

EXTERNAL REVIEW REPORT



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Acronyms and Abbreviations

AEC	ASEAN Economic Community
AF	Agro-forestry
AFCC	ASEAN Multi-sectoral Framework on Climate Change: Agriculture and Forestry towards Food Security
AMAF	ASEAN Ministers Meeting on Agriculture and Forestry
AMS	ASEAN Member States
APAN	Asia Pacific Adaptation Network
APFW	Asia-Pacific Forestry Week
ARKN-FCC	ASEAN Regional Knowledge Network on Forests and Climate Change
ASCC	ASEAN Socio-Cultural Community
ASEAN	Association of South East Asian Nations
ASFCC	ASEAN-Swiss Partnership on Social Forestry and Climate Change
ASFN	ASEAN Social Forestry Network
ASOF	ASEAN Senior Officials on Forestry
ASRF	ASFN Strategic Response Fund
AWG-SME	ASEAN Working Group on Small and Medium Enterprises
CCAM	Climate Change Adaptation and Mitigation
CF	Community Forestry
CIFOR	Centre for International Forestry Research
CLAPS	Community Livelihood Appraisal and Product Scanning
COP	Conference of Parties
CRN	Climate Resilience Network
CSO	Civil Society Organisation
GAP-CC	ASEAN-German Programme on Response to Climate Change: Agriculture, Forestry and related Sectors
ICRAF	World Agroforestry Centre
INDC	Intended Nationally Determined Contribution
KPI	Key Performance Indicator
MDG	Millennium Development Goals
MTR	Mid-Term Review

NDC	Nationally Determined Contribution
NAMA	Nationally Appropriate Mitigation Actions
NTFP	Non-Timber Forest Product
NTFP-EP	Non-Timber Forest Products – Exchange Programme
PCA	Paris Climate Agreement
RECOFTC	Regional Community Forestry Training Center for Asia and the Pacific (known as the Centre for People and Forests)
REDD+	Reducing Emissions from Deforestation and Forest Degradation, Conservation of Forest Carbon Stocks, Sustainable Management of Forest, and Enhancement of Forest Carbon Stocks
SEARCA	Southeast Asian Regional Centre for Graduate Studies and Research in Agriculture
SDC	Swiss Agency for Development and Co-operation
SDG	Sustainable Development Goals
SF	Social Forestry
SFM	Sustainable Forest Management
SME	Small and Medium Enterprises
SOM-AMAF	Senior Officials Meeting of the ASEAN Ministers on Agriculture and Forestry
SPA	Strategic Plan of Action
SP-FAF	Vision and Strategic Plan for ASEAN Co-operation in Food, Agriculture and Forestry, 2016-2025
SWOT	Strengths, Weaknesses, Opportunities, and Threats
WFC	World Forestry Congress
UNFCCC	United Nations Framework Convention on Climate Change

PROJECT SUMMARY

DONOR	Swiss Agency for Development and Co-operation (SDC)	Remarks
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EXECUTIVE SUMMARY

Introduction

ASEAN-Swiss Partnership Programme on Social Forestry and Climate Change Phase 2 (ASFCC II) was designed to support the ASEAN Multi-sectoral Framework for Climate Change: Agriculture and Forestry towards Food Security (AFCC) through the ASEAN Social Forestry Network (ASFN). The project phase started in January, 2014 and is due for completion in December, 2016. The ASFCC focuses on three strategic components: (i) policy development; (ii) knowledge sharing, networking and capacity building; and (iii) learning interventions in the themes of Social Forestry (SF) in pursuit of climate change (CC) adaptation and mitigation (CCAM); food and livelihood security; sustainable natural resources management; and inclusive development in ASEAN Member States (AMS) considering the context of very high vulnerability due to climate change in most of the AMS. The project aims to achieve these by achieving three outcomes: (i) a co-ordinated social forestry framework; (ii) strengthening of local, national, and regional knowledge sharing, communication and networking activities; and (iii) conducting learning interventions and best practices in SF and CC. The activities are implemented by a group of global and regional organisations mandated to provide knowledge, learning, advocacy and capacity building. The activities pursued range from basic and global research by CIFOR, capacity building and training by RECOFTC, agro-forestry knowledge development and policy outreach by ICRAF, NTFP products based enterprise development and civil society engagement by NTFP-EP, and the ASFN Strategic Response Fund (ASRF) for country-driven initiatives implemented by SEARCA.

Evaluation Purpose and Questions

The External Review covers both the institutional arrangements and substantive content including the knowledge-policy interface covered by the ASFCC II. It considers the strategic aim of the partnership

project to contribute to the strategic priorities of AMS towards the goal of creating a vibrant ASEAN Economic Community (AEC) as well as strengthening of the ASEAN Socio-Culture Community (ASCC). The evaluation has four objectives: (i) to provide independent, external review of progress of work and institutional arrangements, including mode of collaboration, in support of the AFCC through ASFN; (ii) provide an external assessment of the ASFCC phase II strengths, weaknesses, opportunities, and threats (SWOT) in the context of the development of the AEC; (iii) identify areas of programmatic influence and impact to date; and (iv) serve as input to the planning of the ASFCC's third phase (2017-2020).

Review Methodology

The Review was conducted through assessment of process followed by the ASFCC Implementing or Supporting Partners and progress achieved to date by them thereby gaining an understanding of the institutional framework in which the knowledge gathering and learning, capacity building, networking and policy influencing and impact creating activities, events and dialogues are being carried out. The primary basis for the Review was the desk review of all the project related documents, publications, conference and forum reports, policy briefs produced by the ASFN Secretariat and the Implementing Partners, face-to-face interactions with pre-identified stakeholders, especially ASFN Leaders and project implementing team members. To this end, the Review Team developed and administered information generating and learning type of questions tailored to the nature of the activities being carried out by the five Implementing Partners, the ASFN Secretariat, ASFN Leaders and Social Forestry focal persons in four ASEAN countries where the ASFCC activities are being implemented. The review team held intensive discussions with the ASFCC Senior Advisor, Dr. Doris Capistrano. Additionally, given the ASEAN wide nature of the ASFCC phase II, the External Reviewers also developed questions aiming to collect the views and opinions of the strategic knowledge partners and relevant individuals including officers in the Food, Agriculture and Forestry Division in the ASEAN Secretariat, Jakarta; FAO Regional Office in Bangkok; and the Asian Rice Initiative (ARI), also in Bangkok. Finally, the Reviewers also held brief discussion with one of the Phase I Mid-term reviewers, Mr. Eduardo Queblatin.

The Reviewers analysed the gathered information and held intensive discussions on the findings of the achievements, understanding of the challenges and insight of the limitations of the project. The Reviewers also benefitted from the substantive inputs from the ASFCC Senior Advisor, Dr. Doris Capistrano. The methods and tools used for the review were focused both on the process and products of the project examining, for example, to what extent the project outputs and outcomes have been able to influence national and regional policy and practices on the integration of social forestry knowledge and practices in climate change adaptation and mitigation. Major review findings, conclusions, observations, lessons learned and key recommendations are reported.

Summary Findings

Institutional arrangements

- I. The ASFN Secretariat is playing a pivotal role in co-ordinating, monitoring and knowledge sharing with ASFN and AFCC stakeholders in the ASEAN countries.

- II. The ASFCC supported the development of Key Performance Indicators (KPIs) for the Vision and Strategic Plan for ASEAN Co-operation in Food, Agriculture and Forestry, 2016-2025 (SP-FAF) that potentially contribute to the attainment of the AEC Blueprint 2025 and the ASCC Blueprint 2025.
- III. A high level of institutional expertise, capacity building strength and research capacity exist among the Implementing Partners to achieve the outputs and outcomes of the ASFCC II project.
- IV. The ASFN Secretariat has the potential to play a bigger and better role of an effective bridge between the ASFCC and the ASFN through the ASEAN Secretariat in promoting national and regional policies and good practices in SF and CC provided that its technical and communication capacity is strengthened and streamlined.
- V. The ASFCC has successfully mobilised the active and meaningful participation of civil society organisations in the form of the Civil Society Forum (CSO Forum) in enhancing regular dialogue and policy interface between policy makers, knowledge and capacity building partners and local and indigenous communities. The facilitation of exchange opportunities and creation of learning platforms for CSOs and AMS has also been successfully implemented to upscale CF livelihood models.
- VI. The co-ordination of production of knowledge and sharing products steered by the ASFN Secretariat under the guidance and supervision of the ASFCC Senior Advisor has enabled the Implementing Partners to be effective and substantially contributing to the agenda of integrating social forestry approaches in addressing climate change vulnerability and impacts.
- VII. The ASEAN-Swiss partnership is significantly contributing to the food security in the AMS through its role in efficiently and sustainably managing the rich natural, social and institutional capital of the ASEAN region.
- VIII. The ASFCC has strong buy-in including in-kind and co-financing support demonstrating the long-term sustainability of the partnership that reinforces the need to institutionalise the ASFCC within the ASEAN context.

Programme Content (Knowledge and Learning interventions)

- I. The policy support, capacity development and knowledge generation outputs and outcomes generated by the ASFCC Implementing Partners are found to be highly relevant to further the agenda of sustainable forest management (SFM) and climate change adaptation and mitigation in ASEAN countries.
- II. Knowledge and learning contents are found to be meeting the needs of the project implementing countries and the process of knowledge sharing is becoming more effective; as compared to Phase I of the project; the dissemination is more targeted towards policy processes.
- III. Capacity building activities, learning exchanges and institutional support through national and sub-national working groups are contributing to national, regional and global agenda (e.g. inclusion of the role of SF in the INDCs submitted by a number of AMS to the UNFCCC and the use of SF approaches in developing social safeguards in REDD+ planning).

- IV. The ASFCC Implementing Partners are increasingly contributing to the process of consolidating and synthesising knowledge by publishing state-of-the-art reports, policy briefs, and research papers.
- V. The programmatic approach of the learning intervention partners in collectively producing outputs and achieving outcomes has improved substantially and the impacts are seen in major policy and institutional reform successes in Vietnam, Cambodia, and Indonesia.
- VI. The project is effectively promoting participatory and inclusive forest management by focusing on tenure and access (resource) rights, taking on the broader agenda of livelihoods security through improved utilisation of NTFPs such as herbal medicines, forest honey, resin, bamboo and rattan, and linking their commercialisation and entry points for collaboration with the broader ASEAN drive to promote SME.
- VII. Beyond ASEAN, the ASFCC has assisted ASEAN policy-makers and leaders in projecting ASEAN co-operation in social forestry, food security and climate change to the international community (e.g. WFC in Durban, South Africa in 2015; UNFCCC COP in Lima, Peru and in Paris, France in 2014 and 2015 respectively; the APFW 2016 in Clark, Philippines).
- VIII. The ASFCC is recognised for its contribution to climate change related awareness raising, capacity building and knowledge sharing by ASEAN Leaders in their communication to the UNFCCC. The support provided by the ASFCC to the AFCC and the Strategic Plan of Action (SPA) for ASEAN Co-operation in Forestry provides strong buy-in by AMS and thereby assures high level support of ASEAN Leaders to the ASFCC project.

Lessons Learned

- I. Ensuring a balance between the formal and informal approach especially in influencing and impacting policy reforms fosters better co-operation and builds long-term partnership and trust.
- II. Back-to-back organisation of CSO fora, ASFN annual conferences, meetings of the ASFN and other policy level bodies strategically informs, inspires and influences the policy decision-makers and increasing the chances of policy impact at the national and regional level.
- III. Joint planning, annual calendars and regular use of modern information and communication tools including social media has enhanced efficiency, complementarities, synergy in knowledge management, sharing and policy outreach.
- IV. Being inclusive and responsive to target audiences and stakeholders in project implementation has facilitated implementation of policy recommendations and ownership of the ASFCC products by AMS.
- V. Application of globally targeted knowledge to meet regional and national needs such as social forestry tools and approaches, best practice manuals, and community and ecosystem based adaptation remains a challenge and needs better distillation and dissemination through effective partnering.
- VI. The frequent change of the ASFN Leaders and Focal Points in the AMS is a reality which the ASFCC Partners are gradually adapting; the ongoing efforts to inform, involve and build awareness of larger pool of ASFN leaders and senior officers in the AMS on major ASFCC activities including organisation of cross region observation visits are addressing the issue to a large extent.

Major Recommendations

Institutional Arrangements

- I. Strengthen the co-ordination, monitoring, knowledge management, communication and project management capacity of the ASFN Secretariat to play a more effective institutional and information bridge between the ASEAN Secretariat, ASFN and the ASFCC Implementing Partners.
- II. Strengthen the existing ASFCC knowledge platform to play the role of an interactive learning and sharing portal and policy discussion hub at the ASFN Secretariat level contributed and supported by the ASFCC Implementing Partners. The objective is to improve the knowledge of the ASFN members and provide a more focused and single-window repository of SF and CC related data, information and knowledge, and interactive sharing and learning platform to all the stakeholders in ASEAN and beyond.
- III. Consider the establishment of an Ad-hoc Review Committee within the ASFN Secretariat to oversee the production of ASEAN-level products for adoption by AMAF for AMS wide implementation.
- IV. Establish a co-ordination mechanism to facilitate mapping of joint-actions and outcomes of the ASFCC's activities with those of the other ASEAN bodies, such as the ASEAN Regional Knowledge Network on Forests and Climate Change (ARKN-FCC).
- V. Consider the establishment of a joint working mechanism between the ASFN Secretariat and the ASEAN Climate Resilient Network (ASEAN-CRN) to ensure shared learning in addressing the impact of climate change.
- VI. Strengthen the delivery capacity and communication channel for the National ASFN Focal Points to regularly contribute and update the sharing of information and knowledge products on social forestry and climate change through the ASEAN Forest Clearing House Mechanism (CHM) that has been functioning as a learning and communication platform at the ASEAN Secretariat since its establishment in 2004.
- VII. Establish a mechanism to track the implementation of the recommendations of the CSO Forum and the Annual conference in AMS.
- VIII. Explore the establishment of an ASEAN-Swiss Trust Fund at the ASEAN Secretariat to manage the contribution of the Swiss Government for Phase III of the project on an institutionalised and sustainable basis.

Substantive Content (knowledge production, access and outreach)

- I. Better align the programme content with the changing needs of the AMS, specifically to contribute to the SP-FAF and the implementation of NDCs and SDGs.
- II. Build on the success (harvest the 'low hanging fruits') such as implementing the SF policy in some AMS (e.g. Indonesia) to improve and institutionalise tenure security, access rights and good governance practices in SF/CF/AF management, and NTFP policies and legal framework development covering more number of AMS.
- III. Better package the knowledge produced by global partners by further contextualising, localising and integrating with traditional and local knowledge and practices making them more applicable and adaptable to meet the needs of individual AMS, both at national and sub-national levels.

- IV. Focus on developing participatory and equitable value chains of high-value NTFP products by organising and strengthening the producers groups and improving quality standards so as to enhance the negotiating skills of the producers and market value and reach of the products.
- V. Focus equally on Climate Change Adaptation and Mitigation by capacitating and enabling the vulnerable communities to practise more diversified and adaptive management of forest resources, especially NTFPs; also enhance the livelihood resilience and poverty reduction co-benefits of the REDD+ pilots and projects.
- VI. Explore the potential of urban/peri-urban forestry and recognising increasing climatic vulnerability and impact on urban poor especially women in the ASEAN countries, it is recommended to include a sub-theme on Urban Forestry as a study in the ASFCC III. This will not only contribute to climate moderation in urban areas, but urban social forestry can also help improve environmental values among urban citizens. In addition, the inclusion of urban forestry has potential to attract participation and contribution of AMS such as Singapore and Brunei Darussalam thus making ASFCC truly regional.
- VII. Manage ASRF both as facilitative and innovative fund and given the critical role played by the ASRF managed by SEARCA, there is a need to expand the scope of the fund to cover themes such as Innovation, Good Practice Documentation and Catalysing Success. For this, there is need to enhance access to the ASRF to new ideas and strategic opportunities allowing both government and non-government institutions to access the ASRF.
- VIII. Transform implementing and supporting partners into long-term Service Providers in recognition of their potential role as knowledge service providers to AMS; or alternatively consider designating the partners and involved regional academic institutions as Centre of Excellence (CoE)¹ on Social/Community/Agro-forestry research, capacity building, knowledge management and policy outreach.

Conclusion

The ASFCC has been successful in developing a learning, sharing and enabling partnership by bringing together strong global, regional, national and sub-national partners and stakeholders from government, civil society, academia and private sectors to work on the complex agenda of social forestry and climate change. It is helping the AMS in addressing the challenge of economic development through efficient management of forest resources, poverty reduction through rights based livelihood approaches and climate change adaptation and mitigation by focusing on vulnerable communities and ecosystems. The project is contributing to the long-term ASEAN vision of food, agriculture and forestry towards food security by developing knowledge base, sharing good practices and building diverse strengths and expertise thus contributing to the ASEAN Community Vision 2025, the ASEAN Economic Community Blueprint 2025, and the ASEAN Socio-Cultural Community Blueprint 2025.

¹ Following the ASEAN Roundtable on MDG, AIT was designated as a Centre of Excellence on MDG in 2008 and on Sustainable Development and Climate Change (SDCC) in 2009 (<http://www.arcmdg.ait.asia>).

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This review report on the work of Phase II of the ASEAN-Swiss Partnership on Social and Forestry and Climate Change (ASFCC) is a collective result of collaborative efforts involving a large number of individuals and organisations. Its successful completion is largely due to the co-operation and commitment of the institutions and individuals involved in the design and implementation of the Programme. The reviewers would like to acknowledge the excellent co-operation extended to us by a large number of colleagues. We first and foremost, would like to express our sincere thanks and deepest appreciation to the hard working and very helpful colleagues in the ASEAN Social Forestry Network (ASFN) Secretariat, Ms. Sagita Arhidani, Ms. Alfi Syakila and Ms. Ria Susilawati, without whose constant support this work would not have been possible. We express our deep appreciation to them for the careful planning of our schedules, excellent organisation of our travel and helpful logistical support to make our visits to the various organisations and places go smoothly. Their assistance also not only enabled us to hold interactive discussion sessions with a large number of governmental and non-governmental actors involved in the project, but also in providing us with all the relevant documents, reports, meeting notes and publications for our review.

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DETAIL REPORT

1.0 Background

1.1 The Association of Southeast Asian Nations (ASEAN) region is one of the world's most vulnerable regions to climate change and its adverse impacts due to its long coastlines, high concentration of population and economic activity in coastal areas, and heavy reliance on agriculture, fisheries, forestry and other natural resources. It is subjected to increase in frequency and intensity of extreme weather such as tidal and storm surges, droughts, floods, and tropical cyclones. Of its population of 600 million, about 70 million people are dependent on forests for their livelihood. In this regard, the forest areas in ASEAN are estimated to be 213 million hectares or 49.3% of its total land area of 432,606 million hectares.

1.2 As an estimated 17.4% of the region's greenhouse gas emissions are caused by deforestation and forest degradation, sustainable forest management is critical to the realisation of an outward-looking ASEAN Community with economies that are vibrant, competitive and highly integrated, and an inclusive community that is embedded with a strong sense of togetherness and common identity.

1.3 The ASEAN-Swiss Partnership on Social Forestry and Climate Change (ASFCC) is a partnership programme with the ten Member States of ASEAN and the Government of Switzerland. It aims to simultaneously address poverty alleviation, food security and climate change adaptation and mitigation at local, national and regional level in ASEAN by focusing on the role of local people and communities to conserve, protect, and manage forest resources sustainably. The ASFCC builds on decades of Swiss Agency for Development and Co-operation's (SDC) support in the South and Southeast Asia region. The ASFCC aims to contribute to sustainable, efficient and effective use of land, forest, water and aquatic resources by minimising their risk, impacts and contributions to climate change.

1.4 The Partnership supports the ASEAN Multi-sectoral Framework on Climate Change: Agriculture and Forestry towards Food Security (AFCC) and the ASEAN Social Forestry Network (ASFN) as reflected in the 'Institutional Linkages of the AFCC in the ASEAN Framework' as in **Annex 1**. In this regard, the ASFN is a subsidiary body established by the ASEAN Senior Officials on Forestry (ASOF) in 2005 to promote social forestry policy and practices in ASEAN Member States (AMS) through, among others, building institutional and human capacities for implementing environmentally sound and sustainable social forestry practices.

1.5 Since its inception in 2011, the ASFCC has focused on social forestry with the ASFN as the strategic entry point for ASFCC support to ASEAN. The SDC Global Programme Climate Change (GP-CC) started in 2009 to support the work of the ASFN. The two specific objectives of the ASFCC are, namely, (i) Social Forestry approaches integrated into the climate change adaptation and mitigation strategies of ASEAN and AMS; and (ii) Socio-economic benefits derived from the inclusion of communities, women and vulnerable groups in forestry and climate change adaptation and mitigation measures. The Project has also linked itself to the Strategic Plan of Action (SPA) of the ASFN developed for the period 2007-2012.

1.6 The ASFCC supports initiatives and activities primarily in the fields of policy development, knowledge sharing, networking and capacity building among key forestry stakeholders, as well as site-based learning and pilot projects. The ASFN Secretariat was established in Jakarta, Indonesia, in 2007 to assist the ASEAN Secretariat to facilitate, monitor, and co-ordinate the activities of the ASFN. It is currently hosted by the Directorate General of Social Forestry and Environment Partnership, Ministry of

Environment and Forestry, Indonesia. In this context, during Phase I of the ASFCC from 2011-2013, three Implementing or Supporting Partners were involved in research, capacity building and civil society advocacy, namely, (i) the Centre for International Forestry Research (CIFOR); (ii) the Centre for People and Forests (RECOFTC); and (iii) the Non-Timber Forest Products - Exchange Programme (NTFP-EP).

1.7 During this Phase, the activities conducted by the three Implementing Partners could be summarised as follows:

- i. CIFOR's research had focused on social networks in shifting cultivation communities in Indonesia, Lao PDR and Vietnam, including review and inputs for the revision of Payment of Forest Environmental Services (PFES) and REDD+ policies. It also conducted participatory carbon measurement and mapping to better understand local land-use systems and local people's capacity to assess their forest resources.
- ii. RECOFTC has developed and completed several analytical studies on social forestry and climate change, and conducted capacity building and training activities at regional and national levels in Indonesia, Malaysia, Myanmar, Thailand, and Vietnam covering various issues on social forestry, climate change, livelihoods and food security, including basic principles of social forestry, including good governance, supportive policies and legal framework, rights and tenure, adaptive management learning and benefits sharing. It had also established a Social Forestry Learning Group as a platform for AMS to share and learn from social forestry and climate change advances.
- iii. NTFP-EP had established the Civil Society Forum (CSO Forum) in June 2012 to enable CSOs to regularly meet and engage with AMS to deliberate on the linkages between social forestry and climate change, for example, the Third Civil Society Forum held in Malaysia in 2014 with the theme on "Paving actions to engage ASEAN on social forestry and climate change". It had also enabled CSOs participation in the formulation of the national 'Reducing Emissions from Deforestation and Forest Degradation, Conservation of Forest Carbon Stocks, Sustainable Management of Forest, and Enhancement of Forest Carbon Stocks (REDD+) strategy in the Philippines, and facilitated civil society and indigenous peoples inputs into the implementation of the REDD+ roadmap and governance structure in Cambodia.

1.8 Under Phase II of the ASFCC planned for 2014 - 2016, two more additional Implementing Partners are involved, namely, the World Agroforestry Centre (ICRAF) to review and identify highly valuable NTFPs in Vietnam and to develop an interactive online database of key agro-forestry system also in Vietnam. It will review and synthesise agro-forestry linkages with climate change and food security that, among others, will highlight common agro-forestry systems in AMS, including the potential of agro-forestry to ensure food security, as well as the need for policy to promote the adoption of agro-forestry practices. ICRAF also provides support to develop community-based forestry (CFM) institutions in Vietnam and facilitates sharing of experience in forest management.

1.9 The other Implementing Partner is the Southeast Asian Regional Centre for Graduate Studies and Research in Agriculture (SEARCA) which manages the ASFN Strategic Response Fund (ASRF) which was created in 2014. Its aim is to provide flexibility and speedily support grant project to enable ASFN Leaders and Focal Points to quickly respond to emerging issues and challenges, and articulate policy recommendations on social forestry as it relates to climate change, food security, and poverty alleviation.

1.10 The other three Implementing Partners, CIFOR, NTFP-EP and RECOFTC continue to deepen the influence and impact of their activities. CIFOR is providing further evidence on the contribution of social forestry to AMS social, economic, and ecological objectives in response to climate change; generate and share new knowledge and understanding of social forestry, food security and climate change; and support capacity building in ASEAN. It includes hands-on training approach, emphasising involvement of students, young researchers and other trainers in field research teams.

1.11 RECOFTC will strengthen the capacity development support to researchers in Indonesia, Myanmar and Thailand to conduct action research at the local level by using participatory methods. RECOFTC also supports the strengthening of community forestry working groups in Cambodia, Lao PDR, Myanmar, and Thailand and continues to conduct outreach programmes such as study tours and participation in various social forestry and climate change events. It supports the Social Forestry Learning Group to function as a think tank on social forestry in the multi-sectoral framework on climate change in the region and helped to update the current status of community forestry and climate change in ASEAN, that can provide updated information on social forestry and climate change especially in making policy decisions.

1.12 In the case of NTFP-EP, it will continue to mainstream social forestry through national and state level community forestry bodies; assess and support community livelihood adaptation strategies in the Philippines, Cambodia, Indonesia, and Malaysia (Sabah and Sarawak). It will also continue to enhance effective engagement of the annual CSO Forum; support efforts in Lao PDR, Myanmar and Vietnam, particularly on livelihood based climate change adaptation; as well as NTFP development through the application of the Community Livelihood Appraisal and Product Scanning (CLAPS), for example.

1.13 The planning of the activities to be implemented by the five Implementing Partners, CIFOR, NTFP-EP, RECOFTC, ICRAF and SEARCA, and even that of the ASFN Secretariat was guided by the ASFCC Phase II Log frame. It comprises three Outcomes with each Outcome consisting between two to three outputs as shown in **Annex 2**. In brief they are as follows:

- i. Outcome 1 - A co-ordinated social forestry policy framework is developed and integrated into ASEAN and the national forest and climate change strategies of the Member States. Its two outputs envisaged that ASEAN priority policy and strategic issues on social forestry and climate change are identified and assessed; and capacities of Focal Points and Network Partners improved.
- ii. Outcome 2 - Local, national and regional knowledge sharing, communication and networking on social forestry and climate change is strengthened and put into use. Its three outputs envisaged that the ASFN Secretariat is fully operational and sharing knowledge, communication and information; the ASFN Focal Points and Network Partners effectively participate in the Network; and the ASFN exchanges knowledge beyond its own network.
- iii. Outcome 3 - Learning interventions and best practices are conducted in social forestry and climate change for broader implementation and policy development. Its three outputs envisaged that multi-stakeholder National Working Groups developing and strengthening social forestry approaches and nationally appropriated adaptation and mitigation climate change actions; commonly identified thematic issues relating to locally appropriated adaptation and mitigation actions investigated, analysed and shared; and adaptation strategies and best practices from community forestry initiatives assessed, developed and up-scaled for wider implementation.

2.0 Objectives, Approaches and Methodology

2.1 Objectives of the External Review

2.1.1 The objectives of the External Review are as follows:

- i. to provide independent, external review of ASFCC II progress of work and institutional arrangements, including mode of collaboration, in support of the ASFN and ASEAN;
- ii. to provide an external assessment of the ASFCC II strengths, weaknesses, opportunities, and threats (SWOT) in the context of the development of the ASEAN Community;
- iii. to identify areas of programmatic influence and impact so far; and
- iv. to serve as input to the planning of the ASFCC's third phase (2017-2020).

2.2 Evaluation Approaches Adopted

2.2.1 The External Review covered both the substantive (programme) content and institutional positioning of ASFCC II in the context of ASEAN's strategic priorities post-2015, especially with the establishment of the ASEAN Community in 2015 that comprises the ASEAN Political-Security Community (APSC), the ASEAN Economic Community (AEC) and the ASEAN Socio-Cultural Community (ASCC).

2.2.2 It was undertaken by a two-member Review Team where one member was primary responsible for reviewing the ASFCC II programmatic content while the other member was primary responsible for reviewing institutional and organisational aspects.

2.2.3 The External Review was conducted over a period of 12 days from 2 - 13 May 2016, and the itinerary of the organisations and agencies visited is as in **Annex 3**. Draft questions were prepared based on the review of relevant ASEAN and ASFN documents, reports, meeting notes and publications, including the Report of the External Review, March-April 2003. The draft questions were circulated to the organisations and agencies prior to conducting the interviews with the pre-identified person as in **Annex 4**. The list of people met and interviewed is as in **Annex 5**.

2.2.4 Two separate SWOT analyses were carried out. One on Institutional Arrangements and the other on Programme Content (knowledge and learning process). They were undertaken to systematically analyse the internal (strengths and weaknesses) and external (opportunities and threats) factors and their relative significance in the ASFCC partnership project that is being implemented as an entry point to the ASFN.

2.2.5 In the context of this evaluation, while both external and internal factors have been examined, the external factors are given more importance so as to critically examine the chances for the success of different ASFCC activities and the opportunities for extending influence and creating impact on good forestry and climate change policies and practices in AMS. Therefore, in the SWOT tables presented in this report, more emphasis is given on the opportunities component. Similar emphasis is given to examine the magnitude of risks and their probability of occurrence during the project period that might affect the successful implementation of activities and generation of knowledge products.

2.2.6 In developing the SWOT tables, the External Reviewers conducted analysis of relevant ASEAN and ASFN documents, reports, meeting notes and publications as well as collected the views and perspectives of both the government (ASFN members) and non-government actors (civil society and academia), especially the ASFCC Implementing Partners through interactive discussion sessions. It is felt that since social forestry is a multi-disciplinary, multi-sector and multi-stakeholder subject, documenting reflections and opinions from relevant stakeholders on the SWOT factors is crucial for ensuring the sustainability of the social forestry programme in the ASEAN region.

2.2.7 This approach, hopefully, can also help in achieving sustainable management of community/social forestry in different AMS. Different perspectives reflected on all the four SWOT components helped the External Reviewers in better understanding the complexity that surround social forestry and climate change issues in the region. For example, while the existing and planned strengthening of national and ASEAN level institutions is necessary, at the same time internal challenges and capacity needs of partners and ASFN members have to be addressed so that they can seize the opportunities and manage the likely risks. This will have important bearing on the success of the ASFCC.

2.2.8 Based on the interpretation of the SWOT results, it is felt that, different and varying contexts and capacity exist in different AMS on social forestry and its integration in climate change adaptation and mitigation especially in the agriculture, forestry and food security sectors. Therefore, in the design of the third phase of the ASFCC, it is important to understand and consider feedbacks from multiple stakeholders on the implementation of the ASFCC activities so as to make the decision making process in different AMS more effective. With the SWOT analysis presented below, it is hoped that it will also inform the partners and ASFN Leaders regarding both strengths and weaknesses of social/community forestry along with its potentiality and emerging opportunities in achieving the ASEAN level strategic goals and vision while designing and planning Phase III of the project.

3.0 Assessment and Major Review Findings

3.1 Assessment of Output Delivery in Activities Implementation (Institutional Arrangements)

3.1.1 Overall the ASFCC project is under the purview of the SDC/ASFCC Programme Advisor, the ASFCC Fiduciary Advisor and the ASFCC Senior Advisor. The ASFCC has supported the development of Key Performance Indicators (KPIs) for the Vision and Strategic Plan for ASEAN Co-operation in Food, Agriculture and Forestry, 2016-2025, (SP-FAF) and co-financed the 4th and 5th ASEAN Ad Hoc Taskforce on Developing New Vision on Food, Agriculture and Forestry (ATF-FAF) Meeting in 2015 and 2016 respectively. The ASFCC Senior Advisor also participates in the AFCC Management Team meeting. In this context, the ASFN Secretariat supports organising meetings of the AFCC, for example, the Secretariat organised an AFCC Management Team Meeting with the ASEAN Secretariat and the ASEAN-German Programme on Response to Climate Change: Agriculture, Forestry and related Sectors (GAP-CC) on 12 September 2014.

3.1.2 The ASFN Secretariat has been the bridge between the ASFCC project and the ASEAN Secretariat in co-ordinating and facilitating the outputs of the Implementing Partners of the ASFCC to the ASFN as reflected in the organisational chart on the 'Role of the ASEAN Social Forestry Network Secretariat in ASEAN Co-operation in Forestry' as in **Annex 6**. It is evident from the chart that the products of ASFCC will be reported to ASOF in its annual meeting through the ASFN. In fact, the ASFN Secretariat serves as a communication hub for the ASFCC and ASFN. It also develops and promotes collaboration and implementation of activities with the ASFCC Implementing Partners, and assists the ASEAN Secretariat in co-ordinating the activities of the ASFN. Towards this end, the ASFN Secretariat

has developed a website at: www.asfnsec.org, and was upgraded to include features that would enable information and news to be uploaded by AMS at www.asfnsec/news.

3.1.3 More specifically, the ASFN Secretariat provides support to the ASEAN Secretariat in conducting ASOF and AFCC meetings; organises ASFN annual conference and meeting, including exchange programmes; facilitates participation of ASFN Focal Points and Implementing Partners on selected social forestry and climate change thematic events; and mainstreams social forestry key messages with evidences from learning site into climate change agenda, for example the Danau Sentarum National Park in Kapuas Hulu, Indonesia, as a Learning Site. It communicates research results to AMS through the ASFN involving synthesis of research findings from the Implementing Partners, as well as develop and disseminate peer - reviewed knowledge products, for example with NTPF-EP.

3.1.4 The ASFN Secretariat also facilitates the updating and adoption of competency standard on social forestry for forest extension workers in Indonesia; and synthesises and disseminates learning on the usefulness of the Community Livelihood Appraisal and Product Scanning (CLAPS) application to policy-makers, local governments and communities in AMS; and translates research findings and social forestry guidelines for community use. It facilitates the development of community economy and livelihoods and social forestry for REDD+ through pilot projects, for example at the pilot site in Sikka, Indonesia; shares outputs from CSOs dialogues such as the CSO Forum with climate change agencies, including the Regional Knowledge Network on Forests and Climate Change (ARKN-FCC); and facilitates private sector engagement on social forestry and climate change activities through Corporate Social Responsibility (CSR) and Payment for Environment Services (PES) approaches.

3.1.5 As mentioned earlier, RECOFTC under Phase I of the ASFCC project had established a Social Forestry Learning Group as a platform for AMS and ASFCC Implementing Partners to share and learn from ongoing social forestry events and projects. The Group comprises representatives from AMS consisting of policy-makers, academicians, practitioners and researches who are knowledgeable of the advancement of social forestry and climate in their respective countries. The work of the Group has contributed significantly to the preparation of the biennial baseline and updated status report on social forestry in ASEAN. In addition, the CSO Forum established by NTFP-EP in 2012 has enabled CSOs to communicate their inputs on social forestry and climate change to individual AMS policy decision-makers through the ASFN.

3.1.6 Under Phase II of the ASFCC, RECOFTC in 2015 had established the Village Forestry Technical Working Group in Lao PDR to support policy development and increasing capacities of government agencies working with village forestry. It also continues to provide technical support to the Myanmar Community Forestry National Working Group, initiated under Phase I, in reviewing the Community Forestry Instruction and developing Community Forestry Management Planning Guideline. Through the discussion at the CSO Forum and the ASFN conferences on social forestry and climate change, a Social Forestry Working Group for Sabah was established in 2015 to develop a legal framework for '*tagal hutan*', a traditional resources management practice, and explore community-based enterprises within the social forestry context.

3.1.7 The ASRF that was established in SEARCA in 2014 has successfully supported AMS, through the provision of small grants, in undertaking review and enhancement of policies related to social/village/community forestry, conducting technical study tour on social forestry, developing national roadmaps on social forestry, and in strengthening stakeholders' engagement in social forestry. In addition, ICRAF has facilitated the development of a roadmap for institutionalising community forest management within the Vietnam Administration of Forestry which in January 2016 had mandated the Forest Protection Department to be the agency responsible for community forestry in Vietnam.

3.1.8 The institutional arrangements to effectively implement the ASFCC activities in Phase III of the project should support and contribute to the SP-FAF that recognises the need to expand resilience of agro-forestry systems where ecologically and economically appropriate which will improve the livelihood of the affected communities, and to promote forest management involving communities living within and surrounding the forest for the sustainability of the forest and prosperity of the people. This was duly recognised as one of the strategic measures identified in the ASEAN Economic Community (AEC) Blueprint 2025.

3.1.9 In addition, it should also support and promote indigenous and traditional knowledge and practices in climate change abatement and enhance institutional and human capacities in AMS to adapt to the impacts of climate change as identified in the ASEAN Socio-Cultural Community (ASCC) Blueprint 2025.

3.1.10 Against this backdrop and in the context of the ASEAN Community 2015, a SWOT analysis on institutional arrangements, including mode of collaboration, in support of the ASFN and ASEAN was the undertaken. The results are as presented in the **Table 1** below.

Table 1: SWOT Analysis on Institutional Arrangements and Mode of Collaboration

	Strengths (Internal)	Weaknesses (Internal)	Opportunities (External)	Threats (External)
1.	The ASEAN Social Forestry Network (ASFN) is established to address social forestry and climate change issues by the ASEAN Member States (AMS).	Different levels of socio-economic development in AMS as well as varying national policies, strategies and practices in social forestry and climate change in the face of other more pressing and demanding national needs and priorities, including government procedures.	ASFN provides good avenue to work with ASEAN level policy bodies in dealing with forests and climate change, especially the subsidiary bodies of the ASEAN Senior Officials on Forestry (ASOF), such as the ARKN-FCC.	Frequent changes in personnel, especially focal points in the ASFN as well as the other ASEAN bodies dealing with forests and climate change issues.
2.	The ASFN Secretariat is hosted by the Government of Indonesia to co-ordinate the implementation of the ASFCC activities and sharing of results at the national and regional levels.	Lack of adequate staff and technical expertise to co-ordinate, assess and monitor the activities implemented in different AMS and at the ASEAN level.	Switzerland is working with ASEAN towards becoming a Dialogue Partner and thus creating institutional and sustainable partnership opportunities for the ASFCC and ASFN.	SF is largely promoted by forestry ministry/departments while climate change is promoted by a separate and often higher level agency resulting in poor co-ordination in some AMS.
3.	ASFN Secretariat is a multi-functional service unit that	Lack of focus on specific aspects of	Need for operational guidelines and	Low capacity and lack of appropriate

	co-ordinates, facilitates and monitors the implementation of ASFCC activities and also supports ASFN members and the ASEAN Secretariat to promote SF agenda.	social forestry and climate change integration, and absence of aggregate indicators for monitoring outcomes at the ASEAN level.	reference materials for addressing climate change impacts on forestry at the ASEAN level for AMS implementation.	tools and expertise in AMS to put into practice the products produced.
4.	A Social Forestry Learning Group is established at the ASEAN level comprising representatives from AMS to share and learn from ongoing social forestry events and projects.	ASFN Secretariat needs both demand-responsive and ASEAN standard products meeting technical and communication capacity to enhance its increasingly valuable role of knowledge partner to the ASFN and ASEAN Secretariat.	High demand for the establishment of national-level learning group in each AMS involving multi-stakeholder partners dealing with sustainable forest management and the livelihoods and well-being of local communities.	Different understanding and expectations of the various stakeholders involved in social forestry and climate change; additionally, social/community forestry related policies and legal framework still weak and evolving.
5.	The Civil Society Forum (CSO Forum) is established to facilitate sharing of inputs from non-governmental organisations on social forestry and climate change.	Weak links between tenure and resource use rights in supporting sustainable livelihoods of communities living in or around the vicinity of forest areas and this weakens social forestry/community forestry work.	Participation of civil society organisations (CSOs) in supporting and strengthening government efforts in achieving sustainable forest management through social forestry is increasing.	Lack of effective mechanism in place that ensures equitable sharing of benefits arising from the use of traditional knowledge and the efforts of civil society in managing the forest resources.
6.	The ASFCC/ASFN has established links with a number of high level multi-sector bodies under ASEAN: AFCC, ARKN-FCC and the CRN of the ASEAN Technical Working Group on Agriculture Research and Development (ATWGARD) supported by the GAP-CC.	Lack of the ASFCC Implementing Partners being institutionalised as ASEAN level service providers or knowledge partners.	There is a demand and need for widening of social forestry network in all AMS since most countries have dedicated social/community department/division.	Due to differential needs and capacity among the AMS, ASEAN wide support to the ASFCC weakens.

3.1.11 Taking into account of the SWOT analysis above, the key findings are as follows:

- i. The ASFCC through the work of the ASFN Secretariat and the Implementing Partners of the ASFCC II has provided a knowledge development and sharing forum for policy-makers and practitioners in governmental institutions to interact with civil society partners, research

institutions, academia and the private sector in advancing integration of social forestry practices to promote climate change adaptation and mitigation.

- ii. The ASFCC has supported the development of Key Performance Indicators (KPIs) for the SP-FAF. The generated knowledge and built capacity will further contribute positively to the attainment of SP-FAF and the AEC Blueprint 2025, as well as the ASCC Blueprint 2025, in improving the livelihoods of indigenous people, local communities, and other forest-dependent communities, and promote the sustainability of forests managed by them.
- iii. A high level of institutional expertise, capacity building strength and research capacity exist among the Implementing Partners to execute the activities and deliver the agreed outputs of the ASFCC Phase II project.
- iv. The co-ordination of production of outputs of the Implementing Partners and their consolidation in the form of synthesis of reports at the ASEAN level towards generation of the agreed outcomes and impacts on social forestry and climate change policies and practices are still lacking which may be due to the absence of systematic monitoring of aggregate indicators of outcomes at the ASEAN level.
- v. The ASFN Secretariat has the potential to play a better role of an effective bridge between the ASFCC and the ASEAN Secretariat in co-ordinating the implementation of the ASFCC activities of the Implementing Partners in the ASEAN Member States (AMS) through the ASFN by organising policy dialogues, conferences, seminars, etc.
- vi. Although the outputs of the Implementing Partners are mainly at the national and local levels and are often site specific, they are delivered at different levels from local to regional and are often manifested through AMS active support in promoting regional co-operation on social forestry.
- vii. Since its establishment in June 2012, the number of civil society organisations represented in the CSO Forum has increased from 10 to 80, while around 51% of the total cost of CSO Forum annual meeting is shouldered by self-funded participants which amounted to US\$ 16,450.00 in 2016.
- viii. The Social Forestry Learning Group established and managed by RECOFTC at the ASEAN level comprising representatives from AMS (policy-makers, academicians, practitioners and researchers) has enabled them to enhance their social forestry learning exchanges and practices to better contribute to achieving sustainable forest management, address climate change adaptation and mitigation, and improve the well-being of the local communities.
- ix. The fund contributed by the Swiss Government in the ASFCC II is managed directly by each Implementing Partner and the transactions are monitored by the ASFCC Fiduciary Advisor, except for the ASFN Secretariat, which is handled by RECOFTC Head Office in Bangkok, Thailand, and the RECOFTC Indonesia Country Programme in Bogor, Indonesia.

3.2 Assessment of Output Delivery in Activities Implementation (Substantive Content)

3.2.1. Overview

- i. The primary objective of the ASFCC II is to develop social forestry policy and integrate it into the climate change adaptation and mitigation strategies of ASEAN and its Member States.

In this regard, the review of the ASFCC content focuses on assessing the contribution of the project in promoting the agenda of sustainable forest management (SFM), rights-based livelihood approaches and climate change adaptation and mitigation in the context of social forestry (SF) in AMS. It was observed that a number of SF/CF strategies and policy recommendations produced through regular convening of annual conferences and CSO fora have been adopted by the ASFN and noted by ASOF. These strategies and mechanism adopted include Social Forestry in REDD+, NTFP for economy and livelihood, and SF and biodiversity conservation. Many of these recommendations will provide a good basis for engaging with AMS to develop and support national and regional level strategies and policies.

- ii. In meeting the second objective that focused on increasing socio-economic benefits in the face of rapid climate change, the activities carried out by the Implementing Partners are contributing toward its achievement. NTFP-EP work in particular has (a) raised the voice of marginalised communities, indigenous peoples and women in regional platforms such as the CSO forum and annual conference; (b) built their research, engagement, and NTFP management capacity, including value addition; (c) improved their access and rights to resources, tenures and markets; and (d) promoted low emission livelihoods and creating new avenues for carrying out economic activities such as enterprise development. CIFOR, ICRAF and RECOFTC have produced quality research papers, policy briefs and trained human resources respectively. SEARCA has managed small grants for both for grassroots level research promotion and policy oriented project development efforts with increasing effectiveness and impacts, especially with the latest Proposal Development Assistance (PDA) inputs.
- iii. As an emerging thematic topic, the ASFCC programme is well aligned to the current and emerging needs of the ASEAN countries and as such has good potential to get mainstreamed into the SPA of the ASEAN wide multi-sectoral framework co-operation on Food, Agriculture, and Food Security. The project is delivering a wide range of knowledge products relevant to individual AMS and the region such as the NTFP policy in Indonesia; SF/CBFM in the REDD+ Strategy of the Philippines and INDC of Cambodia, as well as work on a national policy on Payments for Forest Environmental Services in Vietnam.

3.2.2. SWOT Analysis (Substantive Content)

- i. As shown in the SWOT analysis in Table 2, there is number of good opportunities and hooks to anchor some of the project outcomes for greater policy influence and impacts.

Table 2: SWOT Analysis of Substantive Content (Knowledge, Capacity and Learning Interventions)

	Strengths (Internal)	Weaknesses (Internal)	Opportunities (External)	Threats (External)
1.	AMS have great reservoir of social/community forestry resources as well as knowledge to address poverty, climate change and	Recognition of SF potential is reflected in the forest policy, tenure and access rights and governance frameworks only in 5	High level political recognition of SF potential by ASEAN Leaders, especially in dealing with climate change and poverty issues (shown in their	Funding from both internal and external sources decline to adequately finance social forestry

	environmental issues simultaneously.	out of 10 AMS.	communication to the UNFCCC).	programmes and projects in AMS.
2.	The ASFN, a subsidiary body of ASOF, is actively promoting good policy and practices on social forestry in AMS.	ASFN lacks good and sustained leadership to run as a demand driven and vibrant network pro-actively seeking, synthesising and sharing SF knowledge, information and good practices to influence and impact forest, climate change and food security policies and plans within AMS.	The Vision and Strategic Plan for ASEAN Co-operation in Food, Agriculture and Forestry, 2016-2025, and other ASEAN strategic priorities provide increasing avenue for ASFCC/ASFN to contribute to both the Economic (AEC) and Socio-Cultural (ASCC) pillars of ASEAN.	National commitment in terms of enactment of SF/CF policy, safeguards related laws (tenure/access and benefit rights) is poorly and unevenly implemented.
3.	The ASFCC supports ASFN through knowledge generation, capacity building, learning and sharing at national, regional and global scales.	There is a gap in producing regionally customised/tailored knowledge products to improve ASEAN level policy uptake. This needs better alignment of knowledge products to meet ASEAN standards.	Increasing value of synthesised knowledge products in the overall context of sustainable forest management and climate change adaptation and mitigation at the ASEAN level (e.g. mitigation and adaptation activities in NDC).	Fast emerging and changing issues on the impacts of social forestry and climate change in the forest and forest-related sector.
4.	The ASFN Leaders value the delivery of ASEAN level knowledge products, including capacity building and technical support provided by the ASFCC in improving SF policies and their implementation in AMS.	The ASFCC Implementing Partners are expected to contribute more to knowledge consolidation and packaging as per the need of the ASFN and higher ASEAN bodies to meet their changing needs.	With the proposed establishment of the ASEAN Working Group on Social Forestry, the AMS have opened the door for enhanced partnership with the ASFCC which can be utilised by converting the existing knowledge products into Best Practices, Manuals and Guidelines to promote ASEAN wide SF policy and practices.	Implementing Partners with global mandate remain weak to package, tailor make and adapt global and regional knowledge products to meet country specific knowledge and capacity needs and gap.
5.	The ASFCC representative sits in Management Team of the AFCC and together	Success in integrating SF tools and approaches in climate change adaptation,	The recently concluded Paris Climate Agreement (PCA) and the UN approved SDGs provide	The ASFN as a subsidiary body of ASOF remains sectoral and the

	with GAP-CC provides knowledge, capacity building and meeting support to the ASFN Focal Points and Leaders.	and SF based green growth remains a gap in comparison to the ASFCC success in scaling-up and scaling out the SF concepts and practices in SFM and rights based approaches.	new opportunities for strengthening of AMS knowledge and capacity to better integrate SF to address climate change, poverty reduction and conservation agenda simultaneously.	efforts of the ASFCC to establish links with multi-sector bodies such as ASOEN and SOM-AMAF becomes difficult.
6.	Both ASOF and the ASFN have adopted and embraced multi-sector and multi-stakeholder approach in ASEAN forestry through their collaboration with AFCC.	While the ASFCC has impacted SF policies and practices in a number of AMS including Indonesia, the Philippines and Cambodia, potential of extending the same success in climate change adaptation is yet to be realised.	Availability of more simple and accessible communication tools especially social media to exchange within and outside AMS. (e.g. WhatsApp, Twitter, Skype (already used by Indonesian Forestry Service) provides new opportunity.	The high expectations of AMS from the ASFCC to play multi-sectoral and multi-dimensional role remains unmet.
7.	The ASFCC products and events especially Annual Conferences and CSO Fora have played key roles in influencing and impacting SF/CF policy in a number of AMS (newest one being in Malaysia in the Sabah Forestry Department).	Varying levels of knowledge and perception on SF among the AMS forestry officials hinder smooth and effective assimilation and application of the SF approaches and tools in the AMS.	AMS are signatory to REDD+, UNFF Statement on Forests, and CBD strategic (Aichi) targets where SF has clear role to contribute by enabling SFM, participatory biodiversity conservation and social safeguards.	Illegal harvesting and trade in NTFPs and herbal products in some AMS might force governments to delay SF policy implementation.
8.	The ASEAN Leaders have recognised SME as drivers of economic growth in the ASEAN region and the ASFCC Implementing Partners are promoting SF-based SME to contribute to the Economic pillar of ASEAN.	In some AMS the required political will and leadership is lacking to make the necessary change to achieve transformation progress in SF.	Increasing value of synthesised knowledge products in the overall context of sustainable forest management and climate change adaptation and mitigation at the ASEAN level.	The ASFCC Implementing Partners fail to seize emerging opportunities such as AMS's NDC and SDG accomplishment challenges.

9.	The ASFCC theme has grown beyond sectoral boundaries of forestry by contributing to the AFCC and the SP-FAF mainly through the work of NTFP-EP e.g. the NTFP based enterprises are supporting the SME agenda of ASEAN.	Active, pro-active and reactive role and response as recommended by the MTR among all the Implementing Partners is work-in-progress.	A number of good practices (e.g. village forestry in Indonesia, rotational agro-forestry in Vietnam; CF in Cambodia and Myanmar) provide increased sharing and scaling up opportunity to ASFCC partners.	Lack of adequate number of regionally and nationally customised, inclusive and participatory approaches, tools and successful models.
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- ii. Based on the above SWOT analysis, key highlights of the major achievements, work-in-progress, gap filling and impact improvement aspects are described below:

3.2.3. Major Accomplishments

- i. There is increasing recognition and appreciation of policy support, capacity development and knowledge generation outputs and outcomes generated by the ASFCC II Implementing Partners, the ASFN Secretariat and the ASFCC Senior Advisor, especially by the ASFN and civil society organisation partners. The ASFN as the guiding force as well as the major beneficiary of the ASFCC generated knowledge products, built-up capacity and catalysed policy learning platform has good ownership of the project. The overriding and critical role played by the ASFN Secretariat under the guidance of the ASFCC Senior Advisor and support of the ASFN country leaders and the ASEAN Secretariat in co-ordinating and monitoring the ASFCC activities is recognised and appreciated by all the stakeholders, especially the ASFN Leaders and the ASEAN Secretariat.
- ii. Knowledge management and sharing have been intensified and are found more targeted towards policy process. Capacity building activities, learning exchanges and institutional support through national and sub-national working groups are contributing to intra- and inter-country sharing and learning. The ASFCC's influence and impact are seen in the INDCs submitted by the AMS to the UNFCCC. All the 10 AMS have included mitigation actions from forestry with 5 AMS including Social Forestry gains explicitly (Cambodia, Thailand, Indonesia) or implicitly (Philippines and Vietnam) in their INDCs.
- iii. The ASFCC Implementing Partners are increasingly contributing to the process of consolidating, synthesising and disseminating knowledge. RECOFTC has been conducting and publishing biennial assessment updates on the status of SF in ASEAN countries. NTFP-EP has produced a regional report on "Impacts of AEC on local communities" and provided communication support to the ASFN Secretariat through policy briefs on REDD+ safeguards, SF-based SME and an analysis of INDCs of AMS.
- iv. The programmatic approach of working among the ASFCC Implementing Partners, compared to Phase 1, is much improved. Partners are better co-ordinated and building synergy in their knowledge and capacity building efforts and moving towards achievement of common outcomes. Using project management tools including a Common Planning Calendar; Team Approach (e.g. joint meetings with government officials); joint visit to project sites and road shows, they are working as a team. The ASFN members and partners are also making good use of electronic and social media such as WhatsApp and Twitter to

maintain regular communication and information exchanges, peer feedback and joint assessment of the knowledge intervention efforts.

- v. The ASFCC Implementing Partners are informing and influencing policy decision-makers in a more targeted manner. They meet at least twice a year with the AMS representatives of the ASFCC implementing countries that serve as fora for reporting and progress monitoring, and joint review of their knowledge products. A regular agenda item in these meetings involving Partners, The ASFN Secretariat, the ASFCC Senior Advisor and SDC is how to enhance synergy especially of interventions at the regional level and in countries where more than one Implementing Partner operates. Opportunities for contributing and building on compatible efforts are also discussed and follow-up actions decided.
- vi. Major progress is noted in consolidation and synthesising of knowledge generated by the project. Circulation of drafts among Partners and sharing in the annual meetings partly achieve the peer review objective as well as synergise the efforts to share progress in output delivery. These mechanisms have forged good working relations and team work among partner organisations and improved co-ordination at the operational and management level.
- vii. The project is promoting participatory and inclusive forest management by focusing on tenure and resource rights, and taking on a broader agenda of livelihoods security. The ASFCC Implementing Partners and stakeholders provided concrete set of recommendations on Community, Economy and Livelihoods that have been endorsed by the ASFN. As follow-up actions, discussions are going on between ASFCC/ASFN and the ASEAN Working Group on SME (AWG-SME) that in April 2016 was transformed into the ASEAN Co-ordinating Committee on Micro and Medium Enterprises (CCMSMES) to submit the recommendations on topics such as community economy and livelihood, tenure and access rights, and governance and social safeguards to AMAF for seeking formal approval of ASEAN. The ASFN Secretariat and the NTFP-EP are jointly working on this agenda. The ASFCC is also working towards developing more formal collaboration with the AWG-SME by exploring links with other relevant ASEAN working groups and bodies so as to effectively pursue the ASFN/ASFCC promoted SF-based livelihoods and SME agenda.
- viii. The ASFCC has been actively engaged with knowledge exchange going beyond ASEAN region linking ASEAN SF leaders together and projecting ASEAN co-operation on social forestry, food security and climate change to international networks and dialogues e.g. the ASEAN-Republic of Korea (ROK) Forest Co-operation (AFoCo); World Forestry Congress (WFC) in Durban, South Africa in 2015; the UNFCCC COPs held in Lima, Peru in 2014 and in Paris, France in 2015; the Asia-Pacific Forestry Week (APFW), 2016 held in Clark, Philippines; the Asia Pacific Adaptation Network (APAN) as well as at the 5th meeting of the ASEAN Task Force (ATF) on FAF held in 2016. The project has also started assessing the opportunities and identifying possible linkages with the organisations and partners within the AMS working on the SDGs and the Paris Climate Agreement (PCA) targets, especially implementation of NDCs. Some activities along these lines are currently being explored in consultation with the ASEAN Secretariat.
- ix. The ASFCC programmes have strong national ownership. Although large part of the financial resources for supporting the programme activities and the ASFN Secretariat operation costs come from Switzerland, the AMS are contributing through their financial and in-kind contribution in hosting ASFN Conferences, meetings and learning visits and in covering cost of participation of some AMS by the host AMS. Among the AMS, Indonesia

has consistently provided in-kind support for the office facilities and maintenance of the ASFN Secretariat. The ASFCC has also leveraged complementary resources from other donor-funded projects through joint activities implemented by its Implementing Partners. These include GIZ, USAID (Green Mekong, LEAF), NORAD (especially in Myanmar), FAO, JICA, EU, Korea (AFoCo) and International Finance Corporation (IFC).

- x. The ASFCC was recognised for its contribution to climate change related awareness raising, capacity building and knowledge sharing by ASEAN Leaders in their communication to the UNFCCC. The support provided by the ASFCC to the AFCC and SPA of the ASEAN Co-operation in Forestry provides ownership and buy-in of AMS and thereby assures high level support of ASEAN Leaders to this partnership programme. Some of the other specific examples of ASFCC contribution to the AFCC and SP-FAF are given below:
 - a. The partners have provided technical support in the development of AFCC Synergy Matrix and Strategic Plan of Action Priority setting.
 - b. Co-organised, co-facilitated and co-funded the AFCC Ad-hoc Steering Committee Meetings (2014 and 2015) and technical expert meetings on Climate Change, Agriculture and Food Security.
 - c. Supported the development of Key Performance Indicators (KPIs) for the SP-FAF and co-financed the 4th and 5th ATF FAF Meeting in July 2015 and January 2016 respectively.
 - d. Facilitated the submission of ASFN conference recommendations to ASOF.
 - e. Strengthening links with other ASEAN Bodies (SOM-AMAF, ASOEN) and sectors related to NTFP and herbal product marketing (CCSMES) and the ASEAN Network of Universities (ANU).

3.2.4. Work-in-progress

- i. Evidence provided support the fact that a number of AMS are adopting the earlier recommendations submitted by the ASFCC Implementing Partners as in **Annex 7**. Examples include REDD+ safeguards in the Philippines and Cambodia, recognition of NTFPs and livelihood linkage in Indonesia, and adoption of agro-forestry policy as a part of SF in Vietnam. These policy level impacts are likely to support biodiversity and livelihoods and contribute to climate resilience building in these AMS. As a regional policy impact also, the SP-FAF enshrines community forestry/SF as action programme under the Strategic Thrust on SFM.
- ii. The project is creating and strengthening regional and national multi-stakeholder platforms such as the CSO forum and annual conference at regional level, as well as working groups and national committees at national level. This has resulted in broadened stakeholder engagement involving civil society, indigenous peoples' fora, SF/CF-based enterprises, private sector, and research/academic organisations. Efforts are also being made to catalyse SF policy in AMS through sharing of relevant knowledge in these ASEAN level fora which are organised back-to-back with the annual ASFN meetings (on different themes but invariably with strong links to social forestry and climate change theme of the ASFCC).

- iii. SEARCA has been managing the ASFN Strategic Response Fund (ASRF) that strengthens ASEAN co-operation particularly focusing on the sustainability aspect of the ASFN by targeting research grants through seed funds and a number of Proposal Development Assistance (PDA) activities. These grants are resulting in outputs that feed into policy change and have potential to enhance benefits of SF products to local people.
- iv. The NTFP-EP has been contributing to the AEC pillar by mainstreaming Community Forestry Enterprise in the economic agenda of ASEAN with a plan to align its activities to the ASEAN strategic plan for SME. The aim is to enhance the benefit of community forest enterprises (CFEs) from SF. However, this will require work on developing sustainable value chains and market chains which the NTFP-EP has been working on, especially in Indonesia and the Philippines. Also establishing REDD+ related Safeguards in the AMS will need sustained multi-stakeholder efforts.
- v. The project is strengthening capacity and learning among government, civil society and community leaders by organising specialised training, participatory action research, sharing and learning platforms and civil society and government dialogues. However, climate proofing SF gains against likely climate change risks and vulnerability requires new kind of capacity and knowledge which is being enhanced by the ASFCC partners.

3.2.5 Areas showing gaps and needing further work

- i. The staff of the ASFN Secretariat is generally overstretched and lacks required technical and communication capacity to perform its dual role of organising ASFN activities (the annual meetings and regional conferences) and facilitating the timely delivery of synthesised knowledge products and services (produced by the Implementing Partners) to the ASFN Focal Points and the ASEAN Secretariat. Due to the lack of necessary technical capacity within the ASFN Secretariat, the important task of co-ordinating the efforts of the Implementing Partners in consolidating, managing and communicating higher level and targeted knowledge (i.e. by putting together all the outputs and bringing them as applicable knowledge suitable for implementation at individual AMS and/or ASEAN level) are found to be needing more efforts.
- ii. While the ASFCC Implementing Partners have been successful in producing, sharing and integrating SF related knowledge, good practices and policy recommendations aimed at using SF/AF/CF tools in achieving larger forestry, food security and social development sector goals, commensurate efforts and outcomes in integrating SF tools and approaches in achieving climate change adaptation and mitigation goals of AMS are found inadequate although RECOFTC has initiated training on adaptation; while recognising the fact that ongoing REDD+ social safeguards work does have adaptation co-benefits, mainstreaming climate change hazards and risk management into SF policy, management plans and tools especially on adaptation aspects can make forestry based livelihoods more climate resilient.
- iii. Integration of SF tools and knowhow in climate change adaptation and mitigation needs a clear framework under which planned and synergistic activities need to be intensified. The ASEAN region being one of most vulnerable regions to climate change, the SF related and relevant sectors such as food, water and energy security; livelihood sustainability and community based infrastructures such as watersheds are increasingly exposed to climatic risks. Therefore a number of AMS are facing challenges and constraints in terms of knowledge and capacity gaps in their ability to reduce climate change hazards and risks in climate sensitive sectors such as agriculture wherein the integration of social forestry can

build resilience and adaptive capacity of both local communities and ecosystems. Given the critical role played by ASEAN forests in supplying a diverse range of ecosystem goods and services and preserving vast amounts of carbon that would otherwise increase greenhouse gas levels in the atmosphere, expansion of SF can enhance mitigation efforts of the ASEAN countries. This means that forest and related natural resources need to be protected from the threat of climate change and climate variability through SF/CF/AF tools and approaches. Both adaptation and REDD+ with high adaptation co-benefits can make SF highly climate change relevant.

- iv. The generalised nature of knowledge and learning emerging out of the research conducted by global partners such as CIFOR and ICRAF needs to be better contextualised, adapted and where appropriate, integrated with traditional local knowledge and practices. There is a need to make the research based knowledge to be made more applicable and useable to meet the specific needs of individual AMS – both at national and sub-national level. Better tailoring, packaging and communicating of globally targeted knowledge products or global public good to meet the individual AMS and/or ASEAN level needs can be better achieved by co-producing and applying SF knowledge jointly with national partners and CSO bodies. This can enhance the relevance, effectiveness and outcome of the knowledge and learning generated by partners (refer Clark et al, 2011 and HGSE, 2015 for further reading).

3.2.6 Integration of SF in Climate Change Adaptation and Mitigation

- i. Forestry based adaptation is basically a climate proofing of social or community forestry (SF/CF) infrastructure, institutions and people that can strengthen SFM in ASEAN countries. Adaptive management of the negative impacts of climate change such as increased frequency of extreme events, loss of forest productivity, incidence of pests and diseases constitutes forestry based adaptation (FBA)². If designed and implemented in a participatory manner, FBA can help vulnerable social forestry dependent communities increase their resilience and enhance the supply of SF goods and services on which their livelihoods depend.
- ii. Regarding mitigation, the ongoing REDD+ initiatives in different AMS have generally followed participatory and multi-stakeholder process and approaches. The actions aim to enhance benefits from SF by devising a benefit sharing mechanism accounting for both carbon and non-carbon benefits. However, the core issues related to land and carbon tenure and social and environmental safeguards are some of the challenges the REDD+ implementation process is likely to face.
- iii. A framework showing how different elements of social forestry and climate change can be understood and managed in an integrated manner to achieve consolidated or integrated outcomes of climate resilient SF/CF/AF in ASEAN countries is shown in **Figure 1** below: (adapted from FAO, 2011).

² The concept of FBA is based on much commonly used concept of Ecosystem based Adaptation (EbA) which is defined as 'the use of biodiversity and ecosystem services to help people adapt to the adverse effects of climate change' (CBD, 2009).

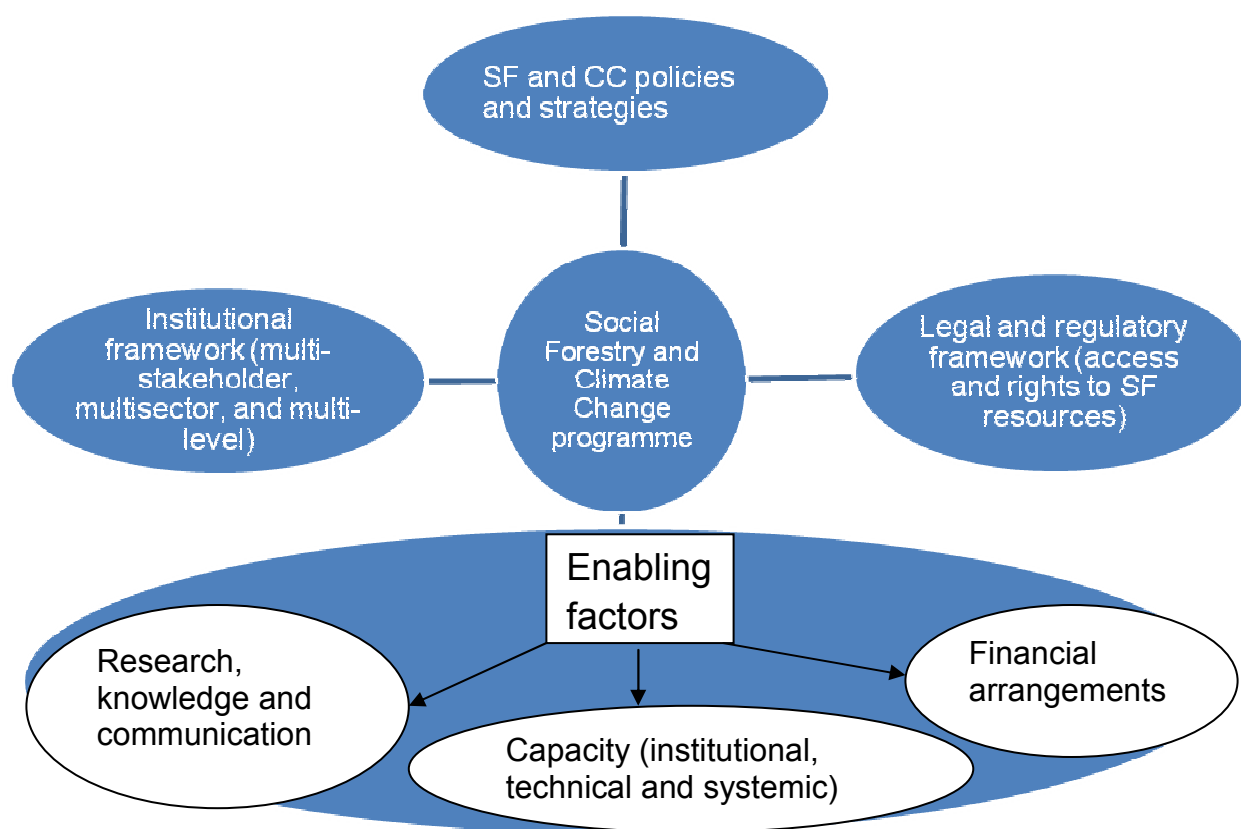


Figure 1 Integrating elements for integrating Social Forestry and Climate Change in ASEAN countries (adapted from FAO, 2011: <http://www.fao.org/docrep/015/i2429e/i2429e00.pdf>)

3.2.7 Based on the above framework an integrated adaptation and mitigation strategy for the ASFCC should include the following actions:

Policies and strategies:

- Mainstreaming of climate change into social forest policies and practices by revising (climate smarting) SF/CF action and operational plans at national and sub-national levels in AMS.
- Disseminate policy changes to local SF stakeholders to help develop locally appropriate adaptation response, building on traditional coping strategies.

Legal framework

- Facilitating and supporting necessary revisions of forestry acts and regulatory framework to improve tenure and access rights and reduce vulnerability and impact of climate change to forest dependent people.

Institutional framework

- Supporting cross-sectoral mechanisms to facilitate co-ordination between SF and CC related ministries and departments at all levels and also promote public and private partnerships.
- Improving the implementation of REDD+ related social and environmental safeguards improving stakeholder consultative mechanisms and participatory decision making especially in developing benefit sharing mechanism.

- Improving stakeholder engagement mechanisms (e.g. CSO forum) to enhance participatory decision making, especially in the implementation of ASFCC activities.

Information, communication and research

- Strengthening participatory action research (PAR) on social/community/agro-forestry, land use cover and climate change and support collaborative research across sectors at landscape level in more AMS so as to improve research relevance and uptake.

Capacity building and training

- Strengthening of capacity in a) policy, regulatory and structural reforms and harmonisation of sectoral plans and programmes; b) knowledge and database management for meeting MRV and transparency requirements; c) vulnerability impact assessment and adaptation planning; and d) collaboration, co-ordination and mobilising finance including working with private sectors.

Financial mobilisation

- Mobilisation of finance from development partners, government and private sectors as well as in-kind support from local community to implement planned adaptation and mitigation actions according to their needs and capacities.
- Devising and implementing incentive based mechanism such as Payment for Ecosystem Services (PES) to support adaptation and mitigation investments, innovative approaches and equitable and transparent distribution of resources.

3.3 Major Challenges Faced and their Management

3.3.1. The pace at which different AMS address forest and climate change issues, especially by enhancing the role of social forestry in sustainable forest management, climate change adaptation and mitigation, poverty reduction and the improved well-being of local communities differs greatly among the AMS. This is mainly because of their different levels of socio-economic development and different focus of their national forest and development policies, strategies and practices, especially in the face of other more pressing and demanding national needs and priorities.

3.3.2. The frequent changes of ASFN Leaders and ASFN Focal Points in the ASFN as well as the ASOF Leaders necessitate continuing orientation and renewal of commitment of the concerned authorities to the project and capacity building of new leaders and focal points in the AMS.

3.3.3. In addition, the lack of mandate and incentives for ASFN Focal Points and individuals within AMS to go beyond their sectoral/disciplinary responsibilities, there is also lack of needed resources, capacities and nationally customised knowledge products. Often, different officials based on their background have different understanding, strategies and perception regarding social or community forestry in the AMS.

3.3.4. The lack of technical expertise and staff at the Food, Agriculture and Forestry Division of the ASEAN Secretariat to fully monitor and evaluate the activities implemented by the ASFCC Implementing Partners is a challenge, especially in distilling out the major progress and achievement in knowledge production that can be assimilated into the policies, plans and programmes of ASEAN. In addition, establishing direct communication between the ASFN Leaders and Implementing Partners of the ASFCC remains a challenge.

3.3.5. The organisational mandate based on the so called 'territorial approach' adopted by the ASFCC Implementing Partners in undertaking their activities primarily based on their organization's mandate,

professional expertise and core competence as well as driven by AMS demand in their respective country of operation and limited financial resources, has led to specific activities concentrated in a few countries and few provinces within the AMS in the ASEAN region. Nevertheless, the Implementing Partners do leverage work done under the ASFCC to other initiatives managed by individual partners and vice versa.

3.3.6. The relatively small size of the ASFCC project with substantive goal and outcomes such as 'integrating SF in climate change adaptation and mitigation' as well as 'enhancing benefits to the forest dependent people' is indeed a challenge to the ASFCC Implementing Partners.

3.4. Adaptive Management practised by the ASFCC Partners

3.4.1 The ASFN Secretariat has been successfully adapting to frequent turnover and gaps in its staff and expertise by filling in the vacancy quickly and availing help and support from the Implementing Partners such as NTFP-EP and RECOFTC in improving their website, producing communication materials and convening ASFN annual meetings and regional conferences. This also entails intensive supervision by the ASFCC Senior Advisor and other SDC officials.

3.4.2 All the ASFCC Implementing Partners joined hands and worked together to allowing a capable partner to take the lead in projecting ASFCC and ASFN in important regional and global platforms such as APFW and WFC that were hailed as highly successful events. Such a flexibility and adaptive management skills in the project have been well appreciated by the ASFN and ASOF Leaders.

3.4.3 In addition to developing and delivering planned knowledge, learning and capacity building products, the ASFCC partners are increasingly engaged with AMS policy-makers, partners and stakeholders in being demand responsive and proactive in providing both the current demand and future need based knowledge and capacity building services. The ASFN Secretariat, Implementing Partners and the ASFCC Senior Advisor respond to the frequent requests by the ASEAN Secretariat, the ASFN Leaders and Focal Points as well as ASOF in convening meetings, facilitating dialogues and contributing specific information, knowledge, insights and expert advice enabling them to project ASEAN as a vibrant and successful regional co-operation model relevant and responsive to global and regional agenda and policy discourse, such as providing common position paper to the UNFCCC process.

3.4.4 The ASFCC Implementing Partners are also engaged in strengthening of national and regional processes and capacities in some countries such as Cambodia, Indonesia, the Philippines and Vietnam, in improving policies and/or their implementation, not limiting themselves to just delivery of knowledge products.

3.4.5 The ASFCC Implementing Partners are also seizing the emerging opportunities such as the Paris Climate Agreement (PCA) and SDGs. In this regard, they are already exploring strategies and options to work with interested and willing AMS in implementing their NDCs and contributing to the process of achieving SDGs from the perspective of social forestry and climate change.

3.4.6 Responding to the call for strengthening SME as an engine of growth in the ASEAN region, the ASFCC Implementing Partners are already engaged in discussions with the ASEAN Working Group on SME to promote both timber and non timber forest products (NTFP) based SME. The ASFN Secretariat and the NTFP-EP have made joint presentations at the recent ASEAN Sectoral Working Group on Agricultural Co-operatives (ASWGAC) Meeting. This lays good foundation to establish more formal collaboration with the AWG-SME and to use the learning to explore links with other relevant ASEAN

working groups and bodies to more effectively pursue the ASFN/ASFCC SF-based livelihoods and SME agenda.

3.5. Lessons Learned

3.5.1 It is imperative to ensure that a balance is adopted between the formal approach that deals with adherence to official procedures, protocols and processes and an informal approach where more spontaneous, networking and candid conversations could be fostered. This approach has been useful especially in establishing dialogue with policy and decision-makers in the AMS.

3.5.2 Being inclusive and responsive to target audiences and stakeholders in project implementation has facilitated support in project implementation and buy-in by AMS, as well as in building good working relations among the Implementing Partners and between Partners and AMS. In addition, being flexible and accessible to AMS needs has earned goodwill and trust in the researchers and facilitators working in the Project and this helps in promoting multi-stakeholder and multi-sectoral approaches.

3.5.3 The ASFCC Implementing Partners are taking full advantage of the willingness of the ASEAN Secretariat and openness of the ASFN Leaders in providing access to the ASFCC researchers and CSO partners to policy-makers in AMS. Back-to-back organisation of CSO fora, ASFN annual conferences, and meetings of the ASFN and other policy level bodies strategically informs, inspires and influences the policy decision-makers and increasing the chances of policy impact at the national and regional level. In addition, the ASFCC Senior Advisor has availed regular invitation by the ASEAN Secretariat, ASFN and ASOF to provide expert views, chair meetings and address high level gatherings on different aspects of the project and its relevance to the ASEAN countries.

3.5.4 Learning from the experience of the Phase 1, the Implementing Partners have been working more effectively using the programmatic approach, joint planning, common annual calendars and regular use of modern information and communication tools (ICT), including social media, has enhanced efficiency, complementarities, synergy in knowledge management, sharing and policy outreach.

3.5.5 For example, RECOFTC, NTFP-EP and ASFN Secretariat in 2014 conducted a joint workshop with the ARKN-FCC on REDD+ Safeguards that facilitated agreement on a common ASEAN Statement that was submitted to the UNFCCC which the parties feel worked well. Similarly, the NTFP-EP and RECOFTC conducted a joint training on participatory NTFP resource management. The collective efforts in consolidating the presentations at the successfully organised events at the 14th World Forestry Congress (WFC) and the Asia Pacific Forestry Week (APFW) 2016 are good learning of past lessons.

3.5.6 Application of globally targeted knowledge to meet regional and national needs such as country specific social forestry tools and approaches, best practices in policy and capacity building has improved due to two or more Implementing Partners collaborating in the delivery of outputs and contribution to the outcome. The NTFP-EP feels that CIFOR should work with them to better tailor and package global public good for national application such as the work done in Sarawak, Malaysia.

3.5.7 There is also realisation among the ASFCC Implementing Partners that apart from the joint planning meeting in the beginning of the year, additional co-ordination/technical/learning meetings among the ASFCC Partners with the ASFN Leaders and Focal Points would be very helpful in addressing current changes taking place in the region.

4.0 Recommendations

Review recommendations are separately provided under each of the two main evaluation topics namely: Institutional Arrangements and Programmatic Content although considerable overlaps could not be avoided.

4.1 Institutional Arrangements

4.1.1 To further enhance ASFCC support and contribution in realising the Strategic Plan of Action for the AFCC, the Strategic Thrusts and Action Programmes of the SP-FAF, the AEC Blueprint 2025 and ASCC Blueprint 2025, the following recommendations are proposed.

- i. Establish a common knowledge platform to further enhance sharing of knowledge and experiences in the integration of social forestry and climate change among AMS, including the evaluation of lessons learned on policy influence and impact of the implemented activities, and to jointly learn and benefit from their implementation, outputs, outcomes, and post-project impacts. This will contribute to achieving sustainable forest management, climate change adaptation and mitigation, poverty alleviation, and improved well-being of the people in ASEAN.
- ii. Strengthen the technical capability of the ASFN Secretariat to co-ordinate, assess, monitor and package the outputs and outcomes of the project activities implemented by the Implementing Partners, including synthesised knowledge products in the overall context of sustainable forest management and climate change adaptation and mitigation at the ASEAN level.
- iii. Consider the establishment of an Ad-hoc Review Committee within the ASFN Secretariat to oversee the production of ASEAN-level products drawing from the outputs from the ASFCC Implementing Partners as well as from other sources that can be adopted by AMAF for implementation in AMS. It is further suggested that this Committee be co-chaired by the Lead Country of the proposed ASEAN Working Group on Social Forestry (AWG-SF) and the ASFCC Senior Advisor with experts on specific topic co-opted when required.
- iv. Strengthen the delivery capacity and communication channel for National ASFN Focal Points to regularly contribute and update the sharing of information and knowledge products on social forestry and climate change through the ASEAN Forest Clearing House Mechanism (CHM) that is hosted by the ASEAN Secretariat so as to provide a regional learning platform among AMS to exchange and share information on social forestry and climate change.
- v. Establish a mechanism to track the implementation of the recommendations of the CSO Forum and those arising from the annual ASFN Conference that are presented to the ASFN and ASOF, and that their implementation are deliberated at the annual meeting of the ASFN.
- vi. Establish a co-ordination mechanism to facilitate mapping of joint-actions and outcomes of the ASFCC's activities with other ASEAN bodies, e.g. AWG-SME, the ASEAN Regional Knowledge Network on Forests and Climate Change (ARKN-FCC) and the ASEAN Climate Resilience Network (ASEAN-CRN), so as to ensure synergy of the work undertaken, and that their outputs complement one another and minimise overlaps and duplication of efforts in addressing the impact of climate change in the forestry sector of ASEAN.
- vii. Establish effective institutional arrangements to facilitate the work programme of the ASFCC through its Implementing Partners with:

- a. the work of the ASEAN Experts Group on Forest Products Development (AEG-FPD) in adopting equivalence in technical regulations and harmonised standards, as well as undertake joint efforts to seek better market access to both the regional and global markets, especially for NTFPs, including working with the Customs Procedures and Trade Facilitation Working Group (CPTWG).
 - b. the work of the ASEAN Experts Group on Herbal and Medical Plants (AEG-HMP) in the production of NTFPs, including co-operation with the ASEAN Intellectual Property Association (ASEAN-IPA) to address issues related to patents and intellectual property rights (IPR) arising from the research and development of new processing technologies and products.
 - c. the work of the ASEAN Tourism Product Working Group (PDWG) on its community-based tourism products.
 - d. the work of ASEAN Working Group on SME (AWG-SME) on community economy and livelihood, tenure and access rights, and governance and social safeguards.
- viii. Ensure that the work of the ASFCC continues to contribute to the implementation of the Strategic Plan of Action for the AFCC in view that the ASEAN sectoral bodies, such as ASOF, are mandated to implement the activities of the Strategic Plan of Action that are under their purview.
- ix. As the ASFCC has used the ASFN as the strategic entry point for ASFCC support to ASEAN since its inception in 2011, including the AFCC, consider the establishment of a joint working mechanism between the ASFN Secretariat and the ASEAN Climate Resilient Network (ASEAN-CRN) to ensure shared learning in addressing the impact of climate change.
- x. The ASFCC should continue to support the work of the Management Team for the AFCC Ad Hoc Steering Committee on Climate Change and Food Security (AHSC CC-FS) that is currently chaired by the Food, Agriculture and Forestry Division of the ASEAN Secretariat, and which should be strengthened further with the active involvement of its Environment Division.
- xi. Explore the establishment of an ASEAN-Swiss Trust Fund at the ASEAN Secretariat to manage the contribution for the ASFCC by the Swiss Government. This would further enhance recognition of the Swiss Government contribution to ASEAN as well as for the ASEAN Secretariat to be more accountable to the AMS, and for the AMS to focus more on activities at the regional level and address the impact of climate change on the forestry sector in ASEAN.

4.2 Substantive Content (Knowledge, capacity and learning interventions)

4.2.1 Overview

Many of the recommendations listed below will provide a good basis for better engaging with AMS to develop and support successful implementation of these recommendations. The recommendations are organised by major topics for clarity.

4.2.2 Overall Programme Content

- i. *Ensure sustainability*: While the Phase II has streamlined the knowledge generation and capacity building aspects and should continue to do so in the remaining time of the project, the planned Phase III of the partnership should focus on consolidation and mainstreaming these significant knowledge, learning and capacity. The sustainability and mainstreaming of the SF in relevant policies and plans of the AMS should be one of the priority agenda of the next phase.
- ii. *Better target the knowledge products*: The third phase provides a good avenue to harvest some of the 'low hanging fruits' which the ASFCC II has created and to institutionalise and mainstream them in the ASEAN system and process. Some of the examples could be conversion of policy briefs into Working Guidelines on SF Tools in Climate Change Adaptation and Mitigation; ASEAN Manual on Agro-forestry Practices in Sloping Land Agriculture; Good Practices in Enhancing Tenure and Access to Rights and Benefits from SF; and Policy Brief on Forest-based Small and Medium Enterprise (SME) Development in ASEAN Countries.

4.2.3 Capacity Development of the ASFN Secretariat

- i. *Enhance knowledge management and communication capacity*: In order to scale up the existing knowledge products to the level of ASEAN so that these could be submitted for ASOF endorsement and adoption by AMAF, collective and co-ordinated efforts should be continued to synthesise and consolidate these products as regional products by improving knowledge management and communication skills of the Secretariat supported by the Implementing Partners.
- ii. *Better package and tailor knowledge and communication products*: The ASFCC Implementing Partners with global mandates should help in better packaging and tailoring their global knowledge and capacity building products to suit the needs of AMS so that these could be channelled through the ASFN to ASOF and SOM-AMAF for implementation by larger number of AMS.
- iii. *Meet the knowledge product needs of ASEAN bodies*: The ASFCC knowledge products such as good practices in agro-forestry; community-based fire management; processing, value addition and branding of forest products should be consolidated, standardised and converted into ASEAN level Guidelines, Best Practices and, Manuals for ASOF endorsement and adoption by AMAF as described in Point 4.1.1 (v) and 4.2.3 above.

4.2.4 Improving and Broadening the scope and content of Knowledge

- i. *Better align the knowledge and learning interventions*: In order to improve the scope, access, relevance, adaptability and applicability of the ASFCC generated content knowledge to the broader ASEAN programme of AFCC and the SP-FAF, the Implementing Partners need to improve and align their knowledge production and learning intervention process to help AMS better achieve the new global and national goals and targets especially those related to poverty reduction, emission reduction and biodiversity conservation as reflected in NDC, SDG and Aichi biodiversity targets. Similarly, capacity building activities need to meet new obligation for monitoring, verification and reporting (MRV) as well as maintenance of transparency as required by the PCA. The ASFCC is well suited for consolidating, streamlining and targeting the knowledge production for achieving ASEAN wide ownership and mainstreaming higher level knowledge to support both the Economic (AEC) and Socio-Cultural Community (ASCC) pillars of ASEAN so that the outputs of the ASFCC can help AMS fulfil their national aspiration and global obligations in SFM, poverty reduction, and climate change.

- ii. *Inform and influence larger pool of SF/CF officials:* In order to enhance the research and knowledge to policy linkages, the pathways recommended can be to target not only the members of National Working Groups/CF committees, national SF/CF focal points and ASFN Leaders, but also to help these officials to inform and influence their peers and core staff so that the often cited issue of frequent changes in the leadership of the SF/CF division or department will not miss the corporate memory and ensure continuity of the work initiated by the ASFCC. The recommendation to strengthen the current knowledge portal at the ASFN Secretariat will help in this endeavour of capacitating the ASFN in the individual AMS.
- iii. *Explore potential of Urban Forestry to address vulnerability of urban/peri-urban poor:* Given the increasing role and potential of ASFCC in supporting AMS in achieving national and global goals and targets such as NDC and National Biodiversity Strategy and Action Plan (NBSAP), a new sub-theme of Urban Forestry should be considered for inclusion in the ASFCC programme; this will help meet the national needs of highly urbanised countries such as Singapore, Brunei Darussalam and Malaysia to implement NDC and reduce urban CC impacts. Urban forests contribute to climate change in moderating GHG emissions by capturing carbon, reducing energy use and temperature including 'urban heat island or UHI' effect. Furthermore, urban trees help regulate the urban microclimate, augmenting or minimising climatic change. This is possible by increasing urban and per urban tree and vegetation density and cover to provide shade, regulate hydrological regime of cities and moderate urban microclimate besides providing green jobs to urban poor. Urban forestry and biodiversity sub-theme might also help increase ownership of more AMS by enhancing the relevance of SF to the larger ASEAN community (Safford et al (2013).
- iv. *Transform the role of implementing and supporting partners to long long-term service providers:* Recognising the critical role of regional universities and research centres as sustainable and reliable source of new knowledge and information, a concept of establishing thematic ASEAN level Centre of Excellence (CoE) or Knowledge Service Provider (KSP) in selected SF and CC thematic areas should be initiated. To start with, all the current ASFCC Implementing Partners could be designated as ASEAN Centre of Excellence (CoE) respectively on SF/CF and CC Research, Knowledge Management, Livelihood Forestry and Capacity Building. For example, the Forest Products Development Institute under the College of Forestry and Natural Resources (CFNR) in the UPLB has been producing state-of-the-art reports on NTFP and economic aspects of SF for the ASFCC, and the CFNR has the potential to be a CoE and serves ASEAN as a knowledge provider. It is worth recalling that AIT was designated by ASEAN as CoE on MDG in 2008 and on Sustainable Development and Climate Change in 2009 (visit <http://www.arcmdg.ait.asia> for detail).

4.2.5 Improving the Benefits to Small Producers and Forest Dependent Communities

- i. *Build capacity of forest products based SMEs:* With the growing importance given to the development of SME in the context of the SP- FAF and strengthening of the AEC, the ASFCC Implementing Partners, especially the NTFP-EP and RECOFTC should provide more focus on how SF producers could be better organised into SF/CF based SME and sub-regional and regional NTFP value chains.
- ii. *Develop national and regional value chains of high potential NTFPs:* In order to address the need to develop equitable and diversified livelihoods for small producers, the ASFCC Implementing Partners especially NTFP-EP and ICRAF should focus on developing participatory and equitable value chains on commercially viable SF/CF/AF high-value low-

volume products by organising and strengthening the producers groups so as to enhance their negotiating skills with the private sector.

- iii. *Improve quality standards of social forestry (e.g. NTFP) products:* In order to access medium and high-end markets for NTFP products especially natural food supplements, herbal medicines as well as bamboo and rattan products both within the AMS and at the global and regional level, product standards and certification system for the prioritised products should be developed, working closely with different national standards/trade and export promotion agencies so as to enable small producers to meet these standards, and implement the FAO/UNIDO recommended Good Agriculture and Collection Practices (GACP), Good Manufacturing Practices (GMP) and Good Lab Practices (GLP) for aromatic oil products.

4.2. 6 Integrating SF in Climate Change Adaptation and Mitigation

- i. *Mainstream climate change risk management in SF policy, plan and programmes:* Adaptation and mitigation actions should be better integrated based on specific country driven processes and types of forest resources and local livelihood needs especially focusing on vulnerable communities and socio-ecosystems in each AMS. Combined adaptation and mitigation interventions should enable the vulnerable communities and individual households to practise more adaptive management of forest resources, especially NTFPs. The results should reduce their livelihood, disaster, health and gender vulnerabilities through creation of forestry-based safety net ecosystem goods services such as SF based SME and other income generating and livelihood diversifying activities.

4.2.7 ASFN Strategic Respond Fund (ASRF)

- i. *Manage the strategic fund to cover both facilitative and innovative projects:* The ASFN Strategic Response Fund (ASRF) mechanism should be re-oriented towards supporting more strategic, innovative and out-of-box type of action research, catalysing type of knowledge products development and institutional and systemic capacity development activities. In order to enhance the inclusivity of the ASFCC activities and promote innovations, a certain percentage of the funds, say 10%, could be made accessible to NGOs and CSOs in accordance with the established procedures for approving such grants.

5.0 Conclusions

5.1 The ASEAN countries have expressed their interest to expand the scope of the ASFN to include climate change mitigation and adaptation through social forestry during several annual conferences and meetings starting in 2009. This was the basis for initiating the ASEAN-Swiss partnership in the form of the ASFCC. In Phase II, the ASFCC has significantly contributed to AMS's participation in international climate negotiations particularly on REDD+, REDD+ governance and access to finance as well as the broader role of forests in climate change (Paris Climate Agreement and forest sector based Nationally Appropriate Mitigation Actions (NAMAs). This demonstrates strong ownership and appreciation of the ASFCC by ASEAN.

5.2 The ASFCC has brought together global, regional and national level Implementing Partners with diverse strengths and expertise that has produced an array of knowledge products including policy briefs, research papers and state-of-play reports. The knowledge and capacity building support provided by the Partners has enabled the ASFN and others in addressing social forestry and sustainable livelihoods related issues of local communities, as well as helped improve forest governance in AMS.

5.3 The ASFCC has also strengthened AMS capacity to develop social forestry/community forestry as part of their REDD+ and overall climate change strategies and is strategically positioned to potentially impact beyond the forestry sector through cross-sectoral regional co-operation on climate change and food security through its engagement in the AFCC.

5.4 Overall, the ASFCC has been successful in developing a cross-regional and intra-country learning and sharing and this has helped foster partnership and co-operation by making available the service of strong knowledge, capacity, networking and capacity building partners to multi-stakeholders from government, civil society, academia and the private sectors to collectively work on the complex agenda of social forestry and climate change. It is also helping the interested and needy AMS in addressing the challenge of economic development through efficient management of forest resources, poverty reduction through rights-based livelihood approaches and climate change adaptation and mitigation by focusing on vulnerable communities and ecosystems. The project is thus contributing to the long-term ASEAN vision of food, agriculture and forestry towards food security by developing knowledge base, sharing good practices and building diverse strengths and expertise, thus contributing to two out of the three pillars of ASEAN regional integrated community i.e. the Political-Security, Economic and Socio-Cultural Community.

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Annex 1

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graph TD
    AMAF[ASEAN Ministers Meeting on Agriculture and Forestry (AMAF)] <--> AMME[ASEAN Ministerial Meeting on the Environment (AMME)]
    AMAF --> HLCM[ASEAN High Level Co-ordination Meeting]
    AMME --> HLCM
    HLCM <--> ASOF(ASEAN Senior Officials on Forestry (ASOF))
    HLCM <--> ASOEN(ASEAN Senior Officials on the Environment (ASOEN))
    HLCM --> ASC[ASEAN Ad-hoc Steering Committee on Climate Change and Food Security]
    ASC <--> ASFN[ASEAN Social Forestry Network (ASFN)]
    ASC <--> WGCC[ASEAN Working Group on Climate Change]
    ASFN <--> ASFNS[ASEAN Social Forestry Network (ASFN) Secretariat]
    ASFNS --> ASFCC[ASEAN-Swiss Partnership on Social Forestry and Climate Change (ASFCC)]
    ASFCC <--> ODP[Other development partners (e.g. GAP-CC)]
    ODP --> ASC
    
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ASFCC Phase II Log frame

Outcome 1	A co-ordinated social forestry policy framework is developed and integrated into ASEAN and the national forest and climate change strategies of the Member States.
Output 1.1	ASEAN priority policy and strategic issues in social forestry and climate change are commonly identified and assessed.
Output 1.2	Capacities of Focal Points and Network Partners are improved to effectively reach the relevant decision-makers and influential stakeholders within ASEAN and Member States.
Outcome 2	Local, national and regional knowledge sharing, communication and networking on social forestry and climate change is strengthened and put into use.
Output 2.1	ASFN Secretariat is fully operational and efficiently managing and sharing knowledge, communication and information.
Output 2.2	ASFN Focal Points and Network Partners effectively participate in the Network and fully contribute to knowledge sharing and capacity development.
Output 2.3	ASFN exchanges knowledge beyond its own network and is increasingly recognised.
Outcome 3	Learning interventions and best practices are conducted in social forestry and climate change for broader implementation and policy development.
Output 3.1	Multi-stakeholder National Working Groups aiming at developing social forestry approaches and nationally appropriated adaptation and mitigation actions formed and strengthened in selected Member States.
Output 3.2	Commonly identified thematic issues relating to locally appropriated adaptation and mitigation actions are investigated, analysed and shared.
Output 3.3:	Adaptation strategies and best practices from selected community forestry initiatives assessed developed and up scaled for wider implementation and to inform policy processes.

Itinerary of External Reviewers and Organisations/Agencies Visited

Date	Organisations/Agencies
2 May 2016 (Jakarta, Indonesia)	1. ASEAN Social Forestry Network (ASFN) Secretariat
	2. Directorate General of Social Forestry and Environment Partnership, Ministry of Environment and Forestry of Indonesia (MoEFRI)
	3. Directorate General of Climate Change, Directorate of Sectoral and Regional Resources Mobilisation, MoEFRI
	4. ASEAN Secretariat
	5. GIZ Office on the ASEAN-German Programme on Response to Climate Change (GIZ GAP-CC)
3 May 2016 (Bogor, Indonesia)	1. World Agroforestry Centre (ICRAF) Southeast Asia Regional Office
	2. Centre for International Forestry Research (CIFOR) Head Office
	3. Non-Timber Forest Products Exchange Programme Asia (NTFP-EP) (Strategic Programmes), Indonesia, Malaysia & Borneo
4 May 2016	Travel to the Philippines
5 May 2016 (Manila, Philippines)	1. NTFP-EP Regional Office
	2. Forest Management Bureau (FMB), Department of Environment and Natural Resources (DENR), Philippines
6 May 2016 (Los Banos, Philippines)	1. University of the Philippines Los Baños, College of Forestry and Natural Resources
	2. Southeast Asian Regional Centre for Graduate Study and Research in Agriculture (SEARCA)
	3. ASEAN-Swiss Partnership on Social Forestry and Climate Change (ASFCC), ASFCC Senior Advisor
7 May 2016	Travel to Vietnam

9 May 2016 (Hanoi, Vietnam)	1. Vietnam Administration of Forestry (VNFOREST), Ministry of Agriculture and Rural Development (MARD)
	2. CIFOR Vietnam Office
	3. The Centre for People and Forests (RECOFTC) Vietnam Country Programme
10 May 2016 (Hanoi, Vietnam)	1. ICRAF Vietnam Country Office
	2. Travel to Thailand
11 May 2016 Bangkok, Thailand)	1. GIZ Better Rice Initiative Asia Project
	2. RECOFTC Head Office
12 May 2016 Bangkok, Thailand)	Royal Forestry Department of Thailand
13 May 2016	Travel Home

Draft Questions

ASFN Secretariat

1. In the context of executing the ASFCC, could you enlighten us the role and responsibilities of the SDC/ASFCC Programme Advisor, the ASFCC Fiduciary Advisor and the ASFCC Senior Advisor?
2. In addition, what is the role and responsibilities of the Chairperson of the ASFN Secretariat vis-à-vis the Head of the ASFN Secretariat and the ASFCC Senior Advisor, as well as the ASFN Governing Board?
3. Have National Working Groups and Learning Groups established in each AMS and how effective are they in integrating forest and climate change strategies into the social policy framework of AMS and in improving social forestry practices in their efforts to enhance sustainable forest management, facilitate trade of community-based forestry products by SME, and address climate change adaptation and mitigation in the context of food security?
4. In having the ASFN Secretariat's budget managed and disbursed through the RECOFTC Headquarters in Bangkok, Thailand, does it affect the efficiency and effectiveness of the ASFN Secretariat in executing the activities as identified in the ASFN Work Programme for ASFCC Phase II (2014-2016)?
5. In this regard, would it be better and more strategic to have all the funds provided by the Swiss Agency for Development and Co-operation (SDC) managed and disbursed through an ASEAN-Swiss Trust Fund by the ASEAN Secretariat, including those of the Implementing Partners (CIFOR, RECOFTC, ICARF, SEARCA and NTFP-EP)?
6. Would it be desirable to further strengthen the technical capability of the ASFN Secretariat to enable it to provide assistance to AMS on project implementation, including monitoring and evaluation of progress, for example, those that are being implemented through the ASFN Strategic Response Fund (ASRF)?
7. Has the support (in-kind contribution and staff) provided by the host country, Indonesia, adequate and effective in enabling the ASFN Secretariat to fulfil its mandate to ASFN, ASFCC, and the SPA for ASEAN Co-operation in Forestry, and the AFCC?

Chairperson of the ASFN Secretariat

1. Are the current staff positions funded by the Swiss Agency for Development and Co-operation (SDC) adequate and capable to effectively achieve the outputs as envisaged in the ASFN Work Programme for ASFCC Phase II (2014-2016)?
2. How could the work of the ASFN Secretariat and that of the ASEAN Regional Knowledge Network on Forests and Climate Change (ARKN-FCC) complement each other so as to minimise overlaps and duplication of efforts, especially those related to REDD+ at the community level, as well as the work of the ASEAN Working Group on Climate Change under the ASEAN Senior Officials on the Environment (ASOEN)?

3. How could the ASFN Secretariat further enhance the delivery of the products from the Implementing Partners (CIFOR, RECOFTC, ICARF, SEARCA and NTFP-EP) to AMS?

Indonesia ASFN National Focal Point

1. Have a National Working Group and a Learning Group established in Indonesia and are they being able to translate the outputs from the ASFN Secretariat and those from the Implementing Partners (CIFOR, RECOFTC, ICARF, SEARCA and NTFP-EP) into practice and have they benefited Indonesia?
2. Would it be an advantage if the technical capability of the ASFN Secretariat be strengthen to provide assistance to AMS on project implementation, including monitoring and evaluation of progress, for example, those that are being implemented through the ASFN Strategic Response Fund (ASRF)?
3. Could you share with us what are main activities undertaken by ASFN that have been found useful and benefited Indonesia in improving its social forestry programme?
4. How useful has been the Annual Conference organised by the ASFN Secretariat used to formulate and update the activities of the ASFN?

ASOF Indonesia Contact Point

1. Have the ASFN Secretariat and the Implementing Partners (CIFOR, RECOFTC, ICARF, SEARCA and NTFP-EP) effectively shared their outputs with ASOF through the ASFN, especially in providing specific policy-oriented research results and policy analysis on forests and climate change involving indigenous people, local communities, forest dwellers and other forest-dependent communities who live in and surrounding forest areas?
2. How could the ASFCC further enhance and evaluate the contribution and impact of social forestry programmes in sustainable forest management, climate change adaptation and mitigation, poverty alleviation, mainstreaming social forestry programmes in AMS policy framework and strategies and in addressing the social cultural aspect of illegal logging and its associated trade?

Coordinator of the ARKN-FCC

1. Could you briefly highlight to us the work that is being undertaken by the ASEAN Regional Knowledge Network on Forests and Climate Change (ARKN-FCC) and its achievements thus far?
2. How does the Network co-ordinate its work with the other bodies in ASEAN dealing with climate change issues, such as the ASFN, AFCC and the ASEAN Working Group on Climate Change?
3. In this regard, how could the ASEAN Secretariat assist and facilitate the work of the ARKN-FCC and the outputs of the other bodies in ASEAN dealing with climate change issues, especially the work of ASFN, so as to minimise overlaps and duplication of efforts?

ASEAN Secretariat

1. Is the current institutional arrangement between the ASFN Secretariat and the Implementing Partners (CIFOR, RECOFTC, ICARF, SEARCA and NTFP-EP), as well as the support provided by the host country, Indonesia, effective in delivering their outputs to AMS through the ASFN?

- 2 We understand that the ASEAN High Level Co-ordination Meeting is no longer active in co-ordinating the work of the Ministerial Framework of the AFCC and as such how would this affect the work and support given by the ASFCC through the ASFN Secretariat? In this regard, are the ASEAN Ad hoc Steering Committee on Climate Change and Food Security (AFCC-FS) and the Management Team for the AFCC still active?
- 3 How useful has been the Annual Conference organised by the ASFN Secretariat used to formulate and update the activities of the ASFN and the SPA for ASEAN Cooperation in Forestry?
- 4 In your view, would it more effective if the fund contributed by the Swiss Government through the Swiss Agency for Development and Co-operation (SDC) is managed and disbursed through an ASEAN-Swiss Trust Fund established at the ASEAN Secretariat, and would the ASEAN Secretariat supports such a Fund?
- 5 Apart from the ASFCC area, is the Swiss Government funding any other sectoral or thematic programmes/projects in ASEAN currently or in the foreseeable future?
- 6 Are there any other donors that are funding projects on Social Forestry and Climate Change in ASEAN countries, besides the ASEAN-German Programme on Response to Climate Change (GAP-CC)?
- 7 What should be done by the ASFN Secretariat to further support the work of the ASEAN Secretariat, especially those of the ASFN?
- 8 Are the current outputs from the Implementing Partners (CIFOR, RECOFTC, ICARF, SEARCA and NTFP-EP) being monitored, evaluated and effectively delivered to AMS?
- 9 Within the ASEAN Secretariat how would you ensure that the work/outputs from the ASFN and that from the ASEAN Regional Knowledge Network on Forests and Climate Change (ARKN-FCC) complement each other, including those from the SPA of the AFCC that is relevant to the ASFCC?

Embassy of Switzerland, Indonesia

1. Have the Swiss Government support through the Swiss Agency for Development and Co-operation (SDC) in the ASEAN-Swiss Partnership on Social Forestry and Climate Change (ASFCC) raised the co-operation between ASEAN and Switzerland to a new/higher level?
2. Are there any other current programmes/projects in ASEAN funded by the Swiss Government and/or are they planned programmes/projects in the foreseeable future?
3. Would it of interest to Switzerland to establish an ASEAN-Swiss Trust Fund at the ASEAN Secretariat to manage all Swiss Government contributions to ASEAN?

GIZ GAP-CC

1. Could you briefly highlight to us the work that is being undertaken by the ASEAN-German Programme on Response to Climate Change (GAP-CC), especially those involving social forestry and in climate change adaptation and mitigation?

2. How could the work of GAP-CC, especially those of the Project on Forest and Climate Change (FOR-CC) and those undertaken through the ASEAN Multi-Sectoral Framework on Climate Change: Agriculture and Forestry Towards Food Security (AFCC), the ASEAN-Swiss Partnership on Social Forestry and Climate Change (ASFCC), and the ASEAN Working Group on Climate Change under the ASEAN Senior Officials on the Environment (ASOEN) especially those related to local communities, be co-ordinated to improve synergy among them so as to minimise overlaps and duplication of efforts?

ASOF Indonesia Focal Point

1. Have the ASFN Secretariat and the Implementing Partners (CIFOR, RECOFTC, ICARF, SEARCA and NTFP-EP) effectively shared their outputs with ASOF through the ASFN, especially in providing specific policy-oriented research results and policy analysis on forests and climate change involving indigenous people, local communities, forest dwellers and other forest-dependent communities who live in and surrounding forest areas?
2. How could the ASFCC further enhance and evaluate the contribution and impact of social forestry programmes in sustainable forest management, climate change adaptation and mitigation, poverty alleviation, mainstreaming social forestry programmes in AMS policy framework and strategies and in addressing the social cultural aspect of illegal logging and its associated trade?

(**Note:** the 2 questions above are the same as those formulated for the “*ASOF Indonesia Contact Point*”).

AFoCo Regional Project Office

1. Could you briefly highlight to us the work that is being undertaken by the ASEAN-Republic of Korea (ROK) Forest Co-operation (AFoCo) and its achievements since the signing of the Agreement on 4 August 2014, especially with indigenous people, local communities, forest dwellers and other forest-dependent communities who live in and surrounding forest areas in addressing the impact of climate change?
2. In this regard, how could AFoCo ensure its work and those of the other bodies in ASEAN dealing with climate change issues, especially the work of the ASEAN Multi-Sectoral Framework on Climate Change: Agriculture and Forestry Towards Food Security (AFCC) and the ASEAN-Swiss Partnership on Social Forestry and Climate Change (ASFCC), as well as the ASEAN Working Group on Climate Change under the ASEAN Senior Officials on the Environment (ASOEN), be co-ordinated to improve synergy among them so as to minimise overlaps and duplication of efforts?

Southeast Asian Regional Centre for Graduate Study and Research in Agriculture (SEARCA)

1. How much is the budget allocated for the ASFN Strategic Response Fund (ASRF) and how is the Fund managed and disbursed for projects implementation (USD 15,000/project) and for training scholarship grants (USD 2,000.00/grant) since its inception in April 2014?
2. How often are the call for project proposals and the criteria used for their evaluation and approval, including who are the members of the Programme Steering Committee who approve the projects? How are the topics/focus areas for funding decided? How are transparency, inclusiveness and relevance to the ASFCC programme ensured?

3. To what extent is ASRF contributing to the empowerment of ASFN focal points and leaders?
4. Have the 6 completed projects achieved their specific objectives and the planned outcomes and are the outputs replicable and sustainable?
5. How is the progress of the 6 ongoing projects which are mainly due for completion in April 2016 being monitored and assessed, and are there any training scholarship grants awarded to personnel from AMS to date? What tools are being used to ensure the quality, relevance and effectiveness of the outputs (knowledge products and human resources)?
6. Are there new opportunities and areas to be capitalised by AMS in using the ASRF to build and strengthen their institutions, including human resources development, to enhance sustainable forest management and the welfare and livelihoods of indigenous people, local communities, forest dwellers and other forest-dependent communities? If yes, please provide the major ones?
7. In your view what have been the key achievements and challenges of ASFCC thus far, and how is gender being mainstreamed and how effectively are the products, results and messages from ASFCC being communicated to relevant stakeholders?
8. Are there indications of influence or impacts of your activities on policies, regulations and processes thus far, particularly from the following activities/components?
 - (i) Research.
 - (ii) Capacity-building.
 - (iii) Civil society engagement with ASEAN.
9. What are the lessons learned from the ASFCC II that could serve as inputs for the next phase of the programme (2017-2020)? Please provide the lessons into the following categories:
 - (i) Lessons on what is working well and why?
 - (ii) Lessons on what is not working and why?
 - (iii) Lessons for wider AMS or local level.
 - (iv) Lessons for wider ASEAN or regional, and global (cross-regional and global).
10. What is your view on having the ASFN Strategic Response Fund (ASRF) being managed by a single entity, for example, through the ASFN Secretariat or an ASEAN-Swiss Trust Fund at the ASEAN Secretariat? Please focus on efficiency, fiduciary risk management and synergy.
11. Could you share with us on how you would further enhance collaboration and co-operation among the Implementing Partners (CIFOR, RECOFTC, ICARF and NTFP-EP) and complement their outputs? The aim is to collectively or co-produce knowledge that is more synthesised and applicable in nature leading to better quality of programmatic influence and outcome/s.

Centre for International Forestry Research (CIFOR)

1. Has the manual for establishing participatory mapping and monitoring of forest and shifting cultivation systems biomass been tested in other sites in AMS?
2. At the policy and strategic level, how could the outputs of the project on swidden farming system assist AMS in enhancing sustainable forest management and REDD+ design for MRV, as well as in contributing to the well-being of the communities?
3. Are there new opportunities to be capitalised by AMS in managing social forestry and climate change using the outputs of the project?
4. Are there indications of influence or impacts of your activities on policies, regulations and processes thus far, particularly from the following activities/components?
 - (i) Research.
 - (ii) Capacity-building.
 - (iii) Civil society engagement with ASEAN.
5. Are there indications of improvements in socio-economic benefits and/or benefit sharing arrangements and processes resulting from your activities?
6. In your view what have been the key achievements and challenges of ASFCC thus far, and how is gender being mainstreamed and how effectively are the products, results and messages from ASFCC being communicated to relevant stakeholders?
7. What are the lessons learned from the ASFCC-I and ASFCC II that could serve as inputs for the next phase of the programme (2017-2020)? Please provide the lessons into the following categories:
 - (i) Lessons on what is working well and why?
 - (ii) Lessons on what is not working and why?
 - (iii) Lessons for wider AMS or local level.
 - (iv) Lessons for wider ASEAN or regional, and global (cross-regional and global).
8. What is your view on having the funds contributed by ASFCC being managed by a single entity, for example, through the ASFN Secretariat or an ASEAN-Swiss Trust Fund at the ASEAN Secretariat? Please focus on efficiency, fiduciary risk management and synergy.
9. Could you share with us on how you would further enhance collaboration and co-operation among the Implementing Partners (RECOFTC, ICARF, SEARCA and NTFP-EP) and complement their outputs? The aim is to collectively or co-produce knowledge that is more synthesised and applicable in nature leading to better quality of programmatic influence and outcome/s.

The Centre for People and Forests (RECOFTC)

1. How are the activities implemented at the regional and selected AMS levels (national and local levels) identified and agreed upon, and how do you ensure they support and complement each other in an integrated and synergetic manner?
2. Could you elaborate on the work done to identify and assess common ASEAN policy and strategic issues in promoting social forestry and climate change?
3. Are there any evidence of AMS mainstreaming policy recommendations that enhance social forestry and climate change, including adaptation strategies and best practices, arising from the project in managing, conserving and developing their forest resources?
4. Is the established Learning Group (LG) sustainable without third party funding and has it enabled AMS to enhance their social forestry practices to achieve sustainable forest management, address climate change adaptation and mitigation, and improve the well-being of the local communities?
5. Could you share with us the progress/results of the Participatory Action Research (PAR) carried out in the three areas in northern Thailand since the holding of the national training on PAR for Community-based Climate Change Adaptation (CBCA) in 2015?
6. Are there indications of influence or impacts of your activities on policies, regulations and processes thus far, particularly from the following activities/components?
 - (i) Research.
 - (ii) Capacity-building.
 - (iii) Civil society engagement with ASEAN.
7. Are there indications of improvements in socio-economic benefits and/or benefit sharing arrangements and processes resulting from your activities?
8. Are there new opportunities to be capitalised by AMS in managing social forestry and climate change using the outputs of the project?
9. In your view what have been the key achievements and challenges of ASFCC thus far, and how is gender being mainstreamed and how effectively are the products, results and messages from ASFCC being communicated to relevant stakeholders?
10. What are the lessons learned from the ASFCC-I and ASFCC II that could serve as inputs for the next phase of the programme (2017-2020)? Please provide the lessons into the following categories:
 - (i) Lessons on what is working well and why?
 - (ii) Lessons on what is not working and why?
 - (iii) Lessons for wider AMS or local level.

(iv) Lessons for wider ASEAN or regional, and global (cross-regional and global).

11. What is your view on having the funds contributed by ASFCC being managed by a single entity, for example, through the ASFN Secretariat or an ASEAN-Swiss Trust Fund at the ASEAN Secretariat? Please focus on efficiency, fiduciary risk management and synergy.
12. Could you share with us on how you would further enhance collaboration and co-operation among the Implementing Partners (CIFOR, ICARF, SEARCA and NTFP-EP) and complement their outputs? The aim is to collectively or co-produce knowledge that is more synthesised and applicable in nature leading to better quality of programmatic influence and outcome/s.

Non-Timber Forest Products - Exchange Programme (NTFP-EP)

1. Is the established Civil Society Forum (CSO Forum) in June 2012 sustainable without third party funding and has it enabled AMS to enhance their social forestry practices to achieve sustainable forest management, address climate change adaptation and mitigation, and improve the well-being of the local communities?, If yes, please provide at least 3 examples.
2. Are there any evidence of AMS adopting and implementing the recommendations of the CSO Forum in their national forestry policies and strategic plans to enhance social forestry and climate change? If yes, please provide 2-3 evidences.
3. How successful has the used of Community Livelihood Appraisal and Product Scanning (CLAPS) resulted in the identification of potentially marketable NTFP in the community and the establishment of NTFP-based enterprises in the areas where training on its use has been conducted (Sikka, Papua and Palembang in Indonesia and Davao in the Philippines)? If successful, please provide 3-5 indicators (especially of forward and backward linkages in supply/value chain of each product).
4. Are there indications of influence or impacts of your activities on policies, regulations and processes thus far, particularly from the following activities/components?
 - (i) Research.
 - (ii) Capacity building.
 - (iii) Civil society engagement with ASEAN.
5. Are there indications of improvements in socio-economic benefits and/or benefit sharing arrangements and processes resulting from your activities?
6. Are there new opportunities to be capitalised by AMS in managing social forestry to enhance sustainable forest management and improve the livelihood and well-being of indigenous peoples, local communities, forest dwellers and other forest-dependent communities? If yes, please provide the major ones?
7. In your view what have been the key achievements and challenges of ASFCC thus far, and how is gender being mainstreamed and how effectively are the products, results and messages from ASFCC being communicated to relevant stakeholders?

8. What are the lessons learned from the ASFCC-I and ASFCC II that could serve as inputs for the next phase of the programme (2017-2020)? Please provide the lessons into the following categories:
 - (i) Lessons on what is working well and why?
 - (ii) Lessons on what is not working and why?
 - (iii) Lessons for wider AMS or local level.
 - (iv) Lessons for wider ASEAN or regional, and global (cross-regional and global).
9. What is your view on having the funds contributed by ASFCC being managed by a single entity, for example, through the ASFN Secretariat or an ASEAN-Swiss Trust Fund at the ASEAN Secretariat? Please focus on efficiency, fiduciary risk management and synergy.
10. Could you share with us on how you would further enhance collaboration and co-operation among the Implementing Partners (CIFOR, RECOFTC, ICARF and SEARCA) and complement their outputs? The aim is to collectively or co-produce knowledge that is more synthesised and applicable in nature leading to better quality of programmatic influence and outcome/s.

The World Agroforestry Centre (ICARF)

1. With the knowledge gained and information gathered thus far on the three selected valuable NTFPs and the agro-forestry systems and practices in Vietnam, how would you see their results being mainstreamed in the policy and strategic plans of the country, especially in forestry and climate change sectors?
2. Are there indications of influence or impacts of your activities on policies, regulations and processes thus far, particularly from the following activities/components?
 - (i) Research.
 - (ii) Capacity building.
 - (iii) Civil society engagement with ASEAN.
3. Are there indications of improvements in socio-economic benefits and/or benefit sharing arrangements and processes resulting from your activities?
4. Are there new opportunities to be capitalised by AMS in managing social forestry to enhance sustainable forest management and improve the livelihood and well-being of indigenous peoples, local communities, forest dwellers and other forest-dependent communities? If yes, please provide the major ones.
5. In your view what have been the key achievements and challenges of ASFCC thus far, and how is gender being mainstreamed and how effectively are the products, results and messages from ASFCC being communicated to relevant stakeholders?

6. What are the lessons learned from the eight activities implemented in Vietnam that could serve as inputs for the next phase of the programme (2017-2020)? Please provide the lessons into the following categories:
 - (i) Lessons on what is working well and why?
 - (ii) Lessons on what is not working and why?
 - (iii) Lessons for wider AMS or local level.
 - (iv) Lessons for wider ASEAN or regional, and global (cross-regional and global).
7. What is your view on having the funds contributed by ASFCC being managed by a single entity, for example, through the ASFN Secretariat or an ASEAN-Swiss Trust Fund at the ASEAN Secretariat? Please focus on efficiency, fiduciary risk management and synergy.
8. Could you share with us on how you would further enhance collaboration and co-operation among the Implementing Partners (CIFOR, RECOFTC, SEARCA and NTFP-EP) and complement their outputs? The aim is to collectively or co-produce knowledge that is more synthesised and applicable in nature leading to better quality of programmatic influence and outcome/s.

FAO Regional Office for Asia and Pacific, Bangkok, Thailand

1. Could you briefly highlight the work that are currently being undertaken by FAO, especially your office in Bangkok, involving indigenous people, local communities, forest dwellers and other forest-dependent communities who live in and surrounding forest areas in addressing social forestry and climate change related issues?
2. In this regard, how could the work of the ASEAN-Swiss Partnership on Social Forestry and Climate Change (ASFCC) contribute and be co-ordinated to improve synergy among the activities of different partners so as to minimise overlaps, duplication, and redundancies of efforts?

GIZ Better Rice Initiative Asia

1. Could you briefly highlight to us the work that is being undertaken by your project and its achievements, especially those that could contribute to improving the livelihood and well-being of farmers in the context of social forestry and climate change programme under the ASEAN-Swiss Partnership on Social Forestry and Climate Change (ASFCC)?
2. In this regard, how could the ASFCC contributes and complements the outputs of your project so as to enhance and improve synergy among them, minimise overlaps and duplication of efforts and lead to better outcomes and impacts?

External Review of Phase I (2011-2013) of the ASFCC (Mr. Eduardo Queblatin)

1. In the external evaluation (March-April 2013), it is mentioned that the ASFCC programme should gradually 'achieve more strategic foci on country-specific topics and approaches', by increasing capacity of the Programme team to assess and share best practices for which you had suggested 'some adaptations'; would you elaborate on this further please?

2. By programme team, we take it that it included both the team in the ASFN Secretariat and the team working with the national focal points; if it was meant others kindly elaborate.
3. The above External Review had recommended that the External Evaluation, 2016 should “analyze the state-of-the art” for the phasing-out period; could you please recall your expectations and the kind of state-of-the-art outputs and outcomes you in particular had in mind?

SECO (State Secretariat for Economic Affairs), Vietnam Office, Swiss Embassy, Hanoi

1. What have been the mode and quality of exchange and collaboration between the regional and national projects programmes supported by SECO and ASFCC Phase II particularly in Vietnam?
2. We understand the ASFCC partners were planning to work with SECO on trial programmes involving private sector on carbon trading (voluntary market) with your partners; will be greatly obliged if you could share some of the progress made in this very important subject in the light of recent Paris Climate Agreement?
3. Since the proposed ASFCC Phase III plans to contribute to the broader ASEAN programme on Agriculture and Forestry towards Food Security (AFCC); (2016 – 2020); and the Vision and Strategic Plan for ASEAN Co-operation in Food, Agriculture and Forestry (2016-2025), how ASFCC Phase III and SECO activities can collaborate so as to increase synergy and complementarities especially for effective implementation of the Paris Climate Agreement?
4. How such collaboration can better integrate climate change mitigation and adaptation strategies into the economic and social development policy framework of the ASEAN countries where SECO is operating?

List of people interviewed by the External Reviewers

ORGANISATION/NAME	DESIGNATION	E-MAIL ADDRESS
ASEAN-Swiss Partnership on Social Forestry and Climate Change (ASFCC)		
Dr. Doris Capistrano	ASFCC Senior Advisor	doriscapistrano@yahoo.com
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Ms. Alfi Syakila	Communications and Knowledge Management Officer ASFN Secretariat	Alfi.syakila@asfnsec.org
Ms. Ria Susilawati	Operations Officer ASFN Secretariat	Ria.susilawati@asfnsec.org
Ministry of Environment and Forestry, Indonesia		
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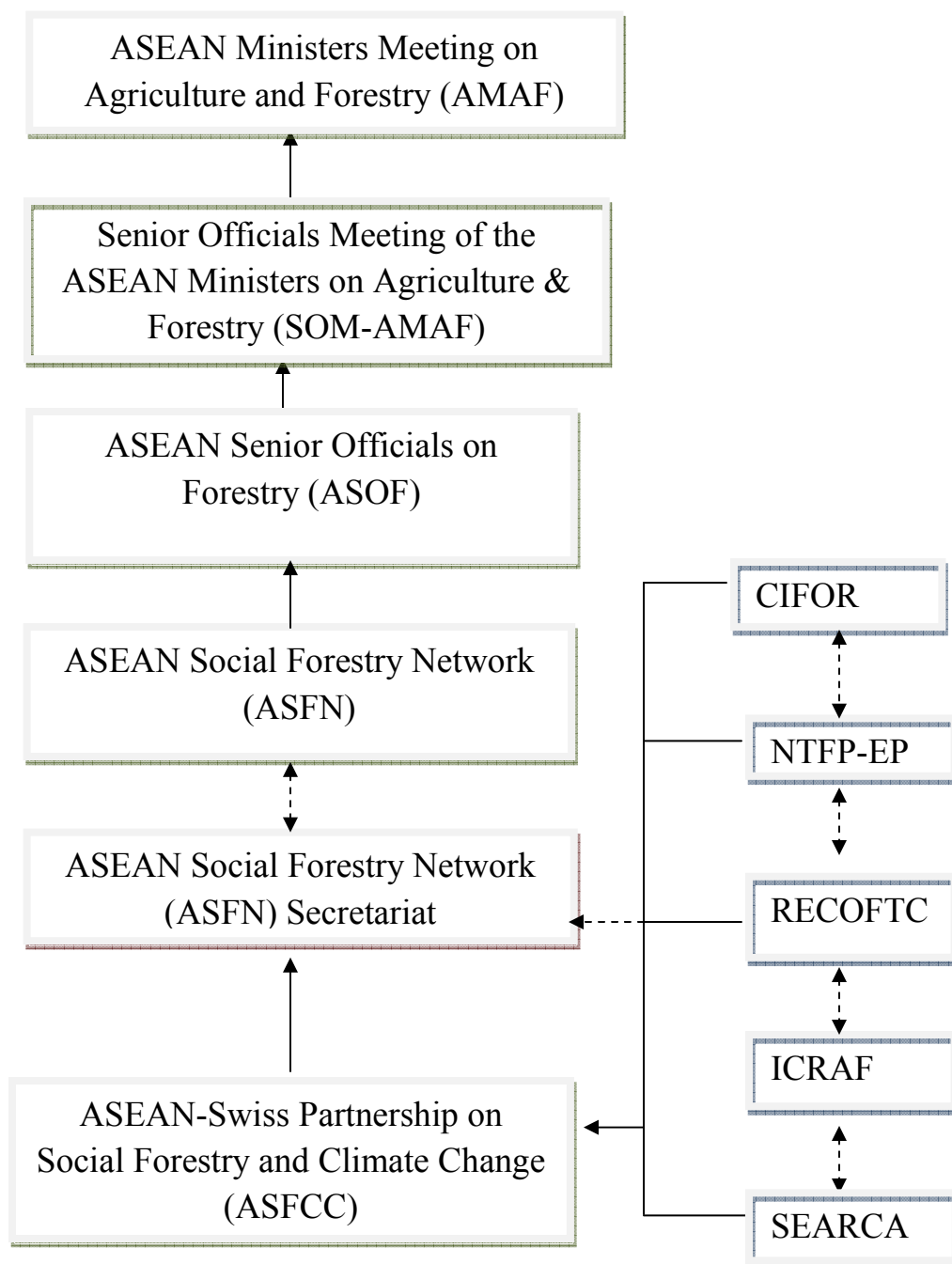
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ROLE OF THE ASEAN SOCIAL FORESTRY NETWORK SECRETARIAT IN ASEAN CO-OPERATION IN FORESTRY



Analysis of the Implementation of the MTR Recommendations

Outcome	Recommendations/by components	Implementation Status
1.	1.1 Support AFCC to put the SPA into operation through knowledge exchange to help develop policy instruments, tools and best practices demonstrating the link between SF and CC in practical terms.	In-progress.
	1.1.1. Strengthen the management and exchange of the knowledge ensuring support to ASFN and AFCC objectives.	Accomplished.
	1.1.2. Develop a joint implementation strategy for identifying, assessing and up scaling best practices demonstrating the role of SF in CC.	In-progress with major production of state-of-art papers, policy briefs, conference reports, and country briefs.
	1.2. Communicate current knowledge of cost-benefit of SF in order to demonstrate its true economic value in the context of full economic integration in 2015.	In-progress.
	1.3. Strengthen current efforts to update baseline information on SF in AMS focusing on specific policies and policy instruments and good practices.	Done in Cambodia, Indonesia and Vietnam.
	1.4. Monitor the developments of the 2015 ASEAN economic integration especially on its impacts on livelihood systems of SF communities.	Accomplished by publishing a Report on: IMPACT OF THE ASEAN ECONOMIC COMMUNITY (AEC) ON SOCIAL FORESTRY AND FOREST PRODUCTS TRADE Ramon A. Razal, Anna Floresca F. Firmalino, and Maria Cristina S. Guerrero” by NTFP-EP.
	1.5. Selectively assess the most strategic contribution on REDD+ preparedness and consider investing more on climate change adaptation in SF located in vulnerable localities.	Work-in-progress. Major progress in REDD+ safeguards building in the Philippines, Myanmar and Cambodia.
	1.6 .Continue to maintain dialog between the ASFN and the ASEAN CSO community in a sensitive and constructive manner; establish clearer indicators in the succeeding phase.	Being done annually and recommendations coming out are fed into the ASEAN process.

2.	2.1. Strengthen the management of the abundant knowledge that is being exchanged to ensure that they support ASFN and AFCC objectives.	Besides supporting the ASFN in organising annual conferences, the ASFN Secretariat is also regularly providing information and back-up support to the ASEAN Secretariat especially the Food Agriculture and Forestry Division.
	2.2. Embed the Learning Group concept under the overarching set of actions that may be identified under Support to AFCC.	Accomplished. Learning groups at national level are sub-set of the ASEAN level learning group created by RECOFTC and is constituted for each event (e.g. Indonesia).
	2.3. Policy reform targets (regional, national and sub-national) are getting clearer due to better dialog in the region. With this in mind, consider developing communication plans for selected major policy targets or clusters of policy targets.	In-progress. Adoption of Agro-forestry Policy in Vietnam, SF based REDD+ Safeguards in the Philippines and redefinition of forests in Cambodia, are some of the early successes. These are 'low hanging fruits' for graduating to ASEAN level Guidelines, Manuals and Framework.
	2.4. Building on the social capital gained by now, new supplemental (and perhaps less formal) forms of sharing and learning can be tried out, to promote deeper exchange and understanding among peers in the region.	In-progress. The large number of participants (80 in the last CSO forum) and strengthening of national networks (CF/SF WG and co-ordination committees) are notable achievements.
3.	3.1. At the country level, collaboratively identify the range of best practice sites for SF/CF and CC in each country. Assess and document sites prioritised through stakeholder consultation.	In-progress. Need to be more systematically done during the planning meetings.
	3.2. In the context of the above national strategy, collaboratively identify research priorities and responsibilities and include research information as an organic part of the range of knowledge to be managed under item 2 above.	In-progress. Need to be specifically in annual planning meetings and programmatic working.
	3.3. Support targeted work on CC Adaptation especially in agro-forest landscapes located in forest lands and on themes where current players are not yet deeply involved.	In-progress. However, more attention has been given on REDD+ and success has been achieved but commensurate efforts are needed in adaptation (a framework suggested).