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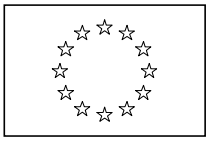
Proposal n°	



EUROPEAN COMMISSION

Program on Environment in Developing Countries

Program on Tropical Forests and other Forests in Developing Countries

Grant Application Form

Budget line B7-620 (21 02 05)

Name of applicant:	Instituto do Homem e Meio Ambiente da Amazônia (Amazon Institute of People and Environment)

APPLICATION DATA SHEET

<u>Note</u>: The data on this page will be encoded in the EuropeAid's proposal data bank without verification against other parts of the application form. It is the responsibility of the applicant to ensure the correctness of the data provided on this sheet.

Applicant	Full Name	**Instituto do Homem e Meio Ambiente da Amazônia (Amazon Institute of People and Environment)**
	Acronym	**Imazon**
	Address	**Rodovia Mário Covas, Rua do Pau Darco, Conjunto Pau Darco, Casa 01. Ananindeua, Pará, Brazil – 67.113-820.**
	Contact person	**Paulo Amaral**

Title of the Action	**Bridging the Divide: Enhancing Forest Tenure, Management and Marketing in the Brazilian Amazon**

Geographical region where the action is active in *(tick only **one** region)*					**Main targeted country**
Asia (CAI)	Africa / Caribbean / Pacific (ACP)	Mediterranean (MED)	Latin America (RAL)	Global (TPS)	
			X		**Brazil**

Program		Environment in Developing Countries
	X	Tropical Forests and Other Forests in Developing Countries

Theme(s) addressed by the application

(see guidelines point 2.1.3 'Themes'- Tick boxes as appropriate)

Environment

A1				A2
A1(a)				A2(a)
A1(b)				A2(b)
A1(c)				A2(c)
A1(d)				
	A1.1 Capacity building	A1.2 Civil Society	A1.3 Pilot actions	

Forests

B1			B2		B3
B1.1	B1.2	B1.3	B2.1	B2.2	
B1.1(a)	B1.2 **X**	B1.3(a) **X**	B2.1(a)	B2.2(a)	B3(a) **X**
B1.1(b)		B1.3(b) **X**	B2.1(b)	B2.2(b)	B3(b)
B1.1(c)			B2.1(c)	B2.2(c)	B3(c)
B1.1(d)			B2.1(d)		B3(d) **X**
B1.1(e)			B2.1(e)		
B1.1(f)					
B1.1(g)					
B1.1(h)					

Should you have ticked several boxes, please indicate the reference of the most important one	**B1.3(a)**

Total eligible cost of the Action	**3,012,452** EUR
Requested EC Contribution	**2,296,300** EUR = **76** % of total eligible costs
Duration	**48** months

I. THE ACTION

1. Description of the action

1.1 Title

Bridging the Divide: Enhancing Forest Tenure, Management and Marketing in the Brazilian Amazon

1.2 Location(s)

Field activities of the action will take place in dynamic frontier regions of Gurupá, Porto de Moz and Marabá in the Brazilian Amazon. How conflicts among forest communities, industries and government play out in this region will foreshadow the future environmental and social conditions for the other 6 million families living in Amazonia. The lead institution, Imazon, is based in Belém, the capital of Pará.

The action is intended to learn from and produce impacts throughout the Amazon region, as well as facilitate interchange of experiences with other countries in Latin America, specifically Bolivia, Guatemala and Mexico.

1.3 Amount requested from the European Commission

Total eligible cost of the action	Amount requested from the European Commission	% of total cost of action
3,012,452 < EUR >	2,296,300 < EUR >	76 %

1.4 Summary

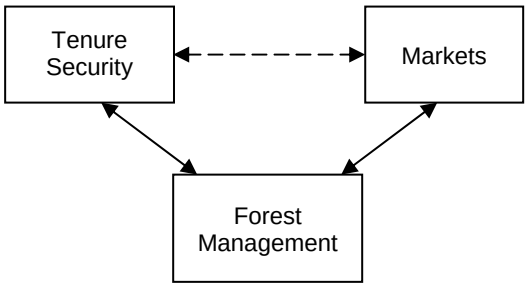
The action aims to contribute to the conservation of locally-valued Amazonian biological diversity and the improvement of the standard of living and welfare of forest-dependent people. Working along a gradient of land use regimes at three sites in the Brazilian Amazon and drawing on cases from elsewhere in Latin America, the action will generate key information and build local capacity to bridge the information divide between the social and environmental sectors. It will address forest ownership, sustainable forest management and value of forests in developing countries, three themes of the call for proposals that are fundamental to resolving profound inequities for forest-reliant communities. In the target areas close to 10,000 low-income families will directly benefit from the action. In addition, broad dissemination of action outputs will promote policies reforms, transparency in marketing, credit lines for forest communities and reduced regulatory burdens on rural families that can impact the region's 6 million people.

1.5 Objectives

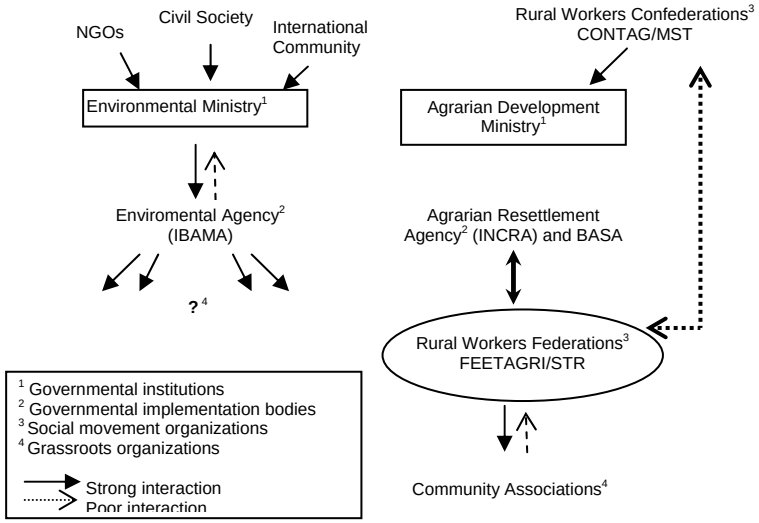
The overall objectives of the action are to conserve the biological diversity and ecological functions of the Amazon tropical forest ecosystem and to improve the standard of living and welfare of forest-dependent people.

The proposed action will focus on three interlinked issues: 1) forest management, which is strongly conditioned by 2) tenure security and 3) markets. As shown in Figure A, tenure security and markets also interact but more weakly. To effectively address these three issues, the action will work to bridge the divide between federal agencies responsible for land tenure (INCRA) and those responsible for forest management (IBAMA), as well as the environmental and social movements (Figure B).

A.



B.



The action aims to understand and improve forest management practices among local forest users, and to increase their access to and benefits from forests. Working along a gradient of land use regimes in the Brazilian Amazon and drawing on cases from elsewhere in the region and other countries, the action will generate key information and build local capacity in forest access, sustainable management practices and marketing of forest products. It will define strategic interventions aimed at implementing improved practices at three specific sites (described under 1.6 (e) and (f) below) and formulating public policies designed to scale up those practices.

The action will build on the momentum of prior work by Imazon, CIFOR, IIEB and FASE. It has been developed by a team of experienced researchers, managers and extensionists with extensive accumulated experience of the key constraints and opportunities of current community forest access systems in tropical forests and particularly those of Amazonia. The objectives have been developed in close consultation with social organisations acting in different forest regions and reflect real demands by forest-dependent peoples. In order to ensure the relevance and effectiveness of the action, activities will be implemented in a fully participatory manner from initial diagnosis to policy recommendation.

The action is expected to generate the following results:

1. Innovative experiences and technical information for strengthening local community tenure rights to forestland are identified, piloted and used to inform policy decision-making.

2. Appropriate tools and systems for forest management are identified, tested and disseminated.

3. Strategies to capture greater market value for forest products are developed and tested.

1.6 Justification

(a) relevance of the action to the objectives of the programme

The action will contribute to the overall objective of the Programme on Tropical Forests and other Forests in Developing Countries – the conservation and sustainable management of forests in developing countries – by developing appropriate forest management tools and systems for forest-dependent people in Amazonia. It will also contribute to the alleviation of poverty and the Millennium Development Goals by improving access to and increasing benefits from forest ecosystems by low-income communities, who are the main target beneficiaries of the action.

(b) relevance of the action to the priorities of the programme

The action will directly address the following four Programme priorities for 2002-2003:

- Priority 2: "Promote more effective and equitable arrangements for forest title, use and management...". Addressed by Result 1 of the action.
- Priority 3: "Increase local capacity to manage and utilise forests sustainably...". Addressed by Result 2 of the action.
- Priority 6: "Promote awareness of the full value of forests...". Addressed by Result 3 of the action.
- Priority 7: "Help forest-dependent people to participate in forest policy dialogue...". Addressed by both Results 1 and 2 of the action.

The proposed action includes activities under themes B1.2, B1.3(a), B1.3(b), B3(a), and B3(d; Market transparency) of the Call for Proposals.

(c) identification of perceived needs and constraints in the target countries

Development in Amazonia to date has been fuelled by widespread forest degradation and deforestation, generating boom-bust economies that provide little lasting wealth. Rural populations remain marginalized, often without clear tenure rights to or fair trade of forest resources. If the current Amazonian context is not changed, predatory logging and extensive agriculture will continue to spread at the expense of forest-dependent communities. Yet a major paradigm shift is now underway. Brazil's new pro-forest, pro-poor government is seeking direction regarding a host of new national forestry initiatives, including establishment of 55 million hectares of National Forests, improved enforcement of forestry legislation, and launching of a regional network of forestry training centres. Furthermore, emerging markets for products derived from sound and/or certified forestry operations are providing incentives for companies and communities to improve forest management.

Yet critical obstacles to improved forestry remain. Insecure tenure decreases the benefits that communities derive from forest resources, impedes approval of forest management initiatives within the current legal frameworks, and reduces access to collateral benefits such as credit. Due to highly complex land registry procedures, resolving tenure issues in frontier regions such as the Amazon is slow. In response, local communities are mobilizing all over the Amazon region to overcome this situation. Recently, the Amazonia Working Group (GTA), an umbrella organisation uniting 430 social and environmental NGOs, identified agrarian reform as its top priority. The government has also given agrarian reform a high priority.

Even if rural populations obtain secure land tenure, significant barriers to sound management of forest resources remain. Efforts at promoting sustainable forest management (SFM) in Amazonia to date have focused largely on an industrial timber-oriented model that fails to incorporate hundreds of non-timber species providing important fruits, medicines and raw materials. Due to long life spans and low densities, many of the most valuable timber and non-timber species are vulnerable to local extinction due to logging, fire and agricultural expansion. Development of biologically sustainable forest management systems requires the incorporation of knowledge of forest ecology into management practices. Furthermore, to be effectively implemented such systems must be tailored to the needs of local communities, many of which are seeking input on how to manage forests sustainably.

While both global and local values of Amazonian forests have been convincingly demonstrated in the scientific literature, there is significantly less understanding of forest values at regional and national scales, including many products that are commercialized through informal channels and thus are not

represented in official statistics. This is a critical gap because most forest policy and management decisions are made at the state and national levels. In addition, communities and other managers of multiple-use forests need information about markets, including determinants of demand (price and income sensitivity), transaction costs of meeting this demand (transportation, storage, seasonality) and competitive sources of supply (secondary forests, agroforestry systems, and plantations, especially in peri-urban zones). Incorporating the full suite of forest products into official data collection programs would enable forest managers to develop marketing plans, inform the public about these substantial hidden product flows and provide a basis for more informed policies.

In the states of Amazonas, Acre, Amapá and Pará, decision makers are calling for increased information on forest product trade, production chains and effective means for communities to supply goods to meet these opportunities. For this to occur, market opportunities and niches for communities need to be identified and effectively disseminated to producers and traders of forest products.

(d) list of target groups and estimated number of direct and indirect beneficiaries

Target groups and intermediate beneficiaries are shown in the table below. Around 10,000 families in three target sites will benefit directly from the action through improvements in tenure security and benefits from the forest. The local participating institutions are intermediate beneficiaries that will have their technical, institutional and organisational capacities strengthened.

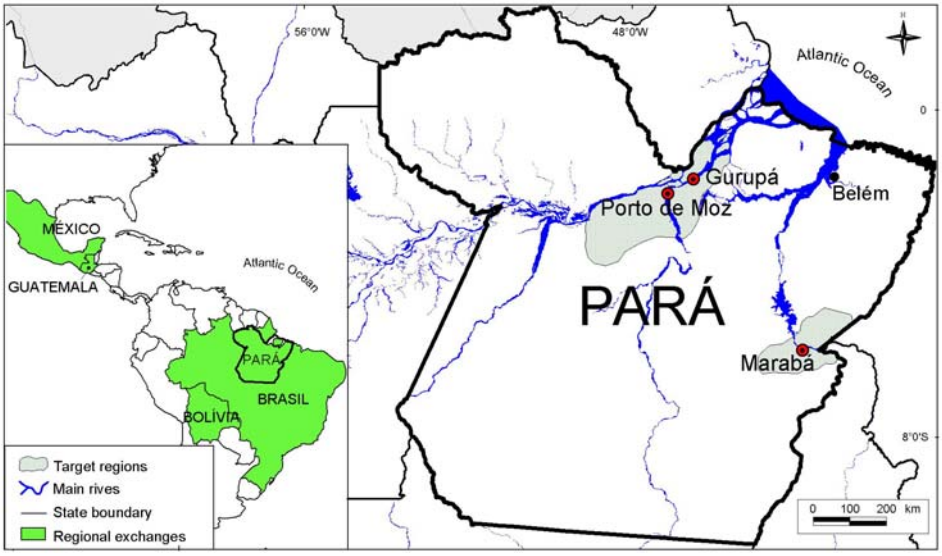
Summary of information on local target regions

Region/ Principal characteristics	**Marabá**	**Gurupá**	**Porto de Moz**
Area of activity	- 6 municipalities - 19,000 km^2	- 16 municipalities - 12, 000 km^2	- Municipality of Porto de Moz, - 17,000 km^2
Existing fora	- Forum of Agrarian Reform Organizations (FERA); - Technical Councils of the environment and resettlement agencies (INCRA, IBAMA, etc.)	- Forum of Rural Workers for Community Forest Management of the Amazon River Estuary	- Natural Resources Committee
Participating Institutions	- LASAT, Rural Workers Unions, Assistance Cooperatives, Production Cooperative and Community Associations. - Total of 12 organisations	- FASE and more than 30 institutions including Rural Workers Unions, Community Associations, Research Institutions and NGOs.	- Rural Workers Unions-Association, Parish, Community Radio São Braz Parish; Rural Families Centre; Teachers Association
Families involved	- 3000 hh	- 2350 hh	- 4000 hh
Principal actions underway related to the proposal.	- Implementation of a CFM Project has actively involved IBAMA - Training agenda for the preparation of two Forest Resources Multiple Use Plans in settlement areas of SE Pará.	- Land tenure regularisation for collective tenure of 84,437 hectares for “quilombo” people and concession of use rights for the community of Camutá do Pucuri.	- The creation of two reserves is proposed. Together the reserves would create the largest area of protected forest under the control communities in Brazil, covering 1.6 million hectares.

Through dissemination and policy influencing activities, a wide range of other beneficiaries will be reached by the action. These include policy makers in federal and state governments, relevant government agencies (IBAMA, INCRA, and their state-level counterparts) and local groups (rural workers unions, local NGOs and social organisations). The prime final beneficiaries are the forest dependent people of Brazilian Amazonia. Approximately 6 million people live in rural Amazonia, many confronting the same threats to their livelihoods as exist in the target regions. Empowerment of communities, through access to critical information that they now lack, is essential to achieving their conservation and development goals.

(e) reasons for the selection of the target groups and activities

The three areas selected under this action (Gurupá, Marabá, and Porto de Moz) offer a gradient of tenure regimes, ranging from smallholders holding individual rights to traditional communities with collective rights to forestlands. In addition, the sites have been the scene of land tenure conflicts, which in turn have generated a variety of innovative solutions. Of the three sites, Gurupá is the most advanced in terms of local organisation and definition of tenure rights, Marabá is intermediate and Porto de Moz is the least developed and most vulnerable. Local organisations operating in each of the sites have requested support for specific activities (described below). The issues at these three sites resonate with thousands of rural Amazonian communities.



Map of the target areas of the proposed action

(f) relevance of the action to the target groups

In Porto de Moz, uncertain land rights and lack of law enforcement have enabled timber companies to gain access to forestlands traditionally under community control. In response, leaders representing 120 communities comprising 20,000 inhabitants have called for establishment of an extractive reserve (*Verde para Sempre*). Together with a proposed neighbouring reserve (*Renascer),* these forests would form a continuous network of 1.6 million hectares under community control. The Women's Association of Porto de Moz has requested assistance in determining sustainable harvest and marketing of non-timber forest products (NTFPs).

In the neighbouring micro-region surrounding Gurupá, traditional extractivist communities are seeking the legal recognition of access to forest resources through individual and collective property regimes. This process has, however, involved only a small number of communities located in the municipality of Gurupá, and there are demands to expand it to the rest of the micro-region. Local communities are engaged in a variety of forest management regimes and are processing forest products such as palm heart and other non-timber forest products. FASE has requested technical assistance in managing Brazil nut and to work with women engaged in extraction and processing of oil from forest resources.

Located in Central Pará, the Marabá micro-region has been heavily impacted by logging and deforestation for establishment of cattle ranches. Here smallholder settlers are demanding secure tenure rights over land and forest resources, through both individual titling and collective mechanisms such as forest settlements and agroextractive reserves. Working in association with settler groups, the Socio-Agronomic Laboratory of Tocantins (LASAT) has requested assistance in improving the management and trade of Brazil nut and the popular native fruit, cupuassu (*Theobroma grandis*).

1.7 Detailed description of activities

The activities of the action are presented under three thematic result areas: tenure security, forest management and markets. These themes are closely linked and interdependent. They need to be treated in a coherent manner in order to address the real needs of forest communities and realize the full value of forest resources for families and for the national economy and welfare. Without secure tenure, there is no incentive to develop sustainable management. Without information on productivity is impossible to develop markets. The strength and innovation of the action lies in its ability to address the three themes together in a coherent manner. Specific links between sub-activities are identified, below. Additionally, throughout the work of the action, efforts will be made to link activities and cross-reference and synthesise information and recommendations. Whenever possible, activities under the three themes will be undertaken jointly. In addition, specific activities and outputs (community workshops, participatory mapping, training, production of dissemination

material, interchange seminars, etc) will be designed to bring together results and conclusions from all three themes.

Result 1: Innovative experiences and technical information for strengthening local community tenure rights to forest land are identified, piloted and used to inform policy decision-making

Activity 1-A: Identify, document and communicate innovative experiences for local communities to strengthen tenure rights to forestlands

This activity aims to learn from successful experiences to secure customary rights to forestlands. Lessons about obstacles and opportunities of existing tenure systems, their implications for forest use, and associated institutional arrangements, will be derived from innovative experiences within the project sites, from other contexts of the Brazilian Amazon, and other countries of Latin America. The experiences and lessons will provide a basis for devising legal alternatives to secure tenure and access rights to forestlands for application in the three action sites. As in other contexts in Latin America, the links between tenure systems and forest use could reveal promising strategies for strengthening tenure claims.

Sub-activities and lead institutions:

1-A.1 Assess experiences in Gurupá, Porto de Moz and Marabá to identify existing tenure systems, legal obstacles and opportunities, implications for forest use, and associated institutional arrangements, with full participation by local stakeholders (IIEB, Imazon, CIFOR)

1-A.2 Analyze promising cases elsewhere in the Brazilian Amazon and in other countries with potential to provide lessons regarding the legal recognition of land tenure rights (CIFOR, Imazon, IIEB)

1-A.3 Establish a network of organizations in the target sites, with participation of representatives from elsewhere in the Brazilian Amazon and other countries, for communicating experiences and lessons involving tenure rights to forest lands (IIEB, Imazon)

Products:

1. Lessons learned from the Brazilian Amazon and other countries on opportunities and risks of different legal alternatives to formalize forestland tenure rights documented
2. Three diagnostic studies, three policy briefs and extension material (one educational video, one manual and one brochure) on land tenure and forest resources use in the action target sites, including analyses of alternatives within the existing legal and institutional frameworks to strengthen and legalize land tenure and resource use rights
3. Regional meetings and one Latin American workshop organized to discuss project findings and exchange lessons regarding innovative experiences.
4. Establishment of a regional and international network for communicating lessons and experiences involving tenure rights to forest lands through use of a website, electronic discussions and teleconferences.

Risks:

Differing objectives and demands among communities and local leaders, as well as lack of agreement on timing to achieve outcomes, could undermine an assessment with full participation by local stakeholders. Preparing detailed work plans and agendas with local institutional actors and communal leaders should overcome this risk.

Activity 1-B: Pilot mechanisms to strengthen local initiatives for securing forestland tenure rights in target communities

Insights gained from the Gurupá experience in claiming legal rights to forest resources will be used to pilot experiences in Porto de Moz and Marabá involving communities with customary land tenure rights but lacking legal recognition. Project staff will work closely with local inhabitants to map land tenure and use rights (i.e., definition of community limits, common areas, individual holdings, associated rights and land use regimes, and identification of areas under dispute) in selected communities at each of the three sites. The resulting maps will serve as a basis for developing

community land use plans, which will provide a powerful tool for negotiating legal recognition of land rights with the federal and state agencies in charge of land titling (INCRA and ITERPA), and also for expediting the land titling process. The land use plans will also enable federal and state environmental agencies (IBAMA and SECTAM) to expedite approval of forest management plans.

Sub-activities and lead institutions:

1-B.1 Map community limits, land tenure, land use regimes, and identification of land disputes in Gurupá, Porto de Moz and Marabá (FASE, IIEB, Imazon)

1-B.2 Develop community land use plans based on the maps as a basis for negotiating legal recognition of land rights and approval of land uses with appropriate governmental agencies (FASE, IIEB, Imazon, CIFOR)

1-B.3 Based on experiences in the Gurupá region, prepare proposals for obtaining legally recognized tenure rights in the Porto de Moz and Marabá project sites for presentation to and discussion with the federal and state land titling agencies (FASE, IIEB, Imazon)

1-B.4 Disseminate legal and technical information on the above initiatives to communities and other local actors (FASE, IIEB, Imazon)

Products:

1. A geographic information system (GIS) produced for each project site including customary land tenure rights, land use, and rules regulating access to forest resources.
2. A minimum of 50 people trained in obtaining geographic information for systematization in GIS, and 10 local people trained in the use of GIS to support local decision-making processes.
3. A minimum of 5 participatory land use plans and 2 legal proposals for title regularization of customary land tenure rights developed for the Porto de Moz and Marabá project sites and discussed with the federal and state land tenure agencies
4. Extension and training material prepared and disseminated among local communities, and other information disseminated through regional and local media (i.e., community radio stations, national radio network targeting rural communities).

Risks:

There is a high risk of resistance from local elites and responsible governmental agencies to provide legal recognition of tenure rights to local communities. Furthermore, a chronic lack of transparent information on registries of rural properties may undermine efforts to obtain formal tenure recognition. This is particularly true in cases in which areas are under multiple claims, frequently though illegal or semi-legal means. The action will address these risks by generating and disseminating information on the *de facto* land ownership and associated land uses within target communities. Sponsoring public fora for discussing tenure issues, and establishing a network for communicating successful experiences in other regions, will contribute toward creating a more transparent and enabling environment for developing this activity.

Activity 1-C: Formulate policies to strengthen local initiatives for legal recognition of tenure rights to forestland by forest dependent communities

Building on the preceding activities, the action will formulate specific policy recommendations to expedite legal recognition of forestland tenure rights of local communities. Through widespread dissemination, these recommendations will have potential impact in areas far greater than the three project target sites. Establishing the links between tenure security and environmentally sound forms of land use is likely to provide strong justification for land claims by local communities. Policy recommendations will be directed at three levels: 1) in the target municipalities, linking recommendations with issues of local development and territorial planning; 2) in the state government, by organizing a regional forum for discussing policy alternatives for addressing tenure issues; and 3) at the federal level, by including these issues in the agenda of key ministerial working groups and task forces.

Sub-activities and lead institutions:

1-C.1 Develop specific policy recommendations to expedite legal recognition of forestland tenure rights of local communities (Imazon, CIFOR)

1-C.2 Identify other areas in the Brazilian Amazon with customary land rights but unclear land tenure situation that could constitute potential targets for the policy recommendations formulated by this action (Imazon, CIFOR)

1-C.3 Participate in or encourage the establishment of fora to discuss land tenure issues, with strong participation by representatives of social and environmental organizations. (IIEB, Imazon, CIFOR).

Products:

1. Specific policy recommendations to expedite legal recognition of forestland tenure rights of local communities, based on discussions with local and regional small farmers organizations (e.g., FETAGRI) and for presentation to state agencies (e.g., INCRA and ITERPA), and key decision-makers in the Ministries of National Integration, Environment (MMA) and Agrarian Development (MDA)
2. A map of areas with customary forestland tenure rights in the Brazilian Amazon.
3. Policy recommendations disseminated and discussed with key decision-makers elsewhere in the Brazilian Amazon and in other countries of the region (e.g., Bolivia, Mexico, Guatemala) through the communications network established under Activity 1.A-3.

Risks:

The risks related to enhancing the debate on property rights of forestland favouring local communities are due to two principal factors: 1) the neglect of this issues at high decision-making levels because of its political connotations, and 2) the failure of social movements to make explicit links between land tenure and environmental agendas, thereby missing promising opportunities for legitimizing community claims. The action will address the first risk through wide dissemination of policy recommendations and active participation in existing policy fora (i.e., ministerial and inter-ministerial working groups that discuss topics such as deforestation, forest concessions, land allocations, etc.[1]). To address the second risk, the action will demonstrate the clear links between land tenure and forest-related issues, and will work with FETAGRI and other social movements to establish a task force on these themes.

Result 2: Appropriate tools and systems for forest management are identified, tested and disseminated.

Activity 2-A: Synthesize relevant information about locally valued priority species and existing multiple-use forest management systems

In an effort to foster diverse management systems, communities in the target sites will take the lead in identifying a range of key species that serve both formal and subsistence economies. To ensure broader relevance beyond these sites, species selected will demonstrate ample distribution throughout the region. Market information gathered in activity 3-A will help guide selection of species with market niches that are accessible to communities. Local and scientific knowledge will be synthesized from the study sites and key areas beyond. In addition to identifying priority species for focus in the following activity (2-B), this analysis will reveal species whose habitat occurrence and current harvesting are compatible with conservation. To incorporate lessons learned from previous community management efforts, we will gather information on multiple-use forest management systems in other areas of the Amazon Basin and other regions, in particular Central America.

Sub-activities and lead institutions:

2-A.1 Identify critical species for communities in target sites (CIFOR, Imazon, FASE)

2-A.2 Inventory forest resources in target sites (CIFOR, Imazon)

2-A.3 Document local knowledge on current use and management of species in target and other communities through these species' range (CIFOR, FASE)

2-A.4 Accumulate and synthesize scientific information on identified priority species (Imazon, CIFOR).

2-A.5 Analyze literature on multiple-use forest management systems (Imazon, CIFOR)

Products:

1. Priority species identified, including those with market niches that can be supplied by communities and those threatened by current land-use

[1] Imazon, IIEB and FASE already participate in these working groups.

2. Field methods and tools developed to incorporate local perspectives and knowledge into understanding of critical forest resources
3. Traditional and scientific knowledge relevant to sustained management of priority species synthesized for direct application by forest dependent communities.

Risks:
Participatory inventories of forest resources will help fill gaps in knowledge while providing local people power over the generation and flow of information. Developing multiple use systems that are viable for forest communities will require ample participation from community members. Participatory approaches can be risky, primarily because livelihoods of most families in the study sites are based on seasonally variable activities such as hunting, fishing, subsistence agricultural and extraction of forest products. The logistics of participatory actions are therefore complex, requiring a calendar of joint project activities that is flexible, tailored to community interest and availability. CIFOR brings more than a decade of experience and strong working relationships with communities in the focus regions that should ensure successful completion of project objectives.

Activity 2-B: Fill gaps in information, increase local and regional capacity and develop tools necessary to implement multiple-use forest management systems

Building on the preceding activity focusing on priority species and their management, this activity will gather field data on the ecology of selected timber and non-timber species, including key information on density, growth, production/yield and recruitment needed to determine the sustainable harvest levels of these species. Information from both of these sources will be integrated into the design of sound forest management systems based on community needs and ecological constraints on production, combining the perspectives gathered from local knowledge with insights of scientific information. In addition, management systems will be designed in accordance with the particular land-tenure regime of each community (e.g., different systems are appropriate in extractive reserves than in government settlement projects).

For effective implementation of integrated management systems to occur, local and regional capacity must be increased. By directly involving the key institutions active in training and extension in forest management, we plan to disseminate the management concepts and practices developed during this action at both local and regional scales. Both FASE and IIEB have extensive experience with community organization and extension. The Tropical Forest Institute (IFT), a centre of excellence that will play a central role in implementing a network of institutions throughout the Brazilian Amazon engaged in forestry training, will provide practical training forest management to target communities. Courses will specifically addresses community needs. Sharing of information and experiences among communities, often the most effective means of transferring knowledge, will be facilitated through regional and international workshops and exchange programs organized under activity 1-A. Training will also extend to other stakeholders, such as decision-makers, extension agencies and rural unions, with the goal of providing the necessary tools to identify critical forest resources and prepare technically sound, diversified forest management plans.

With the participation of the selected communities, multiple-use management systems will be tested and validated. Validated systems will be scaled up and consolidated through the design of generic guidelines for sound integrated management of forest resources. Finally, results under this activity will be reported in scientific and popular articles.

Sub-activities and lead institutions:
- 2-B.1 Gather information on the ecology of selected species needed to determine sustainable harvest levels (Imazon, CIFOR)
- 2-B.2 Design management systems based on community needs and ecological constraints on production (CIFOR, Imazon)
- 2-B.3 Prepare innovative training and extension materials based on project findings (CIFOR, Imazon)
- 2-B.4 Integrate project-developed methods of forest management into existing and new training initiatives designed to address community needs (IIEB, FASE, IFT)
- 2-B.5 Promote exchange of information and experiences among communities (IIEB, CIFOR)
- 2-B.6 Validate the proposed management systems with the participation of local communities (CIFOR, FASE)
- 2-B.7 Scale up forest management systems through the design of guidelines for implementation by forest dependent people (CIFOR, Imazon)

2-B.8 Produce scientific and popular articles presenting project findings (Imazon, CIFOR)

Products:

1. Sustainable harvest levels determined for selected priority species
2. Generic guidelines on best management practices produced, integrating science-based methods with insights of local people
3. Management guidelines tested and adapted for use by field workers and communities
4. Innovative extension and training materials (2 folders, 1 booklet, 1 video) disseminated to development and educational personnel at governmental and non-governmental institutions involved in extension
5. Extension and training materials incorporated into regional training programs
6. 300 people, including representatives from target sites, trained in multiple-use forest management
7. Students from regional universities mentored in design and execution of project activities that promote a participatory, multiple-use vision of forestry
8. Scientific and popular articles on the local value of biodiversity aimed at the scientific community and civil society

Risks:
The complexity of forest ecosystems complicates the determination of sustainable harvest levels for timber or non-timber products alike. Designing forest management systems that are appropriate for and can be incorporated by local communities is another challenge. The action is designed to surmount these risks by making good use of prior and current scientific research and of local knowledge as a foundation for developing sound management systems. The action will enable communities to incorporate these systems through participatory fieldwork, training and capacity building. The ample experience of project partner and associate institutions in forestry training and extension will be key in assisting local communities to incorporate management systems.

Activity 2-C: Influence public policy concerning multiple-use forest management systems

Promoting changes in public policy requires working simultaneously at local, regional and national scales. Our participation in decisive processes for formulation of forest policies in local, state[2] and national[3] spheres will be fundamental in bringing a new vision of forest management into policy formulation. In addition, members of Imazon, IFT and CIFOR serve in issue-focused policy fora such as the federal government's mahogany regulation working group. To assure policy impacts, the project has established direct linkages with leading governmental institutes and leaders, the Director of National Forests and the Ministry of Environment. The action will support continued dialogue and policy formulation through these avenues as a strategy for influencing public policy. One tangible example of such influence would be to build on Imazon's prior work with mahogany and develop a case for listing critically threatened species such as ipê (*Tabebuia impetiginosa*)[4] under CITES II. The action will produce periodic policy briefs focusing on key issues for widespread dissemination to decision makers. In addition, in the three target sites the project will work closely with organizations such as LASAT, FASE and grassroots organizations to develop the capacity of social movements to incorporate scientific and legislative understanding into their agendas. Finally, we will produce scientific and popular articles presenting key project findings involving sound forest management.

Sub- activities and lead institutions:

2-C.1 Formulate proposals for modifying forestry regulations based on the management requirements of key commercial species, and on the socioeconomic opportunities and constraints associated with such management (CIFOR, Imazon)

2-C.2 Produce briefs on key policy issues as a vehicle for disseminating information to decision makers (Imazon, CIFOR)

[2] Regional Technical Committee of Ibama-Pará: This committee is a consultative body of the regional executive directory of Ibama that deals with forestry policies and regulations in the state of Pará. The committee is composed of diverse federal and state agencies, private companies and non-governmental organizations.

[3] Regional Commission for Monitoring and Evaluation of Environmental Licensing in Rural Properties – Ministry of the Environment: Composed of representatives of state and federal governments, the business sector and non-governmental organizations, this commission functions as a consultative body on issues related to environmental monitoring and forest management.

[4] This species is of great importance both to the timber industry and to rural communities as a source of medicine.

2-C.3 Disseminate policy-relevant information to social movements and local communities in the three target sites (FASE)

Products:

1. Improvements of existing regulations involving forest management for multiple products and community-based management systems proposed in appropriate policy fora
2. Policy briefs produced and disseminated to key decision makers
3. Policy-relevant information disseminated to social movements and local communities in the three target sites

Risks:
One of the greatest risks associated with promoting public policies to encourage sound forest management is that key decision makers do not understand the true value of forests and therefore will not support government efforts to reform forest management. To minimize this risk we will work at multiple policy levels and simultaneously disseminate policy-relevant information to social movements.

Policy makers are inundated with information. The launching and dissemination of policy briefs are nearly as important as content of those briefs, in terms of final policy impact. The action will rely on participating institution's involvement with various government agencies and initiatives to find opportunity to present and discuss briefs in person.

Result 3: Strategies to capture greater market value for forest products developed and tested.

Activity 3-A: Identify local and regional niches for marketing forest products

To identify specific opportunities appropriate for forest communities, we will compile information on final demand, competing sources of supply, and intermediate costs of marketing priority forest species identified in Result 2 across markets ranging from those nearest the study communities to major consumption centres in southern Brazil. This information will be complemented by case studies of successful community-based efforts in marketing forest products throughout the Brazilian Amazon. Trade from peri-urban forest areas to urban markets will be highlighted because it has provided an incentive for accessible rural communities to develop innovative management practices that serve as important sources of supply. This survey will serve as a pilot of a new system for collecting and disseminating data on forest product markets, to be implemented under Activity 3-C.

Sub-activities and lead institutions:

3-A.1 Map the trade flows of products derived from the priority forest species, systematically collecting information on trade opportunities, niches and transaction costs in markets at local, regional and national scales (CIFOR, Imazon, FASE)

3-A.2 Identify factors that determine long-term demand for forest products in key regional markets, supporting projections under alternative population, income, and supply scenarios (CIFOR, Imazon)

3-A.3 Analyze cases of successful community-based efforts in marketing forest products from other locations in the Brazilian Amazon (CIFOR, Imazon)

Products:

1. Trade opportunities and niches for priority forest products in local, regional, and state markets identified
2. Understanding of previously invisible stakeholders in sustainable forest management (traders and peri-urban suppliers)
3. Two teams of students trained to collect market information and with transferable skills in survey methodology
4. System of market intelligence piloted

Risks:
While some actors in the informal forest product sector may be reluctant to share information on trade opportunities and sourcing, CIFOR's five-years of market research has established trust with key vendors and collectors in key regional markets (Belém and Manaus).

Activity 3-B: Develop marketing plans for sale of timber and non-timber forest products by target communities, including discussion of full costs and benefits to those communities.

Once ecologically sound forest products with good market prospects are identified, they will be evaluated with the communities in a transparent manner, including exercises to identify appropriate assumptions regarding discount rates, risk aversion, value of family labour, and relative importance of non-market impacts of different alternatives on the communities in comparison to continued subsistence use of forest. The alternatives selected by communities will be developed into detailed marketing plans with input from consultants and students in the business sector, thereby providing the communities with levels of expertise and assistance usually reserved for large firms. This experience will provide a basis for developing a workbook for identifying, evaluating and developing marketing plans for alternative multi-use scenarios. To build capacity in integrating forest product value into educational and training programs, this workbook and a video will be used in a series of training workshops for teachers, extension agents, NGOs and other technical assistance personnel who work with communities.

Sub-activities and lead institutions:

- 3-B.1 Develop innovative methods for incorporating community perspectives into cost-benefit analyses. (Imazon, FASE, IIEB)
- 3-B.2 Test and validate participatory methods in cost-benefit analyses by applying in 3-5 multiple use scenarios. (Imazon, IIEB, FASE, IFT)
- 3-B.3 Develop marketing plans with full participation of target sites including community exchange and market visits. (Imazon)
- 3-B.4 Synthesis of participatory methodologies, market information, cost benefit analyses and model marketing plans delivered through multiple media, including illustrated workbook and educational video (CIFOR, Imazon, IIEB, FASE)
- 3-B.5 Conduct workshops on participatory methodologies, cost-benefit analyses and marketing strategies for multiple use (FASE, IIEB, CIFOR, IFT)

Products

1. Innovative methods for incorporating community perspectives into cost-benefit analyses developed
2. Marketing plans including both timber and non-timber forest products developed for study sites and shared with surrounding communities
3. Workbook and video for identifying, evaluating, and developing marketing strategies for alternative multiple-use scenarios prepared and disseminated
4. Ten community members trained to obtain and interpret information on market opportunities and constraints, and how to adapt management and marketing plans to community needs.
5. Students from UFPA, UFRA and ESALQ[5] trained in participatory methods for appraisal of rural marketing opportunities

Risks:

Forest-based communities often face substantial socio-economic and ecological obstacles to marketing. These include transportation barriers, inconsistent and highly variable production, lack of organization, insufficient market knowledge and poor communication. These risks will be minimized by building on local initiatives to meet current demand for particular forest products, learning lessons from successful forest based communities throughout Amazonia and improvements in communication (1-B-4). From a community perspective, marketing plans may entail unfamiliar concepts and practices. Participatory processes, as well as prior relationships established with communities, will assist in overcoming such obstacles.

Activity 3-C: Increase awareness of forest products through capacity building and design of public policy that reflects the value of forests to both rural and urban populations.

The information gathered and experiences obtained in the preceding activities will be used to prepare policy briefs on key issues related to forest product markets, which will be widely disseminated to key decision makers at local, regional and national levels. In the hands of rural communities, this information will strengthen their bargaining power. Timely distribution of market data to community radio, state and

[5] UFPA = Federal University of Pará; UFRA = Federal Rural University of Amazonia; ESALQ = Superior Agricultural School of Luis Queiroz

municipal agencies will aid transparency of the forest product sector. Requests form secretaries of education and culture, lay a foundation to disseminate findings to state and regional educational programs. This information will also be used to build capacity among data collection agencies to make visible key non-timber forest products that are highly valued through the region. Currently, national systems of data collection include a small suite of non-timber forest products. However, the methods are flawed, misrepresenting volumes sold as well as excluding many valuable forest goods. A refined system of market intelligence, based on the pilot tested in sub-activity 3-A.1, will be presented to Amazonian agencies responsible for the national system of data collection and for disseminating information to the public and to producers (IBGE, municipal agencies and state agricultural secretariats).

List of activities and lead institutions:

3-C.1 Promote and inform public policies that facilitate the marketing of forest products and services for communities and which make visible the significant contribution of both timber and non-timber forest products. (Imazon, CIFOR)

3-C.2 Incorporate monitoring of NTFP markets into existing official data collection and dissemination by federal, state, and local agencies, establishing a system of market intelligence. (Imazon, CIFOR)

3-C.3 Promote more efficient, fair markets through equitable distribution of information. (CIFOR, Imazon, IIEB)

3-C.4 Integrate forest products into environmental education aimed at consumers - central market locations, schools and forest product fairs (FLORA – Acre, trade and certification fairs). (FASE, IIEB, CIFOR)

Products:

1. Five policy briefs on key issues related to forest product markets prepared and disseminated.
2. Incorporation of NTFPs into existing official system of data collection (IBGE).
3. Improved bargaining power of communities
4. Improved understanding of forest value by consumers and civil society

Risks:
Policy briefs are unlikely to make an impact unless they meet an already articulated demand for information by public agencies. The State of Acre requested CIFOR to provide a synthesis of information regarding key forest species marketed in Amazonia. In response, a two-year study will be released in July that synthesizes current use, management and marketing of 38 priority species. Recently, the Secretariat of Sustainable Development in Amazonas asked CIFOR to provide analysis of potential marketing opportunities for the Amazon region. Interest by these agencies in monitoring production of NTFPs provides an opportunity for improving the official system of data collection. Requests and prior work by CIFOR with the Secretaries of Education in Pará, Acre, and Amazonas states lay a foundation to take the information generated and develop appropriate education and outreach materials.

1.8 Methodology

(a) Methods of implementation

Participatory Land Tenure and Use

Participatory activities will be a cornerstone of the action to maximize the involvement of locally based groups in design, planning and implementation. The action will work on three participatory assessments along a gradient of tenure regimes and formal/informal regulations over forest resources management and use (Gurupá, Porto de Moz and Marabá). Participatory action research (PAR) will facilitate the examination of land tenure and forest management trends, and socioeconomic conditions across the gradient. Based on the findings from PAR, this action will explore, along with the communities, the obstacles and opportunities of the different legal alternatives for claiming their forestland tenure rights and the resulting forest management and marketing options. Through exchanges with communities in Brazil and Bolivia, participants will also learn about conflict management related to property boundary determination.

Pilot experiences at these three sites will be developed based on participatory mapping aimed at: 1) documenting the actual customary land tenure rights of the communities, and identifying land tenure disputes; 2) elaborating land use plans for the communities involved in the action to support the process for title regularization; and 3) identifying the resource base and potential areas to develop the community-based forest management experiences. Training workshops using participatory methods and experiential learning will help communities take part in the elaboration of maps using GPS and in geographic data processing using GIS.

Participatory techniques will be useful in the development of sound land use and forest management plans to ensure that the perspective of local users is captured and to create local ownership over the process in each site. A first step will be to gather relevant information on customary land use and gender or income differentiated access to forest products. Tools will include seasonal calendars and resource mapping to identify most widely used species. Priority products will be selected on the basis of current market demand and wide geographic distribution[6], whereby the results will be useful throughout the Brazilian and Bolivian Amazon.

Forest management from a community perspective

Once a priority list of species is identified, field studies will complement participatory techniques to provide quantification of species densities, regeneration and fruit production – data fundamental to the establishment of sound forest management regimes, based on the harvest of both timber and non-timber species. To promote use by semi and non-literate harvesters, illustrated diaries of harvest will be designed. Production of priority species will be documented at various sites with collectors comparing management and marketing practices to assess how these may change based on species abundance, distance to market and market demand.

Multiple-use forest management systems will be designed, combining information from base line studies, market information and the insights of local people. These plans will be evaluated in a consistent cost-benefit framework, focused squarely on the communities and the costs and benefits to them of alternative management of the forest. For systems including timber extraction, reduced-impact techniques, pioneered in Amazonia by Imazon and IFT, will be tailored to logistical realities in the target communities. Once the choice of management plans has been narrowed, communities will be assisted in developing marketing plans. The input of business students will help level the playing field with southern businesses and market-savvy traders and give communities a realistic perspective on the challenges and opportunities of processing and sale of forest products. Management plans will be tested and validated by the targeted communities at the pilot sites. Lessons from these sites will be synthesized into general recommendations for multiple-use forest management systems.

Rural marketing of forest products

There is no sampling frame and very little previous information on informal forest product markets, thus requiring a variety of methods, starting from broad inventory of accessible outlets for priority species, narrowing to recording opportunities, transaction costs and alternative sources of supply. Market opportunities will be identified through an inventory and periodic monitoring of markets at four scales: local (towns nearest communities), regional (Santarém and Marabá), state (Belém, Manaus), and national (São Paulo)[7]. Sampling methods will be discussed with government agencies expected to eventually adopt data collection and dissemination.

Starting with the cooperating sellers, we will trace back through their suppliers to (a) quantify transactions costs of marketing such as transportation, storage, and fees and (b) identify innovative production practices or marketing strategies for forest products currently supplied to urban markets. Information on these costs and alternate sources of supply will be used to estimate the real net price that our target communities would receive for forest products under alternative scenarios.

To link this market information to current community situations, we will inventory current sales outlets from communities, tracing forward through sellers to identify final markets for those products. Through multiple collaborators (FASE, LAET, PESACRE[8]) in Acre, Amazonas and Bolivia (Pondo

[6] Using GIS and data obtained from Radam Brazil, forest inventories (industries, Goeldi Museum, National Research Institute of Amazonia, Embrapa) and herbarium specimens we will create maps of the geographic range of target species that are critical to the health and nutrition of rural and urban populations. Maps of distribution will be overlaid with data on market demand and trends in forest cover change to project the future vulnerability or resilience of widely used species.

[7] This survey will build on CIFOR's prior work with markets for non-timber forest products and Imazon's previous work with timber markets.

[8] Laet = Agro-ecological Laboratory of the Transamazon; PESACRE = Agroforestry Research and Extension group of Acre

region), we will identify characteristics of products, transportation systems, policies, and community organization which determine successful marketing. The case studies in target regions and beyond will help establish a broader vision of forest product trade. Information on final demand, transactions costs, and alternate sources of supply are all absolutely critical to estimating the effective price that communities will face in the long-run, and hence the sustainability of alternative multiple-use management scenarios.

Scaling up: dissemination of results

To scale up the results of the action, we will use a combination of methods and inter-institutional initiatives working in both Brazil and Bolivia. PADIS methodology (*Programa de Apoio de um Desenvolvimento Institucional Sustentável*) developed by IIEB, and involving more than 80 organizations, has generated important lessons in diverse contexts throughout Brazil. The products of this methodology include institutional strengthening, training, interchange of experiences, development of public fora, and stimulating processes of participatory planning throughout the region. The action will also incorporate the wealth of information generated on forest management and marketing into training materials and curricula of the Institute of Tropical Forestry (IFT)[9]. IFT will also build technical capacity in communities in the target regions.

Community empowerment will be further fostered through training and farmer-to-farmer exchanges using FASE's extensive grass roots network. Community radio stations will be used to circulate market data and information of immediate relevance to a wide audience. Exchanges between communities will be held to promote articulation and swapping of lessons learned between geographically separate groups. Extension material, maps and videos will assist in sharing results in both Brazil and Bolivia. A forum with round tables, expanding on the experience of established working groups will be used to explore issues such as title regularization of communal customary land rights, creation of community forest management plans and lessons learned from community commercialization of forest products. Finally, CIFOR's regional focus will help extend the lessons learned throughout Latin America through regional seminars and workshops.

On the policy front, the team will work with key decision-makers in the ministries of National Integration, Environment (MMA), and Agrarian Development (MDA) to introduce this issue in their agendas. Key project findings on sound forest management will be integrated into policy-making environments through membership on the Regional Technical Committee of IBAMA and the Licensing Commission of the Ministry of the Environment. On these committees, we will work to influence the modification of forest legislation to incorporate multiple-use that integrates non-timber and timber species. From the start of the action we will work with the state office of the Federal agency responsible for collecting data on trade (IBGE), to promote a wider selection of forest products and innovative methods to capture these. To promote credit lines, we will target information to key development banks (e.g, Amazonian Bank - BASA). As part of this process, local actors will be systematically involved in training such as functionaries of the municipal governments, and local NGOs working in the areas. This will have broader effects by providing inputs for ongoing process of economic and ecological zoning undertaken at the micro-region and state level ensuring the local views are taken seriously.

(b) Reasons for the proposed methodology

Trans-disciplinary topics to be addressed in the action are not effectively investigated through conventional approaches. Therefore, a broad range of methods for effective participation of multiple groups of stakeholders will be applied to maximize local involvement and relevance of the action to address communities' needs. Through participatory action research (PAR), the action will facilitate investigation, analysis, and farmer-to-farmer dialogue and presentation of findings. These techniques will build on relationships already established in the study sites with FASE, LASAT and Association Emmanuela as well as in close to twenty communities and forested areas throughout Pará in which IIEB, CIFOR and Imazon have worked over the last ten years. Techniques to elicit information will be customized to fit the communities' needs and revised, adapted and modified as the fieldwork progresses. Methods will be tailored to the geographical site, infra-structural opportunities and limits and evaluation by community members.

(c) How the action is intended to build on a previous action (where applicable)

During the last five years, IIEB has founded and led a community forest management working group, which creates space and fosters dialogue between forest communities and extensionists throughout

[9] IFT runs the premier forestry training program in the Brazilian Amazon, and is responsible for training more than 2,000 foresters, community representatives, technicians, operators and government employees

the Amazon basin. Communities lack concrete information on how to manage and market forest products. FASE's strong social movement has encountered a similar barrier. FASE has taken significant steps in recognizing the need for an ecological basis for land use and in working to join the social and environmental agendas. In the areas of study, the communities of Porto de Moz, Gurupá and Marabá have also recognized the need for specific assistance in forest management.

Over the last decade, Imazon has made tremendous strides in developing methods to reduce the impacts of logging on forest ecosystems, and to reconcile forest management with biological limitations on production. CIFOR researchers have documented the importance of forest products in lives of rural people, as well as the impact of timber extraction on the livelihoods of rural communities. Imazon has compiled an extensive database on species ecology to inform management decisions. CIFOR has studied the marketing and management of widely sold non-timber forest products. The proposed action allows Imazon and CIFOR to respond to community requests and work together in multiple-use forest management.

CIFOR/Imazon and IFT are developing a non-timber forest product course and have begun to jointly train forest managers and other relevant actors in the concept and practice of multiple-use. Information generated by this action will therefore have a direct outlet in IFT training courses.

(d) Procedures for internal evaluation
The action will be locally revised, adapted and modified through participatory evaluations and monitoring as the fieldwork progresses. Workshops with local stakeholders will be used to facilitate this process. Point people in each target area will provide feedback on whether local needs are being met. Additionally, progress reports every six months will provide feedback on action implementation, including discussion of constraints and recommendations for addressing the problems.

A mid-term external review and end-of term review by the action steering committee will be also undertaken to assess progress, make necessary modifications and assess impacts. One representative of each major partner in the action and of the European Community will constitute the steering committee. The chair of the steering committee will be an external senior rural development specialist. A specific external impact assessment at the end of the project will be conducted to determine action results uptake by various target groups.

The team will also establish a consultative group of experts in agrarian reform and forest-related issues, to discuss with them, action progress on land tenure situation of the targeted communities and the integration of environmental and social agendas within the governmental institutions.

(e) Level of involvement and activity of other organisations (partners or others) in the action; and (f) reasons for the role of each partner
The Institute of People and the Environment in the Amazon (Imazon) will lead the implementation of the action. As the leading institution for research on natural resource uses and alternatives in the Brazilian Amazon, Imazon spans the major thematic areas of the proposed action—land tenure, forest management and markets. Imazon will host the coordination of the activities as well as actively be involved in the implementation of the action and the design of the methodologies. Imazon will be responsible for the main reporting activities.

IIEB is a prominent capacity-building NGO, which will take the lead on monitoring and evaluation activities. IIEB offers annual courses in environmental law and policy, communication and economic tools for conservation. IIEB has trained over 800 Brazilians, who in turn have used this training to benefit over 4,000 persons. It will also lead the implementation of its noteworthy Program of Support for Sustainable Institutional Development (PADIS), which has helped to bridge the gap between environmental and social issues by broadening civic participation.

CIFOR, an international forestry research organization with a mandate to improve the well being of forest-dependent people, will play a central role in the analysis and design of land tenure regimes, forest management systems and market intelligence studies. CIFOR has carried out similar projects throughout Latin America and has developed a broad network of collaborators. Over the last decade, at the request of Amazonian communities, CIFOR used participatory ethnobotanical methods to generate lists of key species from community perspectives.

FASE has a consolidated presence in the three regions where project activities will be developed, and will lead the activities in the Estuary Region of Gurupá. FASE brings an accumulated experience in land tenure regularization, environmental legislation and marketing of community forest products.

Additionally, FASE will participate in the processes taking place in the other target sites and contribute to informing policy. FASE has 43 years of experience in community development through provision of educational, technical and political advice to urban and rural social movements.

(g) *Team proposed for implementation of the action*

Position	Responsibilities
Long term	
Action coordinator (Rural development expert)	Action management including: coordination of work programme; budgeting and work planning; reporting on progress; networking, national and regional workshops; active dissemination and scaling up of action results. Technical input for land tenure security thematic result area.
Fieldwork coordinator	Coordination of fieldwork activities and networking with target communities and local institutions; responsible for the logistics
Forestry technical engineers	Assist development and implementation of community-based forest management activities
Rural economist (PhD student)	Design pilot market intelligence system and map forest trade flows
Rural development experts	Coordination of activities in the tenure security thematic result area
Short term	
GIS expert	Design and management of a spatially referenced database
Social movement facilitators	Establish local and regional level networks and promote social movement participation in action activities
Rural sociologist	Assist activities implementation for tenure security thematic area
Rural geographer	Coordination of scaling-up activities for tenure security thematic area
Senior economist	Coordination of the activities of market thematic result area
Community forestry experts	Development of community land use plans
Senior ethno-botanist	Identify critical species for communities in target sites and coordination of dissemination activities
Botanist	Taxonomical identification of species
Forest ecologists	Coordination of forest management field activities and documentation of local knowledge
Forest management expert	Development of community based forest management systems and coordination of training activities related to this thematic area
Senior forest ecologist	Coordination of activities in the forest management thematic result area
Master students and interns	Assist in the design and implementation of field activities in the three thematic result areas

1.9 Duration and action plan

❑ The duration of the action will be **48** months.

Year 1													
	Semester 1						Semester 2						Implementing
Activity	1	2	3	4	5	6	7	8	9	10	11	12	Body *
1-A.1 - Assessing land-tenure													IIEB
1-A.2 - Analyse promising cases													CIFOR
1-A.3 - Establish organization networks													IIEB
1-B.1 - Participatory mapping													FASE
1-B.3 - Proposals for legal rights recognition													FASE
1-B.4 - Disseminate legal & technical info													FASE
2-A.1 - Identify critical species													CIFOR
2-A.2 - Inventory forest resources													CIFOR
2-A.3 - Document local knowledge													CIFOR
2-A.4 - Synthesize information													Imazon
2-A.5 - Analyze literature on multiple-use													Imazon
2-B.1 - Gather strategic ecological data													Imazon

2-C.1- Propose new forestry regulations													CIFOR
2-C.2 - Produce policy briefs													Imazon
2-C.3 - Policy info. to social movements													IIEB
3-A.1 - Map trade flows of priority species.													Imazon
3-A.2 - Identify supply and demand													CIFOR
3-A.3 - Analyze successful marketing cases													Imazon
Preparatory phase													
Implementation phase													

* Refers to coordinating institution only. For list of lead institutions, see Activities.

For the following years:							
Activity	semester3	4	5	6	7	8	Implementing Body
1-B.2 -Develop community land use maps							FASE
1-B.3 - Proposals for legal rights recognition							FASE
1-B.4 - Disseminate legal & technical information							FASE
1-C.1 - Develop policy recommendations							Imazon
1-C.2 - Identify other potential target areas							Imazon
1-C.3 - Participation in fora to discuss land tenure							IIEB
2-B.1 - Gather strategic ecological data							Imazon
2-B.2 - Design management systems							CIFOR
2-B.3 - Prepare training materials							CIFOR
2-B.4 - Integrate findings into training programs							IIEB
2-B.5 - Promote exchange of information							IIEB
2-B.6 - Validate proposed management systems							CIFOR
2-B.7 - Scale up forest management systems							CIFOR
2-B.8 - Produce scientific and popular articles							Imazon
2-C.1 - Proposals for new forestry regulations							CIFOR
2-C.2 - Produce policy briefs							Imazon
2-C.3 - Policy-relevant info. to social movements							FASE
3-B.1 - Develop community cost benefit methods							Imazon
3-B.2 - Test cost benefit in multiple use scenarios							Imazon
3-B.3 - Develop community marketing plans							Imazon
3-B.4 - Synthesize and disseminate findings							CIFOR
3-B.5 - Conduct workshops							FASE
3-C.1 - Inform economic policies							Imazon
3-C.2 - Incorporate NTFPs into official data							Imazon
3-C.3 - Distribute market information widely							CIFOR
3-C.4 - Integrate findings into education systems							FASE

2. Expected results of the action

Note: For each expected result verifiable indicators (see also Logframe) that can be used to measure the progress made should be identified and described and their baseline value established.

2.1 Expected impact on target groups

Throughout their history, small farmer communities in Amazonia have encountered barriers to managing their forest resources and benefiting fully from their economic potential. This situation is due to the lack of appropriate public policies and mechanisms to allow local groups to manage their forests. As identified in the justification of the action, there are three key issues, insecurity of forestland tenure rights, lack of appropriate management tools and systems and inadequate capture of the market value of forest products.

Although some small advances have recently been made towards the promotion of community forest management (.e.g. the improvement of credit schemes), the problems are still a long way from being resolved and official procedures (e.g. for the improvement of community forest management plans) are poorly defined, slow and bureaucratic.

Populations at the target sites remain marginalized and with low standards of living and welfare. Boom-bust economic cycles have provided little lasting wealth in the region and caused widespread forest degradation and deforestation, so degrading the local resource base. Human Development Indices of municipalities at the target sites are among the lowest in Brazil, as follows: Gurupá – 0.631, Itupiranga – 0.619, Jacundá – 0.691, Marabá – 0.714, Porto de Moz – 0.650.

The action will strengthen the capacity of target groups to:

(1) Design appropriate rules for access (tenure rights), to ensure equitable benefits and sustainable management, both within community and vis-à-vis outside actors (based on community experience and lessons from other areas);
(2) Implement management plans for these products (systematize traditional knowledge, generate new scientific knowledge, develop management plan); and
(3) Understand markets for their products, including both the long-run prospects for consumer demand and intermediate costs and competitors (based on community experiences with marketing and study of major market flows).

This will enable them to overcome the longstanding barriers to enhancing the sustainable returns they gain from the forest and lead to livelihood improvements. By the end of the action, we would hope to see some measurable improvements in living standards, a trend which should continue after the action and disseminate to other regions. Without the input of the action, it is likely that these advances will take longer to achieve and, in some areas, like Porto de Moz, where the situation is highly unstable, it is possible that the condition of vulnerable, low income, forest dependent people will deteriorate.

In addition to the product indicators given in the Logical Framework, verifiable indicators for the impacts of the action are:

- Area of forestland with regularized community tenure rights
- Area of forest under sustainable community management
- Family income from forest products

The values of these indicators are all expected to rise as a result of the action. However, it is impossible to establish baseline values (and therefore target increases) pre-project as reliable data for these indicators is not available. The action will estimate baseline values and establish targets for these indicators during the first year of implementation. Evolution of these indicators will be monitored during the action.

Traditionally, the organizations that represent and support rural workers in the region have been strongly involved in the land reform movement and the development of public policies in this area. However, they have been almost completely absent from participation in the debate on environmental policies. Through strengthening of existing processes and training and capacity building, the action will bridge this divide and enhance the ability of community organizations to deal with environmental issues. This will allow them to assume a more prominent position in relation to the elaboration of public policies and make them more appropriate to the needs of forest dependent communities.

2.2 Publications and other outputs

Much of the debate about forest management and sustainable development has occurred in academic journals, effectively excluding local populations and limiting their real world significance. Project results must be disseminated via appropriate media to diverse stakeholders, from communities to policy-makers. Results from all phases of the action will be synthesized into innovative educational and training materials, manuals, guidelines, popular articles and policy briefs.

In order to influence public policy, a strong scientific foundation must also be demonstrated through peer-reviewed publications. Hence, we will also publish papers in high profile conservation and management journals.

Diagnosis of current situations, limiting factors and opportunities for community based multiple-use forest management

- 1 document on experiences to formalize forestland tenure rights
- 3 studies on obstacles and opportunities for regularization of land titles in target areas
- Maps of the distribution and density of priority species in the Brazilian Amazon with projections of population vulnerability based on estimated rates of forest loss.
- Integrated maps of region-wide distribution patterns of priority species and forest product supply and demand.
- Report on threatened Amazonian species with high impact on livelihoods

Models of access, management and market mechanisms for community-based forest management

- 5 participatory land use plans and community-based multiple-use forest management and marketing plans
- 2 maps of areas with customary forestland tenure rights: Pará and the Brazilian Amazon
- Site specific management guidelines for target areas and generic guidelines on best management practices
- 15 scientific publications aimed at journals such as, World Development, Conservation Biology, Nature, Forest Economics, Ciencia Hoje and Rural Development.

Training and Educational Materials

- 3 educational videos: 1) experiences for securing forestland rights; 2) management potential of priority forest species and models of multiple-use forest management in different community contexts; and 3) market demands for forest products and potential to supply markets through community forest management
- 2 manuals: 1) assessing experiences on land use and tenure rights and 2) community-based marketing plans
- Technical manual to incorporate non-timber forest products into national forestry training curricula
- Innovative extension and training materials (4 pamphlets and 2 booklets), disseminated to development and educational personnel at institutions involved in extension
- Timely distribution of market information delivered through community radio
- Popular publications directed at consumers, students and environmental education programs

Policy Impacts

- 7 policy briefs launched in individual meetings with policy makers and at events with prominent decision makers on: improving equity of land distribution and access; multiple-use forest management and species conservation; equitable marketing for communities and diminishing regulatory barriers for small producers.
- Findings disseminated on Polex – a forest policy expert listserv that reaches 10,000 people, among them leaders in forestry and related sectors
- 1 website developed and updated containing information, discussion, documents and policy briefs

2.3 Multiplier effects

Extension and replication of the results beyond the time frame of the action will be ensured through five principal means. First, the institutes involved in the action have different networks already established throughout the Amazon region. For example, FASE has an established presence at the local level (Gurupá), at the state level (Pará) and at the national level (Rio de Janeiro), and it has long-term relationships with social movement organizations at all these levels. In addition to its leadership of a working group that periodically convenes representatives of community forestry initiatives throughout the Brazilian Amazon, IIEB has trained 800 environmental and social leaders throughout Brazil. Since its inception in 1996, IFT has provided intensive, field-based training to over

1400 community residents, students at technical schools, professional forest managers, landowners, and decision makers. CIFOR has strong ties with diverse actors in the forestry sectors, ranging from community groups to key decision makers in government and at multilateral institutions such as the World Bank. Imazon has solid connections with forest sector representatives from the business and scientific community, as well as close working relationships with the media and policy makers at state and federal levels. These combined networks comprise many thousands of people within the growing array of stakeholders involved in or impacted by forest sector decisions. Each network has existing channels of communication that the action will tap in the short term and that will remain in place well beyond the duration of the action. Because it is based on local needs that resonate throughout the region, the proposed action responds to existing demand.

Second, the products generated by the action (videos, maps, pamphlets, community exchanges) will directly reach farmers, decision makers, women's associations, rural workers unions, scientists, foresters and trainers. These products will be designed for local and regional uptake, durability of form and relevance of content. To date, products developed by each of the partners have had high degree of uptake and impact. For example, follow-up surveys reveal that personnel trained in IIEB's courses have used this training to benefit over 4,000 persons. Over 20,000 documents have been downloaded from Imazon's internet site, and its publications have been disseminated to tens of thousands of readers. Twice each month, CIFOR's forest policy expert listserv, Polex, offers summaries of path breaking studies to 10,000 people including leading decision makers in forestry and related sectors.

Third, the established networks inform key agents of change. FASE has a strong national lobby in Brasilia. IIEB's trainees are now leaders within major governmental and non-governmental agencies, working on environmental and development issues. CIFOR's international mission offers a means to share lessons learned in the Brazilian Amazon and in other countries. Imazon, and FASE are members of the government working group on forests and, together with IIEB, they are represented on the community forest management working group. Imazon sits on the recently created National Forestry Council which oversees the National Forest Programme. Imazon has also been invited to give presentations to the National Congress and advise the Ministry of Environment's technical committees.

Fourth, reaching remote populations who have in depth knowledge of forests but minimal literacy is challenging. Even more difficult is catalyzing the transmission of this information between communities without project assistance. CIFOR and Imazon have demonstrated capacity in producing relevant materials on ecology and markets for non-literate rural communities. By demand, information and materials have made their way across the Amazon basin where they have informed farmers and NGOs from Pará to Acre. The proposed action will generate products that are accessible and useful for adoption by public and private extension agencies and farmers.

Fifth, the topics that will be addressed -- land tenure, forest management and marketing, represent a set of issues that will not be resolved in the short term. Instead, the proposed action intends to empower local groups, provide missing information and level the playing field for improved negotiation. Perhaps most importantly, the action's strong focus on exchange between communities will forge relationships across the region. The personal relationships and the lessons learned from farmer to farmer will endure long after the action.

2.4 Short- and long-term impact

(a) The financial aspect

It is clear that the problems that the action seeks to address will not all be resolved by the end of the four years duration. Much longer time horizons will be required to achieve the overall objectives of forest conservation and better livelihoods for forest dependent people. However, the specific activities of the action have been designed to be self contained and durable after the end of the action. Most of the products (land use plans, extension materials, policy recommendations, publications, etc.) will be self-standing and useful into the future. The workbook, video, and training sessions will continue to influence outreach and development programs, by providing concrete realistic market information, methodologies for assessing forest management options from the community perspective, and guidelines for helping communities develop commercialization plans.

The capacity building and training activities will strengthen the ability of the target groups to continue developing activities after the end of the action. The expected changes in government policies and practices should enable more resources to become available to communities (e.g. through the development of more appropriate credit schemes, approval of management plans, etc). For the target communities, our goal is to develop realistic marketing plans that take into account the long-run demand potential, considering factors such as likely competing sources of supply, determinants of demand, and transportation costs. This set of activities is oriented towards development of management and marketing plans that will be sustainable beyond project timeline. Our objective is to produce plans with communities that they will implement.

The four partner institutions that will implement the action are all established and stable institutions with high credibility. They have successfully attracted funding from a wide range of sources. They will have capability to continue developing outputs from the action after the end of the grant period. Information on previously invisible stakeholders will encourage new research, development and policies. We expect that making these stakeholders visible will identify clear potential connections to poverty reduction and to generation of ecosystem services in peri-urban zones. We expect this to spark new interest by both government and international donors.

(b) Institutional level

In each of the three target sites local fora and networking processes exist that support organizations of the rural social movements. In Marabá, the unions participate in a 'Forum of Organisations for Land Tenure Reform' (FERA). Rural communities in Porto de Moz are represented by the Natural Resources Committee and in the region of Gurupá by the Forum of Rural Workers for Forest Management of the Amazonas River Estuary.

Together with these local groups, the action will construct an agreed plan of action to address the socio-environmental challenges and institutional strengthening needs. A durable contribution of the action will be to facilitate articulation among the agencies responsible for land tenure (INCRA) and forest management (IBAMA). This action will also help bridge the wide gap in communication between the social and environmental movements. A common agenda of activities will be developed, including timetables, expected results and indicators. The action will also strengthen established fora in each region, including government, in following the implementation of the agendas, decision making and monitoring and evaluation.

These measures will allow the creation of clear mechanisms for the participation of local stakeholders and enable them to have ownership of the outcomes of the action's activities. They will also facilitate the identification and implementation of a programme of capacity building for the institutions involved and inter-institutional interchange. Communication among diverse actors will create a more coherent and informed voice to support pro-poor policies.

The key to durability of market study is incorporation into official data collection and dissemination procedures. Through the pilot study, we will demonstrate the feasibility and importance of understanding domestic markets for forest products, from local to national. We will seek input and collaboration of government statistical agencies early in the action, including not only IBGE (the federal geographical and statistical institute) but also municipal agencies responsible for maintaining and monitoring public markets and state agencies that collect basic price information. We will also pilot low-cost systems for dissemination of information, including on-line database and link to community radio networks. Thus, we will create buy-in by agencies and demand by users for sustained market monitoring. This will contribute to efficiency and equity of markets in the long run, as well as providing the basis for institutional and policy development.

(c) Policy level

Currently the governmental agencies responsible for land tenure and those in charge of forest management operate separately with few formal or informal mechanisms of exchange to bridge this divide. This same lack of articulation exists between the social and environmental movements. This action will establish avenues of communication, previously poorly developed, between key actors in the social and environmental movements, as well as political leaders in the ministries responsible for land

titling and forest management. Information generated by the action will help decision-makers at all levels of government to reassess forest value from the perspective of local users, lesson regulatory burdens on forest communities and provide incentives for community-based forest management.

The activities seeking to enhance land tenure rights will help clarify the legal procedures and institutional mechanisms necessary for local communities with customary forestland tenure rights to get legally recognition of those rights. This will contribute to improvement of the current scenario in which hundreds of communities have insecure rights, and hence are unable to make effective use of, and benefit from their forest resources. Activities to improve tools and systems for forest management, will furnish specific policy recommendations to modify forest regulations based on the management requirements of key species critical to forest-based livelihoods. This will improve the current regulatory framework addressing timber and non-timber forest products. Finally, activities seeking to enhance access of communities to markets will make a concrete difference by providing tools and methodologies to government agencies.

Providing policy recommendations is not enough to ensure that policies will actually be implemented. The launching of policy briefs can be nearly as important as the content of those briefs. The action will rely on the extensive networks of each of the partner institutions and involvement with various government agencies to find opportunities to present and discuss policy briefs in person. TO ensure local voices reach decision makers, the action will use formal and informal networks to build bridges between local communities, the NGOs representing them and decision-makers.

3. Budget for the action

See Annex B (worksheet 1)

4. Expected sources of funding for the action

See Annex B (worksheet 2)

II. THE APPLICANT

1. Identity of the applicant

Full legal name (business name):	Instituto do Homem e Meio Ambiente da Amazônia (Amazon Institute of People and Environment).
Acronym (where applicable)	Imazon
Legal status[10]	Non government research institute
VAT registration number (where applicable):	
Official address[11]	Rodovia Mário Covas, Rua do Pau Darco, Conjunto Pau Darco, Casa 01. Ananindeua, Pará, Brazil – 67.113-820.

[10] e.g. state whether the applicant is a for- profit or not-for-profit organisation, or if the applicant is forming a direct part of a national government.

[11] If not in one of the countries listed in Annex F of the Guidelines or an EU (25) Member State, any organisation other than an international organisation must justify its location.

Postal address	5101 CEP 66.613.397
Contact person	Paulo Gonçalves Barreto - Administrative Secretary pbarreto@imazon.org.br
Telephone number	55-91- 235 4214
Fax number	55-91- 235 0122
E-mail	imazon@imazon.org.br
Internet site	www.imazon.org.br

2. Bank details for the applicant

The bank must be located in the country where the applicant is registered.

Account name	Instituto do Homem e Meio Ambiente da Amazonia
Account number	6412 – 2
Sort code	3106 – 2
IBAN code (optional)	
Bank name	Banco do Brasil
Address of bank	Shopping Castanheira
Name of signatory/ies	Paulo Gonçalves Barreto Edson José Vidal da Silva
Position of signatory/ies	Executive Secretary Executive vice-Secretary

Correspondent bank (where relevant)

Account name	
Account number	
Sort code	
IBAN code (optional)	
Bank name	
Address of bank	

3. Description of the applicant (one page maximum)

3.1 When was your organisation founded and when did it start its activities?

The Institute of People and the Environment in the Amazon (Imazon) was founded in July 1990 and started activities immediately thereafter.

3.2. What are the main activities of your organisation at present?

Imazon is a non governmental organisation dedicated to research, training and capacity building, dissemination of information, and policy formulation. It is the leading institution for research on natural resource uses and alternatives in the Brazilian Amazon. Imazon's mission is based on the twin premises that the power of scientific and technical development to influence prevailing patterns of land use lies in the appropriateness and quality of the information produced, and that the information is made accessible to practitioners, policy makers and the general public through as many channels as possible. Since it's foundation in July 1990, Imazon has published 19 books, 18 booklets, and over 150 technical articles — of which nearly half have appeared in peer-reviewed international scientific journals or as book chapters. Much of its research focuses on forestry, although it also has produced state-of-the-art analyses of agriculture, cattle ranching, harvesting of non-timber forest products, and land-use planning at scales ranging from individual municipalities to the entire Brazilian Amazon. Recently Imazon has developed and tested new approaches to monitoring forestry operations and commerce through practical remote sensing technologies, which, if adopted, could greatly strengthen enforcement in this sector. Respected nationally and internationally for its scientific and technical credibility, Imazon is playing a prominent role in expanding the system of public forests in the Brazilian Amazon and in formulating practical strategies to strengthen enforcement of policies governing the forest sector.

Imazon brings to the partnership recognised competence in applied research spanning the three major thematic areas of the proposed action — forest management, markets and communities, and landscape monitoring and design. Its strong research agenda is complemented by a growing capacity to formulate pragmatic solutions that today provide the basis for public policy and have shaped the World Bank's program in the forestry sector. This combination of research and policy formulation will contribute to the action's capacity to promote lasting change based on sound scientific and technical information.

3.3. List of the management board / committee of your organisation

Name	Profession	Sex	Position	Years on the board
Rita Mesquita	Biologists	**F**	President of Board	5
Maria José Gontijo	Sociologist	**F**	Vice-President	2
Adriana Ramos	Journalist	**F**	Member	5
Andre Guimarães	Agronomist	**M**	Member	7
Jorge Yead	Forestry Engineer	**M**	Member	7
Luis Carlos Estravis	Forestry Engineer	**M**	Member	1

4. Capacity of the applicant to manage and implement actions

4.1. Experience of similar actions

Action 1.

Preparaion of a system of National and State Forests (Flonas) encompassing 500,000 km^2 in the Brazilian Amazon. This proposal has been accepted by Brazilian government and by key Amazonian states (Amazonas, Acre and Pará) and is major part of US$180 million loan proposal by the Ministry of Environment (Brazil Federal Government) under discussion with World Bank. In Brazil, the concept of national forest as a conservation unit was established in federal legislation in 1965. However, only in 2000, with the launch of the National Forest Programme by the Ministry of the Environment, did

national forests gain political prominence in Brazil. According to the goals of the Brazilian government, national forests should represent a minimum of 500,000 km^2 of the Amazon (10% of the territory) by 2010. The scale of this initiative is unprecedented in the tropics. The expansion of the national forest system can contribute to economic stability in the region through restriction of predatory activities, limiting land availability, increasing land value and promoting intensification of land use. In addition, National forests are an essential complement to the protection of parks within a global conservation strategy. During 2001-2003, 32,000 km^2 of Flonas were established. Twelve additional national forests totaling 36,890 km^2, are in the process of being established, mainly in Amazonas and Pará

Imazon has been the key partner in this initiative leading strategic studies (since 1998) and acting as honest broker among the major stakeholders involved in the discussion of forest concessions. Imazon has received financing of US$300,000 from Ministry of Environment, the Hewlett Foundation and the World Bank

Contacts
(1) Ministry of the Environment, Mr. Tasso Azevedo (Director, National Forest Program). Esplanada dos Ministérios Bloco B, 7º andar 70068-900. Brasília, DF.
Telephone + 55 (61) 322-4156. email Tasso.Azevedo@mma.gov.br
(2) The Hewlett Foundation (USA), Mr. Joseph Ryan (Program Officer)
Midfield Rd, Suite 200, Menlo Park, CA 94025 USA.
Telephone + 1 (650) 329-1070, email jryan@hewlett.org
(3) The World Bank, Dr. Robert Schneider (Senior Economist).
1818 H Street, NW. Washington D.C. 20433. USA.
Telephone + 1 (202) 473-7859, email rschneider1@worldbank.org

Action 2.

Forest Management Pilot Initiative in Paragominas, Eastern Pará State (Brazil). This pioneer pilot project which started in 1992 (250 hectares) has been replicated in more than 1.5 million hectares in the Brazilian Amazon. Approximately one third of this area has been certified by the Forest Stewardship Council (FSC). A large body of scientific information has been generated (more than 25 scientific papers) as well as a well known "back pack" manual for forest management. This forest handbook published (in Portuguese and Spanish) is a standard text in training centres and forestry colleges throughout the Amazon basin and central America. Imazon is the lead manager. The project has revealed that, with management, negative impacts of the cycles of timber extraction can be reduced substantially, and profits can increase. In addition, the studies on forest economics are helping to increase flows of governmental credit to forestry (e.g., public loans for forestry have increased from less than 1% of total rural credit 1998 to approximately 15% in 2004). The total cost of the eleven year project (1992-2003) is about US$ 1,3 million. Major donors are WWF-Brazil and USAID

Contact
United States Agency for International Development, Mr Eric Stoner (Environment Program Coordinator).
US Embassy, Brasilia, DF, Brazil
Telephone 55 (61) 312 7236, email estoner@usaid.gov

Action 3.

Imazon is a partner in the ALFA consortium which is implementing a major programme to Sustain Natural Ecosystems and Enhance Local Livelihoods in Brazil's Amazon and Atlantic Forest Regions. This four year programme commenced in 2003 and is intended to expand and improve forestry practices, develop new forest enterprise partnerships and networks that benefit the rural poor and plan and monitor landscapes at various scales. The consortium is led by IIEB and comprises six Brazilian NGOs and the University of Florida. The programme is funded by the United States Agency for International Development (USAID) with a total budget of US$ 7.4m. The Imazon component is valued at US$ 1.7m. Imazon is responsible principally for activities on improving sustainable forest management practices and regional landscape planning and monitoring.

Contact

United States Agency for International Development, Mr Eric Stoner (Environment Program Coordinator).
US Embassy, Brasilia, DF, Brazil
Telephone 55 (61) 312 7236, email estoner@usaid.gov

4.2 Resources

(a) annual income over the last three years, mentioning where applicable for each year, the names of the main financial backers and the proportion of annual income each has contributed

	Name of Each Major Donor	2000	2001	2002	2003	4-Year Total Contributions	Amount on Line 11(e)	Excess contributions (Excess of 4-year Total Contributions Over Amount on Line 11(e))
1	Ford Fundation	171,746	403,490	671,845	522,463	1,769,544	139,465	1,630,078
2	WWF	297,124	277,838	395,309	550,513	1,520,784	139,465	1,381,319
3	Hewlett Foudation		252,462	351,712	287,280	891,454	139,465	751,989
4	Cifor		49,000	76,800	201,600	327,400	139,465	187,935
5	GTZ	24,000	67,286	41,501	178,495	311,282	139,465	171,816
6	USAID-IIEB				261,650	261,650	139,465	122,185
7	Finep-PPG-7	140,240		93,431	-	233,671	139,465	94,206
8	Avina Foudation			210,415		210,415	139,465	70,950
9	Ibama	15,939	63,909	52,234	65,214	197,296	139,465	57,830
10	Ministério do Meio Ambiente - Brazil			154,198		154,198	139,465	14,733
11	World Research Center			51,753	95,624	147,377	139,465	7,911
12	Acre State Government	39,000	26,000	55,000	23,125	143,125	139,465	3,660
13	Embaixada da Holanda	48,000	12,000	49,032		109,032	139,465	(30,433)
14	Others	19,245	43,013	31,250	2,491	95,999	139,465	(43,466)
15	Comissão Européia	29,692	48,193			77,885	139,465	(61,580)
16	Development Alternative, Inc		24,243	43,201		67,444	139,465	(72,021)
17	Conservation International				64,000	64,000	139,465	(75,465)
18	The World Bank	7,380	51,196			58,576	139,465	(80,889)
19	Food and Health Foundation		48,140			48,140	139,465	(91,325)
20	Woods Hole Research Center	26,136	19,219			45,355	139,465	(94,110)
21	Overbrook Foundation			42,478		42,478	139,465	(96,987)
22	University of California		38,750			38,750	139,465	(100,715)
23	IIEB				34,800	34,800	139,465	(104,665)
24	Overseas Development Groups		25,888	5,857		31,745	139,465	(107,720)

25	Amapá State Government	26,800				26,800	139,465	(112,665)
26	Grupo Produtores de Madeira Certificada				23,900	23,900	139,465	(115,565)
27	Nasa - LBA				17,606	17,606	139,465	(121,860)
28	IPGRI-Dendrogene				11,910	11,910	139,465	(127,555)
29	Natura				10,000	10,000	139,465	(129,465)
30	Banco Real				10,000	10,000	139,465	(129,465)
31	Banco Basa				10,000	10,000	139,465	(129,465)
32	IPGRI-Imaflora				5,000	5,000	139,465	(134,465)
	TOTALS	845,302	1,450,627	2,326,016	2,375,670	6,997,615		2,534,720

*(b) the number of full-time and part-time staff by category (*e.g. number of project managers, accountants, etc*), indicating their place of employment*

	Degree	**Dedication**	**Function**
Daniel Souza.	Undergrad	Full Time	Administration/Support
Elson Vidal.	Undergrad	Full Time	Administration/Support
Keyla Nascimento.	Undergrad	Part Time	Intern
Maria de Nazaré Costa.	Primary	Full Time	Administration/Support
Mércia Macêdo.	BA	Full Time	Administration/Support
Rosa Pinheiro.	Primary	Full Time	Administration/Support
Selma Ramos.	Primary	Full Time	Administration/Support
Viviane Pimentel.	Secondary	Full Time	Administration/Support
Izabel Cristina.	Primary	Full Time	Administration/Support
Damião Lopes	Primary	Full Time	Administration/Support
Leonardo Sobral.	BS	Full Time	Outreach
Adalberto Veríssimo.	MSc	Full Time	Research
André Monteiro.	MSc Candidate	Full Time	Research
Carlos Souza Jr.	PHD Candidate	Full Time	Research
Denis Valle.	BS	Full Time	Research
Edson Vidal.	PHD Candidate	Full Time	Research
Eugênio Arima.	PHD Candidate	On leave	Research
Luciano Moreira Silva.	BS	Full Time	Research
Márcio Henrique Sales.	BS	Full Time	Research
Marco Lentini.	BS	Full Time	Research
Paulo Amaral.	MSc	Full Time	Research
Paulo Barreto.	MSc	Full Time	Research
Anderson Costa.	BS	Full Time	Research
Frank Pantoja.	BS	Full Time	Technician
Rodney Salomão.	BS	Full Time	Technician
Amintas Brandão Júnior.	BS	Partial	Intern
Brenda Brito.	Undergrad	Partial	Intern
Bruno Sotto Mayor.	Undergrad	Partial	Intern
Gleice Melry Gomes.	Undergrad	Partial	Intern
Sâmia Nunes.	Undergrad	Partial	Intern
Wagner Pena.	Undergrad	Partial	Intern
James Grogan.	PHD	Integral	Research
Mark Cochrane.	PHD	Partial	Research
Mark Schulze.	PHD	Partial	Research
Paulo van Breugel.	PHD Candidate	Partial	Research
Anthony Anderson.	PHD	Partial	Research

(c) equipment and offices

Imazon possesses a suite of four office buildings, with a total of 23 rooms: 15 offices; 4 administration rooms; 1 auditorium; 1 meeting room; 1 kitchen and lunchroom; 1 repository for publications; 9 bathrooms. In addition, Imazon has a fully equiped geoprocessing, where georeferenced maps and analyses of deforestation and land-uses, based on satellite images, videography and specialized programs.

Equipment:

- **Computers:** Five network servers, two for internet access and three for data management; 22 desktops and 12 notebooks used for research and administration functions.
- **Institute-wide network:** Computers in the three main research office buildings are linked into a network maintain by an Imazon computer specialist.
- **Printers**: Two inkjet printers connected to officewide network,one color laserjet, one HP Plotter and a digitizing table.
- **Photocopier:** Xerox copier connected to the internal network
- **Communication**: Telephones: Imazon owns two hubs with six telephone lines and three digital lines for internet access. Imazon operates a webpage where institutional information, research and policy articles can be accessed. PDF files of articles can be downloaded free of charge.
- **Vehicles**: Two vehicles, one for field work and one for activities in the city.
- **Security**: Imazon has a central security system for the four office buildings, monitored by a contracted survelience company.

(d) other relevant resources (e.g. volunteers, associated organisations, networks that might also contribute to implementation*).*

N/A

5. Other applications made by the applicant to European Institutions, the European Development Fund (EDF) and/or EU Member States

5.1 Grants, contracts and loans obtained over the last three years from European Institutions, the EDF and/or EU Member States

Action title and reference number	EC budget line, EDF or other source	Amount (EUR)	Date obtained
Degraded forest mapping in Brazilian Amazon 16649-2000	European Fund	22,309	2000
Support to the certified timber producers group	DFID-WWF	76,020	2003

CBR 170-2003			
Support to the certified timber producers group CBR 170-2003	GTZ	29,905	2003
Support to the certified timber producers group	Overseas Development Group	9,300	2001

5.2 Grant applications submitted (or about to be submitted) to European Institutions, the EDF and/or EU Member States in the current year:

Action title and reference number	EC budget line, EDF or other source	Amount (EUR)

III. PARTNERS OF THE APPLICANT PARTICIPATING IN THE ACTION

1. Description of the partners

This section must be completed for each partner organisation within the meaning of section 2.1.2 of the Guidelines for Applicants. Any other entities as defined in the same section need not be mentioned. You must make as many copies of this table as necessary to create entries for more partners.

	Partner 1	Partner 2	Partner 3
Full legal name (business name)	Center for International Forestry Research (CIFOR)	International Institute of Education of Brazil (IIEB)	FASE (Federation of Social and Educational Assistence Organisations)
Nationality	International	Brazil	Brazil
Legal status	International non-profit organization	Non-profit civil association	Non-profit civil association
Official address	Jl. CIFOR, Situgede, Sindangbarang, Bogor 16680, Indonesia	SHIS QI 05 Conj. "F" SLS 101/103/104 E 117 - CC Gilberto Salomão - Lago Sul 716069-000 Brasília DF - Brazil	Rua Bernal do Couto, 1329 Umarizal Belém, PA Brazil
Contact person	Dr. David Kaimowitz	Maria José Gontijo	Jorge Pinto da Silva
Telephone number	+62 251 622 622	+ 55 61 248 7449	(55 0xx91) 242-4341
Fax number	+62 251 622 100	+ 55 61 328 5933	(55 0xx91) 242-4341
E-mail address	d.kaimowitz@cgiar.org	iieb@iieb.org.br	gurufase@amazon.com.br
Number of employees	151 permanent 208 non-permanent	16	12
Other relevant resources	CIFOR receives contributions from over 50 governments and funding agencies. Offices in Belem	Financial support from USAID, Netherlands Embassy, JICA and others. Main office in Brasilia Belém branch office. 40 consultants	Financial support from ICCO, ProManejo and ProVárzea Offices in Belem
Experience of similar actions, in relation to role in the implementation of the proposed action	CIFOR's has more than a decade experience in implementing high impact research that helps local communities and small	IIEB is the lead institution of the ALFA consortium which is implementing a major programme intended to expand and improve forestry	FASE, through its Demonstrative Project (Gurupá) and with the support of the Union and other Associations and Rural Workers of Gurupá, has acted

	farmers gain incremental share of forest resources, while improving forest management practices and valuation of forest resources.	practices, develop new forest enterprise partnerships and networks and plan and monitor landscapes at various scales. It offers annual training courses in a range of environmental topics and organises annual workshops of the Community Forestry Working Group. It has developed the PADIS progamme which has undertaken institution capacity building in 14 micro-regions of Brazil.	since 1997 in close participation with rural communities. It has supported local groups in the development of activities related to the organization, cooperation, land legalization, community forest management, community administration of fishing resources, food security, environmental impact studies, and financing and commercialization of forests products. It has also obtained approval of plans for community management of forest timber and non timber products and it has developed alternatives forest uses for traditional communities of Amazonia.
History of cooperation with the applicant	CIFOR has cooperated with IMAZON though the *Mulheres da Mata* (Women from the Forest NTFP project) over the last 6 years. Currently, CIFOR and IMAZON have a joint project to analyze the adoption of SFM throughout the Brazilian Amazon.	IIEB and Imazon are both members of the ALFA consortium and of the Community Forestry Working Group. IIEB is represented on the Imazon board and Imazon staff have participated in IIEB training programmes.	The existing cooperation between FASE and IMAZON is principally in the area developing sustainable solutions for the use of Amazonian natural resources. FASE has also participated in seminars and workshops promoted by IMAZON that concerning community forest management.
Role and involvement in preparing the proposed action	Participation in the conceptual development, writing and preparation of action proposal	IIEB participated fully in the preparation of the proposed action. The IIEB staff member in Belém worked directly in drafting the proposal. The IIEB technical director and other staff participated in various preparation meetings and advised on proposal content.	FASE operates in one of the target sites of the action (Gurupa) and prepared the proposed activities and budget for the work on improvement of forest management. Additionally, based on its experience in land tenure legalization, it advised on the objectives and

			activities of this component.
Role and involvement in implementing the proposed action	CIFOR will actively contribute to the implementation of the three thematic result areas: tenure security, forest management and markets. CIFOR will also play an instrumental role in scaling up the action results and in promoting regional exchanges.	IIEB will work principally in the institutional development (PADIS), capacity building, and policy design activities of the proposed action.	FASE will act in the following themes: land tenure legalization, community forest management (mainly in the Gurupa area), and marketing of forest products

Important: This application form must be accompanied by a signed and dated partnership statement from the main applicant and from every partner, in accordance with the model provided on the next page.

2. Partnership statement[12]

A partnership is a relationship of substance between two or more organisations involving shared responsibilities in undertaking the action funded by the European Commission. To ensure that the action runs smoothly, the European Commission requires all partners (including the lead applicant that signs the contract as "beneficiary") to acknowledge this by agreeing to the principles of good partnership practice set out below.

Principles of Good Partnership Practice

1. All partners must have read the application form and understood what their role in the action will be before the application is submitted to the European Commission.

2. All partners must have read the standard grant contract and understood what their respective obligations under the contract will be if the grant is awarded. They authorise the ~~lead~~ applicant to sign the contract with the European Commission and represent them in all dealings with the European Commission in the context of the action's implementation.

3. The applicant must consult with its partners regularly and keep them fully informed of the progress of the action.

4. All partners must receive copies of the reports - narrative and financial - made to the European Commission.

5. Proposals for substantial changes to the action (e.g. activities, partners, etc.) should be agreed by the partners before being submitted to the European Commission. Where no such agreement can be reached, the applicant must indicate this when submitting changes for approval to the European Commission.

6. Before the end of the action, the partners must agree on an equitable distribution of equipment, vehicles and supplies for the action that were purchased with the EU grant among local partners situated in the target countries. Copies of the transfer titles must be attached to the final report.

[12] To be provided by the applicant and each partner in all cases where there is a partner in addition to the applicant.

Statement of partnership

We have read and approved the contents of the proposal submitted to the European Commission. We undertake to comply with the principles of good partnership practice.

Name:	Edson José Vidal da Silva
Organisation:	Amazon Institute of People and Environment - Imazon
Position:	Vice-Administrative Secretary
Signature:	
Date and place:	03/01/04 - Belém

Name:	Mathues H. A. Otterloo
Organisation:	Federação de Órgãos para Assistência Social e Educacional - FASE
Position:	Regional Coordinator Fase-Amazon Program/Pará
Signature:	
Date and place:	03/01/04 - Belém

Name:	Maria José Gontijo
Organisation:	International Institute of Education of Brazil
Position:	Executive Director
Signature:	
Date and place:	02/19/04 - Brasília

Name:	Dr. David Kaimowitz
Organisation:	Center for International Forestry Research (CIFOR)
Position:	Director General
Signature:	
Date and place:	02/24/04 - Bogor

IV DECLARATION BY THE APPLICANT

I, the undersigned, being the person responsible in the applicant organisation for the action, certify that:

(a) the information given in this application is correct; and

(b) the applicant and its partners (where applicable) do not fall into any of the categories (a) to (f) listed in section 2.1.1(2) of the Guidelines for Applicants; and

(c) the applicant has the sources of financing and professional competence and qualifications specified in section 2.3(3) of the Guidelines for Applicants.

Name:	Paulo Gonçalves Barreto
Position:	Administrative Secretary
Signature:	
Date and place:	03/01/04 - Belém

Checklist

Before dispatching your application, please check that it is complete (see Notice on page 1) against this checklist!

The application form

1 ☐ The **application data sheet** (Part 0 of the application form); duly completed and verified.

2 ☐ Part I (THE ACTION), part II (THE APPLICANT), and part III.1 (DESCRIPTION OF THE PARTNERS) of the **application form;** completely filled in and complying with the application form's requirements.

3 ☐ the **budget** and the **expected sources of funding**; presented in the format of the application form (Annex B), completed and drawn up in **Euro.**

- The budget covers all eligible costs of the action and not just the EC contribution
- In the budget, overheads do not exceed 7% of direct eligible costs
- The expected sources of funding are clearly identified and the European Commission's contribution is a maximum of 80% of the total eligible costs of the action.

4 ☐ the **logical framework** (Annex C); completed in accordance with the template and consistent with the information provided in part I of the application form.

5 ☐ the **SIGNED declaration by the applicant** (Part IV of the application form)

6 ☐ if there are partners, the applicant's completed and **SIGNED partnership statement** (Part III.2 of the application form),

7 ☐ for EACH partner a completed and **SIGNED partnership statement** (Part III.2 of the application form)

8 ☐ An electronic version of the application form (points 1, 2, 3, 4 of this checklist) on a floppy disk or a CD-Rom

General considerations:

☐ The application must be **typed** and in **English, French or Spanish**

For the following SUPPORTING DOCUMENTS one original and one paper copy must be included:

- The originals of the supporting documents are required or, failing this, photocopies certified by an approved independent agency.
- Where such documents are in a language other than the languages of the present call for proposals, reliable translations must be annexed.

☐ the applicant's statutes or articles of association;

☐ the most recent annual activity report of the applicant;

☐ the most recent accounts of the applicant (profit and loss account and balance sheet for the last financial year for which the accounts have been closed);

☐ an external audit report produced by an approved auditor, certifying the accounts for the last financial year available and stating to what extent, in the auditor's opinion, the applicant has stable and sufficient sources of finance to maintain its activity throughout the period during which the action is being carried out and, where appropriate, to participate in its funding;

☐ the statutes or articles of association of all partners.