INTERNATIONAL TROPICAL TIMBER ORGANIZATION

TAKING STOCK OF THE IMPLEMENTATION OF TFLET AND REDDES THEMATIC PROGRAMMES

ACHIEVEMENTS AND IMPLEMENTATION ISSUES OF THE ITTO THEMATIC PROGRAMMES ON REDUCING DEFORESTATION AND FOREST DEGRADATION AND ENHANCING ENVIRONMENTAL SERVICES (REDDES) AND FOREST LAW ENFORCEMENT, GOVERNANCE AND TRADE (TFLET)

Final report

Markku Simula
Consultant

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EXECUTIVE SUMMARY

The report is a response to a need for assessing progress in the implementation of ITTO's two Thematic Programmes (TP) that have received significant funding to date: Forest Law Enforcement, Governance and Trade (TFLET), and Reducing Deforestation and Forest Degradation and Enhancing Environmental Services in Tropical Forests (REDDES) as part of knowledge management of the organization. The purpose of the report is to provide a synthesis of the aggregated achievements of the completed pre-projects and projects and their lessons learned. During the assessment, the scope was expanded to cover also the projects that are being implemented.

The stocktaking assessment is based on documentary review of pre-projects and projects (20 in TFLET and 29 in REDDES) for which a methodology was developed covering the scope and achievements of the programmes. In addition, lessons learned were synthesized, complementarities with related international initiatives were identified, and issues related to programme design, procedures, management and financing were reviewed.

ASSESSMENT OF TFLET

Programme objectives

In general, the projects cover well the first three programme objectives. Ninety percent of the projects targeted capacity building of community and small and medium-sized enterprises (SMEs) to demonstrate that the timber traded comes from legal sources as a focus area or provided a substantial contribution towards this objective. Strengthening forest law compliance and governance was targeted by 85 percent of the projects. About two thirds made a contribution – mostly significant – to improved transparency and effective management of supply chains as well as increased domestic and international trade in legally produced timber. However, the fourth programmatic objective, i.e., improved international cooperation in forest law enforcement and governance, was a focus area only in a fifth of projects.

Thematic focus

Most projects focus on institutional strengthening of forest law compliance and governance, and capacity building but also improving market transparency is substantially covered. Development of tracking systems as well as certification of forest management and chain-of-custody are targeted in half of the projects. Promotion of policy dialogue and exchange of experience on international and domestic market requirements is also an element of several projects.

However, there are some areas that are considered gaps or weakly covered, notably development of national public procurement policies, cross-border cooperation in trade from legal and sustainable sources and other international cooperation. Addressing these gaps would require proactive measures from the programme side.

Level of implementation

More than half of projects are implemented at a national level and 15 percent at a local, community or enterprise level, the rest being regional or international. National projects often include local level pilot projects.

Target groups

About two thirds of projects funded under both programmes have forest communities, indigenous groups or SMEs as main beneficiary target groups. Government agencies are also among major beneficiaries, which is logical because of TFLET's emphasis on strengthening of governance. Civil Society Organizations (CSOs) have been identified as direct or indirect targets in 90 percent of the projects. There is usually more than one principal target group in TFLET projects.

Executing Agencies and partnerships

Government agencies are the largest group among Executing Agencies (45 percent of projects). CSOs have been EA in 15 percent of TFLET projects and knowledge institutions in 25 percent. Partnerships are common in the programme. CSOs and various government agencies are partners in more than half of the cases. Partnering with local communities is common in pilot projects on local level.

Expected benefits
Pre-project and projects are strongly oriented towards generation of economic benefits for achieving poverty reduction. Most (85%) also target at environmental and social benefits but in only about half of the cases these are expected to be significant. Together with social benefits, revenue generation can ensure effective forest conservation and commitment of forest communities to improved law compliance and eradication of illegal logging. Almost half of the TFLET projects are also aimed at environmental benefits as a result of strengthened governance and improved law compliance.

Applicability and replicability
In general, the completed TFLET projects could be applicable in similar conditions elsewhere. Thirty percent of the projects were considered applicable at a national level and twenty percent at a regional or international level. Thirty percent were considered applicable at all levels. A third of projects were considered replicable in similar conditions but modifications would be required in the other cases.

Innovation content
A tenth of the projects developed a new innovation and the rest were applying adapted new technology or existing technology in new application and conditions. Technology was interpreted in the assessment broadly including new ways of working and organizing stakeholders.

Expected sustainability
In half of TFLET projects expected sustainability was assessed strongly likely, in another 30 percent somewhat likely and in the remaining fifth sustainable only with continuous financing. However, a follow-up project was typically considered necessary but in many cases mainstreaming of project results would also require policy revision. The main reasons for follow-up action needs are common difficulties related to implementing policy reforms and mainstreaming new innovations developed in pilot projects that tend to take time extending beyond the project duration.

TFLET achievements
The programme has made a strong progress towards all its specific objectives that appear relevant to country conditions. In particular, the support to communities and, to a somewhat lesser extent, to SMEs has been well covered but it would often need to be defined how their local level engagement in legal and sustainable supply chains could be mainstreamed.

About 80 percent of the target values of the Monitoring Protocol (MP) have been achieved in strengthening of forest law compliance and governance through national policy and legal frameworks, strengthened enforcement and other institutions, effective partnerships and improved cooperation among stakeholders.

Increased volumes of traded tropical timber and timber products have been targeted by eleven TFLET projects in nine countries. A large number of partnerships in 16 countries have been established surpassing the target value (5). Less progress has been made in development of public procurement policies and codes of conduct for the industry.

Community and SME capacity to demonstrate that timber produced and traded comes from legal sources contributing to sustainable development (the fourth objective) has been improved in six countries through 13 projects surpassing the target values. Training courses on law compliance and enforcement have been implemented in seven countries through 13 projects.

Under improved international cooperation in forest law enforcement and governance, fourteen ITTO producing member countries are implementing the FLEGT Voluntary Partnership Agreements (VPAs) or are in the process of negotiation. TFLET projects have provided substantial support to these processes in three countries and projects will soon be started in two more countries. In addition, TFLET has built up capacity in six more countries to facilitate their future engagement in international and regional processes. However, no progress can be reported on improvement of trans-boundary timber control processes.

Lessons learned
The completed pre-projects and projects have generated a wealth of lessons learned which cover subjects the following subjects: (i) awareness raising on strengthening forest governance, (ii) building human resource capacity in law enforcement, (iii) developing and implementing timber tracking systems,

(iv) mainstreaming innovations, (v) engaging SMEs in legal compliance, (vi) training, (vii) partnerships, (viii) inter-agency coordination and cooperation, (ix) knowledge sharing, and (x) sustainability of project impacts.

The key lessons suggest that governance reforms can only be driven by government-led initiatives, not from outside. Strengthening of law enforcement requires much more than training of enforcement officers which is also needed. Awareness raising and provision of information on benefits arising from improved law compliance to communities and SMEs is necessary for which a cadre of local trainers and extension workers is required. Piloting on a sufficient large scale in representative conditions involving all stakeholders has proved to be a good approach for choosing between options for institutional arrangements and timber tracking technologies.

ASSESSMENT OF REDDES

Programme objectives
In general, the REDDES projects cover well the first four specific programme objectives, i.e., reduction of unplanned deforestation (objective a), that of forest degradation (b), climate change mitigation and other environmental services (c), and contribution to the social and economic sustainability (d). The fifth objective (e) adaptation and resilience of tropical forests had the weakest coverage of in the projects reviewed.

Thematic focus
Almost two thirds of the projects cover assessment and diagnosis of deforestation and forest degradation, and establishment of enabling conditions and capacity building. Pilot and demonstration activities are also frequent elements, together with policy development. Specific focus areas of the programme are capacity building for REDD+ and payments for environmental systems (PES).

Level of implementation
About 40 per cent of the projects are implemented at the level of community/enterprise or other local economic unit, one third are national and one fifth international. However, most projects are implemented at more than one level.

Target groups
About two thirds of REDDES projects have identified forest communities, indigenous groups or SMEs as main beneficiaries. Forest owners and government agencies are also important target groups. CSOs are typically identified as minor beneficiaries. The private sector is less frequently targeted.

Executing Agencies and partnerships
Government agencies are the largest group among EAs (34 percent of the projects) followed by knowledge institutions and CSOs. Partnerships are common in the work under REDDES (only 15 percent had no partners). This has also resulted in complementary financing, particularly by other government bodies. Partnering with local communities has been part of almost all the projects.

Expected benefits
In about 80 percent of the projects, expected benefits cover both economic, social and environmental aspects. Environmental benefits are in most cases related to forest carbon but they often also covered biodiversity and water (the latter usually implicitly). The result illustrates a common approach to address all the three pillars of sustainability.

Applicability and replicability
The completed projects were mostly found applicable in similar local conditions or at national level (45 and 18 percent, respectively) and the rest at a regional or international level. The degree of replicability was also high.

Innovation content
The innovation content in REDDES is important as a third of the projects involve development and application of a new technology and a quarter used adapted new technology, in particular in forest inventory and monitoring, and development of PES systems. The rest applied existing new technology in new applications or conditions.

Expected sustainability
One third of the pre-projects and projects appeared to have strong likelihood for sustainability, another third some likelihood, and the last third sustainable only with continuous financing. However, a follow-up project was considered necessary in 45 percent of the projects as mainstreaming of project results (e.g., PES schemes) would require policy adjustment.

REDDES achievements
The programme has significantly contributed to progress towards all its specific objectives. In particular, support to communities and payments for environmental services have been well covered. The review shows that most of the sixteen outputs identified in the Monitoring Protocol are more than achieved or in process by the project portfolio.

In a*voided deforestation, restoration or conservation* the main focus area is to increase the area under SFM through 19 projects in 16 countries (MP target 6 countries). One third of the projects develop forest monitoring contributing to quantification of carbon stocks in 12 countries (target 2). A quarter work on demonstration in restoration of degraded forests.

Two thirds of the projects in 10 countries aim at *income generation based on forest related environmental services and other forest outputs by local communities*. This demonstrates the fact that local income generation is a precondition for effective forest conservation. *Increased women participation* is a specific target in seven projects but other community forest related projects supporting income generation also benefit women albeit not explicitly stated.

C*apacity building to implement policy reforms* work has been carried out or is in process through different modalities in six projects in five countries. Fifteen countries have benefited from *capacity building to implement SFM, forest restoration and rehabilitation* through various training outputs with about 2,900 participants (target 300).

Development of PES incentive mechanisms have been part of 13 REDDES projects in 11 countries (target 3) demonstrating a stronger demand for support in this area than expected. *Demonstration areas* were established or are in the process in 17 projects in 11 countries (target 3). Communities are directly involved in the development of PES mechanisms in 15 projects in 10 countries.

There are two strategic issues that would merit rethinking on how they should be addressed in the REDDES strategy, i.e., adaptation and landscape restoration linked with restoration and rehabilitation. Establishment of permanent forest estate and strengthening of tenure and user rights may also need more attention in the future. Proactive measures are probably needed by ITTO to fill these and some other gaps (e.g. the development of national C&I for SFM).

Lessons learned
The lessons learned from the completed pre-projects and projects are summarized under the following subject areas: (i) development of mechanisms for payment for environmental services, (ii) advancing REDD+ implementation through REDDES, (iii) stakeholder participation, (iv) implementing the landscape approach, (v) poverty reduction and improvement of food security, (vi) field level demonstration, (vii) private sector participation in reduction of deforestation and forest degradation, (viii) governance, (ix) training, (x) dissemination of knowledge, (xi) mainstreaming of results, and (xii) ensuring sustainability. Selected project examples have been identified on strengths and weaknesses of past experience.

A key lesson is that SFM is an important option to reduce emissions from deforestation and forest degradation provided that a set of preconditions are met related to availability of information, institutional support and provision of incentives. There is a close relationship between conservation and development; i.e. realizing sustained biodiversity conservation requires sustained community development, including in terms of economic benefits.

Project strategies could benefit from three parallel interventions, i.e. strengthening of the institutional and community capacity, conservation and restoration of tropical forests for REDD+ and other environmental services, and improvement of local livelihoods.

COMMON ASPECTS ON DESIGN, IMPLEMENTATION AND OUTPUTS OF BOTH PROGRAMMES

Programme design
While the Thematic Programme Documents (TPDs) have provided an appropriate framework for implementation during the first seven years, they would benefit from updating in order to take into account recent international developments, actual demand for, and supply of, funding, and lessons learned. Some specific objectives are general by nature not providing a clear strategic focus while taking into account linkages with other programmes. There is even more need for revising the Monitoring Protocols to make them more applicable for setting targets and measuring progress. Some identified outputs are more outcomes than outputs, some are defined in unnecessary detail, and many of them overlap with each other.

Problem analysis
The programme level problem analyses in the TPDs have provided a largely relevant framework for project design. However, they have limitations as there is a wide variation in national and local conditions. In TFLET proponents tend to exclude from problem analyses politically sensitive elements such as silent acceptability of illegalities, corruption, distorted incentives and trans-boundary trafficking of timber and timber products. In REDDES forest and land tenure has only fairly rarely been duly covered in project level problem analysis.

Risk analysis
In spite of having a number of good examples, risk analysis appears to be a somewhat problematic area in project design. It often appears superficial and therefore pre-identification of mitigation measures is also weak. One third of the REDDES projects did not include a risk analysis at all.

Quality of implementation and outputs
In general, the performance of Executing Agencies appears good or satisfactory but in a few projects problems were identified with partners. The overall quality of project documentation and technical reports can be considered good with a good number of outstanding reports. Unfortunately, a few weaker technical documents were also encountered. However, a typical problem is that policy proposals and other recommendations have often been made without due consideration of their practical consequences and financial requirements. The quality of implementation depends on supervision and guidance from the EA management as well as on quality of monitoring and advice from the Secretariat. External assistance has been drawn on when adequate local competence was not available, but not always.

PROGRAMMATIC LINKAGES AND COMPLEMENTARITIES

Linkages between Thematic Programmes
TFLET and REDDES have clearly differentiated objectives. However, both programmes share the common objective to improve the wellbeing of local communities through sustainable management of their forest resources. Good governance is fundamental to provide enabling conditions and promotion of SFM is a strategic element in both programmes that focus on forest dependent communities as an ultimate target group. These linkages offer opportunities for further harnessing synergies

TFLET and the Trade and Market Transparency (TMT) Thematic Programme are mutually supportive. They share similar objectives in improving market transparency and increasing production and trade. TMT complements TFLET in improving market transparency and building up capacity among SMEs to realize the benefits from legal compliance and implementation of SFM. TFLET has also a close linkage with the ITTO/CITES Programme.

Both REDDES and the Community Forest Management and Enterprise (CFME) TP share the same general objective to contribute to the social and economic wellbeing of forest-dependent communities even though their strategies are different, CFME focusing on SFM and promoting added value production. Complementarity also derives from the fact that conservation efforts have best chances to succeed if they can result in net economic benefits for local communities and indigenous groups.

Regular cycle projects and Thematic Programmes
A large number of regular cycle projects approved since 2008 directly or indirectly contributed to REDDES and TFLET objectives and could have been funded through these thematic programmes,

had there been funds available. In the case of TFLET-related pre-projects/projects, the regular cycle has contributed USD 20.9 million or 1.7 times more funding than TFLET. The REDDES-related regular pre-projects/projects received a total funding of USD 35.3 million or 3.7 times more than the TP itself. Therefore, the stocktaking carried out provides only a partial view of ITTO's work towards the TP objectives.

Complementarities between TFLET and other international initiatives
Several international, regional and bilateral initiatives have objectives related to strengthening of forest governance and law enforcement either as the main focus area or part of their objectives. The EU-FAO FLEGT Programme is particularly comparable to TFLET. While the two programmes share similar general objectives, there are differences in their specific objectives. EU-FAO FLEGT focuses on promotion of the EU FLEGT principles and VPAs while TFLET is broader. In practice, there are close linkages and some overlaps. Synergies have not, however, been operationally harnessed. This is partly due to the demand driven *modus operandi* in both initiatives (call for proposals). Procedures are somewhat different and also the donor bases are different as the EU-FAO FLEGT is completely financed by the European Union which has not participated in TFLET funding.

Complementarities between REDDES and other international initiatives
Two international programmes were analyzed in relation to REDDES: the UN-REDD Programme and the Readiness Fund of the Forest Carbon Partnership Fund (FCPF). The general objectives of the three are common and they sustainable management of forests, enhanced stakeholder participation, capacity building, and national planning for low carbon sustainable development with forest related interventions. Thematically, REDDES has the broadest approach and its focus is on practical implementation through demonstration and pilot projects implemented by communities, the private sector and other stakeholders.

REDDES applies a demand driven approach and it does not require compliance with pre-determined phases which have taken long periods to implement. Therefore, it does not suffer from delays in disbursement and its transaction costs are low. However, these competitive advantages are undermined by limited financial resources (not encountered in the other two international programmes). This has led to a situation in which REDDES projects have often been delinked from the other REDD+ programmes, partly due to the lack of interest by others in cooperation and perhaps lack of sufficient initiative from the ITTO side.

PROGRAMME IMPLEMENTATION AND FINANCING

Strengthening of the programmatic approach
The Programme Documents were elaborated with the intention to provide a strategic response to priority issues in different country situations, to offer all stakeholders an equal opportunity to participate, and to promote innovation. However, there is a perception among donors and some other stakeholders that TFLET and REDDES are still just a collection of individual projects, albeit within a common framework. The programmes will have to become more programmatic if there is a clear perspective that adequate regular funding will be forthcoming.

Building on the results of the 2013 effectiveness assessment and this stocktaking, six non-exclusive options for improving the programmatic approach are identified:

(i) Introducing the modality of targeted calls for proposals to address gaps and priorities; such calls can be targeted at specific thematic area or geographic region or sub-region.

(ii) New thematic sub-programmes for selected priority themes of common interest to members could be set up drawing on the experience of the ITTO-CITES Programme.

(iii) Improving the programmatic approach at country level through (a) development of national plans for implementing a Thematic Programme; (b) reactivation of the country level diagnostic studies that were carried out in the past; and (c) implementation of the pilot country approach provided in the REDDES programme document.

(iv) Improving the programmatic approach on international and regional/sub-regional levels through ITTO's proactive role to initiate and implement necessary activities such as analytical work on

policy instruments and financing mechanisms, development of training packages and validated, broadly applicable technologies, information sharing, and regional and cross-country cooperation.

(v) Improving the programmatic approach thematically through other ITTO instruments (Strategic Action Plan, Biennial Work Programmes and the regular cycle project work) to more transparency and strengthened functional links.

(vi) Harnessing synergies with other relevant initiatives (particularly UN-REDD, FCPF, and EU-FAO FLEGT Programme) through improved communication and promotion of mutual engagement in the implementation of each other's activities.

Improving the quality of proposals

Addressing weaknesses in proposal quality needs a more proactive approach than in the past, as there are earmarked resources available for this purpose in the TPs. Three options are proposed for consideration to improve the situation provided that there is a perspective of expanded funding for TPs: (a) carry out consultations with new members and other priority countries on the need/possibility of support for country level diagnostic studies, national action plan preparation and project formulation; (b) support finalization of weak proposals with potential in terms of innovation, broad applicability and replication, and knowledge sharing; and (c) continue strengthening the pool of qualified project formulation and implementation specialists in ITTO producing member countries.

Management of TPs as programmes

TP projects are managed and monitored like regular cycle projects rather than as a pool of thematically linked activities. There should be more clarity on technical management responsibility and the only logical option would be to assign it to the Assistant Director of each division as long as the programmes do not become so large that recruitment of a designated Programme Manager becomes justified. Technical management responsibilities could be partly delegated to Project Managers.

ITTO has presently two almost identical processes for project appraisal which work independently from each other, one involving Thematic Programme Advisory Committees (TPAC) for TPs and the other involving the Expert Panel on Project Appraisal for the regular project cycle. These procedures could be harmonized considering the experience gained in the thematic programmes.

Simplification of programme procedures

Although the innovative TP procedures are faster and represent lower transaction costs than in the case of regular cycle projects, they could be improved. Parts of the project formulation requirements are excessively complex and could be simplified. The ITTO/CITES Programme experience offers a number of lessons for TP implementation.

Improving knowledge management

In view of the broad applicability of lessons learned and knowledge products developed under the two TPs, their effective sharing is critical for capitalizing the investment made by ITTO and its donors. Considerable effort has already been made to disseminate the results of the two TPs through a broad range of tools, including the recent *Project search* facility in the ITTO website.

Knowledge sharing is a crosscutting activity and mostly related to thematic issues, are lessons learned generated through TPs or the regular project cycle. Separating the two would be a sign of working in silos, which should be avoided.

Funding of thematic programmes

None of the TPs has received full regular funding and no pledges have been received since 2013. Inadequate resources have become the most serious obstacle for effective implementation of TFLET and REDDES.

Donors cannot earmark their funding within TPs, which has apparently negatively influenced the interest of some of them in using this instrument. However, TPs were introduced upon donor initiatives to have a more strategic approach to the organization's project work and to respond to a common wish to move towards unearmarked funding. This worked during the pilot phase but has faded out since then.

Nevertheless, even with the limited funding available, the pre-projects, projects and activities of the two TPs reviewed have enabled substantial achievement in terms of the intended outputs. In case new funding cannot be mobilized, implementation of the two TPs will end when all the on-going projects have been completed. This report has tried to generate information and identify a series of measures to avoid this.

RECOMMENDATIONS

1. Update the programme design

1.1 The Programme Documents and the Monitoring Protocols should be revised together with procedures and other guidance for implementation to achieve increased responsiveness and agility, together with reduced transaction costs.

1.2 The theory of change should be clarified in the TPDs. A well-articulated theory of change would help improve the programmes' strategy as well as communication to donors, potential partners and other stakeholders.

1.3 Proper guidance should be provided for how project outputs should be reported in monitoring and completion reports as the present practice is inadequate not resulting in systematic compilation of comprehensive information on outputs and achievements at the programme level.

2. Strengthen the programmatic approach

2.1 A modality for targeted thematic and geographic calls for proposals should be introduced in order to facilitate resource mobilization.

2.2 Drawing on the experience of the ITTO-CITES Programme, the concept of thematic sub-programmes should be considered in order to provide strategic response to emerging priority issues. In this context, counterpart agencies in producing member countries should be identified and their role could be formalized in TP implementation, in view of the limited capacity of national Focal Points to assist in thematic areas that may not fall under the mandate of their own agencies.

2.3 The identified proactive measures should be taken to improve programme-level impacts at country, regional and international levels, as appropriate.

2.4 The thematic links between the TPs, SAP and BWPs as well as the regular cycle project work should be strengthened and considered in monitoring and evaluation.

3. Harness synergies with other international initiatives

3.1 Complementarities between ITTO's Thematic Programmes and related international initiatives should be effectively communicated emphasizing the TP value added to potential partners as such information is critical also for the main donors.

3.2 As there are apparent synergies between TFLET and the EU-FAO FLEGT Programme, possibilities for cooperation and coordination should be jointly explored by FAO and ITTO, in consultation with the EU, in order to leverage impacts of the two initiatives.

3.3 ITTO should regularly participate in the FCPF/UN-REDD Policy Board meetings and present the REDDES projects and programmes to enhance cooperation and generate new ideas for joint actions.

3.4 Related agencies such as FAO, UN-REDD, FCPF and others should be re-invited to participate in TPACs (if these continue to operate) provided that adequate regular funding for implementation can be mobilized.

4. Strengthen the programme management

4.1 Proactive measures should be taken to assist (a) priority countries with no or limited past support, and (b) project proponents in finalizing their weak proposals with potential for innovation, broad applicability/replication, and knowledge sharing.

4.2 Technical management responsibility of the thematic programmes should be assigned to appropriate Assistant Directors as long as the programmes do not become so large that recruitment of a designated Programme Manager becomes justified. Assistant Directors should be responsible for overall TP supervision and implementation having an oversight role in order to ensure that (i) priorities and gaps in implementation are addressed, (ii) knowledge sharing is effective, (iii) necessary participation of programme management in fundraising is assured, and (iv) linkages between TPs, the regular project cycle, and BWP activities are harnessed.

4.3 The Planning, Monitoring and Evaluation Officer should continue to be responsible for the administrative TP coordination and management of the call for proposals. Her/his role could be expanded to other tasks related to TP implementation, including generation of information for programme-level monitoring.

4.4 Specific responsibilities should be assigned to Regional Officers to improve coordination and promotion of TP activities in their regions, to be implemented in cooperation with Project Managers responsible for TP projects.

5. Improve the project cycle

5.1 The requirements for project proposals, their approval criteria and programme procedures should be simplified.

5.2 TPACs and the Expert Panel on Project Appraisal should be merged, which would contribute to (i) better integration of the TPs and regular cycle projects, (ii) improved allocation of limited resources to priority projects, (iii) improved quality and reduced costs of appraisal work, and (iv) reduced Secretariat workload.

6. Improve knowledge management

6.1 In carrying out thematic evaluations, groups of relevant projects should be selected from both the TPs and regular cycle projects, as appropriate, to maximize generation of information on lessons learned and to optimize costs.

7. Mobilize resources

7.1 Measures should be taken to actively communicate on the value added and achievements of the ITTO Thematic Programmes to the donor community and other relevant stakeholders.

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ABBREVIATIONS AND ACRONYMS

ACTO	Amazon Cooperation Treaty Organization
ATO	African Timber Organization
BNDES	Amazon Fund for Central America
BWP	Biennial Work Programme
C&I	Criteria and Indicators
CFME	Community Forest Management and Enterprise
CITES	Convention on International Trade in Endangered Species
COC	chain-of–custody
CSO	Civil Society Organization
DRC	Democratic Republic of Congo
DNA	deoxyribonucleic acid
EA	Executing Agency
EU	European Union
FAO	Food and Agriculture Organization
FCPF	Forest Carbon Partnership Facility
FLEG	Forest Law Enforcement and Governance
FLEGT	Forest Law Enforcement, Governance and Trade
GPFRL	Global Partnership on Forest Landscape Restoration
IDE	Industry Development and Efficiency
ITTC	International Tropical Timber Council
ITTO	International Tropical Timber Organization
MP	Monitoring Protocol
MRV	monitoring, reporting and verification
NGO	non-governmental organization
NTFP	non-timber forest product
PCR	Project Completion Report
PD	Project Document
PES	payment for environmental services
PFE	permanent forest estate
PROFOR	Program on Forests
PSC	Project Steering Committee
REDD+	Reducing Emissions from Deforestation and Forest Degradation and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in reducing emissions
REDDES	Reduced Emissions from Deforestation and Forest Degradation and Enhancing Environmental Services
RIL	reduced impact logging
RFM	Reforestation and Forest Management
SAP	Strategic Action Plan
SFM	Sustainable Forest Management
SME	small and medium-sized enterprise
TFLET	Tropical Forest Law Enforcement, Governance and Trade
TFU	Tropical Forest Update
TMT	Trade and Market Transparency
TP	Thematic Programme
TPAC	Thematic Programme Advisory Committee
TPD	Thematic Programme Document
UNFCCC	United Nations Framework Convention on Climate Change
UNU	United Nations University
USD	United State dollar
VPA	Voluntary Partnership Agreement
WTP	willingness to pay

1. INTRODUCTION

1.1 Background

In November 2008 the International Tropical Timber Council (ITTC) launched the implementation of Thematic Programmes. Their purpose was "*to facilitate unearmarked contributions for the financing of approved pre-projects, projects and activities consistent with the thematic programmes established by the Council"* (Decision 9(XLIV)). The decision was also a response to a call by Members for a more strategic approach to facilitate funding than in the past when all the project work was financed through earmarked funding through the regular project cycle.

The five Thematic Programmes (TPs) approved by the Council included (i) Forest Law Enforcement, Governance and Trade (TFLET), Reducing Deforestation and Forest Degradation and Enhancing Environmental Services in Tropical Forests (REDDES), Community Forest Management and Enterprises (CFME), Trade and Market Transparency (TMT), and Industry Development and Efficiency (IDE). Partial funding has been received for the implementation of the first four while the last one remains to be launched due to lack of funding. Most of the funding for TPs has been channeled to the operation of the TFLET and REDDES Programmes on which there is now sufficient experience to make a preliminary assessment on their operation.

Decision 9(XLIV) also called for review and evaluation of the effectiveness of the Thematic Programmes after three years. As an input to ITTC's review, a report was prepared on the effectiveness of pilot operation of ITTO Thematic Programmes which focused on the programme management issues and provided information on individual projects implemented during the pilot phase.[1]

In 2008, Decision 9(XLIV) on Terms of Reference for Thematic Programme Advisory Committees (TPACs) established that in selecting activities/pre-projects/projects for financing, all TPACs should consider mechanisms for knowledge management and applicability of results to other countries, regionally or globally, among other criteria.

Decision 10(XLIV) on Thematic Programme Profiles decided to include knowledge management within the "Programme Strategy" of the CFME Programme, specifically at the regional and international levels, whose activities would include support to knowledge management and the sharing of country experiences, and partnership-building with interested national, regional and international bodies.

Annex 2 of the TP Progress Report on the Implementation of the ITTO Thematic Programme (2010)[2] established the Monitoring Protocols (MPs) of operational TPs, which comprised the component knowledge management in three TPs.[3]

In 2012, Decision 4(XLVIII) called for raising awareness on lessons learned and best practices from the implementation of Thematic Programme projects, pre-projects and activities as part of ITTO's knowledge management strategy.

The ITTO Knowledge Management Action Plan[4] presented at the 49th ITTC session called for, inter alia, capitalization of experience and learning focusing on the Strategic Priorities of the Strategic Action Plan (SAP) 2013-2018 as a guide to prioritize activities geared towards strengthening knowledge. These priorities are also reflected in the scope of the TPs.

Based on this background and as part of the implementation of the Biennial Work Programme (BWP) 2013-2014, the Secretariat identified a need for a stocktaking of the achievements and lessons learned of the implementation of REDDES and TFLET which is the subject of this report.

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1 Caswell & Umali (2013)
2 ITTC(XLVI)/9
3 TFLET, REDDES, CFME
4 Fullan & Tomaselli (2013)

1.2 Objectives and questions to be answered

The purpose of the report is to provide *a synthesis of the aggregated achievements of the completed projects under the ITTO Thematic Programmes on a) Reducing Deforestation and Forest Degradation and Enhancing Environmental Services (REDDES) and b) Forest Law Enforcement, Governance and Trade (TFLET) towards the respective programmatic objectives* (Annex 1).

The specific objectives are to

(1) Assess the programmatic coverage of the work done so far in relation to the REDDES and TFLET Programme Documents (TPD) and Monitoring Protocols (MP) including the identification of potential gaps;

(2) Synthesize the aggregated achievements of the completed projects under the ITTO Thematic Programmes on REDDES and TFLET towards the respective programmatic objectives (Box 1.1);

(3) Assess the complementarity of REDDES and TFLET with other related initiatives at international level and identify the TP added value;

(4) Identify lessons learned and assess effectiveness of knowledge sharing (incl. replicability, innovation, communication, etc.);

(5) Provide key conclusions and recommendations on strengthening the programmatic approach and as appropriate provide suggestions for adjustments to the programme strategy

The report attempts to answer the following questions:

Programme design, coverage and achievements

1. To what extent do the pre-projects/projects and activities cover the objectives, outcomes, and outputs of the Programme?
2. To what extent have the pre-projects/projects (completed, on-going) addressed the problem areas identified in the TPD?
3. What thematic areas are covered by pre-projects/projects?
4. What areas of the programme strategy are covered?
5. Which target groups/beneficiaries are aimed at?
6. Which types of executing agencies are used?
7. Have stakeholders been consulted?
8. What is the quality of work in terms of the outputs produced in completed projects, performance of the executing agency, ITTO and partners
9. Have the risks been identified?
10. Which types of benefits are expected from the pre-projects/projects?
11. To what extent can the results of the completed pre-projects/projects be expected to be applicable and replicable in similar conditions or elsewhere?
12. To what extent do the pre-projects/projects contain an element of innovation?
13. To what extent can the projects be expected to be sustainable and what kind follow-up action may be needed?
14. Are there thematic gaps in the implementation of the Programme which may need to be addressed?
15. To what extent have the completed projects contributed to programme objectives in terms of outputs produced in view of the Monitoring Protocol, and are the Monitoring Protocols applicable for measuring progress in project achievements?
16. How have the lessons learned been shared?

Linkages

17. What are there linkages between TFLET and REDDES and with other Thematic Programmes?
18. To what extent have ITTO's other projects funded under the regular project cycle contributed to the objectives of the two programmes?

Lessons learned

19. What are the lessons learned by thematic areas and for programme management

Complementarity

20. To what extent are the two thematic programmes complementary or overlapping with other related initiatives at international level?

Issues related to programme approach and management

21. How to improve the programmatic approach in the two TPs?
22. How to influence the quality of project proposals?
23. How to improve programme management and procedures?

1.3 Methodology and sources of information

1.3.1 Programme assessment

The main source of information was the available documentation on individual pre-projects/projects and activities which included, as appropriate, project documents, technical reports, progress reports and project completion reports. Most of the documentation is available on the recently established Projects database. In addition, the six Thematic Programme Progress Reports as well as the assessment of the effectiveness of pilot operation of ITTO Thematic Programmes [5] were valuable sources of information.

The implementation period of the TFLET and REDDES TPs has been relatively short. The first calls for proposals for the pilot operation of the two TPs were launched in 2009. The pre-cursor of TFLET had already been implemented in 2008 but there were no calls for proposals.

At the writing of this report 21 pre-projects and projects had been approved under the TFLET programme of which 20 were included in the review. Ten of them had been completed. A total of 31 pre-projects and projects had been approved under the REDDES programme of which 29 had received funding with 13 projects being completed.[6] No mid-term and ex-post evaluations have been carried out which represents a limitation for any assessment of the completed projects' effective ness, efficiency and sustainability as the available information is based on what had been provided by Executing Agencies.

In view of the small number of completed projects, it was decided to review all the pre-projects and projects which have been funded including those currently under implementation. This was considered necessary to make a proper assessment of the progress in programme implementation. The portfolio reviewed consisted of a total of 20 TFLET projects and 29 REDDES projects (Annex 2). [7]

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5 Caswell & Umali, ibid

6 RED-SPD 058/11 Rev. 2 (F) Developing REDD+ES in the Brazilian Atlantic rain forest was pending agreement at the writing of this report and was not included in the review.

7 PD 493/07 Rev.1 (F) Strengthening Capacity of Forest Law Enforcement and Governance (Cambodia) and PD 449/07 Rev.2 (M,I) Enhancing Forest Law Enforcement in PNG have been funded but are not included in the review. Three other projects are pending agreement and were not included in the review (TFL-PD 044/13 Rev. 2 (M); TFL-SPD 043/13 Rev. 1 (M) and TFL-PPD 005/09 Rev. 1 (F)).

Box 1.1 TFLET and REDDES programme objectives

TFLET

The general objective of the Thematic Programme is to improve national forest law enforcement and governance in tropical ITTO member countries in order to:

- enhanced and diversify international trade in tropical timber from sustainably managed forests, and
- help alleviate poverty in those countries

The specific objectives of the Programme are to:

1) Strengthen forest law compliance and governance through improved national policy and legal frameworks, strengthened enforcement and other institutions, improved data and knowledge, strengthened partnerships and improved cooperation among the private sector, civil society organizations and other stakeholders
2) Improve transparency and effective management of supply chains and increased domestic and international trade in legally produced tropical timber
3) Improve capacity of community and small and medium-sized enterprises to implement and demonstrate that timber produced and traded comes from legal sources contributing to sustainable livelihoods; and
4) Improve international cooperation in forest law enforcement and governance among ITTO member countries and other related international initiatives.

REDDES

The general objective of the Thematic Programme is to reduce deforestation and forest degradation, enhance environmental services and help improve forest dependent livelihoods through sustainable management of tropical forests, forest restoration and other related activities.

The specific objective of the Programme is to strengthen the capacity of ITTO developing member countries and their stakeholders to:

a) reduce unplanned deforestation;
b) reduce forest degradation;
c) maintain and enhance climate change mitigation and other environmental services of tropical forests;
d) contribute to the social and economic sustainability and well-being of forest-dependent communities by increasing forest values through forest restoration and rehabilitation, as well as payments for forest-based environmental services; and
e) enhance adaptation and resilience of tropical forests to negative effects of climate change and human-induced impacts.

Source: Programme Documents

The scope of assessment covered the following areas derived from the Programme Documents and the Monitoring Protocols: problem analysis, programme objectives, level of implementation, project type, programme strategy area covered, target group, type of executing agency, partners and partnerships, risk assessment, types of expected impacts and benefits, performance of project implementation, applicability of results, replicability of the project, innovation content, and expected sustainability. Efficiency was only assessed for completed projects in terms of performance of project implementation. Other measures were also tried for establishing an indication of cost efficiency in terms of outputs achieved but no broadly applicable approach was found due to the great variety of projects and their operating environment.

Two project assessment sheets were designed for each of the TPs reviewed. The descriptors are provided in Annex 3. The first one focuses on the assessment of the general aspects of pre-projects/projects. The second assessment sheet was derived from the Monitoring Protocol of each TP. It was aimed at identifying realized and planned achievements in terms of outputs. The results of the assessment of the level of achievement of the targets identified in the MPs are given in Annexes 5 and 6.

The scoring results of project assessments were calculated as frequency distributions. They are reported numerically and graphically in the body of the report.

In view of the limitations of the available information, project assessment was, by definition, exploratory by nature and therefore any conclusions need to be considered with care. In particular, the results on efficiency, expected impacts, applicability, replicability, innovation and sustainability are

likely to be positively biased as they are based on a desk review of available documentation prepared by Executing Agencies. Therefore, the information on programme achievements needs to be verified through ex-post evaluations in due course.

Another aspect that was considered in the analysis were activities of the Biennial Work Programmes (BWP) which were funded by the two TPs. Due to their different nature, these were not included in the pre-project/project analysis but were considered in the assessment.

1.3.2 Lessons learned

The main source of information for lessons learned was progress and completion reports of the on-going and completed projects and available technical reports. Project Completion Reports (PCR) contain a separate section on lessons but also sections on conclusions and recommendations had some findings which can serve as useful guidance for future work. The synthesized lessons are presented for each TP.

Project documentation also included information on activities planned or taken for knowledge sharing. The information was compiled and qualitatively assessed. In addition, measures taken by the ITTO Secretariat for knowledge sharing on the results of the two TPs were identified and reviewed in view of the Organization's Knowledge Management Strategy. Annex 3 lists the technical reports produced under TFLET and REDDES.

1.3.3 Linkages and complementarities

There are significant linkages between the TPs. Strengthening of governance is a common issue to be tackled in REDDES and TFLET. Both TPs have provided funding to projects which are targeted at communities and could have qualified financing under the CFME Thematic Programme (particularly REDDES). Several projects and activities implemented under TFLET could have qualified also for the Trade and Market Transparency TP. These linkages were also identified.

During the course of work it appeared that a large number of pre-projects/projects financed under the regular project cycle would have been eligible for TP funding or contributed to the achievement of their objectives. These pre-projects and projects were identified in order to establish the extent to which the two thematic areas studied in the report have mobilized funding as a whole in ITTO's work (Annex 7).

Complementarity of the two TPs with other related initiatives at international level was assessed in terms of (i) objectives, (ii) approach and modus operandi, (iii) geographical coverage, (iv) thematic coverage, and (v) donor funding. In the case of TFLET the analysis was made against the EU-FAO FLEGT Programme. REDDES was compared with the UN-REDD Programme and the Forest Carbon Partnership Facility (FCPF). Annexes 8 and 9 contain the details of the comparative analysis.

It is recognized that there is a large number of other initiatives and programmes related to the thematic areas of TFLET and REDDES but these are mainly implemented by regional and bilateral bodies or non-governmental organizations (NGOs). These are therefore not directly comparable with ITTO's work.

1.3.4 Issues related to programme approach and management

The results of earlier work on member country expectations and management issues reported by Caswell & Umali (2013) were considered in the analysis of the issues related to programme design and management, together with the findings of this stocktaking exercise. In addition, a number of non-structured interviews with ITTO staff and selected specialists were carried out (Annex 10).

2. REVIEW OF THEMATIC PROGRAMME ON TROPICAL FOREST LAW ENFORCEMENT, GOVERNANCE AND TRADE (TFLET)

2.1 Programme coverage and achievements

2.1.1 Programme portfolio

The TFLET portfolio reviewed consists of 20 pre-projects and projects of which 10 have been completed and the others are being implemented (Annex 2). In addition, the programme has financed four activities of the Biennial Work Programme 2008/2009.

The projects have directly benefited a total of eight countries, three in Africa and Latin America each, and two in Asia-Pacific[8]. In addition, there was a regional project in Africa[9] and a technology development pre-project[10] that was not country or region specific.[11]

Eight projects were implemented during the pre-cursor phase. The programme has provided direct support to a quarter of ITTO's 33 producing member countries and there is therefore a large geographic gap to be covered.[12]

Direct support was received by Indonesia through four projects, Guatemala and Peru through three each, Cameroon and Ghana through two each, and Mali, China and Colombia through one project each.

The total funding of the programme amounts to USD 9.1 million (cf. section 5.5). The project size has varied from USD 67,000 to USD 600,000. The project duration has varied from 1 to 3 years.

In sections 2.1.2 to 2.1.10 all the reviewed pre-projects and projects financed under TFLET are included, be they completed or on-going. In sections 2.1.11 to 2.1.14 only completed pre-projects and projects have been included. The assessment made with regard to the Monitoring Protocol is contained in section 2.1.15 covering all the reviewed pre-projects and projects, as appropriate.

2.1.2 Programme objectives

In general, the TFLET projects cover well the first three programme objectives (cf. Box 1.1). Ninety percent of the projects targeted capacity building of community and small and medium-sized enterprises (SMEs) to demonstrate that the timber traded comes from legal sources as a focus area or provided a substantial contribution towards this objective (Figure 2.1). Strengthening forest law compliance and governance was targeted by 85 percent of the projects. About two thirds made a contribution – mostly significant – to improved transparency and effective management of supply chains as well as increased domestic and international trade in legally produced timber.

However, the fourth programmatic objective, i.e., improved international cooperation in forest law enforcement and governance, was a focus area only in a fifth of projects and another 10 percent covered this area. Cooperation was in most cases linked to the FLEGT processes but also with other consumer country initiatives targeted increased trade in legal timber. This result was expected as law enforcement and governance are essentially national undertakings and cross-border cooperation would require the participating countries to join the same project proposal. However, cross-border cooperation is one of the areas where ITTTO has a competitive advantage and could significantly add value to its members' efforts to strengthen governance and eradicate illegal trade.

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8 The number does not include the Australia-funded project TFL PD 037/13 Rev. 2(M) Implementing a DNA timber tracking system in Indonesia as it was not part of the review..

9 PD 124/10 Rev. 2 (M)

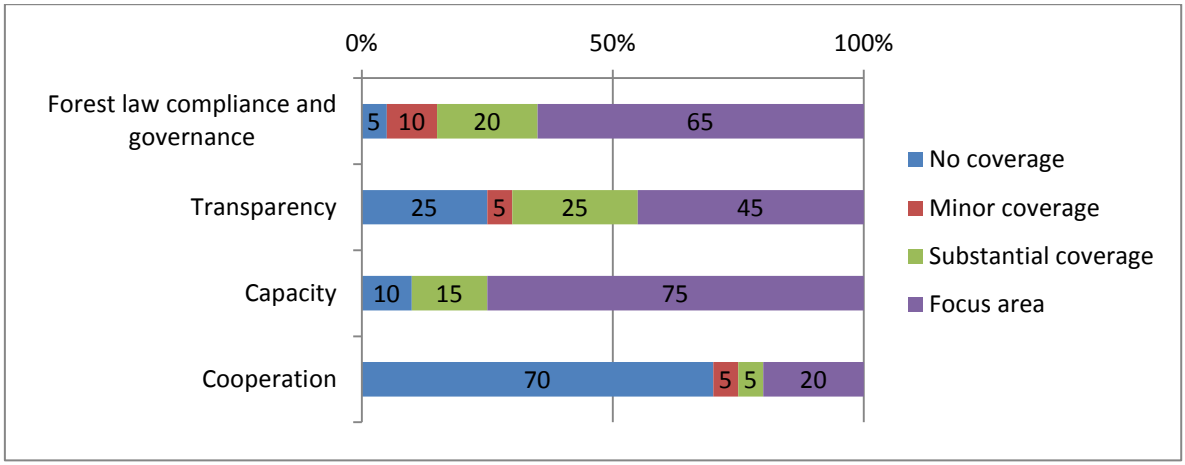
10 TFL-PPD 023/10 Rev. 1 (F)

11 Three other projects are pending agreement and were not included in the review (TFL-PD 044/13 Rev. 2 (M) in Panama; TFL-SPD 043/13 Rev. 1 (M) in PNG, and TFL-PPD 005/09 Rev. 1 (F) in Thailand).

12 During the course of work, information became available on one more project PD 493/07 Rev.1 (F) Strengthening Capacity of Forest Law Enforcement and Governance in Cambodia which could not be included in the analysis. It is excluded from the list here.

The TFLET specific objectives appear relevant for producing member countries and the project portfolio represents a significant effort towards their achievement.

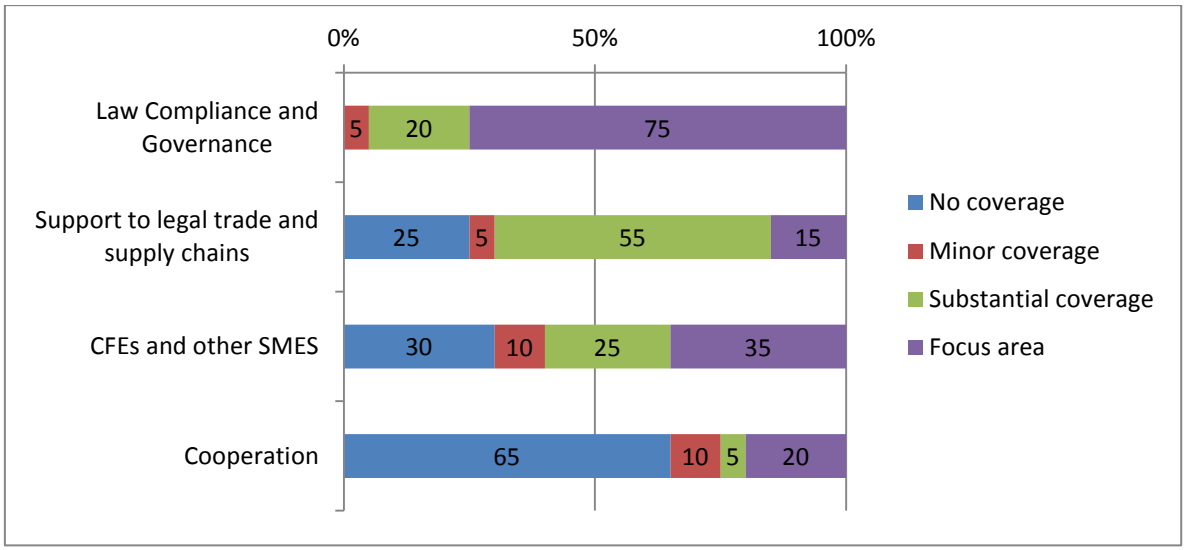
Figure 2.1 Specific objectives of TFLET projects



2.1.3 Programme strategy

Three TFLET's strategic intervention areas are well covered by project-level efforts (Figure 2.2). The key area on which a great majority of the projects focused was strengthening of forest governance with multiple contributions to improvement of legal and policy frameworks, data collection, and enhancement of the civil society and private sector contribution to law enforcement. Stakeholder participation was facilitated and supported in most projects.

Figure 2.2 Programme strategy areas covered in TFLET projects



Systematic approaches to governance improvements were tried e.g. in Guatemala within the framework of a national plan elaborated for law enforcement the implementation of which was started with TFLET support.[13] A national plan was also prepared (or is in process) in three other countries (Cameroon, Colombia and Indonesia). There is scope for building on this experience in other countries. Another strategic approach was to carry out pilot projects for strengthening of forest

[13] TFL-PD 024/10

governance on local or subnational levels which allowed feeding the national-level decision making with information on successful experiences.

About 70 percent of the projects reviewed provided substantial contribution to supporting trade in legally produced tropical timber and effective management of supply chains and development of tracking systems, including their piloting and adoption. Promotion of policy dialogue and exchange of experience on international and domestic market requirements was also an element of several projects. However, there was only one project which had a specific element of public procurement policies. This policy instrument still remains to be drawn on in the future and related work is already in process at least in three producing countries.

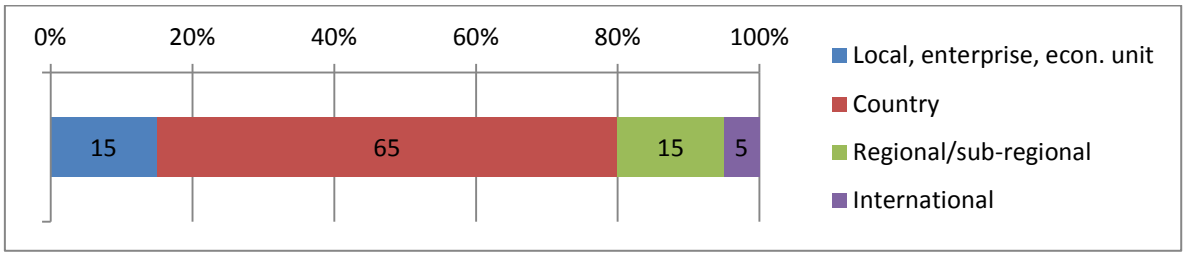
Capacity building of community forest enterprises and other SMEs was an intervention area in 70 percent of the projects. Support covered a wide range of activities, particularly training in implementation of SFM, reduced impact logging (RIL), monitoring, verification and certification, information systems, marketing and communication. Support was also provided to development of networks, associations and cooperative arrangements as well as partnerships between communities, CSOs and the private sector in several projects.

International cooperation was an element of about a third of projects, mainly targeted at knowledge sharing and improved information but in some cases also to strengthen regional, cross-country and international cooperation mechanisms.[14] It is apparent that, as the main modus operandi of the programme is call for proposals by national stakeholders in producing member countries, it cannot be expected that international cooperation will be emphasized. However, this area has to some extent been covered by TFLET-related activities of Biennial Work Programmes.

2.1.4 Level of implementation

About two thirds of TFLET projects have been implemented at a national level (Figure 2.3). Local, enterprise or other economic unit-level projects accounted for 15 percent of the total, as was the case of regional and sub-regional projects (sometimes involving only two countries). However, many projects had interventions on more than one level.

Figure 2.3 Level of implementation of TFLET projects



2.1.5 Project types

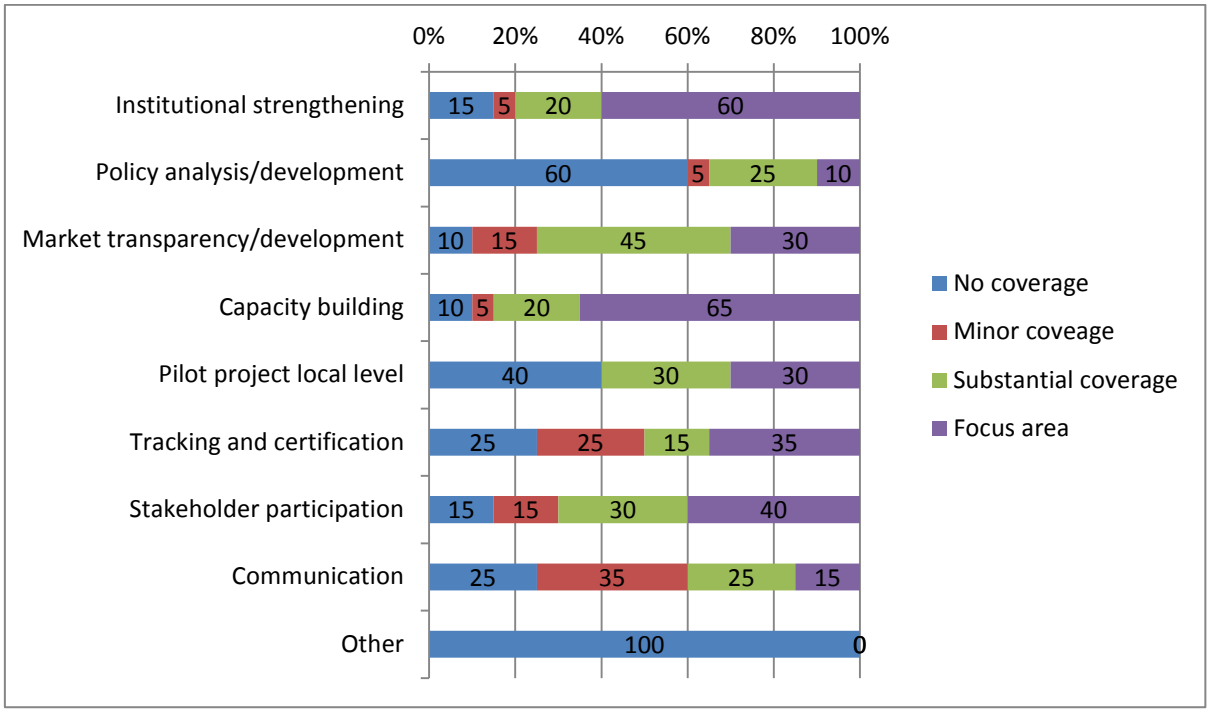
The strongest focus of the TFLET project work has been in capacity building, which is in line with the Programme's strategic priorities. This was a focus area of two thirds of the projects (Figure 2.4).

Institutional strengthening was a focus area in 60 percent of the projects reviewed. Policy analysis and development were not necessarily included in these cases but about one third made a substantial effort also in this area. There was preponderance of training in many institutional strengthening projects.

Market transparency and development was a focal area in 30 percent of the TFLET projects and almost another half covered this subject in a substantial manner.

[14] E.g., TFL-PD 003/09, PD 124/10

Figure 2.4 Types of TFLET projects



Local level pilot projects were included in 60 percent of the projects in spite of the fact that they were often implemented on the national level. Pilots were typically selected communities or SMEs but sometimes also larger subnational units (district or province).

Tracking, verification and certification were included in three quarters of TFLET projects and in a third they were a focus area.

Stakeholder participation was part of all the projects which were not purely technical by nature. It was a focus area in 40% of the projects and in another third it was substantially covered.

Communication and dissemination were covered in three quarters of the projects but often in a somewhat limited manner. This is an area which needs attention in the future project design. Several Project Completion Reports noted insufficient budgetary resources allocated for this purpose as the key constraint to effectively share lessons learned and new knowledge generated.

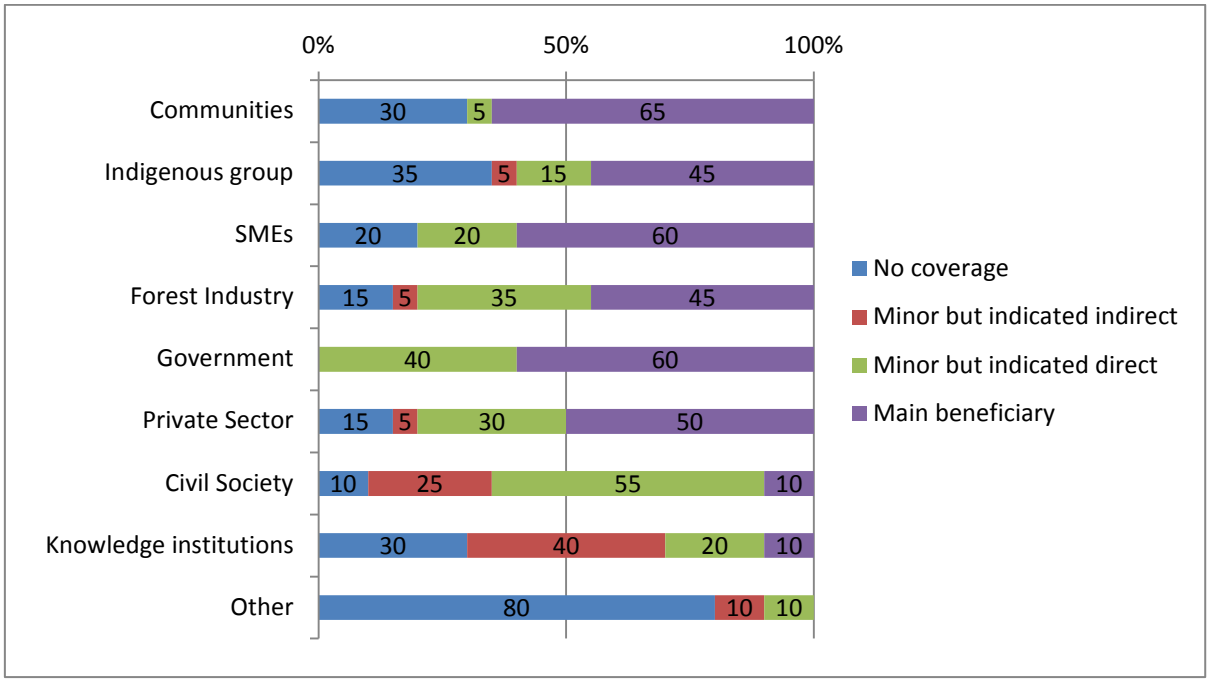
2.1.6 Target groups

Forest communities have been identified as the main target group and beneficiary in two thirds of TFLET projects (Figure 2.5). Indigenous groups form an important part of them (targeted in 45%). The second most important target group has been SMEs followed by the private sector and specifically the forest industry. The government has been a main beneficiary in 60 percent of the cases and in all the others it has been minor direct target group. This is logical because of the programme's emphasis on strengthening of governance.

CSOs have been rarely a main beneficiary but in most cases they are indicated as direct or indirect minor beneficiaries. The situation has been similar but somewhat weaker with knowledge institutions and other related bodies.

TFLET projects have typically more than one principal target group which explains the overlap in the results. The overall pattern is consistent with the identification of target groups of the Programme Document.

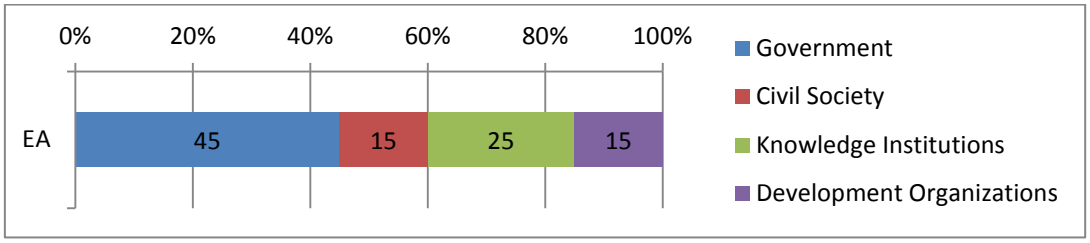
Figure 2.5 Target groups of TFLET projects



2.1.7 Executing agencies and partnerships

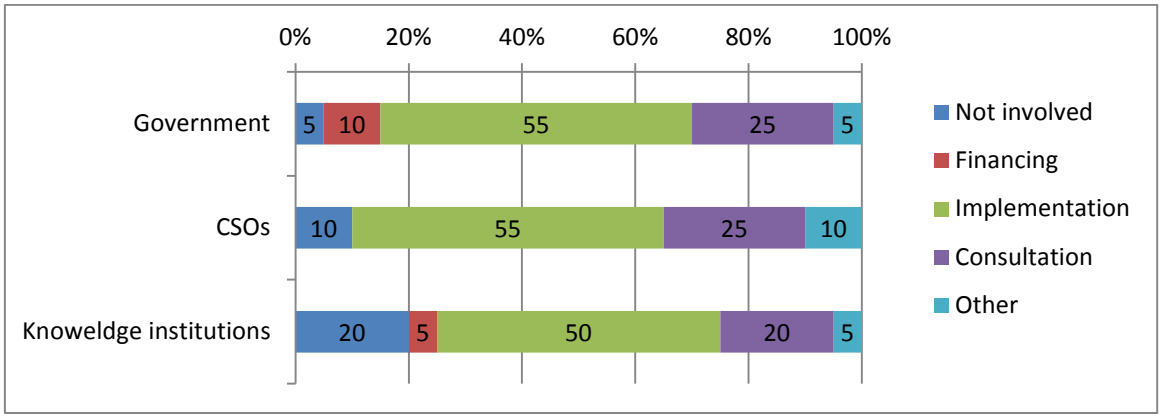
Government agencies were executing agencies in 45 percent of the projects (Figure 2.6). Knowledge institutions executed a quarter of projects, and CSOs and development organizations 15 percent each. The pattern is logical because of the importance of government in improving governance and law enforcement. However, there is scope to expand the role of other types of organizations in executing TFLET projects.

Figure 2.6 Executing Agencies by type in TFLET projects



Partnerships have been typical in TFLET projects. Government agencies have been in one way or another in a supporting role in almost all the projects; at least in an implementation and consultation role but sometimes also leveraging financing (Figure 2.7). CSOs have been implementation partners in more than half of the projects and in consultation activities in another quarter. Knowledge institutions (typically universities and research institutes) have participated in the implementation of half of the projects and contributed in another way to another 30 percent.

Figure 2.7 Partnerships in TFLET projects



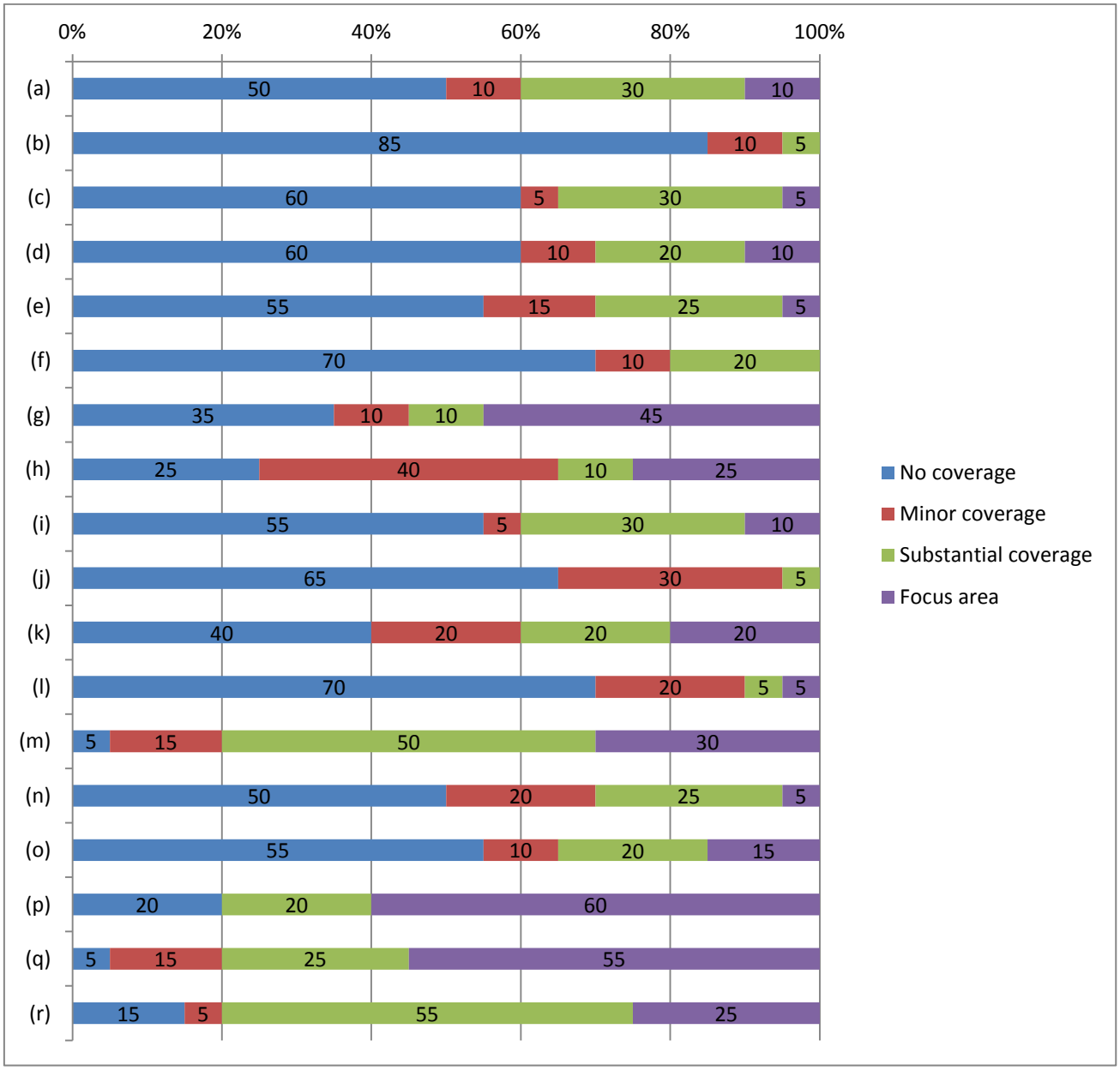
2.1.8 Problem analysis

The Programme Document includes a problem analysis with identification of typical factors contributing to illegal activities in the forest sector and their direct and underlying causes. The review of project level problem analyses revealed that TFLET interventions address several sub-causes, which is in line with the implicit theory of change of the programme (Figure 2.8). The focal problem areas were ineffective supervision and control of trade, weak stakeholder participation, inadequate institutional capacity and policy failures. Among the direct causes, the most frequently addressed were weak participation of SMEs and communities, and inadequate monitoring and control.

Direct causes that were less frequently identified in the project analyses included corruption, trans-boundary trafficking, distorted incentives, excessive production capacity, and silent acceptability of illegalities. Underlying causes that were not covered, or had only a minor role in problem analyses were high transaction costs, public pressure, poverty, existence of markets for illegal products, and weak international cooperation.

The above review suggests that the programme-level problem analysis has a considerable degree of relevance for situations in producing member countries. However, as there is a wide variation in national and local situations, project level problem analyses have to be tailored to actual conditions and this has indeed been the case. It can also be understood that macro-level issues like poverty and corruption do not appear substantially in project analyses as they cannot often be effectively addressed through local or even sectorial interventions. On the other hand, there has been limited or no coverage of recognition of distorted specific incentives, high transaction costs of the supply, need to balance the harvesting and industrial capacity with the sustained production potential, and the role of trans-boundary illegal trafficking occurring in many countries which suggests that further capacity building efforts are needed to improve problem analysis.

Figure 2.8 Problem areas addressed in TFLET projects



Key: (a) to (h): Causes ; (i) to (r) : Sub-causes

(a)	Acceptability of illegalities
(b)	Corruption
(c)	Distorted incentives
(d)	Excessive capacity
(e)	Market incentives for SFM
(f)	Transboundary trafficking
(g)	Participation of SMEs and communities
(h)	Monitoring and control
(i)	Poverty
(j)	Public pressure
(k)	Policy failures
(l)	High transaction cost
(m)	Institutional capacity
(n)	Markets for illegal products
(o)	Intern. cooperation
(p)	Supervision of trade
(q)	Stakeholder capacity
(r)	Information on forests, markets and technology

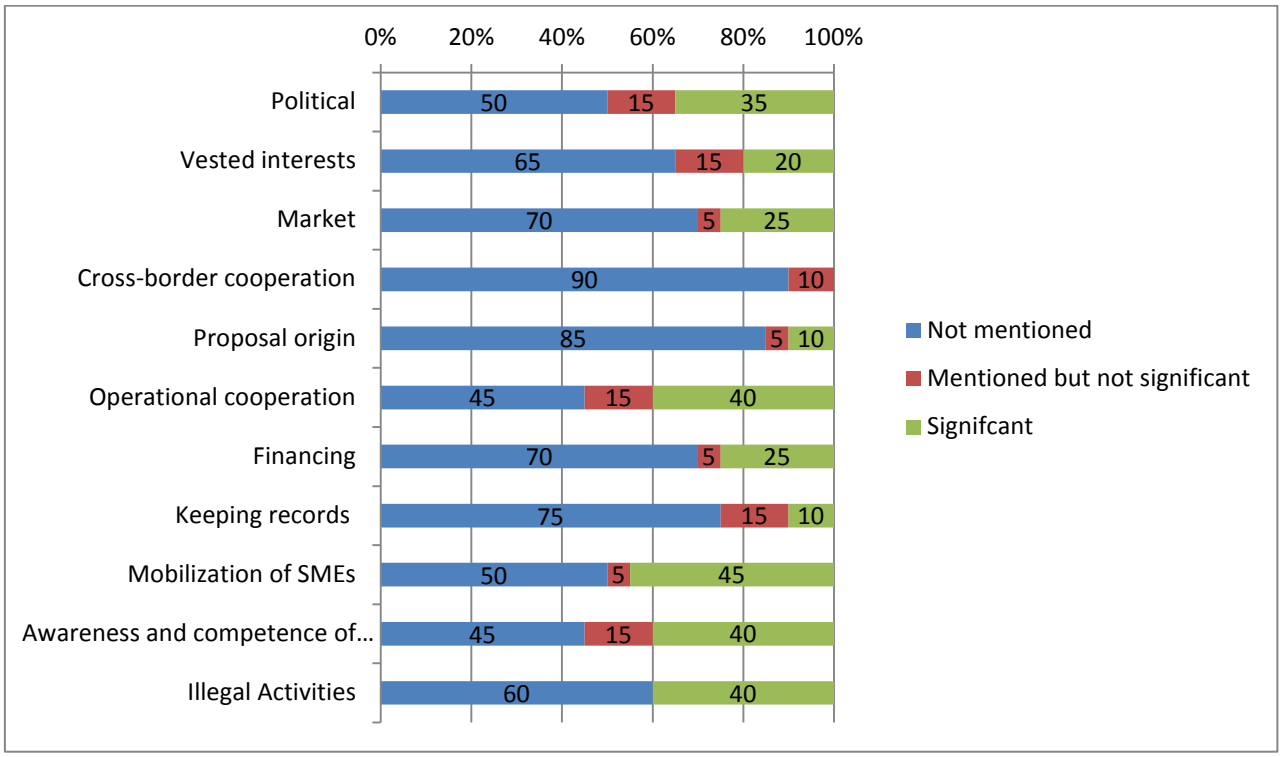
2.1.9 Risk analysis and mitigation

The TFLET Programme Document includes a guiding risk analysis for project design and suggested measures to mitigate risks. The project review carried out revealed that the most frequently identified significant risks were lack of mobilization of SMEs (together with their weak awareness and competence to participate), illegal activities and operational cooperation with related agencies and within the Executing Agency itself (Figure 2.9). Political risks were also mentioned in half of the project documents and considered significant in another 15 percent.

In the programme design stage it was expected that many proposals would originate from government agencies or external parties and thereby leading to a biased design. This kind of risk was identified (often indirectly) in about 10 percent of cases and it has probably resulted in a somewhat lower quality of project design. However, failures were not detected during this review.

In general, risk analyses were often superficial but a number of good in-depth analyses had been carried out together with identification of mitigation measures. This area needs further capacity building and stronger oversight.

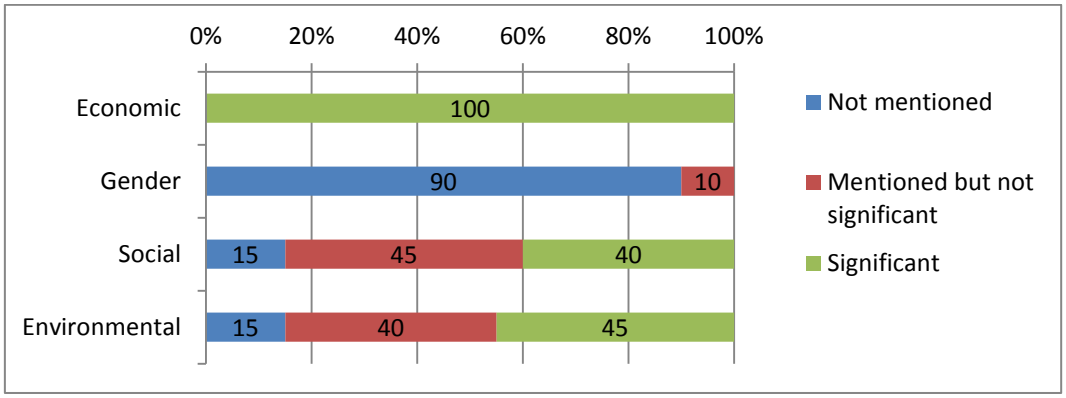
Figure 2.9 Risk analysis in TFLET projects



2.1.10 Expected benefits

All the TFLET projects have identified generation of significant economic benefits as a target (Figure 2.10). Most (85%) also target at environmental and social benefits but in only about half of the cases these are expected to be significant.

Figure 2.10 Expected benefits of TFLET projects

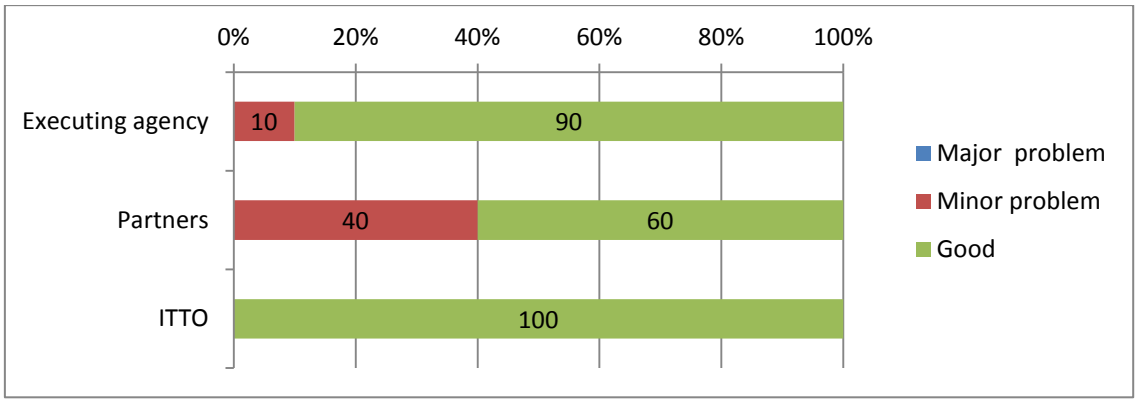


2.1.11 Performance

Based on the PCRs, the performance of Executing Agencies was good in 90 percent of the cases as the planned outputs were produced within the allocated resources. Minor problems were reported in one tenth (Figure 2.11).

The situation was different with partners as in 40 percent of the cases various minor problems were identified. These were related to e.g., delays in other government agencies' inputs, lack of committed resources from complementary sources, etc. With regard to ITTO's performance all the feedback was positive. ITTO's participation in Project Steering Committees was generally highly valued as it brought new ideas based on experience in other countries and general advice on project implementation. Also backstopping support to address administrative and technical problems was appreciated.

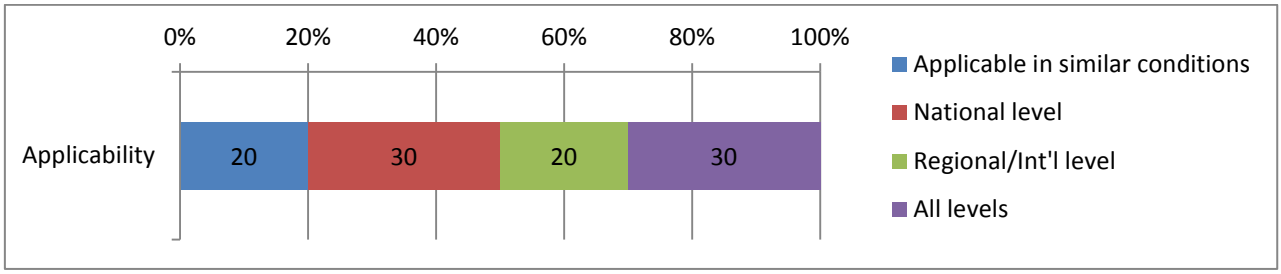
Figure 2.11 Performance in completed TFLET projects



2.1.12 Applicability and replicability

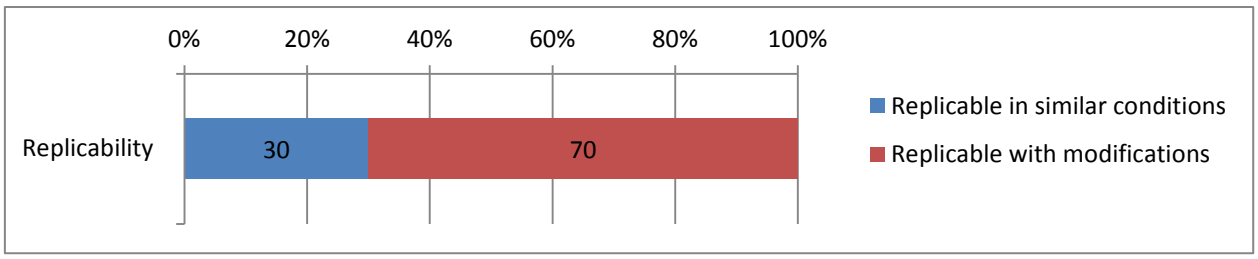
Based on the documentation on project design and outputs, an effort was made to assess possible applicability and replicability of completed projects. In general, TFLET projects could be applicable in similar conditions elsewhere. Thirty percent of the projects were considered applicable on the national level in the country itself and twenty percent on a regional or international level. Thirty percent were considered applicable at all levels. (Figure 2.12).

Figure 2.12 Applicability of results of completed TFLET projects



Thirty percent of TFLET projects were considered replicable in similar conditions and all the others replicable with modifications. (Figure 2.13)

Figure 2.13 Replicability of completed TFLET projects



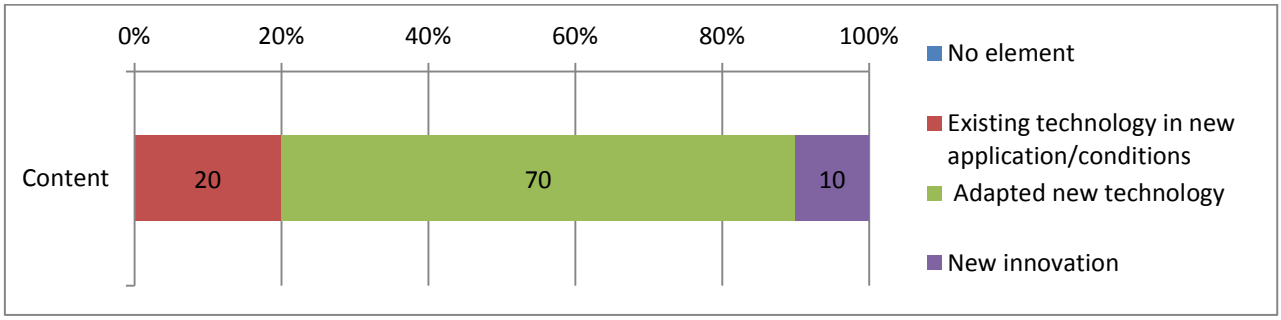
2.1.13 Innovation content

All the completed TFLET projects appeared to have an element of innovation through breaking new ground and applying methods, technologies that were not known or mainstreamed as yet. Technology is here understood broadly including also new ways of working and organizing efforts towards the targeted outcomes.

In seventy percent of the completed projects the innovation element was related to adaptation of new technology in specific local and national conditions (Figure 2.14). In a fifth of the projects existing technology was applied in new conditions (e.g., existing tracking technology that was not yet used in the country). One project led to generation of a truly new innovation (DNA fingerprinting to be used in product tracking).

The completed TFLET projects have generated a valuable pool of knowledge that could be broadly shared within countries, regionally or internationally even though some of the lessons learned and new innovations may have to be validated in due course. The lessons learned are summarized in section 3.1.

Figure 2.14 Innovation content of completed TFLET projects



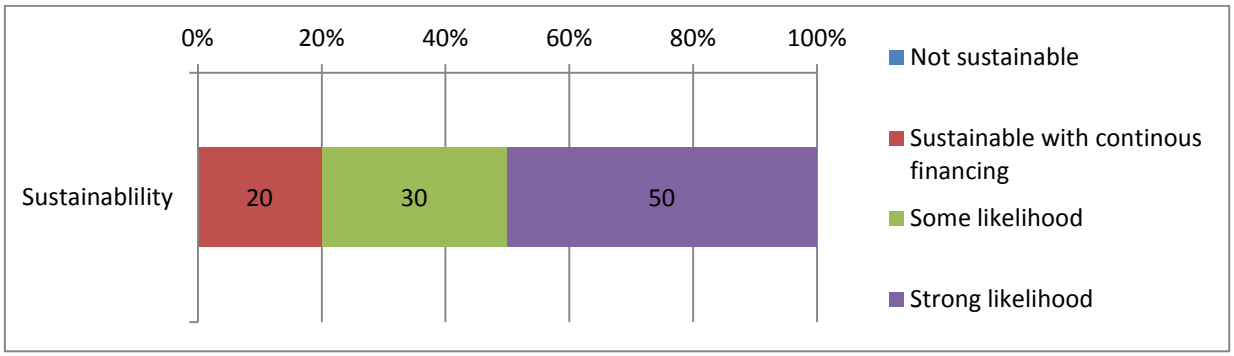
2.1.14 Expected sustainability

The Project Completion Reports contained a range of measures for ensuring project sustainability. The following examples are illustrative:

- Adoption of the developed digital tracking systems by the authorities
- Continuation of financing of project activities after completion
- Formalization of multi stakeholder platform for future policy dialogue
- Integration of new technologies in the curriculum of educational institutions

Half of projects were assessed to have strong likelihood for sustainability and another thirty percent some likelihood (Figure 2.15). The remaining twenty percent were considered sustainable provided that continuous financing through a follow-up project or other similar means can be ensured.

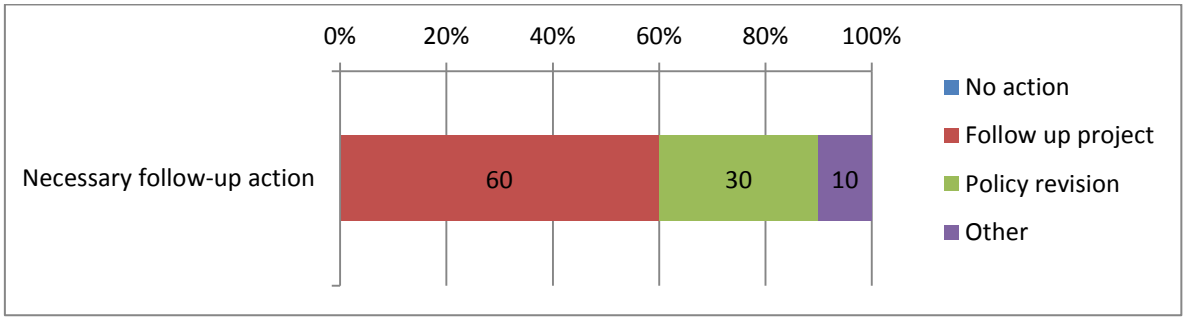
Figure 2.15 Expected sustainability of completed TFLET projects



In sixty percent of the cases a follow-up project was considered necessary to ensure sustainability (Figure 2.16). The main reason was need for financial support for a bridging period to avoid loss of momentum in project benefits and thereby stakeholder commitment to pursue improved practices. In the case of successful pilot projects follow-up support was deemed necessary for mainstreaming adoption of tracking systems and other innovations.

In another thirty percent of the projects, policy revision was foreseen to ensure sustainability; these were mostly projects with some likelihood for sustainability. The main reasons for follow-up action needs are common difficulties related to implementing policy reforms that tend to take time extending beyond the project duration and the momentum of the project impacts may be lost in the meantime if follow-up actions are not timely taken.

Figure 2.16 Necessary follow-up action of completed TFLET projects



2.1.15 Project achievements within the Monitoring Protocol framework

Figures 2.17-2.20 summarize to what extent the various output indicators of the Monitoring Protocol are covered by the TFLET project portfolio. To some extent the results overlap with the analysis in sections 2.1.1-2.1.16.

a) *Strengthen forest law compliance and governance through improved national policy and legal frameworks, strengthened enforcement and other institutions, improved data and knowledge, strengthened partnerships and improved cooperation among the private sector, civil society organizations and other stakeholders*

Under this first specific objective of the Programme about a third of the projects in four countries (Cameroon, Colombia, Indonesia, Peru) contribute (or are in process) to establishment, review or improvement of laws and legal instruments on tenure and user rights (MP target value is 5 countries for all outputs under this specific objective). However, in none of the cases improved laws and regulations have been published in the national gazette as implied by the means of verification of the MP. The review process may be going on even after the completion of projects but cannot be verified based on the available information. This is understandable as enacting new legislation takes usually longer than the 2 to 3-year project period during which the process has been initiated.

Multi-stakeholder consultation mechanisms were established and operated (or are in process) in six countries with hundreds of participants. In addition, the regional ITTO/ATO project in Africa[15] contributed to establishment of consultation mechanisms in five more countries with several hundred participants. The most extensive consultations were carried out in Indonesia where they involved 2,629 people.[16]

National action plans for strengthening of law compliance and governance were prepared in four countries. Strengthening of law enforcement units was part of four projects.

National studies on timber flows were carried out in four countries,[17] but in two cases they covered only subnational units serving the local industry. A quarter of projects attempted to reconcile statistics on trade flows usually as part of national studies. No regular mechanisms have been established as yet for this purpose as implied by the MP.

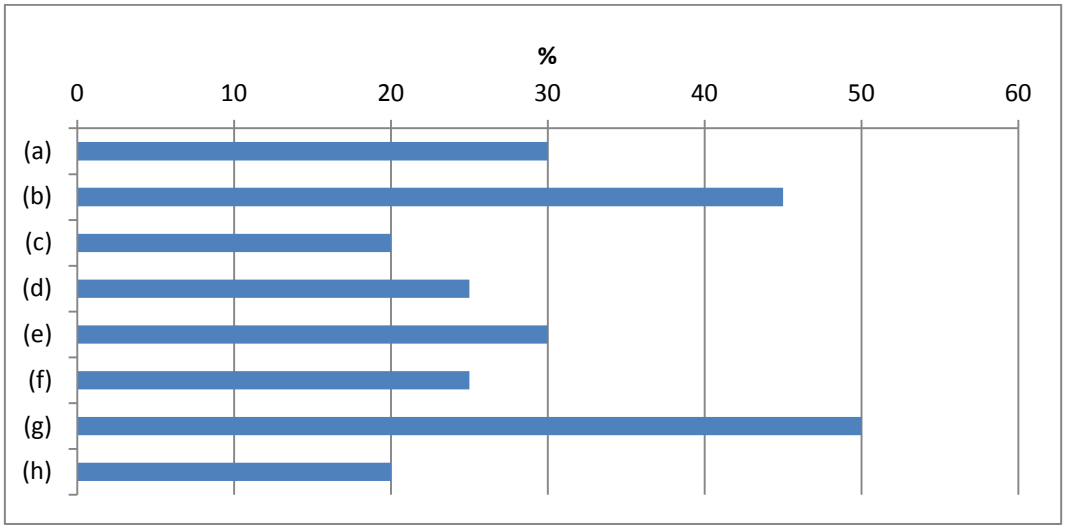
Cost-effective digitized timber tracking and tracing systems were part of TFLET projects in five countries. A compendium on tracking and tracing technologies were prepared in four projects in the context of review of existing technologies and assessment of their suitability to local conditions. An ITTO technical report was also prepared on the subject.[18]

A total of 32 technical reports have been prepared under the completed TFLET projects which are available in the ITTO Projects Data Base (Annex 4).

b) *Improvement of transparency and effective management of supply chains and increased domestic and export in legally produced tropical timber*

[15] PD 124/10 Rev. 2(M)
[16] TFL-PD 019/10 Rev. 2
[17] Colombia, Guatemala, Indonesia and Peru
[18] ITTO (2012c)

Figure 2.17 Strengthening of forest law compliance and governance in TFLET projects



Key :

(a)	Laws and legal instruments on tenure and user rights established, reviewed or improved
(b)	Establishment and operation of multi-stakeholder consultation mechanism
(c)	National Action Plan formulated and under implementation
(d)	Establishment and strengthening of law enforcement units
(e)	National studies on timber flows carried out
(f)	Reconciliation mechanism for resolving trade flow discrepancies
(g)	Cost-effective and non-paper based timber tracking systems developed and implemented
(h)	Compendium on tracking and tracing technologies prepared

Eleven TFLET projects in nine countries were aimed at increasing the volume of traded tropical timber and timber products from legal and sustainable sources (Figure 2.18). In none of the countries information on increased trade is available as yet to verify progress as called for by the MP (There is no target value for this indicator in the MP). Project support was given (or is in process) to certification of SFM and Chain-of-Custody as well as verification of legality. The number of certificates obtained is however not yet reported.

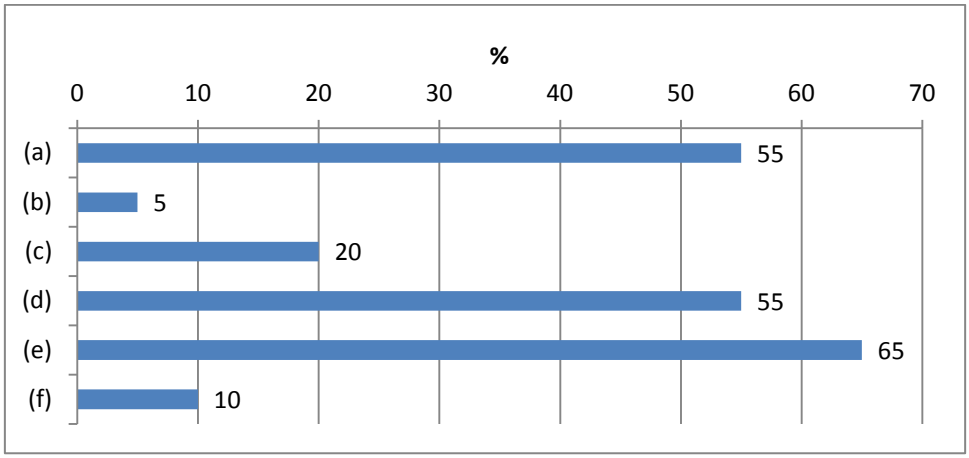
Development of public timber procurement policies has not been a focal area of TFLET projects but related work is carried out in four countries (cf. section 2.1.3) (MP target value is 5 countries). It is however known that such policies have been developed at least in three other ITTO producing member countries (Brazil, Mexico, Vietnam) but this work has been carried out without TFLET support.[19]

Partnerships are instrumental in eleven on-going and completed projects, some of them based on formal arrangements (in six countries) and in the countries covered by the ITTO/ATO regional project. In other cases partnerships involved leveraging inputs to project activities and participation in PSC and other instruments of implementation (MP target value is 5 partnerships).

Capacity building activities undertaken among CSOs are reported below under specific objective (c) as they were usually targeted at several stakeholders and no specific workshops for CSOs only have been arranged in any of the completed TFLET projects (as called for by the MP). Training courses on forest law compliance and enforcement were arranged or are in process in seven countries through 13 projects.

[19] Martin & Baharuddin (2014)

Figure 2.18 Transparency and effective management of supply chains in TFLET projects



Key :

(a) Increased volumes of traded tropical timber and timber products from legal and sustainable sources (from community forests)
(b) Development of procurement policies in ITTO producing countries
(c) Public timber procurement policies and legislation formulated and/or under implementation
(d) Civil society / private sector / governmental agency partnerships established
(e) Training courses on forest law compliance implemented
(f) Codes of conduct from the private sector

In two countries a private sector code of conduct was developed and approved by the national trade association but no reports are available on implementation. As the MP target value is 5 codes in this area further work is needed.

c) Capacity building of communities and SMEs to implement and demonstrate that timber produced and traded comes from legal sources contributing to sustainable development

The first output under this specific objective in the MP is increased value and volume produced and traded by forest dependent and local communities. Sixty percent of the TFLET projects are in the process, or have supported) communities in six countries in this area (MP target value is 5 communities) (Figure 2.19). The total number of communities is not reported in all the PCRs. However, for example, the project TFL-PD 019 Rev.1 (M) in Indonesia provided capacity building support to 20 community groups and its training events were attended by 702 stakeholders, including also SMEs. The pre-project PPD 138/07 Rev. 1 (M) in Peru focused its capacity building in piloting of verification of timber legality on six communities.

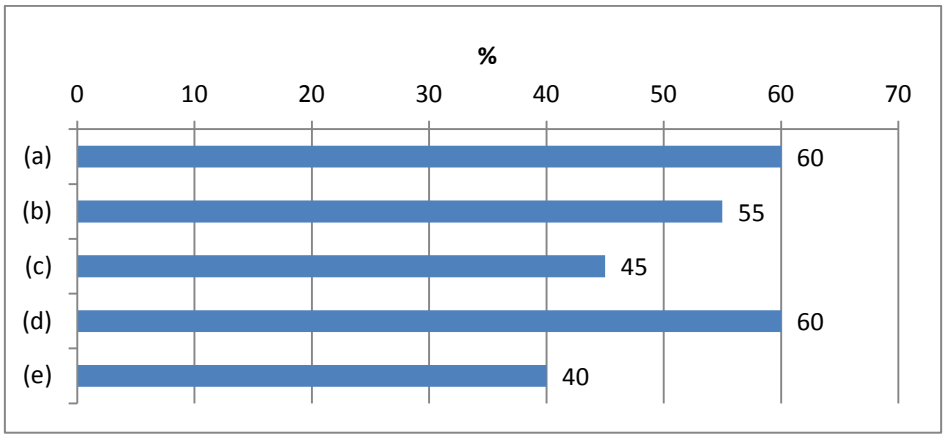
Forty-five percent of the projects have focused on the same output for SMEs (which are often overlapping with communities), in seven countries (MP target value is 5 SMEs). Unfortunately, the available documentation does not allow establishing the value and volume of timber produced and traded from communities and SMEs supported by these projects (as called for by the MP).

More than half of the TFLET projects contain capacity building activities for forest communities and SMEs, often in the same project. Training modules have been developed, used and disseminated in 13 projects (MP target values are relevant training modules and disseminated for 5 communities and 5 SMEs). Dissemination was in all cases through organization of training courses as other means of dissemination are not as effective in these two target groups.

A database on registered SMEs has been developed or is in process in eight projects but information is not available on how many enterprises they include and how many of them were previously operating in the informal sector. However, it can be assumed that the number of registered SMEs has increased. The MP calls for measuring a percentage increase in the number of such SMEs but it is does not appear a feasible indicator on programme level, not least because establishing baselines would require extra effort to collect data before the projects.

Finally, the BWP activity PP-A/43-200 has provided technical assistance for selected poor local/indigenous communities to formulate project proposals for submission to ITTO for management of forests and sustainable timber production.

Figure 2.19 Capacity building of communities and SMEs in TFLET projects



Key :
(a) Value and volume of timber produced and traded by forest dependent and local communities
(b) Relevant training modules developed and disseminated in forest communities
(c) Value and volume of timber traded by SMEs
(d) Relevant training modules developed and disseminated to SMEs
(e) Increased number of registered SMEs

d) Improve international cooperation in forest law enforcement and governance among ITTO member countries and other related international initiatives

The MP outputs under this specific objective include international policy development activities undertaken, to be measured through an increase in the number of countries participating in international and regional initiatives to improve forest law enforcement and forest governance.

In 2007, the base line year, regional FLEG processes coordinated by the World Bank were participated by most of the ITTO producing member countries. Since then these processes have faded out in the tropical regions (cf. section 4.1). In 2007 the EU FLEGT Action was in its initial stages of implementation and presently six ITTO countries are involved in its VPA process supported by EU programmes and eight ITTO producing member countries are in the process of negotiation (cf. section 4.1.7).[20] In addition, there are bilateral or regional initiatives in this area in non-EU consuming member countries related to support to tropical timber producing countries, notably Australia, Japan, and USA.

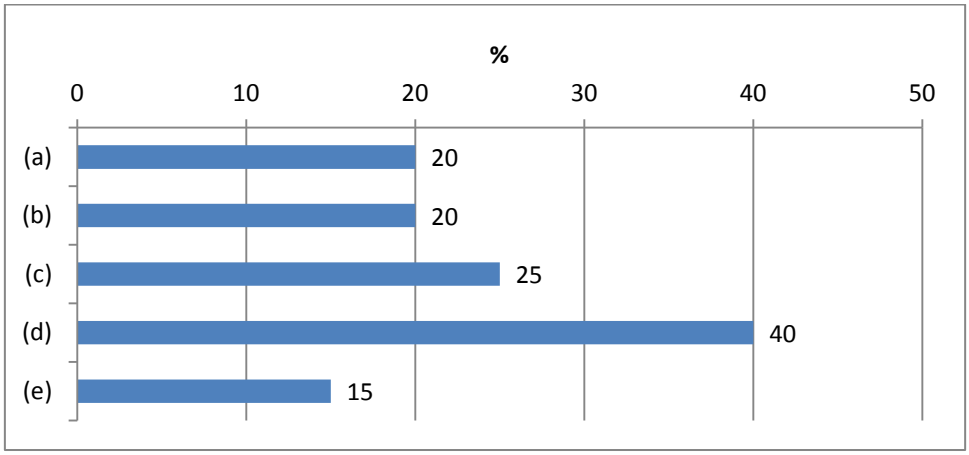
Twenty percent of TFLET projects have carried out activities, or are in the process, in this area (Figure 2.20). In addition, four BWP activities have been implemented in policy development work under TFLET including on SME capacity to produce and trade timber from legal and sustainable sources, trade promotion, and global assessment of tropical forest tenure.

Regional and international cooperation initiatives were implemented (or are in process) in a quarter of the projects, closely linked with policy development. Typical examples have been participation in workshops and inviting participants from neighboring countries to national workshops and training courses to share knowledge. The most important element has been support to countries participating in the FLEGT VPA process (five countries).

Under information sharing and knowledge management activities undertaken, the MP calls for information on dissemination of FAO/ITTO best practices in forest law compliance policy briefs. According to the ITTO Secretariat, a total of 500 copies were printed which have been distributed. In addition, the policy brief has been downloadable from the ITTO website.

[20] www.euflegt.efi-int/vpa-countries (consulted November 15, 2014)

Figure 2.20 International cooperation in forest law enforcement and governance in TFLET projects



Key:

(a) Increase in the number of ITTO member countries participating in international and regional initiatives to improve forest law enforcement and governance
(b) Increase of ITTO member countries in trans-boundary timber control processes
(c) Increased number of ITTO member countries engaged in regional and international cooperation initiatives
(d) FAO/ITTO best practices on forest law compliance policy briefs disseminated
(e) Information on timber procurement and due diligence requirements disseminated

On dissemination on timber procurement and due diligence requirements, the report *Forest law compliance and governance in tropical countries* (ITTO/FAO 2010) was produced, printed and disseminated. In addition, in 2011-2012 the report was downloaded from the website 959 times of which half in French and about 40% in Spanish.[21]

In addition, other reports prepared by ITTO under BWPs on this subject area continued to be disseminated such as *Developing forest certification - Towards increasing the comparability and ac-acceptance of forest certification systems worldwide; The pros and cons of procurement;* and *Tracking sustainability. Review of electronic and semi-electronic timber tracking technologies (2012).*

In the Tropical Forest Update (TFU) articles have been prepared on the TFLET subject areas (e.g., TFU 19/3 – *Procuring favorably*, TFU 22/1 *Nature's barcode: the simplest way to track wood*, TFU 22/2 – *Keeping track (*several articles*),* together with lessons learned from individual TFLET projects (e.g., TFU 23/2 *Linking conservation and livelihoods*).

In addition, the country level technical reports on law enforcement and governance as well as certification and verification have been prepared and disseminated, e.g., under TFL-PD 017/09 Rev 2 (M*) 'Equipping small and medium sized forestry enterprises in China for procurement of tropical timber from legal and sustainably managed forests',* two technical reports on *"China's tropical timber processing SMFEs and their opportunities for procurement of timber from legal and sustainable managed forest"* and *"Policy suggestions for promoting procurement of timber from legal and sustainable managed forest in SMFEs"* have been prepared*.* A full list of technical reports produced under the completed TFLET projects is given in Annex 4.

Fifteen percent of TFLET projects have reportedly disseminated (or are in the process of doing so) information on timber procurement and market requirements on legality and sustainability among national stakeholders. The actual figure may be much higher as this aspect has not always been specifically reported in PCRs.

[21] Source: Website download statistics

2.1.16 Conclusions

The TFLET Thematic Programme has made a strong progress towards all its specific objectives that appear relevant to country conditions. In particular, the support to communities and, to a somewhat lesser extent, to SMEs has been well covered but it would often need to be defined how their engagement in legal and sustainable supply chains could be mainstreamed.

It should be taken into account that not all the TFLET objectives and activities are applicable in all the producing member countries. A national action plan to strengthen law compliance and to promote the transformation of timber production and trade could be a useful tool to build up a coherent series of actions to achieve the TFLET objectives that are relevant for the country as was done e.g., in Guatemala.

There are, however, some gaps in programme implementation that should be addressed in the future, including development of public procurement policies and codes of conduct of the private sector as well as developing cross-border cooperation on trade regulation and control. This may require proactive measures from the programme side, as it cannot be expected that these gaps could be duly addressed through open calls for proposals (cf. section 5.1 for discussion on this issue).

All the technical papers produced by the TFLET projects were reviewed for this assessment. In general the quality was from satisfactory to good, in several cases excellent. However, there were also a few papers that were weak (descriptive with limited analytical content, partly repetitive from earlier studies). This issue needs to be carefully monitored in the future, including the competence of consultants used.

According to the PCRs, stakeholder consultation is included almost in all the projects. However, the available information does not allow a proper assessment on the adequacy of consultations. Nevertheless, it is clear that in most projects stakeholders were involved during the entire implementation period through various means (PSC members, workshop participants, respondents to surveys, users of project websites, trainees in participatory training courses). However, there were a few projects where stakeholder participation appeared in practice to have been limited to participation in consultative workshops during the inception phase. Therefore, this issue needs to be revisited when information on ex-post evaluations becomes available.

While the TFLET Programme Document has largely provided a relevant framework for project work, it would benefit from updating in view of recent developments in markets and international policies. There is even more need for revising the Monitoring Protocol to make it more applicable for setting targets and measuring progress. The current guidance on how to use the MP in the design stage has not resulted in intended results. One option to improve monitoring and reporting is to provide specific guidance for how project outputs should be reported in progress and completion reports as the present practice is not systematic and, therefore, does not allow systematic compilation of comprehensive information on results on the programme level.

2.2 Lessons learned from TFLET

The completed and on-going TFLET projects and activities represent a wide variety of interventions on international, national and local levels. This synthesis is based on the project completion reports and other documentation of TFLET projects listed in Annex 2.

The key lessons suggest that governance reforms can only be driven by government-led initiatives, not from outside. Strengthening of law enforcement requires much more than training of enforcement officers which is also necessary. Awareness raising and provision of information on benefits arising from improved law compliance to communities and SMEs is necessary for which a cadre of local trainers and extension workers is required. Piloting on a sufficient large scale in representative conditions involving all stakeholders has proved to be a good approach for choosing between options for institutional arrangements and timber tracking technologies.

2.2.1 Awareness raising on strengthening forest governance

In general, the governance in forest zones is often weak. The existing institutional structures and the available human resources do not allow adequate development of supervision and control of forest operations. The level of illegal operations can be much higher than the published estimates of the competent authorities.

The responsible authorities and forest users do not often understand the importance of the regulation of forest utilization for ensuring their future potential and therefore, information and educational campaigns are needed.

Channels of communication between the institutions and the communities are typically weak, particularly for the latter to have access to regulations and to improve the management of forest resources in the country.

Improved governance and law enforcement are usually needed in the vicinity of forest areas to prevent encroachment, illegal logging and poaching. At the same time community members need to understand the conservation concept and benefits they gain from it. If local people value the conservation outcomes supported by law enforcement, they will assist in avoiding law violations and cooperating with local enforcement agencies to prevent or uncover violations.

Awareness raising requires extensive work in the field. Therefore the project strategy needs to include specific activities for this purpose. Different actors, in particular local communities, should be made to understand the benefits that they can obtain from the project targeted at improved governance.

Awareness raising and information on benefits arising from improved law compliance in the community is necessary for which a cadre of local trainers and extension workers is required. In order to deploy these agents to communities, a promotional information campaign may first be required through meetings with community groups to allow direct dialogue with farmers, community leaders, women's groups, and youth. The target is to make the local population to fully understand how their environment-based livelihood activities depend on forests, be they under statutory protection or sustainably used.

2.2.2 Building human resource capacity in law enforcement

Strengthening law enforcement requires more than technical training of enforcement officers. Project experience suggests that multi-stakeholder workshops can be very useful when involving law enforcement officers (civil service police, the justice department staff, public prosecutors, forest guards, etc.), local communities, the private sector, NGOs and other stakeholders. Through such an approach, enforcement agencies receive insights into relevant regulations and policies as well as the origin of problems in the field.

Open discussions, experience sharing and crime case methods help improved understanding among law enforcement officers on operational problems and the use of right regulations in specific circumstances. Among other stakeholders training is needed on what law compliance entails in practice with regard to their activities. Based on the experience of a field-level pilot project, the approach can be expanded to other areas. Success tends to depend on the support of local stakeholders which can be gained through a major support component to improve their livelihoods. Other useful elements can be improved information and policy development initiatives such as development of a strategic plan for strengthening law compliance.
A code of conduct and professional ethics for forest enforcement officers was developed in Cameroon and such an initiative could be taken in other countries.

In capacity building among communities, increased knowledge, skills and practical experience enable continued progress in awareness on the benefits of sustainable development and forest conservation that derive from strengthened governance. Perceptions that the purpose is only to exercise more control on communities should be changed from the outset.

2.2.3 Developing timber tracking systems

A number of ITTO projects have reviewed the existing technologies for timber tracking. Effective sharing of the documents produced could reduce similar future work in other countries. The ITTO Technical Paper 40 *Tracking sustainability* provides a good basic document but technology development in this area is rapid and therefore periodic updating would be useful. National work on reviewing available technologies should focus on their applicability in local conditions.

A flexible combination of tracking technologies and administrative processes by region within a country is often needed in view of differences in infrastructure, connectivity and access conditions.

Selecting technology

Proven technologies are often preferable because of the improvements obtained and credibility among stakeholders. However, the benefit-cost ratio should be positive. In humid tropical conditions tracking technologies require adaptation to changes in temperature and rainfall and periodic calibration.

Electronic tracking is useful for forest management and other phases of the supply chain up to exportation facilitating management systems of private enterprises. Adopting an electronic tracking technology can yield immediate benefits for companies which have already improved technologies for forest inventory and marking of trees to be harvested, planning and monitoring of their operations, and management information systems required by voluntary certification. In community forest enterprises where paper-based information systems are common, introducing electronic tracking can allow quick development of digitalized comprehensive management systems.

For an implementation project of new tracking systems, it is necessary to have sufficient pre-planning before the start-up. Technology options should be tried to prove their appropriate functioning in different altitudes, temperatures and extreme climatic events that may occur in local conditions. In the procurement contract, provisions should be made for suppliers to make necessary adjustments in the system to ensure optimal functioning in the future.

Tracking technology suppliers in the international and national markets can provide solutions which can be implemented by private companies, indigenous and other local communities and public forest agencies on different levels.

As there is always some resistance to adopt new technology in the timber sector which is known for its conservatism, a participatory process in the project can arouse interest and active engagement among local communities, private sector enterprises and government agencies. Pilot projects have demonstrated that enterprises and indigenous and other local communities can adopt electronic tracking in their forest management. However, the key condition in the process is a convincing analysis of costs and benefits to be realized. A local pilot project can be considered a success if the participants express their willingness to continue the electronic tracking activities at the end.

To avoid misunderstanding it is useful to make it clear that electronic tracking does not replace forest technicians responsible for supervision and control but it offers a new useful tool to improve quality, transparency and credibility of their work.

Implementation of improved tracking system

Establishment of trust between different actors of the supply chain is fundamental for the success of any initiative on tracking. Tracking is an effort that requires permanent collaboration between the parties as it has to address weaknesses in infrastructure and logistics in the entire supply chain and in the administrative system on different levels (local, sub-regional and national).

Tracking needs a reliable information base, including forest inventory to allow correlating data in distinct points of the administrative control, permitting monitoring and evaluation in line with the operational processes of companies, certification bodies, authorities and clients.

The use of technologies should result in consistent and effective implementation in the entire chain-of–custody (COC) to ensure confidence among actors and users as well as the export market. Product

coding and marking should be universally applicable and there should be no problems in reading and interpreting the information in any stage of the COC, particularly in the international market.

However, the standardized and simplified templates to be used for data capture and recording should be adoptable by SMEs and consider the peculiarities of their varying categories and nature of business. There is likely to be a need for continuous research and the gradual "practice to perfection" to provide tools that enterprises can conveniently and efficiently use has proved to be useful.

Implementing a tracking technology has added up to 10 to 15% to the total operational costs. They should be considered an investment that at the same creates savings in time (up to 50%) as well as improved quality of work. With accumulating experience the phases of the supply chain can be simplified creating further savings in costs and time thereby improving competitiveness.

Realistic costing of the development and adoption of a nationally applicable improved timber tracking system is necessary for ensuring respective financing. A good initial work risks to be lost if only partial financing can be made available.

Mainstreaming innovations

A precondition for successful implementation is institutionalization of the tracking system of forest products in forest-related administration at all levels. The outcome should be availability of reliable information and effective supervision in a manner that is transparent and collaborative for forest users.

Mainstreaming of timber tracking in tropical production forests requires leadership, consultation and voluntary inclusive participatory processes.

Subcontracting the verification and control activities to an external independent body can be a useful temporary solution to break the resistance by supporters of status quo.

It is clear that effective tracking which results in information on the legal and sustainable source of tropical timber products generates confidence allowing access to demanding markets. Verification of compliance with the relevant SFM and COC standards can demonstrate that the supplier has respected the environment and generated sustainable well-being for forest actors, especially indigenous communities. This will be particularly important during global financial crises or recession periods to avoid denial of market access due lack of credibility of the legal origin of tropical timber and timber products.

Reliable tracking associated with certification of sustainability can be used by producers (concession holders, communities, private companies and entrepreneurs) to promote their products. The public sector can encourage the use of such products. For small-scale producers this is important allowing preferred access to market niches which offer higher prices for timber which has been reliably verified to come from legal and sustainable sources.

2.2.4 Engaging small and medium-sized forest enterprises in law compliance

Project design has to reflect the needs and capacity of SMEs to gain their participation and ownership in improving law compliance. It is important to make enterprises to understand what benefits they can obtain through the transparency of the supply chain and that economically they will not be losers when legality assurance measures are taken to meet the requirements of export and domestic markets, including public procurement.

The process of engaging SMEs should be supported (and sometimes led) by the competent government agency. Close monitoring can help identify legitimate concerns that enterprises may have due to their inability to comply with requirements which are simply beyond their capacities. Governments need to provide solutions to these concerns to ensure smooth progress. Therefore, paper-based tracking could be applied alongside electronic devises due to capacity limitations in SMEs.

A phased approach could be useful starting to work with those SMEs which are already receiving international support to undergo individual or group certification processes as they understand the importance of market requirements for their future success.

A simple guide on legal compliance targeted at SMEs has been useful for training and for future reference by field operators.

The role of industry and trade associations is important in projects targeted at SMEs. Grouping of enterprises can maximize project effectiveness within available resources, particularly in planning and engaging in industry and community outreach for training, coaching, experience sharing and obtaining feedback to improve project implementation.

The cost of technical training in implementing tracking systems can be shared with the beneficiary SMEs if they can be organized as a group to pull together resources. Cooperation would significantly reduce enterprise-level costs of legal verification and SFM certification.

A common platform for the whole industry can be created to facilitate implementation and serve for dissemination of information through the media, internet, trade associations, NGOs, local knowledge institutions, etc., with the support of competent government bodies.

2.2.5 Training

For improving law compliance and enforcement training is needed among all stakeholder groups. Training on implementing tracking systems should focus on the private sector and enforcement officers but should also be extended to other stakeholders, including government agencies, the private sector, and communities in order to help establish trust among all the actors.

Auditor training has proved to be an important necessary element to complement development work on legality definitions and timber legality assurance systems. In Africa a significant pool of local auditors has been established through a sub-regional project using the regional ITTO/ATO and national Principles, Criteria and Indicators as reference documents. This pool of trained persons has been able to meet the demand for qualified staff in legality verification and certification audits.

Local knowledge is critical for consistent auditing work in specific country conditions. Auditing quality has been challenged in a number of cases when successive audits by external specialists have resulted in different interpretations of standard requirements for legality or sustainability.

Strengthening capacities of enterprises, trade associations and other stakeholders needs adequate resources for organizing training and information sharing workshops, field extension, hands-on practical training, and setting up self-regulating norms and standards.

Technical support of certification bodies through pre-audits and other advice has also helped communities in compliance with the regulations and requirements of voluntary standards.

Technical training in verification of law compliance should be formally recognized as a competence requirement by government agencies and the private sector. This would result in improved quality of training and increased interest among potential trainees if the acquired competence be linked with their career development.

Training impacts can be reduced due to frequent staff changes in participating government agencies resulting in lack of critical mass of trained personnel in key agencies. Repeated training can therefore become necessary.

Law compliance and enforcement should be included in the curricula of forest education institutions.

2.2.6 Partnerships

Multi-stakeholder partnerships have been an important factor in establishing relationships and roles of institutions that can support project design, implementation and monitoring.

Partnerships with local, national or international NGOs can be highly useful contributing to market promotion of community products, organization of stakeholder participation and training events.

2.2.7 Inter-agency coordination and cooperation

Due to common difficulties in inter-agency coordination and cooperation, it can be necessary to establish a formal forest law enforcement committee through a high-level decree which would integrate responsible ministries and agencies in forestry, environment, police, judiciary, finance, customs, and others. Such an arrangement would also contribute to the sustainability of efforts to strengthen forest governance.

If a country has several parallel projects and initiatives dealing with strengthening of governance and law enforcement, there is a need to establish a close transparent coordination to enable clear definition of roles and responsibilities, and elaboration of truly complementary work plans. Development objectives tend to be similar in these efforts but sometimes overambitious, calling for enhancing synergies between parallel efforts rather than duplicating work.

The FLEGT processes have been boosted by capacity building of TFLET projects, particularly auditor training. National C&I for SFM has facilitated definitions of legality and its indicators for verification in countries with, or negotiating, a Voluntary Partnership Agreement with the EU.

In Central Africa, linking projects with COMIFAC's Convergence Plan has helped sharing of experience and harmonizing national policies.

2.2.8 Knowledge sharing

Having accumulated experience, knowledge could be shared through capacity building events which can be open for participants from neighboring countries as was done in the Congo Basin. Respective additional costs are not usually included in project budgets and necessary funding may have to be sought from other sources. The possibility for such knowledge sharing could be considered in project budgets when the results are applicable in the region or neighboring countries.

A whole range of communication means has proved to be useful for keeping stakeholders and the general public informed on the project's progress and outputs. These can include brochures, progress reports, web news releases, local newspaper editions, radio interviews and broadcasting, pre-recorded TV shots, PowerPoint presentations, photograph galleries, and linking with existing networks.

Communication activities have been under-budgeted in a number of projects which has reduced their impact.

2.2.9 Sustainability

Sustainability of TFLET projects tends to depend on changes in policies and institutional arrange-ments, which may not be possible to achieve during relatively short implementation periods.

Sustainability is also affected by changes in the benefits for forest users and indigenous communities who should be supported in implementing follow-up activities to ensure achievement of SFM.

It takes time to implement the market's legality and sustainability requirements by SMEs and therefore project sustainability often requires follow-up guidance and other support by the government and knowledge institutions. Policy recommendations need to be implemented to promote the financial viability of SMEs and environmental best practices in order to have lasting impacts.

2.2.10 Project design

In the planning of project design, broad-based stakeholder participation is necessary to capture specific needs of a wide range of beneficiaries that must be duly addressed. Defining the roles for stakeholders engenders their buy-in into project implementation.

Implementation of a pre-project has often been important to allow hands-on direct working with various actors in forest zones. A pre-project can clarify the reality of forest zones in the country, especially with regard to communities living in them and depending on them in a way or another. It has also been important for establishment of a clear baseline which is often missing in project plans.

Overambitious project scopes should be avoided. An example was a project that attempted in parallel to achieve several specific objectives. All were relevant and necessary but activities to achieve them should have been phased through a logical sequence and broken down into individual components or sub-projects, when deemed necessary (cf Box 2.1).

Box 2.1 Example of comprehensive project objectives attainable only in the long run - Cameroon

Objectives:

1. All actors concerned in the timber sector are complying with their fiscal obligations and timber royalties and taxes are paid as required by the law, and the government has received all the tax income from timber harvesting and exports.
2. The logging companies respect forest laws and regulations relating to timber harvesting and transportation, and the rights of forest communities.
3. Forest communities receive their share of the tax revenue from harvested timber.
4. The image of the country's timber and timber products is improved and the country's credibility is enhanced.
5. The government coordination is set up to help make sure that the results will be sustainable.

The project made a significant contribution towards the achievement of the identified objectives but they were too ambitious in view of the limited resources available and short duration of the intervention. Fortunately, parallel initiatives linked to the EU FLEGT VPA process worked towards the same objectives and synergies could therefore be enhanced

Source: TFL-PD 003/09 REV. 2 (M)

In countries with short-term policies and frequent changes in institutional structures and decision-makers, it is important to consider these hurdles in risk assessment and, in particular, take necessary measures when the project implementation depends on information by government agencies.

Typical project risks (delays in fund transfer and decision making, staff rotation, bureaucratic procedures, etc.) are relatively well known in each country but rarely articulated in risk analysis in the design stage. Therefore, contingency plans are not made and valuable project implementation time and inputs are lost.

An example of good project design is given Box 2.2. It highlights a realistic strategic initial intervention in developing well-tested tracking systems with full participation of pilot communities.

2.2.11 Project implementation

Typical implementation risks are rapid changes in the economic environment of the project (particularly price increase of planned inputs) and government bureaucracy and bottlenecks.

Lack of timely decisions on nominating officials from the participating beneficiary ministries has sometimes led to long delays (up to eight months) in organizing training events, which cannot be considered acceptable. Similarly, difficulties in data collection from various ministries have been another reason for significant delays in project implementation. It is apparent that in projects on strengthening of governance involving several ministries and government agencies, a focal point should be formally designated in all the participating organizations to facilitate data collection and pursue timely decision-making by Executing Agency (EA) management.

Box 2.2 Example of a successful TFLET intervention in the development on product tracking systems - Peru

Problems
A major problem in the export marketing of timber products in Peru is the high level (50 percent) of informality of forest production and commercial operations. As parts of such sources of supply are dubious, there is a significant risk that the main markets, such as the North America and Europe, will close their doors to Peruvian products. Therefore, verifying the legal origin can help overcome this risk. At the same time, producers implementing environmentally and socially responsible SFM practices could gain a competitive advantage

Objectives
The purpose of the pre-project was to contribute to the consolidation of the system of forest concessions for timber production by ensuring that the Peruvian products can demonstrate their legal origin from sustainably managed forests. The specific objective was to design and test a pilot system for tracking of Peruvian export timber, including assessment of institutional and budgetary requirements of voluntary implementation of the system by national companies

Outputs
The design of the pilot system involved (i) identification of involved stakeholders; (ii) assessment of the suitability of technical options available internationally and estimation of benchmark costs of chain-of-custody options; (iii) design of individual and group consultation procedures for stakeholders, which was a critical element for the project's success; (iv) field-level testing in six community forests and downstream industry; (v) model adjustment and validation; (vi) development of sectorial policy proposals for implementation of the system; and (vii) recording, systematization and dissemination of results. Based on these elements a project proposal for implementation of the validated system was elaborated, including guidelines and identification of necessary conditions to be put in place

Project strategy
The following elements of product tracking were covered during the course of work:

1. Forest inventory and tree census
2. Software for mapping of tree density and trees to be harvested
3. Marking of standing trees, stumps and logs in the forest
4. Marking of sawn timber in the sawmill
5. Marking of product packages in trucks
6. Control of truckloads in checkpoints (forest and port)
7. Control of product packages in port warehouses and loading of containers
8) Management of information and the chain-of-custody, and monitoring of the administrative process

Source: PPD 138/07 Rev. 1(M)

It is important to ensure in advance that the EA is capable for implementing the project. If the EA discontinues its operation during the implementation period (as has happened at least once), there needs to be a contingency plan to ensure smooth completion of the on-going activities and handing over the results to an alternate competent body.

Without convincing reliable information on the fiscal, financial and economic outcomes of policy options to improve forest governance, necessary adjustments cannot be justified by high-level decision-makers.

Studies on problems of legality, governance, economic and political aspects of the domestic and external markets served by the formal and informal sectors are complex and require strong analytical skills. These have proved to be in short supply in many producing countries. This issue needs more attention in the future through knowledge sharing, strengthening of education, hands-on training by external counterparts, and other measures.

Experience on many projects suggests that the agreed work plans should not be taken as too rigid and often reallocation of resources between budget lines becomes necessary. This is particularly the case when some project components are delayed for external reasons and the logical sequence of the work plan is no more valid. In such situations adjustment of the work plan can reduce costs and eliminate the need for project extension.

There is evidence that PSC meetings twice a year can be highly productive in complex ambitious projects. The work plan can be frequently reviewed for necessary adjustments, which also contributes to generating innovative ideas drawing on the broad international experience by the ITTO Secretariat.[22]

In selected projects, establishment of a consultative committee to complement the PSC can be important to regularly inform stakeholders on the results and making them to adopt and agree upon the necessary adjustments in the objectives of the project plan. A budgetary allowance for the working of the committee should however be provided.

3. REVIEW OF THEMATIC PROGRAMME ON REDUCED EMISSIONS FROM DEFORESTATION AND FOREST DEGRADATION AND ENHANCING ENVIRONMENTAL SERVICES (REDDES)

3.1 Programme coverage and achievements

3.1.1 Programme portfolio

The REDDES portfolio reviewed here consists of 29 pre-projects and projects of which 13 have been completed and 16 are being implemented (Annex 2).[23]

These projects have directly benefited a total of 16 countries, five in Africa, four in Asia-Pacific and seven in Latin America. Two projects were international and there was one regional project in West and Central Africa.

Cameroon, Ghana, Guatemala and Indonesia had received direct support through three projects each; Togo, China, and Peru through two; and the others (Brazil, DRC, Liberia, Malaysia, Myanmar, Ecuador, Guyana, Honduras, and Mexico) through one each.[24]

The total funding of the programme amounts to USD 9.5 million. The project size has varied from USD 0.1 million to USD 1.1 million in ITTO contribution. The project duration has varied from one to four years but is generally two to three years.

In sections 2.2.2 to 2.2.10 all the reviewed pre-projects and projects financed under REDDES are included, be they completed or on-going. The assessment in sections 2.2.11 to 2.2.14 covers only the 13 completed projects and pre-projects. The assessment made with regard to the Monitoring Protocol is contained in section 2.1.15 covering all the pre-projects and projects, as appropriate.

3.1.2 Programme objectives

In general, the REDDES projects cover well the first four specific programme objectives. *Reduction of unplanned deforestation* (objective a) and that of *forest degradation* (b) are essentially closely related environmental goals which could also be considered part of the general objectives of the Programme. These two objectives were a focus area in almost 70 percent of the projects reviewed and they were also covered by another 20 percent (Figure 3.1 Specific objectives of REDDES projects
).

The third objective (c) *Maintain and enhance climate change mitigation and other environmental services of tropical forests* actually is actually a result of the targeted outcomes of objectives (a) and (b). Climate change mitigation and environmental services have been the focal area in half of the projects and significantly covered in another third. All projects targeted improvement of the quality of forest management contributed to this objective.

The fourth REDDES objective (d) is *to contribute to the social and economic sustainability and well-being of forest-dependent communities by increasing forest values through forest restoration and*

[22] However, this would have budgetary implications if the PM would have to travel twice a year to attend PSC.

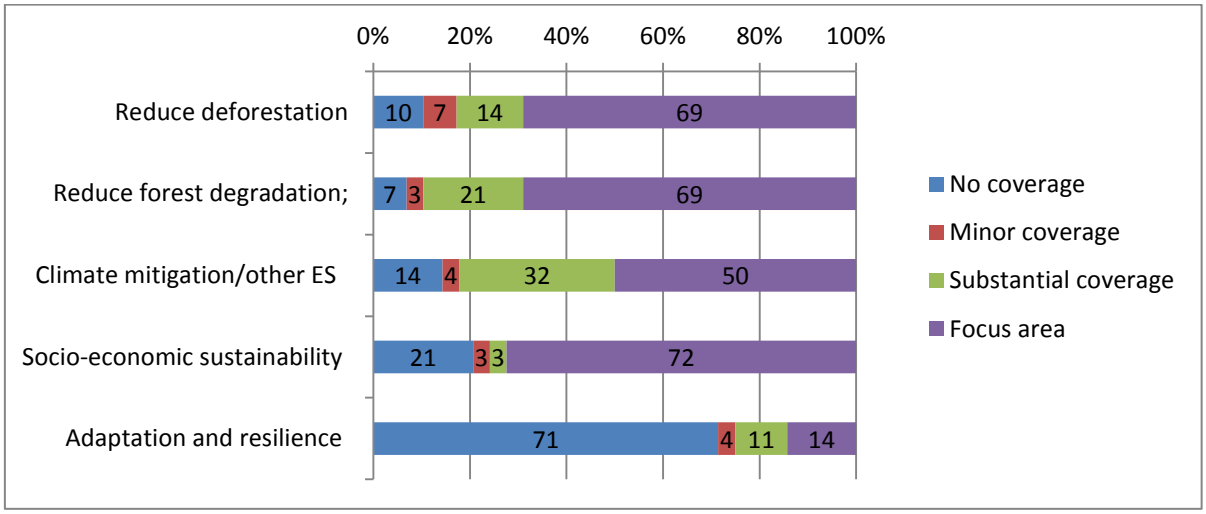
[23] There was one more REDDES project in Thailand on which financing decision was made but the project could not be implemented due to the political situation in the country.

[24] RED-SPD 058 058/11 Rev. 2 (F) Developing REDD+ES in the Brazilian Atlantic rain forest was pending agreement during the writing of the report and was not included in the review.

rehabilitation, as well as payments for forest-based environmental services.[25] The latter part identifies means for how forest values can be increased, i.e., restoration of degraded forests and rehabilitation of deforested lands not designated or used for other purposes. Almost three quarters of the reviewed REDDES projects contributed to this objective as their focus area.

The fifth objective (e) *enhance adaptation and resilience of tropical forests to negative effects of climate change and human-induced impacts* had the weakest coverage of the reviewed REDDES projects. Only in 14 percent this was a focus area and about 70 percent had no explicit coverage of this objective. The result is in a way underestimating as many, if not most, field projects focused on SFM for environmental services include resilience as an inherent element even though not explicitly stated. Adaptation should be considered in these projects, which may be often the case. However, the result suggests that there is a certain gap in the project portfolio concerning adaptation to climate change which will have to be increasingly considered both in natural and planted forests.

Figure 3.1 Specific objectives of REDDES projects



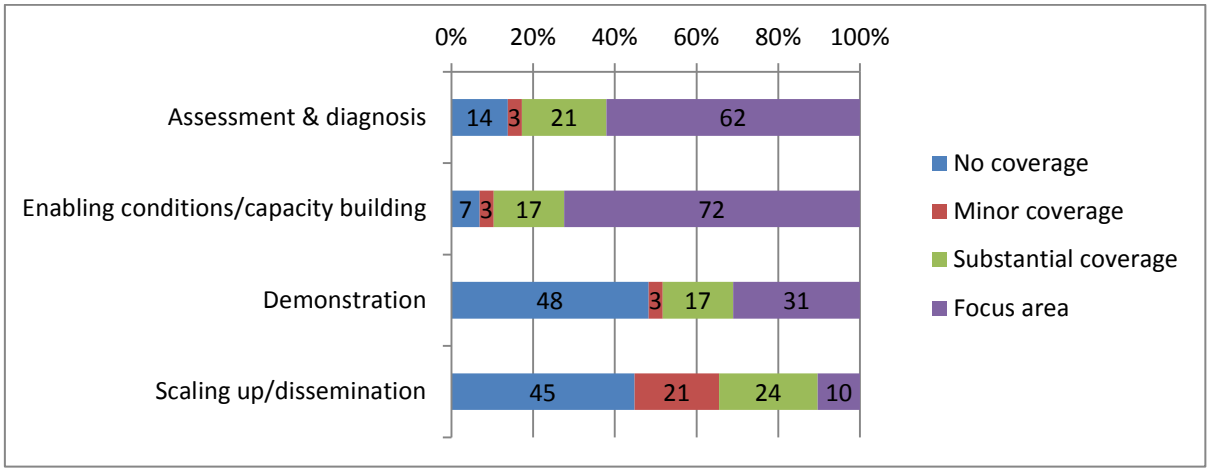
3.1.3 Programme strategy

Out of the four REDDES strategic intervention areas, three were well covered in the portfolio (Figure 3.2). Assessment and diagnosis was the focus in two third of the projects and in another 21 percent it was substantially covered. A number of those that had no coverage were projects which were preceded by pre-projects with diagnostic components.

Enabling conditions and capacity building were a focus area of three quarters of REDDES projects and only in seven percent of the projects these aspects were not covered.

[25] In fact, the objective (d) more like a goal than a specific objective.

Figure 3.2 Programme strategy areas covered in REDDES projects



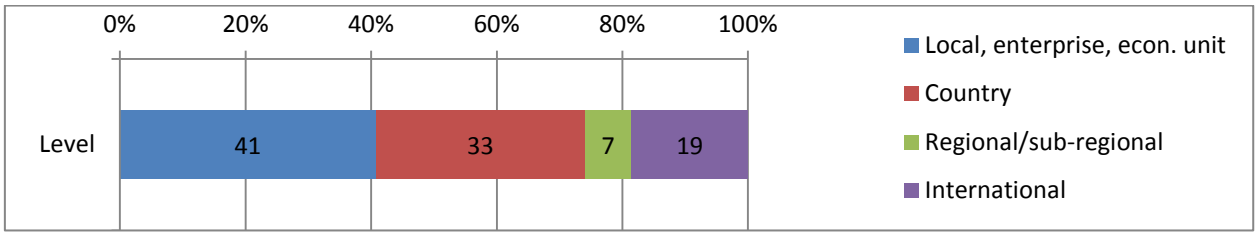
Demonstration was an element in more than half of the projects and in a third it was a focus area, mostly community level pilots with demonstration areas established.

Scaling up and dissemination had the least coverage among the four strategic areas. However, in ten percent of the projects this was a focal area and substantially covered in another quarter. Minor coverage (i.e., routine dissemination activities at the end of the project) was found in a fifth of the portfolio. The result is partly logical as many projects could not yet produce results in demonstration areas. Furthermore, several projects had underestimated budgetary resources for this purpose.

3.1.4 Level of implementation

About forty percent of the projects have been implemented at the level of local community, enterprise or other economic unit (Figure 3.3). One third was national level undertakings and seven percent were regional or sub-regional by nature. Almost a fifth was implemented at international level being related to policy issues and development of innovative instruments such as carbon markets and monitoring, reporting and verification (MRV) techniques. However, many projects had interventions on more than one level.

Figure 3.3 Implementation level of REDDES projects



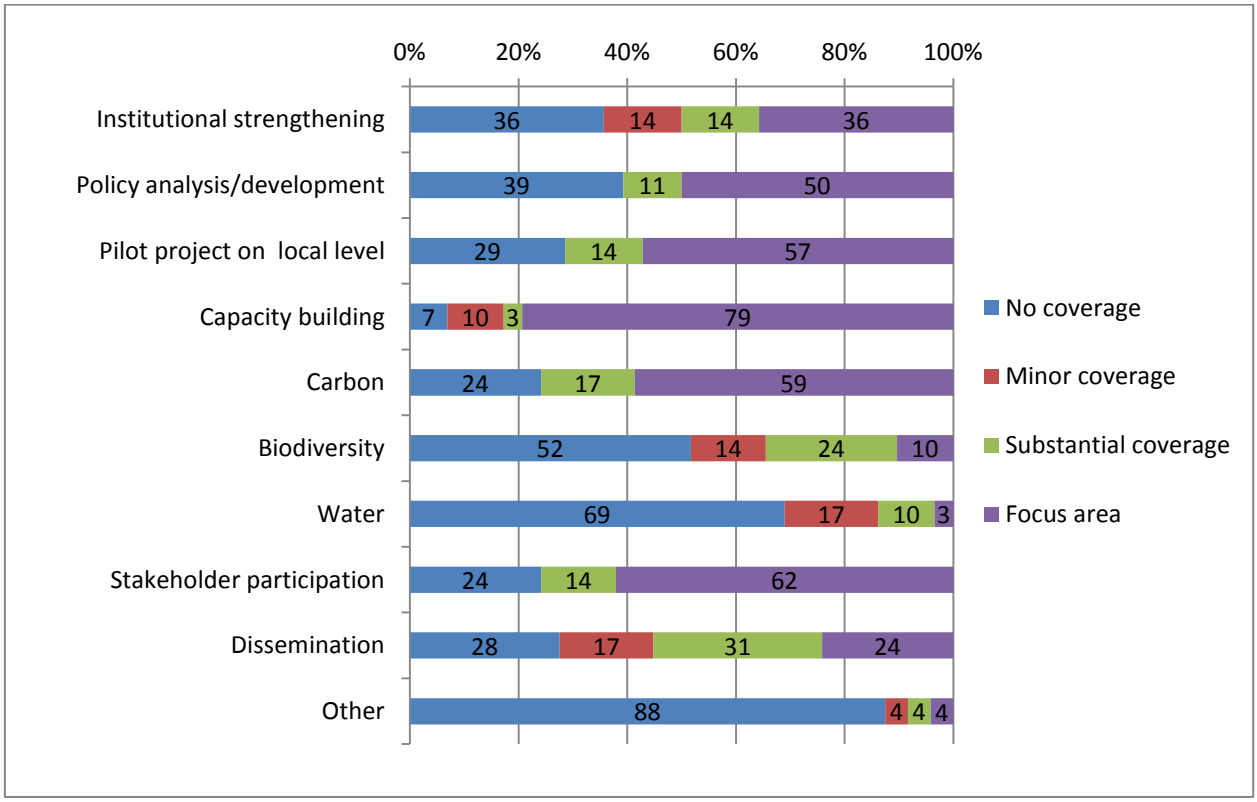
3.1.5 Project types

The strongest focus areas of REDDES project work have been in capacity building of communities, enhancing stakeholder participation, pilot projects on local level which is in line with the overall project strategy (Figure 3.4). About 80 percent of the projects had capacity building as a key focal area and another tenth covered it in a minor manner. Stakeholder participation was part of three quarters of the projects, mostly as a focus area. About 70 percent of the cases had a focal or substantial component of pilot project on local level.

Policy analysis was a focal area in half of the projects and substantially covered also in another eleven percent. Institutional strengthening was focused in more than a third of the projects and was a component in another 28 percent. As found in the analysis of coverage of project objectives, dissemination had as a whole a much lower coverage than in the other activities but still significantly covered by more than half of the cases.

In terms of environmental services, forest carbon was focused in 59 percent of REDDES projects and in another 17 percent it was substantially covered. Biodiversity was explicitly covered in almost half of the projects, many overlapping with those focusing on carbon. In a third of the cases biodiversity was a focal area or substantially covered. Water had the least coverage of REDDES projects with almost seventy percent having not identified it in their components. This is a little surprising as there are several successful initiatives in ITTO producing member countries and elsewhere in which the focus has been on water and soil conservation (e.g. Colombia, Mexico, Costa Rica).

Figure 3.4 Types of REDDES projects



3.1.6 Target groups

The most frequent target groups have been forest communities and indigenous groups which were the main beneficiaries in REDDES projects (69 and 41 percent of the projects, respectively) (Figure 3.5Figure 3.5 Target groups of REDDES projects
Forest owners are also important they were main beneficiaries in 39 percent of the projects and direct minor beneficiaries in another 29 percent.

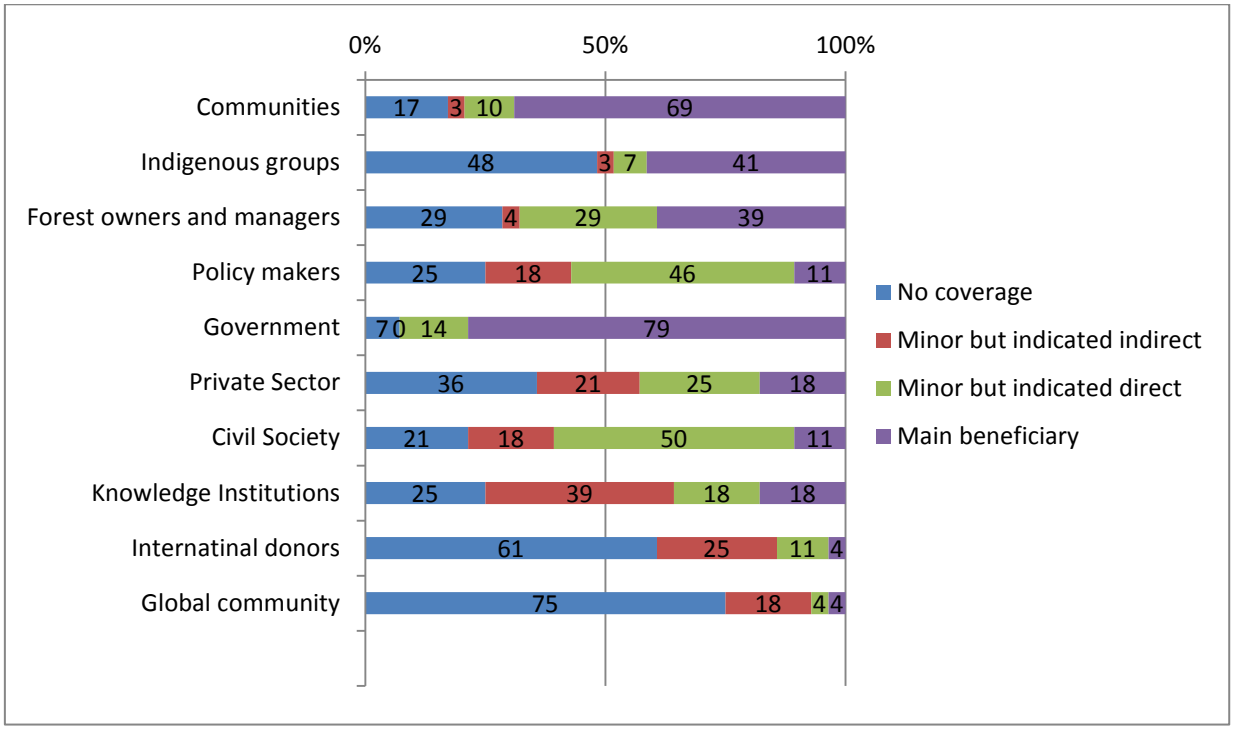
Government agencies were a main beneficiary group in seventy-nine percent of the projects. This is related to activities in policy development (assessment and diagnosis), training of government staff and other actors providing support services to forest communities, indigenous groups and other stakeholders.

CSOs have rarely been identified as a main beneficiary (11 percent) but in most other cases they have been indicated as direct or indirect minor beneficiaries. The situation has been largely similar but somewhat weaker with knowledge institutions and other related bodies.

International donors were targeted at in almost forty percent of the projects and the global community in 25 percent, but they were usually identified as a secondary target group. Many REDDES projects produce public goods that can be shared internationally and therefore international stakeholders are more important potential beneficiaries of the REDDES programme than these percentages indicate.

REDDES projects have typically more than one principal target group, which explains the overlap in the results. The overall pattern is consistent with the identification of target groups of the Programme Document which identifies forest communities, indigenous groups, and forest owners and managers as the ultimate target groups. The other stakeholders fell into the category of intermediate target groups.

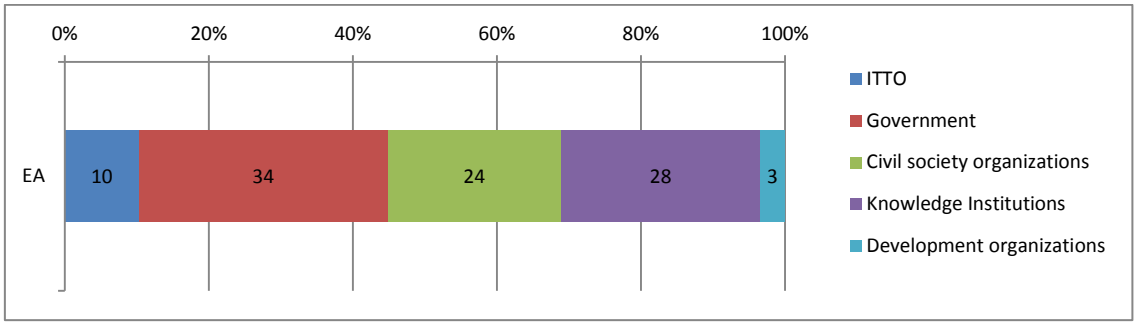
Figure 3.5 Target groups of REDDES projects



3.1.7 Executing agencies and partnerships

Government agencies were executing agencies in 34 percent of the projects. Knowledge institutions executed 28 percent, CSOs 24 percent and development organizations three percent (Figure 3.6). In addition to BWP activities funded by REDDES, the ITTO Secretariat executed international projects that represented ten percent of the total. The pattern can be considered well balanced drawing on different types of capacity among executing agencies in project implementation.

Figure 3.6 Types of Executing Agency in REDDES projects



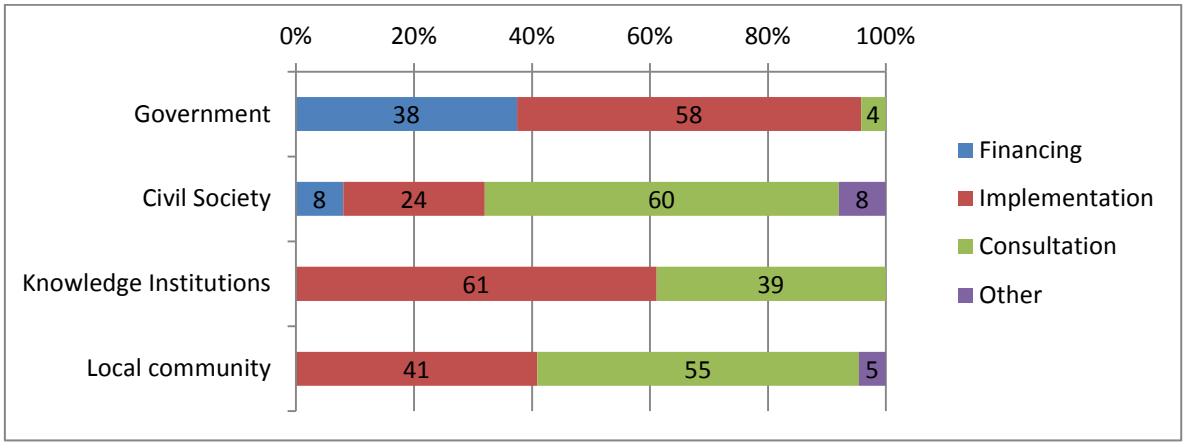
Partnerships have been common in REDDES projects and only 15 percent of the projects had no partner identified. Among the rest of the projects reviewed, government agencies have supported financially almost forty percent of projects from extra-budgetary sources (Figure 3.7Figure 3.7 Collaboration and partnerships in REDDES projects

In 58 percent of cases public agencies have provided support to implementation. CSOs have been implementation partners in a quarter of the projects and in consultation activities in another sixty percent. They have also mobilized additional funding in a few cases.

Local communities were implementation partners in 41 percent of the REDDES projects most of which were field level pilot and demonstration projects (Figure 3.7). Partnering with them is important to ensure the sustainability of interventions. Forest communities and indigenous groups and participated in the other projects as consultation partners.

Knowledge institutions have participated in the implementation of about 60 percent of the projects and contributed in another way to another 40 percent.

Figure 3.7 Collaboration and partnerships in REDDES projects



3.1.8 Problem analysis

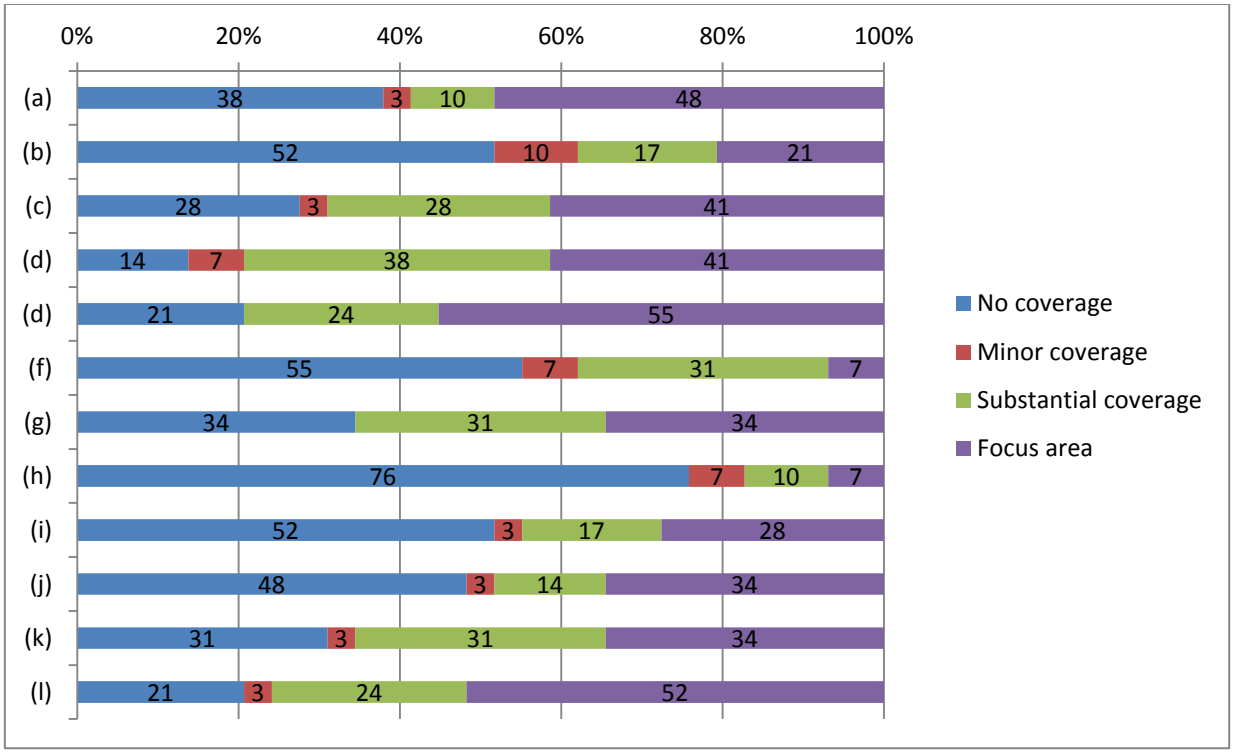
The problem analysis of the Programme Document stated the core problem to be inadequate capacity of ITTO producing member countries and their stakeholders to maintain and enhance environmental services and preventing and reducing deforestation and degradation. In addition, a set of common factors was identified that were perceived to be relevant in many country situations to assist in project design.

The most frequently identified underlying causes were lack of awareness on policy and governance failures, inappropriate policy framework and institutions, weak stakeholder capacity and lack of trained human resources. Lack of investment in SFM and poverty were identified less frequently among these causes (Figure 3.8).

Among direct causes, lack of awareness on and access to technology and lack of education and training facilities were most frequently identified as problem areas. Inadequate forest resource monitoring, lack of PES mechanisms, and insecure forest and land tenure were included in problem analyses in less than half of the projects. It is of particular interest that forest and land tenure was considered a focal problem area only in seven percent of the cases and covered in a substantial or minor way in another seventeen percent. This is somewhat surprising as tenure weaknesses are generally identified as a major constraint for SFM implementation and conservation of environmental services. On the other hand, relatively short-duration, small-sized projects cannot be expected to lead to significant improvement in land and forest tenure.

It appears that the problem analysis on the programme level would benefit revision to better correspond to the realities in producing member countries.

Figure 3.8 Problem areas addressed in REDDES projects



Key: (a) to (f): direct causes; (g) to (l): sub-causes
(a) Policy framework and institutions
(b) SFM investment
(c) Capacity
(d) Trained human resources
(e) Awareness on policy and governance failures
(f) Poverty
(g) Awareness on best practice
(h) Land/forest tenure
(i) PES mechanisms
(j) Forest monitoring
(k) Education and training
(l) Technology and knowledge

3.1.9 Risk analysis and mitigation

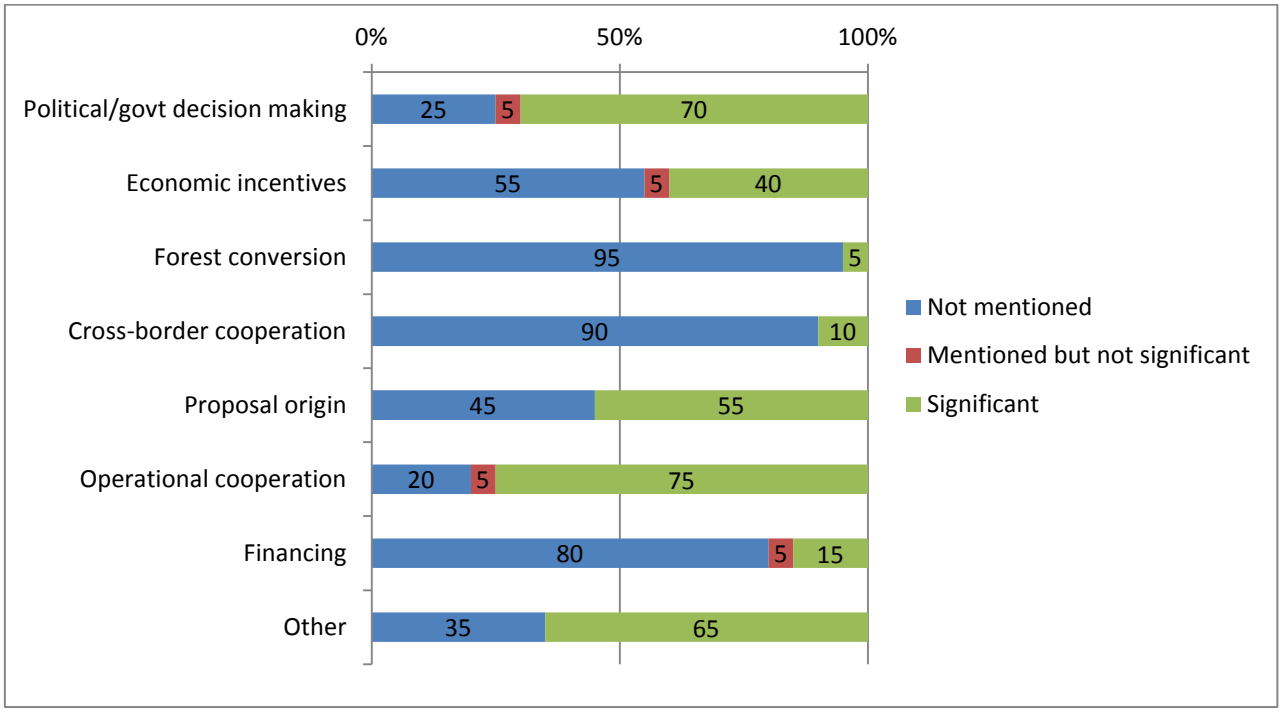
Thirty-one percent of the reviewed projects had no prior risk analysis. Among those which had included it, the most significant risks were weak operational coordination and cooperation, political risk, the origin of the proposal (top-down planning not meeting stakeholder needs) which all can be addressed through firm commitments by the government and the participating agencies to project implementation (Figure 3.9). In demonstration areas the risk is related to the capacity of communities

and landowners and their interest in maintaining environmental services. Their full engagement in project design and implementation and provision of adequate economic incentives (including after the project termination) are critical factors for project success (cf. also section 3.2.3).

Market incentives for converting forests and availability of adequate funding were only rarely identified as a risk on project level. On the other hand, two thirds of the projects had identified a wide range of other sources of risks. These results raise the question of usefulness of a programme level risk analysis in the Programme Document as a general guidance.

Another issue is the quality of risk analysis in project proposals as in many cases it was dealt with rather superficially and effective mitigation measures were often missing. However, there were also a few cases with an in-depth analysis and adequate identification of measures to address risks during project implementation.

Figure 3.9 Risks identified in REDDES projects



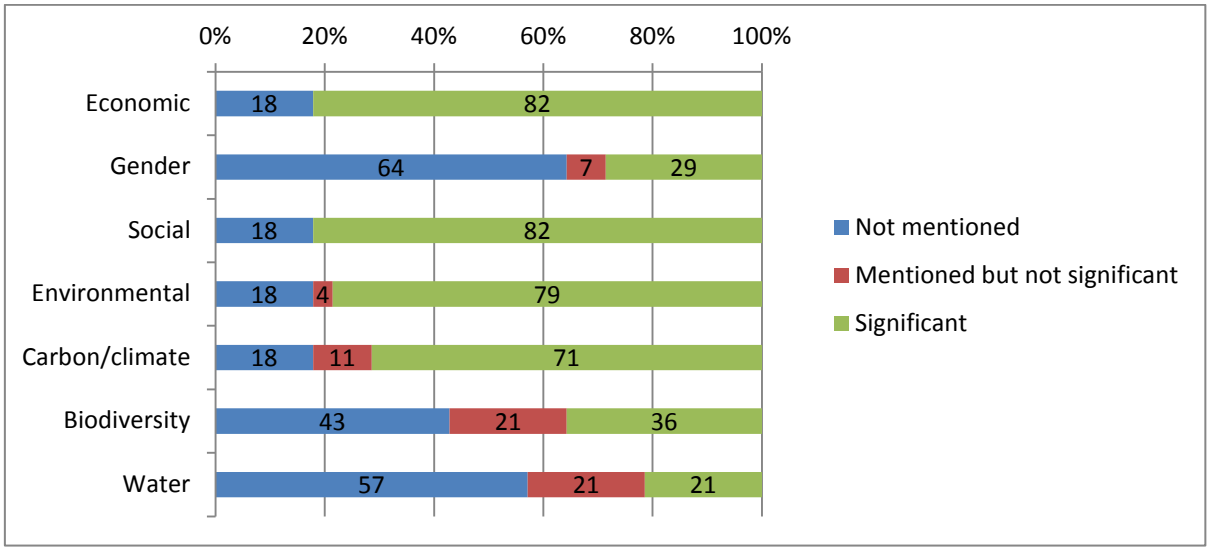
3.1.10 Expected benefits

In about 80 percent of the projects reviewed, expected benefits covered both economic, social and environmental aspects (Figure 3.10). Environmental benefits were in most cases related to forest carbon but biodiversity was also identified in more than half of the projects and water in more than 40 percent (often implicitly). The result illustrates a common approach to address all the three pillars of sustainability in REDDES projects which is in accordance with the programme objectives.

About a third of the cases also identified gender benefits among expected outcomes. An example of projects which focused on gender is RED-PPD 074/12 Rev. 1(F) *Identification of a project on gender mainstreaming in the development of actions to control deforestation and forest degradation to improve the well-being of communities dependent on forests and other ecosystems in Central and West Africa*. It involved participatory stocktaking on the issue of deforestation and forest degradation in four countries of the region. The project was also implemented by a women's organization (REFACOF)[26]. In another nine projects gender aspects were part of efforts targeted at community development.

[26] Réseau des Femmes Africaines pour la Gestion Communautaire des Forêts

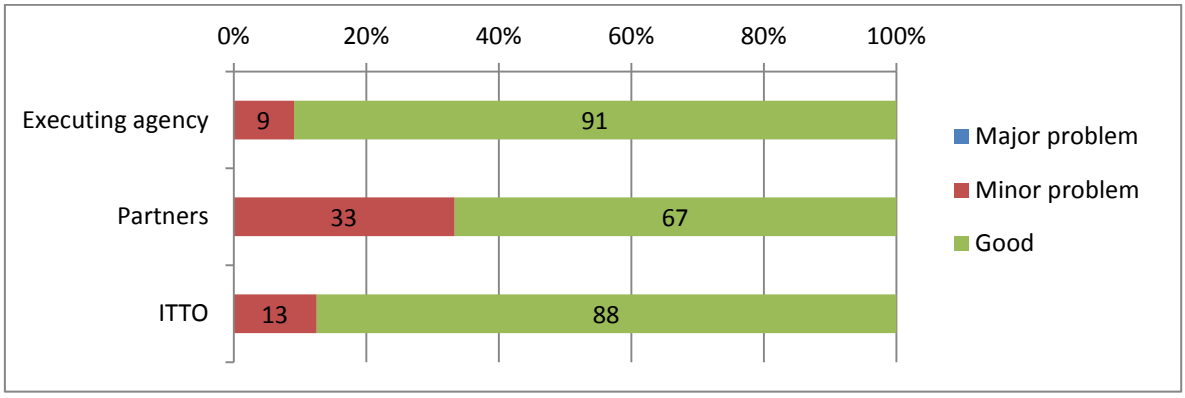
Figure 3.10 Types of expected impacts/benefits of REDDES projects



3.1.11 Performance

Based on the PCRs, the performance of Executing Agencies was considered good in ninety-one percent of the cases as the planned outputs were produced within the allocated resources. Minor problems were reported in the rest (Figure 3.11).

Figure 3.11 Performance in completed REDDES projects

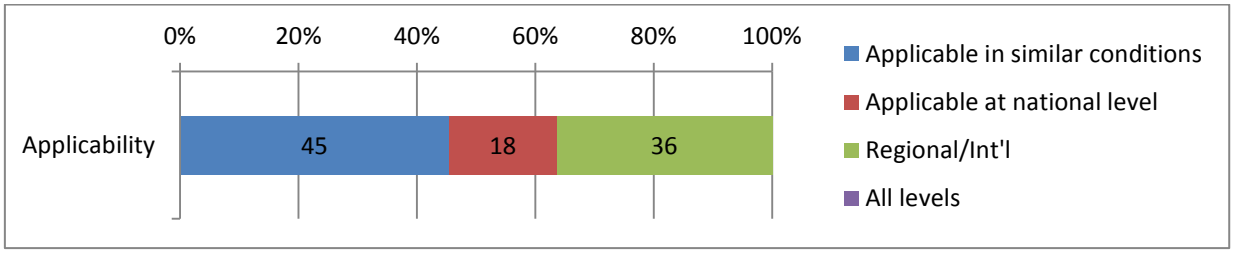


The situation was different with partners as in a third of the cases various minor problems were identified. These were related to e.g., delays in other government agencies' inputs, lack of committed resources from other sources, etc. With regard to ITTO's performance the feedback was good in 88 percent of the cases but in the others minor problems were reported. However, ITTO's participation in PSCs was generally valued as it brought new ideas and cross-breeding of lessons from other countries. The Secretariat's general advice on project implementation was also reported valuable.

3.1.12 Applicability and replicability

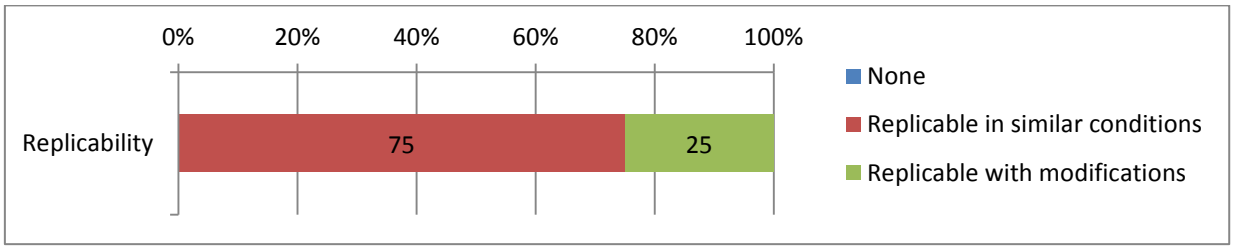
Completed REDDES projects were assessed to be applicable in similar conditions elsewhere in 45 percent of the cases. Almost a fifth of the projects were considered applicable on the national level in the country itself and the remaining 36 percent on a regional and international level (Figure 3.12). [27]

Figure 3.12 Applicability of completed REDDES projects



Three quarters of completed REDDES projects were considered replicable in similar conditions and all the others would be replicable with modifications elsewhere (Figure 3.13).[28] This emphasizes the importance of sharing lessons learned in the programme.

Figure 3.13 Replicability of completed REDDES projects



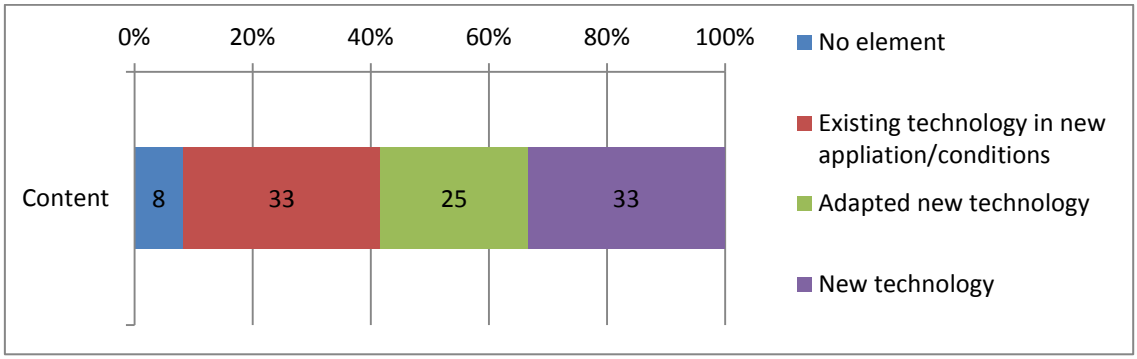
3.1.13 Innovation content

One third of completed REDDES projects involved development and application of new technology and one quarter relied on adapted new technology.[29] Strong innovation content was often related to development payment mechanisms for environmental services and new methods of monitoring of forest resources. In another third of the cases existing technology was applied in new conditions. Only eight percent of projects appeared to have no element of innovation (Figure 3.14).

In general, the strong innovation content in REDDES projects is an important element of the programme's value added.

[27] The figure excludes 15 percent of the projects on which there was not enough information to assess applicability.
[28] The figure excludes 8 percent of the projects on which there was not enough information to assess replicability.
[29] The figure excludes 8 percent of the projects on which there was not enough information to assess innovation content.

Figure 3.14 Innovation content of completed REDDES projects



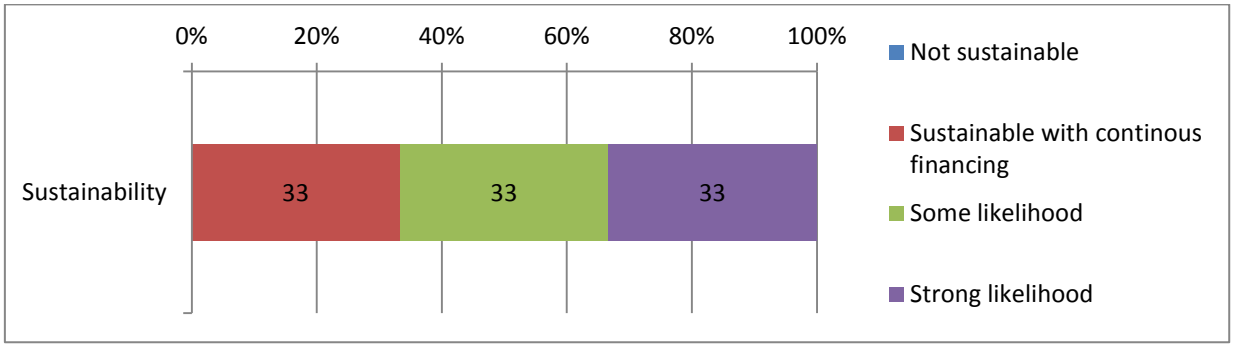
3.1.14 Expected sustainability

Project Completion Reports contained a range of measures for ensuring project sustainability. The following examples are illustrative:

- Formal arrangement to transfer the management of demonstration and other pilot areas to local community.
- Government decisions on future budget and staff allocation to continue with the implementation of project activities.

A third of the projects were assessed to have strong likelihood for sustainability and another third some likelihood. The remaining third was considered sustainable provided that continuous financing through a follow-up project or other means can be ensured (Figure 3.15). [30]

Figure 3.15 Expected sustainability of completed REDDES projects



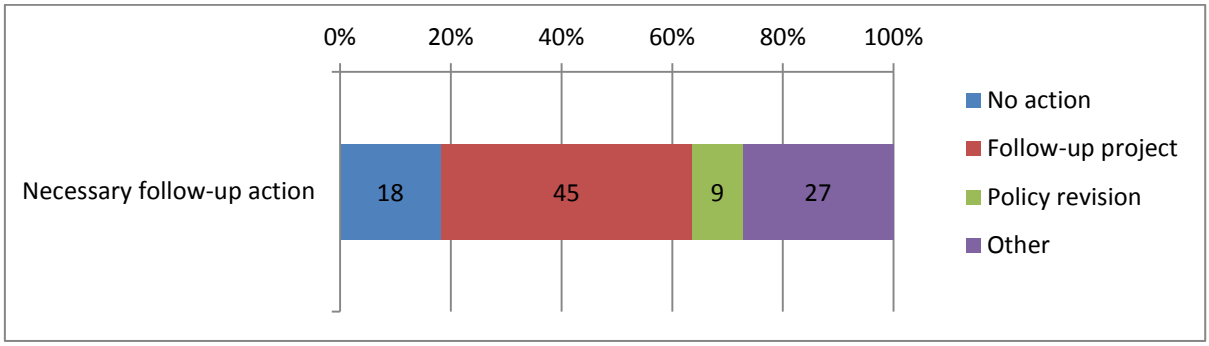
In forty-five percent of the cases a follow-up project was considered necessary (Figure 3.16). In another nine percent policy revision was foreseen to ensure sustainability. A range of other measures was considered necessary in about a quarter of the projects. No follow-up action was foreseen in 18 percent of the cases, these being projects with strong likelihood for sustainability.[31]

The main reasons for follow-up action needs are difficulties to establish effective feedback from field-level pilot projects to implementation of necessary policy reforms in order to mainstream the acquired innovative practices. In addition, policy adjustment to introduce effective PES mechanisms tends to take time extending beyond the project duration. The momentum of the project impacts may be lost in the meantime and therefore some follow-up actions are considered necessary.

[30] The figure excludes 8 percent of the projects on which there was not enough information to assess sustainability.

[31] The figure excludes 15 percent of the projects on which there was not enough information to assess need for follow-up action.

Figure 3.16 Necessary follow-up action of completed REDDES projects



3.1.15 Project achievements within the Monitoring Protocol framework

Figures 2.37-2.45 summarize to what extent the various output indicators are covered by the entire REDDES project portfolio, which overlaps to some extent with the analysis in sections 3.1.1-3.1.14.

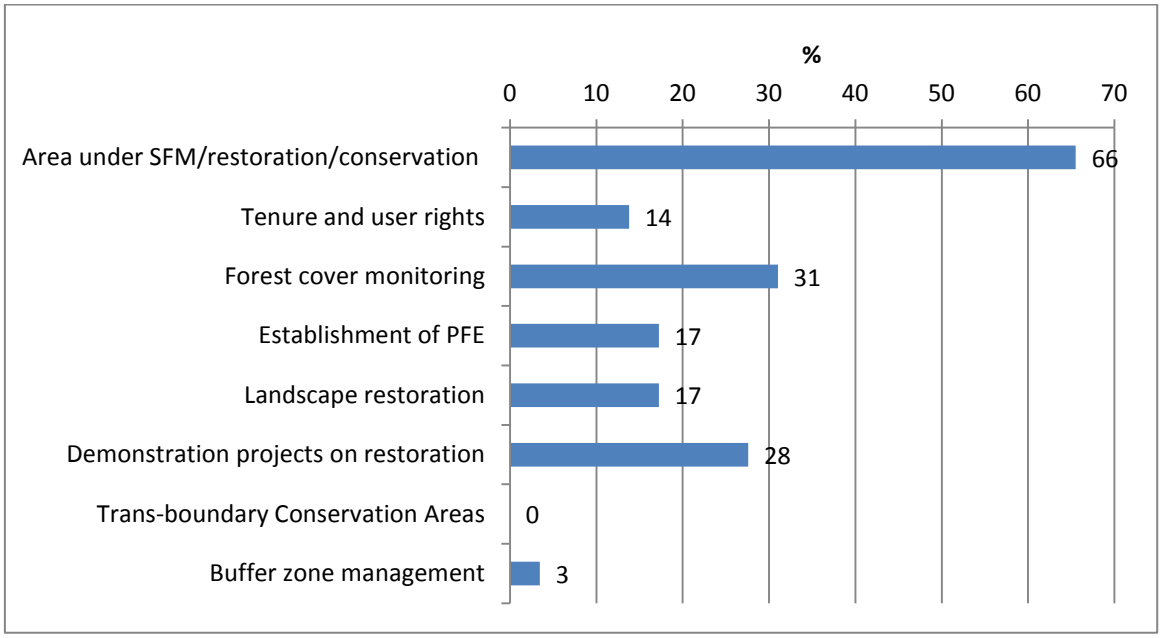
A. Avoided deforestation, restoration or conservation initiatives established to combat deforestation and degradation

Increased area under SFM, restoration and conservation was covered or is under process by two thirds of the REDDES portfolio or 19 projects in 16 countries (Figure 3.17). This is almost three times the MP target value of six countries.

Initiatives on avoided deforestation through delineated land and forest tenure and use rights are included in 14 percent of projects including monitoring of forest cover and land use change (4 projects). Forest cover monitoring was included in 31 percent of the projects. Establishment of permanent forest estate (PFE) and forest landscape restoration were part of 17 percent of projects each, as these activities were often linked with each other. Demonstration areas on restoration were included in 28 percent of the projects and buffer zone management in three percent. There was a gap related to trans-boundary conservation areas as no initiatives were reported for this purpose. There have been a substantial number of Trans-boundary Conservation Area projects under the regular project cycle, which may explain why there have been no specific proposals to REDDES.

The MP target value of six countries, two per region, has been achieved as the programme activities under this output area have been implemented or are in the process in much more countries. However, the MP is unclear on whether all the outputs should be generated in the same six countries. If this is the interpretation, the MP target value is unrealistic as it is unlikely that all the output indicators would be feasible in the same six countries (or any other countries for that matter).

Figure 3.17 Avoided deforestation, restoration and conservation initiatives of REDDES projects



B. Integration of climate change mitigation/adaptation and other environmental services in the ITTO guidelines on C&I, SFM, certification, valuation, as appropriate to manage forest area sustainably

In 2009 *ITTO/IUCN guidelines for the conservation and sustainable use of biodiversity in tropical timber production forests* was published and widely disseminated with some support from REDDES. The document sets out the specific actions that policymakers, forest managers and other stakeholders should take to improve biodiversity conservation in tropical production forests.
Another main achievement under this output was the revision of *the Voluntary Guidelines for Sustainable Management of Natural Tropical Forests,* which was completed in 2014 with partial support from REDDES. Printing is in process (January 2015) and the document will be disseminated from 2015 onwards.

A policy brief on environmental services *Rewarding the service providers* was produced in 2014 based on the results of the international conference on payments for forest environmental services, as a cooperative effort between ITTO and FAO.

In addition, 17 percent of REDDES projects in three countries produced policy documents applicable to specific country conditions.

As a whole, the MP target value of this output area (two guidelines/policy documents reviewed/updated) has been fully achieved and even exceeded.

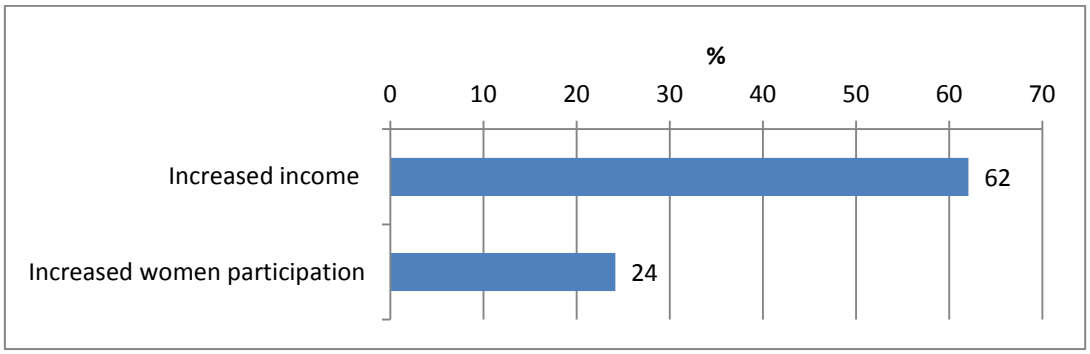
C. Income generation based on forest related environmental services and other forest outputs by local communities

This output area has been targeted by 62 percent of REDDES projects in 10 countries (Figure 3.18). The MP target value was 10% increase in income generation in 30 communities but there is no baseline information available to measure a percentage increase. The available information neither allows reliable estimation of the number of communities but it is apparent that support was provided to more than 30 local communities. The importance of this output in REDDES projects demonstrates the fact that income generation is in most cases a precondition for effective forest conservation (cf. also section 3.2).

Increased women participation in the community forest related was specifically targeted in a quarter of REDDES projects (7 projects). In addition, it can be assumed that support to income generation in

local communities by 17 other projects also benefited women as community members. Section 3.2.3 provides further information on women's participation in REDDES projects.

Figure 3.18 Income generation and women participation in REDDES projects



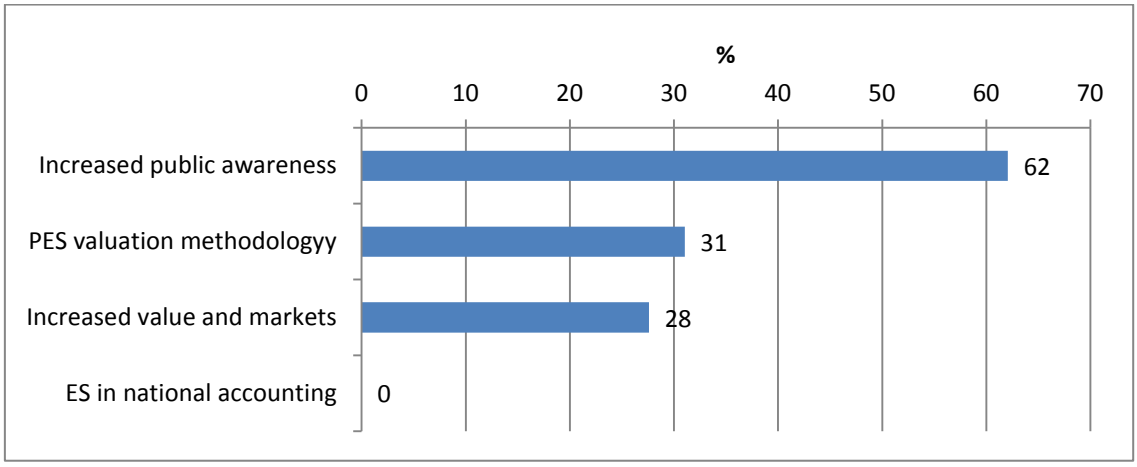
D. Increased recognition of the values of tropical forests and their environmental services

Increased public awareness on the values of tropical forests and their environmental services has been included in 62 percent of REDDES projects in 12 countries (MP target value is two countries) (Figure 3.19). The activities carried out included awareness raising campaigns, workshops and other tools targeted awareness raising on a local community level. However, measurement of the extent of increase is not possible without pre-project and post-project surveys among local populations.

PES valuation methodologies were developed or are in process in 31 percent of the projects in eight countries (MP target value is 1 country).

Identification of forest values and market opportunities were part of 28 percent of the REDDES projects in six countries (MP target value is increased values and opportunities in 2 countries). The MP suggests national accounting reports as the means of verification but such comprehensive reports have not been produced as most of the work carried out was locally based and focused on valuation of selected environmental services and their market opportunities. No project has attempted to integrate environmental services in national accounting on a systematic basis.[32]

Figure 3.19 Increased recognition of the values of tropical forests in REDDES projects

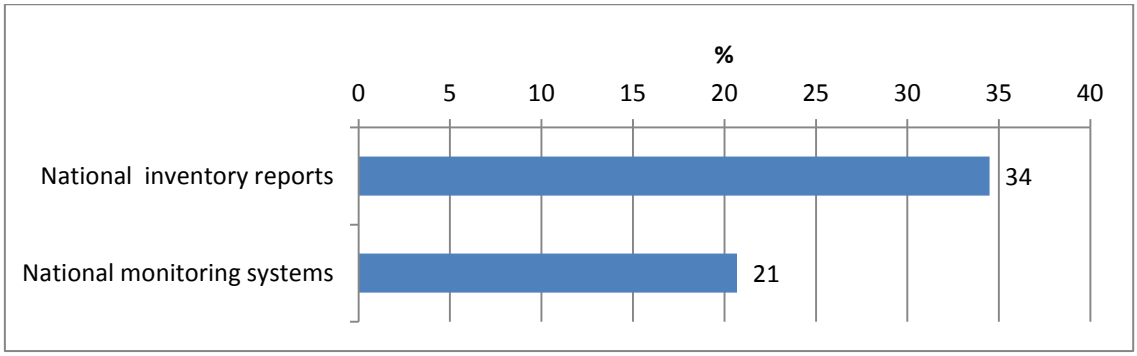


E. Quantification of carbon stocks performed using reliable monitoring and assessment technologies and/or valuation techniques

[32] This work is also under development in several consuming member countries.

Thirty-four percent of projects in nine countries contributed to the elaboration of national forest carbon assessment through production of inventory reports both at national and sub-national levels (Figure 3.20). Development of national monitoring systems was contributed by 21 percent of projects. The project in Brazil (RED-PD 029/09) covered the whole Amazon Basin and benefitted a total of six other countries in the two areas under this output which increases the total number of countries to fifteen. The MP target value was two national inventories which has been surpassed and this demonstrates (among some other outputs) that there was a much stronger demand for support in this area than was realized when the MP was elaborated.

Figure 3.20 Quantification of carbon stocks in REDDES projects



F. Value of biodiversity assessed and surveys conducted on land with potential for biodiversity PES schemes

National and local level studies carried out on assessment of the value of terrestrial biodiversity with potential for biodiversity schemes were part of 38 percent of REDDES projects in 10 countries. Eleven projects produced outputs in this area (MP target value is three studies). The assessments on biodiversity values were in some cases part of broader exercises including other environmental services.

G. Assessments are made in an attempt to 'bundle' environmental services, to maximize forest related revenues

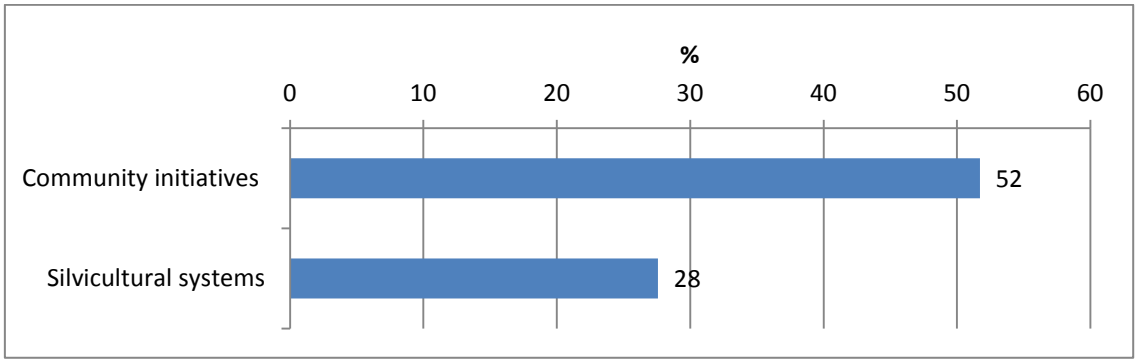
The MP identifies national forest financing strategies as the sole output indicator for this area (MP target value 1 country). Environmental services were developed/assessed in seven percent of the projects in two countries. Bundling was also considered in projects under the output areas (F) and (D) which targeted assessment and establishment of PES schemes. Due to the obvious overlap, this output area may not be necessary in the future to avoid "double counting" if the MP is revised in the future.

H. Community initiatives taken to identify opportunities to increase productive capacity of forests, including by implementing SFM schemes

Community initiatives were taken or are in process to increase the area of community forests protected against fire, pests and diseases in more than half of the REDDES projects (Figure 3.21). In practice, these 15 projects in ten countries tend to be broader than limited to community forests alone which makes it difficult to establish the number of communities involved. The MP target value is 30 communities which can be assumed to be surpassed. The available information does not allow compilation of data on the MP output indicator *increased area* as sometimes it is a question of strengthening the level of protection.

Improved silvicultural systems are reported to be included in 28 percent of the projects in six countries. The MP target value is 3 countries. There is no information available as yet on how widely these systems are used.

Figure 3.21 Community initiatives taken in REDDES projects



I. Capacity building initiatives undertaken to implement policy reforms and/or clarify land/forest tenure arrangement

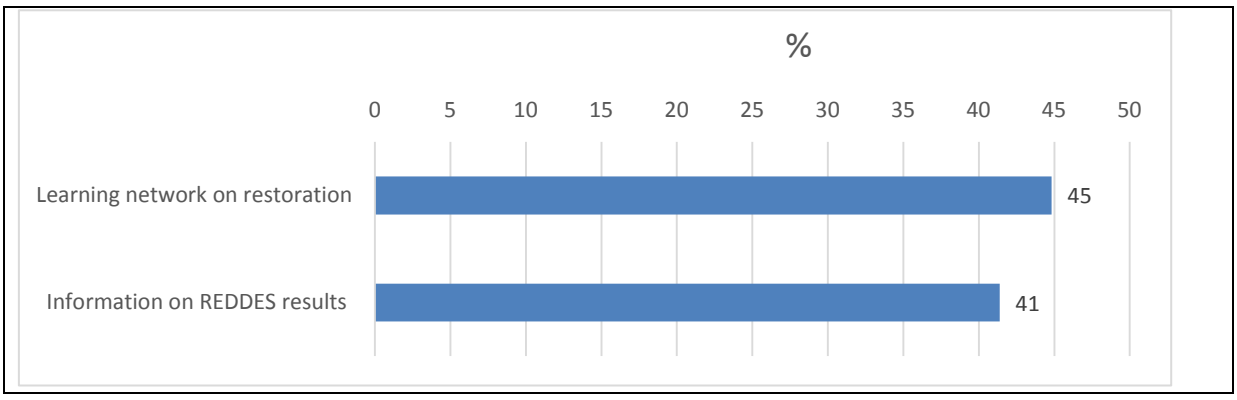
Capacity building activities for policy reforms and clear forest and land tenure arrangements, integrating climate change mitigation/adaptation and other environmental services as expressed in the MP is a little unclear how the link with reforms and mitigation and other services should be linked (apart from carbon rights). In any case, work in this area has been carried out or is in process through different modalities (stakeholder workshops, multi-stakeholder platforms, training courses, etc.) in 21 percent of the REDDES projects in five countries (MP target value is 3 countries). Evidence on to what extent they, together with other necessary efforts (diagnostic studies, national plans, field level piloting, etc.), have led to implementing national policy reforms and clearly established forest and land tenure arrangements is not yet available and should be collected through ex-post evaluations.

J. Information sharing and knowledge management systems operational

The MP calls for establishment of *one global network on forest landscape restoration focusing on benefits of environmental services*. The Global Partnership on Forest Landscape Restoration (GPFRL), of which ITTO is a founding member, has established a learning network involving 546 members. The aim of this platform is to connect Forest and Landscape Restoration practitioners worldwide, to exchange experiences and ideas on how forests, trees and their functions can effectively be restored. Their learning website includes information on six ITTO countries with tropical forest resources.[33] The added value of a new separate network under ITTO can be questioned taking into account of several other recent initiatives targeted landscape restoration. This output indicator would benefit from reformulation and combining with other dissemination activities on the programme level.

On a national level, learning networks on forest restoration are part of 45 percent of REDDES projects in nine countries (Figure 3.22). (On other information sharing efforts see point O below).

Figure 3.22 Information sharing in REDDES projects



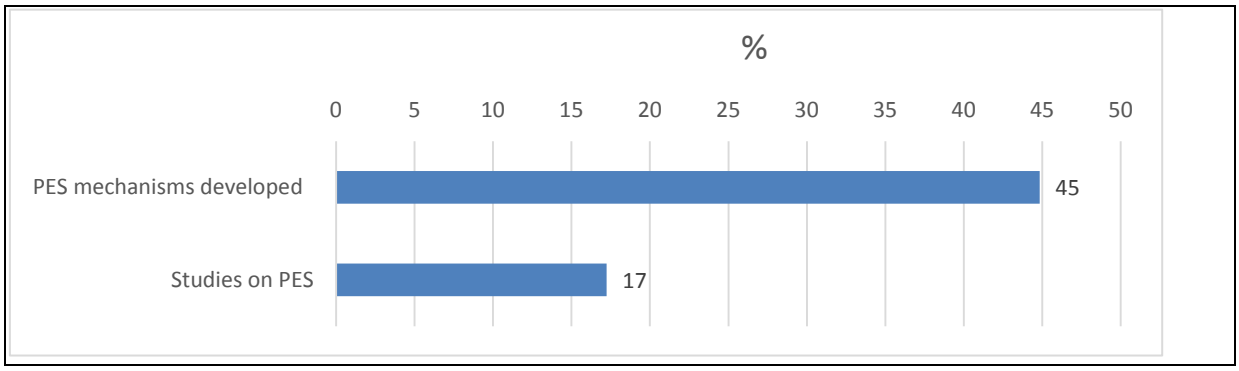
[33] http://forestlandscaperestoration.ning.com/ (consulted October 20, 2014)

K. PES incentive mechanisms assessed and established

Development of PES mechanisms has been part of 45 percent of REDDES projects in eleven countries while the MP target value is 3 countries. This demonstrates stronger demand for support in this area than expected when the MP was elaborated.

Studies on PES mechanisms (the first step towards scheme development) were carried out in 17 percent of REDDES projects in five countries. Some of these studies also covered willingness to pay (WTP) for environmental services but, in view of very limited purchasing power of rural and urban populations in ITTO producing countries, the studies had in general a broader view on the compensation aspects, including opportunity cost assessment, among others. The MP target value was three WTP studies which would be most relevant in ecotourism and recreation projects. (Figure 3.23)

Figure 3.23 PES mechanisms developed in REDDES projects



L. Countries with improved capacity to implement SFM, forest restoration and rehabilitation.

Stakeholder training is covered by 69 percent of REDDES projects in 15 countries. Training outputs are not systematically reported in all PCRs but compilation of the available information reveals that at least 2,900 persons have participated in this kind of training. The MP target values were 300 forestry stakeholders in 3 countries, 100 each, which have been clearly surpassed. However, in view of the wide variety in the size of country and differences in local conditions, it is unhelpful to apply the same target value for trained stakeholders in each country.

The MP also calls for development of national Criteria and Indicators (C&I) for SFM, forest restoration and rehabilitation (3 countries, one per region). There has been no proposal in this area and therefore no results can be reported apart from the work carried out under the regional ITTO/ATO project in Africa.

On the other hand, ITTO's C&I have been used extensively as a reference document in REDDES projects in many countries. As the organization is likely to launch a new revision of its C&I in the near future, it would be advisable for producing member countries to embark on this output after the process has been completed to ensure full compatibility ITTO's and national C&I sets.

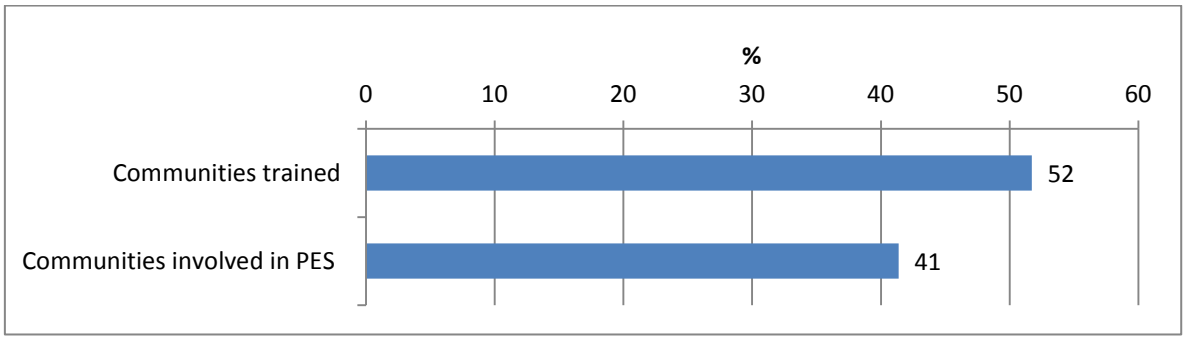
M. Demonstration areas established

Demonstration areas were established or are in the process in 59 percent of REDDES projects in 11 countries. Their size varies from a few hectares up to a couple of hundred hectares. The MP target value was three demonstration projects. However, in practice demonstration areas were established by projects with a broader set of objectives (capacity building, community-level pilot schemes for PES systems, etc.) and none of the projects referred to above was only about establishment of demonstration areas (cf. also section 3.2.7 on lessons learned on demonstration areas).

N. Operational practices for community involvement in development of environmental services

Communities were trained and assisted in development and implementation of PES mechanisms in 52 percent of the projects in ten countries (Figure 3.24). These activities were carried out also in projects that supported community-level initiatives to identify opportunities for increased productive capacity of forests (see above output A). In this case the MP target value was communities in 3 countries trained.

Figure 3.24 Community involvement in PES development



Communities were directly involved in the development of PES mechanisms in 41 percent of REDDES projects in nine countries (MP target value 3 countries). In most cases communities were the main project beneficiary with specific obligations related to the maintenance of forest cover and carrying out restoration, reforestation and other conservation activities as part of PES schemes.

O. Stakeholder consultations/dialogues undertaken for awareness raising and to encourage cooperation among interested parties

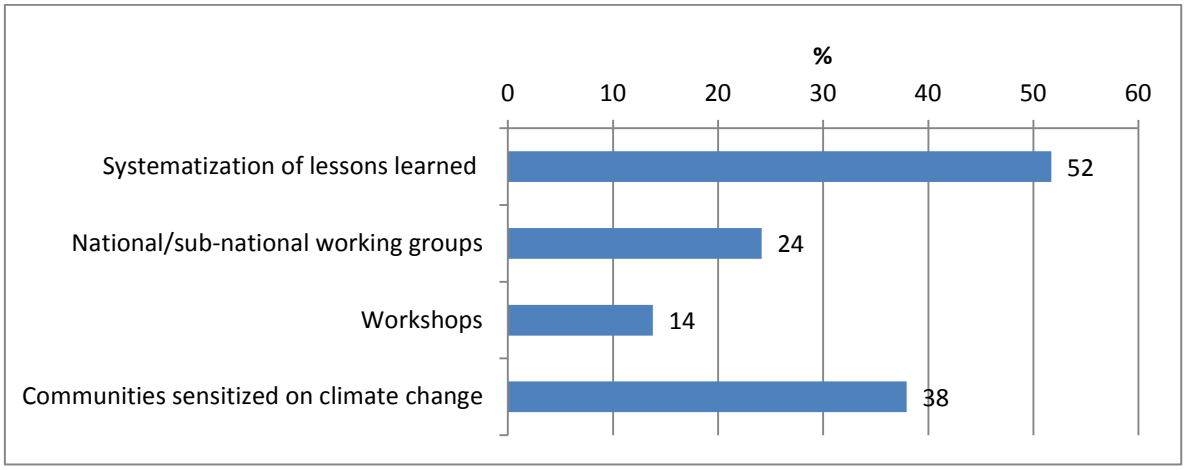
The MP identifies multi-stakeholder partnerships in 30 communities as means of verification of participatory systematization of lessons learned which is the first output indicator in this area. Lacking clear interpretation of the indicator, stakeholder consultations and dialogues were used as the indicator in this context. These activities were part of activities (or are in process) in 52 percent of projects in ten countries (Figure 3.25). The MP target value was 30 communities but it is difficult to relate these consultations and dialogues to only communities as systematization is normally carried out on project or national level to be disseminated to all stakeholders within the country. This was also the case in the completed REDDES projects.

Sub-national and national working groups with stakeholder participation (the second MP output) are elements in 24 percent of REDDES projects in 12 countries[34] while the MP target value is three countries. Furthermore, in a number of cases several thematic working groups were established in the same project. These were often important during the diagnostic phase and were also instrumental in improving project implementation and enhancing cooperation.

The MP also called for sensitization of forest dependent communities on adaptation options to climate change in three countries. The review reveals that 38 percent of the projects had activities targeted sensitization of forest communities on climate change. This kind of specific activity on adaptation has not been carried in any of the REDDES projects so far (and its specific value can be questioned). In practice, both mitigation and adaptation of climate change were covered in various REDDES workshops and seminars. The issue of adaptation needs to be reconsidered in the MP to make it more appropriate for monitoring of progress in this area that is important for practical implementation of SFM.

[34] Including the countries participated in the regional Amazon Basin project.

Figure 3.25 Stakeholder consultations/dialogues undertaken in REDDES projects



P. Information sharing mechanisms in place

Information on REDDES results are available on the ITTO thematic programme website and through its *Project search* facility, all the documentation on completed and on-going REDDES projects can be easily accessed. The website also includes other REDDES related documentation including the following technical reports:

- *Governing the forests: an institutional analysis of REDD+ and community forest management in Asia* (UNU/ITTO) (2013)
- *Working together to get forest measurement right: a solution for REDD+* (2012)
- *Trans-boundary conservation and peace-building: Lessons from forest biodiversity conservation projects* (UNU/ITTO) (2011)
- *Tropical forest tenure assessment* (RRA/ITTO) (2010)
- *National forest landscape restoration guidelines*[35]
- *Technical guidance for the quantification of carbon benefits of ITTO projects* (2013)

Several articles have been published in Tropical Forest Update issues on the topics of REDDES programme including

- *18/3 Climate Changing for Tropical Forest*
- *23/1 Paying our Dues – special issue on payment for environmental services*
- *23/3 Life after 50*

An international seminar was organized in 2014 on PES and a policy brief has been prepared on its results for wide dissemination (available through the ITTO website). The proceedings were under preparation in writing of this report.

3.1.16 Conclusions

The REDDES Thematic Programme has significantly contributed to progress towards all its specific objectives which appear relevant to country conditions. It is noted that these objectives are general by nature and could be rather understood as programme goals or general objectives.

In particular, support to communities and payments for environmental services have been well covered. The review shows that most of the relevant outputs identified in the Monitoring Protocol are well covered by the REDDES portfolio.

In the case of REDD+ related activities, the complementary role of REDDES support should be crafted with an overall national action plan (Readiness Plan) as was e.g. the case in DRC. Alternatively, in

[35] Developed under 2008-09 Biennial Work Program activity PPA43/225

countries which have not yet embarked on REDD+ preparation, REDDES can support elaboration of such a plan to build up a coherent series of actions for capacity building as has happened in Guatemala to kick-start the process and leverage financial support from other sources[36] (cf. section 4.2).

The review of the technical papers produced by the REDDES projects revealed that the quality was from satisfactory to good, but there are also several high-quality products (e.g., technical inputs to MRV techniques, forest inventory and valuation reports, peer reviewed scientific papers). However, there were also some weaker outputs (lacking clarity on the methodology, descriptive with limited analytical content). The quality depends on supervision and guidance from the project staff and the competence of consultants. External assistance could have been drawn on when adequate local competence was not available.

The Project Completion Reports proved that stakeholder consultation was included almost in all the projects with the exception of those that were purely technical by nature. Stakeholders have been involved in project implementation through a variety of modalities, which suggests that in many cases participation can be considered adequate. However, the available information does not allow assessment of the adequacy of consultations. Due to the critical nature of stakeholder participation for success of REDDES projects, it will be necessary to closely monitor this aspect and include it in future ex-post evaluations to learn more from experience.

The logical framework of the Programme Document has apparently largely provided a relevant framework for project work, but updating it could be desirable in view of recent developments in the UNFCCC negotiations and other international initiatives (e.g., GPFLR). There is even more need for revising the Monitoring Protocol to make it more applicable for setting targets and measuring progress.

In many indicators the MP target values have already been surpassed. There are also some gaps, which is explained by the lack of project proposals in these areas. Strategically these are not, however, significant as most of them are covered elsewhere in the MP. In addition, it should be borne in mind that not all the REDDES outputs and activities as defined in the Programme Document and the Monitoring Protocol are applicable in all the producing member countries. There is also scope for reducing the number of indicators and eliminate unnecessary overlap.

There are two strategic issues which would merit rethinking in REDDES, not only with regard to the MP, but also how they should be addressed in the overall programme strategy, i.e. adaptation and landscape restoration. It is also clear that in some cases proactive measures are needed to fill some other gaps (e.g., the development of national C&I for SFM implementation, including restoration and rehabilitation), which should be considered after the forthcoming revision of the ITTO C&I.

Forest restoration and rehabilitation are identified in the programme as tools for contributing to economic sustainability, which may not be optimal as the economic benefits tend to be reaped only in the long run, not during short project periods. There could also be a case to apply broader landscape approaches in REDDES in which restoration and rehabilitation could be part.

In the case of social and economic sustainability, payment for environmental services is a valid tool. However, there should be also a mention about productive activities in this context as demonstrated by several REDDES projects.

By and large, the MP of REDDES is too detailed and several elements are overlapping which significantly reduces its usefulness for guiding project proposal preparation and monitoring of progress on the programme level. In addition, some of the MP indicators need consolidation and simplification to make them more measurable.

3.2 Lessons learned from REDDES

The completed REDDES projects and activities are diverse covering a broad range of interventions both at international, regional, national and local levels. This synthesis is based on the project completion reports and other documentation of REDDES projects listed in Annex 2.

[36] RED-PPD 041/11 Rev.2 (F)

One of the main lessons learned is that SFM is an important option to reduce emissions from deforestation and forest degradation provided that a set of preconditions are met related to availability of information, institutional support and provision of incentives. There is a close relationship between conservation and development; i.e. realizing sustained biodiversity conservation requires sustained community development, particularly in terms of economic benefits.

Project strategies could benefit from three parallel interventions, i.e. strengthening the institutional and community capacity, conservation and restoration of tropical forests for REDD+ and other environmental services, and improvement of local livelihoods.

3.2.1 Payment for environmental services

One third of the REDDES projects have had objectives related to developing and implementing payment systems for environmental services from tropical forests (cf. section 3.1.15). These projects provide a range of valuable lessons learned for the design of future projects in this area. In general, the conclusions and recommendations of the ITTO/FAO International Forum on Payments for Environmental Services of Tropical Forests held in San José, Costa Rica on 7-10 April 2014[37] remain valid in the light of project lessons. There is, however, still a long way to go before compensating tropical forest dwellers, owners and managers for the environmental services that their forests provide can fully enhance livelihoods and improve the quality of management.

One of the key questions is creating recognized demand for environmental services which still remains critical, as the capacity and willingness of beneficiaries to pay in most tropical countries remains limited or non-existent. Creating awareness among beneficiaries is the first necessary step towards developing compensation schemes but it is not sufficient. At the same time, community members need to understand the conservation concept and benefits they gain from it.

The accumulated experience shows that the government has to provide the necessary institutional framework for most PES systems and often act as an intermediary to make actual compensation schemes work in practice (Box 3.1).

3.2.2 Advancing REDD+ implementation through REDDES

In spite of the absence of regulatory international payment schemes for climate change mitigation, there is a considerable interest among ITTO producing member countries in building up capacity for REDD+ readiness. REDDES projects have contributed to piloting and demonstrating field-level implementation, improved the information base on forest resources and built up capacity among all stakeholders in REDD+ implementation in practice.

[37] ITTO/FAO. 2014. Rewarding the service providers. A policy brief. Compensating tropical forest dwellers, owners and managers for the environmental services their forests provide will enhance livelihoods and improve management.

Box 3.1 PES scheme for natural production forests – example in China

The objectives of the PES scheme were to prevent the conversion of natural production forests to planted crop trees and to improve the quality of natural production forests through their sustainable management. The scheme was targeted at degraded and secondary production forests. The buyer of the environmental services was the local government and the sellers were the owners of natural production forests, i.e., individuals (villagers) and collective organizations (villager groups, village communities).

A standard annual compensation rate was applied (RMB 300/ha in 2012). A benefit sharing rule was established, i.e. 70% was to be paid to individuals (villagers) and 30% to the villager group if it was forest owner. In forests owned by private individuals the whole amount was paid to her/him. The share of the village group was used for financing of regional economic development and improvement of the quality of natural production forests. Payments were subject to no change in ownership and no reduction in the forest area and the quality of natural production forest

The planning of the scheme relied on a review of the PES practices in non-commercial forests in China. Extensive stakeholder consultations were carried out. Full understanding on the villagers' perspective to the scheme was and will continue to be necessary to ensure their participation also during implementation.

The compensation rate was established based on opportunity cost analysis. Therefore the rate needs to be adjusted locally when applying the scheme broadly in the country.

Source: RED-SPD 020/09 Rev 1(F) Project Completion Report

Tropical conservation and protection forests have a huge carbon stock that could be the basis for carbon credits. A demonstration project in Indonesia showed that a simple carbon trade mechanism practiced by a local community to plant trees on degraded land could reduce carbon emissions from forests and provide a direct economic incentive while maintaining a level of long-term sustainable timber and non-timber production (Box 3.2).

Only few projects have carried out cost-benefit estimation but the evidence suggests that payment-based incentives will work only if the additional time, labor and monetary costs, as well as the cost of forgone benefits do not significantly exceed payments. If payments are based purely on carbon increment rates and on the international market of carbon value, they would unlikely offset the increased cost burden to communities.

3.2.3 Stakeholder participation

All the REDDES projects emphasize the importance of stakeholder participation in the development of PES schemes. This has been frequently organized through workshops, consultative meetings, and dissemination of information through a variety of means.

Awareness raising and information on benefits arising from improved practices in the community is necessary for which a cadre of local trainers and extension workers is required. In order to deploy these agents to communities, a promotional information campaign may first be required through meetings with community groups to allow direct dialogue with farmers, community leaders, women's groups, and youth. The target is to make the local population to fully understand how their environment-based livelihood activities depend on forests, be they protected or sustainably used.

Awareness has usually been successfully created but it can lead to excessive expectations on future benefits. If there is not adequate follow-up action to put in place compensation schemes, the momentum can be lost and there is a risk of frustration among targeted communities. Managing expectations is therefore important to make it clear that the process from awareness raising to scheme design and implementation is usually time-consuming taking a number of steps.

Box 3.2 Advancing REDD+ implementation in community forests in Indonesia

The best practices in advancing REDD+ implementation include (a) generating and providing necessary information, (b) creating awareness among all stakeholders, (c) preparation of a national strategy for enhancing and conserving forest carbon stocks through SFM, (d) proper planning with baseline data, (d) establishment of institutional structures, (e) demonstration and dissemination, (f) regular monitoring and evaluation, and (g) supporting communities' own ability to organize and manage their forests by addressing the livelihood concerns of the poor and socially marginalized

A behavioral change can be brought about among the local people and their forestry practices such as more cautious harvesting of forest products and active participation in controlling forest fire or plantation

Seed grants have significantly increased local awareness about the value of forests. The incentive from REDD+ payments for carbon has been seen as a bonus over and above the many other forest goods and services people gain from the forests. Financial incentives for increasing the stock of standing timber can result in improved forest management and conservation. However, in order to comply with REDD+ requirements, communities have to maintain bank accounts, keep records, organize and attend regular meetings, and monitor impacts which altogether can imply considerable costs

A further key lesson of the demonstration project was the need to have appropriate social safeguards in place. Maintaining social inclusion (ethnicity, gender and well-being) in benefit sharing is crucial for bringing a positive behavioral change in local communities and enhancement of their sense of ownership and commitment to the programme

The project promoted effective participation of underprivileged communities, but strong inclusive stakeholder engagement is a major challenge for national REDD+ initiatives to succeed given the conflicting interests of various stakeholders and the social traditions that militate against the inclusion of the poor and underprivileged.

Source: RED-SPD 009/09 Rev.2 (F) Project Completion Report

A common understanding on the sustainable management of permanent forest estate is necessary. This requires transparency and reconciliation of different priorities and trade-offs between management objectives to be achieved through a step-wise process, building on increasing understanding on the consequences of development options. In spite of a consultative process involving all the stakeholder groups, this may not be achieved during the typically fairly short project duration.

There are good chances for adoption of sustainable practices in resource use if the direct beneficiaries of environmental services are members of the same community and it can be demonstrated that the benefits of forest conservation, even though non-monetary, are important for the families.

Measures to engage indigenous peoples in stakeholder dialogues on REDDES issues are necessary. ITTO's projects can facilitate starting the dialogue between indigenous groups and government agencies. This can lead to a continuous balanced relationship departing from the traditional top-down approach in the public sector's dealing with indigenous peoples.

The role of women in stakeholder consultations is essential and adequate measures should be taken to ensure their effective participation. Women are faced with specific problems in community development based on forests and environmental conservation but there are also several opportunities for enhancing their contributions to these objectives (Box 3.3).

Box 3.3 Challenges facing women in reduction of deforestation and forest degradation – Example of West and Central Africa

Based on data from spatial planning documents, village-level data and field information a multilayer mapping was developed. The criteria for the three main zoning categories are as follows:

1) Core conservation area criteria
   - National park and designated reserve areas
2) Buffer Zone criteria
   - Villages directly connected to the national park
   - Intact land cover
   - Water infiltration areas
   - Disaster prone areas
   - Protected areas defined in spatial planning
3) Transition area criteria
   - Second level villages (impact area beyond directly connected village)
   - Rural residential area outside the buffer zone
   - Disaster prone areas outside the buffer zone

Source: TFLET PD 019/10 Project Completion Report

3.2.4 Poverty and food security

The experience shows that if income generation among community members can be combined with the objectives of reduction of deforestation and degradation, and maintenance of environmental services, this improves prospects for sustainability. The implemented projects demonstrate that there are many sources of income which can be tapped depending on local conditions such as collection, processing and marketing of non-wood forest products, fuelwood production, small-scale logging and timber processing, etc.

It has proved necessary to consider all sources of livelihoods when targeting poverty reduction, food security and income generation in local communities as these are often their most pressing priorities. Forests cannot be considered in isolation from other land uses and therefore, need and potential for crop production and animal husbandry have to be addressed within the limitations of available land.

3.2.5 Resource assessment

Stakeholder participation is also important in national level resource assessments to ensure a necessary holistic view from the very start of policy development process. The Guyana experience showed that a joint approach of national resource assessment and community level involvement can be highly useful for improving the accuracy and validity of the resource valuation process.

Forests under community and concession management should be considered separately because their utilization pressures are different. In addition to communities, the targeted industry stakeholders should be included in the participatory process.

Large areas are needed in resource assessment to generate nationally applicable results due to the diversity of natural tropical forests and their dynamics impacting not only production potential but also ecosystem services. Identification of priority areas to focus assessment has proved to be useful.

Valuation of resources by state and community actors should be understood as a continuous iterative process due to on-going changes in tropical forests. The valuation model developed in Guyana has significant potential for scaling up (Box 3.4). The generic model of forest area assessment could be extended to other countries by adjusting input parameters for each individual case, as appropriate. The training manuals developed by the project would allow the use of the model in other conditions and could be scaled up as desired. The model is applicable for any size and type of tropical forest area and its results can be demonstrated for all stakeholder groups among ITTO producing member countries.

Box 3.4 Key features of the tropical forest valuation model in Guyana

The country's area was subdivided into 10,000 grids of 4km x 4km (1,600ha). The grid size may be varied in future as more detailed information becomes available. A data base was established with the following data on each grid:

- spatial characteristics (forest area by type, non-forest area, distance along existing and proposed roads, rivers, existing road density, closest exit points, area of concessions within each grid (small and large separately);
- physical characteristics (average distance from exit points to users, required road density, feeder road density, length of arterial and feeder roads and skidder trails to construct, number of bridges to construct, combination of transport modes, average unit harvest volume); and
- financial indicators (unit costs for construction of roads, bridges, and log yards, production costs by type of activity, weighted average log price, unit net stumpage revenue),
- A spatial data model was developed to calculate transportation and vegetation type spatial variables for each grid unit as input to the forestry model. Key spatial layers used in the model included terrain data, vegetation, roads, rivers, location of state forests, sawmills and proposed road infrastructure. Spatial model allowed for creating locational relationships between land tenure, infrastructure, and physical components.

In the physical characteristics model the average unit harvest volume was estimated based on the data on concession level inventories by vegetation class and species group.

A cost-net revenue model was developed based on the financial indicators combined with the spatial and physical characteristics of each grid. The results were calculated for each grid as net stumpage revenue reported also as maps indicating grids/zones with positive and negative net revenues.
The model allowed elaboration of valuation estimates for each grid and any combination corresponding to desired sub-regions.

The model grid size and choice of data input variables are flexible and therefore adaptable to any local conditions.

Source: Guyana Forestry Commission. 2010. REDDES Monitoring – Guyana's National Forest Estate Model. ITTO RED-PD 005-09 Rev. 2(F)

3.2.6 Implementing the landscape approach – zoning

With the increasing recognition of the importance of a landscape approach, REDDES efforts frequently need to consider broader geographic units than a community or a forest management unit. An adequate framework zoning is usually necessary for which a set of criteria is needed. Zoning should go beyond traditional land-use classifications, particularly in the vicinity of protected areas. For each category of forest and non-forest land, management objectives and guidelines are needed to achieve SFM and maintenance of environmental services. An example of such categories is given in Box 3.5 based on Indonesian example covering a biosphere reserve.

As frequently large areas need to be covered by conservation efforts, pilot projects can be useful to test development models for wider application. Development activities can cover a broad range including NTFPs, ecotourism, crafts, renewable energy, organic farming, etc.

Box 3.5 Example of forest and non-forest land categories for zoning in Indonesia

Based on data from spatial planning documents, village-level data and field information a multilayer mapping was developed. The criteria for the three main zoning categories are as follows:

1. Core conservation area criteria
   - National park and designated reserve areas
2. Buffer-zone criteria
   - Villages directly connected to the national park
   - Intact land cover
   - Water infiltration areas
   - Disaster prone areas
   - Protected areas defined in spatial planning
3. Transition area criteria
   - Second level villages (impact area beyond directly connected villages)
   - Rural residential areas outside the buffer zone
   - Disaster-prone areas outside the buffer zone

Source: TFLET PD 019/10 Project Completion Report

3.2.7 Value of demonstration

Out of the total of 29 REDDES projects reviewed, fourteen contained an element of field level demonstration for disseminating successful practices. Demonstration is particularly important for adoption of improved rehabilitation/restoration technology. Demonstration plots should be large enough (several dozens of hectares) to represent different characteristics/physical conditions in order to achieve the desired impact.

The underlying theory of change on demonstration is correct, as the ultimate target groups for implementation of improved practices are forest communities, managers and landowners. However, establishing good examples in selected locations is not enough and therefore all such projects should include a strategy for how the demonstration sites established will be used for sharing lessons learned. Without necessary follow-up action to share experience, the investment in demonstration sites risks to remain a shot in the air.

There should be validation of the improved practices and provision of resources for bringing selected target groups to see in their own eyes how improved management is implemented in practice. Sometimes it is also important to demonstrate failures to avoid the same mistakes being repeated elsewhere.

The objectives of community level demonstration projects can include carbon sequestration, improvement of livelihoods and strengthening of institutional and technical capacity. It is apparent that generation of socio-economic benefits is crucial for achieving sustainable impacts on climate change mitigation and cannot therefore be considered secondary outcomes. The experience suggests that awareness raising among local forest communities can make members interested in implementing REDD+, if they can continue to use forest to meet their own needs.

Sustainability of demonstration areas on restoration and rehabilitation requires special attention. Their full value for sharing experience usually is materialized beyond the duration of short-term projects of up to two to three years. Therefore, it is crucial that project partners and other stakeholders are fully committed to ensure the maintenance of demonstration areas. (INO 009) A specific organizational arrangement with clearly defined responsibilities may be required to undertake necessary post-project activities to ensure maintenance of demonstration areas, and access to them by interested parties.

3.2.8 Private sector participation

When lands managed by private companies contain significant degraded areas, it is relatively easy to engage them in restoration projects when practical results can be demonstrated with appropriate technologies. Their interest of the private sector is driven by the desire to show that the company is contributing to environmental conservation and long-term sustainable production of timber.

Considerably larger areas can be covered by private sector restoration efforts than in community-level projects. Parallel activities by the two parties can be successful but technology has to be adapted to their needs and possibilities. For instance, agroforestry is often appropriate for community managed areas while large-scale replanting for restoration can be feasible for private enterprises.

3.2.9 Governance

Improved governance and law enforcement is particularly needed in the vicinity of protected and other designated forest areas to prevent encroachment, illegal logging and poaching. At the same time community members need to understand the conservation concept and benefits they gain from it. If local people value the conservation outcomes supported by law enforcement, they will assist in avoiding law violations and cooperating with local enforcement agencies to prevent or uncover violations.

3.2.10 Training

Most REDDES projects include significant training components. A broad range of training materials and packages has been produced tailored to local conditions and specific target groups in different

languages. All the stakeholder groups have been covered by training which is usually designed based on needs assessment.

REDD+ initiatives in some producing member countries (e.g., DRC) have created a large unsatisfied demand among all stakeholders in participating for training in readiness activities (including MRV). This is particularly the case among local communities that will be granted forest conservation concessions and are therefore waiting for receiving payments that they can verify themselves. In such cases forest communities should receive training for measurement of carbon stocks to motivate their conservation efforts.

Technical training of forest inventory teams is not useful if there is no certainty about the availability of funding to immediately apply the acquired knowledge. This is particularly the case when several donors have shared a larger programme such as support to a national forest inventory and one of them fails to mobilize funding for the part they were committed to.

3.2.11 Dissemination of results

Almost all the REDDES projects include provisions for dissemination of the results as required by the ITTO Project Formulation Manual. Typical activities are organization of a project completion workshop, production and distribution of leaflets, establishment of a project website for posting of newsletters, production of technical guidelines and reports, posters, video presentations and other material. However, these measures may not be sufficient to fully capitalize the project's investment in public goods with potential for knowledge sharing both in-country, regionally and internationally. A more systematic dissemination approach would individually address all the relevant target groups and respective measures for their active engagement in applying improved practices.

Some projects with research components have also produced scientific reports or articles published in peer reviewed magazines. This practice should be included in all projects with significant research components to capitalize ITTO's investment in generation of such pubic goods.

The results of projects that are broadly applicable and replicable or experimenting successful innovations should be validated and effectively brought up to the attention of decision makers (cf. sections 3.1.12 and 3.1.13). In the present project practice ITTO's main instruments for this purpose are ex-post evaluation of completed projects and sharing experiences in international or regional workshops. Both have important potential role for validating and sharing the knowledge but they are not sufficient to make full use of the investment made.[38]

3.2.12 Mainstreaming the results through policy development

Several completed REDDES projects have targeted policy development and improved implementation, or have potential for this. Mainstreaming the lessons learned needs effective feedback from field-level experience to policy development, which is often lacking in project designs. Examples of relevant instruments that could be used include revision of the national or sub-national regulation (e.g. in case of strengthening forest tenure, legal compliance, community rights), adjustment of the administrative framework, provision of incentives, establishment of compensation schemes for environmental services, etc.

Often such policy changes need national level action by the administration but in some cases, particularly in larger countries, decisions can also be made on subnational or local level. In any case the adjustment process tends to be time-consuming as different interests need to be reconciled and the necessary political has to be created. This tends to be beyond the scope of individual, often relatively small projects which are typical in ITTO's support.[39] Therefore, specific measures should be included in the project work plan for this purpose in order to leverage impacts through policy development and harnessing synergies with other initiatives in the country targeted at similar objectives (e.g., REDD+, landscape restoration).

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[38] Fullan & Tomaselli (ibid); ITTO (2012a)

[39] It needs to be however noted that sometimes even a small successful project can lead to rapid action with significant positive impacts on a national level (ITTO. 2012a)

3.2.13 Ensuring sustainability

The involvement of relevant parties and committed project personnel are critical factors during project implementation for building up the basis for sustainability. Measures to ensure post-project action should be explicitly identified in the project proposals and implemented before completion.

Achieving effective awareness on the conservation and restoration among all relevant stakeholders is also necessary. This can be achieved by careful selection of project participants (communities, private enterprises and their representatives), involvement of the relevant institutions, and proper identification of demonstration sites, in view of local conditions and access.

3.2.14 Project management and organization

About a third of the projects reviewed were implemented by government agencies and another 28 percent by knowledge institutions (universities and research agencies) (cf. section 2.2.7). This has often allowed more holistic approaches than would have been the case in individual field level interventions implemented by other stakeholders.

In projects with multiple stakeholder groups involved in coordination and implementation, it is critical to clearly establish roles and responsibilities for each group to avoid confusion and inefficiency. In the Guyana resource assessment project the lead role of the forest administration in project implementation was made clear from the outset similarly to communities' role in implementation of SFM on the ground.

In spite of earlier identification of partners' interest and achieving their commitment in the project during the planning phase, it can happen that they do not actually participate in the implementation. This can seriously limit the use of their knowledge, experience and logistical support on which the project's success may decisively depend. Partnership arrangements should be clarified and, if necessary, formalized latest ideally during the project planning but at the latest in the inception phase.

If REDDES projects are executed by non-governmental organizations, it is important to ensure effective participation of government agencies to ensure take-up of the project results. This is particularly problematic in projects addressing governance issues.

External Executing Agencies that do not have permanent presence in the host country can have limitations to coordinate activities and to follow up on the ground with national stakeholders. This is particularly important in training projects that apply the train-trainers approach to establish networks of experts for future use. The training events should be timed so that adequate preparatory work has been first carried out to define training needs and that sufficient notice time is given to participants to enable scheduling of their participation.

Small project teams appear to result in effective and efficient implementation but adequate measures are needed for ensuring the full involvement on relevant institutions and other stakeholders. It is also necessary to have clear definition of role and responsibilities of the project staff and partners.

3.2.15 Monitoring

Monthly or other periodic meetings to report on project progress to the EA management are useful for addressing emerging problems which require quick action, in addition to PSC meetings which occur less frequently.

Monitoring can identify activities that were not planned but are improving the project's impacts and sustainability. Implementation of such additional activities should be encouraged if extra funding can be raised from other sources, when needed.

In general, progress reports have proved to be instrumental for effective project management. The present ITTO practice in managing project implementation (including the On-line Monitoring System) was appreciated by almost all Executing Agencies. The importance of regular proactive oversight by ITTO is another positive lesson from the completed REDDES projects.

In project implementation there should be flexibility to adjust timing of the planned activities to take into account parallel, related initiatives and possibilities for effective participation of partners and other stakeholders.

3.2.16 Risk management

Risk analysis has often been superficial and sometimes even lacking in the project design stage[40] notwithstanding that there have also been some good examples of risk assessment.

The most typical risks identified in the completion stage were delays in processing project agreements due to administrative constraints in public sector EAs, procurement of machinery and equipment, and staff changes in project management. The lessons learned indicate that diligence in these aspects can be improved by proper planning and through proactive measures taken by the parties involved. The role of Project Steering Committee is important in this respect but as meetings are rarely held, members should be closely engaged in the implementation when their support becomes necessary for efficient problem solving.

4. PROGRAMMATIC LINKAGES AND COMPLEMENTARITIES

4.1 Programmatic linkages

4.1.1 TFLET and REDDES

TFLET and REDDES have clearly differentiated profiles and specific objectives. However, both programmes share the common objective to improve the wellbeing of local communities through sustainable management of their forest resources. Good governance is fundamental to provide enabling conditions and promotion of SFM and it is a strategic element in both TFLET and REDDES.

Forest tenure and use rights are also a common issue to both programmes. Legal and sustainable origin of products produced and traded in TFLET has to come from areas that must have established tenure rights. In REDDES it is necessary to define the rights to carbon and other environmental services which are part of its necessary legal framework.

Building an adequate governance structure is fundamental for success in TFLET and REDDES. If the country has capacity to coordinate and collaborate with different governmental and non-governmental bodies, it can fight corruption, enforce national laws and deliver transparent data on the forestry and other related sectors.

Both thematic programmes are focused on forest dependent communities as their ultimate target group and capacity building is a common strategic intervention area, even though having a different scope. Community level REDDES projects have shown that successful conservation is possible if adequate economic benefits can be generated for local communities (cf. section 3.2). Sustainable production of timber and non-timber forest products is therefore a common underlying element for the two TPs. This linkage is well demonstrated e.g., in a project in Indonesia[41] focusing on conservation of a biological reserve which was funded under TFLET but its financing could have been even more justified under REDDES but there were no financial resources to do it.

These linkages offer opportunities for harnessing synergies when both programmes provide support to the same country and target groups. In order to achieve such synergies, there should be coordination in the project design stage within the country. Cooperation should be established during implementation including effective monitoring by Project Steering Committees. Projects targeted at strengthening of governance and law compliance could be implemented under any one of the two programmes. Tenure and other rights issues related to production and trade of timber and NTFPs, and environmental services need due consideration in both programmes.

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[40] Nine out of the total 29 projects reviewed did not have any risk analysis in the project proposal.

[41] TFL-PD 019/10 Rev.2 (M) Developing collaborative management in the Cibodas Biosphere Reserve, West Java, Indonesia

4.1.2 Linkages with other Thematic Programmes

TFLET and the Trade and Market Transparency (TMT) Thematic Programme are mutually supportive as their profiles are complementary. They share similar objectives in improving market transparency and increasing production and trade. TFLET adds value to TMT through building up capacity in demonstrating that production and trade is based on legal and sustainable sources and that this can be verified. TMT complements TFLET in building up capacity in marketing of tropical timber and timber products among SMEs to realize the benefits from legal compliance and implementation of SFM.

TMT also focuses on strengthening of market information systems, improvement of market transparency, and facilitating access to legally and sustainably produced tropical timber. All these activities are essential for the success in TFLET implementation. TMT can therefore harness strong synergies with TFLET and other related international programmes and initiatives. ITTO has a unique competence among international organizations in trade and market transparency. Complementarity is also demonstrated by the fact that four out of the nine TMT projects could have also been financed by TFLET.[42]

The general objective of the Community Forest Management and Enterprises (CFME) TP are also closely linked with TFLET's specific objectives. There is a strong element of complementarity as both programmes focus on community level capacity building, CFME in SFM and adding value to the forest resource and TFLET in demonstrating that communities can implement and demonstrate that timber produced comes from legal sources contributing to sustainable livelihoods. A number of TFLET projects could have been also financed by CFME.[43]

Together with TMT, TFLET has also a close linkage with the ITTO/CITES Programme as its work on strengthening law compliance and improved market transparency provides direct contributions to implementation of trade regulation in endangered and threatened tropical timber species.

REDDES has close linkages with the Community Forest Management and Enterprise TP. Both share the same general objective to contribute to the social and economic well-being of forest-dependent communities even though their tools are different, i.e., REDDES through restoration and rehabilitation of degraded forests and payments for environmental services, and CFME through SFM and promoting added value production by communities. Complementarity also derives from the fact that conservation efforts have best chances to succeed if they can result in net economic benefits for local communities and indigenous groups (cf. section 3.2).

4.1.3 Linkages with regular cycle projects and Biennial Work Programmes

A review of regular cycle projects approved since 2008 showed that a large number of them directly contribute to REDDES and TFLET objectives and could have been funded through these thematic programmes had there been funds available. Several BWP activities could also have been funded by the two TPs. These projects and activities are listed in Annex 7 and summarized in Table 4.1.

[42] TMT-SPD 011/12 , TMT-SPD 012/12, TMT-SPD 013/12, and TMT-SPD 014/13

[43] TFL-PD 014/09 Rev.1 (M), TFL-PD 019/10 Rev. 2 (M), TFL-SPD 029/12, TFL-SPD 030/12 Rev. 1 (M), TFL-SPD 032/13 Rev 2 (M), TFL-SPD 033/13 Rev 2 (M), TFL-SPD 038/13 Rev 2 (M)

Table 4.1 Regular cycle projects and BWP activities with linkage with REDDES and TFLET

Programme	Number of pre-projects and projects	Number of BWP activities	Funding USD 1,000
REDDES			
- Financed	64	19	35,304
- Pending	20	2	11,169
Sub-total	**84**	**21**	**46,473**
TFLET			
- Financed	22	6	15,007
- Pending	3	-	5,929
Sub-total	**25**	**6**	**20,936**
Grand total	**109**	**27**	**57,409**

Source: Annex 7

The review was based on the objectives of pre-projects and projects and it cannot therefore be considered accurate. However, it shows that the objectives of the two TPs are being substantially contributed by regular cycle projects and, to a lesser extent, by BWP activities. In the case of TFLET-related pre-projects/projects, the regular cycle has contributed to 1.7 times more funding than the TP itself. In the case of REDDES the linkage pre-projects/projects under the regular cycle received a total funding of USD 35.3 million or 3.7 times more than the TP itself. Therefore, the assessment of this stocktaking provides only a partial view on ITTO's contributions to the TP objectives. The conclusion is also likely to be valid for the other TPs even though they were not included in the above analysis.

The finding has a number of implications from the viewpoint of project proponents and donors. Proponents have to carefully assess which window (regular project cycle or one of the TPs) they apply for when presenting project proposals. In the case of TPs, the key constraint has been availability of financing which has resulted in submitting "TP-qualified" proposals to the regular project cycle which has much more substantial resources. They are then competing with all the other proposals without any priority assigned to these "TP-qualified" proposals in spite of addressing the agreed thematic priorities of the organization.

Another example of possible impacts is the pre-project TFL-PPD 023/10 Rev. 1(F) for development and implementation of a species identification and timber tracking system in Africa with DNA fingerprinting and stable isotopes which dealt with a strategic priority innovation for TFLET and ITTO/CITES programmes. The pre-project was successful and led to the formulation of a large follow-up project but, as there were not adequate funds available in TFLET, it was presented and financed through the regular project cycle.

Donors cannot earmark their funding within TPs, which has apparently negatively influenced their interest in using this instrument. However, TPs were introduced upon donor initiatives to have a more strategic approach to the organization's project work. It appears that many donors have continued to prefer being able to hand-pick projects rather than leaving the decision to the procedures established for the TPs.

This is also demonstrated by the fact that some donors have indicated their wish to assign their TP funding for a specific sub-theme and/or region (e.g., the Australian funds to TFLET for the Asia-Pacific region, TMT-CITES funds for TFLET projects that also have to be CITES relevant).

The situation appears a paradox and undermines a proper assessment of thematic programmes as instruments to pursue their agreed objectives. Relevant project work implemented under the regular project cycle and relevant activities funded under the BWP should also be included in the analysis to obtain a comprehensive picture (cf. also section 5.5).

4.2 Complementarities with other international programmes

4.2.1 TFLET

Several international, regional and bilateral initiatives have objectives related to strengthening of forest governance and law enforcement either as the main focus area or part of their objectives. The World Bank's Forest Law Enforcement and Governance Programme (FLEG) used to work in this area under regional initiatives but it was discontinued a couple of years ago. Its work was transferred to the Bank-managed Program on Forests (PROFOR) which has continued to carry out work for generating new knowledge and innovations in law enforcement.[44] Forest governance is also increasingly addressed as part of various REDD+ programmes and projects (cf. section 3.1.2).

However, only the EU-FAO FLEGT Programme implemented by FAO appears to be currently comparable to ITTO's TFLET Thematic Programme in terms of its scope and geographic coverage and it is therefore analyzed below in some detail (Annex 8). Both programmes have evolved over phases since 2007/2008. The EU support initiative originally covered only the ACP countries but has been expanded to cover all the developing countries and will start its next phase in 2015 extending up to 2020. The following analysis is mainly based on the Programme Document for the period from 2011 to 2013 and the evaluations carried out.

Objectives

Both programmes share poverty reduction as part of their general objectives. TFLET relies on enhancement and diversification of international trade in tropical timber from sustainably managed sources as the main factor while EU-FAO FLEGT focuses on improving forest governance for poverty reduction.[45]

Differences in the general objectives are also reflected in different specific objectives. TFLET is targeted at strengthening forest law compliance and governance, improved transparency and effective management of supply chains, improved capacity of forest communities and SMEs, and international cooperation.

EU-FAO FLEGT is targeted at improved policy and legal frameworks, capacity building of civil society and forestry staff to manage forest resource, and stakeholder collaboration in enforcement. A special focus area of the programme is making forest sector stakeholders to understand the EU FLEGT principles and concepts (as expressed in the EU-FLEGT Action Plan and its Voluntary Partnership Agreements). There is a considerable degree of overlap but also an element of complementarity between the specific objectives of the two programmes.

Thematic focus

The thematic focus of the two programmes is somewhat different. According to the programme documents, TFLET 's focus areas are law compliance and governance, supply chains, communities and SMEs, and international cooperation while those of the EU-FAO programme are national FLEGT strategies, policy and legal frameworks, independent monitoring, domestic markets, and stakeholder support. In practice, portfolio reviews reveal that both programmes have given a high priority to community-based capacity building, transparency of the supply chains and markets, as well as information and communication. TFLET has had a stronger focus on developing tracking systems while support to VPA processes has been a focal area in EU-FAO FLEGT (particularly development of legality definitions and timber legality assurance systems).

Geographic scope

ITTO's TFLET supports its 33 producing member countries but also selected initiatives in consuming member countries. The scope of EU-FAO programme presently covers all the developing countries but there has been an emphasis on the countries which have participated/are participating in the Voluntary Partnership Agreement (VPA) process.

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[44] See www.profor.info for details

[45] The link has not however been clearly articulated.

The 19 funded national projects of TFLET and its pre-cursor have been implemented or are in the process in nine countries and the 90 completed projects of EU-FAO FLEGT in 22 countries (Annex 9). Only four countries (Cameroon, Ghana, Indonesia and PNG) have received support from both programmes, which indicates complementarity between the two programmes.

Modus operandi

TFLET is implemented through calls for proposals that are open for stakeholders in all the ITTO member countries. In addition, activities identified under the Organization's Biennial Work Programmes have been funded through TFLET. EU-FAO FLEGT also applies calls for proposals by governments, CSOs and the private sector but, in addition, also provides direct assistance to governments.

Projects funded by EU-FAO FLEGT are smaller (up to USD 50,000 for stakeholders and up to USD 100,000 for pilot projects with a duration of one year). TFLET projects have been up to USD 600,000 but typically USD 200,000 to USD 500,000 with a duration of maximum 3 to 4 years. Pre-projects can be up to USD 100,000 and small projects up to USD 150,000. Many TFLET projects go beyond developing new approaches and creating awareness among stakeholders involving practical implementation (enterprise level audits, electronic tracking systems, etc.), as well as phased training of communities, the private sector and government agency staff. These differences in project duration and size are important for the impacts and sustainability of projects supported by the two programmes.

In the case of TFLET, proposal clearance is made by country focal points to ensure compatibility with national policies and complementarity with parallel activities, which can be considered a strength. Such a clearance is not included in EU-FAO FLEGT requirements for proposals.

Proposals to TFLET are reviewed by the ITTO Secretariat and the Thematic Programme Advisory Committee (composed of member country experts) based on which the Executive Director makes the financing decision. In EU-FAO FLEGT the review of proposals is carried out by the Project Management Unit which also decides on the selection of projects for funding to be endorsed by the Steering Committee.

Funding and donors

The three TFLET phases (pre-cursor, pilot phase and Strategic Action Plan) have received a total funding of USD 9.1 million coming from the Netherlands, Australia, Japan and nine other donors (including one private sector body).[46] For Phase II of EU-FAO FLEGT about USD 13.8 million (EUR 11 million) was received from the European Union being the sole donor of the programme and FAO investing another USD 2.0 million from its own programmes and projects.

Linkages between TFLET and EU-FAO FLEGT

In the initial phases there were discussions on possible coordination and cooperation between the two programmes. Due to the principal modus operandi (call for proposals), it was difficult to find an operational solution for how possible synergies could have been capitalized. In spite of some cooperative efforts in strengthening forest governance by ITTO and FAO in elaboration of guidance documents on law compliance and organizing a joint workshop on timber tracking[47], the EU-FAO FLEGT Programme Document does not even mention ITTO working in the same field.[48] However, the document calls for increased opportunity for global exchange on FLEGT (with EFI-FLEGT, IDL and other organizations) for mutual learning (without identifying ITTO as a potential partner).

EU is funding another programme on support to the implementation of EU FLEGT Action Plan (EU FLEGT Facility) which is implemented by the European Forest Institute (EFI). Its objective is to provide technical assistance to governments and other stakeholder groups in timber exporting countries to support the negotiation and implementation of VPAs. The Facility facilitates information sharing, capacity building and collaboration on FLEGT. The EU FLEGT Facility is funded by the EU, the govern-

[46] Cf. section 5.5
[47] Log movement and timber tracking technology regional workshop. 13-18 May 2012. Malaysia.
[48] The list of partners included EU Delegations, EFI FLEGT Facility, PROFOR, EC funded projects, FAO projects, NFP Facility and FAO Legal Office.

ments of Finland, France, Germany, the Netherlands, Spain and the UK.[49] Due to the strong focus on its support to VPA negotiation processes the EU FLEGT Facility was not included in the above analysis in spite of the fact that it has synergies with TFLET in the area of information sharing and capacity building.

Lessons learned from the EU-FAO FLEGT Programme

There is an on-going evaluation on Phase II of the EU-FLEGT and the following selected lessons that are relevant for TFLET have been extracted from the Mid-term evaluation in 2011 and the final programme report on activities in 2008-2013.[50]

- Improving forest governance and transition from business as usual meets resistance requiring more significant and lasting support than may be achieved through short-term interventions.
- In relative terms few requests have been received for strengthening of governance and law enforcement (which is also a lacuna in TFLET). This may be due to the reluctance of governments to include stakeholders in decision-making on governance and the fact that corruption is a sensitive topic.
- Limited resources and business models of the private sector represent a difficulty for its participation in governance improvement. Measures to overcome this constraint are not easy to identify. Private sector needs targeted support to address their identified problems, possibly including specific workshops.
- The informal (and largely illegal) sector should be supported to make the transition to formal and legal wood production, processing and trading activities. Technical and management capacity building can help, particularly if supported by micro- and meso-credit operations (funded from other programmes).
- Positive impacts have been observed especially in countries where there have been at least three projects, suggesting that a critical mass of support in a country is probably needed to achieve the targeted change.
- There is a need to increase coordination and strategic planning at the country level.
- There are several other lessons that are shared by both programmes in a way or another suggesting possible strong synergies (cf. section 2.2).

Conclusions

The planning for Phase III of the EU-FAO FLEGT Programme was under preparation during the writing of this report. Changes in the approach may include targeting key countries with stronger support, possibly within a country programme. EU-FAO FLEGT has a strong focus to support the FLEGT Action Plan with supply side approaches with less attention given to demand creation (which is being targeted by TFLET and TMT, among others). The work has had a focus on VPA countries but is increasing in non-VPA countries.

The Programme's gap areas are governance/ institutions and law enforcement as for these areas few requests have been received. TFLET has apparently been more successful in covering strengthening of law compliance and enforcement than EU-FAO FLEGT. There are apparent synergies between the two programmes which are not presently harnessed and should be jointly explored by FAO and ITTO, in consultation with the EU.

4.2.2 REDDES

Since the Bali Action Plan of the UNFCCC (2007), there has been a growing interest by the international financing community both in the public and private sector in building up REDD+ capacity. ITTO's REDDES thematic programme is one of these initiatives even though its scope is broader covering all the environmental services. Notwithstanding the plethora of REDD+ targeted bilateral and NGO-based initiatives, there are two international programmes that are of interest for a comparative analysis with regard to REDDES, i.e. the UN-REDD Programme and the Readiness Fund of the

[49] www.euflegt.efi.int
[50] Egger & Topper (2011); EU-ACP FLEGT (2013)

Forest Carbon Partnership Fund of the World Bank's Carbon Finance Unit. All the three were started in 2008.

The UN-REDD Programme is the United Nations Collaborative Initiative on Reducing Emissions from Deforestation and Forest Degradation (REDD+) in developing countries. The Programme was launched in September 2008 to assist developing countries to build capacity to reduce emissions and participate in a future REDD+ mechanism. The Programme is supporting governments to prepare national REDD+ strategies, build monitoring systems, engage stakeholders and assess multiple benefits.

The Forest Carbon Partnership Facility (FCPF) is a global partnership focused on reducing emissions from deforestation and forest degradation as well as conservation and enhancement of forest carbon stocks, as well as sustainable management of forests. FCPF has created a framework and processes for REDD+ readiness, which is aimed at helping countries prepare themselves for future systems of REDD+ financial incentives. Using this framework, each participating country can develop reference scenarios and a national REDD+ strategy, design forest carbon monitoring systems, and set up REDD+ national management arrangements in ways that are inclusive of the key national stakeholders.

The comparison of the three international programmes is presented in Annex 8 and summarized below focusing on UN-REDD. Together with annual reports, the analysis on UN-REDD is based on the Framework Document and Programme Strategy 2011-2015. The analysis on FCPF is based on the IBRD Charter of establishing the FCPF as well as the Facility's annual reports.

Objectives

Reducing deforestation and forest degradation and enhancement of forest carbon stocks are common general objectives for the three programmes identifying sustainable management of forests as a goal or a key tool toward their achievement. REDDES has the broadest approach in its specific objectives covering all the environmental services as well as social and economic sustainability and resilience of tropical forests. FCPF is also targeting sustaining or enhancing livelihoods of local communities, and conservation of biodiversity. These are implied in the work of UN-REDD that also includes transformation of land use in its objectives.

Thematic focus

Thematically, REDDES focuses on expansion of sustainably managed areas, including restoration of degraded secondary forests, and rehabilitation of degraded forest lands (i.e. practical implementation by communities, the private sector and other stakeholders) through assessment and diagnosis; enabling conditions and capacity building; demonstration activities, and scaling up and dissemination.

The focus areas of UN-REDD include scoping and alliance building, data management, monitoring and assessment, stakeholder dialogue, elaboration of national REDD strategy, payment structuring, accounting methods and verification of reduced emissions, guidelines, various methodologies and other tools, capacity building, and knowledge management.

FCPF's readiness activities focus on building in-country capacity, establishing cross-sectorial platforms and intersectorial coordination, policy development, fostering partnerships, promoting sustainable landscapes, stimulating non-carbon benefits and generating global standards and knowledge. There is a considerable overlap between UN-REDD and FCPF which has resulted in joint efforts internationally and harmonized procedures on a national level.

Geographic scope

UN-REDD and FCPF are open for support to all developing countries while REDDES is confined to support to ITTO's member countries. Fourteen ITTO producing member countries have received support either from UN-REDD or FCPF.

The 29 funded national projects of REDDES have been implemented in 16 countries.[51] UN-REDD has supported 12 countries and FCPF 11 countries (Annex 9). Fourteen REDDES countries have received support from either UN-REDD or FCPF and three of them (Cameroon, Ghana and Indonesia) from both programmes.

Modus operandi

Together with the other TPs, REDDES is mainly implemented through calls. It was also envisaged that a pilot country approach could be applied to selected countries enabling interested ITTO members to submit their candidature for a programmatic country support involving all the four strategic intervention areas of the Programme.

UN-REDD provides support to national action to facilitate and broker national processes. Actions are designed as joint programmes with (partner) countries to harmonize with other REDD in-country initiatives. UN-REDD provides direct support to the design and implementation of national programmes and complementary global and regional-level activities.

The FCPF Readiness Fund has a clearly structured phased process up to achieving payments for reduced emission from the FCPF Carbon Fund. These phases include preparation of (i) a Proposal Idea Note and (ii) a Readiness Preparation Proposal consisting of REDD+ strategies and policies, reference emission levels, MRV systems, and institutional capacity, together with social and environmental safeguards.

The size of REDDES projects have been up to USD 1.2 million but the range is typically USD 200,000 to 500,000 with duration of maximum 3 to 4 years. Pre-projects can be up to USD 100,000 and small projects up to 150,000. The UN-REDD programme funding in partner countries has ranged from USD 0.5 million to USD 6.4 million. FCPF provides USD 200,000 for the formulation of the Readiness Preparation Proposal and USD 3.6 to 3.8 million to assist in the preparation of a Readiness Package.

REDDES requires clearance by ITTO Country Focal Points for proposals to be presented and a designated Executing Agency is appointed for project implementation. For UN-REDD the host government identifies the actions to be supported and establishment of a National Steering Committee is encouraged. In the case of FCPF a national REDD Coordination Unit serves as the focal point.

REDDES proposals are reviewed by the ITTO Secretariat and Thematic Programme Advisory Committee (composed of member country experts) based on which the Executive Director makes the financing decision. In UN-REDD the Technical Secretariat manages national programme review process and the Policy Board makes the financing decisions. In the case of FCPF an Ad Hoc Technical Panel and the Facility Management Team carry out the proposal review process. The Participants Committee selects eligible REDD countries and decides on grant allocation for preparation of the Readiness Package. The more complex governance structures of UN-REDD and FCPF than in REDDES have been perceived necessary to establish and maintain trust between partner agencies and diverse constituencies but they probably tend to increase transaction costs and result in delays in implementation and administrative redundancies.[52]

Funding and donors

REDDES has received USD 9.5 million from donors to implement 29 projects and practically all the funds have been allocated. In the present situation (February 2015) no calls for proposals can be launched due to lack of funds.

The financial resources of UN-REDD were USD 215 million at the end of 2013 of which USD 157 million (73%) was used. FCPF has raised USD 258 million of which USD 29 million (11%) had been disbursed. At the end of 2013 the two programmes had a total of USD 287 million of non-allocated/undisbursed funds accumulated over a period of five years. This raises the issue of appropriateness of the delivery process as defined in the current rules.[53]

[51] One of the projects was international, implemented by the ITTO Secretariat.
[52] UN-REDD (2014b)
[53] In the latest Policy Board meeting, several developing country representatives expressed concerns on the lack of disbursement.

REDDES donors have been Norway, Switzerland, Japan and the USA. UN-REDD has received funding from Norway, Denmark, Spain, EU, Japan and Luxemburg. FCPF donors have been Germany, Canada, Norway, Australia, the Netherlands, Finland, Japan, France, the USA, Switzerland, Spain, Denmark, the UK, the European Commission and Italy. As all these donor countries (apart from Canada) are also ITTO members and REDDES fits into their present financing criteria emphasizing forest climate benefits, it can be questioned whether all the potential sources of funding are fully aware of the opportunities offered by REDDES and its added value.

Linkages between REDDES and UN-REDD/FCPF

In the initial phases there were discussions on possible coordination and cooperation between REDDES and the other two programmes. The REDDES programme document envisaged a pilot country approach and indicated that such countries could be participants in UN-REDD, FCPF and other related initiatives thereby harnessing synergies. In practice, such a joint pilot country approach has not been formally applied. Nevertheless, ITTO was able to support the other two programmes through REDDES projects which directly complemented their efforts in the DRC.[54] However, ITTO's contribution was not made visible in the REDD+ context although it was truly complementary and working in parallel with UN-REDD and FCPF. As a conclusion, these agencies have not yet demonstrated a real interest in cooperation with ITTO (with the exception of the DRC project and FAO).

It needs to be recalled that initially ITTO has made definitive efforts to link its REDDES work with the parallel REDD+ initiatives for scaling up, ensuring complementarity and duplication. A good example on scaling up was the REDDES project for ACTO (Amazon Cooperation Treaty Organization) in the Amazon region[55] which, after its successful completion, resulted in an agreement on USD 10 million support between ACTO and the BNDES/Amazon Fund. A similar exercise is currently under consideration with the BNDES /Amazon Fund for Central America.

Another example of complementary activities is the ITTO project (in cooperation with Marubeni Corporation from Japan) in the state of Acre, Brazil to develop a REDD+ programme for the state[56] which now has a comprehensive sub-national system for REDD+ implementation. The Government of Acre has signed the recent New York Declaration on Forests expressing their commitment to climate change mitigation and respective cooperation between the public and private sectors. Unfortunately Marubeni could not proceed with follow-up investments in Acre.

While the link with REDD+ is obvious, REDDES projects have often been in a way delinked from the other REDD+ programmes in most other countries, possibly due to the lack of interest as mentioned above and perhaps lack of initiative from the ITTO side. One way to develop mutual cooperation would be to regularly present the REDDES projects and programmes in the FCPF/UN-REDD Policy Board meetings which occur every six months back-to-back for. It is likely that in these events new ideas will emerge for joint actions. This kind of proactive communication could also address the problem of lack of revived interest of Norway and other key donors in funding REDDES.[57]

Lessons learned

There is an on-going evaluation on UN-REDD of which the main results are already available.[58] Two evaluations have been carried out on FCPF.[59] The following selected lessons that are relevant for REDDES have been extracted from these sources:[60]

- Early and sustained stakeholder engagement is critical for developing mutual trust, commitment, and the willingness to engage in collective actions.

[54] RED-A 023/09 Rev. 1(F)
[55] RED-PD 029/09 Rev. 1(F)
[56] This is an example of REDD+ projects financed through the regular cycle even though it was clearly a "REDDES" project. The reasons for using this funding window were uncertainty about financing under REDDES and possibility for the donor to earmark funding in the regular project cycle.
[57] The recent evaluation of Norway's International Climate and Forest Initiative does not include assessment of REDDES which is only mentioned in passing in the context of support to Guyana (NORAD 2013).
[58] UN-REDD (2014a)
[59] Baastel & Nordeco (2011); World Bank (2012)
[60] Includes some elements from Caswell & Umali (2012)

- Stakeholder engagement is essential to broadening understanding of SFM. Consultation is the first step to be followed by provision of active contribution, giving feedback and leading national dialogues.
- Adjusting the rules that condition the use, management, and governance of forests at national and sub-national levels takes long to achieve and requires high levels of commitment by decision makers and key stakeholder groups.
- The process of developing a national REDD+ strategy is as important as the end product.
- Countries can be effectively assisted to develop comprehensive REDD+ strategies. The capacities needed to support and sustain such efforts are proving more difficult to develop.
- Effective communication on abstract elements of SFM and other key concepts is best achieved with practical examples relevant to local conditions.
- Building on experiences in managing forest resources at a local level can inform national policy adjustment. A wealth of experience exists in ITTO Member countries on approaches to forest management but this arsenal has not been adequately tapped into.
- A shift towards more holistic land and forest management approaches is necessary—also in terms of cooperation among multiple actors at various levels (project to national).
- Equitable and efficient benefit distribution mechanisms are still nascent and need to be put in practice through policy reforms.
- Slow start of country-level action can be speeded up when leading national staff has been recruited. Implementation can gain momentum in accordance with local capacity. However, staff turnover, leakage of trained resources, and incidences of capacity substitution by international consultants have been observed to affect the ability of participating countries to manage their own affairs.
- Effective in-country coordination is important ensuring that the different parties' support to REDD+ complements each other. This remains a major challenge having become more complex when the number of (mainly external) actors has increased.

These lessons are also useful for enhancing REDDES implementation as well, which shows that there is a clear case to share experiences for mutual benefit.

Conclusions

REDDES is clearly complementary to UN-REDD and FCPF in its thematic focus and all the three share the same general objectives. The substantive scope of REDDES is broader than in the other two programmes which focus on REDD+ readiness building. However, in practice there are similar interventions in all the three such as enhancing stakeholder participation and capacity building, and national planning for low carbon sustainable development with forest related interventions.

REDDES is more focused on practical implementation and has a strong focus on demonstration and pilot projects through SFM, restoration and rehabilitation. In the other two support programmes piloting is also promoted but focusing on carbon rather than having a holistic approach of REDDES covering all the environmental services of tropical forests. On the other hand, REDDES has also focused on stakeholder participation and supported MRV and policy development which are among the main focus areas of UN-REDD and FCPF.

With regard to modus operandi, REDDES is an agile support programme responding to country needs through a demand driven approach. It does not require compliance with pre-determined phases like in FCPF which have taken long periods of time to implement. The decision-making structure in REDDES is also simpler, it does not suffer from similar delays, and its transaction costs are low. However, these competitive advantages are undermined by its limited financial resources, which has precluded effective programmatic implementation.

5. ISSUES RELATED TO PROGRAMME IMPLEMENTATION AND FINANCING

5.1 Strengthening of the programmatic approach in Thematic Programmes

There is a perception among donors and some other stakeholders that TFLET and REDDES are still largely a collection of individual pre-projects, projects and activities, albeit within a common framework

of objectives and strategic priorities expressed in the TPDs.[61] However, the portfolio reviews in chapters 2.1 and 2.2 revealed that significant contributions to programme objectives have been achieved under the two TPs. Nevertheless, there is a need to make TFLET and REDDES more programmatic.

The Programme Documents were elaborated with the intentional purpose of providing a broad approach to accommodate different country situations and priorities, offer all stakeholders to have equal opportunity to participate, and to leave open space for innovation. During the last six years considerable experience has been gained which shows that it is opportune to consider options to strengthen the programmatic nature of TPs if there is a clear perspective that adequate more or less regular funding will also be forthcoming. However, the recent funding history (cf. section 5.5) does not support this assumption. As this is an example of chicken-and-egg situation, it would be advisable to improve the programme design rather than wait for funding to come first.

The assessment of effectiveness of the pilot operation of ITTO Thematic Programmes in 2013[62] identified several areas of improvements and made a set of useful recommendations. Building on its conclusions and the results of this review, six options for improving the programmatic approach are discussed below:

(i) Introduce the modality of targeted calls for proposals and sub-programmes to address gaps and priorities

Targeted calls could be defined for specific thematic priority areas of the TPs (e.g. improving law enforcement or SFM certification of community forests and SMEs in TFLET; and payment for environmental services and restoration in REDDES). Targeted calls could also be geographically defined for specific regions/subregions that have not been adequately covered by programme support. This could also open up new funding opportunities for donor agencies which may have regional priorities (e.g. Australia and Japan for the Asia-Pacific, EU for Africa or the USA for Latin America).

Measures could also be taken to activate proposal preparation by stakeholders in countries which have not benefited from TPs provided that there is adequate funding available for implementation. In addition to targeted communication on available opportunities, the Secretariat could identify such country gaps (cf. e.g., Annex 9), work then with Focal Points and potential Executing Agencies and offer support to proposal preparation with the available resources
(cf. also section 5.2).

(ii) Introduce the modality of thematic sub-programmes to selected priority themes

Setting up new thematic sub-programmes should be considered for selected priority themes of common interest to members (e.g., mangroves, restoration and PES systems in REDDES, and certification and legality verification in TFLET). Targeted calls for proposals could be launched for such sub-programmes, as appropriate

(iii) Improving the programmatic approach and complementarity on country level

In spite of the instructions of the ITTO Manual for project formulation, in many cases it is not clear to what extent the proposal fits into national priorities, as well as sectorial and other related development plans, as these reference documents are broad and linkages are usually identified only in general terms. However, the problem is less acute in countries that have elaborated a national forest programme or action plan. Several non-exclusive options exist to improve the situation of which four are elaborated below:

(a) Development of a national plan for implementing a Thematic Programme in the country through e.g. a pre-project/small project to provide a programmatic framework for implementation. Such a first phase would include diagnosis and identification of priority needs for which ITTO support could be important, together with actions that must be taken by the government and other stakeholders. This approach was applied by e.g., Guatemala through a TFLET pre-project which resulted in a national plan for strengthening law compliance and increasing production and trade of tropical timber from

[61] Caswell & Umali (2013)
[62] Ibid

legal and sustainable sources. A fully-fledged TFLET project followed to support implementation of the priority action of the national plan.

(b) Another option could be to reactivate the country level diagnostic studies on opportunities and constraints in achieving SFM that were carried out in the past in almost 20 ITTO producing member countries. This tool could be revived to target new member countries or countries which have received little support from ITTO. Such diagnostic studies could focus on identifying a national action plan under one or more TPs. The intervention could also produce project ideas and provide hands-on training on proposal preparation for stakeholders. One or two consultants could facilitate such exercises carried out by local counterparts to develop a national plan and fundable project proposals.

(c) The REDDES TPD provides a so far unused facility for a pilot country approach that can be applied in selected interested ITTO members which submit their candidature for a programmatic country support involving all the four areas of REDDES intervention. These countries could be participants in the UN-REDD Programme, FCPF and other related initiatives thereby harnessing synergies. To test this approach in practice, a pilot country could be identified which has not yet embarked on the UN-REDD/FCPF Readiness process but is likely to do so in the future.

(iv) Improving the programmatic approach on international and regional/sub-regional levels

In general, the theory of change does not appear clear in the TPDs and this issue should be addressed in the updating of the documents. A well-articulated theory of change would help improve the programmes' strategic design and communication to donors, potential partners and other stakeholders.

The review of TFLET and REDDES implementation (cf. sections 2 and 3) shows that ITTO should have a more proactive role to implement necessary activities on international level rather than continuing to rely on calls for proposals as the main modus operandi. In the past "pro-activeness" has been applied to fund selected activities of the BWPs that are relevant to TPs. This can only be considered a first step into the right direction. It is, however, recognized that it is hard to go out and be proactive when there is no guarantee that resources will be available to implement the projects. Basically, there would need to be a deal with one or more donors on what to focus on and that at least some funds will flow if acceptable projects are generated.

TPDs clearly identify the strategic interventions to be undertaken at an international or regional level which have to be ensured by programme management. Apart from knowledge sharing, these are not adequately covered in the MPs of the two programmes. In REDDES the outputs include policy instruments, financing mechanisms, training packages, validated technologies and implementation approaches applicable broadly, knowledge management, networking, information sharing, and cooperation and partnerships with related international and international regional initiatives.

In TFLET such strategic interventions are probably even more important as they include strengthening of international, regional and cross-country cooperation (one of ITTO's competitive strengths), international policy dialogue towards increased convergence, and technology assessment, in addition to those mentioned above on knowledge management and international cooperation under REDDES.

(v) Improving the programmatic approach thematically through other ITTO instruments

The perceived need for an increased focus on priorities in all ITTO's support to member countries should be addressed in the revision of TPDs and MPs. In practice, a stronger and more visible link between the SAP, BWPs, the regular project cycle, and the TPs would be required by the Council and the Secretariat in initiating and implementing necessary actions at international/regional/sub-regional levels.

Transparency and functional links between the TPs and ITTO's other support instruments would harness their synergies for which two options can be identified:

- Strengthen the link between the Strategic Priorities of the ITTO Strategic Action Plan 2013-2018 and the Biennial Work Programmes on one hand, and TFLET and REDDES on the other hand to ensure (a) their full compatibility and complementarity, (b) the key role of TPs in SAP implementation, and (c) supporting function of BWPs in TP implementation

- Strengthen and make visible the link between relevant regular cycle projects and the TPs in programme-level monitoring and thematic evaluation. In carrying out thematic evaluations, groups of relevant projects could be selected from both the TPs and among regular cycle projects, as appropriate, to maximize information on lessons learned and minimize costs.

(vi) Harnessing synergies with other relevant initiatives

In the case of REDDES and to a lesser extent TFLET, there is a need to achieve improved complementarity with other parallel programmes (particularly UN-REDD, FCPF, EU-FAO FLEGT Programme) drawing on the synergies identified in chapter 4. Inviting representatives of the relevant other organizations to participate in TPACs was initially practiced in the past with positive experience with FAO. However, past experience shows that it is very difficult to maintain TPACs with members from related international organizations without having sustained funding and regular periodic calls for proposals. The World Bank and UN-REDD had been initially invited to participate in the REDDES TPAC, but they did not respond, probably due to more pressing priorities (cf. section 5.4).

In any case complementarities need to be clearly demonstrated by ITTO as they are critical for the main donors. In addition, ITTO could participate in the Policy Board meetings of UN-REDD and FCPF to present developments in REDDES implementation with the purpose to identify joint actions both on international and national levels. In the same way, other agencies could be invited to participate in TPACs as has already happened with FAO.

5.2 Improving the quality of proposals

The Expert Panels on Project Appraisal have over the years made several recommendations for action to be taken to improve the quality of proposals and these still largely remain valid.[63] Weaknesses in TP proposal quality are an issue that needs a more proactive approach than in the past. Having three percent of TP funding for proposal development set aside and available for this purpose demonstrates that waiting for requests for assistance does not work.

There are two types of weaknesses to be addressed, i.e., meeting the formal requirements of project proposals and substantive weaknesses in the conceptualization of solutions for the problem to be addressed. The following options are proposed for consideration to improve the situation provided that there is a perspective of improved funding for TPs:

a) Carry out consultations with new members and other priority countries on the need/possibility of support to country level diagnostic studies, national action plan preparation and project formulation as proposed in section 5.1.(ii).
b) Among weak proposals received, the Secretariat should select those that are promising in terms of innovation, strategic programmatic priority, potential value for broad applicability/ replication and improving knowledge sharing. The proponent could be offered ITTO's support to finalizing the proposal, which could be provided either by the Secretariat staff or a consultant.
c) Continue strengthening of pools of qualified project formulation and implementation specialists in ITTO producing member countries through training to be drawn on by stakeholders to assist stakeholders in proposal preparation.

5.3 Management of TPs as programmes

TP projects are managed and monitored like regular cycle projects rather than as a pool of thematically linked activities. [64] Each project is assigned to a technical division (TFLET for Trade and Industry Division (TI) and REDDES to Reforestation and Forest Management Division (RFM). This is logical as the divisions also manage those regular cycle projects that contribute to TP objectives (cf. section 4.1.3). From the substance point of view the approach is rational.

[63] See also ITTO (2012a) Meta-evaluation for suggestions to improve the quality of project proposals.
[64] Caswell & Umali, ibid.

As a principle, each TP needs to have a designated technical manager, part-time or full time, depending on the volume of work. However, this is not the case at present. The only logical option would be to assign the TP management duty to the Assistant Director of each division as long as the programmes do not become so large that recruitment of a designated Programme Manager becomes justified.

Divisional Assistant Directors would be responsible for the overall supervision and implementation of relevant TPs having an oversight role in order to ensure that (i) priorities and gaps in implementation are addressed, (ii) knowledge sharing is effective, (iii) necessary participation of programme management in fundraising is assured, and (iv) linkages between TPs, the regular project cycle, and BWP activities are harnessed. It is also important to have periodic staff meetings or other information exchange within divisions for ensuring cross-breeding between regions as Project Managers tend to focus their work on specific regions.

In view of the heavy workload of Assistant Directors, TP technical management responsibilities could be partly delegated to Project Managers, particularly if the regular project cycle keeps declining and more funding comes into the TPs.

As there are close linkages between individual thematic programmes (cf. section 4.1), many operational aspects need to be coordinated. The cross-programme coordination and support functions in implementing calls for proposals and handling of proposals could be maintained under the responsibility of the Planning and Evaluation Officer but her/his role could also be expanded to other tasks related to TP implementation, including generating information for programme-level monitoring.

ITTO has presently two almost identical processes for project appraisal which work independently from each other, one involving Thematic Programme Advisory Committees (TPAC) for TPs and the other involving the Expert Panel on Project Appraisal for the regular project cycle. The procedures could be harmonized considering the experience gained in the thematic programmes. The earlier recommendation[65] on their merging is supported.

5.4 Simplification of programme procedures

The principal modus operandi of thematic programmes is periodic open calls for proposals under each TP when there are sufficient funds to justify one (in general about USD 1 million). However, a total of five calls have been limited to pre-projects and small proposals due to lack of adequate funds for a full open call (Table 5.1).

REDDES has attracted by far the most proposals; even the limited fourth call attracted 23 proposals. The second most popular TP is TFLET raising a growing interest. Limited calls attract fewer proposals, probably because proponents know the approximate amount available. One of the major problems of the TPs is the irregular launch of proposal cycles due to the sporadic availability of funds.

The proposals received are first reviewed by the Secretariat which may request additional information to comply with the basic requirements. Those proposals which have passed the Secretariat's scrutiny are then reviewed by TPAC members and a joint opinion is developed through integration of member inputs by the Secretariat leading to a recommendation by TPAC as a whole. The decision on selection of proposals for financing is then made by the Executive Director, with administrative procedures and final financing decision to follow.[66]

Assessment criteria are identified in each TPD containing a set of general aspects and two TP specific criteria. The list of general criteria contains eleven points being applicable also for non-TP projects and they provide little guidance for substantive elements of a TP project. It is appropriate that these assessment criteria have been made known to project proponents to help them reach an acceptable quality of proposals but due to their general nature and difficulties in interpretation of some of them, their practical use appears to be somewhat limited.

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65 Fullan & Tomaselli (ibid)

66 The detailed process is described in ITTC Decision 4(XLVIII) Strengthening ITTO Thematic Programmes (ITTC(XLVIII)/20

Table 5.1 Proposals received and approved under four Thematic Programmes

	2009		2010		2011		2012		2013		2014	Total
Cycle	**1st**	**2nd**	**3rd**				***4th**		**5th**	**6th**		**6**
TFLET	4(1)	13(5)	7(4)				6(3)		10(1)	16(7)		56(21)
Cycle	**1st**	**2nd**			**3rd**		***4th**					
REDDES	12(1)	22(9)			37(14)		23(7)			-		94(31)
Cycle			**1st**									
CFME			9(5)									9(5)
Cycle			**1st**		**2nd**		***3rd**			***4th**	***5th**	
TMT			2(1)		5(3)		6(4)			3(1)	open	16(9)

Notes:

- The fields show the number of proposals received and the number of approvals in parenthesis
- The 5th TMT Cycle had a deadline of 9 January 2015 and the result is not considered here.
- *indicates that the call was limited to (pre- and) small proposals due to limited funding available (less than US$ 1 million)
- Eight activities approved under the TFLET pre-cursor are not included in this table because there was no call for proposals at that time (2007)

Source: ITTO Secretariat

The substantive strategic criteria are included in the two TP-specific elements of which the first one can also be applied in setting priorities between proposals.

a. *Address the proposal's conformity with the TP deliverables set out in the relevant TPD*
b. *Associate expected results with the relevant TP Monitoring Protocol, including means of verification*

In view of the current weaknesses in the Monitoring Protocols of the two TPs (cf. sections 2.1.15 and 3.1.15), the second specific criterion can be considered partly unhelpful and in addition, it is overlapping with the first one and could be dropped. What appears to be needed is guidance (not a criterion of approval) for how to report on outcomes and outputs (e.g., listing/number of technical documents, number of training courses, stakeholder workshops and other events, and number and type of participants). Systematic PCR practices would facilitate programme level monitoring and evaluation.

The tasks of the TPACs are to (i) select activities/pre-projects/projects for financing under the Thematic Programme; (ii) monitor and evaluate progress in implementing the Thematic Programme; and (iii) identify potential additional sources of voluntary financial contributions to the Thematic Programme. For the time being, none of the TPACs have embarked on the last two tasks in a systematic way as yet. The experience shows that TPACs cannot be expected to contribute to fundraising in the present setting.

Based on the interviews carried out, it appears that TPACs include both "active" members who carry out a detailed examination of the proposals and "passive" members who just tend to agree with the results of the Secretariat review. It has proved to be very difficult to maintain effectively working TPACs without having regular funding and periodic calls for proposals. Lacking physical meetings[67] has not contributed to the cohesion and commitment of TPAC's functioning as a common body of its members. On the other hand, electronic working method allows continuous working of the TPACs when needs arise instead of operating within fixed periodic deadlines which accumulates the workload for short congested periods.

[67] Apart from one physical meeting in the launching phase of TPs.

Stakeholders in member countries prepare TP proposals that are submitted to ITTO through ITTO Focal Points who are urged to ensure that these are complete, properly formatted and contribute to national priorities in the thematic area. In the case of REDDES and TFLET, a majority of approved projects have been submitted by government agencies (cf. sections 2.1.7 and 3.1.7). The process characteristics tend to favor proponents that are familiar with ITTO procedures and are easily kept informed on the call for proposals.

The proposals are presented in largely the same format as the regular cycle projects as laid down in the ITTO Project Formulation Manual with some additional elements added. The requirements for pre-projects and small projects are lighter.

Although the innovative TP procedures are faster and represent lower transaction costs than in the case of regular cycle projects, they are still somewhat complex and rigid. In addition, these advantages are undermined by delays due to sporadic implementation because of shortage of funding. Electronic review using the current proposal appraisal form is efficient but may sometimes prevent good innovative ideas not fitting well with the identified appraisal indicators to pass.

The ITTO/CITES Programme is another instrument with a thematic focus which can offer important lessons for TPs, particularly TFLET and TMT as all the three deal with the same broad issue, i.e., sustainability and legality of international trade in tropical timber and timber products. The key success factors of the ITTO/CITES that are largely missing in the TPs are as follows (Box 5.1):

- A focused problem to be addressed (overcome or avoid trade restrictions) with clearly defined results to be achieved
- A designated national authority to manage the Convention implementation in the member country and to be the Counterpart Agency for the programme; the same agency could in most cases serve as the counterpart agency for TFLET and TMT; in the case of REDDES the national REDD+ agency could be the natural choice.
- Responsive and forward looking modus operandi: in the case of TFLET this would mean early analysis of emerging trade-related regulations, identification of which member countries are mostly impacted, and what action countries should take to minimize their possible negative impacts and make use of opportunities opening up.
- Simplified procedures with short processing cycle of proposals
- Regional coordinators who maintain close contact between the national focal points and other stakeholders. They are part-time consultants to reduce management costs.
- Low transaction costs
- Trust built up among the government agencies and the private sector
- A close attention to what parallel donor-funded programmes are doing, in order to ensure contribution to their objectives (e.g. to facilitate implementation of the FLEGT Action Plan in countries working on the VPA process).
- Sustained financing from the core donor aided by gradual building of trust in ITTO as implementing agency

The ITTO/CITES experience raises a number of options to improve the implementation of Thematic Programmes:

a) Revise the Programme Documents, MPs and the operational procedures to achieve increased responsiveness and agility with reduced transaction costs;
b) Introduce and formalize the role of counterpart agencies in view of the limited capacity of national Focal Points to assist in programme implementation which may not fall under the mandate of their own agencies;
c) Introduce specific responsibilities for Regional Officers to improve coordination and promotion of TP activities in their regions to be implemented in cooperation with Project Managers and staff responsible for TP management;
d) Introduce focused sub-programmes within or in parallel with TPs (e.g. trade related, promotion of certification and timber tracking in TFLET, PES mechanisms, mangroves in REDDES etc. to be identified separately) (cf. section 5.1.(i)).

Assessment of these options should be made separately and is not part of the scope of this review.

Box 5.1 Lessons learned from the ITTO/CITES programme

The overall objective is to ensure that international trade in CITES-listed tree species is consistent with their sustainable management and conservation and to increase the quality of forest trade information so as to facilitate better policy planning. The programme assists designated CITES national authorities and the private sector to meet the Convention requirement in managing and regulating trade through capacity building support and improvement of information on biology and management of the listed tropical timber species and trade in tropical forest products.

The programme prioritizes eight significant exporters of listed timber species but may support other countries as well in order to be responsive to changing conditions. Eight expected results have been identified, each with a list of main activities and indicators. Each of the three specific objectives is broken down into outcomes, outputs and deliverables. The programme also includes a component on the TMT-TP.

The Programme is implemented by ITTO with regular guidance by the CITES Secretariat and the Advisory Committee. There are three (part-time) regional coordinators (consultants) who maintain close contact with national CITES authorities and other stakeholders.

Governments can propose activities to be carried within the programme framework for which a simplified Activity Proposal format has been provided. Regional coordinators review the proposals and, if necessary, assist in their finalization.

The programme is forward looking and responsive as it identifies emerging issues which need to be addressed rapidly by producers and exporters to meet changes in CITES regulations such as new potential species listing, risk for intensive trade review, and what action should be taken (assessment of national situation, collection of samples, identification training, preparation of forest management plans, species inventory, tracking system, etc.). Suggestions are made for countries for necessary action (activity idea) for which support can be made available. It is up to the country to prepare an activity proposal if the idea is deemed justified.

A considerable degree of trust has been built up between national stakeholders and the programme, which has been another success factor.

The intervention combines good principles of a demand driven approach fostering local ownership.

The costs of the programme-funded activities vary up to USD 120,000 to USD 200,000 and their duration is relatively short (typically 12 months). The cycle from activity identification through preparation, review and appraisal to the start-up of implementation takes usually maximum up to 6 months but usually much less.

The ITTO/CITES programme is generally considered a qualified success and it can offer valuable lessons learned for the implementation of the TFLET and TMT TPs. One of its success factors has been sustained financial support from the core donor, the European Union.

5.5 Improving knowledge sharing

In view of the broad applicability of lessons learned and knowledge products developed under the two TPs (cf. sections 2.1.15 and 2.2.15; Annex 4) their effective sharing is critical for capitalizing the investment made by ITTO and its donors. The communication and outreach actions on TPs and their results have included presentations and side events at relevant meetings and conferences. Several publications have also been prepared in 2009-2010 (a brochure “ITTO Thematic Programmes - Sustaining Tropical Forests”, a poster, an article on REDDES in the UN-REDD Newsletter, articles in the Tropical Forest Update, etc.).

Comprehensive information and materials on TPs have recently become easily accessible in the ITTO home page (cf. sections 2.1.17 and 2.2.17). Since mid-2014, upon the launching of the *Project search* facility, it is possible to download documents which are related to a particular project, type of project, thematic issue, country or region, etc. This has now greatly facilitated sharing of knowledge among interested parties worldwide, not limited to the ITTO member countries and their stakeholders. Use of the facility needs to be monitored and continuously improved based on the feedback received.

International and regional thematic conferences and workshops have been an important tool for sharing knowledge on topical priority issues (e.g., tenure, payment for environmental services). Such events are also useful for promoting ITTA objectives among member countries and they need to be continued. In particular, regional events for knowledge sharing appear to have been well received

thanks to sharing experience and new information which can be directly applicable in participant home country conditions.

It is clear from the analysis of linkages between TPs, regular cycle projects and BWP activities (cf. section 2.3) that thematic knowledge sharing is a cross-cutting activity in ITTO. The report on the Organization's Knowledge Management Strategy[68] provides the elements for effective sharing of knowledge.[69]

5.6 Financing and effectiveness of the Thematic Programmes

Financing has become the most serious obstacle for effective implementation of TFLET and REDDES. No pledges have been received to these two TPs since 2013. In 2012 new pledges were received including USD 300,000 to REDDES and USD 2,192,098 to TFLET (Table 5.2). CFME has not received any new pledges since 2010. It is apparent that funding has been too sporadic to allow effective implementation of the TPs (cf. also Table 5.1). The Thematic Programme on Industry Development and Enterprises (IDE) has not yet received any pledges from donors.

Table 5.2 Funding Status of Thematic Programmes in December 2014

Thematic Programme	Pledges	Committed	Available for allocation
	USD 1,000		
TFLET	9,079	8,655	424
REDDES	9,533	9,361	171
CFME	1,100	1,055	45
TMT	2,351	1,640	711
IDE	0	0	0

Source: ITTO Secretariat

Table 5.3 summarizes the sources of funding for TPs. In order to address the weakness in the current situation, the Council made Decision 4(XLVIII) on *Strengthening the Thematic Programmes', Operative Clause 4 to 'urge members to contribute to the Thematic Programmes Sub-Account in order to fully implement on-going Thematic Programmes as soon as possible*. This Decision has not led to concrete action by donor agencies and other sources of funding.

ITTO has an on-going fundraising activity but it is presently (February 2015) unclear to what extent it will succeed in mobilizing new financial resources to support TP related actions. There is no indication or expectation that TP funding will increase in the short run. On the other hand, some progress is made through regular cycle projects that share TP objectives (cf. section 2.3.3).

Donors cannot earmark their funding within TPs which has apparently negatively influenced the interest of some of them in using this instrument. However, TPs were introduced upon donor initiatives to have a more strategic approach to the organization's project work and to respond to a common wish to move towards unearmarked funding. This worked during the pilot phase but has since then faded out. Many donors have continued to give priority to hand-pick projects rather than leaving the decision to the procedures established for the TPs

Apart from the EU/CITES contribution to TMT, the only large contribution has been provided by Australia to TFLET which has a "geographic string" to be used to help tropical timber suppliers to the Australian market meet the new legislation on legality of timber imports (Table 5.3). This string limits the scope of support to the Asia-Pacific region. The CITES contribution to TMT to proposals that are relevant to CITES species.

At present, proponents have to carefully assess which window (regular project cycle or one of the TPs) they apply for when presenting project proposals. This has resulted in submitting "TP-qualified" proposals to the regular project cycle which currently has more substantial and regular resources.

[68] Fullan & Tomaselli (2014)
[69] Ibid.

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Table 5.3 Pledges to the Thematic Programmes (up to December 2014)

Pilot Phase - USD -						
Donor	**Total**	**TFLET**	**REDDES**	**CFME**	**TMT**	**IDE**
Norway	8 228 960	15 000	8 173 960	40 000		
Netherlands	3 000 000	3 000 000				
Japan	2 275 953	991 235	483 782	635 000	165 936	
Australia	280 608	280 608				
Switzerland	1 883 040	683 040	400 000	100 000	700 000	
USA	1 532 456	757 456	175 000	300 000	300 000	
UK	949 380	949 380				
EU/CITES	356 356				356 356	
Finland	132 888	35 199			97 689	
Germany	77 761	77 761				
JLIA	50 000	50 000				
New Zealand	37 530	37 530				
Sweden	25 000			25 000		
Korea	10 000	10 000				
Total Pilot Phase	18 839 932	6 887 209	9 232 742	1 100 000	1 619 981	0
TP pledges under SAP 2013-2018						
Australia	1 942 098	1 942 098				
EU/CITES	1 300 000				1 300 000	
Switzerland	300 000		300 000			
Japan	200 000	200 000				
USA	150 000	50 000			100 000	
Total SAP 2013-2018	3 223 517	2 192 098	300 000	0	731 419	0
Total						
TOTAL by TP	**22 063 449**	**9 079 307**	**9 532 742**	**1 100 000**	**2 351 400**	**0**
Funding target	**22 063 449**	**15 00 000**	**18 00 000**	**10 00 000**	**5 00 000**	**N/a**

It can be concluded that none of the TPs has received full funding and funding has 'trickled in' rather than coming in steadily to allow implementation of the intended programmatic approach. Nevertheless, even with the limited funding available, the pre-projects, projects and activities of the two TPs reviewed in this report have enabled substantial achievement in terms of the intended outputs as defined in the Monitoring Protocols. In spite of the needs to improve the existing programme documents and management arrangements, they have served as relevant guides for effective implementation within the resource constraints.

The short-term funding perspectives are not positive even though the situation could change if some earlier major donors make a "come-back" and new ones can be attracted. In case new funding cannot be mobilized, implementation of the two thematic programmes will end when all the on-going projects have been completed. This report has tried to identify a series of measures to avoid this to happen.

6. RECOMMENDATIONS

1. Update the programme design

1.1 The Programme Documents and the Monitoring Protocols should be revised together with procedures and other guidance for implementation to achieve increased responsiveness and agility, together with reduced transaction costs.

1.2 The theory of change should be clarified in the TPDs. A well-articulated theory of change would help improve the programmes' strategy as well as communication to donors, potential partners and other stakeholders.

1.3 Proper guidance should be provided for how project outputs should be reported in monitoring and completion reports as the present practice is inadequate not resulting in systematic compilation of comprehensive information on outputs and achievements at the programme level.

2. Strengthen the programmatic approach

2.1 A modality for targeted thematic and geographic calls for proposals should be introduced in order to facilitate resource mobilization.

2.2 Drawing on the experience of the ITTO-CITES Programme, the concept of thematic sub-programmes should be considered in order to provide strategic response to emerging priority issues. In this context, counterpart agencies in producing member countries should be identified and their role could be formalized in TP implementation, in view of the limited capacity of national Focal Points to assist in thematic areas that may not fall under the mandate of their own agencies.

2.3 The identified proactive measures should be taken to improve programme-level impacts at country, regional and international levels, as appropriate.

2.4 The thematic links between the TPs, SAP and BWPs as well as the regular cycle project work should be strengthened and considered in monitoring and evaluation.

3. Harness synergies with other international initiatives

3.1 Complementarities between ITTO's Thematic Programmes and related international initiatives should be effectively communicated emphasizing the TP value added to potential partners as such information is critical also for the main donors.

3.2 As there are apparent synergies between TFLET and the EU-FAO FLEGT Programme, possibilities for cooperation and coordination should be jointly explored by FAO and ITTO, in consultation with the EU, in order to leverage impacts of the two initiatives.

3.3 ITTO should regularly participate in the FCPF/UN-REDD Policy Board meetings and present the REDDES projects and programmes to enhance cooperation and generate new ideas for joint actions.

3.4 Related agencies such as FAO, UN-REDD, FCPF and others should be re-invited to participate in TPACs (if these continue to operate) provided that adequate regular funding for implementation can be mobilized.

4. Strengthen the programme management

4.1 Proactive measures should be taken to assist (a) priority countries with no or limited past support, and (b) project proponents in finalizing their weak proposals with potential for innovation, broad applicability/replication, and knowledge sharing.

4.2 Technical management responsibility of the thematic programmes should be assigned to appropriate Assistant Directors as long as the programmes do not become so large that recruitment of a designated Programme Manager becomes justified. Assistant Directors should be responsible for overall TP supervision and implementation having an oversight role in order to ensure that (i) priorities and gaps in implementation are addressed, (ii) knowledge sharing is effective, (iii) necessary participation of programme management in fundraising is assured, and (iv) linkages between TPs, the regular project cycle, and BWP activities are harnessed.

4.3 The Planning, Monitoring and Evaluation Officer should continue to be responsible for the administrative TP coordination and management of the call for proposals. Her/his role could also be expanded to other tasks related to TP implementation, including generation of information for programme-level monitoring.

4.4 Specific responsibilities should be assigned to Regional Officers to improve coordination and promotion of TP activities in their regions, to be implemented in cooperation with Project Managers responsible for TP projects.

5. Improve the project cycle

5.1 The requirements for project proposals, their approval criteria and programme procedures should be simplified.

5.2 TPACs and the Expert Panel on Project Appraisal should be merged, which would contribute to (i) better integration of the TPs and regular cycle projects, (ii) improved allocation of limited resources to priority projects, (iii) improved quality and reduced costs of appraisal work, and (iv) reduced Secretariat workload.

6. Improve knowledge management

6.1 In carrying out thematic evaluations, groups of relevant projects should be selected from both the TPs and regular cycle projects, as appropriate, to maximize generation of information on lessons learned and to optimize costs.

7. Mobilize resources

7.1 Measures should be taken to actively communicate on the value added and achievements of the ITTO Thematic Programmes to the donor community and other relevant stakeholders.

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LIST OF ANNEXES

ANNEX 1 TERMS-OF-REFERENCE

Within the framework of implementation of the ITTO Knowledge Management Action Plan presented at the 49th ITTC in Libreville, Gabon, the Consultant shall conduct a synthesis of the aggregated achievements of the completed projects under the ITTO Thematic Programmes on a) Reducing Deforestation and Forest Degradation and Enhancing Environmental Services (REDDES) and b) Forest Law Enforcement, Governance and Trade (TFLET) towards the respective programmatic objectives. The consultant, for a period of 2.0 months, will carry out the synthesis and provide a final report and executive summary in accordance with the responsibilities as outlined below.

The responsibilities of the Consultant include *inter alia*, the following:

- Prepare a draft synthesis report and executive summary for circulation to ITTO Members by 6 October 2014 and a final report and executive summary by 31 January 2015;
- Assess the programmatic coverage (and quality) of the work done so far in relation to the REDDES and TFLET Programme Documents (TPD) and Monitoring Protocols (MP) including the identification of potential gaps;
- Synthesize the aggregated achievements of the completed projects under the ITTO Thematic Programmes on REDDES and TFLET towards the respective programmatic achievements;
- Assess the complementarity of REDDES and TFLET with other related initiatives at international level and identify the TP added value;
- Assess lessons learned and effectiveness of knowledge sharing (incl. replicability, innovation, communication, etc.);
- Provide key conclusions and recommendations on strengthening the programmatic approach and as appropriate provide suggestions for adjustments to the programme strategy.

ANNEX 2 LIST OF PRE-PROJECTS AND PROJECTS INCLUDED IN THE REVIEW

TFLET PROJECTS

Code	Country	Title	ITTO Fund-ing
Projects completed			
PD 124/10 Rev. 2 (M)	Africa	Promotion of Sustainable Management of African Forests	864,070
TFL-PD003/09 Rev.2 (M)	Cameroon	Strengthening the National Process for Controlling Illegal Logging and Associated Trade in Cameroon	365,526
TFL-PD017/09 Rev.2 (M)	China	Equipping small and medium sized forestry enterprises in China for procurement of tropical timber from legal and sustainably managed forests	322,056
TFL-PPD 001/09 Rev. 2(M)	Colombia	Implementar y fomentar el manejo forestal sostenible mediante la formulación de un plan de acción para el mejoramiento de la aplicación de la legislación y la gobernanza forestal en Colombia	91,498
TFL-PPD023/10 Rev.1 (F)	Germany	Development and implementation of a species identification and timber tracking system in Africa with DNA fingerprints and stable isotopes	175,742
TFL-SPD007/09 Rev.1 (M)	Ghana	Strengthening the Capacity of Small-Medium Enterprises in Ghana to Produce and Trade in Timber Products from Legal and Sustainable Sources	163,039
TFL-PD024/10 Rev.2 (M)	Guatemala	Fortalecimiento de las Capacidades Institucionales para mejorar la Observancia de la ley y la Gobernanza Forestal en Guatemala	563,339
TFL-PD010/09 Rev.1 (M)	Indonesia	Strengthening the Capacity of Related Stakeholders in Java on Implementing New Indonesian TLAS	474,163
TFL-PD019/10 Rev.2 (M)	Indonesia	Developing Collaborative Management of Cibodas Biosphere Reserve, West Java Indonesia	496,670
PPD 138/07 Rev. 1(M)	Peru	Verifying the Legality of Timber Forest Products in Peru	79,844
Sub Total		**10 projects**	**3,595,947**
Projects on-going			
TFL-PD 037/13 Rev. 2(M)	Australia	Implementing a DNA Timber Tracking System in Indonesia	518,833
TFL-PD014/09 Rev.1 (M)	Cameroon	Reduction of Illegal Logging Through Better Governance of Community Forests in the Lorn et Djerem Division, East Region, Cameroon	302,562
TFL-SPD028/12 Rev.1 (M)	Ghana	Empowering Civil Society Organizations and Other Non-state Actors to Effectively Contribute to Forest Law Compliance in Ghana	147,701
TFL-PPD040/13 Rev.2 (M)	Guatemala	Development of a Program to Strengthen the Traceability of Legally Sourced Forest Products in Guate-mala	74,586
TFL-PPD045/13 Rev.2 (M)	Guatemala	Improving Forest Product Monitoring and Efficiency Through the Development of a Program to Enhance the Performance of the Primary Forest Processing Industry	66,492

Code	Country	Title	ITTO Funding
TFL-PD032/13 Rev.2 (M)	Indonesia	Strengthening the Capacity of Local Institutions to Sustainably Manage Community Forestry in Sanggau for Improving Livelihood	456,680
TFL-PD033/13 Rev.2 (M)	Indonesia	Strengthening the Governance of Community Forest Through Improved Capacity to Adequately Perform Timber Administration in Java and Nusa Tenggara Region in Indonesia	495,880
TFL-SPD038/13 Rev.3 (M)	Mali	Capacity-Building Programme to Foster Law Enforcement and Local Governance over Timber Use and Marketing Activities in the Segou Region, Mali	149,707
TFL-SPD029/12 Rev.1 (M)	Peru	Marketing of Timber From Legal and Sustainable Sources by Indigenous Communities in Ucayali, Peru for Their Fair Trade Market	137,941
TFL-SPD030/12 Rev.1 (M)	Peru	Improved Governance and Implementation of Transparent Negotiation Mechanisms for Indigenous Community Forestry in Atalaya (Ucayali), Peru	131,236
Sub Total		**10 projects**	**2,481,618**
Grand Total		**20 projects**	**6,077,565**

REDDES PROJECTS

Code	Country	Title	ITTO Funding
Projects completed			
RED-PD029/09 Rev.1 (F)	Brazil	Monitoring deforestation, logging and land use change in the pan Amazonian forest - Panamazon ii	1,124,784
RED-PPD051/11 Rev.1 (F)	Cameroon	Contribution à la mise en place des mécanismes REDD à travers le renforcement de la participation des acteurs à la gestion durable des massifs forestiers du Cameroun	81,864
RED-PPD074/12 Rev.1 (F)	Cameroon	Identification of a project on gender mainstreaming in the development of actions to control deforestation and forest degradation to improve the well-being of communities dependent on forests and other ecosystems in Central and West Africa	101,117
RED-SPD020/09 Rev.1 (F)	China	Development and demonstration on scheme of payment for environmental services (PES) derived from degraded and secondary tropical production forests in Hainan province, China	149,040
RED-A023/09 Rev.1 (F)	DRC	Appui technique pour le développement d'un inventaire forestier national dans la République Démocratique du Congo pour évaluer le stock de carbone et changements dans le stock de carbone dans les terrains forestiers	476,820
RED-PD026/09 Rev.1 (F)	Ghana	Reducing emissions from deforestation and forest degradation through collaborative management with local communities	658,716
RED-PD005/09 Rev.2 (F)	Guyana	Strengthening Guyana's capacity to manage forest resources and environmental services through resources assessment and monitoring changes in deforestation and degradation	400,680
RED-PPD041/11 Rev.2 (F)	Honduras & Guatemala	Designing a programme for capacity building and meaningful stakeholder participation in forest governance and REDD+ in Honduras and Guatemala	144,651
RED-PD007/09 Rev.2 (F)	Indonesia	Enhancing forest carbon stock to reduce emission from deforestation and degradation through sustainable forest management (SFM) initiatives in Indonesia	447,071

Code	Country	Title	ITTO Funding
RED-SPD009/09 Rev.2 (F)	Indonesia	Promoting the partnership efforts to reduce emission from deforestation and degradation of tropical peatland in South Sumatra through the enhancement of conservation and restoration activities	149,493
RED-A 004/09	All countries	Building a voluntary carbon marketing scheme to promote sustainable forest management	97,180
RED-PA056/11 Rev.1 (F)	Cameroon, Ghana, Liberia and Nigeria	Strengthening the capacity of itto producer countries in Africa in generating and disseminating scientific information on reducing deforestation and forest degradation and enhancing environmental services from forests	253,120
RED-PA069/11 Rev.1 (F)	ITTO Producers	Reducing deforestation and forest degradation and enhancing environmental services in tropical forests (REDDES)	143,510
Sub Total	**13 projects**		**4,228,046**
Projects on-going			
RED-PPD050/11 Rev.1 (F)	Cameroon	Participatory development, conservation and rehabilitation of degraded forest areas in the bamboutos mountain chain, West Cameroon	73,613
RED-SPD075/12 Rev.1 (F)	China	Demonstration on investigation and assessment of tropical forest ecotourism resources in Hainan province, China	145,800
RED-SPD055/11 Rev.3 (F)	Ecuador	Integrating sustainable livelihoods, environmental mortgages, and science-based reforestation for tangible forest conservation change in the Ecuadorian Chocó	149,922
RED-SPD077/12 Rev.1 (F)	Ghana	Rehabilitation of degraded forests for sustainable wood fuel production and climate change mitigation in the forest-savanna transition zone of Ghana	121,662
RED-PD093/12 Rev.3 (F)	Ghana	Advancing REDD+ in Ghana: preparation of REDD+ pilot schemes in off-reserve forests and agro-forests	297,205
RED-PPD006/09 Rev.2 (F)	Guatemala	Local REDDES programme for development and addressing climate change in Guatemala: building social processes for sustainability	82,080
RED-SPD079/12 Rev. 1 (F)	Guatemala	Strengthening of governance and sustainable management of mangrove ecosystem in Guatemala as a climate change adaptation measure	146,750
RED-PD064/11 Rev.2 (F)	Indonesia	Promoting local community initiative on the rehabilitation of mangrove ecosystem with demonstration activities in Bintan Island to reduce further deforestation and forest degradation	504,317
RED-SPD084/12 Rev.1 (F)	Liberia	Improving efficacy of forestry policies and activities in Liberia through REDD+ demonstration projects	149,922
RED-PD037/11 Rev.2 (F)	Malaysia	Reducing forest degradation and emissions through sustainable forest management in Peninsular Malaysia	590,922
RED-PD045/11 Rev.2 (M)	Mexico	Environmental assessment and economic valuation of ecosystem services provided by coastal forests (mangrove forests, flood forests, rain forests and scrub forests on dunes) and their agricultural replacement systems on the central coastal plain of Veracruz, Mexico	470,682
RED-PD038/11 Rev.3 (F)	Myanmar	Capacity building for developing REDD+ activities in the context of sustainable forest management	571,890
RED-PD018/09 Rev.1 (F)	Peru	Sustainable forest management and utilization of ecosystem services in forests managed by the Ese'eja native community in Infierno, Peru	356,519

Code	Country	Title	ITTO Fund-ing
RED-PD033/11 Rev.3 (F)	Peru	Value adding to environmental services from managed forests belonging to seven communities in the Ucayali region	415,384
RED-PD031/11 Rev.1 (F)	Togo	Rehabilitation and restoration of residual forests and arid savanna lands in the Akpé and Akama valleys	478,894
RED-SPD092/12 Rev.1 (F)	Togo	Reducing deforestation and forest degradation in the Natchambonga and Djiyega community forests by promoting participatory forest	149,904
Sub Total	**16 projects**		**4,705,466**
Grand Total	**29 projects**		**8,933,512**

ANNEX 3 ASSESSMENT DESCRIPTORS

TFLET descriptor	Value
ID	
Committee	
Status	1=Completed, 2=Operational
Country	
Region	1 = Africa, 2 = Asia, 3 = Latin America, 4 = Consumer countries, 5=ITTO
Phase	0= Pre-project, 1 = No phasing, 2= Phase
Planned duration	months
Start-up date	
Completion date	
Actual duration	months
Funding	0 = ITTO, 1 = Other 1, 2 = Other 2, 3= Other 3, 4 = Total
Problem area	
Silent acceptability of illegal forest operation	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Corruption	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Distorted economic incentives	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Excessive harvesting and industrial capacity	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Limited or no market incentives for legality and SFM	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Transboundary trafficking	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Weak participation of SMEs and community forests in SFM and trade	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Lack of advanced technologies for monitoring and control	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Poverty	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Lack of public pressure to tackle illegal logging/ lack of transparency and accountability in policy implementation	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Policy failures and inadequate legislation	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
High transaction cost of legal compliance	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Weak institutional capacity	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Markets for illegal products	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Weak international/ regional cooperation	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area

TFLET descriptor	Value
Weak supervision and control of trade	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Lack of stakeholder capacity and implement SFM/ supply chain control	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Inadequate information on forests, markets and technology	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Project specific objectives	
Forest compliance and governance	0=no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Transparency	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Capacity	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Cooperation	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Implementation level	1= Enterprise, economic unit, 2= country, 3 = regional/sub-regional , 4 = international
Project type	
Institutional strengthening	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Policy analysis/development	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Market transparency/development	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Capacity building	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Pilot project local level	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Tracking and certification	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Stakeholder participation	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Communication	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Other	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Programme strategy area covered	
Law Compliance and Governance	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Production and Marketing	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
CPEs and other SMEs	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
International cooperation	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Target groups	
Communities	0= no coverage, 1= minor but indicated indirect, 2= direct minor indicated, 3=main beneficiary
Indigenous group	0= no coverage, 1= minor but indicated indirect, 2= direct minor indicated, 3=main beneficiary

TFLET descriptor	Value
SMEs	0= no coverage, 1= minor but indicated indirect, 2= direct minor indicated, 3=main beneficiary
Forest Industry	0= no coverage, 1= minor but indicated indirect, 2= direct minor indicated, 3=main beneficiary
Government	0= no coverage, 1= minor but indicated indirect, 2= direct minor indicated, 3=main beneficiary
Private Sector	0= no coverage, 1= minor but indicated indirect, 2= direct minor indicated, 3=main beneficiary
Civil Society	0= no coverage, 1= minor but indicated indirect, 2= direct minor indicated, 3=main beneficiary
Institution	0= no coverage, 1= minor but indicated indirect, 2= direct minor indicated, 3=main beneficiary
Other	0= no coverage, 1= minor but indicated indirect, 2= direct minor indicated, 3=main beneficiary
Type of executing agency	1= Forest dependent communities, 2 = Indigenous groups, 3 = SMEs, 4 = Forest industry, 5 = Government agencies, 6 =Private sector, 7 =Civil society, 8 = Knowledge institution, 9 = Other
Partnerships	
Government	0 = Not involved, 1 = Financing, 2 = Implementation, 3 = Consultation, 4 = Other
Civil Society	0 = Not involved, 1 = Financing, 2 = Implementation, 3 = Consultation, 4 = Other
Knowledge institution	0 = Not involved, 1 = Financing, 2 = Implementation, 3 = Consultation, 4 = Other
Risks and risk management	
Political	0 = not mentioned, 1 = mentioned but not significant, 2 = significant
Vested interests	0 = not mentioned, 1 = mentioned but not significant, 2 = significant
Market	0 = not mentioned, 1 = mentioned but not significant, 2 = significant
Cross-border cooperation	0 = not mentioned, 1 = mentioned but not significant, 2 = significant
Proposal origin	0 = not mentioned, 1 = mentioned but not significant, 2 = significant
Operational cooperation	0 = not mentioned, 1 = mentioned but not significant, 2 = significant
Financing	0 = not mentioned, 1 = mentioned but not significant, 2 = significant
Other	0 = not mentioned, 1 = mentioned but not significant, 2 = significant
Expected impacts/benefits	
Economic	0 = not mentioned, 1 = mentioned but not significant, 2 = significant

TFLET descriptor	Value
Gender	0 = not mentioned, 1 = mentioned but not significant, 2 = significant
Social	0 = not mentioned, 1 = mentioned but not significant, 2 = significant
Environmental	0 = not mentioned, 1 = mentioned but not significant, 2 = significant
Performance	
Executing agency	0 = major problem, 1 = minor problems, 2 = good
Partners	0 = major problem, 1 = minor problems, 2 = good
ITTO	0 = major problem, 1 = minor problems, 2 = good
Applicability	0 = none, 1= applicable in similar conditions , 2 = applicable at national level, 3 = regional/Int'l level ,4 = all levels
Replicability	0 = none, 1= replicable in similar conditions , 2 = replicable with modifications
Innovation content	0= no element, 1= existing technology in new application/conditions, 2= adapted new technology, 3= new innovation
Sustainability	0 = not sustainable, 1 = sustainable with continuous financing, 2 = some likelihood, 3 = strong likelihood
Necessary follow-up action	0 = no action, 1 = follow-up project, 2 = policy revision, 3 = other

REDDES Descriptor	Value
ID	
Committee	
Country	
Region	1 = Africa, 2 = Asia, 3 = Latin America, 4 = Consumer countries, 5 = All producer countries
Phase	0= Pre-project, 1 = No phasing, 2 = Phase
Planned Duration	months
Start up date	
Completion	
Actual Duration	months
Funding	0 = ITTO, 1 = Other 1, 2 = Other 2, 3= Other 3, 4 = Total
Problem area addressed	
Inappropriate policies legislation and institutional frameworks	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Lack of investment in SFM and restoration	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Inadequate capacity to make informed decisions on maintenance of environmental services	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Lack of trained human resources	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Lack of awareness of, and access to, appropriate technology	
Poverty among forest- dependent communities	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Lack of awareness on policy failures and best practice	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Insecure land/ forest tenure	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Lack of financing mechanisms for forest environmental services	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Lack of assessment and monitoring of forest resources	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Lack of education and training in SFM, restoration and rehabilitation	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Lack of appropriate technology and adequate knowledge	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area

REDDES Descriptor	Value
Project specific objectives	
1. Reduce unplanned deforestation	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
2. Reduce forest degradation;	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
3. Maintain and enhance climate change mitigation and other environmental services of tropical forests;	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
4. Contribute to the social and economic sustainability and well-being of forest-dependent communities by increasing forest values through forest restoration and rehabilitation, as well as payments for forest-based environmental services;	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
5. Enhance adaptation and resilience of tropical forests to negative effects of climate change and human-induced impacts.	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Level of implementation	1 = enterprise, economic unit, 2 = country, 3 = regional/sub-regional , 4 = international
Project type	
Institutional strengthening	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Policy analysis/development	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Pilot project local level	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Capacity building	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Carbon	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Biodiversity	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Water	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Stakeholder participation	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Dissemination	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Other	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Programme strategy area covered	
1. Assessment & diagnosis	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area

REDDES Descriptor	Value
2. Enabling conditions/capacity building	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
3. Demonstration	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
4. Scaling up/dissemination	0= no coverage, 1= minor coverage, 2= substantial coverage, 3=focus area
Target groups	
Communities	0= no coverage, 1= minor but indicated indirect, 2= direct minor indicated, 3=main beneficiary
Indigenous groups	0= no coverage, 1= minor but indicated indirect, 2= direct minor indicated, 3=main beneficiary
Forest owners and managers	0= no coverage, 1= minor but indicated indirect, 2= direct minor indicated, 3=main beneficiary
Policy makers	0= no coverage, 1= minor but indicated indirect, 2= direct minor indicated, 3=main beneficiary
Government	0= no coverage, 1= minor but indicated indirect, 2= direct minor indicated, 3=main beneficiary
Private sector	0= no coverage, 1= minor but indicated indirect, 2= direct minor indicated, 3=main beneficiary
Civil society	0= no coverage, 1= minor but indicated indirect, 2= direct minor indicated, 3=main beneficiary
Knowledge institutions	0= no coverage, 1= minor but indicated indirect, 2= direct minor indicated, 3=main beneficiary
Other	0= no coverage, 1= minor but indicated indirect, 2= direct minor indicated, 3=main beneficiary
Type of Executing Agency	0=ITTO, 1 = Forest dependent communities, 2 = Indigenous groups, 3 = SMEs, 4 = Forest industry, 5 = Government agencies, 6 =Private sector, 7 =Civil society, 8 = Knowledge institution, 9 = Other
Partnerships	
Government	1 = Financing, 2 = Implementation, 3 = Consultation, 4 = Other
Civil Society	1 = Financing, 2 = Implementation, 3 = Consultation, 4 = Other
Institution	1 = Financing, 2 = Implementation, 3 = Consultation, 4 = Other
Risks and risk management	
Political/gov't decision making	0 = not mentioned, 1 = mentioned but not significant, 2 = significant
Economic incentives	0 = not mentioned, 1 = mentioned but not significant, 2 = significant
Forest conversion	0 = not mentioned, 1 = mentioned but not significant, 2 = significant
Cross-border cooperation	0 = not mentioned, 1 = mentioned but not significant, 2 = significant
Proposal origin	0 = not mentioned, 1 = mentioned but not significant, 2 = significant

REDDES Descriptor	Value
Operational cooperation	0 = not mentioned, 1 = mentioned but not significant, 2 = significant
Financing	0 = not mentioned, 1 = mentioned but not significant, 2 = significant
Other	0 = not mentioned, 1 = mentioned but not significant, 2 = significant
Expected impacts/benefits	
Economic	0 = not mentioned, 1 = mentioned but not significant, 2 = significant
Gender	0 = not mentioned, 1 = mentioned but not significant, 2 = significant
Social	0 = not mentioned, 1 = mentioned but not significant, 2 = significant
Environmental	0 = not mentioned, 1 = mentioned but not significant, 2 = significant
Carbon/climate	0 = not mentioned, 1 = mentioned but not significant, 2 = significant
Biodiversity	0 = not mentioned, 1 = mentioned but not significant, 2 = significant
Water	0 = not mentioned, 1 = mentioned but not significant, 2 = significant
Performance	
Executing agency	0 = major problem, 1 = minor problems, 2 = good
Partners	0 = major problem, 1 = minor problems, 2 = good
ITTO	0 = major problem, 1 = minor problems, 2 = good
Applicability	0 = none, 1= applicable in similar conditions , 2 = applicable at national level, 3 = regional/Int'l level ,4 = all levels
Replicability	0 = none, 1= replicable in similar conditions , 2 = replicable with modifications
Innovation content	0= no element, 1= existing technology in new application/conditions, 2= adapted new technology, 3= new innovation
Sustainability	0 = Not sustainable, 1 = sustainable with continuous financing, 2 = some likeli-hood, 3 = strong likelihood
Necessary follow-up action	0 = No action, 1 = follow-up project, 2 = policy revision, 3 = other

ANNEX 4 TECHNICAL REPORTS PRODUCED BY TFLET AND REDDES THEMATIC PROGRAMMES

TP Programme	PD number	Technical report title
TFLET	TFL-SPD 007/09 Rev.1 (M)	Wood Tracking Manual of Procedure for Small-Medium Enterprises
TFLET	TFL-SPD 007/09 Rev.1 (M)	Wood Tracking System Implementation Project in Ghana
TFLET	TFL-PPD 01/09 Rev.2 (M)	Draft Project Proposal: Implementar y fomentar el manejo forestal sostenible mediante la aplicación de la legislación y la gobernanza forestal en Colombia
TFLET	TFL-PD 010/09 Rev.1 (M)	Report on Training Evaluation (Impact of Training for Understanding TLVS in 3 Groups of Participants in Java)
TFLET	TFL-PD 010/09 Rev.1 (M)	Partnership Dialogue in Community-Based Forest Enterpreneurship in West Java and Central Java (Bandung and Jepara)
TFLET	TFL-PD 010/09 Rev.1 (M)	Activity Report - Dissemination of Information on the New Standard of TLAS in Java
TFLET	TFL-PD 010/09 Rev.1 (M)	Activity Report - Technical Assistance for Implementing SVLK on Community based Forest Managements (CBFMs) in East Java, Central, and West Java
TFLET	TFL-PD 010/09 Rev.1 (M)	Activity Report - National Workshop - Preliminaries of TLAS Implementation for Community Forest in Java
TFLET	TFL-PD 010/09 Rev.1 (M)	Activity Report - Independent Institution for Monitoring Implementation of TLAS for Timber Resource from Community Forests and Community Plantation Forests Assessed and Proposed
TFLET	TFL-PD 010/09 Rev.1 (M)	Activity Report - Develop One Package Protocols/Guidelines To Monitor The TLAS Implementation Conducted by Independent Civil Society
TFLET	TFL-PD 010/09 Rev.1 (M)	Report of Training Curriculum Development (Understanding TLAS in Community Forest)
TFLET	TFL-PD 010/09 Rev.1 (M)	Preparing Forest Farmers Readiness to Implement TLAS in Java (Training on TLAS Understanding in Community Forest in Java for Forest Farmers Group)
TFLET	TFL-PD 010/09 Rev.1 (M)	Report of Training on Understanding Timber Legality Assurance system (TLAS) For Timber Processing Industry with Source of Raw Materials from the Privately Owned Community Forest/Community Land in Java
TFLET	TFL-PD 010/09 Rev.1 (M)	Preparing Government Readiness to Implement TLAS - Training on System of Timber Legality Verification (TLVS/TLAS) for Government Group and Other Sectors in Java
TFLET	TFL-PD 024/10 Rev.2 (M)	Ley Forestal Decreto Legislativo Numero 101-96
TFLET	TFL-PD 024/10 Rev.2 (M)	Manual de Lineamientos para el Manejo Integral de los Bosques Comunitarios
TFLET	TFL-PD 024/10 Rev.2 (M)	Reglamento para la Fiscalización de Empresas Forestales

TP Programme	PD number	Technical report title
TFLET	TFL-PD 024/10 Rev.2 (M)	Reglamento para el Transporte de Productos Forestales y su Procedencia Lícita
TFLET	TFL-PD 024/10 Rev.2 (M)	Revisión de la Normativa Forestal relacionada con la Prevención y Reducción de la Tala Ilegal en Guatemala
TFLET	TFL-PD 024/10 Rev.2 (M)	Formulación de los reglamentos de auditoría y transporte
TFLET	TFL-PD 019/10 Rev.2 (M)	Enhancing Stakeholders Commitment to an Effective Management of Cibodas Biosphere Reserve
TFLET	TFL-PD 019/10 Rev.2 (M)	Developing and Adopting an Integrated Strategic Management Plan for Cibodas Biosphere Reserve
TFLET	TFL-PD 019/10 Rev.2 (M)	Promoting Community Awareness on the Conservation and Sustainable Use of Biodiversity and Environmental Services to Enhance Forest Law Enforcement and Governance
TFLET	TFL-SPD 030/12 Rev.1 (M)	Capacitación sobre instrumentsos de negociación con Terceros de las comunidadesindigenas, en la Provincia de Atalaya - Perú
TFLET	TFL-SPD 030/12 Rev.1 (M)	Taller de capacitación sobre herramientas prácticas de valorización de los recursos aprovechables en los bosques de las comunidades indígenas
TFLET	TFL-SPD 030/12 Rev.1 (M)	Manual Práctico de Censos Forestales
TFLET	TFL-SPD 030/12 Rev.1 (M)	Manual Práctico de Cubicacion de Madera Rolliza-Aserrada
TFLET	TFL-SPD 030/12 Rev.1 (M)	Manual Práctico de Inventarios Forestales
TFLET	TFL-SPD 030/12 Rev.1 (M)	Manual Práctico de Servicios Ambientales
TFLET	TFL-SPD 030/12 Rev.1 (M)	Manual Práctico de Zonificacion y Mapeo Comunal
TFLET	TFL-SPD 028/12 Rev.1 (M)	Training on Legality and Sustainability along the Timber Supply Chain for Civil Society Organization in Ghana
TFLET	TFL-SPD 028/12 Rev.1 (M)	Conduct of Training on the Use of Modern Tools of Engagement for Civil Society Organization in Ghana
REDDES	RED-PD 026/09 Rev.1 (F)	Economic Evaluation-Ankasa
REDDES	RED-PD 018/09 Rev.1 (F)	Estimación de la deforestación no planificada en el escenario de linea base
REDDES	RED-PD 018/09 Rev.1 (F)	Diagnostico del Uso, Impacto y Actores Involucrados con la Gestión de los Recursos Naturales del Bosque de la Comunidad Nativa de Infierno
REDDES	RED-PD 018/09 Rev.1 (F)	Estimación del carbono almacenado en la biomasa del bosque de la comunidad nativa Ese'Es ja de infierno – Madre de Dios, Perú
REDDES	RED-PD 018/09 Rev.1 (F)	Estudio Socioeconómico de la Comunidad Nativa de Infierno
REDDES	RED-PD 018/09 Rev.1 (F)	Guía de campo para la estimación del carbono almacenado en la biomasa de los bosques administrados por la comunidad nativa Ese'Eja de Infierno y su concesión de ecoturismo en la region Madre de Dios

TP Programme	PD number	Technical report title
REDDES	RED-PD 018/09 Rev.1 (F)	Informe Topográfico Legal de la Comunidad Nativa Ese'Eja Infierno Puerto Maldonado - Madre de Dios
REDDES	RED-PD 018/09 Rev.1 (F)	Estudo legal para ratificar y mantener los derechos legales de uso de los recursos del bosque en el territorio comunal y en la concesión de ecoturismo de la comunidad nativa de Infiermo
REDDES	RED-PD 018/09 Rev.1 (F)	Estimacion de los cambios en el carbono almacenado y emisiones de gases efecto invernadero producidas por deforestacion no planificada en escenariio de linea base de la comunidad nativa de Infierno – Región Madre de Dios
REDDES	RED-PD 018/09 Rev.1 (F)	Evio Kuiñaji Ese´Eja Cuana, Para Mitigar el Cambio Climático, Madre de Dios - Perú
REDDES	RED-PD 018/09 Rev.1 (F)	Documento de Diseño del Proyecto (PDD) bajo los estándares de la Alianza para el Clima, Comunidad y Biodiversidad (CCBA)
REDDES	RED-PD 018/09 Rev.1 (F)	Plan de accion para la gestión del bosque de la comunidad de Infiermo
REDDES	RED-PD 018/09 Rev.1 (F)	Monitoring Report for the Project Evio Kuiñaji Ese'Eja Cuana, to Mitigate Climate Change, Madre de Dios - Perú
REDDES	RED-PD 007/09 Rev.2 (F)	Analysis on Economic Incentive Framework of SFM as important option for forest-based climate change mitigation to reduce emission from and by tropical forest
REDDES	RED-PD 007/09 Rev.2 (F)	Develop Forest Carbon Standard and Carbon Accounting System for Smallscale Plantation based on Local Experiences
REDDES	RED-PD 007/09 Rev.2 (F)	Draft National Strategy on Enhancing and Maintaining Forest Carbon Stock through Sustainable Forest Management Activities: A Strategic Assessment
REDDES	RED-PD 007/09 Rev.2 (F)	Review for Existing Sustainable Forest Management (SFM)-Based Project in Indonesia
REDDES	RED-PD 007/09 Rev.2 (F)	Pengembangan Standar Fenghitungan Karbon Hutan Tanaman Skala Kecil Berdasarkan Pengalaman Lokal
REDDES	RED-PD 007/09 Rev.2 (F)	Reports on International Meeting on Forest-based Climate Change Policies and Action Plans in Indonesia
REDDES	RED-PD 007/09 Rev.2 (F)	Review infrastructure framework and mechanism related to SFM as important option in reducing emission from deforestation and forest degradation
REDDES	RED-PD 007/09 Rev.2 (F)	SFM, Forest based Carbon, Carbon stock, CO_2 sequestration and Green products in order to reduce emissionsfrom deforestation and forest degradation
REDDES	RED-PD 007/09 Rev.2 (F)	Study and analyze regulations concerning sustainable forest management, forest based carbon, C stock, CO_2 sequestration and green product
REDDES	RED-PD 007/09 Rev.2 (F)	Telaah kerangka infrastruktur dan mekanisme pengelolaan hutan berkelanjutan (SFM) sebagai opsi penting dalam penurunan emisi dari deforestasi dan degradasi hutan (REDD)

TP Programme	PD number	Technical report title
REDDES	RED-PD 005/09 Rev.2 (F)	Guyana's Forest Resources & Environmental Services
REDDES	RED-PD 005/09 Rev.2 (F)	REDDES Monitoring - Guyana's National Forest Estate Model
REDDES	RED-PD 005/09 Rev.2 (F)	Report on Requirements necessary for Guyana to Access Identified payments for Ecosystems services Markets
REDDES	RED-SPD 020/09 Rev.1 (F)	Study on Payments for Environmental Services (PES) of Natural Production Forests (NPFs) in Hainan Province, China
REDDES	RED-PD 064/11 Rev.2 (F)	Preparation of Baseline Data of Mangrove Ecosysem Management in Bintan Island
REDDES	RED-PD 064/11 Rev.2 (F)	Activity Report-Review and Policy Analysis on Community-Based Mangrove Ecosystem Management in Nin and District
REDDES	RED-PD 064/11 Rev.2 (F)	Study on Socio-Economic Community-Based Mangrove Ecosystem Management at Bin and Regency-Rian Islands Province
REDDES	RED-PD 064/11 Rev.2 (F)	Training of Strengthening the Community Institutional Capacity in Mangrove Ecosystem Management in Bintan District (Five Fingers Management System)
REDDES	RED-PD 045/11 Rev.2 (M)	Valoración del servicio ambiental de provisión de los recursos naturales de un potrero derivado de selva-palmar inundable, en Jamapa, Veracruz
REDDES	RED-PD 045/11 Rev.2 (M)	Evaluación ambiental y valoración económica de los servicios ecosistémicos proporcionados por los bosques costeros (manglares, selvas inundables, selvas y matorrales sobre dunas) y sus agro-sistemas de reemplazo, en la planicie costera central de Veracruz, México
REDDES	RED-PD 038/11 Rev.3 (F)	Proceedings of the inception Workshop on Capacity Building for Developing REDD-Plus Activities in the context of sustainable Forest Management
REDDES	RED-PD 033/11 Rev.3 (F)	Diagnostico social economico en dos comunidades Cacataibo
REDDES	RED-PD 033/11 Rev.3 (F)	Diagnostico social economico en cinco comunidades Shipibo – Conibo
REDDES	RED-PD 033/11 Rev.3 (F)	Diagnostico sobre las necesidades de capacitacion recursos maderables y no maderables de 07 comunidades nativas de la Region de Ucayali
REDDES	RED-PD 033/11 Rev.3 (F)	Estimación del carbono almacenado en la biomasa del bosque de las comunidades nativas de Calleria, Flor de Ucayali, Buenos Aires, Curiaca, Pueblo Nuevo del Caco y Puerto Nuevo, en la region de Ucayali – Perú
REDDES	RED-PD 033/11 Rev.3 (F)	Estudio de estratification de los bosques del area del proyecto
REDDES	RED-PD 033/11 Rev.3 (F)	Estimatión del carbono almacenado en la biomasa del bosque de la comunidades nativas de Calleria, Flor de Ucayali, Buenos Aires, Roya, Curiaca, Pueblo Nuevo del Caco y Puerto en la region de Ucayali - Perú

TP Programme	PD number	Technical report title
REDDES	RED-PD 033/11 Rev.3 (F)	Guia de Aprendizaje Fortalecimiento Organizacional-Tema I Cultura Organizacional
REDDES	RED-PD 033/11 Rev.3 (F)	Guia de Aprendizaje Fortalecimiento Organizacional - Tema IV Gestion de Conflictos Organizacionales
REDDES	RED-PD 033/11 Rev.3 (F)	Guia de Aprendizaje Fortalecimiento Organizacional-Tema III Gobernanza Local
REDDES	RED-PD 033/11 Rev.3 (F)	Guia de Aprendizaje Fortalecimiento Organizacional-Tema II Liderazgo Organizacional
REDDES	RED-PD 033/11 Rev.3 (F)	Informe de Implementacion sobre Campañas de Sensibilizacion Comunal
REDDES	RED-PD 033/11 Rev.3 (F)	Linea base social para el proyecto REDD y evaluación de impactos
REDDES	RED-PD 033/11 Rev.3 (F)	Marco logico para el proyecto REDD
REDDES	RED-PD 033/11 Rev.3 (F)	Plan de Capacitación de Recursos Maderables y no Maderables en 07 Comunidades Nativas de la Region Ucayali
REDDES	RED-PD 033/11 Rev.3 (F)	Plan de capacitación sobre REDD
REDDES	RED-PD 033/11 Rev.3 (F)	Plan de campañas de sensibilización comunal sobre la importancia del bosque
REDDES	RED-PD 033/11 Rev.3 (F)	Proyecto-Puesta en valor de los servicios ambientales en bosques manejados de 07 comunidades nativas de la region Ucayali
REDDES	RED-PA 056/11 Rev.1 (F)	Workshop Report – District Level Stakeholders Engagement on REDDES Implementation Strategies in Ghana
REDDES	RED-PA 056/11 Rev.1 (F)	Collaborative participation to fight forest resource degradation in the Dimako District, Cameroon
REDDES	RED-PA 056/11 Rev.1 (F)	Collaborative participation to fight forest resource degradation in the Offinso District, Ghana
REDDES	RED-PA 056/11 Rev.1 (F)	Collaborative participation to fight forest degradation in the Yorma National Forest
REDDES	RED-PA 056/11 Rev.1 (F)	Collaborative participation to fight forest degradation and deforestation in the Akure Forest Reserve (AFR), Nigeria
REDDES	RED-PA 056/11 Rev.1 (F)	Assessments on socio-economic, ecological and institutional issues in the pilot site in Cameroon
REDDES	RED-PA 056/11 Rev.1 (F)	Report of Stakeholders Meeting on Specific Strategies to Control Deforestation and Forest Degradation and Enhancing Environmental Services Held at Owena, Ondo State, Nigeria
REDDES	RED-PPD 074/12 Rev.1 (F)	Project Proposal-Projet de prise en compte du Genre dans le développement des actions de lutte contre le déboisement et la dégradation des forêts, ainsi que l'amélioration du bien-être des communautés tributaires des forêts et des autres écosystèmes en Afrique Centrale
REDDES	RED-PPD 074/12 Rev.1 (F)	État des lieux relatif au genre dans le déboisement et la dégradation des forêts en République Centrafricaine
REDDES	RED-PPD 074/12 Rev.1 (F)	État des lieux relatif au genre dans le déboisement et la dégradation des forêts au Cameroun

TP Programme	PD number	Technical report title
REDDES	RED-PPD 074/12 Rev.1 (F)	État des lieux relatif au genre dans le déboisement et la dégradation des forêts au Gabon
REDDES	RED-PPD 074/12 Rev.1 (F)	The Role of Women in Deforestation and Forest Degradation in Liberia: A case study of women's perception in Gbarpolu County
REDDES	RED-PPD 074/12 Rev.1 (F)	Les questions de genre dans la gouvernance forestière et contributions des femmes au déboisement et à la dégradation des forêts en Afrique du Centre et de l'Ouest. Rapport de synthèse des études réalisées au Cameroun, Gabon, Liberia et RCA.
REDDES	RED-PD 093/12 Rev.3 (F)	A Guide to Implementing REDD+ in Ghana: Criteria and modalities for developing a REDD+ project
REDDES	RED-PD 093/12 Rev.3 (F)	Policy Brief: Considering Carbon Rights in Ghana: A Review of Natural Resource Management Governance Structures and Implications for Defining Carbon Assets and Sharing Benefits
REDDES	RED-PD 093/12 Rev.3 (F)	Land use systems in Ghana's Central Region and their potential for REDD+
REDDES	RED-PD 093/12 Rev.3 (F)	Report on Financial Viability and Benefit Sharing Options of the Bedum and Nkoranzaman REDD+ Pilot Projects
REDDES	RED-PD 093/12 Rev.3 (F)	Field Report Shea Pilot Project – North Kintampo District
REDDES	RED-PD 093/12 Rev.3 (F)	Potential REDD+ Project Types in Off-Reserve Areas, Agroforests and Secondary Forests in Various Ecological Zones of Ghana
REDDES	RED-PD 093/12 Rev.3 (F)	Analyses of potential livelihood outcomes, farming practices and conflicts in natural resource use under a REDD+ implementation in Ghana
REDDES	RED-PD 093/12 Rev.3 (F)	Analyses of incentive mechanisms for rewarding rural farming communities to adopt sustainable land use practices under a REDD+ implementation in forest and savanna transitional zones, Ghana
REDDES	RED-PD 093/12 Rev.3 (F)	Draft Training Workshop Report - Capacity building for community groups about the potential of forest/tree protection
REDDES	RED-PD 093/12 Rev.3 (F)	Activity 2.3 Development of options for incentive mechanisms that reward farmers and rural communities for adopting sustainable land use practices
REDDES	RED-PD 093/12 Rev.3 (F)	Activity 2.1: Study the potential effects of REDD+ implementation on local peoples existing land use practices and their control over natural resources / Project Monitoring Mission and the Second PTC meeting / Preparations for Activity 3.2 (Workshops for the sharing of results and conclusions of analytical studies) and Activity 3.3 (Publication of studies results and dissemination through ITTO)
REDDES	RED-PD 093/12 Rev.3 (F)	Potential REDD Project Types in off-Reserve Areas
REDDES	RED-PD 093/12 Rev.3 (F)	Activity 3.1 Capacity building for community groups about the potential of forest/tree protection / Activity 3.2 Workshops for the sharing of results and conclusions of analytical studies / Activity 3.3 Publication of studies results and dissemination through ITTO
REDDES	RED-PD 093/12 Rev.3 (F)	REDD+ in agricultural landscapes: evidence from Ghana's REDD+ process

ANNEX 5 LEVEL OF ACHIEVEMENT OF THE TFLET THEMATIC PROGRAMME IN RELATION TO THE TARGETS OF THE MONITORING PROTOCOL

Specific Objective	Output Indicator	Target value	Level of achievement	Means of Verification	Comment
a) Strengthen forest law compliance and governance through improved national policy and legal frameworks, strengthened enforcement and other institutions, improved data and knowledge, strengthened partnerships and improved cooperation among the private sector, civil society organizations and other stakeholders	Laws and legal instruments on tenure and user rights established, reviewed or improved	5 countries	4 countries in process	Improved laws and regulations published in the national gazette (where applicable)	No information on publication in the national gazettes
	Establishment and operation of multi-stakeholder consultation mechanism		11 countries established or in process	Evidence on establishment of committees Reports of Multi-stakeholder committees	PCRs, project documents of ongoing projects
	National Action Plan formulated and under implementation		4 countries prepared 2 countries in process of implementation	Evidence on approval of National Action Plans Periodic reports on implementation of National Action Plans	Plan documents, PCRs
	Establishment and strengthening of law enforcement units		4 countries	Number of personnel trained in forest law enforcement Evidence on establishment of LEU Law Enforcement Units operational	
	National studies on timber flows carried out		4 countries	Reports on studies Database(s) on interventions on forest crime, illegal logging and trade	Study reports, PCRs
	Reconciliation mechanism for resolving trade flow discrepancies			Reconciliation mechanism established and related reports	No reconciliation mechanisms reported
	Cost-effective and non-paper based timber tracking systems developed and implemented		5 countries	Report on the implementation of the systems, certification of verification of legality, chain of custody certification reports	Technical reports, PCRs
	Compendium on tracking and tracing technologies prepared	Compendium	1 global analysis	Compendium of tracking and tracing	ITTO dissemination records

Specific Objective	Output Indicator	Target value	Level of achievement	Means of Verification	Comment
			4 projects produced review of existing and applicable technologies	technologies and evidence on dissemination	PCRs, technical reports
b) Improve transparency and effective management of supply chains and increased domestic and international trade in legally produced tropical timber	Increased volumes of traded tropical timber and timber products from legal and sustainable sources	TBD	Trade volumes cannot be assessed 11 projects in 9 countries targeted at this output indicator	Number of Certificates of COC, legality, etc.	PCRs, technical reports Numbers have not bee recorded
	Development of procurement policies in ITTO producing countries	5 countries	Preliminary work in one country	Number of countries with public procurement policies and legislation formulated and/or implemented	
	Public timber procurement policies and legislation formulated and/or under implementation	5 countries	Related preparatory work in four countries	Dissemination of public timber procurement policies in producer countries Increased trade volumes of tropical timber and timber products	At least 3 ITTO producing countries have relevant procurement policies
	Civil society / private sector / governmental agency partnerships established	5 partnerships	At least 16 countries through formal arrangements Most projects have at least informal arrangements	Progress/Completion Reports; MOUs of partnerships	PCRs
	Training courses on forest law compliance implemented		7 countries, 13 projects	Number of training modules Reports on training programmes Participants evaluation reports	PCRs, training reports
	Codes of conduct from the private sector)	5 Codes of Conduct	2 countries	Reports on the implementation of Codes of Conduct adopted	PCRs, no reports available on implementation

Specific Objective	Output Indicator	Target value	Level of achievement	Means of Verification	Comment
c) Improve capacity of community and small and medium-sized enterprises to implement and demonstrate that timber produced and traded comes from legal sources contributing to sustainable livelihoods	Value and volume of timber produced and traded by forest dependant and local communities	5 communities	Not measurable	Production and Trading records from the communities Certification of community based SFM	Community level records on products and sales are not available
	Relevant training modules developed and disseminated in forest communities	5 communities	6 countries, 13 projects provided training or in process for communities and SMEs and developed training modules	Training modules, reports on training	PCRs, project documents, technical reports, training reports
	Value and volume of timber traded by SMEs	5 SMEs		Production and Trading records from the SMEs	Records on products and sales are not available at SME level
	Relevant training modules developed and disseminated to SMEs	5 SMEs	See above	Training modules, reports on training	Training modules were not differentiated between communities and SMEs.
	Increased number of registered SMEs	Percentage increase	Not measurable 8 projects in process of developing registers	Database on registered SMEs	PCRs, project documents
d) Improve international cooperation in forest law enforcement and governance among ITTO member countries and other related international initiatives	Increase in the number of ITTO member countries participating in international and regional initiatives to improve forest law enforcement and governance	TBD	6 countries in FLEGT VPA implementation process and 8 countries in the negotiation process	Reports of the international and regional initiatives	FLEGT websites PCRs
	Increase of ITTO member countries in transboundary timber control processes		No progress reported under TFLET processes beyond what has been done in national projects.	Number of bilateral initiatives on forest law enforcement	
	Increased number of ITTO member countries engaged in regional and international coopera-		6 countries in FLEGT VPA implementation process and 8 countries in the nego-	Number of initiatives to facilitate country engagement in regional and international cooperation initia-	See above

Specific Objective	Output Indicator	Target value	Level of achievement	Means of Verification	Comment
	tion initiatives		tiation process	tives such as VPA/FLEGT etc.	
	FAO/ITTO best practices on forest law compliance policy briefs disseminated	All ITTO member countries	Major dissemination activities completed	Distribution list of FAO/ITTO best practices on forest law compliance policy briefs	Distribution records
	Information on timber procurement and due diligence requirements disseminated		Information dissemination in connection through a broad range of actions on project level	Due Diligence Report and reports on dissemination mechanism	Distribution records

ANNEX 6 LEVEL OF ACHIEVEMENT OF THE REDDES THEMATIC PROGRAMME IN RELATION TO THE TARGETS OF THE MONITORING PROTOCOL

Specific Objective	Output Indicator	Target Value	Level of achievement	Means of Verification	Comments
The specific objective of the Programme is to strengthen the capacity of ITTO developing member countries and their stakeholders to: a) Reduce unplanned deforestation b) Reduce forest degradation c) Maintain and enhance climate change mitigation and other environmental services of tropical forests d) Contribute to the social and economic sustainability and well-being of forest-dependent communities by increasing forest values through forest restoration	Increased area under SFM, restoration or conservation Number of initiatives on avoided deforestation: Delineated land and forest tenure and user rights Monitor forest cover and land-use change Establishment of permanent forest estate Number of initiatives addressing restoration: Forest landscape restoration Demonstration projects on restoration Number of initiatives on conservation Trans-boundary Conservation Area (TBCA) Buffer zone management	6 countries (2 per region)	19 projects in 16 countries completed or in process 4 projects 9 projects in 8 countries 5 countries working in this area 5 projects in 5 countries 8 projects in 7 countries No projects in REDDES 1 projects specifically targeted at buffer zones	Projects funded Reports on initiatives	PCRs, PDs Initiatives are part of project activities and as initiatives they are not necessarily reported. Several trans-boundary conservation projects in the regular project cycle
	Revised/updated versions of ITTO guidelines and other relevant policy documents incorporating new approaches on climate change and environmental services	2 guidelines/ policy documents reviewed/updated	Completed by publication and dissemination of two guideline documents and one policy brief	New/updated versions of ITTO guidelines	These activities were implemented only partially through REDDES support; mainly through BWP
	Increased income resulting from forest-related environmental services and other forest products by local communities of participating countries Increase of women participation in the community forest-related environmental services of participating countries	10% increase from the baseline information in income in at least 30 communities Increase of women participation in at least 30	17 projects in 10 countries targeted at this output Exact number of communities is not known but is certainly more than 30. 7 projects targeted specifically at this output area, including through	Reports on the demographic and socio-economic situation in the area of influence of the projects supported by the Thematic Programme	Increase is impossible to verify without detailed baseline and ex post socio-economic surveys which are not available. Most of the other projects of the total of XX in this category also contributed to women partic-

and rehabilitation, as well as payments for forest-based environmental services e) Enhance adaptation and resilience of tropical forests to negative effects of climate change and human-induced impacts		communities of participating countries	support women's groups, most of the other projects of the total of 17 in this category also contributed to women participation		ipation
	Increased public awareness	2 countries	In 12 countries awareness raising activities on forest values carried out or in process through 17 projects	Number of awareness campaigns at community/country level	Awareness raising activities can be through specific campaigns but typically as stakeholder consultative meetings, workshops and dissemination of information
	Existence of appropriate methodology to value Environmental Services and ability to apply	1 country	Valuation methodologies were developed (or are in process) in 8 countries	Reports on appropriate valuation and methodology available	PCRs, technical reports, PDs
	Increased forest value and market opportunities for forest products and services	2 countries	Values and market opportunities studied and developed in 6 countries	National accounting reports	This aspect was often part of methodology or background studies on PES
	Incorporation of the value of forest environmental services in national accounting	2 countries	No project has worked on this area as yet	Reports on study on actual payments for environmental services	ITTO has previously done benchmark reports on some countries At least two ITTO countries have reports in this area; not part of REDDES projects
	National forest carbon assessment and monitoring systems	2 national forest carbon inventories supported by the programme	Work in 15 countries contributed to this area, in some cases in pilot areas, all involved capacity building	National forest carbon inventory reports National forest monitoring systems	Inventory reports in the Amazon Basin countries PCRs, PDs, technical reports
	National/regional studies conducted on assessment of value of biodiversity on land with potential for biodiversity PES schemes.	3 studies	11 projects in 10 countries	Reports of the national/regional studies	Technical reports n national, sub-national and local levels PCRs, PDs
	Assessment of national forest finance strategies	1 country	At least 2 countries assessed bundling of envi-	Assessment reports	Work was part of broader PES scheme devel-

			ronmental services		opment
	Increased area of community forest protected against fire, pest and disease Improved silvicultural systems in community forests	30 communities 3 countries	15 project in 10 countries worked or are in process in this area 6 countries	Fire, pests and disease incident reports Project reports	Increased area cannot be measured . The number of communities involved is likely to be much larger than 30
	National policy reforms and clear forest and land tenure arrangements in place, integrating climate change mitigation/adaptation and other environmental services	3 countries	Capacity building for policy reforms and tenure arrangements carried out or in process in 5 countries	Evidence on policy and legislative reforms processes on forest and land tenure in at least three countries covered by the programme	PCRs, PDs
	Learning network on forest landscape restoration focusing on benefits of environmental services Information on REDDES results available on ITTO website	Establishment of one global network supported Regularly updated website	No global REDDES network established 9 countries have national networks Upgraded ITTO website in operation	Website and links to the network; information made available	GPFRL already working in this area with ITTO as founding member Not a specific REDDES activity
	PES incentive mechanisms developed or undergoing implementation Studies on the assessment of willingness to pay for environmental services	3 countries 3 studies	11 countries Part of PES studies	Evidence on PES mechanisms developed or undergoing implementation Reports	PCRs, PDs Relevant only for tourism and recreation projects
	Forestry stakeholders trained in the implementation of restoration and rehabilitation activities, PES schemes and the implementation of policy reforms and/or land/forest tenure arrangements National criteria and indicators for SFM, forest restoration and rehabilitation developed	300 forestry stakeholders in 3 countries (100 each) 3 countries (one per region)	Estimated 2,900 stakeholders trained in 15 countries No work in this area	Training Reports National C& I reports	PCRs, training reports Work is pending due to future revision of ITTO C&I
	Demonstration projects on community involvement in avoided deforestation and degradation, development of environmental services, SFM, restoration and rehabilitation of secondary and degraded forest areas.	3 demonstration projects	17 projects in 11 countries	Project reports. Visit reports of demonstration projects.	PCRs, PDs

	Communities trained and assisted in development and implementation of PES mechanisms Communities directly involved in PES mechanisms developed and /or undergoing implementation with the support of the programme	Communities in 3 countries trained Communities in 3 countries involved in PES mechanism	Training carried out in 10 countries; specific reports available on 24 communities trained (the true figure is larger) 12 projects in 9 countries	Report of the training workshops Activity reports	
	Participatory systematization of lessons learned (Sub-) National working groups Forest dependent communities sensitized on adaptation options to climate change.	30 communities 3 countries 3 countries	Projects in 10 countries 12 countries See above	Report of the multi-stakeholder partnerships Workshop and training Reports	Difficult to interpret the indicator Usually part of sensitization on mitigation
	Issues of the TFU and number of hits on the ITTO website for the information sharing and knowledge management systems International seminar on REDDES to share experiences and lessons learned	3 issues of TFU (one per year) and more than 5,000 hits on the ITTO web page for REDDES information sharing 1 international seminar	1 international conference organized on PES	Report of the establishment of network and the operation of the website including usage matrix Proceedings of the international seminar on REDDES and PES.	ITTO publication and dissemination records Policy brief, conference report, TFU article

ANNEX 7 REGULAR CYCLE PROJECTS AND BWP ACTIVITIES WITH LINKAGE TO TFELT AND REDDES THEMATIC PROGRAMMES

TP /Project code	Title	Country	Total ITTO	REDDES Objec-tives
REDDES				
Financed projects				
PD333/05 Rev.2 (I)	DEVELOPMENT AND DELIVERY OF A VOCATIONAL TRAINING PROGRAMME IN REDUCED IMPACT LOGGING AND SUSTAINABLE FOREST MANAGEMENT PRACTICES IN GUYANA	GUYANA	$361 897	b
PD337/05 Rev.3 (F)	AN INTERNATIONAL WORKSHOP ON CLEAN DEVELOPMENT MECHANISM ? OPPORTUNITIES AND CHALLENGES FOR THE FOREST INDUSTRY SECTOR IN SUB-SAHARAN TROPICAL AFRICA	GHANA	$279 160	c
PD347/05 Rev.2 (I)	PROMOTING ACCESS TO THE FOREST SECTOR ACTIVITIES BY GABONESE NATIONALS THROUGH THE DEVELOPMENT OF THE SME FOREST PARTNERSHIP	GABON	$313 200	d
PD349/05 Rev.2 (F)	CRITERIA FOR THE MANAGEMENT OF MANGROVE AND FLOOD FORESTS IN THE CENTRAL COASTAL PLAINS OF VERACRUZ, MEXICO: A COMMUNITY MANAGEMENT TOOL	MEXICO	$387 296	a, b
PD351/05 Rev.1(F)	CRITERIA AND INDICATORS FOR THE EVALUATION OF TROPICAL FOREST MANAGEMENT SUSTAINABILITY IN MEXICO (SOUTHEASTERN COASTAL PLAINS: GULF OF MEXICO AND YUCATAN PENINSULA)	MEXICO	$514 653	a, b
PD359/05 Rev.1 (F)	BUILDING CAPACITY TO DEVELOP AND IMPLEMENT AFFORESTATION AND REFORESTATION PROJECTS UNDER THE CLEAN DEVELOPMENT MECHANISM (AR-COM) OF THE KYOTO PROTOCOL IN TROPICAL FORESTRY SECTOR	JAPAN	$942 166	c
PD360/05 Rev.1 (F)	MULTISPECTRAL THREE-DIMENSIONAL AERIAL DIGITAL IMAGERY FOR MONITORING FOREST MANAGEMENT AND CONSERVATION IN THE REPUBLIC OF CONGO	CONGO	$610 000	a, b
PD372/05 Rev.1 (F)	CONTRIBUTION TO FOREST REHABILITATION IN THAILAND'S AREAS AFFECTED BY THE TUSNAMI DISASTER	THAILAND	$790 020	a, b
PD376/05 Rev.2 (F,M)	TO DEVELOP AND PROMOTE A MONITORING INFORMATION SYSTEM TO SUPPORT THE SUSTAINABLE DEVELOPMENT OF TREE RESOURCES OUTSIDE FOREST AT THE SUB-DISTRICT LEVEL IN THAILAND	THAILAND	$462 645	a, b
PD383/05 Rev.2 (F)	COMMUNITY FOREST DEVELOPMENT IN GABON	GABON	$594 432	d
PD389/05 Rev.2 (F)	APPLICATION OF THE INTERNAL MONITORING OF SFM PERFORMANCE AT FOREST MANAGEMENT UNIT LEVEL	INDONESIA	$381 888	a, b
PPD114/05 Rev.1 (F)	DEMONSTRATION OF INTEGRATED MODELS FOR SUSTAINABLE MANAGEMENT OF MANGROVE IN CHINA	CHINA	$74 088	a, b
PD392/06 Rev.2 (F)	PHASE I: REGIONAL PROJECT TO PROMOTE REDUCED IMPACT LOGGING IN THE CONGO BASIN	GABON	$950 087	b

TP /Project code	Title	Country	Total ITTO	REDDES Objec-tives
REDDES				
Financed projects				
PD393/06 Rev.1 (F)	VILLAGE-LEVEL REFORESTATION PLUS NUTRITION PROMOTION BY SELF-MOTIVATED COMMUNITY WOMEN'S GROUPS	GHANA	$165 335	d
PD394/06 Rev.1 (F)	RESTORING THE ECOSYSTEM FUNCTIONS OF THE LAKE TOBA CATCHMENT AREA THROUGH COMMUNITY DEVELOPMENT AND LOCAL CAPACITY BUILDING FOR FOREST AND LAND REHABILITATION	INDONESIA	$549 974	d
PD405/06 Rev.3 (F)	EXTENDING THE AREA UNDER SUSTAINABLE FOREST MANAGEMENT IN THE FOREST LANDS OF THE EMBERA-WOUNAAN COMARCA, DARIEN, PANAMA	PANAMA	$520 992	c
PD423/06 Rev.2 (F)	TRAINING ON DEMONSTRATION, APPLICATION AND EXTENSION OF ITTO MANUAL ON RESTORING FOREST LANDSCAPES IN TROPICS OF CHINA	CHINA	$372 060	b
PD426/06 Rev.1 (F)	THE PREVENTION OF FURTHER LOSS AND THE PROMOTION OF REHABILIATION AND PLANTATION OF GONYSTYLUS SPP. (RAMIN) IN SUMATEA AND KALIMANTAN	INDONESIA	$507 903	b, c
PD428/06 Rev.2 (F)	PROMOTING THE REHABILITATION, MANAGEMENT AND SUSTAINABLE USE OF TROPICAL BAMBOO FORESTS IN THE NORTH-WESTERN REGION OF PERU	PERU	$502 978	b, c
PD432/06 Rev.2 (F)	PROMOTING ADOPTION OF SUSTAINABLE FOREST MANAGEMENT IN THE BRAZILIAN AMAZON	BRAZIL	$508 464	a, b
PD438/06 Rev.2 (F)	SUSTAINABLE FOREST MANAGEMENT FOR THE FOREST PRODUCTION AREA OF THE NORTHERN AND NORTHEASTERN REGIONS OF THE DEPARTMENT OF ANTIOQUIA, COLOMBIA	COLOMBIA	$547 917	a, b
PPD124/06 Rev.2 (F)	REFORESTATION OF TROPICAL SAVANNAH GRASSLAND WITH HIGH VALUED TEAK IN PAPUA NEW GUINEA	PAPUA NEW GUINEA	$79 920	b, c
PPD125/06 Rev.2 (I)	NATIONAL TRAINING PROGRAM TO PROMOTE THE ADOPTION OF REDUCED IMPACT LOGGING (RIL) IN PAPUA NEW GUINEA	PAPUA NEW GUINEA	$58 806	a, b
PPD129/06 Rev.1 (F)	FOREST PROMOTION AND DEVELOPMENT BY NATIVE COMMUNITIES IN PERU	PERU	$56 538	d
PPD130/06 Rev.1 (F)	IDENTIFICATION OF A PROJECT FOR THE REGENERATION AND MANAGEMENT OF MANGROVE FORESTS SURROUNDING THE DOUALA/EDEA RESERVE, DEPARTMENT OF SANAGA MARITIME, CAMEROON	CAMEROON	$79 164	a, b
PD441/07 Rev.2 (F)	INSTITUTIONAL STRENGTHENING OF ANAM FOR INTEGRATED FIRE MANAGEMENT IN THE TROPICAL FORESTS OF PANAMA	PANAMA	$463 115	b, c
PD450/07 Rev.2 (F,I)	CAPACITY BUILDING FOR CDM FORESTRY IN THE FRAMEWORK OF SFM EMPHASIZING COMMUNITY FORESTS AND POVERTY ALLEVIATION IN GHANA	GHANA	$74 816	d
PD451/07 Rev.1 (F)	TRANSBOUNDARY BIODIVERSITY CONSERVATION AREA: The PULONG TAU NATIONAL PARK, SARAWAK STATE, PHASE II	MALAYSIA	$950 800	c
PD454/07 Rev.3 (F)	COMMUNITY FOREST MANAGEMENT: A SUSTAINABLE ALTERNATIVE FOR THE MAUES STATE FOREST, AMAZONAS STATE	BRAZIL	$513 527	d

TP /Project code	Title	Country	Total ITTO	REDDES Objec-tives
REDDES				
Financed projects				
PD460/07 Rev.1 (F) I	ACHIEVING SUSTAINABLE MANAGEMENT OF MANGROVE FORESTS IN CHINA THROUGH LOCAL CAPACITY BUILDING AND COMMUNITY DEVELOPMENT	CHINA	$277 333	a, b, d
PD460/07 Rev.1 (F) II	ACHIEVING SUSTAINABLE MANAGEMENT OF MANGROVE FORESTS IN CHINA THROUGH LOCAL CAPACITY BUILDING AND COMMUNITY DEVELOPMENT	CHINA	$155 585	a, b, d
PD470/07 Rev.1 (F)	DEVELOPMENT AND IMPLEMENTATION OF CRITERIA AND INDICATORS FOR SUSTAINABLE MANAGEMENT OF PLANTED FORESTS AND COMMUNITY FORESTS (THAILAND)	THAILAND	$209 574	a, b, d
PD482/07 Rev.2 (F)	SUSTAINABLE FOREST PRODUCTION AND CONSERVATION WITH COMMUNITY PARTICIPATION IN THE CHEPIGANA FOREST RESERVE OF DARIEN, PANAMA	PANAMA	$470 108	c, d
PD492/07 Rev.3 (F)	PARTICIPATORY REHABILITATION AND MANAGEMENT PROJECT FOR MANGROVES AND WATERSHEDS IN THE COASTAL AREA OF THE DOUALA/EDEA WILDLIFE RESERVE - “DOUALA-EDEA MANGROVE PROJECT”	CAMEROON	$676 231	d
PPD134/07 Rev.1 (F)	GUIDELINES FOR THE RESTORATION OF MANGROVES AND OTHER COASTAL FORESTS DAMAGED BY TSUNAMIS AND OTHER NATURAL HAZARDS IN THE ASIA-PACIFIC REGION	JAPAN	$129 038	a, b
PPD135/07 Rev.1 (F)	COMMUNITY-BASED FOREST MANAGEMENT OF SUNGAI MEDIHIT WATERSHED	MALAYSIA	$73 710	d
PPD136/07 Rev.1 (F)	STUDY FOR THE CONSERVATION, LAND MANAGEMENT AND SUSTAINABLE MOUNTAIN BIODIVERSITY MANAGEMENT IN THE CENTRE NORTH REGION OF TOGO	TOGO	$52 358	a, b, c
PD501/08 Rev.1 (F)	PROMOTING HOUSEHOLD REFORESTATION IN TROPICAL ZONE OF SOUTHWESTERN CHINA THROUGH DEVELOPMENT AND EXTENSION OF HOUSEHOLD-ORIENTED TECHNIQUES	CHINA	$353 435	d
PD507/08 Rev.1 (F)	DEVELOPMENT OF THE NATIONAL REFORESTATION POLICY AND AFFORESTATION STRATEGY CONSISTENT WITH THE LIBERIAN 3C-APPROACH	LIBERIA	$396 310	c, d
PD519/08 Rev.1 (F)	TROPICAL FOREST CONSERVATION FOR REDUCING EMISSIONS FROM DEFORESTATION AND FOREST DEGRADATION AND ENHANCING CARBON STOCKS IN MERU BETIRI NATIONAL PARK, INDONESIA	INDONESIA	$814 590	c
PD521/08 Rev.3 (I)	PARTICIPATORY FOREST MANAGEMENT FOR SUSTAINABLE UTILIZATION OF NON TIMBER FOREST PRODUCTS (NTFP) SURROUNDING THE PROTECTED AREA OF RINJANI AND MUTIS TIMAU MT, NUSA TENGGARA INDONESIA	INDONESIA	$490 374	d
PD530/08 Rev.3 (F)	PHASE II OF ITTO PROJECT [PD 30/97 Rev.6 (F)] MANAGEMENT OF FORESTS ESTABLISHED THROUGH REHABILITATION OF DEGRADED FORESTS BY LOCAL COMMUNITIES IN GHANA	GHANA	$569 665	b, d
PD534/08 Rev.1 (F)	SMALL-SCALE PRIVATE MIXED PLANTATIONS DEVELOPMENT PLUS NUTRITION PROMOTION: THE CASE OF SIX RURAL COMMUNITY WOMEN’S GROUPS IN THE	GHANA	$424 837	c, d

TP /Project code	Title	Country	Total ITTO	REDDES Objec-tives
REDDES				
Financed projects				
	EASTERN AND ASHANTI REGIONS OF GHANA: PHASE II			
PPD142/08 Rev.1 (F)	ASSESSING THE POLICY AND INSTITUTIONAL FRAMEWORK TO FACILITATE DEVELOPMENT OF AN INTEGRATED GRAZING POLICY FOR SUSTAINABLE MANAGEMENT OF TROPICAL FOREST RESOURCES IN INDIA	INDIA	$79 969	a, b
PD552/09 Rev.1 (F)	ENCOURAGING CUSTOMARY LANDOWNERS IN THE LOWLANDS OF PAPUA NEW GUINEA'S CENTRAL PROVINCE TO REFOREST THEIR GRASSLANDS WITH HIGH VALUE TREES	PAPUA NEW GUINEA	$644 814	d
PPD143/09 (F)	ASSESSMENT OF MANGROVE FOREST AFFECTED BY CYCLONE NARGIS TO FACILITATE THE DEVELOPMENT OF AN INTEGRATED MANGROVE ECOSYSTEM MANAGEMENT IN AYEYARWADY DELTA, MYANMAR	MYANMAR	$61 938	e
PD577/10 Rev.1 (F)	MANAGEMENT OF THE EMERALD TRIANGLE PROTECTED FORESTS COMPLEX TO PROMOTE COOPERATION FOR TRANSBOUNDARY BIODIVERSITY CONSERVATION BETWEEN THAILAND, CAMBODIA AND LAOS (PHASE III)	THAILAND	$2 051 039	a, b, c
PD581/10 Rev.2 (F)	ESTABLISHING A GEOGRAPHIC INFORMATION SYSTEM FOR THE SUSTAINABLE MANAGEMENT OF THE FOREST AREAS OF TOGO	TOGO	$345 840	a, b
PD583/10 Rev.1 (F)	RESTORING SUB-HUMID ECOSYSTEMS IN SOUTHERN PERU THROUGH REFORESTATION WITH Caesalpinea spinosa	PERU	$149 796	b, c
PD584/10 Rev.2 (F)	IMPLEMENTING THE COOPERATIVE FRAMEWORK BETWEEN ODEF AND THE STAKEHOLDERS FOR THE EFFECTIVE PARTICIPATORY AND SUSTAINABLE MANAGEMENT OF THE ETO-LILICOPE FOREST COMPLEX	TOGO	$162 788	d
PD586/10 Rev.1 (F)	OPERATIONAL STRATEGIES FOR THE CONSERVATION OF TENGKAWANG GENETIC DIVERSITY AND FOR SUSTAINABLE LIVELIHOOD OF INDIGENOUS PEOPLE IN KALIMANTAN	INDONESIA	$414 104	d
PD590/10 Rev.1 (F)	INTEGRATED FIRE MANAGEMENT IN RURAL COMMUNITIES OF GUATEMALA: ESTABLISHMENT OF PILOT SITES FOR THE IMPLEMENTATION OF SUSTAINABLE INTEGRATED FIRE MANAGEMENT PRACTICES	GUATEMALA	$517 563	a, b
PPD147/10 Rev.1 (F)	ZONING AND SUSTAINABLE DEVELOPMENT OF THE MINKEBE PROTECTED AREA TOWARDS THE PROTECTION OF TRANSBOUNDARY CONSERVATION CORRIDORS BETWEEN GABON, CAMEROON AND THE CONGO	GABON	$99 279	a, b,c
PD599/11 Rev.1 (M)	DEVELOPMENT AND TESTING OF NATIONAL FOREST STOCK MONITORING SYSTEM (FSMS) WITH IMPROVED GOVERNANCE CAPABILITIES AT ALL LEVELS OF THE FOREST ADMINISTRATION	PHILIPPINES	$497 930	a, b
PD601/11 Rev.3 (F)	STRENGTHENING MANGROVE ECOSYSTEM CONSERVATION IN THE BIOSPHERE RESERVE OF NORTHWESTERN PERU	PERU	$496 290	c

TP /Project code	Title	Country	Total ITTO	REDDES Objec-tives
REDDES				
Financed projects				
PD617/11 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	$941 559	c
PPD153/11 Rev.1 (F)	FOREST FIRE PREVENTION THROUGH THE IMPLEMENTATION OF REGIONAL ACTIONS WITH THE PARTICIPATION OF LOCAL COMMUNITIES AND OTHER RELEVANT STAKEHOLDERS SO AS TO ENSURE THE PROTECTION OF FORESTS AND ECOSYSTEM SERVICES	COLOMBIA	$99 576	a, b
PD635/12 Rev.2 (F)	BUFFER ZONE MANAGEMENT FOR PULONG TAU NATIONAL PARK WITH INVOLVEMENT OF LOCAL COMMUNITIES IN SARAWAK, MALAYSIA	MALAYSIA	$517 450	a,d
PD653/12 Rev.1 (F)	SUSTAINABLE, MIXED AND PURE FOREST PLANTATION DEVELOPMENT IN THE TRANSITIONAL ZONE OF GHANA'S BIAKOYE DISTRICT ASSEMBLY, EMPLOYING POVERTY REDUCTION STRATEGIES	GHANA	$245 272	b, d
PD660/12 Rev.3 (I)	ENHANCING INDUSTRIAL AND COMMUNITY UTILIZATION OF WOOD RESIDUES THROUGH BRIQUETTE AND CHARCOAL PRODUCTION FOR ENVIRONMENTAL AND LIVELIHOOD IMPROVEMENT IN GHANA	GHANA	$705 107	a, b, d
PD665/12 Rev.2 (F)	IMPLEMENTATION OF A FIRE PREVENTION AND CONTROL PLAN IN THE CENTRAL AMAZON REGION OF PERU	PERU	$767 786	b, e
PD668/12 Rev.1 (F)	INTEGRATED MANAGEMENT OF NATURAL RESOURCES AND BIODIVERSITY IN THE TACANA VOLCANO AND ITS RANGE OF INFLUENCE IN MEXICO AND GUATEMALA	GUATEMALA	$641 639	a, b, c
PPD165/12 Rev.1 (F)	STUDY FOR THE REHABILITATION AND SUSTAINABLE MANAGEMENT OF SACRED FORESTS ON RAMSAR SITES 1017 AND 1018 IN BENIN	BENIN	$79 380	a, b
PD722/13 Rev.1 (I)	CAPACITY BUILDING ON REDUCED IMPACT LOGGING (RIL) IN DRY INLAND FOREST IN THE PERMANENT FOREST OF PENINSULAR MALAYSIA	MALAYSIA	$226 041	a, b
PP-A/43-210	Climate Change (Add'l.)	ITTO	$66 000	c, e
PP-A/43-224	C&I National workshop (Add'l.)	ITTO	$80 000	a, b
PP-A/43-236	UN-REDD/Environmental Services	ITTO	$3 863 958	c, e
PP-A/45-242	Workshop on forest governance, decentralisation & REDD	ITTO	$60 000	a, c
PP-A/45-243	Country assistance - C&I	ITTO	$50 000	a, b
PP-A/45-245	Climate change	ITTO	$100 000	c, e
PP-A/45-246	International Conference on Biodiversity	ITTO	$100 000	c
PP-A/45-248	ITTO/IUCN Biodiveristy Guidelines	ITTO	$76 595	c
PP-A/47-266	ITTO/CBD Collaborative initiative	ITTO	$1 320 224	c

TP /Project code	Title	Country	Total ITTO	REDDES Objec-tives
REDDES				
Financed projects				
PP-A/47-260	Climate Change - members assistance	ITTO	$100 000	c
PP-A/47-265	GPFLR learning network	ITTO	$50 000	
PP-A/30-102B	ITTO-RCEN	ITTO	$347 000	
PP-A/48-275	Int'l Forum on Env.Services 2013	ITTO	$116 588	c
PP-A/48-276	GPFLR- network estmablishment 2013	ITTO	$50 000	
PP-A/48-277	Support for Fire Conference 2013	ITTO	$30 000	a, b
PP-A/48-275	International Conference on Environmental Services	ITTO	$115 794	c
PP-A/49-288	ITTO's Participation in GPFLR (2013-2014)	ITTO	$25 000	
PP-A/48-277	6th International Wildland Fire Conference (Korea)	ITTO	$20 000	b
PP-A/50-296	Trans-boundary conservation area (DRC)	ITTO	$1 280 619	c
Subtotal			$35 303 927	
Pending for funding				
PD554/09 Rev.2 (F)	PILOT SUSTAINABLE MANAGEMENT SYSTEMS FOR SECONDARY FORESTS IN THE COLLECTIVE TERRITORY OF THE BAJO CALIMA COMMUNITY COUNCIL, MUNICIPALITY OF BUENAVENTURA, COLOMBIA	COLOMBIA	$453 600,00	a, b
PD563/09 Rev.4 (F)	COMMUNITY BASED FOREST MANAGEMENT OF SUNGAI MEDIHIT WATERSHED, SARAWAK,MALAYSIA	MALAYSIA	$0,00	d
PD605/11 Rev.3 (F)	DEMONSTRATION AND EXTENSION OF FIRE-BREAK FOREST BELTS FOR EFFICIENT FOREST FIRE MANAGEMENT IN TROPICAL FORESTS IN GUANGDONG PROVINCE, CHINA	CHINA	$278 020,00	b, e
PD609/11 Rev.3 (F)	ENHANCEMENT OF THE PARTICIPATORY BUSHFIRE PREVENTION AND MANAGEMENT SYSTEM IN TOGO	TOGO	$658 825,00	b, e
PD628/11 Rev.3 (F)	STRENGTHENING OF FOREST MANAGEMENT PRACTICES OF LOCAL COMMUNITIES AND INDIGENOUS PEOPLES IN GUATEMALA	GUATEMALA	$472 505,00	d
PD629/11 Rev.2 (F)	PROTECTION, MANAGEMENT AND RESTORATION OF FOREST LANDS FOR WATER CATCHMENT AND FLOW REGULATION AS A CLIMATE CHANGE ADAPTATION MEASURE	GUATEMALA	$485 136,00	e
PPD151/11 Rev.3 (F)	SUPPORT TO THE LOCAL COMMUNITIES OF THE MONO PLAIN FOR THE PROMOTION AND SUSTAINABLE MANAGEMENT OF COMMUNITY FORESTS IN TOGO	TOGO	$48 770,00	d
PD631/12 Rev.2 (F)	REFORESTATION OF COASTAL WETLANDS IN SOUTHERN GHANA USING INDIGENOUS TREE AND BAMBOO SPECIES	GHANA	$511 661,00	b, c
PD645/12 Rev.3 (F)	PROMOTING SUSTAINABLE FOREST MANAGEMENT OF RINJANI BARAT FOREST MANAGEMENT UNIT	INDONESIA	$0,00	a, b

TP /Project code	Title	Country	Total ITTO	REDDES Objec-tives
REDDES				
Financed projects				
PD646/12 Rev.3 (F)	INITIATING THE CONSERVATION OF CEMPAKA TREE SPECIES (ELMERRILLIA SPP) THROUGH PLANTATION DEVELOPMENT WITH LOCAL COMMUNITY PARTICIPATION IN NORTH SULAWESI, INDONESIA	INDONESIA	$0,00	c, d
PPD160/12 Rev.1 (F)	STUDY FOR THE REHABILITATION AND SUSTAINABLE MANAGEMENT OF THE MANGROVE FORESTS IN THE COASTAL AREA OF BENIN	BENIN	$72 900,00	a, b
PPD162/12 Rev.2 (F)	DEVELOPING MODEL OF A SELF SUFFICIENT AND SUSTAINABLE FMU	INDONESIA	$0,00	a, b
PD682/13 Rev.1 (F)	DEVELOPMENT OF QUALITY-OF-GOVERNANCE STANDARDS FOR REDUCING EMISSION FROM DEFORESTATION AND FOREST DEGRADATION (REDD) IN PAPUA NEW GUINEA	PAPUA NEW GUINEA	$149 744,00	a, b, c
PD695/13 Rev.2 (F)	REHABILITATION OF DEGRADED GAZETTED FORESTS IN THE MOUNT KORHOGO, FOUMBOU AND BADENOU IN NORTHERN CÔTE D'IVOIRE WITH THE INVOLVEMENT OF LOCAL COMMUNITIES	COTE D'IVOIRE	$1 259 942,00	b, d
PD696/13 Rev.2 (F)	COMMUNITY BASED RESTORATION AND SUSTAINABLE MANAGEMENT OF VULNERABLE FORESTS OF THE REWA DELTA, VITI LEVU, FIJI	FIJI	$310 576,00	d
PD723/13 Rev.1 (F)	CAPACITY BUILDING FOR STRENGTHENING TRANSBOUNDARY BIODIVERSITY CONSERVATION OF THE TANINTHAYI RANGE IN MYANMAR	MYANMAR	$3 093 976,00	a, b, c
PPD166/13 Rev.2 (F)	IMPROVING THE FUEL WOOD SUPPLY THROUGH THE PROVISION OF SUPPORT TO THE DEVELOPMENT OF FOREST PLANTATIONS IN THE MOKOLO, MAROUA AND KAELÉ MUNICIPALITIES IN THE SAHELIAN PART OF CAMEROON	CAMEROON	$70 056,00	a, b
PPD173/13 Rev.1 (I)	MANAGEMENT OF TROPICAL FOREST SPECIES FOR THE PRODUCTION OF TIMBER FOR RURAL AND TOURISM INFRASTRUCTURE CONSTRUCTION IN SOUTH-EAST MEXICO	MEXICO	$54 058,00	d
PPD176/13 Rev.1 (F)	IDENTIFICATION AND PLANNING OF MEASURES FOR THE SUSTAINABLE MANAGEMENT OF THE FOREST ESTATE OWNED BY INDIVIDUALS IN TOGO	TOGO	$53 368,00	a, b
PD737/14 Rev.1 (I)	DEVELOPING SUPPLY CAPACITY OF WOOD-BASED BIOMASS ENERGY THROUGH IMPROVED ENABLING CONDITIONS AND EFFICIENT UTILIZATION OF DEGRADED FOREST LANDS INVOLVING LOCAL COMMUNITIES IN NORTH SUMATRA PROVINCE OF INDONESIA	INDONESIA	$594 832,00	d
PP-A/47-266	BUILDING CAPACITIES FOR ACTO MEMBER COUNTRIES IN ECOLOGICALLY RESPONSIBLE FOREST MANAGEMENT AND BIODIVERSITY CONSERVATION IN MANAGED FORESTS OF THE AMAZON	ITTO	$1 320 224,00	a, b, c
PP-A/50-296 I	BUILDING THE CAPACITIES FOR BIODIVERSITY CONSERVATION IN TRANS-BOUNDARY CONSERVATION AREAS (TBCAs) IN THE CONGO BASIN COUNTRIES	ITTO	$1 280 619,00	a, b, c

TP /Project code	Title	Country	Total ITTO	REDDES Objec-tives
REDDES				
Financed projects				
	THROUGH SFM PRACTICES AND THE USE OF SATELLITE AND RADAR IMAGERY (PHASE 1)			
Subtotal			$11 168 812,00	
GRAND TOTAL			$46 472 739,15	

TFLET				TFLET objectives
Financed				
PD338/05 Rev.1 (M,I)	PROMOTION OF GUATEMALAN CERTIFIED TIMBER AND TIMBER PRODUCTS TRADE	GUATEMALA	$230 468,00	2
PD340/05 Rev.2 (M)	NATIONAL FOREST STATISTICAL INFORMATION SYSTEM IN GUATEMALA	GUATEMALA	$305 523,00	1
PD346/05 Rev.2 (F)	CONSERVATION AND RECOVERY OF DEGRADED LAND IN FAMILY AGRICULTURE UNITS IN THE EASTERN BRAZILIAN AMAZON	BRAZIL	$324 000,00	
PD353/05 Rev.2 (M,F,I)	ADOPTION AND IMPLEMENTATION OF THE FORESTRY INFORMATION SYSTEM (FIS) FOR THE PHILIPPINES	PHILIPPINES	$477 889,00	1
PD391/06 Rev.2 (M)	PROMOTING AND CREATING MARKET DEMAND FOR CERTIFIED TROPICAL WOOD AND VERIFIED LEGAL TROPICAL WOOD	JAPAN	$313 892,00	2
PD406/06 Rev.1 (M)	ESTABLISHMENT OF A NATIONAL FOREST AND TIMBER MARKETING STATISTICS SYSTEM	ECUADOR	$454 148,00	1
PD421/06 Rev.2 (F)	STRENGTHENING OF THE PRODUCTION CHAIN FOR TIMBER FROM FOREST CONCESSIONS AND OTHER FORESTS UNDER MANAGEMENT	PERU	$580 532,00	3
PD433/06 Rev.3 (I)	SUSTAINABLE MODEL FOR THE BRAZILIAN WOOD FLOORING PRODUCTION CHAIN	BRAZIL	$516 927,00	3
PPD128/06 Rev.1 (F)	STRENGTHENING CAPACITY OF FOREST LAW ENFORCEMENT AND GOVERNANCE IN CAMBODIA	CAMBODIA	$66 636,00	1
PD440/07 Rev.1 (M,I)	IMPROVING THE DETECTION AND PREVENTION OF ILLEGAL LOGGING AND ILLEGALITY IN SHIPMENT AND TRADE OF WOOD PRODUCTS IN GUYANA	GUYANA	$574 101,00	2
PD443/07 Rev.1 (M)	STRENGTHENING OF THE FOREST STATISTICS AND INFORMATION CENTER (CIEF)	HONDURAS	$230 023,00	1, 3
PD449/07 Rev.2 (M,I)	ENHANCING FOREST LAW ENFORCEMENT IN PAPUA NEW GUINEA	PAPUA NEW GUINEA	$473 040,00	1
PD487/07 Rev.1 (M)	INDEPENDENT VALIDATION OF LEGAL TIMBER IN GHANA	GHANA	$473 040,00	2
PD493/07 Rev.1(F)	STRENGTHENING CAPACITY OF FOREST LAW ENFORCEMENT AND GOVERANCE IN CAMBODIA	CAMBODIA	$120 270,00	1
PPD138/07 Rev.1 (M)	VERIFYING THE LEGALITY OF TIMBER FOREST PRODUCTS IN PERU	PERU	$79 844,00	2
PPD139/07 Rev.1 (M)	STRENGTHENING OF THE NATIONAL FOREST INFORMATION SYSTEM	THAILAND	$84 505,00	2
PD620/11 Rev.1 (M)	DEVELOPMENT AND IMPLEMENTATION OF A SPECIES IDENTIFICATION AND TIMBER TRACKING SYSTEM IN AFRICA WITH DNA FINGERPRINTS AND STABLE ISOTOPES	GERMANY	$1 695 342,00	2
PD621/11 Rev.3 (M)	TRACEABILITY OF TIMBER PRODUCED BY FOREST CONCESSIONS AND NATIVE COMMUNITIES IN MADRE DE DIOS AND UCAYALI, REPUBLIC OF PERU	PERU	$349 032,00	2
PD673/12 Rev.1 (F)	STRENGTHENING THE CAPACITY IN FOREST LAW ENFORCEMENT AND GOVERNANCE OF THE PERMANENT FOREST ESTATES IN KRATIE AND MONDULKIRI PROVINCES OF CAMBODIA	CAMBODIA	$464 033,00	1
PD678/12 Rev.1 (M)	ESTABLISHMENT OF A NATIONAL FOREST STATISTICS INFORMATION MANAGEMENT SYSTEM IN BENIN	BENIN	$398 704,00	1, 2

TFLET				**TFLET objectives**
PD692/13 Rev.1 (M)	IMPLEMENTATION AND OPERATIONALIZATION OF A NATIONAL INFORMATION SYSTEM FOR THE SUSTAINABLE MANAGEMENT OF FOREST RESOURCES	COTE D'IVOIRE	$290 541,00	1, 2
PPD167/13 Rev.1 (M)	FEASIBILITY STUDY ON THE CERTIFICATION OF ONAB'S NATIONAL PLANTATIONS ESTATES	BENIN	$88 794,00	2
PP-A/23-63 II	ACTIVITY TO FACILITATE DEVELOPMENT OF A JOINT ITTO/ECE-FAO/EUROSTAT FOREST STATISTICS QUESTIONNAIRE - PHASE II	ITTO	$251 250,00	1, 2
PP-A/49-291	INDEPENDENT TIMBER MARKET MONITORING	ITTO	*5 421 200*	1, 2
PD 124/01 Rev.3 (M) Ph.III Stage 1		ITTO	500 000	
PP-A/43-202	ASSESS FOREST TENURE	ITTO	100 000	1
PP-A/43-220	TIMBER PROCUREMENT POLICIES	ITTO	143 337	1
Subtotal			**15 007 071**	
Financed				
PD602/11 Rev.2 (F)	TROPICAL FOREST GOVERNANCE IN THE REGION OF DARIEN, PANAMA	PANAMA	$350 402,00	1
PD698/13 Rev.2 (I)	FACILITATING FOREST-INDUSTRY-MARKET INTEGRATION	GUATEMALA	$419 440,00	2
PD700/13 Rev.1 (I)	DEVELOPMENT OF INTRA-AFRICAN TRADE AND FURTHER PROCESSING IN TROPICAL TIMBER AND TIMBER PRODUCTS - PHASE I	ITTO	$5 159 245,00	2
Subtotal			**$5 929 087,00**	
GRAND TOTAL			**$20 936 158,00**	

ANNEX 8 COMPARATIVE ANALYSIS BETWEEN TFLET/REDDES AND RELATED INTERNATIONAL PROGRAMMES

Comparison of TFLET and EU-ACP/FAO FLEGT

Programme	TFLET	EU-ACP/FAO FLEGT
Objectives	**General** • Enhance and diversify international trade in tropical timber from sustainably managed forests, • Help alleviate poverty **Specific** 1. Strengthen forest law compliance and governance, improved data and knowledge, partnerships and cooperation among all stakeholders; 2. Improve transparency and effective management of supply chains and increased domestic and international trade 3. Improve capacity of community and small and medium-sized enterprises to implement and demonstrate that timber produced and traded comes from legal sources contributing to sustainable livelihoods 4. Improve international cooperation	**General** Improved governance to poverty reduction and SFM Specific 1. Improved policy, legal and regulatory frameworks are implemented; 2. FLEGT principles and concepts are understood by forest sector stakeholders; 3. Capacity of civil society and forest sector staff to manage forest resource is increased; 4. Civil society, private sector organizations and government institutions collaborate to enforce forest sector legal frameworks.
Period in operation	Pre-cursor phase 2007 Pilot phase 2008 SAP 2013-2018	Phase I 2008 Phases II (two extensions) Phase 2015-2020 (under preparation)
Geographic scope	ITTO Member countries, particularly producers	Phase I ACP countries Phases II an III developing countries
Modus operandi	Calls for proposals Activities in BWP	Direst assistance to governments Calls for proposals by governments, CSOs and private sector
Number of projects financed	20 (+ 2 more not included in the review)	90 completed projects 20 company audits
Project size	Pre-projects up to USD 100,000 Small projects up to USD 150,000 Projects up to USD 1 million	Up to USD 100,000 for pilot projects Up to USD 50,000 for stakeholders
Project duration	Up to four years	Up to one year
Thematic programme focus	Law compliance and governance Production and marketing (supply chains) Community and SMEs	Support national FLEGT strategy Innovative policy and legal frameworks Independent monitoring

Programme	TFLET	EU-ACP/FAO FLEGT
	Cooperation	Domestic timber markets Log movement monitoring Support to stakeholders, incl. private sector organizations
Thematic focus of projects financed	Capacity building Institutional strengthening Stakeholder participation Timber tracking and certification Market transparency	Community based 24 Transparency, observatory 15 VPA support 15 Communication & information 15 Private sector 11 Market issues 10 Policy 9 Verification 8
Country focal points, clearance	Yes, clearance needed	No clearance
Review of proposals	ITTO Secretariat and TPAC	Project Management Unit
Financing decision	Executive Director	Final endorsement by the Steering Committee
Countries with financed projects	Cameroon, Ghana, Mali China, Indonesia Colombia, Guatemala, Panama, Peru Australia, Germany (these projects produced outputs for regional and international use) Cambodia and PNG (not included in the review) Panama and Thailand (pending agreement, not included in the review)	Benin, Botswana, Burkina Faso, Burundi, Cameroon CAR, Congo Rep., Côte d'Ivoire, DRC, Gabon, Gambia, Ghana, Kenya, Liberia, Madagascar, Mozambique, Namibia, Nigeria, Sierra Leone, Tanzania, Togo,Uganda Myanmar, Nepal, PNG, Solomon Islands, Thailand, Vanuatu, Viet Nam Belize, Costa Rica, Dominican Rep., Guatemala, Guyana, Honduras, Jamaica, Trinidad & Tobago, United Kingdom
Linkage to ITTO		Not identified
Funding by 2013	$9,079,307	Phase II: EUR 11,850,000 (about USD 13.8 mill.) of which USD 2 million from FAO's own programmes
Donors	Netherlands, Australia, Japan, UK, USA, Switzerland, Germany, JLIA, New Zealand, Finland, Norway, Korea	European Commission

Comparison of REDDES, UN-REDD and FCPF Readiness Fund

Programme	REDDES	UN-REDD	FCPF Readiness Fund
Objectives	General reduce deforestation and forest degradation, enhance environmental services and help improve forest dependant livelihoods through sustainable management of tropical forests, forest restoration and other related activities Specific a) reduce unplanned deforestation; b) reduce forest degradation; c) maintain and enhance climate change mitigation and other environmental services of tropical forests; d) contribute to the social and economic sustainability and well-being of forest-dependent communities e) enhance adaptation and resilience of tropical forests to negative effects of climate change and human-induced impacts.	*Framework document:* (i) assisting developing countries prepare and implement national REDD strategies and mechanisms; (ii) supporting the development of normative solutions and standardized approaches based on sound science for a REDD instrument linked with the UNFCCC. *Programme strategy 2011-2015:* Promote the elaboration and implementation of National REDD+ strategies to achieve REDD+ readiness, including transformation of land use and sustainable forest management and performance based payments.	General: Reducing deforestation and forest degradation, forest carbon stock conservation, the sustainable management of forests, and the enhancement of forest carbon stocks in developing countries Strategic objectives: • Assist eligible REDD+ Countries in their efforts to achieve Emission Reductions (ER) from deforestation and/or forest degradation by • Pilot a performance-based payments system for ER generated from REDD+ activities, with a view to ensuing equitable sharing • Test ways to sustain or enhance livelihoods of local communities and to conserve biodiversity; • Disseminate broadly the knowledge gained
Date	Pilot phase 2008-2012 SAP 2013-2018	Launching in 2008 Quick Start phase in 9 countries	Operational in 2008
Geographic scope	ITTO Member countries, particularly producers	Developing countries National Programme Countries (2013): Bolivia, Cambodia, Republic of the Congo, DRC, Ecuador, Nigeria, Panama, PNG, Paraguay, Solomon Islands, Sri Lanka, Zambia	Developing countries
Number of projects financed	29 projects (plus 2 not included in the review and 3 pending agreement to start)	51 partner countries 18 countries with UN-REDD National Programmes 29 countries with access to support for national action	36 partner countries, with 32 developed R-PP; DRC is in the mid-term stage of implementation
Project size	Pre-projects up to USD 100,000 Small projects up to USD 150,000 Projects up to USD 1.1 million	National programme funding USD 0.5 million to 6.4 million/country	US$200,000 technical assistance grant to finance the formulation of a R-PP and a US$3.6–3.8 million grant to assist with the preparation of

Programme	REDDES	UN-REDD	FCPF Readiness Fund
			a Readiness Package
Project duration	Up to four years	Several years	Several years
Modus operandi	Call for proposals for pre-projects and projects A pilot country approach is applied to selected countries which are interested ITTO members are invited to submit their candidature for a programmatic country support involving all four areas of intervention. These countries could be participants in the UN-REDD Programme, the FCPF and other related initiatives thereby harnessing synergies with them	Framework document: National actions facilitate and broker the challenging national process Actions are designed as REDD Joint Programmes which are flexible to harmonize with other REDD initiatives within country, *Programme strategy:* (1) direct support to the design and implementation of national programmes; and (2) complementary global and regional-level activities.	Based on the country Proposal Idea Note (PIN) Country Participant develops a Readiness Preparation Proposal (R-PP). A Readiness Package is then prepared for consideration of the Carbon Fund. Submissions by public or private entities are possible if approved by the REDD Country Participant. R-PP can include REDD+ strategies and policies, references emission levels (REL), measurement, reporting and verification (MRV) systems, and institutional capacity to manage REDD+, including environmental and social safeguards. The process usually involves several rounds of feedback and assistance prior to formal submission of an R-PP. FMT selects a team of six to eight technical advisors to shepherd the R-PP through the submission process
Thematic focus of financing	Reduction of deforestation and forest degradation through expansion of sustainably managed areas which also includes restoration of degraded secondary forests and rehabilitation of degraded forest lands Strategic intervention areas: a) assessment and diagnosis; b) enabling conditions and capacity-building; c) demonstration activities d) scaling up and dissemination. Environmental services covered: (i) climate change mitigation and adapta-	*Framework document:* • Scoping and Alliance Building • REDD Readiness for Monitoring and Assessment • REDD Dialogue • National REDD strategy • Support for implementing the REDD measures • REDD Data Management • REDD Payment structuring and distribution • International support functions • Monitoring systems • Accounting Methods and Verification of Reduced Emissions • Guidelines, methods and tools for reducing	• Building in-country capacity • Advancing REDD+ on the ground through multisectoral platforms, strengthening of governance, intersectoral coordination, policy development • Fostering partnerships • Creating global standards for REDD+ • Setting the path for impact on climate • Promoting sustainable landscapes • Stimulating non-carbon benefits • Generating knowledge

Programme	REDDES	UN-REDD	FCPF Readiness Fund
	tion through enhancement of carbon pools in the forest and avoidance of emissions from deforestation and degradation; (ii) maintenance and enhancement of biodiversity, (iii) improvement of soil and water conservation; (iii) disaster prevention and flood control through improved resilience; (iv) ecotourism, amenity and recreation values; (v) sustainable forest production, and (vi) combination of various environmental services and other outputs within the SFM implementation.	deforestation and forest degradation • Co-benefit and Trade-Off Tools • Capacity building in negotiation • Knowledge Management *Programme strategy:* • MRV and monitoring • National REDD+ governance • Stakeholder engagement • Multiple benefits • Transparent equitable and accountable management • Sector transformation	
Country focal points, clearance	Yes, clearance needed	Host government identifies actions Encouragement of establishment of National REDD Steering Committee	National REDD Coordination Unit serves as focal point
Review of proposals	ITTO Secretariat and TPAC	UN-REDD Technical Secretariat manages national programme review process	Ad Hoc Technical Advisory Panel and Facility Management Team
Financing decision	Executive Director	UN-REDD Policy Board	Participants Committee selects eligible REDD countries and grant allocation for preparing the Readiness Package
Length of the proposal processing cycle	TBC	N.a.	N.a.
Countries with financed projects	Cameroon, DRC, Ghana, Liberia, Togo Indonesia, Malaysia, Myanmar China, Brazil, Ecuador, Guatemala, Guyana, Honduras, Mexico, Peru	49 partner countries (28) CAR, Congo Rep., DRC, Gabon, Kenya, Nigeria, Sudan, Tanzania, Zambia Bangladesh, Bhutan, Cambodia, Indonesia, Nepal, PNG, Philippines, Solomon Islands, Sri Lanka, Viet Nam, Argentina, Bolivia, Colombia, Costa Rica, Ecuador, Guatemala, Guyana, Mexico, Panama, Paraguay	36 developing countries (13 in Africa, 15 in Latin America and the Caribbean, and 8 in the Asia-Pacific Region)
Funding by 2013	USD 9,532,742, practically all disbursed.	Sources of funds USD 215 million of which 157 million used by end 2013	USD 258 million of USD 29 million disbursed
Donors	Norway, Switzerland, Japan, USA	Norway, Denmark, Spain, EU, Japan, Luxemburg	Germany, Canada, Norway, Australia, Netherlands, Finland, Japan, France, USA, Switzerland, Spain, Denmark, UK, European Commission, Italy

Programme	REDDES	UN-REDD	FCPF Readiness Fund
Linkage with ITTO	Link with UN-REDD, FCPF, FIP and bilateral programmes identified with possibility for joint/coordinated programming and planning	*Programme strategy:* ITTO and UN-REDD Programme are continuing to work together in some country projects. Coordination and collaboration among other institutions and initiatives are essential to reduce transaction costs and improve efficiency.	Not mentioned (only UN-REDD, FIP, BioCarbon Fund, REDD+ Partnership)

ANNEX 9 COUNTRY COVERAGE OF THEMATIC PROGRAMMES, EU-FLEGT PROGRAMME, UN-REDD AND FCPF

TFLET, EU-ACP FLEGT and EU-FAO FLEGT

Country	TFLET	EU-ACP FLEGT	EU-FAO FLEGT
Benin		1	
Cambodia	1*		
Cameroon	2	13	5
Central African Republic		5	
China	1		
Colombia	1		
Congo, DR		7	5
Congo, Republic of		6	4
Costa Rica			1
Côte d'Ivoire		2	4
Gabon		1	2
Ghana	2	7	3
Germany	1		
Guatemala	3		2
Guyana		4	3
Honduras			3
Indonesia	5		2
Liberia		5	
Mali	1		
Mozambique		2	
Myanmar			1
Nigeria		1	1
Papua New Guinea	1*	2	
Peru	3		
Thailand			1
Togo		2	
Trinidad and Tobago		2	
United Kingdom			2
Vietnam		1	4
Number of countries	**9 (11*)**	**16**	**16**
Number of projects	**19 (21*)**	**61**	**43**

Note:
In TFLET, PD 123/10 regional project in Africa benefiting all the producing countries in the region is not included in the table. PD 493/07 Rev.1 (F) Strengthening Capacity of Forest Law Enforcement and Governance (Cambodia) and PD 449/07 Rev.2 (M,I) Enhancing Forest Law Enforcement in PNG included in the list with an asterisk as they were not included in the review. The Indonesian projects include Australia-funded project TFL-PD 037/13 Rev. 2(M) Implementing a DNA timber tracking system in Indonesia which was not included in the review. Three other projects in Panama, PNG and Thailand are pending agreement and not included in the list (TFL-PD 044/13 Rev. 2 (M); TFL-SPD 043/13 Rev. 1 (M) and TFL-PPD 005/09 Rev. 1 (F), respectively).

REDDES, UN-REDD and FCPF

Country	REDDES	UNREDD				FCPF	
		National Program-mes (NP)	Full NP	Other partners	Targeted Support (SNA)	Received ceived-grant	Signed
Australia							
Benin				1			
Brazil	1						
Cambodia		1	1				1
Cameroon	3			1	1	1	
Central African Republic				1			
China	2						
Colombia		1				1	
Congo, DR	1	1	1			1	
Congo, Republic of		1	1			1	
Costa Rica				1	1	1	
Côte d'Ivoire		1	1		1		1
Ecuador	1	1					
Fiji				1			
Gabon				1			
Ghana	3			1		1	
Germany							
Guatemala	2			1	1		1
Guyana	1			1	1		1
Honduras				1	1		1
Hondu-ras/Guatemala	1						
Indonesia	3	1	1			1	
Liberia	1			1		1	
Malaysia	1			1	1		
Mali							
Mexico	1			1	1		1
Mozambique						1	
Myanmar	1			1	1		
Nigeria		1	1				
Panama		1					
Papua New Guinea		1	1				
Peru	2			1	1		1
Philippines		1	1				
Suriname			1	1	1		1
Thailand			1			1	
Togo	2		1	1			
Trinidad and To-bago							

Country	REDDES	UNREDD				FCPF	
		National Programmes (NP)	Full NP	Other partners	Targeted Support (SNA)	Received ceived-grant	Signed
United Kingdom							
Vietnam		1				1	
Number of countries	**16**	**12**	**11**	**17**	**11**	**11**	**8**
Number of projects	**26**	**12**	**11**	**17**	**11**	**11**	**8**

Note:
In REDDES, there has been one regional project in Africa and two international projects benefiting all the countries. These are not included in the table. RED-SPD 058/11 Rev. 2 (F) Developing REDD+ES in the Brazilian Atlantic rain forest was pending agreement at the writing of this report and is not included in the list.

ANNEX 10

LIST OF INTERVIEWEES

Breulmann, Gerhard, ITTO
Carillo Arellano, Ramón, ITTO
Castrén Tuukka, The World Bank
Caswell, Stephanie, ITTO Consultant
Dieterle Gerhard, The World Bank
Johnson, Steven, ITTO
Leigh, John, ITTO
Ma, Hwan Ok, ITTO
Mansur, Eduardo, FAO
Masupa, Polycarpe, ITTO
Simpson, Robert, FAO
Tetra, Yanuariadi, ITTO
Tomaselli, Ivan, STCP, ITTO/CITES Regional Coordinator, Latin America
ZeMeka, Emmanuel, ITTO