general to prepare systematically to incorporate the changes needed to achieve sustainable forest management and implement actions to conserve forest biodiversity step by step.

technical aspects will be completed through a parallel study about information systems developed under ACTO's Amazon Cooperation Platform for the environment, and complemented by activities developed under the GEF-funded ACTO project "Integrated and Sustainable Management of Transboundary Water Resources in the Amazon River Basin Considering Climate Variability and Change".

During the *third and last PSC meeting* (Activity 3.2) all the instructors, expert trainers, center staff and national coordinators will be taught to use the RKEP. The essential aspects of the RKEP are: disseminating information, sharing experience about sustainable forest management and forest biodiversity conservation, training, creating capacity, and serving as a communication forum that allows final users to connect to trainers and experts.

It is vital for the primary stakeholders to have a firm grasp of the project's findings. This includes the competent governmental authorities for forests and biodiversity conservation. One of the project's overall objectives is to increase recognition of the need to integrate forest management and biodiversity, fostering the institutional changes needed to maintain and develop this recognition in the long term.

Upon executing the project, it will be very important to propose a clear development plan for after the project is over, one that can help to maintain and improve the commitment of forest managers, Regional Centers of Excellence and experts. This idea is for the project to include the steps needed to ensure that the its achievements are sustained after the ITTO's support comes to an end.

### 3.3. Work plan

Project results and activities	Responsible party	Year 1 (quarter)				Year 2 (quarter)				Year 3 (quarter)			
		1	2	3	4	1	2	3	4	1	2	3	4
Project Design													
A 0.1: Prepare a concept note and capacity development plan.	RPC												
A 0.2: First Steering Committee meeting and regional consultation to begin the project, establish a shared vision and a capacity development framework, and design the structure of the national evaluation exercises.	PSC + RPC + NCs												
Result 1: Detailed national evaluations of sustainable forest governance and biodiversity conservation in the Amazon, taking into account national and regional forest laws, and possibly the ITTO/IUCN Guidelines for the Conservation and Sustainable Use of Biodiversity in Tropical Timber Production Forests, among others, to report on: (a) the degree to which production forests of ACTO Member Countries are currently taking into account and putting into practice forest management and biodiversity conservation matters and guidelines; (b) national capacity to provide training and share knowledge about ecologically responsible forest governance.													
A 1.1: Conduct an assessment to determine each country's competences and needs to implement sustainable forest governance and biodiversity conservation in the Amazon forest.	NCs, CMTs, national collaborators												
A 1.2: Evaluate all the training centers considered <b>Centers of Excellence</b> that are applying to provide capacity-building on ecologically responsible forest governance and biodiversity conservation in the Amazon.	CR, collaborators national, CNs												
Result 2: Capacity-building modules developed by the project in the four languages of ACTO (Spanish, Portuguese, English and Dutch) are implemented in coordination with at least three Centers of Excellence in Forest Management with the purpose of improving sustainable forest governance and biodiversity conservation in the Amazon region.													
A 2.1: Prepare Version 1 (v.1) of the training modules based on existing capacity-building materials, guidance and regional experience.	RPC + Senior instructor												
A 2.2: Select training centers that are considered Centers of Excellence in integrated and sustainable management for ecologically responsible forest governance and biodiversity conservation in the Amazon.	RPC + NCs												
A 2.3: Select <b>up to ten (10) regional expert trainers</b> to assist in developing the modules, offering the courses and strengthening the Centers of Excellence.	RPC + Senior instructor + NCs												
A 2.4: Prepare and develop capacity-building modules in the field based on <b>Version 1 (v.1) of the training modules</b> and <b>Version 2 (v.2) of the capacity-building modules</b> , as well as on the case studies of the <b>Centers of Excellence</b> , for up to two weeks in each center, sequentially, with the participation of the center staff and at least two regional expert trainers per center.	RPC + Senior instructor + expert trainers												

[illegible]

### 3.4 Budget

#### 3.4.1 Master budget plan

		Amount						ITTO				ACTO	Countries
Results/Activities	Budget Item	Year 1	Year 2	Year 3	Unit	Unit cost USD	Total cost USD	Year 1	Year 2	Year 3	Subtotal	ACTO	Countries <sup>8</sup>
<b>Costs per activity</b>													
<b>A 0.1</b> Prepare a concept note and capacity development plan.													
Regional Coordinator	11	12	12	12	man/month	6,000	216,000	72,000	72,000	72,000	216,000		
Regional Administrator	11	12	12	12	man/month	1,450	52,200	17,400	17,400	17,400	52,200		
National Coordinator (30% dedication)	11	29	29	29	man/month	4,000	345,600						345,600
Technical Advisor to the National Coordinator (30% dedication)	11	29	29	29	man/month	2,500	216,000						216,000
Administrative Assistant to the National Coordinator (30% dedication)	11	29	29	29	man/month	1,500	129,600						129,600
National Evaluation Collaborators (2x8countries)	11	16			man/month	1,500	24,000	24,000			24,000		
Project website contract	21	1			Estimated	10,000	10,000	10,000			10,000		

<sup>8</sup>The Member Countries' contribution will be in kind.

Displacement costs of Regional Coordinator (Int. Flights)	32	2	2	2	Flights	1500	9000	3000	3000	3000	9000		
Displacement costs of Regional Coordinator (in the country)	33	1	1	1	Estimated	3000	9000	3000	3000	3000	9000		
Displacement costs of Regional Coordinator (per diem)	31	40	40	40	Days	200	24,000	8000	8000	8000	24,000		
Displacement costs of PS/ACTO team (Int. Flights)	32	4	4	4	Flights	1500	18,000	6000	6000	6000	18,000		
Displacement costs of PS/ACTO team (per diem)	31	16	16	16	Days	200	9600	3200	3200	3200	9600		
Office Supplies	54	1	1	1	Estimated	2777	8332	2777	2777	2778	8332		
11 Computers and 9 Printers	44	12 and 9			Unit cost	2000 and 1000	31,000	31,000			31,000		
ACTO Secretary General (5% dedication)	12	0.3	1.2	0.3	man/month	7000	12,600					12,600	
ACTO Executive Director (20% dedication)	12	1.2	4.8	1.2	man/month	5000	36,000					36,000	
ACTO Environment Coordinator (30% dedication)	12	1.8	7.2	1.8	man/month	5000	43,200					43,200	

Financial Administrative Director (20% dedication)	12	1.2	4.8	1.2	man/month	3500	25,200					25,200	
Procurement and wages of ACTO advisors (10% dedication)	12	0.6	2.4	0.6	man/month	2500	9000					9000	
ACTO support staff (2 people x 10% dedication to project)	12	1.2	4.8	1.2	man/month	1000	7200					7200	
Space to install the ACTO project (estimated rent)	41	12	12	12	month	2000	72,000					72,000	
ACTO annual audit	71	1	1	1	Estimated	10,000	30,000					30,000	
ACTO electricity	41	12	12	12	month	500	18,000					18,000	
ACTO office equipment and maintenance	54	12	12	12	month	683	24,600					24,600	
<b>Activity 0.2</b> First Steering Committee Meeting and regional consultation to begin the project, establish a shared vision and capacity development framework, and design the structure of the national evaluation exercises.													
International displacements of NCs to 1st PSC	32	8			Flights	2000	16,000	16,000				16,000	
NC per diems - 1 PSC	31	16			Days	100	1600	1600				1600	
Hotel and food - 1st PSC		11			Estimated	300	3300	3300				3300	
Simultaneous translation - 1st PSC		1			Estimated	5000	5000	5000				5000	

Conference venue, coffee break and other expenditures - 1st PSC		1			Global	7900	7900	7900			7900		
<b>Result 1. Detailed national evaluations of sustainable forest governance and biodiversity conservation in the Amazon, taking into account national and regional forest laws, and possibly the ITTO/IUCN Guidelines for the Conservation and Sustainable Use of Biodiversity in Tropical Timber Production Forests, among others, to report on: (a) the degree to which production forests of ACTO Member Countries are currently taking into account and putting into practice forest management and biodiversity conservation matters and guidelines; (b) national capacity to provide training and share knowledge about ecologically responsible forest governance.</b>													
A 1.1: Conduct an assessment in each country to determine the competences and needs regarding the implementation of sustainable forest governance and biodiversity conservation in the Amazon forest.													
National displacement to evaluation workshops	33	8			Estimated per country	1000	8000	8000			8000		
Per diems for participants of national evaluation workshops	31	8			Estimated per country	500	4000	4000			4000		
Displacement costs of national evaluation collaborators (in the country)	33	16			Estimated per country	1000	16,000	16,000			16,000		
Displacement costs of national evaluation collaborators (per diem)	31	16			Estimated per country	750	12,000	12,000			12,000		
Displacement costs of NC	33	8			Estimated per country	1000	8000	8000			8000		
Per diems of NC	31	8			Estimated per country	500	4000	4000			4000		
A 1.2: Evaluate all training centers considered <b>Centers of Excellence</b> that aspire to provide capacity-building in integrated and sustainable management.													
International displacements of NC to visit aspiring centers	32	8			Flights	2000	16,000	16,000			16,000		

Per diems of NC to visit aspiring centers	31	40			Days	100	4000	4000			4000		
<b>Result 2. Capacity-building modules developed by the project in the four languages of ACTO (Spanish, Portuguese, English and Dutch) are implemented in coordination with at least three Centers of Excellence in Forest Management with the purpose of improving sustainable forest governance and biodiversity conservation in the Amazon region.</b>													
A 2.1: Prepare Version 1 (v.1) of the training modules based on existing capacity-building materials, guidance and regional experience.													
Senior instructor to prepare and revise the development of the training modules	14	6	10		man/month	4000	64,000		24,000	40,000	64,000		
A 2.2: Select training centers that are considered Centers of Excellence in capacity-building for ecologically responsible forest governance and biodiversity conservation in the Amazon.													
Subcontract regional centers selected to support participation in the project	21		3		Unit cost	40,000	120,000		120,000		120,000		
A 2.3: Select up to ten (10) regional expert trainers to assist in developing the modules, offering the courses and strengthening the Centers of Excellence.													
2 Expert trainers in conservation planning (half-time each)	14		12	3	man/month	1000	30,000		24,000	6000	30,000		
2 Expert trainers in sustainable forest governance (half-time each)	14		12	3	man/month	1000	30,000		24,000	6000	30,000		
2 Expert trainers in biodiversity surveillance and management (half-time each)	14		12	3	man/month	1000	30,000		24,000	6000	30,000		
A 2.4: Prepare and develop capacity-building modules in the field: based on <b>Version 1 (v.1)</b> of the <b>training modules</b> and the consolidated <b>Version 2 (v.2)</b> of the <b>capacity-building modules</b> , as well as on <b>case studies of the Centers of Excellence</b> , for up to two weeks in each Regional Center of Excellence, sequentially, with the participation of the center staff and at least two regional expert trainers per center.													

International displacements of expert trainers	32		6		Flights	1500	9000		9000		9000		
Per diems expert trainers	31		84		Days	50	4200		4200		4200		
International displacements of the senior instructor to each center to prepare and revise the development of the training modules	32		3		Flights	1500	4500		4500		4500		
Per diems of senior instructor to prepare and revise the development of the training modules in each center	31		42		Days	30	1260		1260		1260		
A 2.5: Second Project Steering Committee Meeting and regional consultation, and follow-up work to present the information of <b>Version 1 (v.1) and Version 2 (v.2)</b> and consolidate <b>Version 3 (v.3)</b> of the <b>training and capacity-building modules</b> according to the centers' field performance.													
International displacements of NCs to 2nd PSC	32	8			Flights	2000	16,000		16,000		16,000		
Per diems of NCs - 2nd PSC	31	16			Days	100	1600		1600		1600		
Hotel and food - 2nd PSC		11			Estimated	300	3300		3300		3300		
Simultaneous translation - 2nd PSC		1			Estimated	5000	5000		5000		5000		

Conference venue, coffee break and other expenditures - 2nd PSC		1		Global	7600	7600		7600		7600		
International displacements of expert trainers	32		6	Flights	1200	7200		7200		7200		
Per diems of expert trainers	31		30	Days	150	4500		4500		4500		
International displacements of the senior instructor to prepare and revise the training modules	32		1	Flights	1500	1500		1500		1500		
Per diems of senior instructor to prepare and revise the development of the training modules	31		5	Days	200	1000		1000		1000		
A 2.6: Select at least twenty (20) forest managers to participate in the first capacity-building courses with <b>capacity-building and training modules consolidated in Version 3 (v.3)</b> in each Center of Excellence, totaling 60 participating forest managers.												
Support international displacements of participating managers	32		60	Flights	800	48,000		48,000		48,000		
Per diems for forest managers participating in the course	31		60	Global	100	6000		6000		6000		
A 2.7: Offer the training and capacity-building courses to the forest managers selected by the ACTO Member Countries to be trained in each Center of Excellence.												
Hotel and Food for the three (3) capacity-building courses (one in each Regional Center)			60	Global	68,400	68,400		68,400		68,400		

Conference venue and coffee breaks for the three (3) capacity-building courses (one in each Regional Center)			60		Estimated	18,000	18,000		18,000		18,000		
Simultaneous translation for the three (3) capacity-building courses (one in each Regional Center)			30		Days	10,000	30,000		30,000		30,000		
Materials and other expenditures for the three (3) capacity-building courses (one in each Regional Center)			60		Global	4800	4800				4800		
International displacements of expert trainers	32		6		Flights	1200	7200		7200		7200		
Per diems of expert trainers	31		60		Days	50	3000		3000		3000		
International displacements of senior instructor to develop and revise the training modules	32		1		Flights	1500	1500				1500		
Per diems of senior instructor to develop and revise the training modules	31		30		Days	50	1500				1500		
A 2.8: Publish Version 3 (v.3) of the capacity-building and training modules in English, Spanish, Portuguese and Dutch and disseminate it to primary and secondary stakeholders throughout the Amazon region.													
Subcontract the translation of the capacity-building and training modules	21			1	Estimated	15,000	15,000		15,000		15,000		

Subcontract the printing of 5000 copies in each language	21			1	Estimated	18,000	18,000		18,000		18,000		
<b>Result 3: A Regional Knowledge Exchange Platform is established under ACTO's coordination to facilitate exchange of experience and information about opportunities and challenges posed by sustainable forest governance and biodiversity conservation in the Amazon region.</b>													
A 3.1: Develop the RKEP for sustainable forest governance in the Amazon region.													
Subcontract the development of the RKEP	21			1	Estimated	34,738	34,738			34,738	34,738		
A 3.2: Third Project Steering Committee Meeting, regional consultation and capacity-building course to apply and develop the Regional Knowledge Exchange Platform (RKEP).													
International displacements of NCs to 3rd PSC and RKEP training course	32			16	Flights	1875	30,000			30,000	30,000		
Per diems of NCs for 3rd PSC and RKEP training course	31			64	Days	75	4800			4800	4800		
Hotel and food for 3rd PSC and RKEP training course				44	Estimated	179.5	7900			7900	7900		
Simultaneous translation for 3rd PSC and RKEP training course				1	Estimated	5000	5000			5000	5000		
Conference venue, coffee break and other expenditures - 3rd PSC and RKEP training course				1	Global	7600	7600			7600	7600		
International displacements of expert trainers to 3rd PSC and RKEP training course	32			6	Flights	1200	7200			7200	7200		

Per diems of expert trainers for 3rd PSC and RKEP training course	31			24	Days	100	2400			2400	2400		
International displacement of senior instructor to 3rd PSC and RKEP training course	32			1	Flights	1500	1500			1500	1500		
Per diems of senior instructor trainers for 3rd PSC and RKEP training course	31			4	Days	100	400			400	400		
International displacement of consultant developing the RKEP and responsible for the RKEP training course during the 3rd PSC	32			1	Flights	1500	1500			1500	1500		
Per diem of consultant developing the RKEP and responsible for the RKEP training course during the 3rd PSC	31			4	Days	100	400			400	400		
<b>Total</b>							2,151,430	586,977	953,837	610,616	1,182,430	277,800	691,200

## Budget justification notes

One of the most important aspects of the project is that the capacity-building modules, instructors and training centers will be developed and reinforced as a whole. They are part of the same unified work program. Paying for personnel and instructors to revise and lead the development of the capacity-building and training modules in association with the training centers and jointly implementing a first round of training will bring tangible and significant benefits to the Regional Centers of Excellence. In fact, from the Country Management Teams (CMT) to the Regional Centers of Excellence and instructors, one of the project's greatest legacies is investing in people. All of them play a critical role in ensuring the project's long term sustainability. Breaking down the budget by main activities, **19.5%** will go to the national evaluation exercises, **59.2%** to the capacity-building package (preparing the modules, paying the instructors, costs with personnel, Regional Centers of Excellence, assembly and operation of the Regional Knowledge Exchange Platform, overall project support costs) and **21.5%** will cover the costs of the Steering Team. The National Coordinators will be funded through in kind support from the participating countries. The amounts presented in this project proposal suppose that all ACTO Member Countries will participate.

### 3.4.2 Consolidated budget by components

Budget component	Description	Total Cost USD	Year 1	Year 2	Year 3
<b>10</b>	<b>Personnel</b>				
11	Regional Coordinator	216,000	72,000	72,000	72,000
11	Regional Administrator	52,200	17,400	17,400	17,400
11	National Evaluation Collaborators in each country	24,000	24,000		
11	National Coordinator (30% dedication)	345,600	115,200	115,200	115,200
11	Technical Advisor to the National Coordinator (30% dedication)	216,000	72,000	72,000	72,000
11	Administrative Assistant to the National Coordinator (30% dedication)	129,600	43,200	43,200	43,200
12	ACTO Secretary General (5% dedication)	12,600	2100	8400	2100
12	ACTO Executive Director (20% dedication)	36,000	6000	24,000	6000
12	ACTO Environment Coordinator (30% dedication)	43,200	7200	28,800	7200
12	ACTO Financial Administrative Director (20% dedication)	25,200	4200	16,800	4200
12	Procurement and wages of ACTO assistants (10% dedication)	9000	1500	6000	1500
12	ACTO support staff (2 people with 10% dedication to project)	7200	1200	4800	1200
14	Senior instructor to prepare and revise the training modules	64,000		24,000	40,000
14	2 Expert trainers in conservation planning	30,000		24,000	6000
14	2 Expert trainers in sustainable forest governance	30,000		24,000	6000
14	2 Expert trainers in biodiversity surveillance and governance	30,000		24,000	6000
<b>19</b>	<b>Subtotal</b>	<b>1,270,600</b>	<b>366,000</b>	<b>504,600</b>	<b>400,000</b>
<b>20</b>	<b>Subcontracts</b>				
21	Project website	10,000	10,000		
21	Investment in training the Centers of Excellence	120,000		120,000	
21	Translation of training modules into three languages (English, Portuguese and Spanish)	15,000			15,000

21	Simultaneous translation for three (3) Project Steering Committee Meetings	15,000	5000	5000	5000
21	Simultaneous translation for three training courses	30,000		30,000	
21	Printing of capacity-building and training modules Version 3 (v.3)	18,000			18,000
21	Development of the Regional Knowledge Exchange Platform	34,738			34,738
<b>29</b>	<b>Subtotal</b>	<b>242,738</b>	<b>15,000</b>	<b>155,000</b>	<b>72,738</b>
<b>30</b>	<b><i>Travel and events</i></b>				
31	Per diems	90,260	36,800	34,260	19,200
32	International displacements	194,100	41,000	103,900	49,200
33	Local displacements	41,000	35,000	3000	3000
	Conference venue rental, coffee breaks and other expenditures for three (3) Project Steering Committee meetings	23,100	7900	7600	7600
	Hotel and food for three (3) Project Steering Committee Meetings	14,500	3300	3300	7900
	Conference venue rental and coffee breaks for three (3) capacity-building and training courses	18,000		18,000	
	Hotel and food for the three (3) capacity-building and training courses	68,400		68,400	
<b>39</b>	<b>Subtotal</b>	<b>449,360</b>	<b>124,000</b>	<b>238,460</b>	<b>86,900</b>
<b>40</b>	<b><i>Capital assets</i></b>				
41	Space to install the ACTO project (estimated rent)	72,000	24,000	24,000	24,000
41	ACTO electricity	18,000	6000	6000	6000
44	Computers and printers	31,000	31,000		
<b>49</b>	<b>Subtotal</b>	<b>121,000</b>	<b>61,000</b>	<b>30,000</b>	<b>30,000</b>
<b>50</b>	<b><i>Consumables</i></b>				
54	Office Supplies	8332	2777	2777	2778
54	Materials and other expenditures for the three (3) training courses	4800		4800	
	ACTO office maintenance and equipment	24,600	8200	8200	8200
<b>59</b>	<b>Subtotal</b>	<b>37,732</b>	<b>10,977</b>	<b>15,777</b>	<b>10,978</b>
<b>70</b>	<b><i>Direction Executing Agency</i></b>				
71	ACTO annual audit	30,000	10,000	10,000	10,000
<b>79</b>	<b>Subtotal</b>	<b>30,000</b>	<b>10,000</b>	<b>10,000</b>	<b>10,000</b>
<b>SUBTOTAL</b>		<b>2,151,430</b>	<b>586,977</b>	<b>953,837</b>	<b>610,616</b>
<b>80</b>	<b><i>Project administration and oversight</i></b>				
81	ITTO-CBD oversight and revision	30,000	10,000	10,000	10,000
82	ITTO-CBD evaluation	10,000		5000	5000
89?	Subtotal	<b>40,000</b>	<b>10,000</b>	<b>15,000</b>	<b>15,000</b>
<b>Subtotal</b>		<b>2,191,430</b>	<b>596,977</b>	<b>968,837</b>	<b>625,616</b>
83	ITTO-CBD program support (8% of ITTO budget)	97,794			
<b>TOTAL</b>		<b>2,289,224</b>			

### 3.4.3 ITTO budget by components

Budget component	Description	Total Cost USD	Year 1	Year 2	Year 3
<b>10</b>	<b><i>Personnel</i></b>				
11	Regional Coordinator	216,000	72,000	72,000	72,000
11	Regional Administrator	52,200	17,400	17,400	17,400
11	National Evaluation Collaborators in each country	24,000	24,000		
14	Senior instructor to prepare and revise the training modules	64,000		24,000	40,000
14	2 Expert trainers in conservation planning	30,000		24,000	6000
14	2 Expert trainers in sustainable forest governance	30,000		24,000	6000
14	2 Expert trainers in biodiversity surveillance and governance	30,000		24,000	6000
<b>19</b>	<b>Subtotal</b>	<b>446,200</b>	<b>113,400</b>	<b>185,400</b>	<b>147,400</b>
<b>20</b>	<b><i>Subcontracts</i></b>				
21	Project website	10,000	10,000		
21	Investment in training the Centers of Excellence	120,000		120,000	
21	Translation of training modules into three languages (English, Portuguese and Spanish)	15,000			15,000
21	Printing of training modules	18,000			18,000
21	Simultaneous translation for three (3) Project Steering Committee Meetings	15,000	5000	5000	5000
21	Simultaneous translation for three (3) training courses	30,000		30,000	
21	Development of the Knowledge Exchange Platform	34,738			34,738
<b>29</b>	<b>Subtotal</b>	<b>242,738</b>	<b>15,000</b>	<b>155,000</b>	<b>72,738</b>
<b>30</b>	<b><i>Travel and events</i></b>				
31	Per diems	90,260	36,800	34,260	19,200
32	International displacements	194,100	41,000	103,900	49,200
33	Local displacements	41,000	35,000	3000	3000
	Conference venue rental, coffee breaks and other expenditures for three (3) Project Steering Committee meetings	23,100	7900	7600	7600
	Hotel and food for three (3) Project Steering Committee Meetings	14,500	3300	3300	7900
	Conference venue rental and coffee breaks for three (3) training courses	18,000		18,000	
	Hotel and food for three (3) training courses	68,400		68,400	
<b>39</b>	<b>Subtotal</b>	<b>449,360</b>	<b>124,000</b>	<b>238,460</b>	<b>86,900</b>
<b>40</b>	<b><i>Capital goods</i></b>				
44	Computers and printers	31,000	31,000		
<b>49</b>	<b>Subtotal</b>	<b>31,000</b>	<b>31,000</b>		
<b>50</b>	<b><i>Consumables</i></b>				

54	Office Supplies	8332	2777	2777	2778
54	Materials for the three (3) training courses	4800		4800	
59	<b>Subtotal</b>	<b>13,132</b>	<b>2777</b>	<b>7577</b>	<b>2778</b>
	<b>Subtotal</b>	<b>1,182,430</b>			
80	<b>Project administration and monitoring</b>				
81	ITTO-CBD oversight and revision	30,000	10,000	10,000	10,000
82	ITTO-CBD evaluation	10,000		5000	5000
	<b>Subtotal</b>	<b>40,000</b>	<b>10,000</b>	<b>15,000</b>	<b>15,000</b>
	<b>Subtotal</b>	<b>1,222,430</b>	<b>296,177</b>	<b>601,437</b>	<b>324,816</b>
	ITTO-CBD program support	97,794			
	<b>Total</b>	<b>1,320,224</b>			

#### 3.4.4 Executing agency (ACTO) budget by components

Budget component		Total Cost USD	Year 1	Year 2	Year 3
10	<b>Personnel</b>				
12	ACTO Secretary General (5% dedication)	12,600	2100	8400	2100
12	ACTO Executive Director (20% dedication)	36,000	6000	24,000	6000
12	ACTO Environment Coordinator (30% dedication)	43,200	7200	28,800	7200
12	ACTO Financial Administrative Director (20% dedication)	25,200	4200	16,800	4200
12	Procurement and payment of ACTO assistants (10% dedication)	9000	1500	6000	1500
12	ACTO support staff (2 people with 10% dedication to project)	7200	1200	4800	1200
19	<b>Subtotal</b>	<b>133,200</b>	<b>22,200</b>	<b>88,800</b>	<b>22,200</b>
40	<b>Capital assets</b>				
41	Space to install the ACTO project (estimated rent)	72,000	24,000	24,000	24,000
41	ACTO electricity	18,000	6000	6000	6000
49	<b>Subtotal</b>	<b>90,000</b>	<b>30,000</b>	<b>30,000</b>	<b>30,000</b>
50	<b>Consumables</b>				
54	Office maintenance and equipment	24,600	8200	8200	8200
59	<b>Subtotal</b>	<b>24,600</b>	<b>8200</b>	<b>8200</b>	<b>8200</b>
70	<b>Direction Executing Agency</b>				
71	Annual audit	30,000	10,000	10,000	10,000
79	<b>Subtotal</b>	<b>30,000</b>	<b>10,000</b>	<b>10,000</b>	<b>10,000</b>
	<b>TOTAL</b>	<b>277,800</b>	<b>70,400</b>	<b>137,000</b>	<b>70,400</b>

### **3.5 Assumptions, risks and sustainability**

The work proposed by this project addresses a number of priorities established by the Member Countries of ACTO, as presented in the ACTO Strategic Plan (approved in November 2010 in Lima). Its importance was furthermore debated and recognized by two meetings of Forest Authorities of ACTO Member Countries (Bogotá, March 2011 and Tena, February 2013). Similar support to this proposal was expressed during the Regional Meeting for the Thematic Approach to Conservation, Protection and Sustainable Use of Renewable Natural Resources in ACTO Member Countries (Quito, July 2011) and the Meeting of the Coordinating Office of Environment within the ACTO Environmental Agenda (Brasilia, September 2011).

There is no doubt that the project reflects the written priorities of ACTO and those of the national agendas. In addition, all primary stakeholders have a clear interest in reinforcing ecologically responsible forest governance and biodiversity conservation in the Amazon forest. Nevertheless, despite this high level of support there are a number of risks involved. It is extremely important for the main stakeholders and beneficiaries to develop a strong sense of ownership for the project that can help to deliver project results in the long term.

This emphasis in developing strong ownership and effective stakeholder commitment to the project will be integrated to the its implementation process. Phase 1 will seek to attract the greatest possible number of parties interested in forest governance and conservation in each country. Phase 2 will focus on developing capacity-building modules through an iterative process consisting of regional workshops, capacity-building courses and strengthening the Regional Centers of Excellence, which will ensure a strong participation of key players at the regional, national and local levels.

## **PART 4. IMPLEMENTATION AGREEMENTS**

### **4.1 Project Management Team**

The Project Management Team is formed by a general Regional Coordinator supported by a Regional Administrator, both based in Brasilia. Each participating nation is represented by a Country Management Team formed by the main stakeholders and coordinated by a National Coordinator. Each country must appoint a National Coordinator from its official forest or ecology authority. The national evaluation process will be led each country's national collaborators.

### **4.2 Project Steering Committee**

The Project Steering Committee is formed by the Regional Project Coordinator (RPC) who will act as the PSC secretary, PS/ACTO representatives, a CBD representative, an ITTO representative and National Coordinators (NCs) representing each Member Country. See Section 2.1 for more details.

### **4.3 Stakeholder participation mechanisms**

Section 2 of this proposal presents a detailed analysis of the project stakeholders. Each Country Management Team will prioritize and negotiate the participation of the various stakeholders taking into account the national capacities and needs. A variety of mechanisms will be used to ensure that all project management levels participate regularly, among others through periodic regional steering meetings with all the national coordinators (for details about project implementation agreements see also Section 3.2).

### **4.4 Reporting, revision, monitoring and evaluation**

The Executing Agency (PS/ACTO) will present annual reports to ITTO through the project's online surveillance/oversight system.

*Project Progress Reports:* The National Coordinators (NC) will provide the Regional Project Coordinator (RPC) with quarterly reports containing internal management propositions and underlining progress and achievements in each participating country, as well as capacity-building needs for sustainable forest management and biodiversity conservation in each country. The RPC will prepare semestrial progress reports that the PS/ACTO and PSC will deliver to ITTO. *Financial reports* will be prepared on a monthly basis for internal management purposes, a summary of which will be added to the semestrial progress report. The PS/ACTO will deliver an annual financial audit to ITTO within three months of the end of each fiscal year and present a final financial statement within four months of project completion. The project's accounts will be examined by external auditors appointed by ACTO in consultation with ITTO.

*End of Project Report:* ACTO will prepare the final report and submit it to ITTO within two months of the end of the project.

*Technical reports:* Technical reports prepared for each of the three project phases, national evaluation reports, reports from various national and regional workshops, reports about the capacity-building modules offered in the Regional Centers of Excellence and other relevant ones generated as a result of the project will be placed at the disposal of ITTO, CBD, all Member Countries and other stakeholders of the Amazon region and integrate the Regional Knowledge Exchange Platform developed by the project. ACTO will deliver these documents to ITTO together with the End of Project Report.

*Monitoring and oversight meetings of the Steering Committee:* The Project Steering Committee will meet at least once a year to ensure that the project's overall progress is checked regularly and that management, programming and payments are adjusted as necessary. PSC meetings will also provide an opportunity for the RPC and NC to meet informally with ITTO, CBD and ACTO.

#### **4.5 Project dissemination and transfer of lessons learned**

The project will disseminate the results achieved and recommendations issued during its three phases in various ways, including:

- Summarized information about the current state of production forests in each ACTO country, describing the degree to which biodiversity guidelines are being considered and applied in forest governance. National and regional project workshops and courses in which the project will be shared with the participants.
- Capacity-building modules and teaching materials associated to ecologically responsible and sustainable forest governance and biodiversity conservation published in English, Spanish, Portuguese and Dutch, and broadly distributed to all primary and secondary stakeholders.
- A brochure for the general public summarizing important project advances—including the availability of instruction materials, Regional Centers of Excellence, the professional trainers network and the Knowledge Exchange Platform—published in English, Spanish and Portuguese and broadly distributed in print and electronic format. Its content will also be posted on the project website.
- The Regional Knowledge Exchange Platform.

##### **4.5.1 Incorporation of lessons learned**

The project's communication strategy will prepare a schematic representation of the learning project in order to incorporate it to the Regional Knowledge Exchange Platform (RKEP)—the fundamental tool to upscale the project and increase communication. The RKEP will provide a platform that is easy to access and use so that information, experiences and needs related to sustainable forest governance in the Amazon Region can be shared. The project will provide quite valuable results not just in terms of training forest conservation professionals in forestry and forest management, but also to inform ongoing forest and biodiversity-related decision-making processes at the national level.