

Annual Report



Grassroots Capacity Building Program for REDD+ in the Asia-Pacific Region

August 2010-July 2011

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Regional Community Forestry Training Center
for Asia and the Pacific (RECOFTC), Bangkok

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Vision:

Local communities in the Asia-Pacific region are actively involved in the equitable and ecologically sustainable management of forest landscapes.

Mission:

To enhance capacities at all levels to assist people of the Asia-Pacific region to develop community forestry and manage forest resources for optimum social, economic and environmental benefits

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Annual Report: Grassroots Capacity Building for REDD+ in the Asia-Pacific Region Phase II, Year 1 (August 2010-July 2011)

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Abbreviations

CBNA	Capacity Building Needs Assessment
CKDN	Climate Knowledge Development Network
CLiPAD	Lao German Climate Protection through Avoided Deforestation
EAN	Equal Access Nepal
FAO	Food and Agriculture Organization
FCPF	Forest Carbon Partnership Facility
FECOFUN	Federation of Community Forestry Users Nepal
FGLG	Forest Governance Learning Group
FPIC	Free, Prior, and Informed Consent
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
HIMWANTI	The Himalayan Grassroots Women's Natural Resource Management Association
ICIMOD	International Centre for Integrated Mountain Development
ICRAF	World Agroforestry Center
IGES	Institute for Global Environmental Strategies
IGG	Internal Group Governance
IIED	International Institute of Economic Development
JICA	Japanese International Cooperation Agency
Lao PDR	Lao People's Democratic Republic
M&E	Monitoring and Evaluation
NAFES	National Agriculture and Forestry Extension Services
NEFIN	National Federation of Indigenous Nationalities
NGO	Non-Governmental Organization
Pusdiklat	Centre for Education and Training
RECOFTC	Regional Community Forestry Training Centre for Asia and the Pacific
REDD	Reducing Emissions from Deforestation and Forest Degradation
REDD+	Reducing Emissions from Deforestation and Forest Degradation and foster conservation, sustainable management of forests, and enhancement of forest carbon stocks
ToT	Training of Trainers
UN-REDD	United Nations Collaborative Programme on Reducing Emissions from Deforestation and forest Degradation
VNGO-CC	Network of Vietnamese Non-Governmental Organizations on Climate Change
WCS	Wildlife Conservation Society

Introduction

This is the annual progress report highlighting key achievements and challenges of the “Grassroots Capacity Building for REDD+” project in the Asia-Pacific region from August 2010 to July 2011.

Phase I of the project (August 2009 to July 2010), included activities in Indonesia, Lao PDR, and Nepal. Vietnam was added as a fourth project country for Phase II, running from August 2010 until July 2013. Countries were selected based on their prioritization under the World Bank’s Forest Carbon Partnership Facility (FCPF) Program as well as their status as United Nations Collaborative Programme on Reducing Emissions from Deforestation and forest Degradation (UN-REDD) pilot countries.

Project implementation is coordinated by a regional team consisting of a Project Coordinator, Project Assistant, and Technical Taskforce based in RECOFTC’s headquarters in Bangkok. At the national level, the project is implemented by a national coordinator and an in-country partner organization and collaborative organizations. In addition, the project has established links with the climate change working groups of each national government.

Partner organizations include:

- **Indonesia** - Pusdiklat (Center for Education and Training), Ministry of Forestry, Government of Indonesia, Bogor
- **Lao PDR** - Department of Forestry, Government of Lao PDR, Vientiane; National Agricultural and Forestry Extension Service (NAFES), Government of Lao PDR, Vientiane; Faculty of Forestry, National University of Laos, Vientiane
- **Nepal** - Federation of Community Forestry Users Nepal (FECOFUN), Kathmandu; Equal Access Nepal (EAN), Kathmandu
- **Vietnam** - Member organizations of the Network of Vietnamese Non-Governmental Organization on Climate Change (VNGO & CC), Vietnam Forestry Administration and its line agencies at provincial and district levels

Description of objectives achieved (outputs and outcomes)

The project has achieved the following outputs and outcomes:

Output 1: Training packages development, modification and refinement

1.1 Action Plans:

Annual action plans were successfully prepared by multi-stakeholder consultation in each project country, involving the partner organizations, National REDD Taskforce members, government officials, academic institutions, NGOs, representatives of peoples’ federations, civil society organizations, and UN-REDD.

Outcomes

- In Indonesia, Lao PDR and Nepal, the action plan preparation process included sharing lessons learned from Phase I.
- In Vietnam, the planning workshop was used to introduce the project and seek support from our partner and potential collaborating organizations.
- In each country, the project team established close relationships with key organizations and stakeholders. In Indonesia and Vietnam, the project established

close links with UN-REDD; in Lao PDR, the project built implementation links with CliPAD (Lao German Climate Protection through Avoided Deforestation), and WCS (Wildlife Conservation Society), in addition to partner organizations; and in Nepal, a close collaboration has been established with another Norad funded project with the International Centre for Integrated Mountain Development (ICIMOD).

1.2 Capacity building needs assessment:

In Phase I, the project developed and implemented a Capacity Building Needs Assessment (CBNA) package in three of the focal countries to assess the existing competencies of grassroots stakeholders and identify gaps in the knowledge and skills related to REDD+ and climate change issues. In Phase II, the package was used in Vietnam to conduct similar needs assessments.

Based on these experiences, the CBNA was refined through a regional knowledge-sharing workshop and updated to include additional material addressing opportunity costs and social and environmental safeguards.

Outcomes

- Updated and expanded the CBNA package for REDD+, which is the first of its kind in the region.
- Completed CBNA for REDD+ in Vietnam.
- Reviewed CBNA results from Indonesia and Nepal, using the revised reports from both countries to develop the Action Plan for each country.
- In Lao PDR, the updated framework of CBNA is currently being used to update the findings from Phase I.

1.3 Core manual:

Experiences in Phase I indicated that capacity building requirements must be differentiated between stakeholders at the national and sub-national levels and at the grassroots level. Based on these findings, the core training manual was redesigned and split into two parts: one designed for national and sub-national level training and a second adjusted to the needs of community level awareness-raising programs.

Outcomes

- In Nepal, 500 copies each of the national and community level facilitators' manuals were printed in Nepali and distributed during training programs.
- Subsequently, these two manuals were translated into English and shared with the country teams in Indonesia, Lao PDR, and Vietnam to adjust them to fit each national and local context, with relevant case studies and examples.
- Feedback from training facilitators and participants were collected to further update the manuals. So far it has been found that local case studies need to be part of the training manuals to appropriately contextualize the training content.

1.4 Training Manual on Free, Prior and Informed Consent (FPIC) for REDD+:

The project has also supported development of a guidebook for practical facilitation of community-based Free, Prior and Informed Consent (FPIC), with a particular focus on REDD+, in collaboration with GIZ in Indonesia and Lao PDR.

Outcomes

- The FPIC guidebook was first printed in English and 500 copies were distributed widely.
- Based on widespread interest in the publication, the guidebook was translated into Bahasa Indonesia, and a Nepali language translation is currently underway.
- The project also supported the organization of a regional training on FPIC for REDD+, including regional and national representatives from grassroots projects, partner organizations, and REDD+ project implementers from each country.

1.5 Other training materials and tools:

Non-traditional training materials, such as posters and radio programs, have also been developed for raising awareness and building capacity of grassroots stakeholders for REDD+.

Outcomes

- In Nepal, posters explaining the role of forests in climate change have been developed in Nepali language and disseminated widely during grassroots awareness raising events.
- In partnership with EAN, an international NGO working with local communities in Nepal to raise their awareness using local radio, the project developed 12 episodes focusing on REDD+ and climate change for broadcasting in the project areas. The episodes are currently being broadcasted, with the goal to raise the awareness of local communities for REDD+ in selected districts.
- In Lao PDR, this project is part of a consortium working to develop a REDD+ glossary handbook in Lao language. This is being developed in collaboration with Department of Forests, the National University of Laos, and CliPAD.
- In Lao PDR, the project has partnered with National Agriculture and Forestry Extension Services (NAFES) to develop posters and leaflets for raising awareness among grassroots stakeholders through their extension units at the provincial and district level.
- In Indonesia and Vietnam, posters and other similar material in local language is currently in progress in close collaboration with national partner organizations and other collaborative partners.

1.6 New developments and case studies:

New developments related to REDD+ are unfolding rapidly, creating a need to revisit existing forestry management issues in the context of REDD+ while also devoting adequate focus to emerging REDD+ issues through research and analysis. This project has attempted to address this issue by collecting data through case study analysis and keeping project training, tools, and materials as up to date as possible.

Outcomes

- The issue of FPIC has been prominent in the REDD+ debate. The FPIC Guidebook will be an important tool for trainers as REDD+ develops and is implemented to ensure that local people are fully aware of their rights.
- Case study research was completed in Nepal to develop a toolkit for assessing internal group governance (IGG) of community forestry user groups. The study report is finalized and now ready for publication, after which the toolkit will be tested in other countries. The report provides key insights into IGG and will help grassroots organizations respond more effectively to emerging governance issues under REDD+, focusing on improving the management of forest resources and maximizing benefits from the carbon trade in future. This toolkit will also provide the foundation for future development of a training module under the project.
- This project is part of a regional case study on potential conflicts resulting from REDD+ implementation. The case study has already been completed in Nepal, and is expected to be completed in Vietnam soon. These studies not only provide useful resource material to update REDD+ core training manuals, but also contribute to the global discourse on key challenges that REDD+ is likely to face in the near future.

Output 2: Organize training and capacity building programs

2.1 Identify project areas:

Pilot areas for grassroots training and capacity building were identified through a consultative process involving key stakeholders in each country.

Outcomes

- In Indonesia, project activities are being set up in parts of East Kalimantan (in partnership with The Nature Conservancy), Central Sulawesi (potentially in collaboration with UN-REDD), and South Sumatra provinces based on criteria identified in the CBNA process and also recommended by Pusdiklat.
- In Lao PDR, the Lao Department of Forest suggested four out of the eight Northern provinces where capacity building activities were initiated in Phase I for intensive engagement in Phase II of the project. These include Huaphan, Luang Prabang, Xayaburi, and Xieng Khouang. Ongoing initiatives by CliPAD, WCS and JICA in these provinces also indicate a strong likelihood of productive collaboration in the near future.
- In Nepal, project activities are underway in 16 districts: nine districts from Phase I and an additional seven districts in Phase II. The districts are Banke, Bardiya, Bhaktapur, Dadaldhura, Dang, Ilam, Jhapa, Kailali Kanchanpur, Kapilbastu, Kavre, Morang, Nawalparasi, Rupandehi, Sindhupalchok, and Surkhet.
- In Vietnam, Bac Kan, Ca Mau, Ha Tinh, and Lam Dong provinces have been identified as project areas through the multi-stakeholder workshop. This project can complement ongoing REDD+ initiatives by other organizations in each province, including programs by UN-REDD in Lam Dong province and a Norad-funded ICRAF project in Bac Kan.

2.2 Training of Trainers (ToT) Program:

Building the capacity of a critical mass of in-country trainers, capable of taking forward capacity building agenda on REDD+ in their respective countries is a key aim of the project.

2.2.1 National ToT Programs:

Training of trainers (ToT) programs have already been organized in Nepal and Vietnam, with trainings in Lao PDR and Indonesia currently under development.

Outcomes

- In Nepal and Vietnam, national and sub-national level ToTs were successfully conducted, including 32 participants in one training in Nepal and 34 in two sub-national trainings in Vietnam.
- In addition, 25 Nepali journalists took part in a pilot training on climate change and REDD+ related issues supported by EAN. The trained journalists are now engaged in bringing out grassroots issues in local media concerning REDD+ and climate change.

2.2.2 Sub-national facilitation and training programs:

The project is designed using a ‘cascade approach’ to training, such that the participants of the national level trainings conduct the trainings for sub-national level trainings. Sub-national level training programs were organized only in Nepal.

Outcomes

- Seven facilitation workshops were organized for the district level units of FECOFUN in Kailali, Dadeldhura, Banke, Surkhet, Rupandehi, Jhapa and Kavre districts. The main objectives of the workshops were to share the strategies and activities of the project with the relevant district level stakeholders, and bring their perspectives and ideas into the project planning processes at an early stage to increase their ownership of the project.
- Four clusters of sub-national ToTs were conducted in partnership with FECOFUN, NEFIN, HIMWANTI and other local organizations. Trainings were organized in Kalbargudhi in Jhapa district, Dhangadhi in Kailali District, Budol in Kavre district, and Butwal in Rupandehi district.
- A total of 102 participants were reached through these trainings, including 34 women.

2.2.3 Community level events:

In Nepal, a series of community level awareness raising events for REDD+ were organized, using innovative communication tools such as street plays and radio programs.

Outcomes

- A total of 247 community level awareness raising events have been organized so far in 16 project districts.
- Through these events, the project has been able to reach out to more than 10,500 community forestry users, including nearly 4,500 women.
- With the support of EAN, a series of orientation programs for community reporters on REDD+ was also organized, attended by more than 100 participants.

Output 3: Monitoring and evaluation (M&E)

3.1 M&E system and baseline data collection:

Outcomes

- The project team has revised and updated the logical framework, updating the Microsoft Access database to reflect the updated logical framework and support monitoring and evaluation (M&E) of the project.
- The M&E system is regularly updated with data from training activities from the project countries. It is designed to collect feedback from the participants at four levels – knowledge of training participants prior to attending training (level ‘0’ - baseline), immediately after training (level ‘1’- reaction), 3-6 months after the training program (level ‘2’ - use of new knowledge and skills) and approximately one year after the training program (level ‘3’ - behavioral changes)
- In Nepal, a comprehensive M&E survey is currently being carried out to track overall effectiveness and retention of the training programs conducted in phase I, as well as to report stories of change from the field.

3.2 Reflection and review workshops:

Reflection and review workshops play an important role in keeping the project activities updated with the pace of unfolding developments with the REDD+ mechanism.

Outcomes

- In Indonesia, a CBNA review workshop was organized to coincide with the development of the annual action plan.
- In Nepal, two refresher and reflection workshops have been conducted at the district level, one in Banke and a second in Bhaktapur district. These events were attended by 31 men and 14 women trainers, who provided their feedback and shared experiences from facilitating awareness raising events and discussed challenges they are facing in a peer group.
- At the regional level, a mid year review of project progress was organized during a coordination workshop with partner organizations, including a review of REDD+ CBNA experiences and further refinement of the CBNA package.

Output 4: Regional coordination, publication and dissemination

4.1 Coordination:

Project teams have expended considerable effort to strengthen internal coordination within the project and with partner organizations, as well as to expand regional coordination.

Internal coordination

- In Indonesia, a Joint Working Group has been established to mainstream REDD+ trainings into Pusdiklat’s overall training programs. A review of the current training programs has been completed and suggestions have been made on how to appropriately adjust these training programs to include REDD+ materials.
- In Vietnam, the project team collaborated with UN-REDD to organize CBNA for REDD+. Similar efforts to coordinate with UN-REDD are ongoing in Indonesia.
- In Lao PDR, the project coordinated with CliPAD to develop a REDD+ dictionary in local language.

- Standard reporting guidelines and templates are used to report monthly progress to facilitate communication within the project team.
- A regional coordination workshop was organized with the national and regional project teams, including partner organizations, to strengthen learning and facilitate information-sharing across project teams.

External coordination

- This project also supported and contributed to a regional expert group workshop on “Forests and Climate Change after Cancun: An Asia Pacific Perspective,” jointly organized by REDD-Net project and FAO. This workshop resulted in the publication of a booklet containing the answers to 12 key questions about forests and climate change in the future.
- A second regional expert workshop focusing on REDD+, governance, and community forestry was also organized in partnership with FGLG, IIED, REDD-Net project and CDKN, resulting in a similar publication on how community forestry strengths and shortcomings might influence the further development of REDD+.
- Both publications are freely available on the RECOFTC website.

The regional project team also represented the project at regional and international events, including Oslo REDD Exchange; Asia Pacific Regional Consultation and Capacity Building Workshop on REDD+; Public Debate on REDD+ organized by University of East Anglia, London; and The Evaluation Conclave, held in New Delhi India.

Assessment of management of internal or external risks to the Project that may have affected the success of the Project

Project implementation of Phase II was scheduled to start from August 2010. However, due to delays and complications in the recruitment process at both regional and country levels, a result from challenges in recruiting qualified staff, activities were unable to commence on time except in Nepal. In Vietnam, the National Coordinator’s start date was delayed until October 2010; in Lao PDR, project implementation could be resumed only in February 2011 as recruitment for the coordinator was only allowed after receiving official approval from the Department of Forestry; and in Indonesia, we had to recruit a new National Coordinator after the original Coordinator left the project, delaying project implementation until April 2011. Despite these setbacks, the in-country teams are now well set, and it is hoped that such delays will only have a minimal impact on the overall major deliverables through July 2013.

Political unrest in Nepal also delayed the progress of the project to a certain extent, and prevailing uncertainty over the current political situation might also cause some delays should protests develop in the coming weeks. In Lao PDR, the government’s cautious approach to REDD+ has also put pressure on the project team to progress cautiously, especially in terms of reaching out to local communities for awareness raising and capacity building activities.

In terms of external factors, there is still a risk that international negotiations on REDD+ implementation might not be carried forward in a timely manner. A number of aspects regarding REDD+ implementation on the ground are not yet clear, and it also remains unclear how these clarifications will be made. Should the Parties fail to reach consensus on the REDD+ mechanism, the project could suffer the loss of interest or relevance.

Assessment of the need for adjustments to agreed plans, including actions for risk mitigation

Internal Risks	Adjustment action taken
Delays in recruitment process of national staff	The recruitment process in each country has been completed and national project teams are well set to continue with project implementation.
Capacity building activities raise unrealistic expectations among grassroots stakeholders for REDD+	Training and capacity building activities in each country are being planned cautiously, always bearing in mind the risk of unrealistic expectations. The project has developed key messages to be delivered to the stakeholders at large, mainly in local language, providing up to date and neutral information about REDD+. The success of these types of messages will be monitored and corrections will be made accordingly.
External Risks	Adjustment action taken
REDD+ will not be approved and implemented globally	The Grassroots project is not only doing capacity building <i>on</i> REDD+, but <i>for</i> REDD+. That means that information on climate change, its impacts and adaptation measures is also given, in the event the REDD+ mechanism is not approved and implemented by international bodies.

Explanation of major deviations from the plan

In Nepal, the project implementation has commenced largely as planned, but due to implementation delays mentioned previously, the project was able to organize ToT programs at national and sub-national levels only in Nepal and Vietnam, while awareness raising at the grassroots level could only be started in Nepal. Now that the project teams are in place and implementation has commenced, the project team is hopeful to speed up implementation in the second year of Phase II.

Main achievements

Building on the strong foundation laid in the Phase I, the project strengthened existing partnership and collaborations and built new relationships at the country, regional and global levels. In all the project countries, the selection of partner and collaborative organizations, including UN-REDD, as well as close networking with government agencies, has further strengthened the collaboration for success and sustainability of project.

Development of the Free, Prior and Informed Consent (FPIC) Guidebook, followed by a regional training and the development of a training manual, has contributed immensely to the ongoing discourse on REDD+ at global level, particularly on social and environmental safeguards. In addition, the development and refinement of the CBNA framework represents an important contribution that can be adapted to different situations and stakeholders in the future.

The project has successfully conducted ToT programs in Nepal and Vietnam and a series of awareness raising events for grassroots stakeholders in Nepal. In total, the project has organized 26 in-country workshops, including inception, planning and facilitation workshops, national and sub-national level ToT programs, and reflection and review workshops reaching

more than 600 beneficiaries. At the grassroots level, the project reached more than 10,500 community forestry users in Nepal, over 40% of whom were women, through nearly 250 awareness raising events. The project has also developed and disseminated training and communication material for REDD+ in local languages, helping to reach local people more effectively.

Summary of main “lessons learned”

A number of key lessons have been learned in the first year of Phase II:

- The vast amount of information that has been generated on REDD+ in a relatively short time period at the global level has increased the burden of sifting through information to determine what and how much to share with stakeholders. To address this challenge, the project team has made conscious efforts to localize the knowledge dissemination process about REDD+ by designing programs to fit each country context. In addition, the project team has developed a simple communication tool to provide basic information on REDD+ developments in each country without complicating the message, while facilitating open and frequent communication.
- In Nepal, the tremendous response from stakeholders to learn and know about REDD+ has posed the challenge of managing expectations, should REDD+ not enter into implementation. At the same time, the cautious approach of national governments in other countries towards REDD+ makes it challenging to reach out to the grassroots stakeholders and explain the REDD+ mechanism to them.
- Attention to FPIC and social and environmental safeguards has become increasingly common in international discussions, providing an opportunity for the project to promote the interests of grassroots stakeholders. The project has taken a step in this direction by organizing a regional training program on FPIC that sought to contextualize FPIC material to each country situation. There were 19 participants in this training, including five women.
- Given the complexity of the REDD+ mechanism, it is necessary to develop innovative approaches and tools to simplify and communicate the message in the most effective way. This project has approached this issue by training journalists - including barefoot reporters - organizing street plays, and using radio programs to contribute to the REDD readiness of the target country.
- Another important consideration has been to collaborate and coordinate with ongoing initiatives during the project planning phase to make the most efficient use of resources and avoid duplication of work across organizations.

Number and type of publications and resources

- Final progress report of Phase I (2009-2010) - more than 100 copies printed for sharing with key stakeholders in the region.
- Free, Prior, and Informed Consent (FPIC) Guidebook published in partnership with GIZ – 500 copies printed and disseminated and, due to greater demand, more copies are currently being printed.
- Core manuals for training of trainers in Nepali language targeting national and community level stakeholders – 2 Manuals (500 copies each printed and distributed to the stakeholders).
- 5 Project Brochures (1 regional level in English, 4 country level in Bahasa, Lao, Nepali, and Vietnamese languages).
- Non-traditional training material – posters and leaflets published and disseminated on a wider scale to the grassroots stakeholders in Nepal.
- Brief titled *REDD+, Governance and Community Forestry* published.
- Website comprised of a project landing page and four country pages with country-specific information.

The following are working documents currently used in the project and by partners, some of which are planned to be published within the next few months.

- Core manuals for training of trainers in English language targeting national and community level stakeholders in Nepal – 2 Manuals
- Study on Internal Group Governance (IGG) in Nepal
- Conflict studies on REDD+ in Nepal and Vietnam
- Revised Capacity Building Needs Assessment Tool
- Inception, planning, training, capacity building, and reflection workshop reports from the focus countries – a total of 8 reports from all four countries
- Regional Reflection and Planning as well as a Coordination Workshop Report – 2 reports

Number and type of events/workshops/seminars held

A total of 279 events were organized in four countries and at regional level for training and capacity building activities. A summary of these events is presented in Table 1 of the Annex. In all listed events we were the main organizers, with the exception of the regional events in which we served as experts, note takers and facilitators (last column of Table 1).

Number and type of beneficiaries

The project reached out to a total of over 11,000 participants through various training programs, workshops and awareness raising events. Of these, the vast majority were exclusively involved in training and capacity building activities at national, sub-national and grassroots level, with just over 40% women. Remaining participants were involved in three regional workshops including the reflection workshop for reviewing the progress and lessons learned from the Phase I, FPIC training workshop, and project coordination workshop, as indicated in Table 2 of the Annex.

Annex: Project Tables

Table 1: Number and type of events organized under the Project

Type of Event	Indonesia	Lao PDR	Nepal	Vietnam	Regional	Total
Planning and Inception WS	1	1	8*	1		11
National ToTs			1	2		3
Sub-national ToTs			4			4
Community level awareness raising events			247			247
In-country refresher & reflection WS			2			2
Journalist training			5**			5
Regional Reflection WS					1	1
FPIC training workshop					1	1
Project Coordination WS					1	1
Events contributed to					3***	
Total	1	1	267	3	6	278

*1 at national level, 7 district level

**organized by Equal Access Nepal

***Post-Cancun workshop, FGLG workshop, FPIC workshop

Table 2: Number of participants to the various events organized under the Project, number of female participants in brackets

Type of Event	Indonesia	Lao PDR	Nepal	Vietnam	Regional	Total
Planning, inception and facilitation workshop	26 (8)	38 (5)	147 (33)*	35 (8)		246
National ToTs			32 (12)	34 (14)		66
Sub-national ToTs			102 (34)			102
Community level awareness raising events			10,573 (4,460)			10,573
Journalist training			130 (31)			130
In country refresher & reflection workshop			45 (14)			45
Regional reflection workshop					28 (7)	28
FPIC Training workshop					19 (5)	19
Project coordination workshop					12 (3)	12
Total	26	38	11,029	69	59	11,221

*29 (6) at national level, 118 (27) at district level



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