



## RETHINKING USAID'S GLOBAL BUREAU FORESTRY PROGRAM

A Final Report under the Biodiversity & Sustainable Forestry (BIOFOR) IQC  
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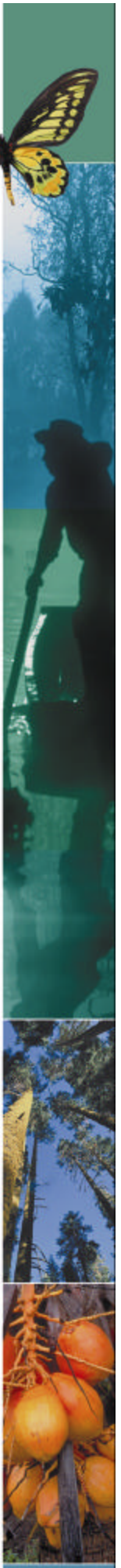
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## ACRONYMS

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BHR	Bureau for Humanitarian Response (USAID)
BIOFOR	Biodiversity and Sustainable Forestry
CGIAR	Consultative Group on International Agricultural Research
CIDA	Canadian International Development Agency
CIFOR	Center for International Forestry Research
CIRAD	Centre de coopération internationale en recherche agronomique pour le développement
DCI	Directorate of Central Intelligence (CIA)
DfID	Department for International Development (U.K.)
EIC	Environmental Information Clearinghouse
EPIQ	Environmental Policy IQC
FAO	Food and Agriculture Organization
FSC	Forest Stewardship Council
FTE	Full Time Equivalent
FTPP	Forests, Trees, and People Program
FY	fiscal year
G/EGAD/AFS	Global Bureau, Center for Economic Growth and Agricultural Development, Office of Agriculture and Food Security (USAID)
G/ENV/ENR	Global Bureau, Center for Environment, Office of Environment and Natural Resources (USAID)
GEF	Global Environment Facility
GTZ	Gesellschaft für Technische Zusammenarbeit (German Agency for Technical Assistance)
IAA	Inter-Agency Agreement
ICRAF	International Centre for Research in Agroforestry
IDB	Inter-American Development Bank
IFF	International Forum on Forests
ITTO	International Tropical Timber Organization
IUCN	World Conservation Union
JICA	Japan International Cooperation Agency
MOU	memorandum of understanding
NGO	nongovernmental organization
NTFP	non-timber forest products
ODA	Overseas Development Administration
OES	State Department Bureau of Oceans, Environment and Science
OFDA	Office of Foreign Disaster Assistance (USAID)
OPIC	Overseas Private Investment Corporation
PVC	Private and Voluntary Cooperation
SAF	Society of American Foresters
SFM	sustainable forest management
SIDA	Swedish Agency for Development Cooperation
UNDP	United Nations Development Program
UNEP	United Nations Environment Program

USDA  
USFS  
WWF

U.S. Department of Agriculture  
U.S. Forest Service  
World Wildlife Fund



## EXECUTIVE SUMMARY

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This report describes the findings and recommendations of a consultative strategic program-planning process carried out by the Forestry Team in USAID's Global Bureau Office of Environment and Natural Resources (G/ENV/ENR) with the assistance of Chemonics International. The objective of this exercise was to rethink and refocus the Global Bureau's portfolio of forestry activities. Approximately 100 people were contacted to provide input to this rethinking process, including staff members of USAID's central and regional bureaus and selected country Missions, other U.S. Government agencies, nongovernmental organizations, international agencies, multilateral donors, private sector companies, and universities scientists.

In both developed and developing countries, forests contribute to human welfare in many ways. They provide important ecological services, direct material contributions to livelihoods of forest dwellers in poor countries, wood and wood products traded commercially, many nonmaterial benefits, and are habitat for more species than any other type of terrestrial ecosystem. Economic distortions and failures of governance that create incentives for the continuing degradation and fragmentation of forests and conversion to non-forest land are the main constraints to realizing the potential for forests to continue to contribute to human welfare and sustainable development.

USAID has supported many forestry projects and activities since its beginning. However, spending on forestry has declined dramatically from a peak in the early 1990s.

The task order for this review called for an evaluation of the effectiveness of the Global Bureau Forestry Program. The Forest Service Office of International Programs is the main implementer of the USAID Global Forestry Program. As currently implemented, the program is designed to respond to Mission requests for technical cooperation. Many Mission staff contacted as part of this consultative process praised the program as responsive to requests for technical assistance. Given the natural tension between central thematic focus and field-driven demand, responding to USAID Mission demand has inevitably led to a diverse portfolio of activities.

Despite its successes in responding to Mission demands with a limited budget, declining funding from levels of a decade ago have reduced the visibility and profile of the Global Bureau Forestry Program within USAID. Declining funding and low visibility have led to a number of problems and areas of unrealized potential. For example, the program has not:

- Emphasized or developed its role as an "information clearinghouse," providing analysis, information, and technical leadership, to a level that meets that perceived need
- Taken a strong leading role in clarifying and resolving issues within USAID, such as forest certification
- Built a cross-sectoral network within USAID that taps the potential or meets the demand expressed within the Agency
- Given as much attention to the topical themes of forest governance and policy, or forest values and economics, as these themes are widely perceived to deserve

- Been maximally effective in realizing opportunities for synergy between USAID and the State Department on forest issues

To answer the question, “What substantive areas should be the focus of the program’s future work?” a semi-quantitative scoring technique was used to analyze responses from people contacted during this rethinking exercise. Three substantive areas emerged from this analysis — sustainable forest management principles and practices, forest governance and policy, and forest values and economics. There is a strong perception that these themes hold equal importance and require attention.

In addition to these themes, the analysis of inputs from respondents also suggests priorities for types of interventions, or response mechanisms. The analysis revealed a strongly perceived need for analysis of, and information about, sustainable forest management, forest governance, and forest economics.

Based on this consultative rethinking process, fourteen recommendations, grouped into four main categories, were developed:

#### *Become a Forestry Information and Analysis Clearinghouse for the Agency*

- Expand and/or reorient the Forestry Program to provide more information and analysis on issues and lessons learned
- Improve the quality and accessibility of information about forestry activities within USAID
- Buy a seat on the Web to help meet the need for a forestry information clearinghouse

#### *Strengthen Cross-Sectoral Synergies*

- Give increased support to the themes of forest governance and forest values and economics
- Expand cross-sectoral linkages with other USAID programs and build a network within the Agency for cooperation in the forestry sector
- Explore opportunities for mutual benefit and synergy with the State Department
- Improve communication with other donors and actors in the global forestry arena

#### *Expand Business Linkages*

- Develop more capacity to access business and enterprise development expertise
- Explore ways to develop appropriate working relationships with the private sector

#### *Provide Proactive Technical Leadership*

- Take a proactive, leadership role in addressing certain complex issues and policies within USAID, such as forest certification

- Find a balance between focusing on strategic themes and topics of emerging importance and responding to the “pull” of demand for technical assistance from the field
- Seek opportunities to expand training and capacity-building
- Maintain the participation and momentum developed during this rethinking exercise
- Carry out strategic planning exercises more routinely

The low number of program staff appears to be the main short-term constraint to expanding or reorienting the Forestry Program along the lines recommended above; enlarging the Forestry Team should be the first priority if additional funds become available. In the longer term, additional funding would allow the current mechanism for responding to requests for technical assistance to remain in place, while still programming funds to meet some of the unmet needs, unrealized opportunities, and problem areas outlined in recommendations given in this report.

The overwhelming sentiment among those people contacted was that the Global Forestry Program, and USAID forestry activities in general, should emphasize the multiple values and uses of forests for contributing to human welfare and sustainable development. The general feeling was that it should be proactive and opportunities-oriented, rather than being reactive and emphasizing threats and forest protection. A majority of those interviewed feel USAID could and should do more in the forestry sector. They believe that this rethinking exercise is useful and timely. And they hope that it leads to a more visible and well-funded Forestry Program within the Global Bureau, which can help provide effective leadership within USAID as a whole.



## SECTION I

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# Background: A Consultative Process for Rethinking the Global Bureau Forestry Program

Under a task order “Review of USAID’s Global Bureau Forestry Program” through the Biodiversity and Sustainable Forestry indefinite quantity contract, Chemonics International helped the Forestry Team in USAID’s Global Bureau Office of Environment and Natural Resources (G/ENV/ENR) strategically rethink and refocus its portfolio of activities. According to the task order, “the objective is to review, assess, and consider what the Forestry Team is doing and what it should be doing to provide support to Missions and to exercise leadership in the area of Forestry for the agency.”

Rethinking the Forestry Program in a systematic and strategic way required gathering information and answering questions about:

- 1) What themes, issues, and topics should the program emphasize and focus on?  
*What* should it work on?
- 2) What types of interventions or response mechanisms should the program use?  
*How* should it work?
- 3) What organizations should the program work with as partners and collaborators?  
*Who(m)* should it work with?

This strategic program-planning exercise was carried out in a consultative, participatory process. Beginning in May 2000, staff members of USAID central and regional bureaus and selected country Missions, other U.S. Government agencies, nongovernmental organizations, international agencies, multilateral donors, private sector companies, and university scientists were contacted to provide input to this rethinking process — almost 100 people in all (see Annex A for list of persons contacted). They were invited to give their ideas about the challenges that must be faced to conserve and sustainably use the world’s forests and about how USAID can help to meet those challenges.

As a first step in the consultation process, a list of questions (provided in Box 1 below) was developed to guide and organize the gathering of information, ideas, and insights. In the interest of strategic planning, the initial questions were deliberately broad so that no important issues and trends would be overlooked.

In addition to first-hand information gathering from interviews, discussions, and written communication, a wide range of publications (reports, books, articles, plans) were reviewed to provide background and contextual information (see Annex F for list of literature references).

In late July, an Interim Analysis report summarized the preliminary findings of the information-gathering phase of the consultative process and identified issues for the Forestry Team to consider in developing a strategy and program. The Interim Analysis report was circulated for review during August and early September.

In mid-September, a roundtable discussion was held with staff from USAID/Washington and the USDA Forest Service Office of International Programs (see Annex D for the meeting attendance list). For this meeting, responses received from persons contacted were analyzed. This analysis was presented at the roundtable, and participants discussed issues and suggested directions and priorities for the Forestry Program.

Through this consultative process, the G/ENV/ENR Forestry Team seeks to build a constituency of support for its Forestry Program. Based on the findings and recommendations that emerged, the Forestry Team wants to develop a logical, coherent, strategic program that supports other USAID global, regional, and Mission programs, as well as those of its diverse partners.

**Box 1: Questions to Guide Information-Gathering**

- 1) What are the most important ways in which forests and forestry can contribute sustainable human development?
- 2) What are the major constraints and threats to realizing those opportunities?
- 3) How can international organizations and donors, such as USAID, most effectively contribute to understanding and addressing the major constraints and threats to sustainable forest management?
- 4) What, very briefly, is your organization's/USAID Mission's portfolio of forestry and related activities?
- 5) What focal themes could/should the USAID Global Bureau's Forestry Program have to make it most effective and useful, in your opinion?
- 6) What delivery mechanisms for providing technical assistance and leadership could/should the USAID Global Bureau's Forestry Program use to be most effective, in your opinion?

## SECTION II

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# Overview of the Forestry Situation in Developing Countries

## A. Opportunities: Forests Contribute to Human Welfare and Sustainable Development

In developing and developed countries alike, forests contribute to human welfare in multiple ways. They can continue to do so if used and managed sustainably. To be successful in its mission of improving human welfare and fostering sustainable human development, USAID must recognize the importance of forests and forestry issues and address them in its programs.

Forests are valuable for many reasons:

- ***Forests provide important ecological services.*** Among the ecological “life support” values of forests, their role in watersheds (retaining and purifying water, preventing soil erosion, helping prevent floods) is particularly important. Forests affect global climate (through storage of carbon), local and regional weather and climate (via their role in the water cycle), and fisheries (such as mangrove forests and the flooded *varzea* forests of the Amazon basin). These ecological services are almost universally thought to be the most valuable benefits of forests — worth even more than the direct material values from wood and wood products — even though these ecological services are not usually priced or marketed but rather treated as free goods.
- ***Forests provide direct material contributions to livelihoods*** of forest dwellers in poor countries. They provide fuelwood, building material, food, fiber, shelter, and medicine. Developing country economies currently could not provide these basic needs for millions of people if it were not for the subsistence uses of forests.
- ***Forests provide wood and wood products*** traded commercially. Some of this trade in timber is international trade, but much of it is national and local.
- ***Forests provide many nonmaterial benefits and uses*** — recreational, aesthetic, spiritual, scientific, educational. Local people often value these nonmaterial benefits highly, and some nonmaterial values are the basis for a growing tourism industry (“ecotourism” or nature tourism) that can often provide monetary benefits to local people and national governments.
- ***Forests are habitat for more species than any other type of terrestrial ecosystem.*** Tropical forests in particular have a disproportionate share of the world’s species. This rich species diversity (one aspect of biodiversity) is itself valuable because of the many material and nonmaterial ways in which these species can contribute to human welfare, now and in the future.

Forests are extremely valuable because of the diverse benefits and uses they provide. They could contribute even more and will need to contribute more in the future. All of the current values derived from forests will be as, or even more, valuable to future generations.

Forests are not only important in countries with abundant forests — so called “forest-rich” or “high cover” countries. In fact, they may be more important to human welfare in countries where they are not so abundant, either because they never were abundant for ecological reasons (Kenya, Tanzania) or because only remnants of once-larger forests remain (India, China) — “forest poor” or “low cover” countries.

The indirect material functions (ecological services or “life support” functions) of forests are commonly recognized as very important. Many of these services and functions are “cross-sectoral.” The conceptual foundation of the G/ENV Forestry Program should be that forests worldwide can help socially and ecologically sustainable human development by contributing to economic diversification, poverty alleviation, the protection of ecological services, increased equity, disaster mitigation, increased international security, and decreased social conflict.

## **B. Constraints to Realizing the Potential Benefits of Forests**

When natural forests are converted to non-forested lands, such as croplands or pasture, their potential benefits as forests are lost, sometimes forever. Even when they are converted to tree plantations for tree crops (oil palm, rubber, fuelwood), this can be true. In many developing countries, especially in the tropics, the forest-agricultural frontier has not yet stabilized, and the expansion of agriculture is often the main threat to forests. In tropical forests, logging sometimes threatens forest loss directly. More often, however, logging acts as an indirect cause of later conversion of natural forest to agricultural lands or plantations.

The “root” causes of forest conversion in many developing countries and economies in transition include:

- Population growth and the need to expand food production
- Poverty and the need for economic development
- Lack of democracy, transparency, and accountability in governments, as well as weak development of civil society
- The increasing power of multinational corporations
- Financial incentives for forest clearance

Trends with potential effects — both positive and negative — on forests include:

- Decrease of population growth rates worldwide
- Increase in urbanization
- Intensification of agriculture in many regions
- Globalization of economies and markets
- Increased awareness of the multiple benefits of forests, not only for wood production but for environmental services and nonmaterial benefits



- Shift in wood/cellulose production away from natural forests to plantations or intensively managed forests

From these root causes and current trends, two interrelated factors can be identified as the main constraints (or “threats”) to taking full advantage of the values that forests could contribute to human welfare and sustainable development: economic distortions and failures of governance.

- *Economic distortions* that create disincentives for sustainable forest management result from a lack of recognition of true value of forests and the multi-faceted contribution they make to human welfare and sustainable development. This is a failure to take into account all of the multiple values of forests in decision-making through economic markets and otherwise — especially for the unmarketed ecological service values of forests.
- Several kinds of *failures of forest governance* abet the continued degradation and fragmentation of forests and conversion to non-forest land. Important decisions affecting forests are often made by decision makers responsible for other sectors (transportation, energy, agriculture) without adequate consideration of the harmful effects on forests. Local people who live in and near forests often bear the externalized costs of activities such as logging or mining in forests, while the benefits from those activities flow to urban political and economic elites who are not directly dependent on the forests for their subsistence and livelihoods. In many countries, failures of forest governance arise as a result of problems with forest policies, laws, and tenure; a lack of democracy, transparency, and accountability in government; or a weak civil society.

The values that forests provide to stakeholders at the local, national, regional, and global scales are not identical. Although substantial overlap of interest may exist among some or all of these stakeholders, their interests can be very different or even mutually exclusive — making a reconciliation of stakeholder interests difficult, if not impossible. This unavoidable tension and complexity due to scale and forest values is another constraint to realizing the opportunities that forests provide for improving human welfare.



## SECTION III

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### USAID and Forestry

USAID has supported many projects and activities dealing with forests and forestry. A search of the USAID database from 1954 to 2000 (keywords “forestry” and “forest”) found 140 entries. According to the agency, its “combined funding for activities in the forestry sector between 1991 and 1995 exceeded \$427 million.” Funding for forest sector programs rose in the late 1980s and peaked in 1991, with expenditures worldwide of about \$125 million. Expenditures in this sector have fallen considerably since then, with spending for biodiversity and tropical forests estimated at \$66 million this year (see Annex G for totals from the 2001 Congressional Presentation).

Because of the highly diverse values provided by trees and forests, however, what should count as “forestry” activities is not easy to categorize. “Forestry” is a vague term dealing with a myriad of activities, from community fuelwood plantations to watershed management, from forest protected areas to reduced impact logging, and from shade-grown organic coffee to the debate about carbon credits and the Climate Convention. No clear attribution codes within USAID make it possible to identify exactly what activity is “forestry” and what is not. Biodiversity conservation, climate change, and natural resources management objectives in general are often lumped with “forestry” objectives. The inherently intersectoral and integrated nature of forestry makes developing a comprehensive, clear coding system difficult.

Because of the breadth of forestry and the impossibility of neatly attributing activities to it, it is impossible to say exactly how much USAID has or is spending on forestry. Estimates give expenditures by USAID at approximately \$25 to \$30 million. The Global Bureau’s Forestry Program’s budget for FY1999 was about \$850,000 and \$1.6 million for FY2000.

- The Latin America and Caribbean region has the largest forestry portfolio, with spending of approximately \$18 million obligated to “forestry/agroforestry” in FY2000, according to the Environmental Information Clearinghouse (EIC). Countries with large USAID programs include (or have recently included) Bolivia, Brazil, Columbia, Ecuador, Haiti, Mexico, and Panama.
- The Africa Bureau has obligated about \$14 million to forestry and agroforestry activities in FY 2000, with larger programs in Ghana, Guinea, Madagascar, Mali, Tanzania, and Uganda.
- The Asia and Near East Bureau’s expenditures are less certain because of attribution coding issues. Estimated obligations in FY2000 will be slightly more than \$1 million for “forestry and agroforestry.” However, in 1998 and 1999, \$4 to \$5 million per year was spent for emergency response to fires in Indonesia. Nepal, Indonesia, and the Philippines have had substantial Forestry Program activities in recent years.
- In the Europe and Eurasia Bureau, forestry expenditures are occurring in Albania, Bulgaria, and Russia.



## SECTION IV

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### Other Forestry Programs

The “Review of USAID’s Global Bureau Forestry Program” BIOFOR task order asks for a description of other donor, other U.S. government, or private forestry programs. Because of the multitude of forestry programs, this brief report presents only major actors and agencies with an interest in forest issues and, in a few cases, provides a description of their mission or activities.

The very large number of forestry programs and actors presents a challenge for USAID’s Global Bureau Forestry Program, which has the primary responsibility to be cognizant of these many other forestry programs, and communicate, coordinate, and collaborate when it is in their mutual interest. Liaison with these other actors and their programs is essential for identifying USAID’s comparative advantages, finding appropriate partners, and leveraging resources.

#### **A. Other U.S. Government Agencies with International Forestry Interests:**

- *OPIC*, the Overseas Private Investment Corporation <[www.opic.gov](http://www.opic.gov)>
- *CIA*, DCI Environmental Center
- *State Dept. Bureau for Oceans, Environment and Science (OES)* <[www.state.gov/www/global/oes](http://www.state.gov/www/global/oes)>
- *USDA Forest Service Office of International Programs* <[www.fs.fed.us/global](http://www.fs.fed.us/global)>

#### **B. Multilateral Donors:**

- *Asian Development Bank*
- *Inter-American Development Bank*. In the latter half of the 1990s, the IDB financed approximately \$20 to \$40 million of forestry sector activities. Since earlier days, its funding has shifted from production-oriented projects to environmental and social forestry.
- *UNDP-GEF*, the United Nations Development Programme - Global Environment Facility <[www.undp.org/gef](http://www.undp.org/gef)>
- *UNEP-GEF*, the United Nations Environment Program - Global Environment Facility <[www.unep.org](http://www.unep.org)>
- *World Bank* <[www.worldbank.org](http://www.worldbank.org)> The Bank is currently involved in a review of its role in the forestry sector and a rethinking of its 1991 Forest Policy. The Forest Policy Implementation Review and Strategy has been ongoing for nearly a year, and the

Bank's Board is supposed to consider full proposals coming out of this process in December 2000.

- *World Wildlife Fund-World Bank Forest Alliance* <[www-esd.worldbank.org/wwf](http://www-esd.worldbank.org/wwf)> The World Bank and World Wildlife Fund formed the Alliance for Forest Conservation and Sustainable Use in April 1998. The goal of this partnership between two very different organizations aims “to promote forest conservation and best practices in forest management.” The Alliance is pursuing a dichotomous strategy, with a “protection” target of 50 million hectares of new protected areas and 50 million hectares of improved management of existing PAs, as well as a “sustainable uses” target of 200 million hectares of production forests brought under independently certified sustainable management.

### C. International Agencies:

- *CGIAR*, the Consultative Group on International Agricultural Research <[www.cgiar.org](http://www.cgiar.org)> CGIAR expanded its mandate to include forestry and agroforestry in 1991 and spent about \$33 million on forestry and agroforestry research in 1998.
- *CIFOR*, the Center for International Forestry Research <[www.cifor.org](http://www.cifor.org)> is the newest of the CGIAR centers, established in 1993. CIFOR's mission is to “contribute to the sustained well-being of people in developing countries, particularly in the tropics, through collaborative strategic and applied research and related activities in forest systems and forestry, and by promoting the transfer of appropriate new technologies and the adoption of new methods of social organization, for national development. One of CIFOR's major roles is to deliver research outputs that can help the international community and individual developing nations decide on and maintain an appropriate balance of sustainable forest uses.” Its new Adaptive Co-Management of Forests project will generate applied research to improve forest governance through community forestry and joint forest management.
- *FAO*, the Food and Agriculture Organization Forestry Programme <[www.fao.org/forestry](http://www.fao.org/forestry)> describes its role as “to facilitate, catalyse and provide information, guidance and assistance for the actual managers of the resource.” Their INFOSYLVA database <[www.fao.org/infosylva](http://www.fao.org/infosylva)> allows users to access country-by-country summary information on forests and their status and forest products and trade. The FAO Forests, Trees and People Program (FTPP) has a focus on rural development through community forestry activities.
- *ICRAF*, the International Centre for Research in Agroforestry, is the other CGIAR center involved with forestry as the main part of its mission.
- *IFF*, Intergovernmental Forum on Forests of the UN Commission on Sustainable Development

- *ITTO*, the International Tropical Timber Organization <[www.itto.or.jp](http://www.itto.or.jp)> “facilitates discussion, consultation, and international co-operation on issues relating to the international trade and utilization of tropical timber and sustainable management of its resource base.” It brings together countries that produce and consume tropical timber to discuss and exchange information and to develop policies on all aspects of the global tropical timber trade. The ITTO now has 54 members, representing 95 percent of world trade in tropical timber.

#### D. Bilateral Donors:

- *CIDA*, the Canadian International Development Agency <[www.acdi-cida.gc.ca](http://www.acdi-cida.gc.ca)>
- *CIRAD-Forêt* <[www.cirad.fr](http://www.cirad.fr)> is the French development agency department for technical cooperation in forestry. Its mission is to contribute to the rural development of tropical and subtropical countries through applied research, action plans, and dissemination of scientific and technical information. CIRAD’s research focuses on natural forests and managed plantations, as well as wood processing and products.
- *DfID* (formerly ODA) Department for International Development <[www.dfid.gov.uk](http://www.dfid.gov.uk)> is the British government department responsible for promoting development and the reduction of poverty.
- *GTZ* Gesellschaft für Technische Zusammenarbeit <[www.gtz.de](http://www.gtz.de)> GTZ is the technical advice and assistance branch of Germany’s development assistance effort. The twin goals of the GTZ Forest Resources Management and Conservation of Nature Division are to help countries manage forest resources sustainably and preserve endangered habitats and species — in other words, to “strike a balance between long-term conservation and the immediate interests of utilization.”
- *JICA*, the Japan International Cooperation Agency <[www.jica.go.jp](http://www.jica.go.jp)>
- *SIDA*, the Swedish Agency for Development Cooperation <[www.sida.se](http://www.sida.se)>

#### E. NGOs:

- *American Forest and Paper Association* <[www.afandpa.org](http://www.afandpa.org)>
- *Conservation International* <[www.conservation.org](http://www.conservation.org)>
- *Forest Management Trust*
- *FSC*, the Forest Stewardship Council <[www.foreststewardship.org](http://www.foreststewardship.org)> The Forest Stewardship Council is a nongovernmental organization founded in 1993 to encourage the development of national and regional forest management standards and provide public education and information about independent, third-party certification as a tool for ensuring that the world’s forests are protected for future generations.

- International Society of Tropical Foresters
- *IUCN* — World Conservation Union <[www.iucn.org](http://www.iucn.org)>
- *Smithsonian Tropical Research Institute, Center for Tropical Forest Science* <<http://www.si.edu/organiza/centers/stri/forest/ctfs.html>>
- *Society of American Foresters* <[www.safnet.org](http://www.safnet.org)> SAF is the professional organization for American foresters. It has a World Forestry Committee and an International Forestry Working Group.
- *The Nature Conservancy, TNC* <[www.tnc.org](http://www.tnc.org)>
- *Tropical Forest Foundation*
- *World Forestry Center*
- *World Resources Institute, WRI* <[www.wri.org](http://www.wri.org)>
- *World Wildlife Fund* <[www.panda.org](http://www.panda.org)>

Forestry programs and activities are also found in university forestry and natural resources management programs. For-profit corporations are also key actors in the forest sector. Consulting firms and their projects — including several USAID indefinite quantity contract (IQC) mechanisms (such as the Biodiversity and Sustainable Forestry (BIOFOR) IQC, held by Chemonics International and Associates in Rural Development and the Environmental Policy IQC (EPIQ) held by the International Resources Group) — also have the capability to provide technical assistance related to forests and forestry.



## SECTION V

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### Evaluation of the G/ENV/ENR Forestry Program

This section evaluates the current Global Bureau Forestry Program. Per the task order proposal instructions, “this will provide an objective analysis of the effectiveness of the existing program in terms of approach/methodology being used, and the composition (thematic emphases, regional emphases, budget allocations, etc.) of the G/ENV/ENR forestry portfolio.”

#### **A. Responsibilities of the Bureau for Global Programs, Field Support, and Research**

USAID’s Bureau for Global Programs, Field Support, and Research (referred to hereafter as Global Bureau) has a diverse suite of responsibilities. The bureau’s roles include:

- *Global programs and affairs*: Although the State Department is the “lead” U.S. Government agency responsible for diplomacy, policy, international treaties, initiatives, and forums, the Global Bureau should play a technical leadership role, informing and backing up diplomacy and policy with the latest technical and scientific information and expertise. Ideally there should be a synergism in which diplomacy and policy help to create the conditions that enable development activities to succeed.
- *Field support and technical assistance*: The bureau helps Missions and regional bureaus obtain technical assistance from in-house staff, partners, and collaborators.
- *Analysis and information, applied research and technical leadership*: The bureau should support analysis, synthesis, and applied research; disseminate the results of such research; and serve as a clearinghouse for the latest technical information (on governance, policy, economics), best practices, and models. In its information clearinghouse role, the bureau helps USAID systematically learn and disseminate lessons from ongoing development work worldwide.
- *Liaison with other organizations*: In support of the three primary roles above, Global Bureau programs should collaborate with other organizations and agencies. Because of its Washington, D.C., location, Global Bureau staff can communicate relatively easily (compared with USAID Missions) with other U.S. Government agencies, research organizations, Congress, multilateral donors, NGOs, and U.S. trade, industry, and professional organizations.

The Global Bureau’s Forestry Program had a budget of about \$850,000 in FY 1999 and a current budget of approximately \$1.6 million (FY 2000). About \$0.3 million of the current budget supported three forestry team members in the ENR Office. About \$0.3 million went to applied research activities related to forestry at CIFOR, ICRAF, and other relevant CGIAR centers, through the bureau’s Office of Agriculture and Food Security (G/EGAD/AFS). About \$1 million went to the USDA Forest Service Office of International Programs through an Inter-Agency

Agreement. In many ways, the Forest Service International Programs office could be thought of as the main implementer of the USAID Global Forestry Program.

## **B. Efficacy of the Current Global Bureau Forestry Program**

As currently implemented through the agreement with the International Programs office, the Global Bureau Forestry Program appears designed to respond to Mission demands. G/ENV/ENR money funds four regional liaison staff, whose jobs are largely to respond to Mission requests for technical cooperation. International Program activities are really fueled by Mission buy-ins, which amount to about three to four times the core funding from G/ENV/ENR.

A number of Mission staff contacted as part of this consultative process praised the Global Forestry Program as responsive to requests for technical assistance through the Forest Service Office of International Programs. The Forestry Program was praised for having funded a broad array of cutting-edge activities, from studies of reduced impact logging to support for the Asia Forest Network.

Despite its successes in responding to Mission demands with a limited budget, declining funding from levels of a decade ago have reduced the visibility and profile of the Global Bureau Forestry Program within USAID. The Forestry Program has been weakened by low staffing levels and staff turnover and internal communication problems. Because of its situation, the Forestry Program has not given regular and routine attention to broad strategic planning with USAID staff and outside partners — this broad, strategic rethinking exercise described here was the first in many years.

Declining funding and low visibility of the Forestry Program have led to a number of problems and areas of unrealized potential that deserve consideration. The program:

- Has not emphasized or developed its role as an “information clearinghouse,” providing analysis, information, and technical leadership, to a level that meets that perceived need
- Has not taken a strong leading role in clarifying and resolving certain complex issues and policies within USAID, such as forest certification
- Has not built a cross-sectoral network within USAID that comes close to tapping the potential, or meeting the demand, that is expressed within the Agency
- Has not given as much attention to the topical themes of forest governance and policy or forest values and economics these themes are widely perceived to deserve. Neither of these is identified as a program area or a program topic, say within the International Programs of the Forest Service, the main implementer of Global Forestry Program activities

- Has not been maximally effective in maintaining dialogue with the State Department, and for realizing opportunities for synergy between USAID and State on forest issues, such as certification, fires, and forest law enforcement

Some people in USAID think the Global Bureau's Forestry Program has become scattered and unfocused. Others strongly believe that it has sufficient thematic focus, and that it has been responding to demand from USAID field Missions as best it could given its relatively small budget. Those holding the latter view argue that there is a natural tension between central thematic focus and field-driven demand, and that truly responding to USAID Mission demand will inevitably lead to a diverse portfolio of activities.

A majority of those interviewed feel that USAID could and should do more in the forestry sector. They believe that this rethinking exercise is useful and timely. And they hope it leads to a more active, visible, and well-funded Forestry Program within the Global Bureau, which can help provide effective leadership within USAID as a whole.



## SECTION VI

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### Recommendations

The recommendations made below are based on an analysis of the comments received from the individuals consulted (USAID staff, partners, potential collaborators) during this exercise (see Annexes A, D, and E). Current literature on forests and forestry (see Annex F) also contributed to the recommendations.

#### **A. Emphasize the Opportunities Forests Provide for Improving Human Welfare**

The overwhelming sentiment among the people contacted was that the G/ENV Forestry Program, and USAID forestry activities in general, should adopt a proactive, opportunities-oriented strategic goal. The goal should emphasize the multiple values and uses of forests for contributing to human welfare and sustainable development. To contribute to people-centered sustainable development, it should work to reduce the conversion of forested lands to non-forested lands through improved forest management practices, improved policies and governance, and improved incentives.

The majority of those interviewed felt that the Forestry Program should take a balanced approach toward the multiple values and uses of forested lands. It should not avoid dealing with forest-products production activities, nor should it emphasize nonmaterial values and take a protectionist approach to forests. Almost everyone believes, however, that the ecological services functions of forests are valuable, that they are poorly understood and significantly undervalued. Many believe that this ecological aspect is in fact the forests' greatest value and should be emphasized by the program.

A related issue is the question of the proper relationship or overlap between the bureau's Forestry and Biodiversity Programs. USAID staff recognize that biodiversity conservation is a primary environmental goal of USAID. However, many of the staff contacted believe that the bureau's Forestry Program should be distinct from the Biodiversity Program; it should complement, not undermine, USAID's biodiversity conservation objective. Most think the Forestry Program should concentrate more on the material contributions — direct and indirect — of forests to sustainable development, including watershed and carbon storage functions. Most believe protectionist approaches and activities should largely be left to the bureau's Biodiversity Program.

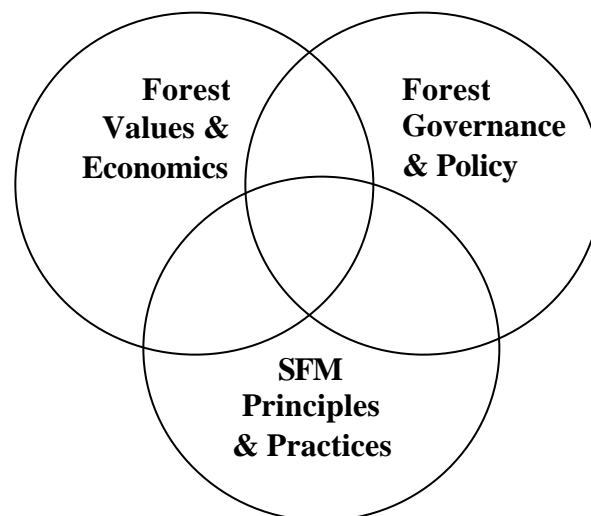
#### **B. What Substantive Areas Should Be the Focus of the Program's Future Work?**

The task order posed the question, "What substantive areas should be the focus of the program's future work?" To be strategic (rather than reactive or opportunistic), the Forestry Program should be designed around key themes and issues, not partners, activities, or delivery mechanisms. After the key strategic themes and issues are organized into a balanced and coherent program, the partners, activities, and mechanisms to deliver technical leadership and field support can be identified.

Because the recommendations given below are based on input from interviews and questionnaires, it is important to describe at least in part the technique used to analyze the inputs received. This technique is often used in social science research to quantify information obtained from interviews or open-ended survey questions. First, categories of responses were constructed for reoccurring themes, issues, and topics and types of interventions or “response mechanisms.” All interview notes and e-mailed responses were then re-read, searching for keywords linked to these categories (see Annex B), and the number responses in each category were tallied. Although not purely objective, this technique provides a semi-quantitative method to summarize the interests and priorities of respondents and removes some of the subjectivity present when analyzing information collected in this manner.

Results from this semi-quantitative analysis are shown graphically in Annex B, along with the keywords used to score the categories.

Three broad conceptual themes emerge from an analysis of the opportunities for forests to contribute to sustainable human development and the constraints to realizing those opportunities: sustainable forest management principles and practices, forest governance and policy, and forest values and economics. Annex C lists topics that fall under these main themes.



As depicted in the diagram above, these themes overlap. The most robust and effective strategy probably requires addressing each of these three themes in some way.

There is a strong perception that the three broad themes are equally important and that each requires attention; in other words, to create a strong program, a balance among these themes is essential. Compared to SFM principles and practices, forest governance and forest values may be less well-represented in the bureau’s current portfolio of activities than they should be to bring about the kind of balance perceived as needed.

In addition to these thematic topics, the analysis of inputs from respondents suggests priorities for response mechanisms. These essentially are interventions, related to the functions and roles of Global Bureau programs discussed earlier in Section V, Evaluation.

An analysis of responses demonstrates a strong interest or perceived need for *information, analysis, and communication*. Keywords related to this category — such as information collection, synthesis, analysis, dissemination; cross-regional “lessons learned,” models, best practices; and information clearinghouse — made up 32 percent of the responses scored. This response mechanism received the most responses in the interviews and questionnaires.

*Training and institutional capacity building* was the next most frequently mentioned response mechanism that the Global Bureau Forestry Program could use, with 14 percent of the total responses scored. It was followed closely by *technical assistance and field support*, which generated 12 percent of the responses scored. All of the other scored categories of response mechanisms fell below 10 percent of responses scored (see Annex B).

The matrix below lists the main themes identified by respondents on the vertical axis, with the three top-tier response mechanisms on the horizontal (with frequency of response for each). This three-by-three matrix may be useful to the Global Forestry Team as a planning tool. Of the response mechanisms, analysis and information is seen by respondents who provided input into this rethinking exercise as a very important — or perhaps very much needed — function or role for the G/ENV/ENR Forestry Program.

As noted in Section V, Evaluation, the G/ENV/ENR Forestry Program has not recently given as much attention to the topical themes of forest governance or forest values and economics that these themes are widely perceived to deserve. That may suggest that, of the nine cells of the three-by-three matrix below, the bottom two cells of the first column deserve attention. The Forestry Program should seriously consider funding activities that involve analysis and information dissemination about forest governance and about forest values and economics.

Illustrative activities have been listed within the matrix below. This is not to suggest that these are necessarily the highest priority activities within each cell of the matrix but rather to stimulate thinking about different types of activities that would round out and provide balance to a strategic plan for the Forestry Program.

Interest and demand for technical assistance from USAID Missions will likely not come as requests for information about (or assistance with) broad themes like “forest governance” or “forest values.” It is much more likely to come in the form of requests for help with current “hot” topics such as fires, certification, illegal logging, or forest enterprise development.

Specific issues (fires, certification, carbon sequestration, illegal logging) can perhaps serve as “portals,” providing an entry point for Missions to obtain the best technical information and assistance with the complex, underlying contexts and root causes of those specific issues. The context and root causes of these problems fall within the realms of forest governance, forest economics, and forest management practices.

**Matrix of Theme by Response Mechanism  
With Illustrative Examples of Possible Activities**

	Information, Analysis, & Communication 32%	Training & Institutional Capacity-Building 14%	Technical Assistance & Field Support 12%
Improved or Sustainable Forest Management Principles & Practices	Workshop on certification principles & criteria: status & prospects Forestry sector review workshop & report, each USAID region	Developing a regional training center for foresters, joint venture w/ private sector & universities Regional fire response training	Technical assistance with reduced impact harvesting practices Expert advice on setting up long-term forest monitoring plots
Forest Governance & Policy	Models & lessons in community/joint forest management White paper on forest law enforcement & "illegal" logging	Pilot training course in forest law enforcement in 4 USAID regions Workshop on community/joint forest management in Latin America	Developing a roster of experts on writing joint forest management agreements Making satellite imagery available to NGOs involved in forest monitoring
Forest Values & Economics	Study of market incentives for conserving watershed forests Analysis/synthesis of case studies of economic assessments showing the benefits of mangrove forests	Regional scholarship program for postgraduate training in forest economics Workshop to develop training materials for carbon credit monitoring at the community level	Assistance with market incentives & making market linkages for certified timber and NTFPs Training in FSC certification and chain of custody protocols

There are numerous "hot" issues in forestry right now. Such topics are always emerging and receding. Through various delivery mechanisms, the bureau's Forestry Program should be able to respond to many requests for assistance with such specific issues. However, the program should be organized strategically so that it can steer USAID away from a reactive approach to development. The more proactive approach recommended will counter the "pull" of currently fashionable issues that prevent a long-term focus on removing the constraints to, and creating the enabling conditions for, sustainable forest management. A strategic response requires identifying and addressing the perennial issues, not jumping from fad to fad. Forestry Programs that are neither integrated nor strategic cannot "see the forest for the trees." Ideally, strategic leadership and field demand for technical assistance should coincide, but in the real world there may be some tensions between them. The Global Bureau is where the big-picture conceptual linkages must be forged, if they are going to be.

### **C. What are the Most Promising Opportunities for Expansion or Reorientation?**

We offer fourteen recommendations (grouped into four categories) to the task order's question, "What are the most promising opportunities for expansion or reorientation?":

#### *Become a Forestry Information and Analysis Clearinghouse for the Agency*

- Expand and/or reorient the Forestry Program to provide more information and analysis on issues and lessons learned. This is clearly perceived as a need within the Agency. A "Forestry Experience Clearinghouse" could be developed that would have an analytical/synthetic capability (based on workshops, comparative case study



analyses, pilot trials, modeling, “lessons learned from experience”). This is basically applied research that “feeds high up on the information food chain,” in the words of one respondent. This kind of research is synthetic, finding lessons from comparisons of experience with forestry around the world. A corresponding information dissemination, communication, and outreach capability is also needed. One aspect of field support is being able to provide the best available information in a useable/distilled form, both on request and even sometimes proactively, as a kind of “heads up.” Developing this analysis and information role may require new partners, or a reorientation of partners. It may also require new G/ENV/ENR in-house staff with information, communication, outreach, and networking interests, skills, and experience.

- Improve the quality and accessibility of information about forestry activities within USAID. Develop an attribution coding system and database that allows all USAID forestry activities to be tracked in detail, principally to use the experience gained in the field to learn and transfer lessons and develop transferable models within and between regions. This is needed to incorporate USAID experience into a Forestry Experience Clearinghouse, as discussed in the previous recommendation.
- Use the Internet to help meet the need for a forestry information clearinghouse. Information about the Forestry Program, the results of its analytical studies, and forestry activities throughout USAID should be linked on the worldwide web. USAID’s own web site <[www.usaid.gov/environment](http://www.usaid.gov/environment)> is neither state-of-the-art, nor designed as an information resource. The Environment Information Clearinghouse web site <[www.genv.org/eic](http://www.genv.org/eic)> is minimal; “forestry” is not listed as a topic, and there are no links to the many forestry sites that exist worldwide. The USFS International Programs web site <[www.fs.fed.us/global](http://www.fs.fed.us/global)> is fairly well developed, though not an information-rich site and not designed to serve as a clearinghouse function. The International Programs site does not link with USAID sites, and nowhere is an acknowledgement of USAID’s major funding role prominently acknowledged on this web site. CIFOR and World Resources Institute web sites provide models that hint at what an information-rich clearinghouse site could provide. There is no need to reinvent the “wheel”, but the bureau’s Forestry Program should take advantage of the Internet through its support to CIFOR, the Forest Service Office of International Program, and/or other partners such as World Resources Institute.

### *Strengthen Cross-Sectoral Synergies*

- Give increased support to the themes of forest governance and forest values and economics. Develop more activities that emphasize these themes. As is the case with expanding the information clearinghouse role of the Forestry Program, this thematic balancing may require new partners, and/or additional G/ENV/ENR in-house staff with forest governance or forest economics interests, skills, and experience.
- Expand cross-sectoral linkages with other USAID programs and build a network within the Agency for cooperation in the forestry sector. The Global Water Program,

for example, is a natural partner for the Forestry Program, because water issues provide the clearest links between forestry and urban, health, energy, and coastal issues. The Forestry Program should highlight linkages with other sectors (democracy and governance, disaster assistance, economic growth). An extended or expanded forestry team or Forestry Working Group should be developed (as the Water Resources Team has done), which includes representatives of urban, energy, OFDA, health, water, economic growth, PVC, coastal and marine, State Department, and CIA interests. Organizationally, the participation and communication needed to take advantage of these linkages requires enough staff and time for the internal communication and liaison needed, as well as a collaborative attitude and working style. This will allow other sectoral teams access to information and participation in decision making by the team, and vice versa. In addition to an expanded Forestry Team, cross-sectoral linkages might fostered by committing a fraction of each annual budget to a discretionary fund used to approach other sectors (water, energy, urban, health, democracy and governance) and jointly carry out studies, workshops, and other learning-from-experience activities to explore the intersectoral linkages. A topic such as integrated watershed management would be a high priority, or a specific topic like “experience with economic incentives from downstream users for conserving watershed forests” might be appropriate. Due to links to food security (via fisheries), coral reef protection, disaster mitigation, and species conservation (such as Sunderbans tigers), mangrove forests may be another such “hot” cross-sectoral topic.

- Explore opportunities for mutual benefit and synergy with the State Department. Topics of mutual interest might be “illegal” logging, certification (standards and auditing of various kinds, including for carbon sequestration), and fires. Opportunities to develop a more effective relationship with State could involve joint workshops, the formation of a task force or working group, or jointly programmed pilot activities.
- Improve communication with other donors and actors in the global forestry arena. Compared to large lenders like the World Bank, USAID’s forestry spending is miniscule. Donor support (grants, loans) is usually seen as a useful tool to encourage the right kind of development (and discourage the wrong kind) through mechanisms — such as providing incentives for policy reform, for getting policy changes as contingencies for loans — and “leveraging.” Grant-based aid can itself “leverage” loan-based aid. The need for “donor coordination,” harmonization, or at least communication, is widely discussed. As is true for cross-sectoral communication and collaboration within USAID itself, this kind of dialogue with other donors requires enough staff and time for external communication and liaison, and an attitude and working style that fosters shared information and decision making among donors.

### *Expand Business Linkages*

- Develop more capacity to access business and enterprise development expertise (market development, market linkages). This will require forging partnerships with the private sector through joint activities with individual companies or associations (trade, professional). These partnerships with the private sector should be seen as

pilot activities whose purpose is to experiment and learn and develop models; they should not become or be seen as support for private companies with public funds.

- Explore ways to develop appropriate working relationships with the private sector. The wood products industry — ranging from international timber companies to wood products retailers in developed countries (Home Depot, Lowe’s) — are key actors in global forestry. Some people have argued that public funding for international development will continue to decrease and that private funding for social development goals (“social investment”) will become increasingly important for supporting development activities. Because of the economic power of private corporations, partnerships that could leverage their resources toward investment in social goals should be explored. The “social investment” goals of private corporations need to be brokered and guaranteed through these partnerships, such as through MOUs like those used in the matching grants program of USAID’s Office of Private and Voluntary Cooperation (BHR/PVC).

#### *Provide Proactive Technical Leadership*

- Take a proactive, leadership role in addressing complex issues and policies within USAID (such as forest certification) that act as constraints to forestry activities within the agency. On the certification issue, one idea is for the G/ENV Forestry Team to organize and lead a Certification Working Group, with representatives from the State Department, the Forest Service, NGO partners, the World Bank, and the private sector. This working group could assess the potential for, and make recommendations about, certification for timber, non-timber forest products, carbon credits, watershed values, and biodiversity from both development and diplomatic perspectives.
- Find a balance between focusing on strategic themes and topics of emerging importance and responding to the “pull” of demand for technical assistance from the field. The Forestry Program has probably become dominated by “pull” lately. Strategic “push” requires vision and proactive leadership that recognizes emerging topics of importance and carries out learning activities to develop effective agency-wide responses to them. Technical assistance on specific topics can sensitize and educate Missions and partners in the field about larger themes and bridge the gap between global strategies and local tactics. The Global Forestry Program should help synthesize cross-regional experience on specific topics through analysis and information projects that compare experiences and disseminate “lessons learned.”
- Seek opportunities to expand training and capacity building. The International Forestry Seminar is an excellent example of training and capacity-building efforts, and support for it should continue. More is needed, however, and links with the private sector may provide one avenue for expanding training and capacity-building activities. For example, forest-based enterprise development at the community level is one area in which the private sector may be able to contribute expertise as well as funding. Establishment of in-country forestry training centers through leveraging private sector funding is another avenue worth exploring.

- Maintain the participation and momentum developed during this rethinking exercise. The Global Water Team has prepared “A Strategic Plan for Integrated Water Resources Management in USAID.” An expanded Global Forestry Team could likewise prepare a “Strategic Plan for Sustainable Forest Management in USAID,” for example, building on the consultative process started during this exercise.
- Carry out strategic planning exercises out more routinely. As staff turnover occurs, new staff are fully aware of the program and are either invested in the program or able to shape it in directions that they support. The program should not be reshaped every time there is a staffing change on the Forestry Team, however, or the benefits of developing and sticking to a longer-term strategic plan would be lost.

#### **D. What Are the Major Constraints Affecting Current and Future Program Directions?**

The major constraint currently appears to be the low number of G/ENV/ENR staff on the Forestry Team. Funding levels are related, of course, because additional staff cannot be hired without additional funding. But for the immediate future, funding levels are not the greatest constraint. A vision and strategic plan are the key needs. Provided a critical mass of core staff promotes the vision and strategic plan, interest from Missions will be sparked, which will attract Mission buy-ins and help build a constituency to increase the visibility, profile, and funding for the G/ENV/ENR Forestry Program within USAID/Washington and the State Department. Expansion or reorientation in certain areas, such as toward an analysis and information role or to give more emphasis to forest governance and policy or forest values and economics, would require finding additional staff members with interests, skills, and experience in those areas.

#### **E. What Could the Program Accomplish with Additional Resources?**

The task order asked for recommendations regarding the question: “What could the program accomplish with additional resources?”

The first priority should be to increase staff. Additional funds that are thoughtfully and strategically programmed would remove a major management constraint and effectively program any new funding. This requires adequate staff to oversee the funding and the right partners and collaborators. If additional funds are received with “earmarks” for particular activities (like the proposed “Greening the Globe” Initiative funding), a steering committee should be set up to oversee the funding for Forestry Program strategic objectives.

Section V, Evaluation argued that, as currently implemented by the Forest Service Office of International Programs, the program is responding well to a diverse spectrum of requests from USAID Missions for technical assistance. Additional funding would allow that implementing mechanism to remain in place while still programming funds to meet needs and unrealized opportunities and resolve problem areas outlined in the fourteen recommendations given above.

If additional funding is not available soon, the Forestry Program will be faced with a decision about how to reorient or shift some of its current funding to address unmet needs and help realize some of the opportunities discussed above.

## ANNEX A

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202-205-1650; Alex Moad, Asst. Director: amoad@fs.fed.us; Mike Bengé, Jan Engert,  
Scott Lampman, Gary Man, , Melissa Othman, , Liza Paqueo: 202-205-1650  
(program switchboard)

## NGOs

### **Center for Tropical Forest Science of the Smithsonian Tropical Research Institute :**

Elizabeth Losos, Director: elosos@stride.si.edu; 202-j633-8095

**Conservation International:** Dick Rice, drice@conservation.org, 202-429-5660; Cyril Kormos, ckormos@conservation.org; Greg Love, glove@conservation.org

**Community Forestry International:** Mark Poffenberger, Director: mpoffen@aol.com; 805-967-2191

**Forest Management Trust:** Josh Dickinson: josh@foresttrust.org; 352-846-2240

**Forest Stewardship Council:** Hank Cauley, U.S. Executive Director: hcauley@foreststewardship.org;; 202-342-0416; Bill Wilkinson: bwilkinson@foreststewardship.org; 202-342-5413

**Population Action International:** Bob Engelman, Director, Population & Environment Prog.: re@popact.org; 202-557-3400

**The Nature Conservancy:** Russell Leiman, Executive Director, Asia/Pacific Region: rleiman@tnc.org; 703-841-5358; Jim Rieger, Parks in Peril Program: jrieger@tnc.org; 703-841-4511; Bill Stanley, Climate Change Program: bstanley@tnc.org; 703-841-5823; John Finisdore: finisdore@erols.com

**World Resources Institute:** Frances Seymour, Director, Institutions & Governance Program:: frances@wri.org, 202-729-7760; Jake Brunner: jakeb@wri.org, 202-729-7733; Dirk Bryant, Director, Global Forest Watch: dirk@wri.org; 202-729-7779; J.G. Collomb, jg@wri.org, 202-729-7694; Anthony Janetos, Senior Vice President: ajanetos@wri.org; 202-729-7784

**World Forestry Center:** Dennis Dykstra, President: d.dykstra@worldforestry.org

**World Wildlife Fund:** Anthony Anderson, Director, People & Conservation Program: anthony.anderson@wwfus.org, 202-778-9639; Tom Dillon; Twig Johnson, Vice President, LAC Program: twig.johnson@wwfus.org, 202-778-9654; Stephen Kelleher, Global Forest Program: stephen.kelleher@wwfus.org, 202-778-9533; Don Masterson, Senior Forest Program Officer: don.masterson@wwfus.org, 202-778-9511

## International Agencies and Organizations

**CGIAR:** David Kaimowitz: d.kaimowitz@cgiar.org

**CIDA:** Ralph Roberts: ralph\_roberts@acdi-cida.gc.ca

**FAO:** Patrick Durst, Regional Forestry Officer, Asia/Pacific Region: Patrick.Durst@fao.org, (66-2) 281-7844; Michael Martin, Chief, Forestry Planning & Statistics Branch, FAO: michael.martin@fao.org, 39-06-5705-3302

**The World Bank:** Jim Douglas, Senior Forester: jdouglas@worldbank.org; Christian Peter, Forestry Specialist: cpeter@worldbank.org, 202-458-4771

## Business

**Sylvania Certified, LLC:** Robert Simeone: rsimeone@igc.org; 715-547-3304





## **ANNEX B**

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# Graphical Analysis of Responses from Persons Contacted

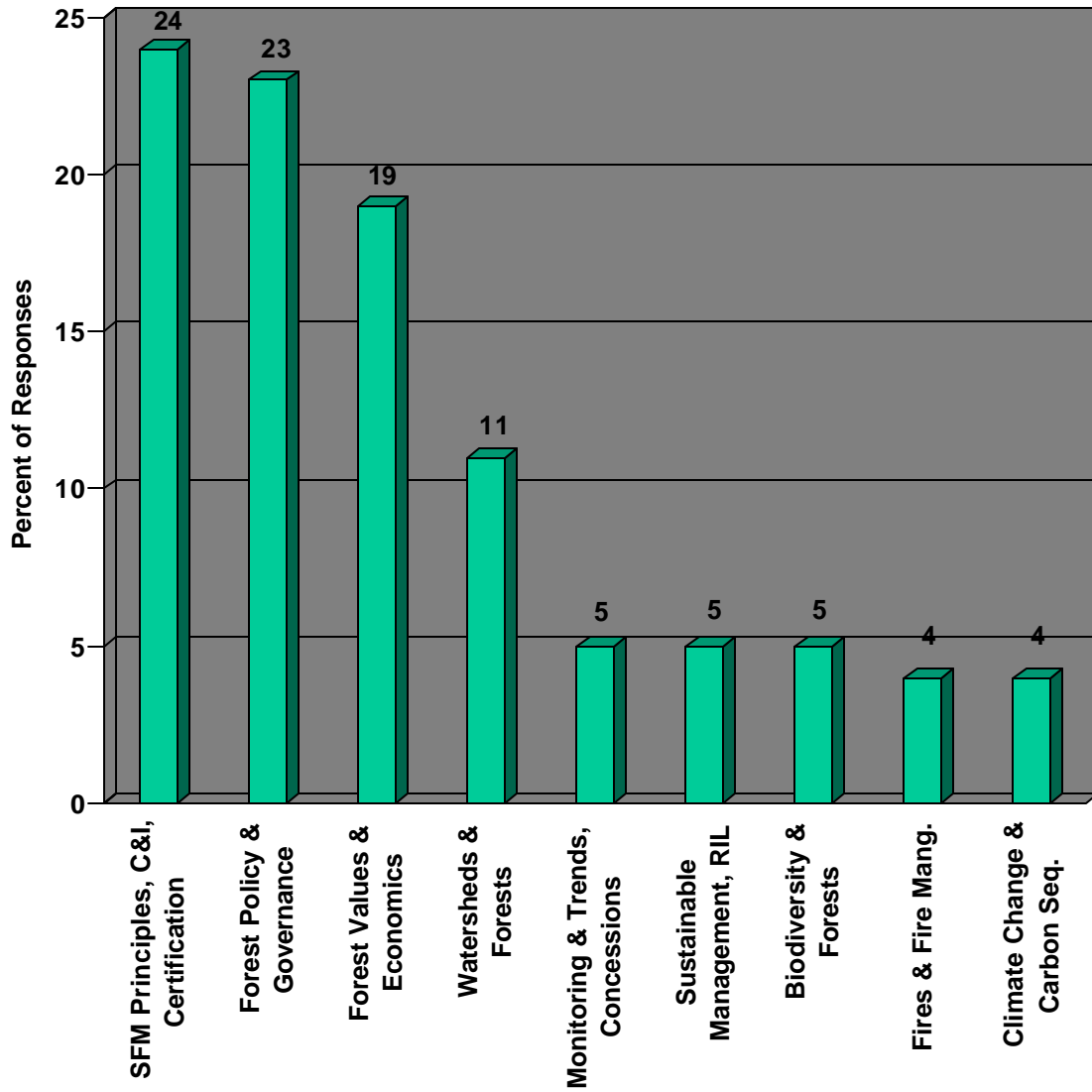
### **Keywords for Response Scoring of Themes, Issues, and Topics**

- Sustainable/improved forest management principles; criteria and indicators; certification; regs compliance
- Forest policy and governance (forest tenure reform; joint forest management; democracy, transparency, accountability in forest management)
- Multiple uses and values of forests; forest economics; non-timber forest products
- Watersheds and forests
- Forest monitoring; trends; concessions; exports; illegal logging
- Sustainable management knowledge; silviculture of important species; forest dynamics; reduced impact logging
- Biodiversity and forests
- Fires
- Climate change and forests; carbon sequestration

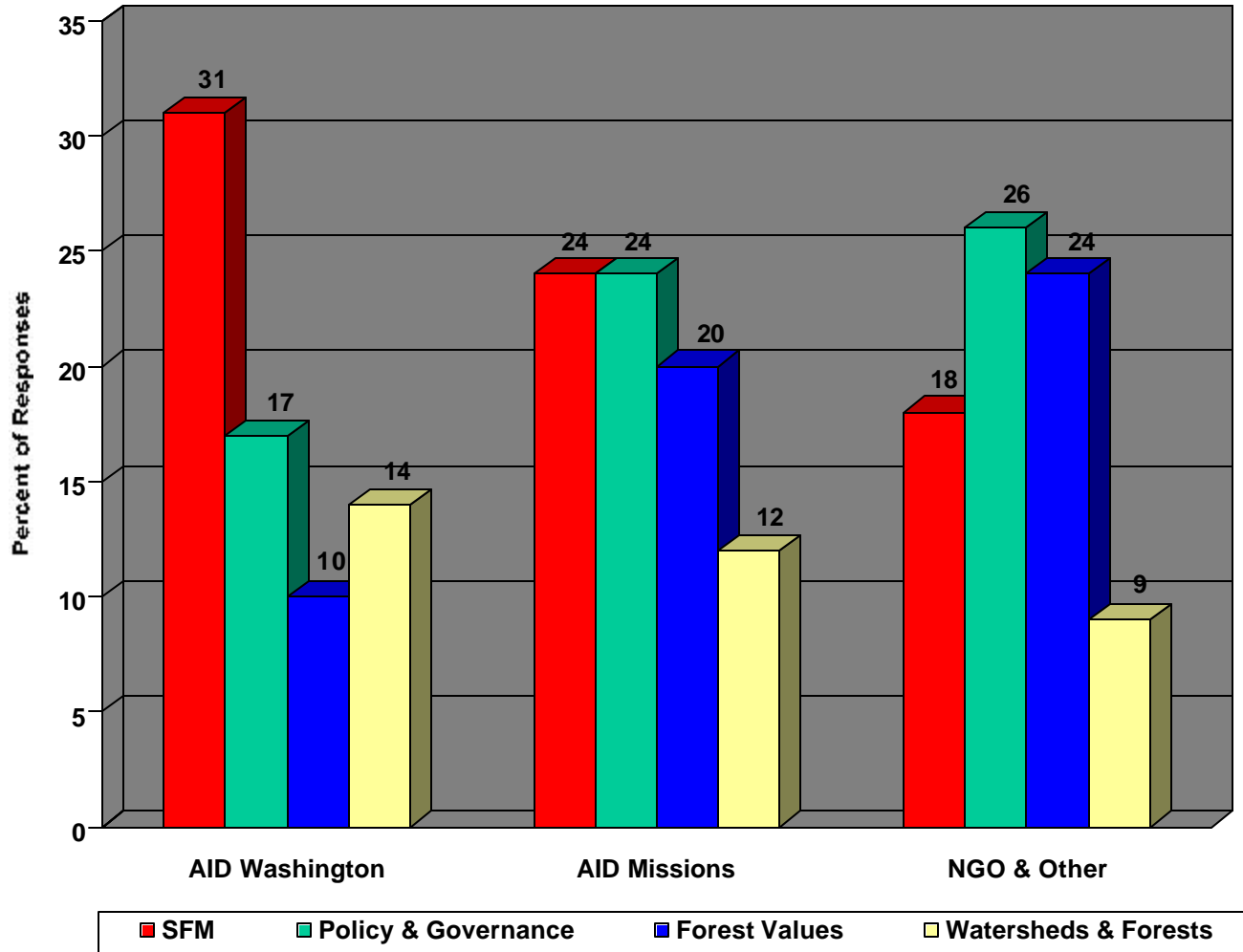
### **Keywords for Response Scoring of Response Mechanism/Type of Intervention**

- Information collection, synthesis, analysis, dissemination; cross-regional “lessons learned,” models, best practices; clearinghouse for latest technical information on selected topics of interest to all regions
- Training; human resources development; institutional capacity-building (e.g. Ngos, government forestry agencies, applied research institutions); small grants
- Field support and technical assistance; tdys to give direct support and technical advice to missions
- Applied research
- Partnerships with private corporations
- Global programs and affairs; liaison with state department and other international organizations; donor communication/coordination/dialogue
- Convenor of stakeholders; broker of partnerships
- Liaison with other themes; promotion of intersectoral linkages within and outside of aid

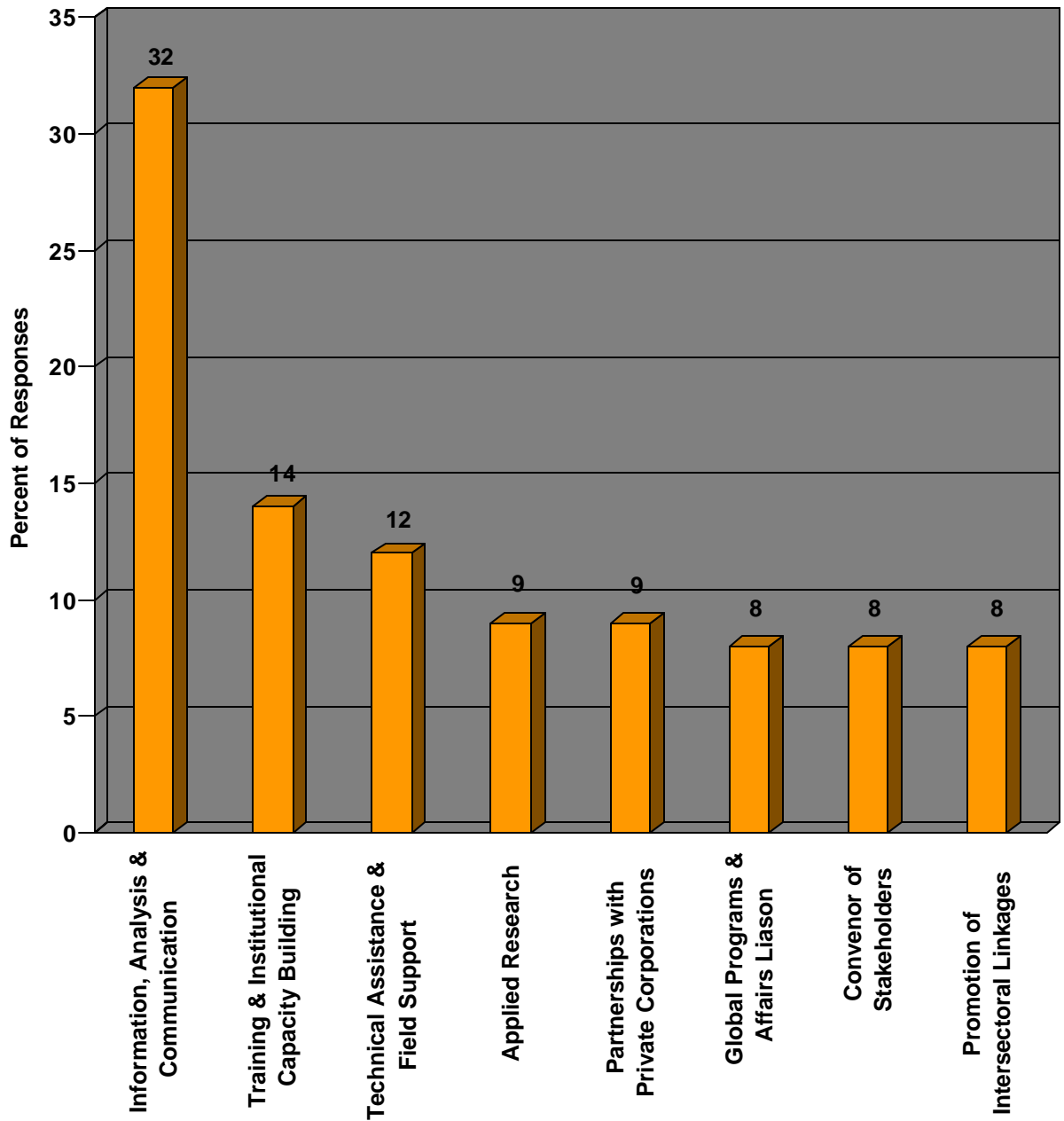
### Most Important Topic, All Groups



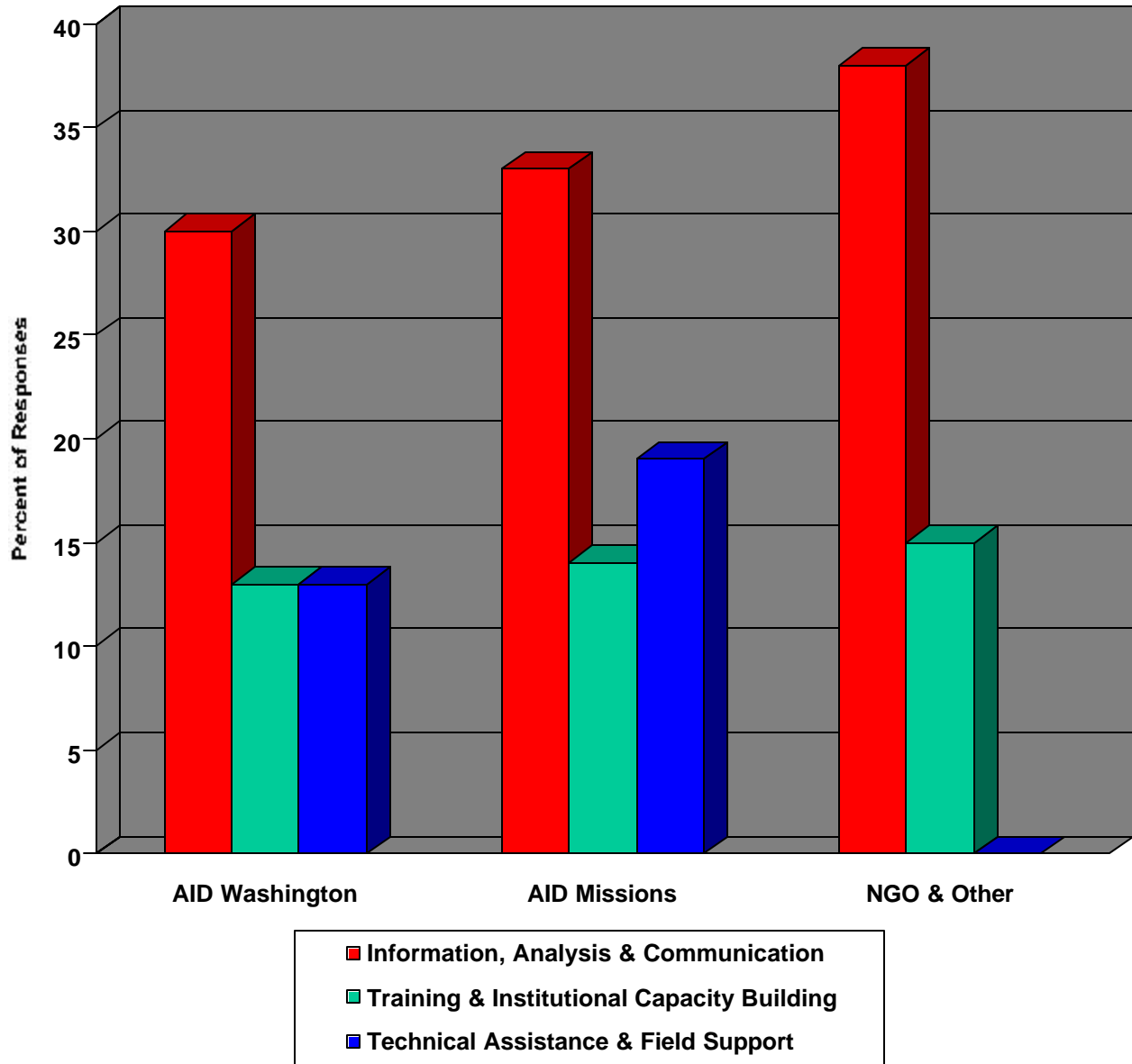
### Most Important Topics by Group '1st Tier' Topics



### Favored Response Mechanisms, All Groups



### Response Mechanism by Group '1<sup>st</sup> Tier' Responses





## **ANNEX C**

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### Major Themes and Topics

#### **Sustainable Forest Management Principles and Practices**

- Ecological processes/environmental services (e.g., forest management and watersheds, forest management and carbon sequestration)
- Sustainable forest management (SFM) and/or “improved forest management” (IPM) , including natural forest management
- Ecological criteria and indicators of sustainable or improved forest management (SFM, IFM)
- The need to better understand the relationship between forest species diversity and ecological processes
- Applied ecological research on forest dynamics and regeneration
- Silvicultural or autecological applied research on commercially valuable tree species (mahogany, rosewood, teak, raffia, Brazil nut)
- Forest fragmentation applied research, including synergistic effects with drought, fire, wildlife
- Methods for forest inventory, monitoring, and trends analysis, including remote sensing and local observer networks
- Applied research on fire ecology and forest dynamics

#### **Forest Values and Economics**

- Ecological services values of forests (watersheds and water, carbon storage and climate buffering)
- Values of forest products and services to local livelihoods and subsistence
- International trade and the global wood products industry
- Forest certification
- Agriculture and forests (farm forestry, including agroforestry, intercropping, and shade cropping; watersheds and irrigation linkage)
- Energy and forests (wood fuel; watersheds and hydropower linkage)
- Urban issues and forests, especially urban watershed and water quality issues
- Health and forests, especially linkage between deforestation and malaria, and between fuelwood and respiratory diseases
- Disaster prevention and mitigation values of forests (watershed protection and flood prevention)

## Forest Governance and Policy

- Accountability, transparency, corruption in governments and forestry agencies
- Legal frameworks for sustainable forestry, including the multi-faceted problem of “illegal” logging, and legal but unsustainable logging
- National forest policy reform and forest tenure reform
- Institutional capacity-building for participatory forest management
- Multi-stakeholder planning processes
- Including forests in national land use planning, national development planning in general, especially to recognize the affects of economic sectors like transportation, mining, and agriculture on forests
- Forests and equity; forestry to promote democratization and better governance,
- Participation in forest management, including joint forest management, community-based forest management
- Forest dwelling peoples, traditional tenure rights
- U.S. domestic laws and international forestry (Reg. 216, faa sections 118, 119)
- International treaties and forests (climate change convention, biodiversity convention)
- Participation in international fora, such as the international forum on forests (iff)
- Donor coordination with multilateral and bilateral donors for policy and governance reforms to improve forest management
- International security and forests (drug production areas, international boundaries in forest areas, forests as source of income for arms purchase)



## ANNEX D

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### USAID Roundtable Attendance List

Discussion led by Bruce Byers and Dave Gibson at USAID, September 14, 2000.

<b>NAME</b>		<b>ORGANIZATION:</b>	<b>EMAIL:</b>
Jon	Anderson	AFR/SD	janderson@afr-sd.org
Mike	Benge	USAID/USDA/FS/IP	mbenge@fs.fed.us
Christine	Bergmark	USAID/G/EGAD/AFS	cbergmark@usaid.gov
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John	Borrazzo	G/PHN/HN	jborrazzo@usaid.gov
Jean	Brennan	G/ENV/ENR	jbrennan@usaid.gov
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LeRoy	Duvall	G/ENV/ENR	lduvall@usaid.gov
Jan	Engert	USDA- Forest Service	jengert@fs.fed.us
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Gary	Man	USDA-Forest Service	gman@fs.fed.us
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John	McMahon	LAC/RSD/E	jmcmahon@usaid.gov
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Melissa	Othman	USDA FS	mothman@fs.fed.us
Tim	Resch	E. Asia & Pac. Env. Initiative	tresch@usaid.gov
CJ	Rushin-Bell	G/ENV/ENR	cjrushin-bell@usaid.gov
Bill	Sexton	Forest Service	Bill.Sexton@fs.fed.us
George	Taylor	G/ENV/ENR	gtaylor@usaid.gov
Gary	Wetterberg	Forest Service	Gary.Wetterberg@fs.fed.us



## ANNEX E

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### NGO and Consulting Firm Roundtable Attendance List

**Attendance List for Global Forestry Roundtable for NGOs Discussion  
led by Bruce Byers and Dave Gibson at Chemonics on October 24, 2000.**

**Total: 20**

<b>Name</b>		<b>Organization</b>	<b>E-Mail</b>
C.J.	Rushiin-Bell	USAID-Forestry	<a href="mailto:Cjrushin-bell@usaid.gov">Cjrushin-bell@usaid.gov</a>
Chris	Elias	World Resources Institute	<a href="mailto:Christin@wri.org">Christin@wri.org</a>
Robert	Lester	Chemonics International	<a href="mailto:Rlester@chemonics.net">Rlester@chemonics.net</a>
Anne	Lewandowski	IRG	<a href="mailto:Alewandowski@irgltd.com">Alewandowski@irgltd.com</a>
Graham	Kerr	Associates in Rural Development	<a href="mailto:Gkerr@arddc.com">Gkerr@arddc.com</a>
Steve	Dennison	Associates in Rural Development - in absentia	<a href="mailto:Sdennison@ardinc.com">Sdennison@ardinc.com</a>
Heidi	McAllister	Peace Corps	<a href="mailto:Hmcallister@peacecorps.gov">Hmcallister@peacecorps.gov</a>
Jonathon	Landeck	Peace Corps	<a href="mailto:Jlandeck@peacecorps.gov">Jlandeck@peacecorps.gov</a>
Dirk	Bryant	World Resources Institute	<a href="mailto:Dirk@wri.org">Dirk@wri.org</a>
David	Shoch	WINROCK	<a href="mailto:Dshoch@winrock.org">Dshoch@winrock.org</a>
Doug	Pool	IRG	<a href="mailto:Dpool@irgltd.com">Dpool@irgltd.com</a>
Spike	Millington	Chemonics International	<a href="mailto:Smillington@chemonics.net">Smillington@chemonics.net</a>
Alicia	Grimes	USAID/E&E Bureau	<a href="mailto:Agrimes@usaid.gov">Agrimes@usaid.gov</a>
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Jean	Brennan	G/ENV/ENR	<a href="mailto:Jbrennan@usaid.gov">Jbrennan@usaid.gov</a>
Bill	Sugrue	USAID/G/ENV/ENR	<a href="mailto:Wsugrue@usaid.gov">Wsugrue@usaid.gov</a>
Bob	Winterbottom	IRG	<a href="mailto:Bwinterbottom@irgltd.com">Bwinterbottom@irgltd.com</a>
Nigel	Sizer	World Resources Institute	<a href="mailto:Nigels@wri.org">Nigels@wri.org</a>
Leroy	Duvall	G/ENV/ENR	<a href="mailto:Lduvall@usaid.gov">Lduvall@usaid.gov</a>
Henry	Gholz	National Science Foundation	<a href="mailto:Hgholz@nsf.gov">Hgholz@nsf.gov</a>
Bill	Wilkinson	Forest Stewardship Council	<a href="mailto:Bwilkinson@foreststewardship.org">Bwilkinson@foreststewardship.org</a>



## ANNEX F

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## ANNEX G

### Totals for All USAID Forestry Related Projects

(Taken from Congressional Presentation 2001)

Country	Region of the World	Title	Planned FY 2000 (x1000)	Proposed FY 2001 (x1000)
Bangladesh	ASIA	Improved Management of Open Water and Tropical Forest Resources, 388-006	\$-	\$1,600.00
Nepal	ASIA	Increased Sustainable Production and Sales of Forest and High-Value Agricultural Products, 367-001	\$300.00	\$1,000.00
Lebanon	MIDDLE EAST	Improved Environmental Practices, 268-005	\$1,400.00	\$5,000.00
Regional	ANE REGIONAL	East Asia and Pacific Environmental Initiative, 498-015	\$3,500.00	\$6,000.00
Congo	AFRICA	Constituencies for Conservation and Sustainable Natural Resource Management Strengthened, 660-XXX	\$-	\$1,300.00
Ghana	AFRICA	Increased Private Sector Growth, SO 1, 641-001	\$12,780.00	\$10,437.00
Guinea	AFRICA	Increased Use of Sustainable Natural Resource Management Practices, 675-001	\$3,572.00	\$6,435.00
Kenya	AFRICA	Increased Commercialization of Smallholder Agriculture and Natural Resource Management, 615-002	\$8,296.00	\$7,589.00
Kenya	AFRICA	Improved Natural Resources Management in Targeted Biodiverse Areas by and for the Stakeholders, 615-XXX	\$2,407.00	\$4,000.00
Madagascar	AFRICA	Biologically Diverse Eco-Systems Conserved in Priority Conservation Zones, 687-003	\$6,950.00	\$9,500.00
Malawi	AFRICA	Increased Sustainable Use, Conservation and Management of Renewable Natural Resources, 612-002	\$6,387.00	\$-
Mali	AFRICA	Increased value-added of Specific Economic Sectors to National Income, 688-002	\$10,253.00	\$8,108.00
Namibia	AFRICA	Increased Benefits to Historically Disadvantaged Namibians from Sustainable Management of Local Natural Resources, 673-003	\$2,619.00	\$2,800.00
Tanzania	AFRICA	Foundation Established for Adoption of Environmentally Sustainable Natural Resource Management Practices, 621-002	\$3,154.00	\$4,386.00
Uganda	AFRICA	Critical Ecosystems Conserved to Sustain Biological Diversity and to Enhance Benefits to Society, 617-002	\$6,678.00	\$8,396.00
Zambia	AFRICA	Increased Rural Incomes of Selected Groups, 611-001	\$8,386.00	\$8,018.00
Zimbabwe	AFRICA	Natural Resources Management Strengthened for Sustainable Development of CAMPFIRE Communities, 613-001	\$-	\$-
Southern Africa	AFRICA	Increased Regional Cooperation in the Management of Shared Natural Resources, 690-012	\$5,312.00	\$4,251.00
Western Africa	AFRICA	The Development and Implementation of Policies that Promote Sustainable Food Security and Environmental/ Natural Resources Management are Improved in West Africa, 624-XXX	\$-	\$5,392.00
Regional	AFRICA	Accelerate Progress in the Spread of Strategically Viable and Environmentally Sound Environmental Management Systems, 698-017	\$7,000.00	\$8,729.00

Country	Region of the World	Title	Planned FY 2000 (x1000)	Proposed FY 2001 (x1000)
Regional	AFRICA	Adoption of Tools, Methods, and Approaches for Improving Application of Environmental Procedures and Strategies in Missions' and Africans' Programs, 698-023	\$641.00	\$1,000.00
Russia	EUROPE & EURASIA	Increased Environmental Management Capacity to Support Sustainable Economic Growth, 118-016	\$6,780.00	\$6,780.00
Bolivia	LATIN AMERICA & CARIBBEAN	Reduced Degradation of Forest, Water, and Biodiversity Resources, 511-004	\$6,424.00	\$6,000.00
Brazil	LATIN AMERICA & CARIBBEAN	Environmentally and Socio-economically Sustainable Alternatives for Sound Land Use Adopted Beyond Target Areas, 512-001	\$7,500.00	\$7,500.00
Colombia	LATIN AMERICA & CARIBBEAN	Alternative Development, 514-XXX	\$28,500.00	\$38,000.00
Colombia	LATIN AMERICA & CARIBBEAN	Illicit Crop Production Reduced in Target Areas, 514-003	\$5,000.00	\$5,000.00
Dominican Republic	LATIN AMERICA & CARIBBEAN	Policies Adopted that Promote Good Governance, 517-001	\$1,115.00	\$1,800.00
Ecuador	LATIN AMERICA & CARIBBEAN	Biodiversity Conserved in Selected Protected Areas and their Buffer Zones, 518-001	\$3,500.00	\$6,096.00
Guatemala	LATIN AMERICA & CARIBBEAN	Improved Natural Resources Management and Conservation of Biodiversity, 520-005	\$3,000.00	\$4,000.00
Haiti	LATIN AMERICA & CARIBBEAN	Environmental Degradation Slowed, 521-002	\$4,475.00	\$3,550.00
Honduras	LATIN AMERICA & CARIBBEAN	Sustainable Management of Watersheds, Forests, and Protected Areas, 522-002	\$1,200.00	\$4,200.00
Jamaica	LATIN AMERICA & CARIBBEAN	Improved Quality of Key Natural Resources in Selected Areas that are both Environmentally and Economically Significant (Ridge to Reef Program), 532-002	\$3,485.00	\$3,985.00
Mexico	LATIN AMERICA & CARIBBEAN	Critical Ecosystems and Biological Resources Conserved, 523-006	\$5,770.00	\$5,184.00
Nicaragua	LATIN AMERICA & CARIBBEAN	Sustainable Growth in Small Producer Employment and Income, 524-002	\$8,650.00	\$13,038.00
Panama	LATIN AMERICA & CARIBBEAN	Panama Sustainability Manages the Canal Watershed and Buffer Areas, 525-001	\$3,500.00	\$4,500.00
Peru	LATIN AMERICA & CARIBBEAN	Improved Environmental Management in Targeted Sectors, 527-004	\$4,100.00	\$5,400.00
Car	LATIN AMERICA & CARIBBEAN	Improved Environmental Management by Public and Private Entities, 538-005	\$2,500.00	\$2,500.00
CA	LATIN AMERICA & CARIBBEAN	Increased Effectiveness in Regional Stewardship of the Environment and Natural Resources in Targeted Areas, 596-002	\$5,000.00	\$7,000.00
LAC	LATIN AMERICA & CARIBBEAN	Protection of Selected LAC Parks and Reserves Important to Conserve the Hemisphere's Biological Diversity, 598-004	\$4,500.00	\$5,400.00
LAC	LATIN AMERICA & CARIBBEAN	Environmental Performance of Targeted LAC Businesses and Communities Improved Through the Promotion of Replicable Market-based Models, 598-018	\$1,000.00	\$1,000.00
LAC	LATIN AMERICA & CARIBBEAN	Peru-Ecuador Border Region Development, 598-XXX	\$11,000.00	\$10,000.00

Country	Region of the World	Title	Planned FY 2000 (x1000)	Proposed FY 2001 (x1000)
Central	CENTRAL	Improved Protection and More Sustainable Use of Natural Resources, Principally Forests, Biodiversity, Coastal and Freshwater Ecosystems, and Agricultural Lands, 934-001; IR1.1 Effective Biodiversity Conservation and Management	\$6,000.00	\$13,000.00
Central	CENTRAL	Improved Protection and More Sustainable Use of Natural Resources, Principally Forests, Biodiversity, Coastal and Freshwater Ecosystems, and Agricultural Lands, 934-001; IR1.2, Improved Management of Natural Forest and Tree Systems	\$2,350.00	\$7,350.00
Central	CENTRAL	Improved Protection and More Sustainable Use of Natural Resources, Principally Forests, Biodiversity, Coastal and Freshwater Ecosystems, and Agricultural Lands, 934-001; IR1.3 Environmental Education and Communication Strategies, Methods, and Tools Systematically Applied in USAID-assisted Countries	\$1,440.00	\$1,440.00
Central	CENTRAL	Improved Protection and More Sustainable Use of Natural Resources, Principally Forests, Biodiversity, Coastal and Freshwater Ecosystems, and Agricultural Lands, 934-001; IR1.4, Increased Conservation and Sustainable Use of Coastal and Freshwater Resources	\$1,810.00	\$1,810.00
Central	CENTRAL	Reduced Threat to Sustainable Development from Global Climate Change, 934-004	\$3,300.00	\$5,000.00
<b>TOTALS</b>			<b>\$221,534.00</b>	<b>\$273,474.00</b>